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Mphahlele, Matuku

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CAPACITY DEVELOPMENT OF SERVICE DELIVERY STRUCTURES AND PROGRAMMES IN BOJANALA PLATINUM DISTRICT MUNICIPALITY

By

Matuku Mphahlele

A thesis submitted to the Faculty of Commerce, Law and Management, University of the Witwatersrand, in 100% fulfilment of the requirements for the degree of Doctor of Philosophy

February, 2021

Student Number:8434298

ABSTRACT

Bojanala Platinum District Municipality (BPDM), in the North West Province is a centre of the extractive economy in South Africa. The BPDM experiences challenges in relation to delivering quality public services. In this context, this thesis examines capacity development of service delivery structures and programmes of the local municipalities, in the BPDM, that is, Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele. In addition, the study explores the ways in which they can be overcome for enhanced service delivery.

The BPDM is embedded in an extractive economy and experiences challenges of the largely heterogeneous and mobile population that results in high influx of labour migrants, socio-economic inequality, and unemployment that impact heavily on the municipal capacity to deliver services (Van Wyk, 2012; Alexander, Sinwell, Lekgowa, Mmope & Xezwi, 2012). Accordingly, the Mineral Petroleum Resource Development Act 28 of 2002 (MPRDA) unpacks legislative prescripts on what structures mining companies have to establish, how to monitor and report on collaborative Social and Labour Plans (SLPs) in conjunction with municipal Integrated Development Plans (IDPs) for enhancement of service delivery. Thus, the study also examines the nature of structures and programmes, facilitators and inhibitors of skills development initiatives and how mining companies as local partners facilitate or impede improvement in delivering municipal services to the community.

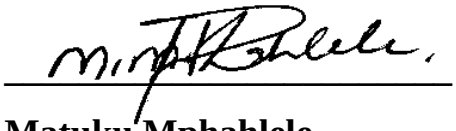
Within the context of local government capacity development, this study develops a theoretical framing incorporating scholarship on human capital, performance improvement and collaborative participatory governance perspectives. This framing is premised on the scholarly evidence that capacity development is an enabler of service delivery, influenced by skills development, municipal performance improvement and collaborative participation.

To generate perspectives in relation to capacity development of service delivery structures and programmes, a qualitative case study approach, using interviews is adopted. Semi-structured interviews were undertaken with senior managers in the municipalities and the respective, locally based mining company. In addition to semi-structured interviews, documentary analysis and the descriptive statistics were employed. The study's research questions examine the structures and programmes for enhancing capacity development in relation to service delivery. In addition, the study hones in on how local partners facilitate or hinder improvement in providing municipal services and how local municipalities better utilise their capacity development resources, including partnership with mining companies in relation to service delivery.

This case study reveals that there are difficulties with respect to capacity development associated with skills retention, organisational relations and socio-political capacity building. The study concludes that political abandonment, poor communication and stakeholder engagements aggravate weakened inter-municipal co-operation and inadequate utilisation of resources. These challenges undermine cost-effective, efficient and effective implementation of capacity development of service delivery structures and programmes, underpinned by skills development and organisational learning. This study, suggests that socio-political resilience and administrative synergy are key enablers in the enhancement of service delivery. The thesis contributes to the body knowledge about the distinctive nature of the interface between learning and skills development, underscoring key enablers of improved capacity development of service delivery structures and programmes.

DECLARATION

I declare that this thesis is my own, unaided work. It is submitted to the faculty of Commerce, Law and Management, University of the Witwatersrand, Johannesburg, in fulfilment of the requirements for the degree of Doctor of Philosophy. It has not been submitted before for any degree or examination to any other University.



Matuku Mphahlele
27 February 2021

DEDICATION

To my late mother and father Rebecca Kodi and James Lekgeme Mphahlele. Warm and sincere salutations to the mineworkers alive and departed.

ACKNOWLEDGEMENTS

It was an honour and privilege to work with several people who contributed to make this research a success.

I extend sincere gratitude towards my supervisors and mentors during my time at the Wits School of Governance: Dr Horácio Zandamela, Dr Chelete Monyane and in the final phase, Professor Erin McCandless. Thank you for your patience and unwavering support. Your guidance, uncompromised and undivided attention to detail bestowed upon me a huge thrust to think and maximise application of the academic knowledge and understanding. I am deeply indebted to Professor Pundy Pillay, Professor Teresa Carmichael, Professor Mike Miller, Professor Anne McLennan, Dr Manamela Matshabaphala and Dr Gillian Godsell for the support and motivation which helped me to stay focused in the proposal and defence phase of this research study.

My deepest gratitude to senior managers and all respondents in the Bojanala Platinum District Municipal, Kgetlengrivier, Moses Kotane, Rustenburg, Madibeng and Moretele local municipalities for permission to conduct the research at your facilities. Your enthusi*asm*, patience and willingness to supply me with data made me feel motivated and more knowledgeable of the topic.

To my loving wife Nomonde Mphahlele (*Hunadi, Kgalagadi 'a Bakgaga*), you gave me support and motivation to commence and conclude this project without complaints. Moreover, you sacrificed family time, exempted and shielded me from any emotionally demanding family commitments for these years without getting weary. To my sons Tokollo and Tiisa, I value you for understanding when dad was busy with the project.

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LIST OF ABBREVIATIONS

ASM	Artisanal Small-scale mining
BPDM	Bojanala Platinum District Municipality
CSR	Corporate Social Responsibility
DHET	Department of Higher Education and Training
EAC	East Africa Community
ECSA	Engineering Council of South Africa
EI	Extractive Industries
FDI	Foreign Direct Investment
FET	Further Education and Training
HDSA	Historically Disadvantaged South African
HEI	Higher Education Institution
HRD	Human Resource Development
IDP	Integrated Development Plan
IGR	Intergovernmental Relations
KM	Knowledge Management
LGSETA	Local Government SETA
MFMA	Municipal Finance Management Act
MPRDA	Mineral Petroleum Resource Development Act
MQA	Mining Qualifications Authority
PPP	Public-private-partnership
ROI	Return on Investment
SETA	Sector Education Training Authority
SLP	Social and Labour Plan
TQM	Total Quality Management
UNDP	United Nation Development Programme
WSP	Workplace Skills Plan

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CHAPTER ONE

INTRODUCTION

1.1 Introduction

This study examines the issues of capacity development from the perspectives of service delivery in the Bojanala Platinum District Municipality (BPDM). The thesis sets out to examine the roles of various key players in ensuring quality service delivery and utilisation of capacity development initiatives to the benefit of citizens in the BPDM. The BPDM is embedded in an extractive economy and experiences challenges of capacity development of service delivery structures and programmes. The District experiences service delivery challenges, for instance, poor sanitation. South African Institute of Race Relations (2014) asserts that 55.2% of the BPDM population uses pit latrines.

In addition, mining activities in the BPDM local municipalities attract the largely heterogeneous and mobile population. This results in high influx of labour migrants, socio-economic inequality, and unemployment (Van Wyk, 2012; Alexander, Sinwell, Lekgowa, Mmope & Xezwi, 2012). The percentages of youth unemployment in BPDM and South Africa are 39% and 38% respectively (Stats SA, 2013). These socio-economic issues affect service delivery (Statistics South Africa, 2016) and capacity development roles of the mining companies in the natural resource rich district (Bojanala Platinum District Municipality, 2016; Mining Qualifications Authority, 2017).

These challenges provoke questions related to the legislative prescripts that seek to redress the historic shortcomings inclusive of the elements peculiar to capacity development of service delivery structures and programmes in the BPDM. The South African Post-Apartheid legislations at the level of local government stipulate measures

to circumvent the challenges of capacity development of service delivery structures and programmes, socio-economic inequality and unemployment. The Bojanala Platinum District Municipality experiences poor service delivery and acquisition of skills to comply with the service delivery legislative prescripts (Bojanala Platinum District Municipality, 2016). According to the Mineral Petroleum Resource Development Act 28 of 2002 (MPRDA) the mining companies have to establish collaborative service delivery structures and programmes for community development in partnership with host local municipalities. The MPRDA through the Mining Charter provides guidelines on skills development and mentoring programmes to improve capacity development at workplace and the communities. Capacity development programmes seek to address the problem of unemployment, as such, improve municipal tax collection, reduce pressure on the municipal fiscus and social-ills in the community. The Department of Mineral Resources (2015) reveals in the Mining Charter Assessment Report that mining houses fail to develop host communities in compliance with the Constitution and relevant legislative frameworks. Notably, the Report asserts that "nationally only 36% of mining right holders have met their set target on mine community development" (p.30), which could be indicative of little or no relationship with the local municipalities. As a developmental local government, central mandate of the BPDM is to develop service delivery through the delivery of basic services, that is, enhance the quality of life, promote health and facilitate access to economic opportunities (Department of Co-operative Governance and Traditional Affairs, 1998). Following a description of service delivery challenges, that is, unemployment, infrastructure development and partnerships with stakeholders, the study examines how these challenges can be overcome.

The orientation of this study is directed by the nature of the research question in relation to capacity development. The research question is what are the challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities, and how can they be overcome? The purpose of this study is to examine the challenges related to the use of capacity development resources and

programmes tied to service delivery in the Bojanala Platinum District local municipalities and to explore the ways in which they can be overcome for enhanced service delivery. The study, further examines how capacity development structures and programmes aim to enhance service delivery, and identifies the facilitators and inhibitors of capacity development. The research advances better understanding of the relationship of the municipalities with the local mining companies, and ultimately, explores how municipalities can better utilise their capacity development resources and partner better with mining companies to ensure stronger service delivery results. The study explores key challenges and what needs to be known to overcome the challenges.

The significance of the study is to examine the shared perspectives among the BPDM managers in relation to capacity development of service delivery structures and programmes. The findings point out distinct elements peculiar to human capital, performance improvement and participatory collaboration in relation to improvement of public service delivery. Shared perspectives in relation to the research findings, significantly advance the argument for management to integrate and operationalise skills retention, organisational relations, and socio-political capacity building across all local municipalities. The study also examines the significance of the Constitutional mandate in relation to policy-oriented contextual issues, for example, the heterogeneous mobile migrant labour community prevalent in the mining-dependent local municipalities could provide lessons in similar contexts. In addition to understanding of the significance of the study, the research employs three different data gathering tools to maximise triangulation of data collection in this qualitative study to address service delivery challenges.

This qualitative case study employs interviews, documentary analysis and questionnaires to generate in-depth perspectives among respondents. The study employs theoretical perspectives to hone in on how best to maximise the utilisation of resources and programmes. The framing of the study recognises that there are impediments to efficient implementation of the municipal mandates. The qualitative

case study methodology is employed to examine the phenomenon central to capacity development of service delivery structures and programmes, describes and explains issues aligned to the nature of the identified social reality. To generate in-depth perspectives among knowledgeable municipal and mine senior managers in relation to capacity development of service delivery structures and programmes, semi-structured interviews are employed in a qualitative case study approach. This approach is helpful in answering the question of utilisation of resources and programmes and how identified challenges can be overcome. In addition to semi-structured interviews, documentary analysis and questionnaires were employed. Recent departmental and municipal annual reports provide a broader documentary analysis perspective in alignment to capacity development of service delivery structures and programmes. The study also employed a questionnaire as a complementary descriptive statistics to the qualitative approach. This approach is helpful in gathering more data about service delivery experiences of middle managers, and to what extend they are similar or dissimilar to those of senior managers.

In order to answer the question "what are the challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities?", and how can they be overcome, the study develops a theoretical and conceptual framework that engages human capital, performance improvement and collaborative governance theories in relation to improving capacity development of service delivery structures and programmes. The framing of the study recognises that there are impediments to efficient municipal resource allocation for municipal skills development, performance improvement, and collaborative participation. Thus, the study hones in on the broader body of research studies and contextualises the research findings within the body of scholarly knowledge.

In the specific context where mining and municipal functions overlap, it is unclear how the use of resources and programmes could improve capacity development of service delivery structures and programmes. The study not only explores the setting, but also,

examines skills development, socio-economic and legislative contexts. These contexts hone in on the motivation, and the historic nature of the scholarly debates related to the topic in relation to capacity development of service delivery structures and programmes. Capacity development, as observed in this study, is a "locally driven process of learning by leaders, coalitions and other agents of change that brings about changes in socio-political, policy-related and organisational factors to optimise local ownership, efficiency and effectiveness of efforts to achieve a development goal" (Otto, Agapitova & Behrens, 2009, p.9). At a local government level, capacity development of service delivery structures and programmes could entail local ownership of socio-economic programmes and involvement of the community representatives at decision-making fora. The study recognises the impact of socio-economic factors inherited from the Apartheid homeland system, that is, lack of resources, backlogs on basic services, electricity and education in relation to service delivery (Department of Cooperate Governance and Traditional Affairs, 1998; Sithole & Mathonsi, 2015). The influence of this legacy is experienced in the current Post-Apartheid era at the sphere of local government (Nnadozie, 2013). At local government level capacity development of service delivery structures and programmes in the Bojanala Platinum District Municipality (BPDM) is influenced by the extractives economy. In the context of this study an extractive economy is resource-based and dependent on extracting natural resources for sale or trade (Penobscot Marine Museum, 2019). Host communities in the BPDM are caught between the mining-led and municipal-led capacity development programmes. The study also explores mining initiated developmental programmes included in the social and labour plans (SLP) in the form of corporate social responsibility and employment. The integrated development plans (IDP) which are municipal-led, together with the SLP carry out developmental programmes in the space of intersection of roles of mining companies and local government.

Mining companies, although they employ most of the people in the host communities and 'labour sending' areas, do little to impart and improve life-long skills for economic advancement. Department of Mineral Resources (2015) defines labour sending areas

as areas from which a majority of mineworkers, both historical and current are or have been sourced. Multinational companies in natural mineral resource endowed municipalities tend to assume a leading *de facto* government role, whereas local municipalities are perceived to assume insignificant roles. Public expectations in the extractive economy are affected by the prevailing conditions in the mining and mineral sector. These factors add up to the local government's continuous reliance on the volatile and unstable extractive economy. Following an outline of the problem, methodology, research framing, significance and the context of the study, research findings reveal service delivery challenges. The study reveals that administrative interference, poor skills retention and organisational relations could be overcome by strengthening municipal structures. These service delivery challenges in relation to enhanced municipal structures could be caried out through functional civil society engagement and administrative synergy rooted in capacity development programmes, the study suggests.

The thesis contributes to the body knowledge about the distinctive nature of the interface between learning and skills development. The study also underscores key enablers of improved capacity development. The recommendations include a review of legislation, maximisation of organisational participatory governance; promotion of transparent communication; enforcement of consequence management, administrative synergy, and optimisation of socio-political integrity.

In summary, BPDM is embedded in the extractive economy. As such, the study is located in the space of intersection of the local government and mining led socio-economic development programmes guided by respective legislations. The challenge of employment and sanitary infrastructure draws attention to some of the elements peculiar to capacity development of service delivery structures and programmes in the BPDM. Attraction of labour migrants to the BPDM from rural labour sending areas raises the problem of the strain on the fiscus of local municipalities due to the heterogeneous and mobile population. In order to gain in-depth insight into the

phenomena of capacity development the study employs qualitative method to describe, interpret, contextualise and advance insight. Thus, the study examines the challenges related to the use of capacity development resources and programmes tied to service delivery, and explores how they can be overcome. The study also identifies limitations and impediments surrounding the use of service delivery resources.

The following section outlines and examines the context and motivation for the research study. The background outlines the social setting, as well as social and economic, legislative and policy context, and the context of skills dvelopment. A section on the research problem unpacks the knowledge gap this thesis attempts to fill, and outlines the research purpose and objectives, research questions, significance of the study and the outline of the chapters.

1.2 Background

The background examines the context for this study, including historical, policy, legislative, political, social and economic factors. This section contextualises the historic marginalisation of the Historically Disadvantaged South Africans (HDSAs), in relation to skills acquisition and resulting from Apartheid and its legacies. The discrimination of HDSAs deeply affected capacity development training and skills development opportunities, alongside access to economic opportunities. In addition, the background discusses the study setting, context of the research study in relation to socio-economic issues, legislative mandates and skills development initiatives to address identified municipal challenges.

The study setting describes the locality of the five local municipalities, states reasons to conduct the study and mentions a distinctive feature of the BPDM. Social and economic context looks into unemployment and education dynamics of the host and labour sending areas, and how the socio-economic factors motivate for the study. Legislative and policy context hones in on understanding of the relevant legislative imperatives associated with maximising capacity development of service delivery

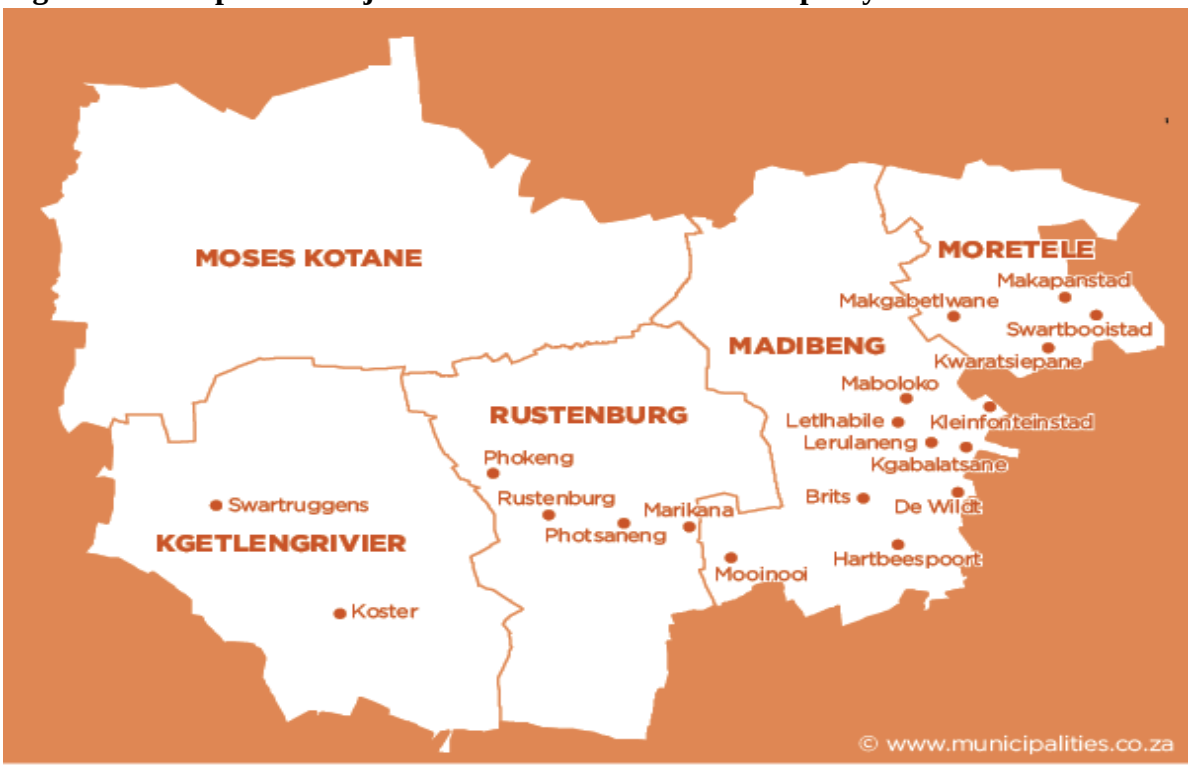
structures and programmes. The skills development context points out key processes and functionalities in relation to workplace skills training.

The next section discusses the study setting.

1.2.1 Study setting

The case study in focus in this research, the Bojanala Platinum District Municipality (BPDM), consists of five local municipalities and is situated in the north-eastern part in the North West Province (see Figure 1.1). The five local municipalities of Kgetlengrivier, Madibeng, Moretele, Moses Kotane and Rustenburg are indicated in the Bojanala Platinum District Municipality Integrated Development Plan (IDP) (2013) and located in the 'platinum belt' of South Africa. The 'platinum belt' is renowned for being home to the world's top three multinational platinum producers.

Figure 1. 1: Map of the Bojanala Platinum District Municipality



Source: Local Government Handbook (2016)

The district municipality forms part of the erstwhile Apartheid homeland of Bophuthatswana. Some peculiar and compelling reasons to conduct the study in this area are (1) the largely unstable heterogeneous and changing mobile population in the natural mineral endowed municipality; (2) the distinct role of elites in the extractive economy that makes it difficult to retain skilled employees, and (3) ineffective implementation of municipal legislative mandates and impediments to meaningful collaborative partnerships with the business sector.

Another distinctive feature of the BPDM is the Marikana (in Madibeng local Municipality) incident, which involved the fatal shooting of 32 mineworkers by the South African Police Service. The incident attracted international attention and huge research writings on the social, economic and developmental dynamics of the BPDM.

The following section explores the social and economic context of the study.

1.2.2 Social and economic context

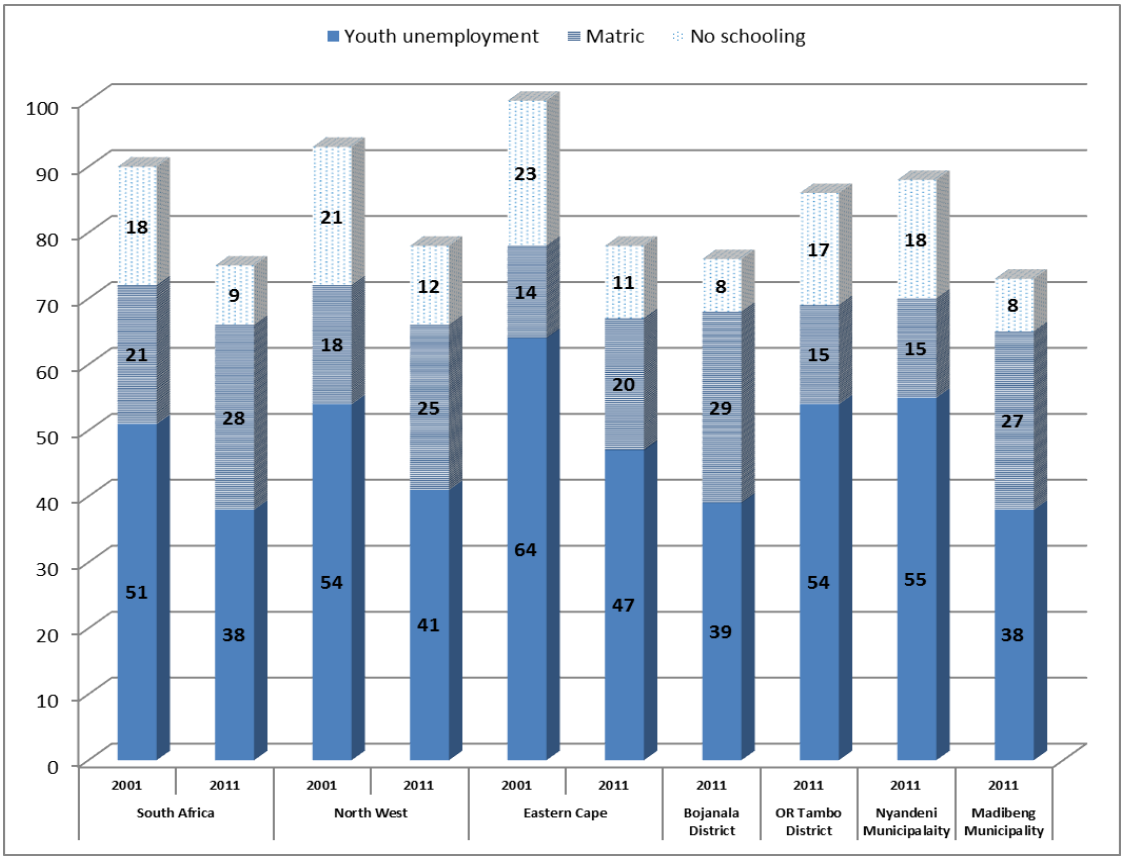
This section contextualises some historical social realities that have a bearing on social problems associated with the uncontrollable influx of migrant labourers in BPDM. Historical local government structures perpetuated economical marginalisation of the HDSAs and exclusion from participation in any benefits derived from the natural resources. Knowledge and understanding of the prevailing social conditions in the OR Tambo District Municipality (labour sending area) and BPDM (host communities) unambiguously dispel perceptions that the Constitution's Bill of Rights protects all citizens equally.

Statistics South Africa [Stats SA] (2013) reveals some startling statistics on the extent of unemployment and schooling in the labour sending areas and host communities, which points to the deep-rooted social problems that the BPDM has to confront. Population dynamics of the Nyandeni (labour sending area) local municipality, OR Tambo District Municipality, in the Eastern Cape Province are depicted below (Figure

1.2) and contrasted with the same variables in the Madibeng host communities, in the North-West Province. The OR Tambo district is a former Transkei 'independent' homeland and continues to experience the cruelty of the natural mineral 'resource curse' (Auty, 1993). Youth unemployment and education dynamics in the Bojanala and OR Tambo district municipalities reveal some startling discrepancies. The percentage of people with no schooling in the Nyandeni municipality (18%) is more than double that in Madibeng (8%) (Stats SA, 2013). Additionally, the rate of youth unemployment in the Nyandeni municipality is about 17% more than the rate of youth unemployment in South Africa in 2011. The South African census or survey of the population is taken every ten years, with the most recent statistics being recorded in 2011. Despite the infrastructure development and introduction of social wage polices such as, free basic education in South Africa challenges of high unemployment are more prevalent in the North West Province (Statistics South Africa, 2017).

The staggering discrepancies and signs of social imbalance in the 'Madibeng-Nyandeni-corridor' cannot be precluded as a cause of the social discontent, labour agitation and violent protests experienced at Marikana in Madibeng local municipality. Although the study explains contextual issues in relation to capacity development of service delivery structures and programmes from the municipal managers' perspective, the challenge of non-resilient social networks rooted in the myriad social fields, including the heterogeneous mobile society could be used as an opportunity to create robust social cohesion and collaborative municipal structures.

Figure 1. 2: Bojanala and OR Tambo percentage population dynamics



Source: Stats SA (2013).

The demographic profile of the BPDM municipalities indicates huge discrepancies in terms of population distribution, with the most populated and least populated per square-metre in Madibeng and Kgetlengrivier local municipalities respectively. An analysis of the demographic profile of the BPDM in Table 1.1 indicates that the Madibeng and Rustenburg local municipalities are densely populated. Rustenburg is the most populated and has the second smallest surface area. The highest population density, that is, population per square-kilometre (people/km²) is in Rustenburg and Madibeng at 183 and 389 (people/km²) respectively, whereas Kgetlengrivier and Moses Kotane are low at 15 and 43 (people/km²) respectively. The population in the BPDM increased by about 10% in five years (2011-2016).

Table 1. 1: Bojanala Platinum District Municipality population density

Municipality	Population				Area (km²)		Population density (Population/km²)	
	2011 (number)	2011 (%)	*2016 (number)*	2016 (%)			2011	2016
Bojanala District	*1 507 506*	100%	*1 657 060*	100%	18 370	100%	82	90
Moretele	*186 947*	12%	*189 900*	11%	3 847	21%	49	49
Moses Kotane	*242 554*	16%	*243 600*	15%	5 731	31%	42	43
Madibeng	*477 381*	32%	*537 500*	32%	1 382	7%	345	389
Rustenburg	*549 575*	37%	*626 500*	38%	3 430	19%	160	183
Kgetleng River	*51 049*	3%	*59 560*	4%	3981	22%	13	15

Source: Stats SA (2013; 2016**).**

In a rural municipality, a sparsely spread population over a vast area is likely to experience challenges in relation to accessing municipal services such water, energy and sanitation due to costly transportation over long-distance and difficult provisioning of other provincial and national services over huge areas. Difficult access to local economic opportunities could be one reason for the high youth unemployment rate in the Moses Kotane (47%) and Moretele (57%) local municipalities. Dubihlela and Volschenk (2017) point out that the youth unemployment rate in the Bojanala District could be attributed to the gap between their level of education and the employment requirements. Improving youth education with industry-specific skills may optimise their chances of being absorbed into the employment; consequently contribute to improved relations between host communities and the mines.

The following section delves into the legislative and policy context.

1.2.3 Legislative and policy context

Service delivery is premised on the objectives, declared policies and legislative frameworks that provide an enabling environment that promotes administrative processes. Understanding of the common legislative imperatives associated with maximising governance issues in both the mining and local government environments

clarifies how best local governments could effectively use their own resources. The provision of an enabling environment is envisioned to empower local municipalities to take the lead in developing the capacity to improve service delivery.

Existing legislative tools point to a number of understandings around capacity. The legislative prescripts advance the motivation for planning and implementation of workplace skills training and organisational capacity development. Skills training is legislated in the Skills Development Act (1998) to redress workplace skills deficit among the HDSAs. The legislation, therefore, envisions that workplace skills training could result in some economic spin-offs and enhanced social capital. The study delves into some key managerial skills deficits and population dynamics in relation to the BPDM, where the Auditor-General Report (2018) outlines a gloomy picture of non-compliance with the Local Government Municipal Finance Management Act (56 of 2003). Provision of public service is premised on the objectives and policies within the local government administrative processes. The BPDM service delivery roles are located in the powers and functions of local government. The White Paper on Local Government (Department of Co-operative Governance and Traditional Affairs, 1998) and the Constitution of the Republic of South Africa of 1996 spell out the establishment of municipal capacity development systems, structures, powers and functions of local government. Section 152 of the Constitution stipulates that local municipalities promote socio-economic development and involvement of communities in matters of local government. Organisational capacity development includes efficient planning, and effective implementation of socio-economic policies and strategies, which are inseparable from the larger Constitutional mandate (section 25.4), access to natural mineral resources and transformation of societies. Local municipalities in the mineral-led economy have not succeeded in aligning the Integrated Development Plan (IDP) and the Social and Labour Plan (SLP) to develop host communities (Department of Mineral Resources [DMR], 2015).

Access to natural resources also features in numerous pieces of legislation. The Constitution of the Republic of South Africa (1996) section 24 advocates for citizens to equitably access and develop natural resources for economic and social development. Accordingly, profits from extractive capital are meant to be directed towards appropriate institutions for social development and economic advancement of the host and labour sending communities, consistent with the Mineral Petroleum Resource Development Act 28 of 2002 (MPRDA). The integration of legislation and the Broad-Based Socio-Economic Empowerment Charter (Mining Charter) framework affirms that equitable access to South Africa's natural resources could facilitate adequate implementation of skills training and mentorship programmes. Thus, the training of labour could have long-term sustainable economic spin-offs with downstream business opportunities and benefits for strengthening social capital or purposeful social networks of the host community.

The municipalities in South Africa are classified into seven categories. The study acknowledges these categories as they point out to some features and the nature of the metropolitan, district or local municipalities that impact on service delivery. The Constitution of South Africa Act 106 (1996) makes provision for three categories of municipalities, that is, metropolitan, district and local municipalities. There are 278 municipalities in South Africa, comprising eight metropolitans, 44 district and 226 local municipalities (Government Communications, 2020). The following categories were introduced to understand difficulties facing municipalities over time and understand how to address them:

A: Metros: Large urban complexes with populations over 1 million and accounting for 56% of all municipal expenditure in the country;

B1: Local Municipalities with large budgets and containing secondary cities;

B2: Local Municipalities with a large town as a core;

B3: Local Municipalities with small towns, with relatively small population and significant proportion of urban population but with no large town as a core;

B4: Local Municipalities which are mainly rural with communal tenure and with, at most, one or two small towns in their area;
C1: District Municipalities which are not water service authorities; and
C2: District Municipalities which are water service authorities.
The Bojanala Platinum District Municipality does not have a metro and has the following categories: Bojanala District, C1; and five local municipalities: Rustenburg, B1; Madibeng, B1; Kgetlengrivier, B3; Moses Kotane, B4 and Moretele, B4.

State legislative role players are entrusted with the political power and will to address policy and skills implementation deficits, and accordingly turn labour into empowered resourceful workplace-change agents as discussed in below.

1.2.4 Skills development context

Skills development programmes seek to redress shortage of skills and limited economic growth that contribute to high levels of unemployment. In South Africa skills development is located in the post-school education system. Shava and Maramura (2016) argue that in the South African context the youth skills development programmes should endeavour to narrow the skills gap, provide training that matches the needs of the employment or industries and enable them to create their own employment. Although the historic economic marginalisation and skills deficit among the HDSAs is a challenge to service delivery in South Africa, the dawn of democracy has demonstrated a political will to redress lack of workplace skills training. From the perspective of national leadership, President Mandela (1994) in his first state of the nation address (SONA) alluded that the public and private sectors were encouraged to regard labour as a resource and not a cost. In addition, he points out that education and training should be used to ensure appropriate skills transfer and empowerment of workers.

Literature indicates that despite the huge investment in skills development South Africa continues to experience skills-flight to other countries. A “shortage of skills due to lack

of investment in skills development and weak training systems is likely to affect the quality and quantity of industrial development outputs" (Richardson, 2007, p.8). A lack of skills limits economic growth and contributes to high levels of unemployment (Rasool, Botha & Bisschoff, 2012). Statistics South Africa (2017) points out that an individual's educational level is closely related to poverty, and among all population groups Africans carried the overwhelming share of poverty in 2006 at 91,5% and rose to 93,0% in 2015. However, despite huge investment in skills development many South African skilled professionals migrated to other parts of the world in the post-Apartheid dispensation for fear of effects of the Affirmative Action Policy, crime and violence (Crush and McDonald, 2002).

Global and local South African industries experience a shortage of skilled employees to establish and sustain a productive economy. Manpower Group (2015) highlights skills trades as a top skill shortage both globally and in South Africa. The Mining Qualification Authority (2014) reports operational and trades professions among areas of top skills shortage in the South African mining and mineral sector (MMS) followed by professionals.

Several state institutions take measures to address skills shortage at a post-school education level. Analysis of the 2007-2012 post-school education support in South Africa indicates that annual tuition fees at universities increased from R13 000 to R21 000, an average growth of 62% (Department of Higher Education and Training [DHET], 2015) in five years. Despite this huge allocation of the fiscus towards a transformative education system, there is a huge disparity in relation to gender and racial equality in the engineering and mining sectors.

This study explores the current workplace racial and gender distribution, especially at senior level. Mining Qualifications Authority and Engineering Council of South Africa illustrate huge inequality with Whites dominating the managerial and professional positions. As such, this study examines how race and gender imbalances could manifest

in a bias against development of African managers and professional technicians in the mineral and mining sector (MMS). Africans make only 34.3% of management despite being in the majority at 84.8% in the mining sector (MQA, 2014). The Engineering Council of South Africa [ECSA] (2014) asserts that most engineers are White (65.4%), which is consistent with the national picture of 59% Whites in management positions in the mining sector (Mining Qualifications Authority [MQA], 2014). The National Engineering Skills Survey in the ECSA (2014) report reveals a ratio of African to White managers at 1:3. In the mining sector female engineers constitute only 12.1% (ECSA, 2014). Statistics indicates that in 2012 only 14.4% of the employees in the MMS were female, that is, 12.2% African female and 2% White female (MQA, 2014). As such, the MQA skills development intervention programmes have not succeeded in advancing skills development in relation to women in the sector.

In the South African context of the historic workplace racial discrimination at senior level, the distribution of management positions represented in Table 1.2 indicates that 5 031 Africans make only 34.3% of management despite being in the majority at, 477 835 (84.8%), whereas Whites constitute 59.0% of management in the mineral and mining sector. The mining sector has failed to meet the 2014 target of 40% for HDSA at management level as per the Mineral Petroleum Resource Development Act 28 of 2002 (MPRDA). Research indicates that the South African MMS is racially divided in relation to acquisition of rare technical skills and managerial appointments. Of every 100 Africans there are only 20 trades workers, up to and including professionals and management categories, and 87 Whites in the same categories (MQA, 2014), thus a ratio of Africans to Whites at 1:5 at decision-making levels.

Table 1. 2: Sector-specific occupational skills mining sector

Occupational Group	African		Coloured		Indian		White		Grand Total
	Number	%	Number	%	Number	%	Number	%	
Managers	5031	1%	502	4%	487	18%	8656	12%	14676
Professionals	13604	3%	1103	8%	781	28%	10891	16%	26379
Technicians	38698	8%	1944	15%	529	19%	19693	28%	60864
Clerical support workers	14865	3%	1331	10%	419	15%	6537	9%	23152
Service and sales workers	5382	1%	207	2%	24	1%	709	1%	6322
Trades Workers	20066	4%	1810	14%	258	9%	14852	21%	36986
Plant and machine 0perators	235107	49%	4260	32%	194	7%	4775	7%	244336
Elementary occupations	145082	30%	2202	16%	74	3%	3256	5%	150614
Grand Total	477 835 *(84.8%)*	100%	13 359 *(2.4%)*	100%	2 766 *(0.5%)*	100%	69 369 *(12.3%)*	100%	563 329

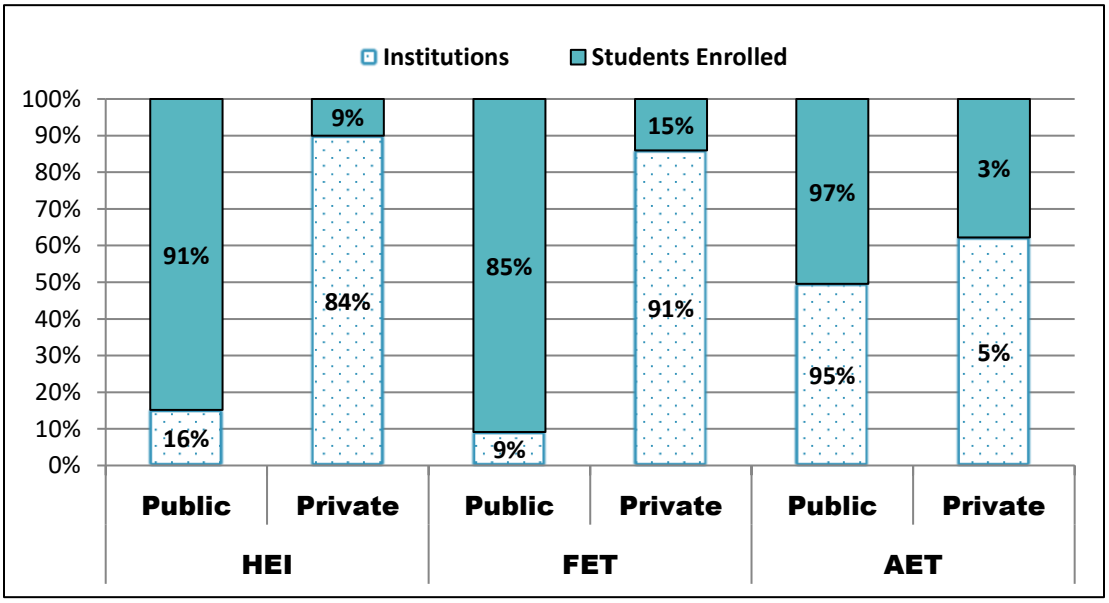
Source: Mining Qualifications Authority (2014).

Most Africans are machine operators and at elementary occupations, whereas Whites are technicians and trades workers. The study also reveals that concerning additional qualifications most have acquired business qualifications, but few acquired human management qualifications, 50(0.5%). The argument is that most of the technically qualified engineers and decision makers would be ill equipped to champion human resource development, and navigate through issues related to equitable access to skills training programmes. It would be difficult to justify the existence and support of institutions, for example, the MQA plays an oversight role on transformative programmes but fails to challenge the Apartheid *status quo*, given the unfulfilled sector-based mandate to train and empower the HDSAs accordingly.

The Department of Higher Education and Training, [DHET], (2015) highlights the significant roles and activities in support of transformation in post-school environment. Public High Education Institutions (HEIs) in Figure 1.3 are fewer (16%) than private (84%) HEIs. An analysis of student uptake in FET centres indicates that out of a

hundred colleges only nine are in the public sector, with 85% of the total load of learners (DHET, 2015). Most importantly, for every one public FET college, there are 10 private FETs. The skewed picture whereupon 91% of FET colleges are in the private sector, despite huge expenditure on public education indicates an inefficient SETA training system. The public sector is performing poorly in terms of providing FET Colleges compared to private institutions.

Figure 1. 3: Post-school education and training institutions in 2012



Source: Department of Higher Education and Training (2015).

In the 2012/2013 financial year there were 4 028 total post-school institutions and student enrolment of 2 139 204, moreover, 95% of Adult Education and Training Centres (AET) are registered with the public sector (DHET, 2015). A total of R74 898 359.00 was spent on public post-school education in the 2011/12-2012/13 financial year with 77% and 18% allocated in the HEIs and FETs respectively. Nonetheless, the public sector has not succeeded in the effective acquisition and utilisation of the requisite skills to improve public service delivery.

In addition to the roles of SETAs, colleges and other training centres alluded to in the foregoing section, this study explores the role of foreign direct investments (FDI) in local municipal development. Development of local municipalities embedded within an extractive economy is influenced by initiatives related to FDI. However, diverse literature perspectives (in section 2.9.3) suggest that multinational companies, despite being the main employer, are distrusted by the society. This view is advanced in the context of inequality and poverty in the presence of FDI. Typically, FDI in mining sector projects and related activities could promote industry-specific skills spill-over and support downstream economic advancement, especially needed after mining closure.

Murray (1981) argues that South Africa is heavily dependent on migrant labour, especially in the mining sector, with southern African countries being major labour senders. The availability of requisite skills is central to a developmental state and South Africa continues to attract skilled immigrants, who could potentially integrate skilled labour into the mainstream economy (Mateus, Allen-Ile & Iwu; 2014). However, huge fluctuations and volatility of extractive capital affects employment, and harms the mining-dependent economy. Continuing reliance on the unpredictable extractive FDI-dependent economy is often associated with downsizing and retrenchments. The dependence on FDI has an array of impediments to successful implementation of the socio-economic mandate of the host local municipalities.

The formal economy in the municipalities endowed with natural resources is dominated by foreign direct investment (FDI). In the African continent, South Africa was the biggest FDI recipient ($8.2 billion or R115 billion) in 2013 and Mozambique received $5.9 billion or R83 billion. The FDI flowing into Southern Africa almost doubled from $6.7 billion or R394 billion in 2012 to $13 billion or R765 billion in 2013, in the main, due to infrastructure development and investments in the Mozambique gas sector. Africa recorded a 4% increase in FDI from 2012 to 2013 (South African Institute of

Race Relations, 2014). Investment in infrastructure and skills development could promote economic opportunities and return on investment for municipalities.

In the South African context three provinces are dependent on the extractive economy. Limpopo and Mpumalanga are the second and third mining-dependent provinces respectively in relation to their contribution to the total mining GDP. North West Province has the highest GDP contribution at 25% of the total national mining GDP of R270.1billion, whereas Bojanala district, the 'platinum belt' is the major contributor to the total mining GDP in South Africa (South African Institute of Race Relations, 2014).

In the context of the mineral endowed local municipalities, opportunities for education and skills training are affected because of continued reliance on the fluctuating extractive FDI economy. The FDI economy is associated with employee downsizing and retrenchments. These issues impact negatively on the functionality and financial viability of host local municipalities to deliver quality public service. It is my belief that, although it is not the objective of the research study to examine the intersection of the local government and mining companies, knowledge of the space has assisted in understanding the underlying factors that impact on service delivery.

Against the backdrop of the foregoing context, I developed motivation for the research study. The next section focuses on the research problem, including knowledge gap, purpose and objectives, research questions and significance of the study.

1.3 Research problem

This section identifies the problem that the study seeks to address, and associated knowledge gaps. The Bojanala Platinum District Municipality experiences poor service delivery, and acquisition of skills to comply with the service delivery legislative (Bojanala Platinum District Municipality, 2016). The BPDM is influenced by the

problem of services not being delivered and capacity development programmes not well functioning or meeting their desired outcomes – stronger capacity.

The following section discusses the knowledge gap.

1.3.1 Knowledge Gap

Institutions are environments that enable learning through human capital development of the organisation (Becker, 1993; Zula & Chermack, 2007). Many studies and respective theories focus on issues related to performance improvement (Swanson, 1999; Rummler & Brache, 1988) and civil collaborative governance (Ansell & Gash, 2007; Waheduzzaman & Mphande, 2012). Section 3.2 discusses the theories. Little is known how to overcome service delivery challenges related to lack of technical skills, dysfunctional Labour partnership and instability of the municipal executive management teams (Bojanala Platinum District Municipality, 2016; Madibeng Local Municipality, 2015). The reviewed research studies tend to take a quantitative approach, with limited data on municipal capacity development – where services are ultimately delivered. This thesis maps out the richness of other relevant studies in the area of capacity development and explores how to address a critical research gap: The study advances issues at the interface of human capital, performance improvement, and collaborative participation and peculiar to capacity development of service delivery structures and programmes. The study points out the knowledge gap in relation to aspects of capacity development, service delivery and the environment setting in the mining sector.

Literature suggests that key inhibitors to service delivery are inadequate skills and management capacity, which tend to be exacerbated in poorly supported local municipalities. In the South African context, inadequate expertise and management capacity are key attributes to service delivery backlogs (Roux & Nyamukachi, 2005). Notwithstanding, the skills deficit in relation to capacity development of service delivery structures and programmes, local municipalities are “poorly funded and

institutionally weak" (Guillermo, Burki & Dillinger, 1999, p.94). The challenges to progressively achieve capacity developmental goals therefore persist (UNDP, 2009; Otto et al., 2009). Hope (2011) argues that capacity development relates to achievement of societal goals, management of partnerships and development of an enabling environment for civil society and the private sector. The literature, therefore, suggests that lack of funding results in difficulties in the acquisition of key expertise and weak local government structures. Subsequently, inadequate capacity weighs heavily on progressive achievement of service delivery goals.

Provision of basic resources is not limited to the local government sphere of governance. A collaborative public private partnership enhances capacity and the provision of municipal services. Service delivery entails the offer of a consistent and satisfactory service experience and distribution of basic resources, that is infrastructure and sanitation, to the community (Ndebele & Lavhelani, 2017; Mugambi & Kiruthu, 2015; Nealer, 2014). The legacy of infrastructure backlog and inadequate management capacity constraints service delivery, subsequently, results in societal protests that exacerbate implementation of collaborative public private partnership programmes (Roux & Nyamukachi, 2005; Ncube, 2014; Mpofu & Hlatywayo, 2015; Govender, 2014). The satisfactory delivery of basic resources in conjunction with the private sector and optimisation of management capacity improves performance of services of municipalities (Shava & Maramura, 2016). These studies on service delivery identify adequate management capacity and collaborative stakeholder participation as enablers in relation to optimisation of delivery of services.

The presence of the mining companies adds an economic spin that penetrates across the social and political environments, literature suggests. Municipalities endowed with natural resources particularly experience the influence of elites with political interference that impacts on the quality of service delivery (Horowitz, 2011; Dzansi, Chipunza, & Monnapula-Mapesela, 2016). To some extent, lack of political leadership puts community participation at risk, coupled with the breakdown in service delivery

and violent societal demonstrations (Naidoo, 2011; Govender, 2014). Typical enclave economies in rural areas do not use mining royalties to invest in education infrastructure (Opalo, 2014; Hilson, 2001), housing, and transport (Shaw, 1979). In addition to the enclave economies, Mhone (1995) contends that there is a relationship that represents the shrinking of the mining-dependent local informal sector in the host communities. Accordingly, a consultative political leadership that prioritises community needs, investment in education and housing structures would ameliorate the impact of negative social-ills related to unemployment and fragmented family units.

The study employs scholarly debates on three theories that bear some relevance to the research study. The three theories, that is, human capital, performance improvement and collaborative governance theories, however, separately expound on particular elements in relation to capacity development without emphasis on service delivery. To cite an example, Human capital theory explains that investment in human capital through education and effective training programmes enhances skills development and productivity at workplace (Becker, 1993; Zula & Chermack, 2007). Thus, the theories further discussed in Chapter Three, have a particular distinctive leaning with some relevance to this study, they do not present what this study is about; that is capacity development of service delivery structures and programmes, hence there is a knowledge gap.

A key limitation is inadequate description of issues relevant to capacity development of service delivery structures and programmes. Bearing this in mind, my study seeks to explore the interface of capacity development elements common to human capital, performance improvement, and collaborative participation. Moreover, examined elements individually have components that contribute to understanding of organisational challenges in relation to utilisation of resources and programmes.

Given the capacity development of service delivery structures and programmes challenges experienced in the BPDM, little is known about the measures employed to

overcome them. The distinctive elements related to capacity development in this study, advance the understanding of organisational challenges that could impact on how effective organisational structures and programmes deliver services. Literature expands on how management enablers, and organisational systems and arrangements influence the effectiveness of organisational structures and programmes in relation to enhancing service delivery. Organisational effectiveness has elements of a harmonised combination of knowledge management enablers, monitoring of systems, collaborative coalitions, and quality of services (Lusthaus, Anderson & Murphy, 1995; Yeh, Lai & Ho, 2006).

The following section unpacks the research purpose and objectives.

1.3.2 Research Purpose and Objectives

This section explains the Research Purpose and the Research Objectives.

1.3.2.1 Research Purpose

The purpose of this study is to examine challenges related to the use of capacity development resources and programmes tied to service delivery in the Bojanala Platinum District local municipalities and to explore the ways in which they can be overcome for enhanced service delivery.

This research aims to contribute empirically based findings to enhance capacity development of service delivery structures and programmes on human capital, performance improvement, and participation in the local government endowed with natural resources. In addition, the study contributes to the body of knowledge in relation to capacity development of service delivery structures and programmes.

1.3.2.2 Research objectives

This section identifies research objectives that explain the research questions and operationalise the research. The objectives of the research are to:

a) Examine how capacity development structures and programmes aim to enhance service delivery in the BPDM.
b) Identify the facilitators and inhibitors of capacity development initiative in relation to service delivery programmes.
c) Describe the relationship of local partner (mining company) with municipalities in relation to service delivery programmes.
d) Explore how municipalities can better utilise their capacity development resources and partner better with mining companies to ensure stronger service delivery results.

The following section describes the main question and research questions.

1.3.3 Research questions

This research seeks to answer the following primary question: What are the challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities, and how can they be overcome?

Sub-questions that support the study include:

a) What are the structures and programmes for enhancing capacity development to deliver services and what lessons do the experiences show to date?
b) What are the facilitators and inhibitors of skills development initiatives in relation to implementing service delivery programmes?
c) How do local mining companies contribute to capacity development in enhancing service delivery?
d) How can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results?

The following section discusses significance of the study.

1.3.4 Significance of the study

The significance of the study is important in numerous respects. The thesis contributes to theoretical perspectives of issues related to skills development, municipal performance and participatory governance. Accordingly, the study employs the conceptual idea to enhance the contextual understanding of identified findings in relation to the phenomenon of capacity development of service delivery structures and programmes in the local municipalities.

The thesis explains structures, programmes, facilitators and inhibitors of skills development initiatives in relation to municipal capacity development of service delivery structures and programmes based on the socio-political environment of the municipalities. The human capital, performance improvement and collaborative participatory theories are utilised to explain the use of resources and programmes in relation to public service delivery. Accordingly, operationalising the shared perspectives of identified theories and failure of the application thereof in some contexts, allows this thesis to expand upon existing research studies, and contribute to the body of knowledge in relation to capacity development.

Lastly, the study is significant for better organisational practice. Among other practices, management oversees budgeting processes, acquisition of skilled staff and collaborative partnerships with key stakeholders in relation to optimisation of service delivery. The study not only provides better organisational practices to the benefit of the BPDM, but also, suggests tools to improve capacity development in relation to service delivery.

1.3.5 Outline of the chapters

Chapter One: Introduction

This chapter outlines of the research study by explaining the background of the study and the research problem. The background expounds on the contextual perspectives that explain the rationale and motivation for conducting the study. The chapter also

reveals the critical questions that seek to explain the problem and challenges to utilising capacity development resources and programmes in relation to service delivery. Finally, the section explains the significance of the research.

Chapter Two: Literature review

This chapter reviews the literature on the capacity development in relation to service delivery. This chapter examines the theoretical perspectives in relation capacity development of service delivery structures and programmes. The chapter also discusses some of the models that underpin the operationalisation of the theoretic perspectives. Knowledge management, mentoring and change management capture the essence of capacity development of service delivery structures and programmes in the local government sphere. The extractive economy has a direct impact on the nature of governance structures and socio-economic issues. The difficulties associated with capacity development prompt further examination of inter-municipal governance, against the collaborative nature of the five rural local municipalities.

Chapter Three: Framing service delivery capacity

Issues derived from the literature review inform the development of the study's theoretical framework and conceptual framework. A conceptual framework is developed, identifying gaps and areas where consensus is lacking on the issues in the literature. In addition, this chapter examines the human capital theory, performance improvement theory, and collaborative governance theory generated from the distinct elements associated with the literature review. Shortcomings are also outlined because naturally theoretical perspectives have limitations.

Chapter Four: Research methodology

This chapter presents the research methodology which includes the research approach, research design, data collection and analysis. It also describes the rationale for using semi-structured interviews, documentary analysis and the descriptive statistics component. The section on primary data collection presents explanations and

justification for the sampling design employed in this study. Lastly, issues of validity, limitations and ethical considerations are addressed.

Chapter Five: Findings: Administrative interference, poor skills retention and organisational relations

This chapter presents and discusses the in-depth interview data, questionnaires, and data from the documentary analysis, identifying trends and patterns. The data reflects links between skills development, performance improvement, and collaborative participation with respect to capacity development of service delivery structures and programmes in BPDM.

Chapter Six: Analysis of findings: Socio-political resilience and administrative interference

This chapter presents in-depth data analysis of the case study employing a number of techniques, including data codification, structuring and integration. Data analysis of in-depth interviews, questionnaires, and documentary analysis generates categories. Highlighting the similarities and differences between the empirical evidence and theoretical evidence, the chapter underscores the link between the research data and the problem statement. Furthermore, the analysis reveals how capacity development impacts on service delivery in BPDM.

Chapter Seven: Conclusions and recommendations

The study advances conclusions and recommendations consistent with the findings, thematic conclusions, and general conclusions. Thematic conclusions explain skills retention, organisational relations, and socio-political capacity building with respect to capacity development of service delivery structures and programmes. The chapter also shows the contribution of theoretical perspectives to service capacity development, and provides recommendations and areas for further research.

In the following section, Chapter Two pulls together sufficient interdisciplinary scholastic conversations on the topic.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The main purpose of the study is among others to demonstrate a familiarity with a body of knowledge and establish credibility; show the path of prior research and how this study is linked, integrate and summarise what is known in an area; learn from others and stimulate new ideas consistent with Neuman (2006). This process consistent with Terreblanche and Durrheim (1999) includes, identifying relevant sources and the construction of an account integrating and explaining relevant sources. Furthermore, this chapter examines and reviews the literature on capacity development in relation to service delivery. The review focuses on the relationship between employee skills development, municipal performance improvement and collaborative participation issues generated in the framing of the study. The study employs references to the international literature key debates, in the main, qualitative in nature with the purpose of benchmarking and deriving some lessons relevant to service delivery. The study undertakes a robust iteration process of literature to answer the question of challenges of utilisation of capacity development resources and programmes in the BPDM local municipalities, and how they can be overcome. The process constructs similarities, dissimilarities, conflicts and inconsistencies in the international debates that left me with some questions and gaps, thus the motivation to employ knowledge management, mentoring and capacity development of service delivery structures and programmes models.

This chapter outlines a logical flow of scholastic conversations premised on elements of the conceptual framework, that is, human capital development, performance improvement and collaborative governance.

The thesis demonstrates in a tabular form a systemic and logical flow of discussions in this chapter, see Table 2.1. Section 2.2, section 2.3 and section 2.4, together integrate interdisciplinary scholarly dialogues on capacity development. The focus on knowledge management (section 2.5), mentoring (section 2.6) and change management (section 2.7) models is motivated by the question "*what drivers could enable effective functionality of knowledge workers and organisational systems in relation to capacity development of service delivery structures and programmes?"*

In addition to capacity development, other critical themes relating to this study, for instance service delivery and natural resource governance are woven into the discussions. Lastly, the study critically reflects on the political, economic, rurality of local municipalities and social external environmental factors that enable or inhibit the utilisation of resources and programmes in relation to service delivery. These aspects are discussed in section 2.8, section 2.9, section 2.10 and section 2.11. The review of literature includes a focus area examining literature and eliciting insights from other country experiences, internationally. This chapter, therefore, undertakes a robust examination of the literature on international experiences in relation to the research questions on structures and programmes for enhancing capacity development, facilitators and inhibitors of service delivery including roles of local partners. The literature also expands on how corruption impedes development and governance in the extractive economy dependent municipalities.

Table 2. 1: Integration of literature review and problem statement

Theories (section 3.2)	**Human capital** (section 3.2.1)	**Performance improvement** (section 3.2.2)	**Collaborative governance** (section 3.2.3)
Conceptual Framework (section 3.3)	Skills development (section 3.3.1)	Municipal performance (Section 3.3.2)	Organisational Collaborative participation (section 3.3.3)
Research Problem	Acquisition and development of relevant employee skills (section 2.2)	Compliance and implementation of municipal legislative mandates (section 2.3)	Heterogeneous and mobile population; collaborative partnerships (section 2.4)
Main Question	Utilisation of resources and functionality of programmes.	Challenging public service delivery.	Natural resource endowed municipality.
Research Questions	Structures and programmes, facilitators and inhibitors of skills development initiatives.	Service delivery programmes, enablers and inhibitors.	Partnership with private sector and service delivery improvement.
Operational Models	Knowledge management (section 2.5)	Mentoring (section 2.6)	Change management (section 2.7)
Government capacity, governance and the Economy	Global local government capacity (section 2.8) Extractive economy and socio-economic issues (section 2.10)		Extractive economy and governance (section 2.9) Concepts of rurality and municipal governance (section 2.11)

Source: Own (2016).

Section 2.2 integrates various coherent strands, that is, human resource development, human capital and employee retention in the context of capacity development in relation to service delivery.

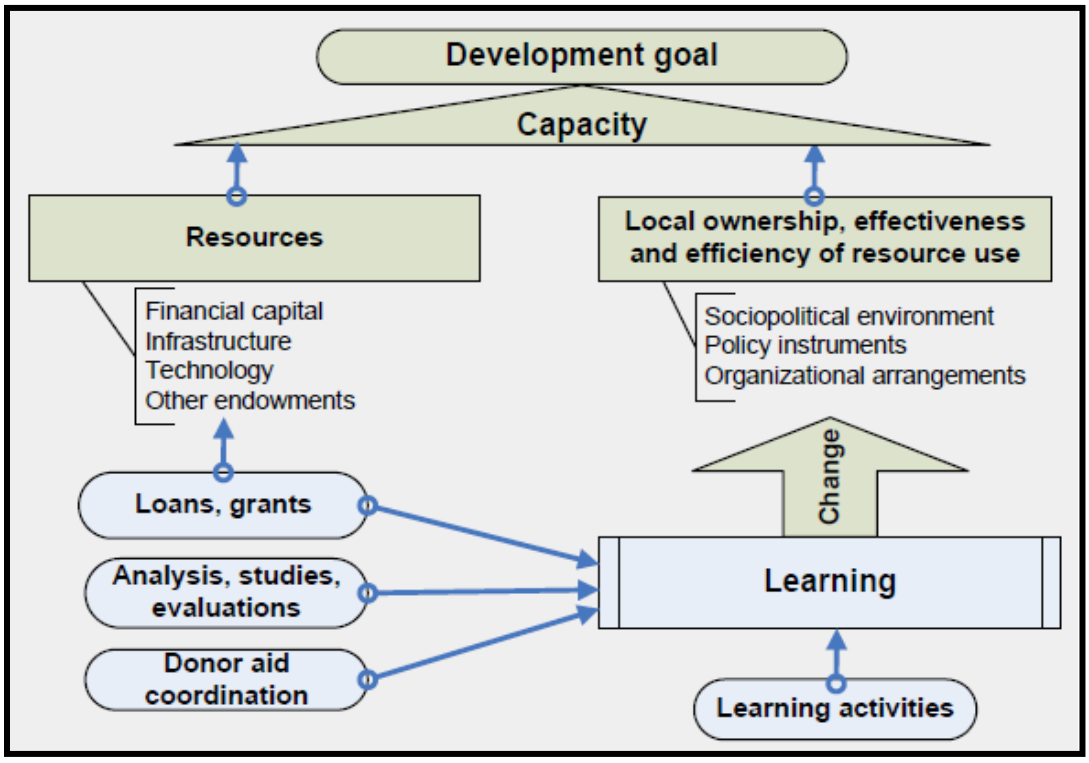
2.2. Employee skills development

This section delves into organisational effectiveness and performance consistent with the adapted organisational performance framework in relation to employee skills development. The explored skills development issues derived from the human capital

framework pull together municipal capacity development and human resource development aspects in relation to resource acquisition and utilisation. “Capacity development is the process whereby people, organisations and society unleash, strengthen, adapt and maintain capacity over time” (Organisation for Economic Co-operation and Development [OECD], 2008, p.244); moreover, it entails achievement of societal goals, management of partnerships and development of an enabling environment for civil society and the private sector (Hope, 2011).

Figure 2.1 illustrates that capacity development is a “locally driven process of learning by leaders, coalitions and other agents of change that bring about changes in socio-political, policy-related, and organisational factors to enhance local ownership, effectiveness and efficiency of efforts to achieve a development goal” (Otto et al., 2009, p.9). King (1992) argues that ‘capacity’ used to be about management of structural adjustment through local ownership of resources and local human resource development. However, capacity recently advances learning in the form of governance and institutional innovations to enhance efficiency and accountability in the mobilisation and control of national resources. Research studies define institutions as environments stable with recurring patterns of behaviour that enable learning ((Brinkerhoff & Goldsmith, 1992; Ouseley-Torrezao, 2013).

Figure 2. 1 Capacity development process



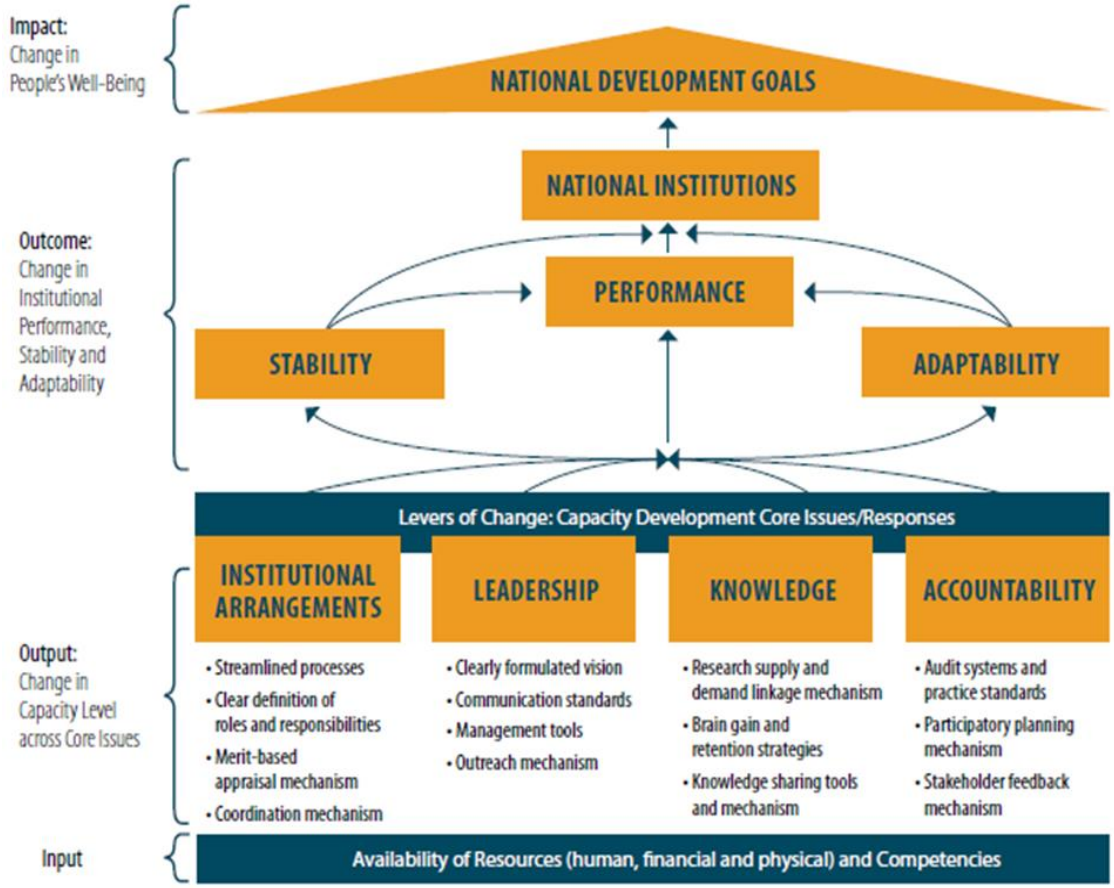
Source: Otto, Agapitova and Behrens (2009).

This study is on Capacity development of service delivery structures and programmes. In the South African local government context, service delivery describes the distribution of basic resources that citizens depend on, such as water, electricity, sanitation, infrastructure, land, and housing (Ndebele & Lavhelani, 2017). These basic resources are affirmed within the service delivery framework (Mugambi & Kiruthu, 2015), therefore, is the provision of goods and services for economic and social satisfaction of the society (Nealer, 2014; Gilbert, Colley and Roberts, 2016). For this study the ideal service delivery is described as the equitable provision of quality goods and services in collaboration with and to the satisfaction of the society.

Further views on service delivery are deliberated in section 2.11. In this section the study pulls together a confluence of the contemporary scholastic discourse, advances the nexus of attributes to capacity development in relation to service delivery, and

adapts the approaches to this study to the capacity development framework in Figure 2.2. The framework shows the various instrumental components for assessment of capacity development of an organisation, premised on inputs, outputs, outcomes and impacts. According to the framework institutional arrangements, leadership, knowledge and accountability are levers of change that feed off the inputs, that is, human, financial and physical resources (UNDP, 2009). Efficient structuring and harmonious operationalisation of the outputs generate interwoven outcomes, that is, stability, adaptability and performance. The UNDP (2009) framework indicates a similar approach to examination of capacity development in Otto et al. (2009) in that both models emphasise progressive change towards achievement of developmental goals.

Figure 2. 2: Capacity development assessment framework



Source: UNDP (2009).

2.2.1 Human resource development

Local government faces challenges of how to operationalise capacity development-related policies and programmes. In this study, literature advances the argument that human resource development (HRD) is responsible to effect capacity development initiatives. As such, HRD is perceived as a primary tool to advance knowledge and relevant skills across both internal and external workplace environments and partners. The motivation to delve into the HRD aspects is against the historic context of the South African mining sector that is in a perennial state of failure linked to a relations-building deficit with local municipalities and inadequate development of host communities. Lufunyo (2015) suggests that human resource capacity challenges manifest in three-dimensions as: policy related, organisation skills-related and performance motivation-related. The question is does human capacity development improve service delivery?

Human resource development (HRD) operationalises the phenomenon of capacity development in relation to difficulties experienced in resource allocation and utilisation. Hope (2011) argues that capacity development is not a stand-alone training. In line with Hope (2011), Budhwani and McLean (2012) assert that capacity development cuts across all sectors and their research findings reveal how HRD serves as a primary method in community development programmes in a Minnesota community and how it was instrumental in community leadership and team building.

Harbison and Myers (1964) first coined definition of HRD as the process of increasing knowledge, skills and capacities of all people in society. However, Rothwell and Kansas (1994) elaborately define HRD in the context of changing an organisation, employees, and stakeholders outside and inside the organisation. Societal HRD (Soc HRD) practitioners are functional role players to achieve the needs of the society (Wiig, 2007; Griffiths & Koukpaki, 2012).

In summary, this study unpacks HRD in line with the definition in Rothwell and Kansas (1994), that is, in the context of changing an organisation, employees, and stakeholders outside and inside the organisation. Lufunyo (2015) argues that through the appointment of competent and skilled human capital, capacity development has the potential to improve local service delivery. Thus, consistent with the literature, increasing knowledge and skills capacities in the context of a developing organisation has the potential to facilitate socio-economic achievements of members of the community.

The foregoing discussion on HRD prompts the study to hone in on how municipal systems optimise responsiveness and efficiency in relation to acquisition, development and retention of employees. The following section delves into human capital development and employee retention.

2.2.2 Human capital development and employee retention

Challenges of human capital and employee retention could impede organisational capacity development initiatives. Subsequently, the skills deficit could rear its ugly head and stunt employee retention initiatives and quality of service delivery. In the South African context, the historic marginalisation of certain national groups from the main economic participation is rooted in inequality in the optimisation of human capital. In advancing a complimentary perspective to the argument that inequality hinders investment in human capital in the low economic band (Aghion, Caroli & Garcia-Peñalosa, 1999), Ward (2017) expands that inequality may enhance investment among high-income earners.

Consistent with good governance principles (UNDP, 2014), human resource development and skills retention should make provision for optimising efficiency in resource allocation, accountability and responsiveness to municipal challenges. In the South African context, retention of the HDSAs could promote a diverse organisational culture (Grobler, Warnich, Carrell, Elbert & Hatfield, 2006). Ngwenya and Botha

(2014) argue that poor working conditions and lack of better job opportunities make it difficult to recruit and retain capacity. Thus, any measures that ignore inequality, transformation and diversity challenges at workplace could disable and retard service delivery. It is against this background on human capital that the study explores issues and elements that could sustain employee retention for capacity development of service delivery structures and programmes.

The type of leadership that promotes employee autonomy, training and development could develop a workplace environment that is conducive for empowerment and retention of employees. Institutionalised organisational human resource practices, in the form of induction and training improve employee commitment, retention, loyalty towards employers and the institution (Bagga, 2013; Deery, 2008; Mehta, Dhankar & Kurbetti, 2014). To the contrary, Mehta, Dhankar and Kurbetti (2014) argue that it is important and difficult to retain talented employees under high unemployment levels. However, to some extent, an organisation's talent management practices, recruitment and retention policies can significantly reduce human resource attrition rates (Franckeiss, 2008).

Retention of talent could be through benefits, rewarding ‘best’ employees, good working conditions, cooperative teams and good bosses (Devi 2009; Deery, 2008). However, management must exercise parity in the provision of benefits. Mehta, Dhankar and Kurbetti (2014) refute that giving more money works, as it could have undesirable consequences in relation to other employees being resentful, demanding pay hikes and threatening to resign. Type of leadership style impacts on employee retention. A leadership style that empowers workers to carry out duties independently fosters autonomy and retention (Mehta, Dhankar & Kurbetti, 2014).

In summary skills development, as a practice to develop the workforce and part of organisational capacity development, HRD attempts to change an organisation, employees, and stakeholders outside and inside the organisation in the context of skills

development (section 2.2). However, economic inequality can be a deterrent to facilitation of human resource development (Bowles & Gintis, 1975). The question is what are enablers of employee skills development consistent with service delivery? Lufunyo (2015) argues that through the appointment of competent and skilled human capital, that is knowledge acquisition and embodiment of the workforce has the potential to improve local service delivery. The type of leadership style, allocation of benefits and compensation among employees could strengthen or dismantle the collective of the organisation to achieve capacity to deliver services.

In as much as human capital development is significant, as argued in the foregoing scholastic articles, other aspects such as motivation, recruitment policies and transformative management style suggest the necessity to enhance performance as explained in the next section.

2.3 Municipal performance improvement

In the public sector compliance with and implementation of municipal legislative mandates impact on efficiency and effectiveness of public services. Thus, the need for understanding of related components to advance performance and related nuances draws attention to contemporary literature in relation to optimisation of organisational performance. Debates on the advancement of Municipal performance improvement elevate the elements of municipal functionality and learning. Although some inconsistencies exist, literature points out how municipal functionality and learning in the nexus of skills retention and performance contribute to enhancement of capacity in organisational structures and programmes.

This section draws links to human capital and organisational performance in relation to municipal capacity enhancement, adapted from the Organisational Performance Framework (Lusthaus, Adrien, Anderson, & Carden, 1999), with emphasis on how individual skills development, motivation and employee retention could be effectively utilised to maximise governance. A local government in an extractive economy faces

complex performance challenges associated with understanding the nuances of the public sphere, especially in the context of political risks that are inseparable from activities of extractive industries (Desai & Jarvis, 2012).

The performance framework asserted in Lusthaus et al. (1999) (see Figure 2.3) could help decision making on issues related to improving performance capacity. The framework demonstrates that organisational performance is influenced by the external environment, organisational capacity, and motivation. Internal and external environmental scanning captured in the framework highlights issues and nuances that are a critical entry point for strengthening local municipalities. Lusthaus et al. (1995) argue that performance and institutional assessments serve as learning exercises to determine capacity gaps.

Figure 2. 3: **Organisational Performance Framework**



Source: Lusthaus, Adrien, Anderson and Carden (1999).

The study of retention of skills among local government managers in the South African context asserts that measures to retain staff include employer-employee engagement

sessions, reward and performance management system (Meyer, 2005; Munsamy & Venter, 2009). In addition, research scholars in the field of skills retention focus on employer value proposition (EVP) and public service motivation (PSM). Munsamy and Venter (2009, p. 1) define EVP as not only, "the measurement of the balance between an employee's performance and what he or she receives from the employer in return, but also, an employee's perception whether what he or she *receives* equals or exceeds what he or she *gives*". Employer value propositions (EVPs) are attributes associated with factors that employees consider to be of value in an organisation, such as remuneration, perceived career opportunities, and stability of the organisation (Fairhurst, 2007). To the contrary, the public service motivation (PSM) perspective is related to tendency to pursue public interests and instil positive motivation of individuals to carry out values and attitudes that surpass self-interest (Huang & Feeney, 2016; Vandenabeele, 2007). Literature debates express similarities and dissimilarities in relation to how employee engagement, autonomy and provision of incentives could encourage change and empowerment.

Glen (2006) argues that employee engagement and skills retention predictors, that is, information sharing and employee motivation are integral to workplace motivation or demotivation. Banerjee, Chattopadhyay, Duflo, Keniston and Singh (2014); Fehr, Herz and Wilkening (2013) that suggest motivation and incentives encourage change and empowerment among the bureaucrats. Rasul and Rogger (2016) in their study of management of bureaucrats and public service delivery in Nigeria caution against simply borrowing incentives practices from the private sector as it might backfire in bureaucratic settings. Huang and Feeney (2016) argue that, in line with Moynihan (2010) performance rewards or punishment may not induce desirable organisational behaviour. Opponents of performance based rewards in local government argue that it may lead to negative outcomes, especially when the pre-defined goals are not clear-cut (Frey, Homberg & Osterloh, 2013), similarly, it is difficult to incentivise citizen participation, as such it remains marginalised because it is not measurable (Huang & Feeney, 2016). Performance-based rewards have the propensity to motivate public

managers to care about tangible outputs rather than effective citizen engagement in decision-making, poorer performance (Huang & Feeney, 2016; Gagne & Deci, 2005; Moynihan, 2010). However, to the contrary Huang and Feeney (2016) argue that although motivation enhances investments in behaviours, workplace environment is at the risk of being damaged by performance-based reward systems. South African studies cite examples of non-financial factors that contribute to skills retention, that is, employer-employee engagement sessions, reward, and performance management system career and succession planning (Munsamy & Venter, 2009; Meyer, 2005).

The foregoing discussions on organisational skills retention and performance prompt the study to explore municipal functionality and learning in the space of municipal performance improvement. Dixon (1989), O'Keeffe and Harington (2001) argue for proficiency in learning and acquisition of skills but do not adequately address empowerment and transformation, as described by Freire (1970) and Garavan et al. (2002). In an enabling organisational learning environment with associated HRD roles, literature advances the description of a learning organisation as a facilitator of learning (O'Keeffe & Harington, 2001). Although the provision of learning is for all members, Korten (1995) raises concerns about lack of transparency in allocating performance incentives among employees engaged in a learning organisation. Therefore, as Rasul and Rogger (2016) assert, not only are incentives supposed to be monitored but also, bureaucrats deserve some autonomy regarding the delivery of quality public services.

In summary, the allocation of financial rewards is a form of recognition for employee efforts and value to the company (Fairhurst, 2007; Swanepoel, Erasmus, Van Wyk & Schenk, 2003). To the contrary non-financial factors that is, employer-employee engagement sessions, succession planning, and performance management system contribute to employee retention (Munsamy & Venter, 2009; Meyer, 2005). Assessment of individual skills and organisational performance capacity gaps could effectively maximise governance and serve as learning exercises in the delivery of public services. Discussions on the nexus between skills retention and performance

advance the argument that political risks and other administrative related nuances are inseparable from the external socio-economic factors in the enhancement of municipal performance. In addition, internal and external environmental scanning of organisational issues that improve performance, among other employee performance rewards, could assist to determine capacity gaps. Learning is for all members of the organisation and is a proviso for acquiring new skills, assimilating and integrating knowledge, sharing of information and change of behaviour (O'Keeffe & Harington, 2001; Wenger, 1998; Garavan, Morley, Gunnigle & McGuire, 2002). Notwithstanding, the distribution of performance-based incentives among employees engaged in a learning prompts the question of preferential favouritism due to lack of transparency (Korten, 1995).

Integration of learning, performance and participation attributes tends to enhance capacity development within a responsive and accountable governance framework as discussed in section 2.4.

2.4 Municipal collaborative participation

The aforementioned section 2.2 and section 2.3 delve more on the internal organisational space. This section explores the intersection at the confluence of both internal and external organisational environment issues that scholars debate in relation to capacity development of service delivery programmes and structures. Continuous empowerment of stakeholder representatives and influential partners could enhance skills retention strategies. Skills retention is key for continuous collaborative consultation, advancing participatory performance, and providing public goods and services. This study defines the ideal *service delivery as the equitable provision of quality goods and services in collaboration with and to the satisfaction of the society*. Accordingly, this section hones in on scholarly debates on collaborative participation in relation to facilitators and inhibitors of service delivery. In the South African context, ccollaborating with different institutions whereby the local government employs labour

from the private sector encourages public-private partnership and sharing of performance driven service delivery skills (Shava & Maramura, 2016).

The elements that underpin the social environment and social capital phenomena are advanced in relation to the heterogeneous mobile community attracted to mining activities. Garavan, Morley, Gunnigle, and Collins (2001) argue, “Individuals with better social capital earn higher rates of return on their human capital” (p.52). Similarly, social trust (Putnam, 1995), creation of employment opportunities (Alfred, 2007), partnerships with civil society and the private sector are fundamental to public accountability (Alberti & Klareskov, 2006).Thus, to arrive at a relatively purposeful collaborative partnership when merging different individuals or partners, municipal authorities need be cognisant of possible organisational cultural clashes. In the context of this study cultural clashes arise from ‘single-agency’ issues that are commonly known to have broad linkages and be interconnected with other issues (O’Leary, Gerard & Bingham, 2006).

In the South African context despite the progressive and democratic nature of the laws, and despite the goodwill of the Presidency and other ministers towards community participation, the often-practised passive and consultative community participation processes tend to be ineffective (Booysen, 2009). In the study of participatory governance in Tokyo, Noda (2017) corroborates the argument by Booysen (2009), Alstine and Afionis (2013), Maconachie and Hilson (2013) that alludes to the importance of actual citizen participation for creating trust in government.

Political interference in local government, could manifest in intimidation, as local partners and influential decision makers, may help or hinder improved municipal service delivery. Hodder, (2009), Horowitz (2011), Bebbington, Bornschlegl and Johnson (2013) advance the argument that political interference is about serving one's own narrow interests, hurling threats against officials and making negative decisions that influence grassroots responses. Political interference impacts on the morale of

knowledge workers or staff, and manifests in stress (Hodder, 2009; Ngwenya & Botha, 2014). Dzansi, Chipunza, and Monnapula-Mapesela (2016) put forward a similar argument, but also contend that political interference impacts on the quality of service delivery.

In summary, economic and political external environment scanning of both the extractive economy and local governance depicts organisational inadequacies in legal frameworks, implications of social capital and networks, and ineffective citizen participation as inhibitors to foster mistrust in the company-community relations (Alstine & Afionis, 2013; Maconachie & Hilson, 2013; Noda, 2017; Booysen, 2009; Putnam, 1995; Alfred, 2007). Successful collaboration revolves around the notion that individual organisations do have all the resources they need. Despite the good intentions to collaborate in relation to sharing of resources in the intersection of the administrative authority and political power, political elitism embedded in cultivated political allegiances tends to overwhelm the administration and disable capacity of the organisation to deliver services (O'Leary, 2016; Sowa, 2009). Thus, whereas the discussions on employee skills development and municipal performance improvement in section 2.2 and section 2.3 respectively, highlight that efficient skills-driven performance-oriented capacity development could achieve workplace transformation and equity; municipal collaborative participation advances equitable sharing of resources, that is inter-municipal governance, and participation of the citizenry in municipal programmes and structures.

The literature demonstrates that participatory collaborative governance and human resource development at a local government level are premised on trust and functional inter-dependence of stakeholders, including political decision makers. However, the argument that proficiency in organisational learning among all members enhances collaborative functionality of municipal systems (Dixon, 1989; Wenger, 1998) is contested by Cooke and Kothari (1995) who view participation as a 'new tyranny' that produces manipulative elites (Tembo, 2003; Nygren, 2005) through political alliances

(O'Leary, 2016; Sowa, 2009). A partnership rooted in good governance, inclusive of civil society and the private sector encourages public accountability and innovation in service delivery. Nonetheless, to the contrary roles of unscrupulous political elites entrusted with power and authority by the legislation impede all good intentions to improve service delivery. Dishonest and manipulative leaders may, through political alliances, influence the creation of simplistic collaborative structures.

In the next sections, that is, section 2.5, section 2.6 and section 2.7, the study delves into knowledge management, mentoring and change management models and strategies respectively. This focus is prompted by the question: "*What drivers could enable effective functionality of knowledge workers and organisational systems in relation to capacity development to enhance service delivery?*" The respective models and strategies expand on capacity development enablers, organisational relations, and a learning organisation. Similarities and differences applicable to examining the challenges in relation to using resources and programmes on capacity development in relation to public service delivery are, moreover, tested against the research findings in Chapter 6.

Knowledge workers are expected to lead in creating, disseminating and using relevant capacity development of service delivery structures and programmes knowledge across all departments as discussed in the next section.

2.5 Knowledge management and organisational strategies

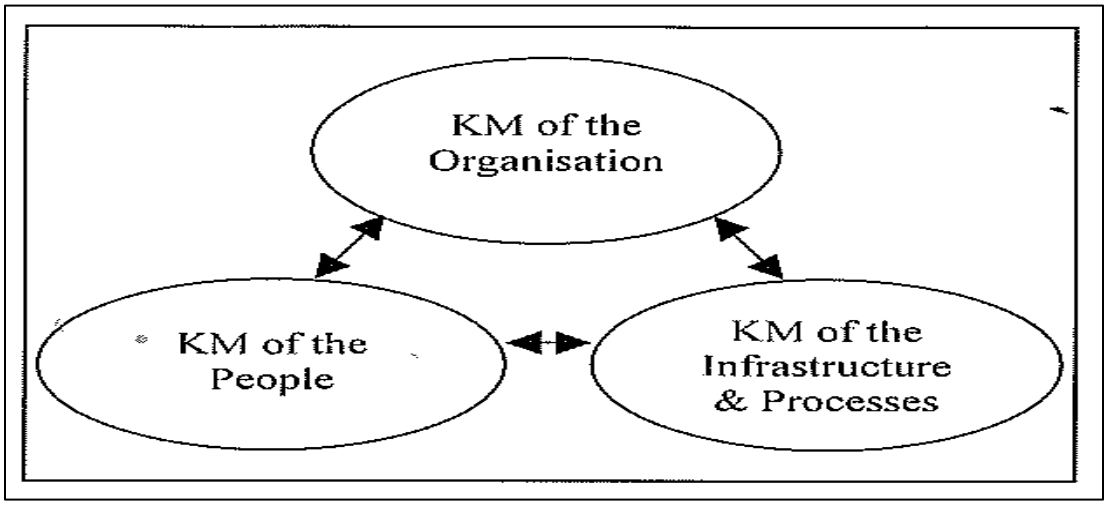
This section discusses knowledge management from the perspective of capacity development of service delivery structures and programmes. It focuses on elements that stand out in the application of the knowledge management models, strategic leadership and placement of human resources. Common confrontations and barriers to capacity development, arising from employee retention, poor performance and political elitism, make it difficult for employees to access and navigate organisational knowledge-bearing structures, that is, the municipal council. These challenges hinder

initiatives to facilitate service delivery, creation of functional relationships and social networks. Liebowitz (1999) defines knowledge management as the formalisation of knowledge and experience that creates new capabilities. In a changing and competitive environment, organisations could improve their chances of success by integrating the Knowledge Management (Dayan, Heisig, & Matos, 2017). In the public sector, knowledge is more important than the goods and capital that drive private sector profit (Cong & Pandya, 2003).

Knowledge management (KM) allows for methodological creation of and access to knowledge repositories, and enhances delivery of customer services (Fowler & Pryke, 2003) Shared knowledge is a form of intellectual capital rooted in employees, organisational practices, and strengthens relationship networks including social and learning practices (Kong & Prior, 2007; McAdam & Reid, 2000). Limitation of knowledge to few and centralised decision-makers reduces accountability (Mwita, 2000). Knowledge 'dissemination' should go beyond contractual arrangements and endeavour to encourage knowledge transfer across departmental boundaries by 'softening' the organisational boundaries (McAdam & McCreedy, 1999).

Sunassee and Sewry (2003) propose a Knowledge Management (KM) model that integrates the organisation, people, infrastructure, and processes (see Figure 2.4). The model proposes several critical success factors relevant to local government: Alignment of KM Strategy with business strategy, top management support, create and manage knowledge culture, people management, choosing the right technology, and manage organisational change. Furthermore, adapting McAdam and McCreedy's (1999) theories, Sunassee and Sewry (2003) point to the profound impact on people, administrative processes, and systems of disseminating organisational knowledge management, leading to strengthened municipal capacity.

Figure 2. 4: Framework of subsystems for knowledge management



Source: Sunassee and Sewry (2003).

Knowledge management advantages include: Informed decision making, streamlined processes, reduced duplication and greater co-operation within organisations (Cong & Pandya, 2003). However, advantages are more likely to be achieved if they are supported by other organisational processes and infrastructure (Sunassee & Sewry, 2003), and the environment is conducive through meaningful mentoring relations (Gordon, 2000). It is inescapable to delve into knowledge management strategies without exploring the key aspects that locate the actual operationalisation of the KM strategies.

The study outlines strategic leadership, organisational structures and strategy to capture the essence of the peculiar elements that contribute to capacity development. In the context of local government, an integrated development plan (IDP) is a form of strategy synonymous to business strategy in the private sector. The municipal plan would, therefore, serve as an operational precursor to collective implementation of the knowledge management framework in relation to service delivery. Zack (1999) uses a model that examines the relation between the knowledge gap and strategic gap to demonstrate that a business strategy guides knowledge management. The model suggests that strategic managers should be conversant with what the institution 'must

know' based on what the institutional leadership already 'knows'. To redress the gap between what the leadership knows and what they must know, organisational strategy has to be aligned with the mandate of the organisational structure.

Rowland (2004) defines organisational structure as the way individuals and posts are organised to enhance organisational performance. To the contrary, there is always the risk of collapse and inefficacy of the organisational strategy due to poor citizen participation, coupled with the breakdown in service delivery (Naidoo, 2011). The question is "*what is the role of employees in strengthening organisational structures"*? Employees need to be willing to plan and contribute to the structure of the organisational strategy. Contribution of employees should be consistent with the knowledge that the management strategy commits to changes and responsiveness in relation to service delivery and relationships building (Skyrme, 1999; Chourides, Longbottom & Murphy, 2003).

In summary, knowledge management enables formalisation of knowledge and experience that create new capabilities and dissemination of organisational strategy. Creation of new capabilities is not only at the level of individuals, but also in the realm of relationship networks in the advancement of service delivery (Fowler & Pryke, 2003; McAdam & Reid, 2000; Kong & Prior, 2007). Centralised embodiment of knowledge to the benefit of a few privileged individuals is a deterrent to optimisation of service delivery. Thus, the 'softening' of the organisational boundaries to improve capacity and reduced duplication (McAdam & McCreedy, 1999; Cong & Pandya, 2003). Knowledge management strategies and mentoring relations are examined in relation to maximising the operationalisation of the theories and models honed in in the framing of this study in Chapter Three.

It would be difficult to sustain the envisioned interventions in strengthening organisational structures and knowledge management strategies without applying mentoring programmes, as advanced in the next section.

2.6 Mentoring relations and human capital development

This section explores and examines literature on workplace mentorship in relation to human resource development. The study specifically explores arguments for and against mentoring relations. The debates pull together the threads that run along strengthening of organisational strategies and structures, discussed in section 2.5 on knowledge management. In addition, I also examine the space of intersection at the confluence of the interwoven threads or debates in relation to the effectiveness of mentoring relations.

Workplace skills development programmes could strengthen organisational learning and capacity if are embedded in mentoring processes and strategies. Traditionally mentoring is an intense developmental relationship whereby the mentee gets access to skills training, internal promotion opportunities, as well as motivation from the usually older and experienced mentor (Almer, Higgs & Hooks, 2005; Levinson, Darrow, Klein, Levinson, & McKee, 1978; Meyer & Fourie, 2004). To the contrary, mismatched personality and values between the mentor and the mentee could affect turnover intentions; therefore, management has to look beyond administrative practices when dealing with personal *vis-à-vis* professional clashes (Eby and Allen, 2002). Mentoring does not always yield positive workplace relations.

Mentoring can be located formally or informally in an organisation. Formal structured mentoring tends to involve individuals representing a broader range of performance at the workplace and achievable by developing formally structured mentorship programmes (Sharon, Straus, Graham, Taylor & Lockyer, 2008; Chao, Walz & Gardner, 1992). To the contrary, informal mentoring tends to unstructured voluntary relationships that restrict development to training in a particular speciality or unit (Michaels, Handfield-Jones & Axelrod, 2001). Formal mentoring relationships could have undesirable consequences (Murray, 2001; Catalyst, 1993). In other words, contrary to the belief that management's endorsement could heighten the legitimacy

and status of the relationships, instead it makes it “difficult for protégées to terminate or leave an ineffective mentorship” (Eby et al., 2000, p. 403).

Mentorship programmes and family-work balance among female employees are primary factors that motivate and influence employee retention and therefore stable institutional structures (Auster & Ekstein, 2005). In the South African context, transformational mentoring attempts to redress historical inequality, discrimination, and resistance to organisational transformation at the workplace. Literature suggests convergence of elements of a transformational model at the intersection of the shift “from paternalism to meritocracy” (Sandler, 2006, p.3), across cultural diversity and developmental alliances (Wroten & Waite, 2009; Napier, 2006).

Mentoring programmes succeed if senior management have buy-in to support and institutionalise transformative visions at a strategic level in alignment with the business strategy (Friday & Friday, 2002; Michaels et al., 2001). Mentoring also facilitates the building of social capital in a network of social groups based on integration of social links, trust, and personal commitment to organisational objectives. (Lengnick-Hall & Lengnick-Hall, 2003). However, not all relationships develop into mutually beneficial ones (Duck, 1992).

In the aforementioned sections, literature reveals the nexus between mentoring and skills development, and mentoring and skills retention. Table 2.2 brings together and highlights key points in relation to mentoring. These aspects are also employed in Chapter Six in the discussion of analysis of data to determine similarities, contradictions and dissimilarities in relation to capacity development findings in this study. The study employs literature review to identify key aspects; namely, motivation, skills development, talent management, relationship building and transformation related to mentoring.

Table 2. 2: Synopsis of the different mentoring aspects

Aspect	Researchers	Findings
Motivation	Almer, Higgs and Hooks (2005); Auster and Ekstein (2005); Ngwenya and Botha (2014)	Include promotional opportunities and flexibility in the workplace. Mentoring and family-work balance influence employee retention. Integrating mentoring into other organisational initiatives. Loss of self-worth.
Relationships	Murray (2001)	Protégée expectations manifest in dysfunctional relations.
Turnover	Eby and Allen (2002)	Mismatch of personality and values impacts on turnover.
Skills development	Davenport (2005; Despres and Hiltrop (1995).	Mentees feel valued due to attending mentoring programmes. Training and education enable empowerment.
Talent mentoring	Michaels, Handfield-Jones, and Axelrod (2001); Friday and Friday (2002).	Integration of mentoring in the business strategy institutionalises development of talent. Mentoring is an opportunity to align talent development needs with business strategy.
Transformational	Sandler (2006); Wroten and Waite (2009); Napier (2006); de la Luz Reyes and Halcon (1988).	Using scorecards in employee development. Cross cultural mentoring at the workplace. Creating developmental alliances. Racism, a hidden force in cross-cultural mentoring and wolf in a sheep's skin.

Source: Own (2016)

In summary, negative relationships manifest as personality clashes, sabotage, and mentors taking credit for protégée achievements (Eby et al., 2000; Scandura, 1998). The highly bureaucratic nature of public service operations displays an advanced degree of formalisation, too inhibitive to employee flexibility, learning and capacity development. Mentoring strategies could provide opportunities for protégés to develop

into mentors (Broadbridge, 1999). The next section explores how to maximise operationalisation of knowledge management strategies and mentoring relationships through change management strategies.

2.7 Change management and capacity development

Capacity development strives to meet or exceed the ever-changing needs of employees and society within the relatively fixed legislative prescripts of public sector service delivery. This section underpins the organisational challenges that are further expounded upon in the framing of the study in section 3.2.3 and section 3.3.3.

Notwithstanding, capacity development is learning by agents of change to improve local ownership of developmental programmes (Otto et al., 2009) the vulnerable and disadvantaged find themselves excluded in collaborative structures and programmes. Therefore, change management underscores key issues in relation to stakeholder inclusiveness, cooperation, and transparency. Change management tools have the potential to address "restraining forces that must be altered for change to occur" (O'Leary, 2016, p.22). As an entry point, the Lewin (1947) theory of change helps to examine the extent to which poor organisational relations could impede on uniting knowledge management strategies and mentoring programmes to effect capacity development. The theory advances a three-stage model of change: unfreeze-change-refreeze. This study integrates mentoring processes discussed in Gordon (2000), Deming's (1982) 14 points of Total Quality Management, Kotter's (1996) Eight Steps, McAdam and McCreedy (1998) knowledge management steps to underscore elements and nuances peculiar to resistance to organisational change. Table 2.3 demonstrates how elements of other models could be integrated and aligned to the Kurt Lewin Theory of Change premised on the 'unfreeze', 'change' and 'refreeze' steps, to facilitate organisational change, depending on variables such as resistance to change and motivation for change.

Table 2. 3: **Synopsis of change management phases**

Researchers	Operational models	Change management phases		
		Phase 1	Phase 2	Phase 3
Lewis (1947)	**Change model**	**Unfreeze**	**Change**	**Refreeze**
Gordon (2000)	Mentoring	Recognition and development	The emerging independence	Letting go.
McAdam and McCreedy (1998).	Knowledge management	Knowledge creation	Knowledge sharing	Knowledge use
Kotter (1995)	Eight steps to change	1. Create sense of urgency. 2. Build guiding coalition. 3. Form strategic vision and initiatives. 4. Enlist volunteer army.	5. Enable action by removing barriers. 6. Generate short-term wins. 7. Sustain acceleration.	8. Institute change.
Deming (1982)	Total Quality Management: Deming 14 Points	1. Create constancy of purpose for improving products and services. 2. Institute on-the-job training. 3. Drive out fear. 4. Break down barriers between staff areas. 5. Eliminate numerical quotas for the workforce and numerical goals for management.	6. End the practice of awarding business on price alone; instead, minimize total cost by working with a single supplier. 7. Institute a vigorous program of education and self-improvement for all. 8. Put everybody in the company to work to accomplish transformation. 9. Eliminate slogans, exhortations and targets for the workforce.	10. Adopt the new philosophy. 11. Cease dependence on inspection to achieve quality. 12. Improve constantly and forever every planning, production, and service process. 13. Adopt and institute leadership. 14. Remove barriers that rob people of pride in workmanship, and eliminate the annual rating or merit system.

Sources: Adapted from Gordon (2000), Kotter (1995), Deming (1982), Lewis (1947), McAdam and McCreedy (1998)

2.7.1 Unfreeze

The literature on change management distinguishes between planned or top-down programmatic processes that rely more on roles of management (Beer & Nohria, 2000) and emergent change or bottom-up employee dependent participatory processes (Kuipers et al., 2014). However, Van der Voet, Kuipers and Groeneveld (2016) argue that management may also initiate emergent changes or bottom-up changes. Deming's (1982) Total Quality Management 14 points are associated with the 'unfreeze' phase. At this phase measures are in place to adopt the new philosophy. The new philosophy not only eliminates fear and create purpose for improving services, but also removes barriers to change. Key to the 'unfreeze' phase of change management is removal of barriers or resistance in the endeavour to alleviate fears among employees at the early phase of management of change.

Typically, in a local municipal government, knowledge workers or senior managers are more knowledgeable and skilled than most employees and councillors. Knowledge construction and embodiment tends to be at senior management level (McAdam & McCreedy, 1999). It is significant that knowledge embodiment cuts across all levels and 'unfreeze' people from their comfort zone (Lewin, 1947). As such, management has the potential to encourage staff to change from the *laissez-faire* unproductive culture.

The common purpose of improving capacity development to enhance service delivery lies in the successful buy-in and the motivation for employees to change (unfreeze) from their comfort zone inherent within the *status quo*. Unfreezing is similar to a mentor-mentee preparatory phase, which entails recognising and developing mentoring readiness, and developing mutual respect and expectations (Gordon, 2000). Some staff members could feel that changes are intrusive to their personal and workplace comfort.

The Total Quality Management model discussed in Deming (1982), complements Lewis (1947) by reflecting on change management to strengthen state institutions, and

expands on measures necessary to continuously assess quality in the process of change in an organisation. Leaders for change have to articulate a rational vision to avoid conflicts (Kotter, 2007; Kotter, 1996). Typical of any organisation undergoing structural changes, feuds could arise among individuals in a coalition and close proximity (Eby & Allen, 2002). However, for the vision to take off successfully, implementing mentoring strategies and programmes could help to curtail possible harmful damage, as will be discussed in the next section on 'change'.

2.7.2 Change

During the 'change' phase both management and employees tend to observe and respond to mistakes, fears and, sometimes, positive attributes. At this stage knowledge dissemination and sharing takes place (McAdam & McCreedy, 1999). However, it is not enough to argue that in the process of 'telling and selling' managers disseminate information (Russ, 2008). Instead, it is important to identify problems and develop an appropriate plan of action. This could be the longest phase with possible disputes and back and forth movements in which some employees seek clarity on the initial phase.

The emerging independence phase could compel the mentor and protégé to use different tasks to accomplish the desired goals. Mentors could use their expertise to facilitate the "learning, communication skills and information sharing in order to meet their objectives" (Gordon, 2000, p.32) as expected in step 1 of mentoring programmes. Deming's (1982) Total Quality Management model suggests that an organisation has to institute a programme of education, and encourages everybody to work towards accomplishing institutionalised transformation. Gordon (2000) concurs on the necessity to institutionalise a programme of education, however, neither Deming (1982) nor Gordon (2000) attribute communication and participation as important to positively influencing employee commitment.

The leadership of the coalition must recognise achievements or 'wins' of envisioned objectives to ensure barrier removal is not short-lived (Kotter, 1996). Dissimilarly, Morrison (2014) argues that quick wins from simple forms of collaboration could be

short-lived when confronted with long-term social and economic challenges. At this stage of change, the commitment of senior managers is a key enabler to successful implementation of change management strategies (Aladwani, 2001; Motwani, Subramanian & Gopalakrishna, 2005). Knowledge sharing and assimilation at the 'change' phase could inculcate organisational good governance whereupon systems are efficiently maintained (McAdam & McCreedy, 1999). Accordingly, feedback to stakeholders would give impetus to advancing the new transformative policy trajectory necessary for organisational stability, as explained in the next section on 'refreeze'.

2.7.3 Refreeze

The Lewin (1947) model argues that the 'refreeze' phase is synonymous with organisational stability resulting from having achieved the desired outcomes. At this stage, knowledge use benefits employees as a collective (McAdam & McCreedy, 1999). Knowledge use crosses all levels and affirms that the institution is resilient to chaos and protégés are likely to 'let go' as knowledge embodiment is no longer confined only within the senior management (McAdam & McCreedy, 1999). The equivalent 'refreeze' phase of change management signifies dissemination of new and relevant knowledge within the coalition of a collaborative participatory mentor-mentee relationship, coupled with protégés 'letting go' to reposition themselves with some autonomy and confidence (Gordon, 2000). However, given the complexity of the public organisational environment, not all employees have access to relevant knowledge, which makes it difficult to achieve unity of purpose (Robertson & Seneviratne, 1995; Deming, 1982).

Institutionalising new mechanisms, programmes, and structures that support capacity development of service delivery structures and programmes, curbs knowledge-loss in the form of institutional memory. To improve services, the new trajectory has to be institutionalised, that is, refrozen (Deming, 1982; Kotter, 1996; Lewin, 1945). A simplistic institutionalisation is not enough; thus, Deming (1982) points out that continuous quality management is necessary to remove barriers to employee

performance. Aligning with the ‘refreezing’ stage in Lewin (1947) transformational leaders have to sustain the new organisational culture or emergent approaches as discussed in the ensuing section.

In summary, human capital training and bottom-up participatory communication are key enablers to improving service delivery (Kickert, 2014; Kuipers et al., 2014; Njuguna & Muathe, 2016). It often happens that resistance to shift from the ‘comfort zone’, a disabler of capacity development results in impediments to service delivery. The heterogeneous nature of the public organisation environment notably, makes it more difficult to achieve the unity of purpose (Robertson & Seneviratne, 1995).

Analysis of findings in Chapter 6, unpacks how change management and leadership could be interwoven in synchronising, centralising, and aligning key operational knowledge management strategies and mentoring relationship programmes to enhance capacity development necessary for service delivery. Operational models – mentoring, knowledge management and change management are gears that yield capacity development outcomes, including skills retention, organisational relationships, and socio-political capacities, detailed in Chapter Seven.

In section 2.8, section 2.9 and section 2.10, I critically reflect on the political, economic, and social external environmental factors that enable or inhibit the use of resources and programmes in relation to capacity development and service delivery in natural resource-endowed local municipalities. Areas of focus are the state of local government capacity regionally and internationally, extractive economy and governance, extractive economy and socio-economic issues. Section 2.8 explores the experiences of other countries with respect to the extractive economy, highlighting similarities and differences in respect of local government capacity development.

2.8 Local government capacity in key international regions

The purpose of this study is to examine the challenges related to the use of capacity development resources and programmes in the Bojanala Platinum District local municipalities and explain how they are overcome. This section compares BPDM with other regional and international experiences in relation to the use of capacity development resources and programmes. All countries examined in this section acquired political independence from the coloniser Britain, except Mozambique from Portugal.

The study of decentralisation in the context of colonisation reveals that concentration of power to the privileged few, denial of participatory practice and citizenship rights of the majority in a highly centralised state are some of the erstwhile governance features that still pose challenges in the Post-Colonial era (Bisson, 2020; Ekanza, 2006). To cite an example, Mali, Niger and Burkina Faso have inherited from French colonial rule a highly centralised unitary state, and share an unprecedented security crisis that started in 2012. The security crisis and the highly centralised state provide fertile grounds for conflict and an impediment to good governance in the three Sahel countries (Bisson, 2020; Ekanza, 2006). Attachment to the former coloniser, therefore, has some influence in the political system, including forms of support or resistance to authority resulting with a bearing on implementation of developmental programmes and service delivery.

Against the background of the varied and changing mobile population, and the role of elites in an extractive economy, local municipalities find it difficult to acquire and develop relevant employee skills. Comparing Southern African and East African regions, this section examines local government capacity initiatives and legislative frameworks in host countries that are typically dependent on the mining economy. African regions experience an enclave economy characterised by international mining extraction and export. In the study of enclave economies in Africa ‘leakage’ exists in enclave economies whereupon there is failure to exploit ‘linkages’ or mineral

beneficiation and downstream businesses linked to the intensive extractive economy (Opalo, 2014; Mate, 2001).

This study explains how capacity is developed in relation to decentralisation of power and authority to ensure delivery of basic needs in similar mineral-endowed host regions and countries, including Southern Africa and East Africa. Overall, the main feature of decentralisation is "the transfer of authority, responsibility and accountability from a country's central government to subnational units" (Bisson, 2020, p.2). Decentralisation as a form of governance, features the spatial redistribution of administrative (functional responsibility), fiscal (access to resources), political and legislative (accountability) powers to lower levels of government (Keil & Anderson, 2018).

In these regions, local government capacity development is examined in relation to the legislative framework, human resources, infrastructure, strategic planning, and inter-municipal collaboration. The next section discusses Southern Africa local government capacity.

2.8.1 Southern Africa local government capacity

Countries studied in the Southern African region are South Africa, Zambia, Malawi, Mozambique, and Botswana. Decentralisation strategies and processes in the region differ according to constitutional prescripts and capacity of the respective local or national governments. Southern Africa is commonly characterised as a mineral resource-endowed region. In the context of the common socio-political dimensions emanating from the colonial system related to enclavity host countries in the region tend to have similar features of a developmental state (Mhone, 1995; Mkandawire, 2001). Regional unemployment due to 'low labour absorptive capacity' and insignificant participation of informal economy in the region affects integrated economic development, including human resource development (Mhone, 1995). This section therefore explores some of the implications of the local government capacity

development measures, against the regionally shared economic peculiarities emanating from their common colonial features.

Furthermore, this study examines the context of development in relation to capacity challenges. The discussion is also guided by a look into the appropriate structures and systems that support capacity development, namely, human resources, financial resources and infrastructure relations (Mc Lennan & Ngoma, 2004). In addition, the study also critically reflects on the state of local government capacity and corroborates this in Chapter Six, consistent with the arguments for and against emergent insights advanced in Chapter Five. Elements of this approach are integrated with elements of the Griddle (1996) model, that is, the legislative framework, service delivery, infrastructure, and human resource capacity common for examination of the regional capacity development relevant to this study.

The following section explores the legislative framework in Southern Africa region in relation to capacity development.

2.8.1.1 Legislative framework

Legislative frameworks are critical to enabling implementation and enforcement of policy instruments consistent with the principles of good governance. Research on Southern African developmental states suggests that using policy instruments enhances overall macroeconomic efficiency in allocating and using capital (Mhone, 1995). In the South African context of decentralised power, functions are proclaimed in the Constitution of Republic of South Africa (1996). Local spheres of government consist of municipalities; with the executive and legislative authority vested in its Municipal Council, which has the right to govern, on its own initiative, subject to national and provincial legislation. The decentralisation process in South Africa is enshrined in Chapter 37 of the Constitution of Republic of South Africa (1996). Legislative prescripts are closely linked to the financial capacity to meet objectives. As a region

human resource capacity is fundamentally significant to effect the legal framework and service delivery, however, human resource capacity varies from country to country.

The synopsis in Table 2.4 illustrates how different components of capacity, that is, the legal framework, human resources, and local service delivery, influence and advance development in the Southern Africa region. This section hones in on the state of capacity development in the Southern Africa region.

Table 2. 4: Synopsis Southern Africa service delivery capacity

Capacity	South Africa	Botswana	Malawi	Mozambique	Zimbabwe
Legal Framework	Decentralisation of power, and functions proclaimed in the Republic of South Africa (1996) Constitution. The local sphere of government consists of municipalities, the executive and legislative authority.	Botswana has no constitutional provision for local government, except for the legislative text covered in the Local Government Act of 2012.	The Constitution of Malawi makes provision for setting up local government. The Local Government Act of 1999 indicates powers and functions.	The Constitution of Mozambique, 1996 provides a legal framework, as does the Local Government Act of 1997.	The District Councils Act of 1980 facilitates the decentralisation legal framework in Zimbabwe.
Human Resource Capacity	Service delivery protests are symptom of unstable political governance; irregular or inappropriate appointments of employees with limited capacities and skills, and weak institutional management.	Department of Local Government Service is for recruitment, transfer, training and dismissal. Mayors in towns and council chairpersons in rural districts provide strategic leadership.	Local Government Service Commission is responsible for appointing senior management staff.	Only 8.1% of public servants have university degrees. Training offered to public servants.	Low levels of remuneration contributed to the 'skills flight'. Inability to pay salaries and high inflation affects human resource retention.
Local Service Delivery	Basic service delivery varies. Many municipalities are confronted with serious economic and human resources capacity challenges. The Local Government Turnaround Strategy seeks to address shortcomings.	Disparate budget allocation affects rural and urban differently. The quality of service delivery is monitored.	Road infrastructure difficult to access during the rainy season. Road preservation expenditure still falls significantly short.	High privatisation of basic services to NGOs and agencies.	Poor road network, inadequate clean water supply and uncollected refuse.

Source: Own (2016)

Botswana has no constitutional provision for local government, except for the legislative text covered in the Local Government Act of 2012 (Reddy & Kauzya, 2015). The Botswana Decentralisation Policy emanates from the National Development Plan (NDP). The Constitution of Malawi (2010) provides for the setting up of local government, whereas, in Mozambique the Constitution of 1996 provides for decentralisation. At a local government level, both the Local Government Act of 1999 and Local Government Act of 1997 in Malawi and Mozambique respectively outline powers and functions. The District Councils Act of 1980 facilitates the decentralisation of the legal framework in Zimbabwe. Notwithstanding, the decentralisation of power, the central government in Mozambique provides little support and makes counter-productive decisions. This tendency seeks to find reasons to relieve local government institutions, on the grounds of their limited capacity to discharge their own mandates (Commonwealth Local Government Forum, 2012).

In spite of progress in service delivery in Botswana (Reddy & Kauzya, 2015), there are "challenges in relation to empowering local institutions to take control of processes that deliver services" (Kathyola & Job, 2011, p.16). Like other local municipalities in the region, budgetary constraints affect infrastructure development. The Commonwealth Local Government Forum (2012) points out that in 2006 the Zimbabwe National Water Authority took over the management of water and sewerage from the Minister of Local Government. Similarly, in Botswana, some functions previously legally decentralised to local government, such as the management and distribution of water, have been taken back by central government (Reddy & Kauzya, 2015). The central government could be an inhibitor to capacity development of local government. Inadequate support for local government has manifested in central government retaining funds earmarked for poverty reduction, under the disguise that local government has inadequate capacity (Kathyola & Job, 2011). Similarly, the interests of the private sector in the form of mining companies tend to undermine expansion of the development of know-how, innovations and skills in Mozambique (Bucuane & Mulder, 2008).

In summary, privatisation, role of the influential elites, inadequate human and financial resources are some of obstacles or inhibitors to capacity development of service delivery structures and programmes in relation to the legislative framework in Southern Africa. Some of the key challenges in implementing decentralisation in Southern Africa are lack of consistency in the legal framework; inadequate human and financial resources; inappropriate financing mechanisms; and the weakness of civil society. High privatisation of public services could be an impediment to autonomy and capacity development of the officials. Political role players are also ineffective and exacerbate risks to functional decentralisation. There are skills transfer constrains due to persistent inadequate human and financial resources.

The next section examines how service delivery and capacity building practices support service delivery against the aforementioned capacity development legislative environment disablers and enablers.

2.8.1.2 Service delivery and capacity building

Regional cooperation in relation to economic and infrastructure development is rooted in financial and technical expertise. Subsequently, developed service delivery infrastructure not only serves to attract multinationals but also, through partnerships with local government encourages and enables investment through mining royalties, literature suggests. Government institutions in typical enclave economies do not use mining royalties to invest in infrastructure, such as roads, hospitals and schools (Opalo, 2014). Financial and infrastructural problems, inadequate expertise and management capacity are key attributes that exacerbate service delivery backlogs in the South African local municipalities (Roux & Nyamukachi, 2005). From the macroscopic regional economic perspective, developing service delivery infrastructure is a key enabler for attracting investment from neighbouring states and multinational companies. Regional cooperation fulfils objectives of social and economic programmes that impact on desired service delivery, developmental agenda nationally and regionally (Mhone, 1995).

In South Africa, delivery of goods and basic services at the local government is confronted with serious economic and human resource capacity challenges (Commonwealth Local Government Forum, 2012). The Local Government Turnaround Strategy Report of the Department of Co-operative Governance and Traditional Authorities (2009, p.35) addresses the following shortcomings: A legacy of infrastructure backlog; service delivery, funding capacity constraints and credible public participation.

The road infrastructure in Malawi renders some sites difficult to access and spending on road maintenance falls about 24% short of what is needed to sustain the infrastructure (Foster & Shkaratan, 2010; UNAID, 2014). Quality of service delivery in Botswana is monitored by Office of the Presidency and compared to other African countries. Botswana has a relatively high quality of services despite some inconsistency in the budget allocation between urban and rural areas (Kathyola & Job, 2011). In Mozambique, some of the local government responsibilities are performed by the private sector and public-private-partnership (PPP), the largest in Sub-Saharan Africa (Kathyola & Job, 2012). For example, essential service delivery (including education, water and health) in Mozambique, as well as management of municipal parks and gardens fall on NGOs. Local government In Zimbabwe service delivery is compromised due to poor road network and unfunded mandates because of decentralised services (Commonwealth Local Government Forum, 2012).

In summary, the literature suggests that local government in Southern Africa tries to address the legacy of an infrastructure backlog, improve capacity to monitor programmes, remove duplication and wastage of resources, and tackle under-spending due to skills deficits. Human capacity development in the region underscores workplace training and stable political environment as key enablers of enhancement of service delivery. In Mozambique, only 8.1% of public servants have university degrees and training of public servants has not been evaluated (Reddy & Kauzya, 2015). In Botswana, the Department of Local Government Service Management is responsible

for recruitment and training (Kathyola & Job, 2011). However, in Malawi recruitment and appointment of senior management staff is the responsibility of the Local Government Service Commission, as stipulated in Local Government Act, 1998. In South Africa, large number of service delivery protests at times turns violent due to inadequate management capacity (Reddy & Kauzya, 2015; Roux & Nyamukachi, 2005; Ncube, 2014; Mpofu & Hlatywayo, 2015). Southern African local government capacity impediments are, in the main, due to disjointed regional legislative frameworks and unstable political governance.

Eastern Africa also hosts many multinational mining companies. The following section finds enablers and impediments to service delivery in the region.

2.8.2 East Africa local government capacity

East African countries (Tanzania and Uganda) practise centralised systems of governance, thereby weakening institutions as the lack of professional staff is a challenge resulting in them being incapable of delivering services (Mutahaba & Pastory, 2015). In response to inadequate infrastructure, estimated to add as much as 50% of the total cost of goods in the East Africa Community (EAC) intra-regional development, the EAC members adopted a coordinated infrastructure projects approach since 2012 (Sebuny, 2015). Critical reflection of the legislative framework and service delivery capacity building initiatives reveal some functional similarities, dissimilarities, and types of structures.

2.8.2.1 Legislative framework

Historically, Tanzania and Uganda got their independence from the British colonial administration in 1961 and 1962 respectively (Mutahaba & Pastory, 2015). In Tanzania, after enacting the Decentralisation Act in 1972, central government disbanded local governments and centralised powers in regions and districts, so as to enable the community to participate in decision-making (Massoi & Norman, 2009). Uganda introduced decentralisation through the Local Administration Act of 1967.

Disbanding local government East African states deteriorated service delivery and almost leading to crisis of governance (Menon, Mutero & Masaria, 2008; Mukandala, 2000; Mutahaba, 1989). Mutahaba and Pastory (2015) argue that this is indicative that centralisation was never a blessing but a curse. Uganda has the lowest level of governance and a rural setting (83%) compared to Tanzania (79%). Consistent with the legislation in Zimbabwe; the Districts in Tanzania and Uganda have the highest governance level. Eastern African municipalities are centralised at higher levels of governance with a high tendency of organisational weakness and less autonomy (Mutahaba & Pastory, 2015).

The discussion in section 2.8.2.2 delves into service delivery and capacity building elements peculiarly distinct to capacity development in the region. It also looks into the inhibitors and enablers of capacity development and how they can be overcome, in the context of the discussed strengths and limits of the regional legislative frameworks.

2.8.2.2 Service delivery and capacity building

Investment in human resource capacity development with more emphasis on technical skills expands job creation than job seeking opportunities, with knock on effect on enhanced economic development and local ownership of property. Lack of technical skills hinders development in Uganda and Tanzania. In response to the demand for urban accommodation and regional road infrastructure, Tanzania hugely investments in the upgrading and building of priority roads and drainage systems; as well as agricultural trade and job creation across the country (Tanzania Invest, 2020) whereas, Uganda government prioritises improvement of fisheries infrastructure in local governments and transport infrastructure in collaboration with the private sector (Uganda Investment Authority, 2019).

Human resource capacity development in the region focuses on employee incentives and participatory governance at grassroots level. The central-local government relations in Tanzania work better than in Uganda, as evidenced by the relatively

improved staffing with qualified personnel (Mutahaba & Pastory, 2015). The partially staffed Uganda municipalities suffer from low pay, salary delays and lack other resources for strengthening service delivery. It is noteworthy from comparison of the human capital capacity of both Uganda and Tanzania, that skills deficit is a common problem, especially in rural councils. Skills deficit affects the capacity to deliver services. Tanzanian and Ugandan local governments are largely funded from central government and disappointingly central funds are not readily available (Mutahaba & Pastory, 2015).

A study of local government capacity development in Tanzania contends that there is a need to enhance training of councillors and municipal employees in order to improve the impact of the public service reforms on service delivery (Lufunyo, 2013). Thus, it is important to maximise training opportunities and capacitate individuals at grassroots level to be involved in strategic planning. Apart from training as an enabler of capacity development at grass root level community involvement in planning not only increases accountability and sustainability, but also effectiveness of service delivery and ownership of related projects (Massoi & Norman, 2009).

In summary, some of the erstwhile legislative practices of the coloniser still pose challenges in the attempt to change and shift from centralised to decentralised governance structures in the democratically elected institutions. A legislated decentralisation policy that also employs traditional structures, therefore, not only enables and promotes training, but also strengthens capacity to improve service delivery at local government. The East Africa region has a strong inter-regional network to share and develop human and infrastructure capacity. In every society, service delivery benefits communities. The decentralisation system in Tanzania benefits the Neighbourhood, that is, the lowest level of governance in Tanzania. This is in contrast to the Village structure in Uganda. Service delivery remains a challenge within fragmented intra-regional legislative frameworks.

It would be self-limiting to examine only internal perspectives of local governance without consideration of the helicopter view of the peripheral economic factors that influence local governance as discussed in the following section.

2.9 Extractive economy, corruption and governance

This section examines the space of intersection of the informal and formal economies in the context of the extractive economy. Consistent with the research question, orientation of the examination of literature in this section examines the challenges external to but interwoven with the municipal developmental programmes. Despite the legislative tools, challenges in the public-private collaborative partnerships underpin failures in the informal economy, corruption and lack of accountability that spillover host communities. The study examines distinct context-oriented elements peculiar to capacity development in the BPDM in relation to how local partners are linked or delinked to improvement of service delivery.

These difficulties prompt the question "*how are the socio-economic challenges overcome in relation to capacity development of service delivery programmes and structures?"* The research does not only delve into the intersection of the local authority and mining, but also explains how the relationships between governance institutions and private sector role players relate to capacity development of service delivery structures and programmes. The unclear participation of business role players in the extractive economy prompts the question of *how trust or lack thereof, and corruption activities between the political elites and the mining companies impact on improvement of community service delivery.*

It is against these challenges that the study explores the contradictions, similarities and dissimilarities in the contemporary discourse and debates. I further employ understanding of the informal economy as an entry point to hone in on literature to unpack how do local partners facilitate or hinder improvement in providing municipal services to the community; and how can municipalities better utilise their capacity

development resources, and partner better, to ensure stronger service delivery results? The following section discusses the informal economy, foreign direct investment (FDI) and Labour in the context of the mineral and mining sector.

2.9.1 Informal Economy, FDI and Labour

The informal economy has co-existence of the mainstream extractive industries (EI) and down-stream small-scale non-extractive industries in the host country, typically coined 'economic dualism'. The literature also suggests that proponents of the extractive economy and related FDI economic activities argue that natural resources do not hinder economic performance. On the other hand, opponents argue that natural resources are negatively associated with democratic systems and inhibit democratic transitions.

Literature suggests 'economic dualism' inherited from a colonialism economic setting in which the minority engage in dynamic activities propelled by the capitalist imperative for accumulation, whereas the majority are "trapped in non-capitalist forms of production and engaged in low economic productivity" (Mhone, 2001, p.5). This majority are profoundly under-employed and part of the 'non-formal sector'. The study on informal sector economies steeped in mining capital in Southern Africa reveals the practice of draconian economic policies against the indigenous population with features of exploitation through cheap forced labour (*chibaro*), and restrictive native reserves in the white areas (Mkandawire, 1986).

Notwithstanding the great potential for creating employment, the informal sector finds it difficult to map out their own development strategy and delink from the formal sector (Mhone, 1995; Zwizwai & Powell, 1991). The informal sector in an extractive economy is peripheral and can hardly withstand competition with the billion-dollar multinational businesses. Mhone (1995) describes this relationship as the co-existence of a shrinking formal sector and a dependent informal sector. However, Mkandawire (2001) cautions against the simplistic view that African states lack autonomy, ignore

local informal sector, and are always fearful of capture by international capital. Despite the counter argument in Mkandawire (2001) that African states do not ignore the informal economy, Kim (2018), Lindholst, Petersen and Houlberg (2018) assert that municipalities battle with to capacity due to inefficiency of their economic cooperatives in a public-private-partnership.

Opponents to the achievement of democratic and developmental African states assert that state-capitalist relations in Africa can only thrive in a "collusive and not synergistically and mutually reinforcing collaborative atmosphere" (Mkandawire, 2001, p. 308). Much of the literature presents African states as agents of foreign principles (Killick, 1996; Mosley, 1996), and appeal for external forces or 'agents of restraint' equivalent to the colonial rule (Collier, 1996). However, Mkandawire (2001), a proponent of African developmental states, argues that developmental states are social constructs that can be socially engineered by the politicians and society. As such, 'delinking' state institutions from their social roots and subjecting them to 'agents of restraints' is a needlessly pessimistic view among the opponents of African developmental states. Putnam (1993) sums it up, that responsive and developmental governments are sustained by a legacy of civic engagement, commitment to political equality, greater trust, and tolerance of differences, rather than past economic performance.

Mining-related projects and typical FDI activities could promote skills spill-over in other local small businesses supportive of local economic advancement, especially needed in the event of mining closure. The *spill-over loss effect* describes unintended consequences closely linked to mining activities, whereby the manufacturing sector shrinks; put explicitly in Bucuane and Mulder (2008, p.120) that "natural resource exploitation undermines the positive externalities (spill-overs) generated by other sectors including the development of know-how, innovations and skills of the labour force". Formal economy in the municipalities endowed with natural resources is

dominated by foreign direct investment (FDI) and the expectations of mining companies to develop and impart skills in the host communities.

Skills deficit contributes negatively to unemployment (Richardson, 2007; Rasool et al., 2012). Acquiring skills through education and training could yield economic spin-offs for the employed and return on investment for municipalities (Harbison & Myers, 1964; O'Keeffe & Harington, 2001; Schultz, 1961). Historically, Africans had limited access to education and skills training opportunities in South Africa despite foreign direct investments during the colonial and Apartheid eras. In the early days of mining "the skill and skin 'whiteness' tended to coincide with blasting certificates awarded only to Whites in 1896" colonial era (Katz, 1995, p.469). Against the historic discriminatory erstwhile colonial and Apartheid eras, the Post-Apartheid democratic era has enacted transformative legislation to redress the historic dearth of skills deficit.

The issue of unstable economic fluctuations typical of an FDI socio-economic setting prompts the question: how does the small local economy, labour-social settings adapt and transform while intertwined with the fluctuating and unstable extractive economies? Continued reliance on extractive FDI is associated with downsizing and retrenchments, which negatively affect effectiveness and financial viability of host municipalities. South Africa was the biggest recipient of FDI ($8.2 billion or R115 billion) in Africa in 2013, while Mozambique received $5.9 billion or R83 billion (South African Institute of Race Relations, 2014). The high FDI in 20013 could partially be attributed to the steady increase in employment in the mining sector from 2009 to 2012 as the result of stable commodity prices and demands from foreign investors. The extractive economy and related down-stream economies are the main employers in the Bojanala District, therefore, any reduction in FDI and job losses may scuttle and destabilise municipal development programmes, including service delivery programmes.

Historically, South African mining and mineral sector experienced about 400 000 job losses from 1990 to 2001 and the employment rate in the sector was about 8% of total employment in South Africa in 1980 (Mining Qualifications Authority, 2014). An analysis of the recent employment statistics in the mining sector, in Table 2.6, reveals that huge job losses experienced in 2008-2009 period were also experienced in 2015 (Minerals Council South Africa, 2018). Thus, the mining industry experienced a decline of about 5% in 2016, the largest annual fall in production since the global recession of 2009.

Table 2. 5: Mining employment in South Africa: 2007–2017

Year	Number Employees	Jobs loss/gain	Percentage jobs change
2007	495150	23575	4.76%
2008	518725	-26932	-5.19%
2009	491793	7113	1.45%
2010	498906	13968	2.80%
2011	512874	11994	2.34%
2012	524868	-14959	-2.85%
2013	509909	-16978	-3.33%
2014	492931	-12727	-2.58%
2015	480204	-22543	-4.69%
2016	457661	7006	1.53%
2017	464667		
Average (2007-2016)	***495,244.4***	***-3048***	***-0.58%***

Source: Minerals Council South Africa (2018)

Retrenchments and downsizing of employees in the FDI dependent economic system put a strain on workplace relationships, trust and commitment between the labour force and management. The question is *how do aspects in the interwoven labour-social setting overcome the disabling impact of unemployment*? Engaged employees seem to

be able to deal better with the job-related demands including uncertainty and anxiety (van der Voet & Vermeeren, 2017). Thus, similar argument by Schaufeli, Bakker, and Salanova (2006) that work engagement is the opposite of burnout. However, cutbacks are more likely to distress employees because they affect job security and give rise to alarming social-ills such as transactional sex (Levine, 1984).

Studies indicate that commodification of natural resources, as a consequence of FDI practices and reduced investments in education have the propensity to promote workforce exploitation and insignificant political transformation. Maconachie (2014) argues that commodification of key natural livelihood resources is closely associated with capital accumulation processes, whereby, conditions that promote workforce exploitation also 'kill' labour and deplete the resources that sustain capital accumulation (Lust, 2014). Harvey (2003) calls the commodification process of land, water and minerals, 'accumulation by exploitation' and 'accumulation by dispossession', which suggests natural resource wealth extractions at the expense of the indigenous people. In the Southern African context of labour exploitation and commodification, most of the labour force is typically employed for profit and capital expansion, as well as capital accumulation perpetuating enclavity (Mhone, 2001). Governments with ample FDI revenue generated from mineral resources may choose the corrupt route to invest less in education, because uneducated citizens are likely to demand less political transformation (Isham, Woolcock, Pritchett & Busby, 2005). Accordingly, the erstwhile colonial governance features still pose difficulties (Bisson, 2020; Ekanza, 2006).

In summary, the natural resources dual economy has the propensity to inhibit economic growth of locally based small businesses. To a large extent despite provisions of the democratic dispensation, the informal economy finds it difficult to improve living standards, rather it negatively impacts on democratic systems. Typical of the less productive local economic settings influenced by the weak business partnership and strong extractive economies, unemployment and diminished municipal tax base expand

at the expense of service delivery. The informal economies come up with features of draconian economic policies of exploitation characterised with cheap forced labour and the informal sector trapped within the clutches of the shrinking formal sector (Mhone, 1995; Zwizwai & Powell, 1991; Mkandawire, 2001). In the South African context, many local municipalities have local economic development arms with good intentions to support small and informal business; however, such initiatives hardly make headway in the context of dependence on multinational mining companies. Thus, the informal sector is in a vicious boom-busts cycle, typical of the volatile extractive economy.

In conclusion, whenever multinationals experience a stagflation, informal businesses also go through a choking economic spell. Foreign direct investment brings along the challenges of unstable employment opportunities which impact on family income and municipal revenue collection. Proponents of the constructive contribution of FDI to poverty reduction argue that mining companies facilitate skills acquisition and in partnership with local government facilitate return on investment for municipalities through good governance (Harbison & Myers, 1964; O'Keeffe & Harington, 2001; Schultz, 1961). To the contrary despite existence of public-private-partnerships multinational investors remain distrusted by the society, the volatile mining oriented FDI economy results in social-ills from unplanned cutbacks and ineffective labour movement (Bond, 2014; Hinojosa, 2013; Rogers, 2011; Schaufeli, Bakker, & Salanova, 2006; Levine, 1984; Busse & Gröning, 2013; Mhone, 2001). Typical of the extractive economy, employee cutbacks result in heightened social-ills that tend to weaken social resilience and compromise service delivery initiatives. In the social and economic context resilience depends on the capacity to absorb, adapt, and transform against the adversarial conditions (De Weijer & McCandless, 2015). The next section discusses corruption associated with the resource curse, renting and negative impacts on governance in relation to democratic institutions.

2.9.2 States corruption, resource curse and the rentier effect

This section explores types of institutions used by political elites to facilitate corruption activities. The elements that underscore the influence of corruption and renting on marginalisation of the electorate's needs are prevalent in the natural mineral endowed local municipalities. Busse and Gröning (2013, p.16) argue that "mineral-rich countries develop trajectories that enrich political elites at the expense of ordinary citizens, and measures to mitigate the resource curse depend on policymakers". However, to the contrary policymakers lower the level of democracy and create weak institutions embedded in corruption (Arezki & Van der Ploeg, 2011; Bhattacharya & Hodler, 2010; Gylfason, 2001; Leite & Weidman, 1999). A study in Peru, reveals that lack of capacity to manage public investment fuels subnational resource curse in provinces despite allocation of large revenues from extractive industries to local municipalities (Hoyos, 2019). A dissimilar position to contribution of lack of capacity to the resource curse reveals that the petroleum exporting countries of Algeria, Nigeria, Indonesia, Venezuela and Iran are characterised by governments that depend on rents and weak institutional frameworks (Karl, 1997).

Studies find an increase in corruption in the form of tax evasion, including special favours in the allocation of contracts, fuel exports, with impacts on the rule of law, regulatory frameworks, government effectiveness, and political stability (Le Bellion, 2011; Ndikumana, 2013; Treisman, 2007; Leite & Weidmann, 1999; Sala-i-Martin & Subramanian, 2003; Isham et al., 2005; Bulte, Damania & Deacon, 2005). Aslaksen (2010), Bhattacharyya and Hodler (2010) add that both democratic and non-democratic countries endowed with oil extraction are also inherently associated with corruption. In the oil-producing Sao Tome and Principe corruption influences public sector customs and 'vote buying' during elections (Vicente, 2010). To the contrary, Brunnschweiler (2008), Brunnschweiler and Bulte (2008) argue that there is no negative impact of oil and mineral wealth on economic growth and governance.

Typical of the corruption activities the extractive economy experiences the rentier effect, whereby the government seeks the 'rents' and the multi-national mining companies as willing partners provide the 'rents'. The rentier effect is a form of corruption whereby the natural resource extraction capital dishonestly shits from benefitting the public to enrich the elites, and weaken political systems without accountability (Leite & Weidmann, 1999; Busse & Gröning, 2013). Closely associated with rentier effect, the resource curse is experienced in the natural resource sector. The resource curse is a paradox because many mineral rich countries remain underdeveloped while resource-poor countries successively experience economic growth (Auty, 1993; Haber & Menaldo, 2012; Sachs & Warner, 2001). The rise of the 'rentier effect' could exacerbate inequality, marginalise the poor, render civil society politically voiceless and economically disempower citizens (Bond, 2013; Gamu, Le Billion & Spiegel, 2015). A study on the impact of resource boom in the Australian mining sector by Jacobsen, Parker and Winikoff (2019) reveals that, although on evaluation the results conclusively lean more toward the resource curse, the older employees suffered more than the prime age or non-retired individuals. In other words, their study unearths the argument that the older employees tend to delay their retirement after the boom as the result of the resource curse. However, proponents of the 'resource blessing' argue that mining broadly contributes to poverty reduction and mineral resources enhance human development and economic growth (Labonne (2002; Davis, 2009; Davis & Tilton, 2002). In addition, resource windfalls are more often a blessing than a curse for regions facing mining employment growth (Fleming, Measham, & Paredes, 2015).

Preferential recognition and elevation of powerful multinational mining conglomerates above citizens weakens participatory governance. Dictators in the natural resource endowed countries, for fear of shift of power to local citizenry, tend to buy political power during elections, coerce the citizenry, engage in human rights abuses, and isolate citizens from decision-making structures (Tsui, 2008; Boix, 2003; Desai & Jarvis, 2012). Resource-rich, low-income countries, in return for access to mineral wealth

capital, might build institutional arrangements to comply with the demands and vested interests of multinational mining corporations at the expense of citizens' rights (Desai & Jarvis, 2012).

The Niger Delta in Nigeria has not been able to reduce poverty because of rent-seeking and corruption-related activities (Idemudia, 2009). A study on the relationship between natural resources and democracy in African countries concludes that the resource dependent Nigeria, Libya, Algeria, Cameroon, Gabon, and the Democratic Republic of Congo run the risk of experiencing authoritarian leadership (Jensen & Wantchekon, 2004). Efficient resource allocation and effective service delivery improvement are at risk in a municipal governance system steeped in isolation of citizens and corruption inducing activities.

In summary, political elites peddle the rent seeking corruption tendencies in the endeavour to marginalise the society or win votes using the extractive capital at the expense of service delivery programmes. Literature advances the argument that municipalities and states embedded within the extractive economy are riddled with corruption at the administrative and political levels. Corrupt policy-makers weaken institutions (Arezki & Van der Ploeg, 2011; Bhattacharya & Hodler, 2010; Gylfason, 2001; Leite & Weidman, 1999). At a political level tax evasion, ineffective governance structures, vote buying' during elections and political instability contribute to failing states, that is, typical of rent seeking activities, unable to fulfil service delivery mandates (Hoyos, 2019; Vicente, 2010; Le Bellion, 2011; Ndikumana, 2013; Treisman, 2007; Leite & Weidmann, 1999; Sala-i-Martin & Subramanian, 2003; Isham et al., 2005; Bulte, Damania & Deacon, 2005; Aslaksen, 2010). Busse and Gröning (2013) argue against the self-enriching political elites. Nonetheless, measures to mitigate the resource curse depend on policymakers. However, the power of politicians to buy votes and render the electorates voiceless skews the power of governance to the favour of politicians with heightened corruption. To the contrary, proponents of the 'resource blessing' argue that mining broadly contributes to poverty reduction, mineral

resources enhance human development and economic growth (Labonne (2002; Davis, 2009; Davis & Tilton, 2002; Fleming, Measham, & Paredes, 2015). However, contrasted against the plausible progressive country policies, for fear of loss of power to the local citizenry leaders in the natural resource endowed municipalities tend to abuse human rights, and isolate citizens from decision-making structures (Tsui, 2008; Boix, 2003; Desai & Jarvis, 2012). In order to circumvent under-development in the resource rich states, typical of the resource curse setting, literature suggests that a developmental state maintains the linkage with the social roots and strengthens institutions to fight corruption against individual strong elites.

The following section delves into hybrid governance, human rights and accountability in resource-rich local governments. The study also deliberates on the historical context of state supported brutal violence against mineworkers and their communities.

2.9.3 Accountability, human rights and hybrid governance

This section delves into governance, accountability, associated authoritarian leadership, and limited legal rights for citizens and labour, and how they inhibit or enable democratic governance. The Constitution promotes good governance and provision of societal needs premised on equitable and affordable access to public services and goods. The UNDP (2014) defines governance on the premise that citizens express their interest and exercise their own legal rights. Governance is not the sole prerogative of governments, rather partnership with civil society and private sector is fundamental to public accountability and innovation in service delivery (Alberti & Klareskov, 2006). Citizen participation advances accountability, which consequently promotes ownership of economic development initiatives (Bisson, 2020; Keil & Anderson, 2018). However, disablers of good governance in the social environment in the form of human rights abuse, state violence and elitism can scuttle capacity development of service delivery structures and programmes. On-going debates pertaining to the natural resource development and accountability explore the centralised nature of resource governance, and elevate policy inconsistency, among

other service delivery disablers (Kamat, Le Billon, Mwaipopo, Raycraft, 2019). Mate (2001) sums it up that governance, participation, corporate culture, community development, and revenue stabilisation are fundamental issues for facilitating sustainable mineral-based development.

Regional beliefs and cultural dynamics have an impact on what type of governance and the extent of applicability or authority of accountability. Type of governance and level of accountability vary according to type leadership. Recognising that different geo-political areas have different cultural beliefs and, sometimes, traditional leadership or chieftaincy, no particular type of governance surpasses another; hence, hybrid governance could be appropriate in weak democratic systems. Hybrid governance deepens functional alliances; however, the legitimacy of participants in participatory consultations is an enabler to achieving the desired outcomes of the alliance. The cause and consequence of legitimate consultations is, in the main, premised on the hybrid alliances formed between local governments and social movements (de Castro, Hogenboom & Bau, 2016). Studies indicate that governance without government exists in some conflict-affected natural resource abundant countries resulting in weak, fragile or collapsed democratic institutions (Menkhaus, 2006; Logan, 2009; Crook & Booth, 2011). Literature identifies three different types of hybrid governance, namely, historicity (Cleaver, 2010), hybridity (Lund, 2006) and negotiability (Garrett, Sergiou & Vlassenroot, 2009). Different features of hybrid governance, that is, historicity, hybridity and negotiability are outlined hereunder.

The purpose of presentation of the outline of hybrid forms of governance is to have general perspectives of peculiar elements that could be applicable in this case study. Cleaver (2010) argues that the historicity process draws on existing social and cultural arrangements to shape institutions in response to changing situations. Menkhaus (2006) explains historicity in the context of Somalia where a coalition of clan elders, non-governmental organisations, and business formed local institutions. Lund (2006) explains hybridity institutions in the context of vigilantes in Niger mixing symbols of

official police and chieftaincy to legitimise their policing activities. Garrett et al. (2009) argue that negotiability exists in the context of "coercive security governance" (p.11). The use of mineral transportation routes and taxation, for instance, by a brigade of the Congolese Army demonstrates a form of negotiated institutionalised political economic systems between military leadership and the local population. However, an opponent of the hybrid governance approach, Doornbos (2010) criticises hybrid governance arrangement on the assumption that statehood is negotiable at all times irrespective of changes taking place including "deliberate negation of crucial stakeholder interests by those in power leading to little room for 'negotiation' about reconfiguring institutions" (p.761). Schmid (2001) and Menocal, Fritz and Rakner (2008) argue against the hybrid governance framework on the grounds that it would collapse formal state institutions.

The World Bank (2007) describes how elected officials can improve political accountability by overseeing local executives, and improving implementation of local government policies, including direct citizen involvement in policy decision making beyond elections. Good governance, accountability and human rights violations in large-scale extractive industries, unlike small-scale artisanal mining receive extensive scholarly attention (O'Meara, 1975; Katz, 1995; Wolpe, 1972; Carrington, Hogg, & McIntosh, 2011; O'Donnell, 2005; Carrington & Hogg, 2011; Sorensen, 2012; Satgar, 2012; Govender, 2014; Ayelazuno, 2014). Violence can come in the form of a state or mining company support. The contemporary scholarly narrative on mining and human capital accumulation explicate on company-community conflicts over natural resources informed by power imbalance between parties. It is not only the unrealistic expectations of prosperity that pervade the natural resource endowed municipalities in national and local discourses, but also, state-directed violence exacerbated by limited avenues for formal redress (Kamat, et al., 2019; Mejía, 2020; Wilson, 2013; Maconachie, 2014).

Violence in the extractive economy is one cause of instability and social-ills. The discovery of minerals in Kimberly in the late 1860s, in President Paul Kruger's era of

racial segregation led to resistance from African chiefs/*magosi* against the seizure and looting of their wealth by the British settlers (Turrel, 1986). Mineworkers also waged resistance against unjust corporate and labour practices in the 1946 African mineworkers' strike, which also had political and economic aspects (O'Meara, 1975). The term 'mineworkers' was designated to the mine workmen of European descent, whereas African males were referred to as 'kaffirs' or 'boys' at the start of the 20th century (Katz, 1995). Wolpe (1972) argues that segregation in the colonial era provided unskilled cheap African labour and was the basis of the political structure of the Apartheid system. In 1886, the De Beers Diamond Mining Company introduced a 'convict labour' system, a form of cheap labour whereby African mineworkers were isolated in compounds, and denied human rights and freedom of association with their families (Turrel, 1986). In the South African context, the Land Act of 1913 was used to force African men into mine labour, while women were forced to stay behind in rural areas, thereby rupturing family structures. Fragmentation of nuclear families in the South African mining sector weakens households with men confined in the mines (Iliffe, 1999). This era presaged the isolation of Africans from sharing in the wealth generated in the mining sector and the propagated racism, while protecting a range of conservative policies.

In the Apartheid era, police brutality and violence against protesters exacerbate socio-economic struggles and labour-related protests, especially in the mining-led municipalities (Iliffe, 1999; O'Meara, 1975; Turrel, 1986). Post-Apartheid South Africa has also witnessed police brutality against mineworkers and society, developing in shooting and killing of 34 mineworkers in Madibeng local municipality, Marikana (Sorensen, 2012; Satgar, 2012). Lack of accountability also led to the fatal injuries of four community members demonstrating against lack of service delivery in the Madibeng local municipality, at Mothutlung village (Govender, 2014). South Africa's brutal use of state apparatus against mineworkers is consistent with the argument in Lust (2014), Busse and Gröning (2013) that the aim is to 'kill' and render labour movements and activism ineffective. State violence draws attention to a lack of

political accountability, associated with the democratic transition and authoritarian leadership in the Post-Apartheid era. Downey, Bonds and Clark (2010) link the facilitation of natural resource extraction to accumulation of capital through armed violence perpetrated by the police violence.

Workers' and families' human rights have not only been violated in mining dependent societies in South Africa, but also in Peru and Australia. The mining boom in rural Australia adversely affects the wellbeing of non-resident mineworkers, resulting in family breakdowns, violence, and suicide (Carrington, Hogg & McIntosh, 2011; O'Donnell, 2005; Carrington & Hogg, 2011). Similar findings in Hinojosa (2013) reveal that in a mining community in Peru, multinational mining companies exacerbate the rupture of family structures and poor relationships with the local government.

Conflict can potentially co-produce institutions that promote social inclusivity and development of the mineral sector. Studies reveal that not all protests hinder social stability; indeed, institutional change in the extractive sector is more likely to emerge from conflict and negotiation (Bebbington et al., 2013). The study of a similar situation, Kono District, Sierra Leone reveals that to the contrary, where mineral extraction takes place, youth-led social activism and protests against multinational mining companies may lead to citizen engagement, whereupon employment opportunities expand (Wilson, 2013). Further, Bond (2014) asserts that when there is a potential to trigger conflict on mining-related economic or social issues, parties can respond to the situation positively and enhance opportunities for a sustainable trust and relationship building.

In summary, the importance of citizens' participation in the expression of their interests cannot be undermined. It takes co-ownership of accountability across all actors in the society, government and private sector to effectively reduce company-community conflicts in favour of expansion of local economic spin-offs. The municipalities in mining-led extractive economy experience violence and abuse of human rights, which

in turn impact negatively on socio-economic struggles, to cite examples, South Africa, Australia and Peru (Iliffe, 1999; O'Meara, 1975; Turrel, 1986; Sorensen, 2012; Satgar, 2012; Govender, 2014; Beyondblue, 2014; Lifeline WA, 2015; Carrington, Hogg & McIntosh, 2011; O'Donnell, 2005; Carrington & Hogg, 2011; Hinojosa, 2013). Workplace induced stressful conditions and arrangement that negatively impact on families have knock-on effects on communities. Disturbance of family networks and structures adversely affect the wellbeing of the society in that social-ills including unemployment negatively impact on payment of municipal rates, collapse of the local economy and service delivery.

Good governance, accountability and fragmentation of families of mineworker in large-scale extractive industries, unlike artisanal and small-scale mining receive extensive scholarly attention (O'Meara, 1975; Katz, 1995; Wolpe, 1972; Carrington, Hogg & McIntosh, 2011; O'Donnell, 2005; Carrington & Hogg, 2011; Ayelazuno, 2014). Hybrid governance structures serve as enablers for service delivery in the sense that it provides legitimate platform for consensus-seeking participatory engagement. Literature identifies three different types of hybrid governance, namely, historicity (Cleaver, 2010), hybridity (Lund, 2006) and negotiability (Garrett, Sergiou & Vlassenroot, 2009. Legitimate engagements within institutionalised political and economic systems are necessary to redress socio-cultural dynamics through collaborative community-company and community-government structures.

Following the in-depth insight emergent from the literature on poor governance and lack of accountability against the background of exploitation of natural resources, the following section delves into the extractive economy and how it influences socio-economic programmes and service delivery.

2.10 Extractive economy and socio-economic issues

The aforementioned section discussed the outcomes of the natural resource curse, including societal conflicts, exploitation of cheap labour, and corruption, which

displace and destroy communities. In this section, the study explores the socio-economic space typical of the societal setting influenced by the mineral and mining activities. Understanding of the social responsibility programmes, and artisanal and small-scale mining activities casts some light on how the perceived or real community beneficiations overcome societal ills against the background of the ravages of the resource curse. Subsequent to exploration of elements that encourage or discourage social inequality and disable or enable capacity of host communities, section 2.10.1 delves into how social responsibility programmes stand to benefit or disable community service delivery within the extractive economy.

2.10.1 Corporate social responsibility programmes

This section explores company-community relations and reveals what communities stand to gain consistent with the conditions of the license to mine, identifies related challenges and how they can be overcome. This study also examines the space or gap between the rhetoric and the realities of natural resource-driven prosperity, and how the prosperity if any, translates into community expectations. Maconachie (2014) posits that corporate actors integrate community development programmes into the business strategy to avoid the risk of loss of mining license. Some of the responsibilities of mining companies include building of social and physical infrastructures, that is, housing to compensate communities for the influx of labourers (Gifford, Kestler & Anand, 2010). A similar study adds that commitment to Corporate Social Responsibility (CSR) projects in the mining sector can be seen as part of the local government policy paradigm (Javier, 2011). A critique of CSR, Thomas and Montgomery (2015) however argue that companies make false environmental claims to get a competitive advantage and 'good' reputation without incorporating CSR projects that meet the stakeholder's needs.

The South African context of CSR pre-1994 contribution to local economic development was '*ad hoc'* and mines' focus was economic or financial sustainability. This focus was merely a voluntary philanthropic act against a poorly capacitated local

government which cannot be solely expected to address socio-economic development (Mabuza, Msezane, & Kwata, 2010). South Africa employs the social and labour plan (SLP) and the respective legislative prescriptive seeks to empower the mines and government actors, in the main, to support socio-economic projects. Mining Qualifications Authority addresses training, human resources development and mentorship programmes in line with company CSR activities and IDP programmes of the municipalities (Mostert, Chisanga, Howard, Mandhu, Van den Berg & Young, 2016). Challenges of the CSR in the BPDM underscore lack of co-ordination and co-operation with relevant stakeholders, weak policy alignment with key official development plans, and poor monitoring and evaluation of the projects (Siyobi, 2015). To cite an example Siyobi (2015) refers to implementation of a school project whereby education officials unfamiliar with the company CSR strategy resulted in new science laboratories, libraries and toilets without running water. Key inhibitor to successful CSR socio-economic development programmes and capacity development is the existence of mines as islands and with no attempts to integrate themselves into the communities, despite being in the 'spotlight' for the conditions linked to the migrant labour system (Mabuza, Msezane & Kwata, 2010). Dubihlela and Volschenk (2017) argue that the inadequacy of the CSR contributes to high unemployment rate in the Bojanala District attributable to inadequate skills and education.

In Ghana mining companies undertake projects in the form of building schools, providing scholarships and toilets; however, the difficulty with these projects is that they fail to improve the livelihoods of people due to inadequate participation of beneficiaries in determination of priorities and often duplication of projects (Osei-Kojo & Andrews, 2020). The Southern African study of corporate social responsibility indicates that key disablers to socio-economic development in the mining communities are the older notion of 'strategic philanthropy' in Namibia and the 'hit-and-run' style of CSR in Zambia, usually disjointed and once-off in nature, without any form of monitoring and evaluation (Mostert et al., 2016).

In the study of social struggles and political economy in Peru, Lust (2014) reveals that in response to protests by indigenous communities, multinational companies have established 'social responsibility programmes' to try to divert attention and undermine communities. CSR programmes are employed to break unity among host communities, disarticulate conflicts, "close down public debate" (Bebbington, 2010, p.8), obscure real issues (Lust, 2014), and promote public relations exercises (Slack, 2012). Furthermore, CSR leads to ineffective community development programmes with 'pernicious forms of dependence', fragmented communities, weakened political power and voice (Gamu et al., 2015).

However, Dobele, Westberg, Steel and Flowers (2014) argue that CSR programmes together with community engagement can optimise relational dialogue to address power asymmetry among stakeholders and social legitimacy. Dashwood (2012) contends that extractive industries employ CSR to reduce poverty through employment, skills training, and local procurement. Stiglitz (2007) and Bury (2004) advance a contrary perspective to Dashwood (2012) that the extractive industry can aggravate inequality and most significantly create asymmetrical power relations. These studies are consistent with a study on company-community conflicts over natural resources in Kono District, Sierra Leone that underscores how power differentials can breed violent confrontation because of limited avenues for formal redress (Wilson, 2013).

In summary, scholarly debates in the space of CSR are inconsistent. Literature suggests host communities are in a disadvantageous position as regards community benefits from mining companies. South Africa still suffers from the historic philanthropic '*ad hoc'* CSR projects skewed towards financial sustainability programmes, despite high unemployment in host communities (Mabuza, Msezane & Kwata, 2010; Dubihlela &Volschenk, 2017). The extent of the unsavoury company-community relations with regards to capacity development of host communities is exacerbated by power imbalance between the community, local government and private sector key actors or

representatives. Companies are perceived to merely promote public relations exercises with implementation of poorly designed CSR projects, additionally, support the elites, resulting in violence and harmful community disunity (Slack, 2012; Gamu et al., 2015; Conde & Le Billion, 2017; Osei-Kojo & Andrews, 2020). A partnership with key public sector representatives would improve challenges of the CSR through construction of physical infrastructure, including housing to compensate for the influx of labourers (Gifford, Kestler & Anand, 2010; Siyobi, 2015; Ablo, 2020). Local economic investment in the form of transportation and roads infrastructure serves as a critical trade-off in the improvement of socio-economic outcomes associated with a functional public-private-partnership typical of CSR programmes (Bury, 2004; Gama, Le Billion & Spiegel, 2015). However, promotion of functional community engagement structures is potentially a key enabler to narrowing the power imbalance gap and enhancement of service delivery. Integration of youth-focused activities and community development initiatives in the business strategies of mining companies has the potential to sustain capacity development, literature suggests.

The following section discusses the impact of small-scale mining sector on socio-economic development and associated enablers and disablers of service delivery.

2.10.2 Small-scale mining and community development

Examination of the various arguments and perspectives related to social responsibility programmes in the development of the communities prompts the study to examine the roles of artisanal and small-scale mining (ASM) in relation to community development. This motivation is against the context of mining activities associated with local economic development projects and service delivery challenges relevant to this study. The section briefly examines the challenges and enablers experienced in the application of artisanal and small-scale mining activities and how they are overcome to improve capacity development. This study further indicates legitimacy of the sector, describes what training takes place and how related economic spin-offs or challenges enable or inhibit capacity development of service delivery structures and programmes.

Research studies in the artisanal and small-scale mining increasingly cite the need to involve local municipalities to ensure local ownership of activities and programmes of artisanal miners and the need to integrate them in the local economy. (Ledwaba, 2017; Buxton, 2013; Etienne, Binns & Gibb, 2014; Hilson, 2009; Kamlongera, 2011; Mutemeri & Petersen, 2002; Hilson, 2002). Latin American study reveals that there is no evidence of improvement in the social conditions of the small-scale peasant farmers and informal workers (Veltmeyer & Tetreault, 2012). Canavesio (2014) describes ASM related developments as locally driven and owned whereas, industrialised mining (IM), that is a significantly large-scale mining, however "less adapted to the needs and conditions of the host communities" (p.152).

The South African context of artisanal and small-scale mining (ASM) underscores support of the sector since the Post-Apartheid era to redress social and economic imbalances by developing Historically Disadvantaged South Africans (HDSAs) (Ledwaba, 2017). Many ASM operations in South Africa are illegal. In the South African context, there is a government shift towards formalisation of the illegal ASM. The Chamber of Mines (2016) claims that illegal artisanal mining is on the rise in South Africa with an estimated 14 000 illegal miners and an estimated value of the industry is R6 billion annually. In the main causes of illegal mining activities are mine closure, mineworker retrenchments, high unemployment rates, high levels of poverty, declining gold price, immigration, and narrowing of formal channels of entry (Nhlengetwa, 2016). Ledwaba (2017) argues that the sector experiences major challenges in relation to structured support framework, access to minerals rights, finance and markets, appropriate technology and skills. Extractive industries perceive ASM as competitors; therefore, it is important to avoid top-down approach consultations between the community leadership and mining companies in recognition of the inherent structural challenges of ASM environment (Buxton, 2013; Etienne, Binns & Gibb, 2014; Hilson, 2009).

Despite challenges in the informal mining sector, Mutemeri, Sellick and Mtegha (2010) argue that legal small-scale mining entrepreneurial activities are growing in South Africa and women increasingly participate in the business. The first case studies of illegal ASM operations documented in South Africa are in the Northern Cape and KwaZulu-Natal where women miners extract coal for brickmaking (Dreschler, 2001). The ASM activities are widespread across all nine provinces (Ledwaba, 2017). To cite another example of a successful ASM project, the study unpacks the plight of an ASM operator in Indwe, South Africa. The case study of Indwe ASM operators illustrates that small-scale miners are vulnerable, earn low incomes, and yet adopt desperate measures in order to survive (Andrew, 2003). Despite their vulnerability, the Idwe community set up a robust, albeit illegal, economic network which mines coal. The business also supports a trucking industry. The industry in turn supplies a major community-based brick-making endeavour, which supports markets in the formal sector (Nel, Binns & Gibb, 2014). Although Indwe operations are illegal it represents a microcosm of international debates including the questions of local economic impact, sustainability, and health and safety in relation to artisanal mining (Hilson 2002). It is, therefore, necessary to impart skills to small-scale miners, establish synergies and collaborative efforts at municipal level since currently only national bodies are involved in the ASM sector (Ledwaba, 2017).

In Sub-Saharan Africa, two million people depend on small-scale mining economy (Hilson, 2009). In the context of the African countries, a study of artisanal and small scale mining (ASM) in Malawi found that ASM had the potential to contribute significantly to rural livelihoods, however, the sector "must be formalised and form part of rural poverty alleviation strategies" (Kamlongera, 2011, p.1137). In southern Zimbabwe, rural communities are shifting from on-farm to off-farm livelihoods by pursuing artisanal gold mining to realise a livelihood (Morris, Kaplinsky & Kaplan, 2011; Kamlongera, 2011; Mabhena, 2012). Werthmann (2009) contend that many indigenous people in Burkina Faso are highly active in the small-scale mining sector. Hentschel et al. (2002) advance similar opinion and add that small-scale mining employ

a considerable amount of local people in host communities, for instance, employs approximately 12 million people worldwide. Notwithstanding, the low technological skills, labour intensive and low capital industry (Gamu et al., 2015) with potential health and safety risks (Hilson, 2002), the ASM may create up to six downstream jobs (Hilson & McQuilken, 2014). However, there is some resistance from local municipalities to ASM, as local municipalities associate it with social-ills such as substance abuse and prostitution (Werthmann, 2009). Similar grounds for opposition are however, business oriented, for instance the inappropriateness of business mechanisms and the lack of recognition by financial institutions (Hilson, 2012).

In summary, South Africa has a growing small-scale mining sector that could become the cornerstone of rural development found widespread across all provinces (Mutemeri & Petersen, 2002; Ledwaba, 2017; Mutemeri, Sellick & Mtegha, 2010). Major causes of illegal mining activities are mine closure, mineworker retrenchments, high unemployment rates, high levels of poverty, structured support framework, access to minerals rights, finance and markets, appropriate technology and skills (Nhlengetwa, 2016; Ledwaba, 2017). It is against the background of these challenges, mining entrepreneurs often conduct small-scale mining operations individually and illegally (Phiri, 2011; Buxton, 2013; Etienne, Binns & Gibb, 2014; Hilson, 2009). Notwithstanding the challenges of sustainability, health and safety, low technological skills and low capital (Hilson 2002; Ledwaba, 2017; Gamu et al., 2015) artisanal mining creates downstream economic activities (Hilson & McQuilken, 2014). Although ASM activities are illegal, to some extent the sector redresses social and economic imbalances in the historic South African context. An expansion of synergies and collaborative efforts at municipal level stands to enhance capacity development of service delivery structures and programmes enablers, that is, increase opportunities for employment, skills development and payment of municipal services.

In conclusion the foregoing discussions in section 2.10, *Extractive Economy and Socio-Economic Issues* examine how the extractive economy enables or impedes capacity

development in relation to quality service delivery. The debates inclusive of challenges of CSR and ASM highlight that, there is no 'one size fits all' solution to issues of governance; however, it is acknowledged that the challenge is to assist in establishing efficient and effective contextualised governance processes (Desai & Jarvis, 2012). The foregoing studies and discussions demonstrate that poor governance is often mirrored in the dissatisfactory state of the local socio-economic milieu and inefficient capacity development.

The following section delves into the concepts of rurality and municipal governance, and homes in on intersection of the key narrative elements that enable or disable capacity development of service delivery structures and programmes in South Africa.

2.11 Concepts of rurality and municipal governance

The next section elucidates on the character of public service delivery in a rural setting, a key focus area of my research since it characterises the five rural local municipalities. This study is based in local municipalities characterised by rural-urban migration with some, such as Rustenburg and Madibeng being partially urbanised. Migration from rural areas to the urban areas remains an attractive choice for job seekers that leave poor and economically vulnerable rural households. Urban household locations allow access to the labour market, monetary income, and secondary education; whereas, rural locations bring up and educate children, and care for elderly or sick household members (Steinbrink, 2010). Critical reflection on the nature of capacity development elements peculiar to rural public service delivery challenges, underscores an enormous imbalance in the social and economic dynamics between the urban and rural municipalities. Lipton (1977) is the first to coin the phrase 'urban bias', which describes the outcomes of selective service delivery programmes that favour urban areas at the expense of the rural poor.

In the South African local government narrative, service delivery describes the distribution of basic resources that citizens depend on, such as water, sanitation,

infrastructure, land and housing to the satisfaction of communities (Nealer, 2014; Ndebele & Lavhelani, 2017; Akinboade, Mokwena & Kinfack, 2014). In the context of the legislation, the Constitution of the Republic of South Africa (1996) defines service delivery as the provision of sustainable services by the municipality to communities. Public service delivery is necessary to ensure an acceptable and reasonable quality of life (Local Government Municipal Systems Act, 32 of 2000). Unfulfilled service delivery promises often lead to societal dissatisfaction and protests, sometimes violent protests (Ncube, 2014; Mpofu & Hlatywayo, 2015). Lack of communication between community members and ward councillors makes it difficult to collect revenue from local communities (Ndebele & Lavhelani, 2017).

The mobile and heterogeneous societal setting typical of host communities impacts negatively on cultural identity and beliefs. Accordingly, Mayer and Mayer (1971) refer to a 'walk to the mine' of migrant labourers, whereas Steinbrink (2010) calls the practice the walk a male rite of passage. Despite the political changes in the post-Apartheid era, the BPDM rural mining villages and towns are still characterised by the draconian migrant labour system as described by Wolpe (1972).

The labour migration from rural to urban areas brings along the unidirectional flow of money to the benefit of the urban areas. According to Steinbrink (2010), the concept of migration entails the flows of money, ideas, cultural identity, and livelihoods. This type of migration associated with rurality is termed 'translocal livelihood' dependent on migrant labour remittance (Lohnert & Steinbrink, 2005; Steinbrink, 2009). Remittances are perceived as not only a voluntary compliance, but also an implicit or explicit contractual arrangement between the family and the migrant to compensate for the lack of government programmes (Stark & Lucas, 1988; Stark, 1991; Sana & Massey, 2005; Amoako & Apusigah, 2013). Adaawen and Owusu (2013) argue that remittance is important, especially, in the 'lean season' when the family food stock has diminished. Although migrants undertake a noble sacrifice to support the 'altruistic motive' towards the socio-economic wellbeing of the family back home (Adaawen &

Owusu, 2013); however, to the contrary Kwankye (2012) asserts fathers squander their sons' hard-earned monies. Internal migration and use of remittances may not always alleviate poverty or improve upon their earned income (Serbeh, Adjei & Yeboah, 2015). Thus, the remittance arrangement by its nature cannot overcome rural service delivery challenges and sustain household livelihoods including economic investments.

To sum it up, rural local municipalities are likely to experience dissatisfactory public service because of the selective bias of developmental programmes. The concept of rural public service delivery underscores disabling elements to functional service delivery in favour of urban areas at the expense of the rural poor. The 'biased' nature of distribution of basic resources tilted in favour of urban municipalities comes at the expense of the rural poor municipalities (Lipton, 1977; Nealer, 2014; Ndebele & Lavhelani, 2017; Akinboade, Mokwena & Kinfack, 2014). In addition, migrant labour movement creates unstable mobile societies. Although the movement of migrant labourers attempts to redress the prevailing economic challenges at home, poor rural communities continue to rely on an unsustainable remittance system. These social setting makes it difficult to attract and retain skilled labour, retards rural infrastructure development and local economic investment necessary for provision of basic services. Rurality in the local municipalities typically underscores exclusion of the society from access to affordable basic services, retardation of available infrastructure and lack of employment opportunities.

The next section critically reflects on the key themes that emerge from discussions of local government capacity development as it pertains to peculiar and distinct issues in relation to enhancement of capacity development of service delivery structures and programmes.

2.12 Consolidation of local government capacity development

While the scholarly debates on the questions of capacity development and service delivery are distinct, their operationalisation in the context of local government is not always mutually exclusive. Although the discussions broadly cover different contexts in relation to enablers and inhibitors of capacity development of service delivery programmes and structures, in essence they underscore some of the research findings corroborated and explained in Chapter Six. At this point, emergent themes from the literature advance impediments and enablers to service capacity development embedded in the realm of economic collaboration, leadership, and skills enhancement issues. Literature on knowledge management, mentoring, and change management strategies advances the argument for integrating the catalytic models to enhance capacity development of service delivery programmes and structures.

Literature on regional economic collaboration and development policies dovetails national and regional economic agendas consistent with Mhone (1995). However, weak institutions and political elites interfere in the administration-political internal environment; at the expense of unfulfilled expectations of ordinary citizens (Arezki & Van der Ploeg, 2011; Bhattacharya & Hodler, 2010; Gylfason, 2001; Leite & Weidman, 1999; Ngwenya & Botha, 2014; Dzansi et al., 2016). However, despite political interference employees need to be willing to contribute to structuring of the organisational strategy (Chourides et al., 2003).

Implementation of service delivery is inseparable from capacity development that attracts collaborative consensus-seeking participatory resource allocation policy alluded to in Mate (2001). Participatory consensus seeking processes have a constructive bearing on regional integration and harmonisation of policies as asserted to in Opalo (2014). Literature also advances similarities, dissimilarities and contradictions that explain how the country-specific policies and regional legal frameworks, FDI and governance affect service delivery and capacity development.

Scholarly debates underscore the numerous capacity development disablers including state brutality, corruption and violation of human rights. Violation of human rights in the form of discriminatory cheap labour system, disruption of family structures and denial to freedom of association stunts socio-economic development and adds to the burden of unemployment and social-ills (Iliffe, 1999; Turrel, 1986; Murray, 1981; Mehta, Dhankar & Kurbetti, 2014). Youth unemployment, community protests and other social-ills make it difficult for the local municipalities to collect revenue and improve service delivery. Unemployment leads to expansion of the vicious circle of poverty in the form of a dearth of skills in local municipalities.

The following section summarises key enablers and disablers in relation to capacity development peculiar to BPDM.

2.13 Summary of the literature review

In summary, this chapter hones in on the local and international literature and employs them for benchmarking and generating lessons relevant to the study. The main purpose of this review is to reveal understanding of the body of knowledge, in relation to *challenges in effectively utilising capacity development resources and programmes* in Bojanala Platinum District local municipalities, and how they can be overcome. Further, the study establishes and demonstrates the nexus between service delivery and capacity development issues premised on the nuances embedded in the interface of the internal-external organisational milieu. It also explores key structures and programmes across all tiers of government for enhancing capacity development in the developing and developed countries to deliver services. I also employ the literature to answer: *What are the facilitators and inhibitors of capacity development initiatives in relation to implementing service delivery programmes*? *How do local mining companies contribute to capacity development in enhancing service delivery?* Lastly, *how can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results*? Thus, this literature review advances the summarised assimilation of prior knowledge to learn from others and generate new

ideas (Neuman, 2006). I employ the aforementioned rich body of knowledge on the nexus between service delivery and capacity development issues to frame the study.

Chapter Three demonstrates a confluence of aspects advanced in the literature review premised on the problem statement and knowledge gap. Issues associated with human capital development, municipal performance, and participatory governance in relation to maximising governance in the extractive economy are pooled together to generate the theoretical and conceptual frame works.

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CHAPTER THREE

FRAMING SERVICE DELIVERY CAPACITY

3.1 Introduction

This chapter presents the study's theoretical and conceptual frameworks that inform the methodology, and develops an argument and counter argument consistent with Badenhorst (2008) in alignment with the problem statement. The theoretical and conceptual framework recognises that there are impediments to efficient municipal resource allocation for municipal skills development, performance improvement, and collaborative participation. The impediments affect outcomes in relation to achieving desired developmental goals.

Contemporary literature highlights the traditional roles of human resource practitioners beyond imparting skills to individuals, mentoring and coaching. Below, the study explores HRD transformational theories as they relate to different discourses on municipal capacity development. In the context of the historic South African mineral resource milieu, transformation of the workplace is articulated in the legislation to redress inequality. Studies on the subject of HRD roles discuss the performance improvement theory (Gilbert, 1978) and human capital theory (Zula & Chermack, 2007), and the overlap and interdependence of these theories.

Boyd's Jungian Theory argued in Boyd (1994) and Jung (1964) emphasises individual talent empowerment at workplace. Transformational theories argue for equality at workplace and in the society. Paulo Freire's Emancipatory Theory (1970) argues for societal radical emancipation from skills deficiency, oppression and extends to collaboration or relationship building. Similarly, Collaborative Governance Theory explains participatory governance (Imperial, 2005; Ansel & Gash, 2007).

Transformational and participatory governance theories are inseparable for understanding how to optimise capacity development in municipal governance.

The orientation of theoretical perspectives and the conceptual attributes determined in this chapter are further linked and integrated to the data in Chapter Six. In addition, consistent with Gustafsson (2017) this research is a single case-oriented study, which has the advantage of allowing the researcher to question old theoretical relationships, explore new ones, and provide a deeper understanding of the explored subject. The nature of the problem and theoretical inclination in this qualitative case study drives the research to examine the perspectives of the unit of analysis. The unit of analysis is located in the various departments in the local municipalities of Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane, and Moretele, as well as the Bojanala Platinum District Municipality. In particular, the unit of analysis is located in the chief financial officer (CFO), human resource development (HRD), integrated development plan (IDP), local economic development (LED) units, and offices of the municipal managers across all municipalities. These departments provide valuable data on the BPDM.

3.2. Theoretical framework

The aim of this chapter is to justify with scholarly based explanations the theoretical orientation and conceptual framework employed by the study. According to Hanekom and Thornhill (1983, p.48) theory is "derived from a Latin word, *theoria* and Greek *theoreo*, meaning contemplation, speculation and sight". In addition, theory is used to indicate "a frame of reference and abstracted generalisation that may stand in lieu of facts" (Hanekom & Thornhill, 1983, p.48). Subsequent to the discussions of the theoretical framework, this study probes the conceptual framework that evolves from the theoretical framework. In contrast, a conceptual framework "helps to model relationships between theories; reducing theoretical data into statements or models; explicating theories that influence the research; creating theoretical links between extant research, current theories, research design, interpretations of findings and conceptual conclusions" (Leshem & Trafford, 2007, p.101). Badenhorst (2007) points

out that the conceptual framework assists in examining the key concepts used in the research, identifies the relationships between concepts, and provides the basic outline for analysing the data and drawing conclusion.

Hereunder the study discusses compares and critiques aspects of Human Capital, Performance Improvement and Collaborative Governance Theories in relation to improving local government service delivery. Furthermore, section 3.2.6 explains the integration of the theories and the leading theory employed in this study. Theories that could be applicable in the study of capacity development of service delivery structures and programmes are examined, critiqued, similarities and contrasts deliberated upon in the context of local government.

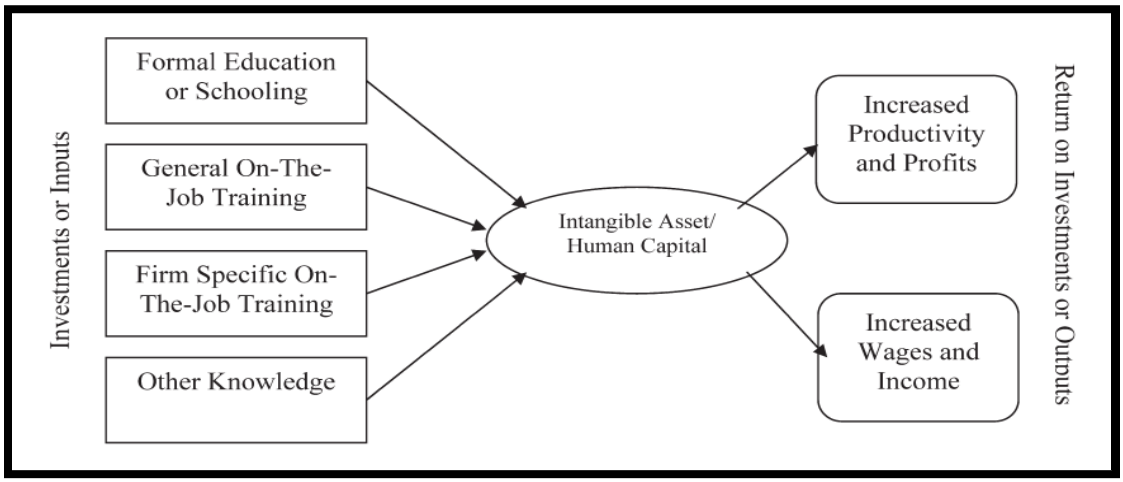
3.2.1 Human Capital Theory

This section presents contextual issues central to the Human Capital Theory. Development of municipal systems depends on individual talent empowerment, knowledge and skills enhancement. Shultz (1961) defines human capital as not only the knowledge and skills acquired through education and training; but also, a form of capital and product of deliberate investment that yields economic returns. Organisational learning is an HRD-driven process to optimise skills and knowledge (O'Keeffe & Harington, 2001), and investing in human capital has financial benefits in the form of functional skills and experiences (Harbison & Myer, 1964; Swanson & Gradous, 1988).

Human Capital Theory (HCT) emphasises investment in training and knowledge acquisition with subsequent productive economic outcomes in the institution (Snell & Dean, 1992). Contrary to the Emancipatory Theory in Freire (1970) that advances societal empowerment, equality and transformation, Becker (1993), Zula and Chermack (2007) identify effective training programmes, employee turnover, and employee retention strategy as some of the key issues associated with HCT. The human capital investment model represented in Figure 3.1 distinguishes several types of

education and training as inputs, that is, higher education levels (Cohn & Geske, 1990), workplace informal education (Schultz, 1981), on-the-job training (Mincer, 1974), and job-specific education (Corazzini, 1967).

Figure 3. 1: Model of Human Capital Theory



Source: Zula and Chermack (2007).

However, there are some limitations to the rationale for application of HCT. Schultz (1971) asserts that education improves economic capabilities of communities. The reality is that market volatility and economic downturn could result in downsizing, subsequently, shrinking the tax base in the local municipalities. This argument is consistent with Sweetland's (1996) assertion that individuals and societies derive financial benefits from investing in people. Nonetheless, investment in education alone is not always a success in attempts to enhance learning and municipal capacity. The mere existence of workplace skills training structures and programmes does not warrant possible improvement in public service delivery. Ubels, Acquaye-Baddoo and Fowler (2010) argue that an organisation that is inadequately structured cannot benefit from training courses and skills acquisition. HCT highlights the problem of underinvestment in human efficiency consistent with the science of economics. Thus, underinvestment in human efficiency underscores that neglecting the poor and disadvantaged is economically inefficient (Becker & Ewald, 2012; Tan, 2014).

Goodwin (2003) expands further, that although this economic approach is accused of having dehumanising effects, 'human capital' has been a powerful force in relieving dehumanising effects by investing in individuals and their skills.

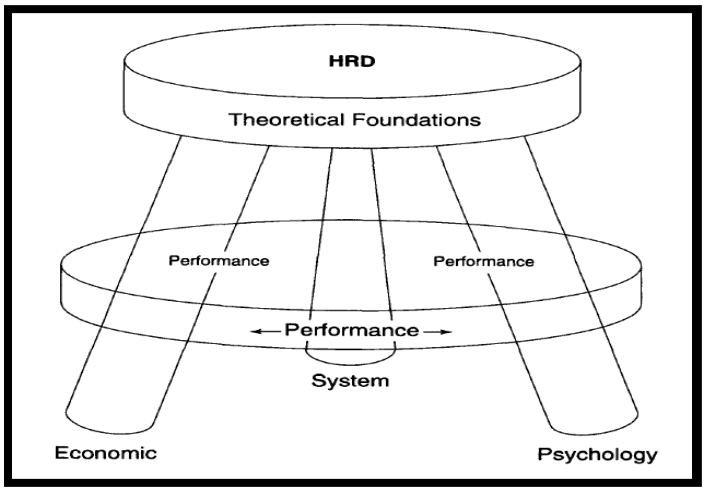
The aforementioned arguments suggest that human capital could optimise economic capabilities of communities by employing equitable societal empowerment and transformation of all sectors. Despite shortcomings alluded to on human capital development, HCT is integral in the theoretical framework as an entry point to redress municipal capacity development challenges. The following section examines performance improvement in relation to municipal capacity development.

3.2.2 Performance Improvement Theory

This section examines the performance improvement theory in relation to issues associated with organisational performance. Gilbert (1978), Rummler and Brache (1998) argue that based on the performance improvement theory, human performance could be developed through skills empowerment and aligning consequences to performances. The performance improvement theory also underscores the need to institutionalise learning to enhance organisational performance (Rothwell & Kansas, 1994).

Weinberger (1998) argues that the performance improvement theory (see Figure 3.2) is integrated into Economic, System, and Psychology Theories. However, Mwita (2000) argues that in organisations, performance should be evaluated not just from an economic perspective, but also from a social, behavioural, and managerial perspective. The system theory assists in determining the name of the institution's system, its purpose, and parts of the system that fit into the thinking model of inputs, process, outputs, and feedback (Swanson, 1999; Waheduzzaman & Mphande, 2012).

Figure 3. 2: Model of the Theory of Performance



Source: Weinberger (1998).

Notably, participatory performance improvement would strengthen municipal structures and collaborative inter-governmental good governance in relation to capacity development of service delivery structures and programmes. Sanderson (2001) asserts that developing a "supportive infrastructure" (p.310) of systems and processes reinforces an appropriate culture of performance. Arguably, aspects associated with effectively developing municipal performance would serve as building blocks to good governance. Consistent with the performance improvement theory in Swanson (1999), Gradous (1989) argues that management has to make informed inputs or decisions about how the non-static system has to be improved, premised on the envisaged outputs in relation to organisational performance. Successful assessment of the performance improvement process facilitates production of organisational policy outputs, Swanson (1999) asserts. Improved performance is an outcome premised on efficient municipal legislation and policy outputs to enhance dynamic service delivery systems.

Contrary to the assertion that rewards for performance improve organisational productivity, (Denison, 1967); Gagne and Deci (2005) contend that the rewards result in poorer individual performance, and decreased productivity (Moynihan, 2010). Moreover, Huang and Feeney (2016) advance the argument that although autonomous

motivation enhances investments in behaviours, positive life experiences and work environments are at the risk of being damaged by performance-based reward systems.

Despite the importance of other associated theories indicated in the aforementioned sections, the Human Capital and Performance Theories seek to address challenges related to skills acquisition and organisational effectiveness. However, effective implementation of the inseparable performance improvement theory and HCT could be difficult in a rural developmental state municipality as it has to attract, retain, and compete for skilled labour with the private sector from the same pool or community.

The study suggests that HCT not only lays a solid foundation to the operationalisation of attributes identified in the conceptual framework through the performance improvement theory but also, the participatory collaborative governance theory as discussed hereunder.

3.2.3 Collaborative Governance Theory

This section examines theories associated with municipal collaborative relationships and building initiatives to advance municipal service delivery through participatory governance. Despite the challenge of heterogeneous and mobile societies, democratic institutions have to facilitate stakeholder engagement and empowerment to achieve their development goals. Since there is no consensus on how participation should be theorised and defined, it is necessary to examine multiple approaches for advancing the understanding on the role of participation in contemporary societies (Carpentier, 2016).

Imperial (2005) maintains that “collaborative activities largely consist of government service delivery at operational level” (p.289) and the challenge for public managers is to fulfil public expectations in relation to quality service delivery. Wampler (2012) defines participatory governance as the “formal representation of the public voice in political decision-making structures beyond the ballot box” (p.669). Collaborative theory highlights the technical aspects of participatory governance, raises challenges

to transforming governance issues, and justifies sustainable participatory activities in the municipality. Jones, Hackney and Irani (2007, p.48) state that "citizen engagement is critical" for effective development and public service delivery. Citizen engagement is especially critical in developing countries (Fung & Wright, 2001). In this perspective, effective development is an outcome of most of the populace productively using resources (World Bank, 2007).

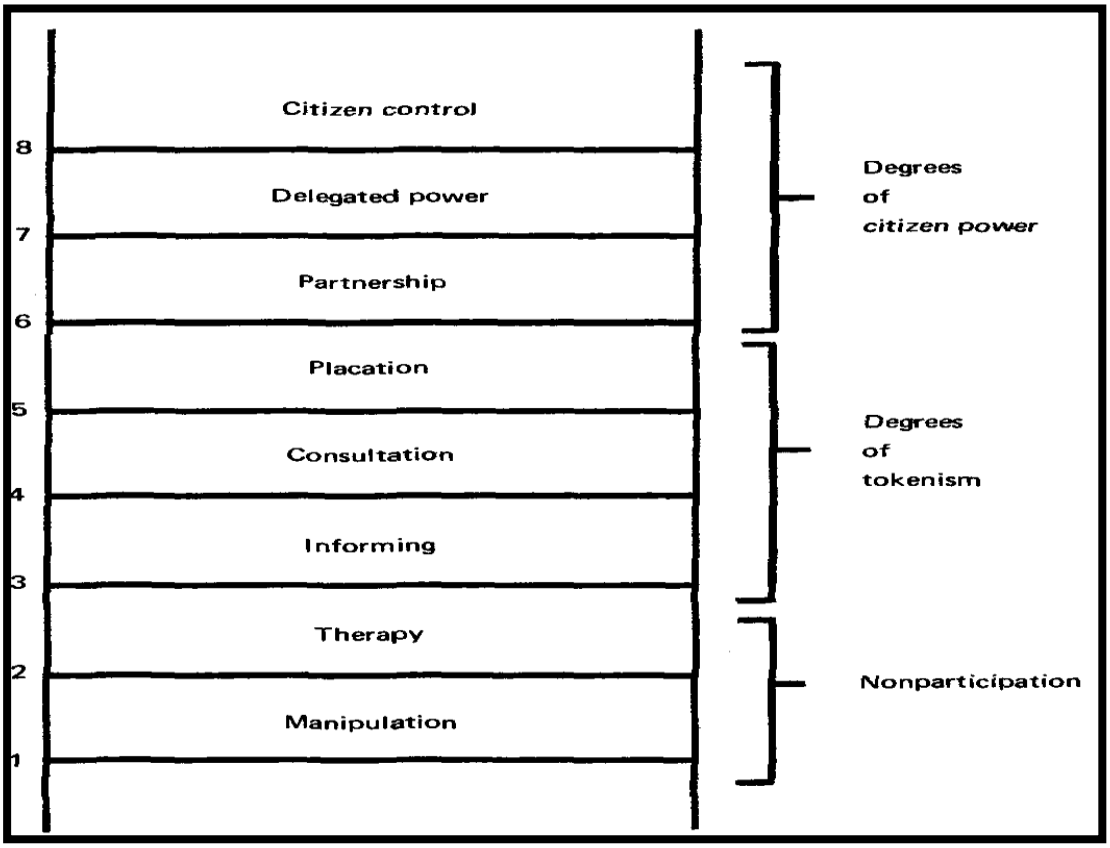
An analysis of 137 case studies on natural resource management (Ansell & Gash, 2007) advocates for using Collaborative Governance Theory, which covers: facilitative leadership, municipal design, and collaborative processes to the promotion of municipal participatory governance. The model is elaborative and could be useful in an endeavour to create synergy and promote cohesive partnerships in establishing the interactive municipal-led IDP forum and mining-led SLP Future Forum in an extractive economy. Facilitative leadership is a key aspect in consensus-building, promoting active participation and trust among the parties the model suggests. Persistent asymmetrical economic power relationships between multinational extractive corporations and weak host governments can lead to mistrust among civil society and municipal office bearers, thereby incite conflict in the communities (Akiwumi, 2012). Thus, trust is very important for sustainable governance networks (Klijn, Edelenbos & Steijn, 2010).

A collaborative process can be complex because of the non-linear character of interaction and the type of feedback obtainable from stakeholders. Typical of hybrid governance, rural municipalities caught in-between leadership rivalry of traditional councils and the politically elected municipal councils, stakeholders could be vulnerable to manifestations of antagonism. Waheduzzaman and Mphande (2012) argue in their findings on citizen participation in a Bangladeshi local government, that local government officials have the propensity to undermine the intelligence of locally elected political leaders. Conversely, they argue that community members do not trust their politically elected representatives who tend to regard them as poor and illiterate.

Measures to circumvent social discontent, for instance, mistrust and antagonism among stakeholders are of paramount importance, and empowering disputants and adjusting social relations could curtail undue antagonism and conflict (Bond, 2014).

In the context of the historic infamous Apartheid era Bantustan, manipulation of homeland leaders was prevalent despite resistance from civil society; conversely, the democratic dispensation has demonstrated a political will to consult with communities. The mere existence of participatory structures could be equivalent to sheer tokenism, ineffective, and arguably an unproductive 'informing' phase of engagement, resulting in inadequate public service delivery. The Arnstein (1969) model of participation, in Figure 3.3 illustrates the eight steps essential for citizen participation with progressive effectiveness.

Figure 3. 3: Eight rungs on a ladder of participation



Source: Arnstein (1969)

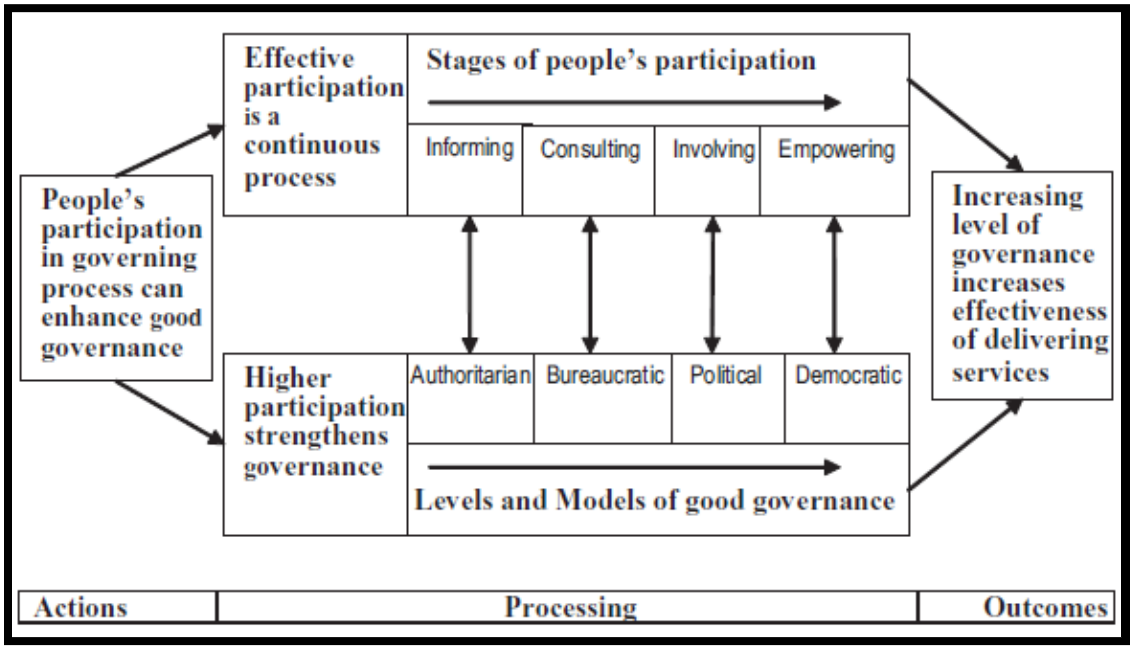
The model allows for substantial measures and levels in relation to citizen participation. The desirable degree of citizen empowerment entails citizen decision-making at the 'citizen control' rung of the ladder, whereas the undesirable manipulative stage of participants is at the 'manipulation' step of the ladder. The 'Arnstein ladder' model of participation is integrated into the collaborative and participatory governance models. Arnstein (1969) argues that in the real world there might be many rungs with less sharp distinctions and some of characteristics used to explain each of the rungs might overlap in other rungs.

> *The ladder juxtaposes powerless citizens with the powerful in order to highlight the fundamental divisions between them. In actuality, neither the have-nots nor the power-holders are homogeneous blocs. Each group encompasses a host of divergent points of view, significant cleavages, competing vested interests, and splintered subgroups. The justification for using such simplistic abstractions is that in most cases the have-nots really do perceive the powerful as a monolithic "system," and power-holders actually do view the have-nots as a sea of "those people," with little comprehension of the class and caste differences among them* (Arnstein, 1969, p.217).

Opponents to the ladder of participation in Arnstein (1969) argue that the distinct rungs do not explain participatory intensities that often lead to settlement for a "rough, comparative judgement where there are forces pulling in opposite directions" (Ward, 2011, p. 227). Although the model is an old version of citizen participation, it is included in the study because it demonstrates the nature of power relations in decision-making process and heterogeneous nature of participants in a collaborative participation setting. Participatory initiatives aligned to this model are non-numerical, and the model is important for highlighting issues of citizen power, tokenism and non-participation.

The participatory governance model in Waheduzzaman and Mphande (2012) in Figure 3.4, represents a confluence of models of participation, and emphasises that good governance empowers citizens in a democratic society. Collaborative participation enhances governance and public service delivery in a non-linear process (Waheduzzaman & Mphande, 2012).

Figure 3. 4: Participatory governance conceptualised theoretical framework



Source: Waheduzzaman and Mphande (2012).

In a study of collaborative governance in China, and against the backdrop of political science school of thought, Wang (2014) suggests the polycentric governance model that advances equal consultation among the multiple and social entities. The model also suggests that multi-stakeholder collaborative governance creeps into management of organisational risks, thus a shift beyond the original singular departmental collaboration.

In South Africa, a lack of administrative, financial, managerial, and municipal capacity is exacerbated by poor collaborative partnerships between local government and the tertiary education sector (Gqamane & Taylor, 2013). Functional collaborative

partnerships (Gqamane & Taylor, 2013) and equal consultation (Wang, 2014) promote democratic good governance within participatory empowering systems (Waheduzzaman & Mphande, 2012). However, participation promotes inequality (Mansuri & Rao, 2004; Platteau, 2008) and widens the opportunity cost or incentive gap (Platteau, 2008).

In summary, there is no single solution or theoretical orientation to address challenges of capacity development of service delivery structures and programmes. To cite an example, conversations to redress inequality at workplace through participatory governance could unintentionally evoke some animosity and widen the gap in allocation of performance incentives. Disempowered citizens and other weak participants in coalitions could be subjected to subtle nuances, manipulation and coercion unaware of the *win-lose* outcomes of the planned participatory process in favour of unscrupulous powerful parties. Outcomes of the collaboration process could be non-binding to participants due to questionable legitimacy of representatives or vague ground rules, despite exhaustion of resources aimed at achieving an amicable *win-win* situation. Good democratic collaborative partnerships rooted in equal consultation promote the establishment of participatory empowering systems. The next section discusses representation of the capacity development framework.

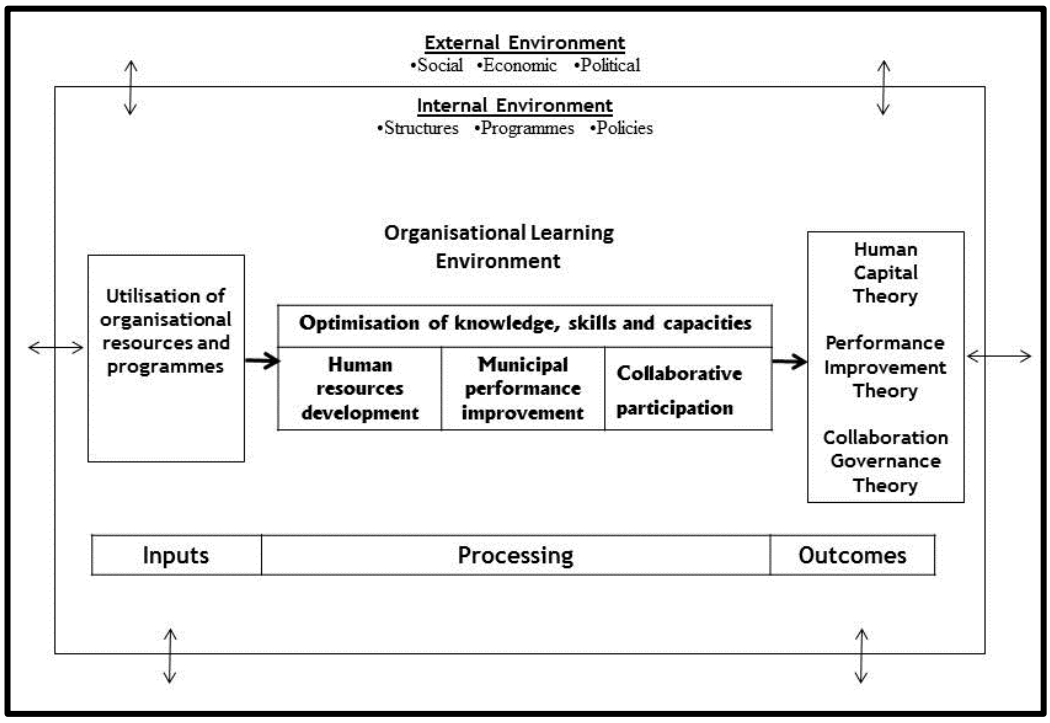
3.2.4 Representation of the theoretical framework

This section discusses how integrating different organisational learning processes (section 2.2, section 2.3 and section 2.4), premised on enhancing utilisation of resources and programmes generates the respective theoretical frameworks (section 3.2.1, section 3.2.2 and section 3.2.3) as demonstrated in the capacity development theoretical framework represented in Figure 3.5.

The discussed literature also examines how the different components of mentoring, change, and knowledge management could be associated with measures to optimise organisational learning, that is, knowledge and skills supported organisational

capacities. Human Resource Development (HRD) emerges as a strategic people-development tool located in the Human Resource Management (HRM) unit responsible for implementing transformative policies. Lusthaus et al. (1995) contend that institutional assessments serve to determine the capacity gap based on the use of resources. Effective human resource planning informs human resource management (HRM) of any skills deficit or surplus, and the required strategic recruitment actions aligned with the human resource development policies to address the skills gap (Dyer, 2006). Getting the right people for the right job at the right time sustains effectiveness of an organisation (Grobler et al., 2006). The HCT is fundamental to initiating measures to address the skills gap that results from an imbalance of skills demand and skills supply at the entry point to municipal performance and participation. Performance improvement theory cuts across both the Human Capital and Collaborative Governance Theories, facilitating effective implementation of sustainable local government developmental policies.

Figure 3. 5: Capacity development theoretical framework



Source: Own (2016).

Furthermore, the literature explains how the external and internal organisational environments are non-static and peculiarly inter-twined with government capacity development initiatives, under the influence of the extractive economy. Organisational assessments serve to determine the capacity gap in relation to capacity development of service delivery structures and programmes (Lusthaus et al., 1995). The above models show that learning organisations endeavour to narrow the skills gap to align with organisational needs and capacity.

Examining the different theories on human resource development and how they refute, contradict, supplement and oppose each other is suggestive of the capacity development framework represented in Figure 3.5. The foregoing sections demonstrate the dominant debates, critical reflections on the different components and perceptions of scholars of the human capital, performance improvement, and participatory governance theories. Table 3.1 below, shows the key issues emerging from discussions of the respective theories as well as limitations, proponents, opponents, and arguments for and against. Arguments for and against the theories are further critiqued in the next section as an entry-point to develop the conceptual framework in section 3.3.

Table 3. 1: Summary of Theories

Theories	Authors	Key Arguments	Key Issues	Arguments against/limitations
Human Capital	Becker (1993); Zula and Chermack (2007). Harbison and Myer (1964); Swanson and Gradous (1988).	Education, effective training programmes, employee turnover and employee retention strategy enhance productivity and return on investment (ROI). Financial benefits acquired from investment in human capital.	Training programmes; perceptions on investment in training; employee turnover and employee retention strategy.	Labour a commodity to maximise capitalist profit and legitimises economic inequality (Bowles & Gintis, 1975)
Performance improvement	Gilbert (1978); Rummler and Brache (1988). Swanson (1999). Denison (1967).	Human performance linked to economic investment. Identifies organisational systems and purpose. Optimising consequence management. Performance rewards enhance productivity.	Performance specifications; Employee skills; Performance improvement at individual, organisation and process levels. Performance feedback; alignment of consequences to performance	Allocation of performance improvement incentives is exploitation at workplace (Korten, 1995).
Participatory governance	Imperial (2005); Ansell and Gash (2007) Waheduzzaman and Mphande (2012). March and Olsen (1989); Edelenbos (2005).	Collaborative process – promoting participatory governance. Direct participation of the vulnerable and disadvantaged inclusive. Development without people's participation lacks sustainability Transforming, establishing new municipal institutions and conflict with old institutions' traditional practices.	Stakeholder inclusiveness; Trust; Power; Values; Type of leadership; Co-operation and Transparency. Participation of political office bearers; New roles of civil servants in the facilitating interactive governance.	Inequality (Mansuri & Rao, 2004; Platteau, 2008). Participation as the 'new tyranny' (Cooke and Kothari, 2001). Opportunity cost or incentive gap (Platteau, 2008). Preference system with some uncertainty (Somville, 2006). Opportunistic and manipulative elites (Tembo 2003; Nygren, 2005).

Source: Own (2016)

3.2.5 Limitations of the theories

This section examines the limits of the above theories. Human Capital Theory (HCT) derives from the neoclassical school of thought in economics whereby individuals endeavour to maximise their own economic interests, investing in education and training in the hope of getting a higher income in the future (Tan, 2014). Despite limitations to the HCT, there are no sufficient reasons to reject it as a whole (Blaug, 1992). In addition, Tan (2014) argues that a researcher should not fall victim to "naïve falsificationism" (p. 436) to abandon scientific research each time one encounters a refutation. Opponents of HCT are far from developing an equally robust theory that depicts the same phenomenon (Tan, 2014), and similarly it takes "a theory to beat a theory" (Herfeld, 2012, p. 78).

Fabricant (1959) argues that HCT emphasises the importance of intangible human capital associated with education, skills training, and experience for enhancing productivity, similarly asserted in Zula and Chermack (2007), Swanson and Gradous (1988). However, Bowles and Gintis (1975) contend that HCT has some limits in that the model considers labour as a return on investment and a commodity to legitimise economic inequality and maximise profit.

The context of the knowledge management school of thought in relation to shortcomings of the HCT theory underscores negative perspectives that permeate through the realm of learning. Accordingly, the suggested shortcomings tend to ignore positive objectives of the human capital, and assume human beings as machines subjected to 'maximum utilisation'. McCreedy and McAdam (2002) contend that the desire to achieve performance improvement regardless of employee desires and needs by leveraging intangible assets, for instance, intellectual capital (Brooking, 1997), is consistent with the argument that humans are perceived derogatorily as assets such as machines for 'leveraging', getting the most out of or 'maximum utilisation' (Edvinsson, 1997). To the contrary Peters (1992) contends that the 'expert status' of

knowledge workers resides across all levels throughout an organisation. Thus, McCreedy and McAdam (2002) expand the argument that ultimately the approach leads to increased power and dissemination of their expert views. There is more to human capital than being assets that are prone to manipulation.

In an attempt to challenge HCT, Cunningham (2004) stresses the social aspect of education and claims that learning is dialectic between the personal and the social dimensions. Accordingly, people are framed by their social structures, and social structures are constructed and shaped by people (Cunningham, 2004). An individual cannot be understood or conceptualised outside of his or her social and political context (Tan, 2014). Similarly, Fevre, Rees and Gorard (1999) assert that HCT is based on sociological theory of participation that takes into account historical, geographical, social, and cultural factors which influence individuals' motivations of post compulsory education. According to the theory, individuals are not driven by utility-maximisation when they invest in education. Furthermore, opponents of the HCT perceive an individual as *homo economicus* shaped into a utility-maximiser and malleable (Burchell, Gordon & Miller, 1991), and whose conducts are 'shapeable' in a desirable way (Rose, 1999). This is against the conditions that individual behaviours are influenced by social, cultural and environmental elements (Tan, 2014), subsequently, a new set of ideas and values continue to shape our consciousness.

Swanson (1999), Rummler and Brache (1988) argue for the Performance Improvement model to enhance municipal systems at individual, organisational, and process levels. However, limitation to the model is that it encourages the use of incentives, which makes the system vulnerable to exploitation at workplace (Korten, 1995).

Waheduzzaman and Mphande (2012) argue that development without people's participation lacks sustainability. Imperial (2005), Ansell and Gash (2007) argue that participatory governance theory is beyond citizen participation, promotes stakeholder inclusiveness, empowerment and transparency in social and political issues.

Limitations to the participatory governance are associated with abuse of power, resources, and uncertainty in the functionality of public service delivery structures and systems. Cooke and Kothari (2001) argue that participation is the 'new tyranny', in addition it promotes inequality (Mansuri & Rao, 2004; Platteau, 2008), widens the opportunity cost or incentive gap (Platteau, 2008), structural uncertainties (Somville, 2006), empowers the elites to be manipulative and corrupt (Nygren, 2005; Tembo, 2003).

The following section discusses distinct features and some commonalities of the three theories as well as the motivation for prioritising the respective theories.

3.2.6 Significance and consolidation of the theories

The preliminary literature review in section 2.2, section 2.3 and section 2.4 on employee skills development, municipal performance improvement and collaborative participation point to the Jungian Theory and Paulo Freire's Emancipatory Theory. The Jungian Theory argues for individual talent empowerment, whereas the Paulo Freire Emancipatory Theory explores societal skills training, collaboration or relationship building respectively. Berger and Patchener (1988) suggest the literature review leads to theories that underscore the research questions, whereas the conceptual or theoretical base are related to the research problem. The evolving research area in this study leads to further elucidation of research questions and prompted a deeper critical reflection on possible main theories.

Deeper critical reflection on the literature review in relation to the research problem, suggests that the largely heterogeneous and changing mobile population in the mineral-endowed municipalities and the role of elites within them, make it difficult to acquire and develop relevant employee skills, comply with and effectively implement municipal legislative mandates, and establish and develop functional collaborative partnerships. The human capital, performance improvement and collaborative governance theories are employed because they help to explain why the utilisation of

resources and programmes on capacity development could be a challenge in relation to public service delivery. A reflection on the three theories contributes to knowledge and underscore advancements in the study in Chapter 7.

An outline of the deliberations of the theories reveals that each theory has a particular orientation, which is distinct and peculiar to the other theories. The human capital theory expands on the belief that financial benefits are acquired from investment in training (Swanson & Gradous, 1988). Financial benefits acquired from investing in human capital also improve the economic capabilities of communities (Schultz, 1971).

Similarly, the performance improvement theory argues that skills empowerment is essential to enhance organisational performance (Rummler & Brache, 1998). Mweta (2000) puts across an argument that in addition to the economic development perspective alluded to in the human capital theory, managerial perspectives need to be evaluated. A reflection on the managerial systems prompts the question how to create supportive infrastructure, as alluded to in Sanderson (2001). There is a close link between the human capital and performance theories in relation to the nature and locality of accountable and skilfully trained individuals mandated to advance organisational performance (Ampler, 2012).

To a lesser role, the collaborative governance theory emphasises consideration of legitimacy of representatives in a collaborative structure (Akiwumi, 2012; Wampler, 2012; Imperial, 2005). In the main, collaborative activities related to functional service delivery are located at operational levels (Imperial, 2005). Despite the numerous limitations explained in the foregoing section the three theories reveal particular beliefs and are integral in addressing capacity development of service delivery structures and programmes challenges. Although, the three theories reveal particular beliefs, they are all important as they inform the study in relation to the nature of the stated research question, in relation to challenges that hinder capacity development of service delivery structures and programmes, and how they can be overcome.

Premised on the aspects of skills development and organisational participatory performance integrated in the theory, human capital theory is the leading theory and others are complementary. In essence, the performance improvement theory embraces both individual and organisational enhancement. This leans more towards skilful improvement of individuals and optimisation of performance systems, a feature associated with the human capital theory. The nature of the problem, therefore, underscores the difficulty to develop relevant employee skills, comply with and effectively implement municipal legislative mandates, and establish functional collaborative partnerships. As such, this study precludes the use of one theory premised on the complexity of the problem related to the use of capacity development resources and programmes tied to service delivery in the Bojanala Platinum District local municipalities and how to explore the ways in which they can be overcome for enhanced service delivery.

In summary, various perspectives are delved into, examined and captured in the theoretical frameworks concerning skills development in relation to good governance, effective municipal performance and collaborative participation. In essence, the three theories lean more towards public capacity development of service delivery structures and programmes. The theoretical orientations are examined and discussed in the context of the contemporary debates and premised on their strengths and weaknesses. A conceptual framework is derived as shown in the next section based on the issues derived from the theoretical basis. King, Keohane and Verba (1994, p. 112) argue that: "theory guides the success of the empirical investigation through choice of questions; whereas the conceptual framework provides a theoretical clarification of what researchers intend to examine, enables readers to be clear what the research seeks to achieve, and how that will be achieved". Accordingly, discussions of the confluence of the strengths and limitations of the relevant theories leads to a systemic demonstration of how the study is grounded to the conceptual framework in relation to the research questions, as explained in the following section.

3.3 Conceptual framework

This section explains the rationale of the conceptual framework and the link with the theoretical framework to guide the inquiry into municipal capacity development. The conceptual framework is premised on three interconnected and mutually reinforcing concepts, that is, human capital, performance improvement, and collaborative participatory governance located within the aspects of local government. In formulating the problem, the study assumes that enhancing capacity development of service delivery structures and programmes would impact on difficulties associated with acquiring and developing relevant employee skills, effectively implementing municipal legislative mandates, establishing and developing functional collaborative partnerships with local mining companies. An adaptation of the Zula and Chermack (2007) Human Capital, Swanson (1999) performance improvement, as well as Waheduzzaman and Mphande (2012) participatory governance models forms the conceptual framework that guides the study and advances the argument for examination of the intersection of skills development, municipal performance, and collaborative participation in relation to capacity development of service delivery structures and programmes.

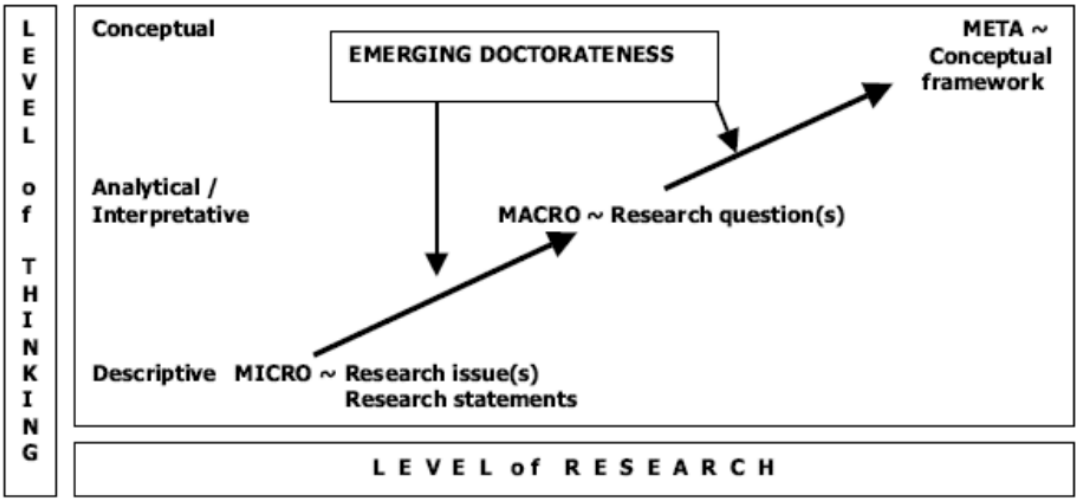
It is important to identify and explain placement of the conceptual framework in this research study. Miles and Huberman (1984, p.33) define conceptual framework as the "current version of the researcher's map of the territory being investigated". However, Weaver-Hart (1988) argues that conceptual frameworks are "tools for researchers to use, provide structures for organising, supporting ideas and systematically arrange abstractions" (p.11). Accordingly, Weaver-Hart (1988) refers to 'tools' which could by implication be employed in the 'current' or continuously evolving mapping of the research area consistent with Miles and Huberman (1984).

Leshem and Trafford (2007, p.99) suggest that the conceptual framework: emerges from "personal experience and reflects upon the theoretical positions, presents the researcher's paradigm through conceptual variables, serves as a catalyst that raises the

researcher's thinking from simple and descriptive perspective of research issues to analysis of conceptualising the research itself". The research issues are discussed in section 3.3.1, section 3.3.2 and section 3.3.3.

This study employs the Leshem and Trafford (2007) model illustrated in Figure 3.6 to demonstrate how the technical, practical and conceptual aspects of the study link up. The level of research horizontally increases from descriptive and through the research question, it advances to the construction of the conceptual framework. Whereas, the level of research increases horizontally, with focus on the research questions; correspondingly the level of thinking increases vertically from descriptive to conceptual through analysis.

Figure 3. 6: Technical, practical and conceptual aspects



Source: Leshem and Trafford (2007).

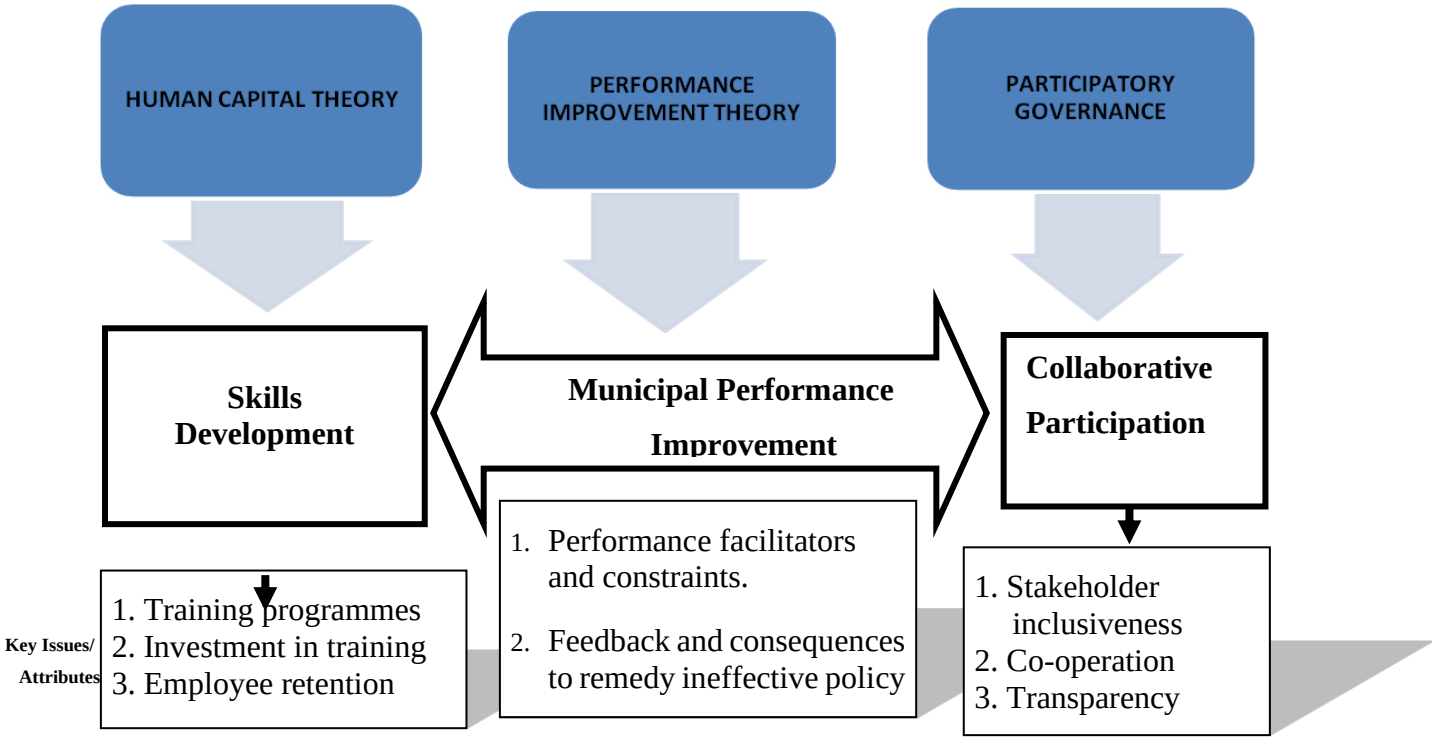
The conceptual framework examines the intersection of skills development, municipal performance improvement, and collaborative participation in relation to service delivery. This is consistent with the revelation of this study, that there is a need to assimilate effective integration of skills retention, organisational relations, and socio-political capacity building across local municipalities in addressing the gap in knowledge. Subsequent to collection of data and determination of preliminary findings,

some components of the findings had distinct implications that prompted changes and revisions to the literature review.

The conceptual framework not only assumes that capacity development is an enabler and optimises service delivery, but also, underpins organisational skills development, municipal performance, and collaborative participation. The interdependence among the concepts is framed on the grounds that skills development is the leading enabler. Thus, skills development stimulates optimisation of municipal performance and collaborative participation. The richness in the collected data and subsequent analysis thereof in Chapter Six yields significant findings on these assumptions.

Figure 3.7 illustrates how key issues evolved from pulling together aspects integrated and generated in the theoretical framework, literature review, within the narrative of Human Capital, Performance Improvement, and Participatory Governance Theories. The framework grounds the study in the local governance service delivery knowledge base that provides foundation for the constructed problem statement and research questions. Rocco and Plakhotnik (2009) argue that a conceptual framework discusses the concepts that situate the study, and illustrates them with a figure. The skills development concept advances the assertion that organisational investment in training facilitates the implementation of capacity development-related programmes. In addition, investment in human capital development n relation to service delivery is within a transparent and stakeholder inclusive socio-political environment. The study probes to what extent human resource and performance systems are affected by the peculiar performance facilitators and constraints, feedback and consequences to remedy impediments to ineffective policy implementation. Collaborative participation advances key issues in relation to stakeholder inclusiveness, co-operation and transparency.

Figure 3. 7: Capacity development conceptual framework



Source: Own (2016).

An account of the orientation of the conceptual framework dimensions represented (see Table 3.2) is discussed in relation to the associated research questions hereunder. The association has elements that guide the methodological orientation in terms of alignment of interview questions and the conceptual framework. In addition, applicability of the conceptual framework to the study is examined in relation to key components integrated among the three concepts that underscore governance and capacity development. A combined perspective of the afore-mentioned key aspects lays foundation for conceptual framework consistent with the problem statement and research questions.

Table 3. 2 Orientation of the conceptual framework

Concept/ issue	Research questions	Applicability to capacity development	Applicability to governance
Skills development	Examine how capacity development structures and programmes aim to enhance service delivery in the BPDM.	Pre-requisite to performance improvement. Acquisition and retention of skills. Create a skills or talent pool.	Entrench responsive managerial and administrative competency.
Municipal performance	Identify the facilitators and inhibitors of capacity development initiative in relation to service delivery programmes.	Performance improvement initiatives are consistent. Team leaders amenable to transformative learning. Regular feedback, monitoring, and evaluation of programmes.	Accountable leadership, transparent systems and procedures. Management systems responsive to consequence management.
	Describe the relationship of local partner (mining company) with municipalities in relation to service delivery programmes.	Solicits citizens' views. Empowers key stakeholder leaders, in relation to programme ownership. Monitors and evaluates programmes.	Openness and critical of ineffective programme outcomes. Respond to non-performance with appropriate consequences.
Collaborative participation	Explore how municipalities can better utilise their capacity development resources and partner better with mining companies to ensure stronger service delivery results.	Promotes team inclusiveness, functional participatory structures and programmes. Enhances innovative public-private sector relationship building, reporting and communication.	Co-operative and transparent facilitative leadership.

Source: Own (2016)

Further explication of the research questions hones in on the leading enabler, that is, skills development, including how and what optimises municipal performance and collaborative participation in relation to capacity development of service delivery structures and programmes at a local government level. Consistent with Rudestam and Newton (1992) statements that link abstract concepts in this section are further linked to the empirical data in Chapters Five and Six to yield factual, interpretive and conceptual conclusions that according to Leshem and Trafford (2007) contribute to the knowledge gap in Chapter Seven. As a result, the conceptual framework employs the

abstract conceptual base to delineate the evolving research area which leads to further elucidation of research questions in section 3.3.1, section 3.3.2 and section 3.3.3.

3.3.1 Skills development

Arguably, Human Capital Theory underscores the roles of education, training, and knowledge development (Becker, 1993; Zula & Chermack, 2007) in promoting learning. Otto et al. (2009) define capacity development as learning by leaders that brings about changes in policy-related factors to enhance efficiency in relation to using municipal resources and programmes. The study applies the Human Capital Theory to understand municipal resources that are facilitators and inhibitors of skills development initiatives in relation to implementing service delivery programmes in the mineral-rich local municipalities.

Studies in the aforementioned sections indicate issues of training programmes, investment in training and employee retention. The research study takes in-depth look at training programme enablers and disablers in relation to capacity development to meet the municipal development goals. It is important that acquired skills at individual level should be translated into collective, robust non-silos functional departmental performance teams. However, the limitation to the theory is that labour is perceived as a commodity to maximise profit and legitimise economic inequality as argued in Bowles and Gintis (1975).

3.3.2 Municipal performance

Capacity development is a process driven by leaders to bring about changes in policy-related and organisational factors to enhance effectiveness for improving municipal service delivery (Otto et al., 2009). However, the BPDM finds it difficult to adequately implement financial and administrative policies in relation to key arguments in the Performance Improvement Theory. Gilbert (1978), Swanson (1999), Rummler and Brache (1988) argue that performance improvement theory (1) strives to link municipal performance to return on investment (ROI); (2) relates to importance of feedback on

performance, consequence management, and employee skills development. The study probes to what extent the human resource performance systems are effective in achieving municipal development outcomes in relation to the public service delivery mandate. Performance facilitators and constraints, feedback and consequences to remedy ineffective policy implementation are some of the issues probed arising from the theory. Nonetheless, Korten (1995) asserts that allocating performance incentives is a shortfall of the theory since it encourages exploitation at the workplace.

The next section hones in on collaborative participation. Performance systems and related responsive actions to improve management of consequences and translation of individual skills into a collective, lead our discussions to examination of stakeholder participatory engagement.

3.3.3 Organisational collaborative participation

The BPDM has different partners to collaborate with, given the heterogeneous and mobile nature of the community, typical of a municipality embedded in the extractive economy. The argument in Garavan et al. (2001) pulls together the discourse on collaboration strung along functional social networks and human capital development, thus, "individuals with better social capital earn higher rates of return on their human capital" (p.52). The study also examines typical socio-economic issues that could facilitate a transformative shift in empowering host communities and key stakeholders. This is consistent with the definition of capacity development as a locally driven process of learning by agents of change to improve socio-political issues and local ownership of developmental programmes (Otto et al., 2009). To address these issues the Participatory Governance Theory advocated in Imperial (2005), Ansell and Gash (2007), Waheduzzaman and Mphande (2012) advances the argument that the vulnerable and disadvantaged be included in collaborative structures or else participatory governance would not be sustainable and legitimate.

The theory reflects key issues in relation to stakeholder inclusiveness, cooperation, and transparency. Notably, it is essential to acknowledge public-private collaborative partnerships. However, despite the strengths of the theory in relation to facilitation of stakeholder engagement the theory has limitations for encouraging inequality (Mansuri & Rao, 2004; Platteau, 2008), uncertainty (Somville, 2006), and manipulation by elites (Tembo, 2003, Nygren, 2005).

3.4 Summary

This research study explores, examines and captures various perspectives aligned with the objectives in the theoretical and conceptual frameworks premised on their strengths and weaknesses. An examination of the issues highlights interdependence among the concepts, with skills development as the leading enabler. This is on the basis that skills development advances competencies at employee and organisational levels resulting in collaborative participatory performance. Further examination and explanation of the concepts in relation to the research questions reveal interdependence and applicability of issues that underpin organisational capacity development and governance. The outcome of the interaction between these processes is enhanced capacity development of service delivery structures and programmes at a local government level. The insightful aspects derived from the examined strengths and limitations of the relevant theories are employed to guide development of the methodology, analysis of findings and structuring of the new theoretical trajectory in Chapter Seven. Premised on the characteristics associated with the theoretical perspectives, what becomes relevant are the inter-relations arising from shared issues embedded in the derived conceptual framework in relation to municipal capacity development and governance as outlined in the foregoing sections. The following section delves into the research methodology and designs used in the research study.

CHAPTER FOUR

RESEARCH METHODOLOGY

4.1 Introduction

This section explains the study's research approach, design, rationale for data collection and analysis methods. It outlines the research methodology used to examine the phenomenon central to capacity development of service delivery structures and programmes, describes and explains issues aligned to the nature of the identified social reality. The research focus area is on the capacity of the local authority to lead in the delivery of public services against the perspective of influential mining companies.

4.2 Research approach

The purpose of this study is to examine the challenges related to the use of capacity development resources and programmes in the Bojanala Platinum District local municipalities and explain how they are overcome. This section explains the rationale for using a qualitative research approach, by exploring the advantages and disadvantages. The research approach of choice is qualitative because the epistemological dimensions associated with a qualitative study approach provide tools for extensive collection of rich and thick description of data (Merriam, 2002). The naturalistic inquiry of choice in this research allows for collection of data related to context, experiences of respondents exploring issues in their natural settings, description and interpretation of the phenomenon as perceived by respondents (Denzin & Lincoln, 2011). The objective of this case study is to define the case, explore the social setting in order to understand the phenomenon, and accordingly aims at analysis of the cases consistent with Cousin (2005). Consistent with the argument in Creswell (2013), the central phenomenon of interest is the study of experiences of municipal management on improvement of public service delivery. The study of experiences is

in relation to problems of inadequate skills development, municipal performance, and ineffective participatory governance.

This chapter hones in on the philosophical underpinnings, justification for the methodology and the rationale for the research methods that strengthen the research rigour. Kincheloe and Berry (2004:6) suggest that 'assumptions shape the outcome of the research'. Thus, philosophical assumptions frame decision-making steps in relation to data collection and analysis. Consistent with Creswell (2017) the methodology in this study entails the philosophical assumptions of a qualitative study, that is, the interpretive paradigm, humanistic and naturalistic with significance importance to subjectivity of respondents. The philosophical underpinning of this study is the interpretive paradigm.

The interpretive paradigm provides senior municipal managers the opportunity to express their subjective worldviews on capacity development in relation to service delivery structures and programmes associated with their experience and knowledge. The study employs in-depth interviews of municipal managers purposively sampled and knowledgeable in their respective departmental managerial roles. Their rich knowledge of the phenomenon of capacity development, and meaning thereof provide a deep understanding in the examination and interpretation of findings of this study. Accordingly, interpretive paradigm of choice for this study by its nature serves as a vehicle and enabler in the interpretation of managers' understanding of multiple beliefs or experiences on municipal capacity development.

Different paradigms or beliefs have a different set of underlying assumptions (Singh, 2019). Ontology is the philosophical study of the nature of reality (Jackson, 2013). In this instance the assumption is that there is no single reality that encompasses multiple realities for any phenomenon (Speziale & Carpenter, 2003). Choices made about research methodology 'profoundly affect what I find' (Kincheloe & Berry, 2004, p.6). My ontological framework therefore, is aligned with the argument in Jackson (2013)

to describe the rationale for choice of research methods, data collection and analysis in an effort to validate the methodology.

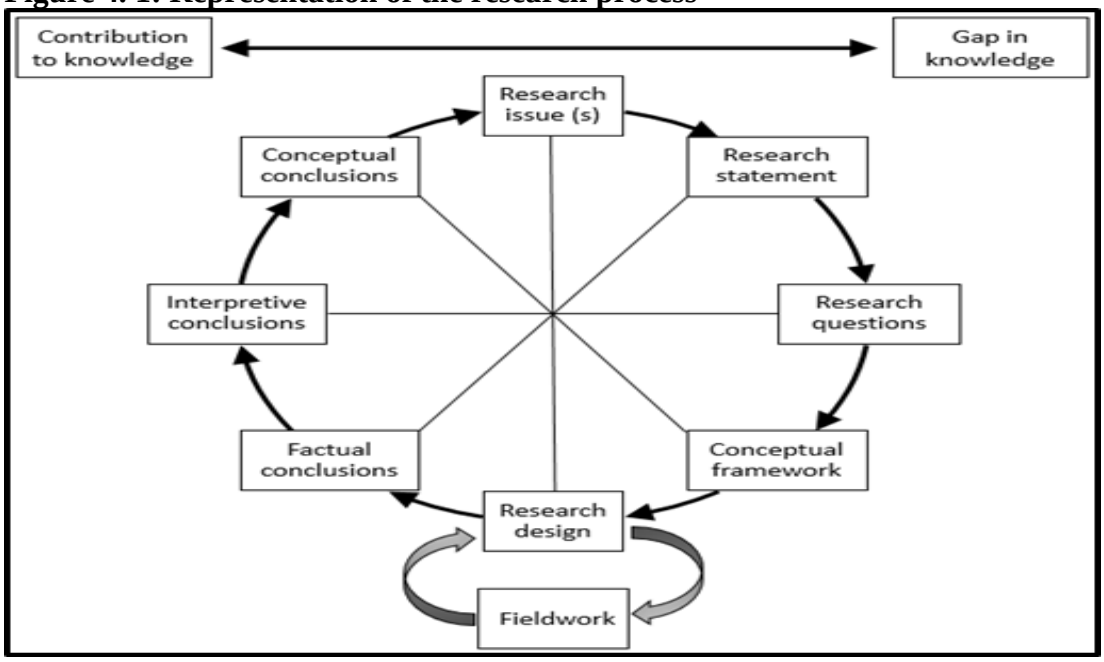
Epistemology underpins what research is concerned with seeking new knowledge (Jackson, 2013, Grix, 2002), and how knowledge can be created, acquired and transferred (Scotland, 2012). In addition, an epistemological perspective undertakes the philosophical study of knowledge and the grounds of its truthfulness (Oliver, 2010). "The ontological stance of the researcher links to their epistemological perspective; in that the ontological perspective pertains to the reality of the world and the epistemological perspective pertains to knowledge of that world" (Jackson, 2013, p.53).

The rationale for qualitative study is to study the emerging phenomenon based on the ontological assumptions of a case study by gathering different perspectives on municipal capacity development in the local municipalities. Hatch (2002) asserts that the ontological dimension inherent in a qualitative approach is characterised by multiple subjective views as perceived by respondents in the study. The epistemological dimensions reflective of the subjective evidence of respondents asserted to in Creswell (2013) are threaded along and incorporated in the following forms of inquiry: data collection and data analysis consistent with the inductive and interpretive frameworks.

Consistent with the argument advanced in Creswell (2013) this qualitative approach has advantages in that it seeks to provide descriptive answers to the four interview questions. Unlike the quantitative paradigm where causes and effects are studied in a static deductive logic, a qualitative case study paradigm allows the study some flexibility in generating patterns of responses from the purposively sampled knowledgeable departmental managers, interpretation of multiple beliefs or experiences on municipal capacity development and maximisation of trustworthiness of the different perspectives.

Subjectivity of respondents is a disadvantage of the qualitative research. Gathering data in departments of all five local municipalities and the District using different methods over a period of time, enhanced credibility and confirmability of the study consistent with (Guba, 1981). The data analysis stage generates emergent patterns and themes. The Leshem and Trafford (2007) research process model (Figure 4.1) guides in the methodological structuring and presentation of the study. The model suggests a schematic representation that visualises the research process at doctoral level. It illustrates from clockwise research issues and activities that are concerned with the gap in knowledge. It further demonstrates a cyclic pattern of iterations between research design and fieldwork. The final three activities, that is, factual conclusions, interpretive conclusions and conceptual conclusions entail the levels that contribute to contribution of knowledge. The diagonal lines inside the circle demonstrate the link of activities with corresponding causal relationships (Leshem &Trafford, 2007).

Figure 4. 1: Representation of the research process



Source: Leshem and Trafford (2007).

The following section discusses the research design.

4.3 Research design

This research is rooted in a single case study on capacity development in the Bojanala Platinum District Municipality. The case study examines how issues associated with municipal capacity development are linked to improving service delivery in this type of natural resource-endowed municipality. A single-case study analytically is powerful to provide a complex phenomenon. The complex phenomenon is premised on multidimensionality that underlines the case. The five local municipalities are part of a bounded system that locates the unit of analysis, that is, senior managers that provide perspectives on the phenomenon of capacity development in relation to service delivery.

Creswell (2013) describes case study as a research design with a focus on "developing an in-depth description of a case" (p.104). He further argues that a case study is time bound, uses variety of data collection tools, investigates a contemporary phenomenon within its real-life context, and provides an in-depth understanding of the examined social reality. Further expansion on investigation of the phenomenon attempts to answer the '*how*' and '*why*' questions consistent with the descriptive and explanatory paradigms (Yin, 2009; Neuman, 2011). A case is a bounded integrated system (Merriam, 1998; Stake, 1995), concentrating on an in-depth description of a single phenomenon (*the case*) consistent with the argument in Merriam (2002).

In alignment with the argument in Merriam (2002), this naturalistic inquiry or research study examines managers' experiences in relation to municipal capacity development. A unit of analysis is the basic element of a scientific research and helps to operationalise the phenomenon (Matusov, 2007). In this instance, unit of analysis that characterises the case study is senior managers. The study as a qualitative case study also has the advantage and potential to build a theory (Babbie & Mouton, 2006) and "clarify or extend existing theories" (Willig, 2008, p.75) from generated themes.

Whereas a case study focuses on understanding dynamics of a single setting, that is, a single case design, a multiple-case design, focuses on replication instead of sampling (Yin, 2009). Accordingly, this study is a single-case study. Consistent with the contention in Tellis (1997), the study reveals that a single-case study may provide the observer access to a phenomenon that was previously inaccessible. A multi-case study is organised around at least one research question with each case studied around its own research question (Stake, 2006), and conclusions from one case are compared and contrasted with the results from the other case or cases (Yin, 2009). Although multiple case studies allow wider exploration of research questions and theoretical evolution (Eisenhardt & Graebner, 2007), however, the disadvantage is that can be enormously expensive and time consuming to implement (Baxter & Jack, 2008). On the other hand, the advantage of a single case study is the existence of a phenomenon that can richly be described and may also create high-quality theory (Dyer & Wilkins, 1991; Siggelkow, 2007). If the researcher only wants to study one single thing (for example a person from a specific group) or a single group (for example a group of people), a single case study is the best choice (Yin, 2009). In addition, the study can question old theoretical relationships and explore new ones, such that it gets a deeper understanding of the subject (Dyer & Wilkins, 1991).

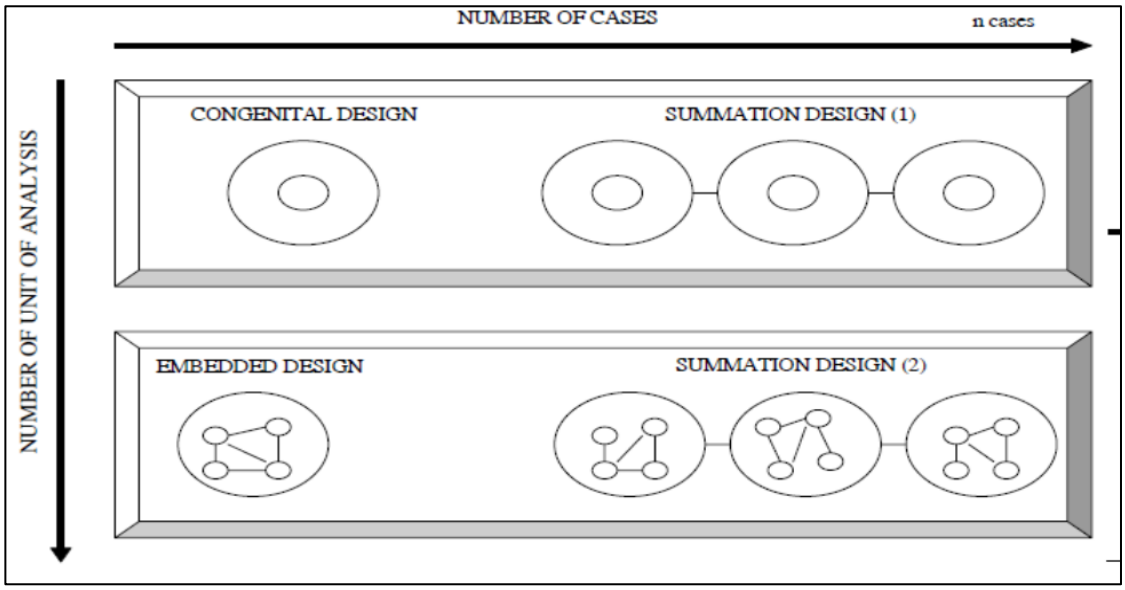
This case study design is used to enable understanding of the contextual issues, advanced in Stake (1995). The contextual issues in this study are accordingly intricately wired to political, social, historical, and personal experiences in relation to capacity development of service delivery structures and programmes in Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele local municipalities, thus, in the study case of Bojanala Platinum District Municipality. The focus of the study at this point is on the research design, influenced by the conceptualisation of issues or the case in the BPDM.

Subsequent to description of this case study, it follows that a focus on the examination of the nature of the case and type of unit of analysis that pulls along elements peculiar

to this study are advanced or emphasised accordingly. Thus, this section also hones in on the single case and the embedded unit of analysis. The two concepts are closely linked and it could be difficult to either distinguish them or consider transferability of this study. Applicability of findings in this qualitative case study, unlike a quantitative study, cannot be distinguished as externally valid or generalisable because the unit of analysis in this case study is typically, context-specific (Erlandson, Harris, Skipper & Allen, 1993) and provides rich and dense data utilising multi-site investigation consistent with Guba (1981). Accordingly, there are numerous perspectives as to the conceptual relationship between case and unit of analysis. Berg (2001) distinguishes between a unit of analysis and a case, and considers the unit of analysis as what the case study is focusing. However, Yin (2009) and Patton (2002) describe a unit of analysis as a central concept related to understanding, preparing and implementing a case study. In a qualitative case study that intensively analyses the bounded phenomenon such as a programme, an institution or a unit of analysis is identical with the case itself (Merriam, 1988; Vaughan, 1992; Yin, 2009). In addition, Patton (2002) argues that the key issue in selecting a unit of analysis is to decide what is needed at the end of the study. Grünbaum (2007) argues that the case and the unit of analysis are clearly detached. Figure 4.2 demonstrates that a multiple unit of analysis design can be obtained in four ways, namely:

1. You can have one case and one unit of analysis. A Design 1 label is a congenital design;
2. You can choose to analyse more cases, but only one unit of analysis in each case. This design is a first level summation design, because the units of analysis add up together;
3. You can examine more units of analysis in one case, labelled embedded design, because the units of analysis are ingrained in only one case; and
4. Summation Design 2 analyses both more cases and more units of analysis, labelled second level summative design, because the researcher adds both the units of analysis and the cases (Grünbaum, 2007).

Figure 4. 2: Four case study designs

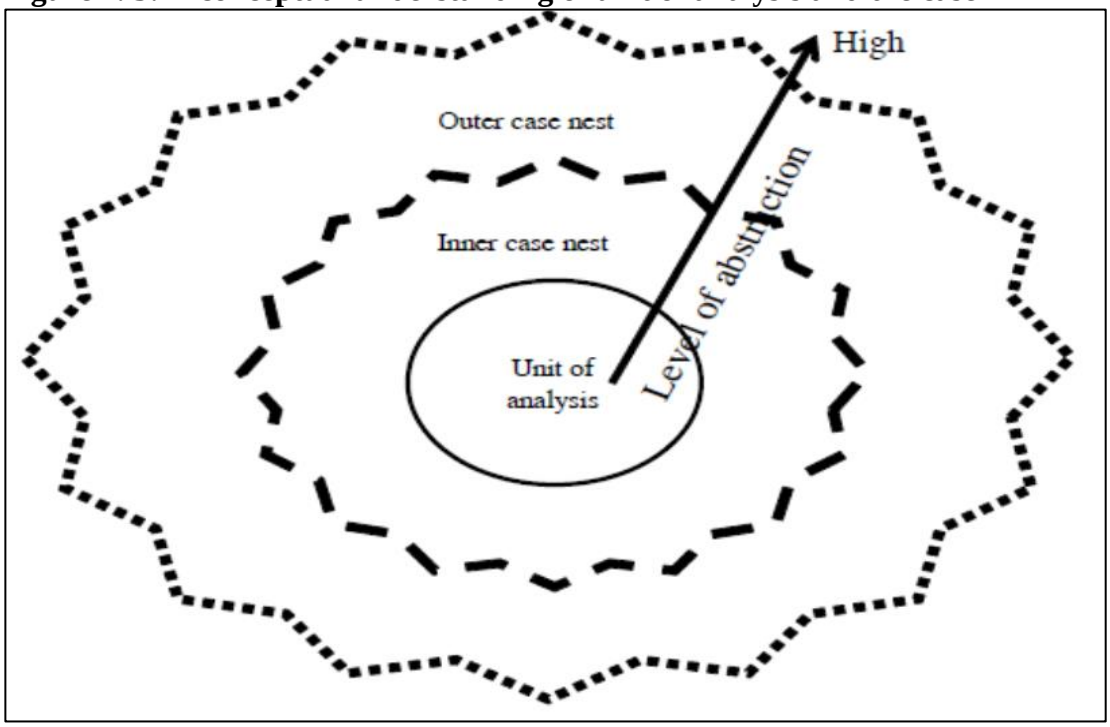


Source: Grünbaum (2007)

Furthermore, studies corroborate the argument in that multiple cases in a study help understand the differences and the similarities between the cases, enable the researcher to analyse data both within each situation and across situations (Yin, 2009; Grünbaum, 2007; Baxter & Jack, 2008; Stake, 1995), This study employs the third level of description of unit of analysis in Grunbaum (2007) and is made up of a single-case case study with a multi-layer of unit of analysis. The five local municipalities, that is, Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele local municipalities, as units of analysis are ingrained in a single case, namely the Bojanala Platinum District Municipality.

In Figure 4.3, Grünbaum (2007) not only argues out for the conceptual separation of the case, that is the issue in the Bojanala Platinum District Municipality from the unit of analysis, but also, advances the contention that the case can be divided into layers that surround the unit of analysis.

Figure 4. 3: A conceptual understanding of unit of analysis and the case



Source: Grünbaum (2007)

In this study, the case is the issue in Bojanala Platinum District Municipality and the senior managers across all five local municipalities constitute the unit of analysis. In this instance, the case study is in essence a dual notion that embeds attributes of the issue and features of the place, BPDM where the issue is located. In addition, each case layer is assumed to be on a higher level of abstraction than the previous, indicative of a ladder of abstraction that attempts to demonstrate vital transformation of empirical data into distinct account of explanatory knowledge. In this case, the study employs the four research questions. The research questions address the explorative, descriptive and advanced explanatory issues at a higher level of abstraction. A single case study with embedded units allows the study to explore the case with the ability to analyse the data within the case, which gives the researcher the ability to look at units that are located within a case (Yin, 2009). Consistent with Morse (1991), questionnaires were employed as a complementary descriptive statistics component after qualitative face-to-face interviews. This approach enhances dependability of the inquiry with

overlapped methods (Guba, 1981), as discussed in the descriptive statistics component data analysis section.

The disadvantage of a case study is that it involves in-depth personal interviews. An attempt to rephrase a question during the interview could be misunderstood to be an investigation with 'ill intentions' and make the participant wary of the 'investigation'. In pre-emption of possible subtle nuances, incoherent answers and irritable respondents, I created a rapport and sense of trust with the gatekeeper at the municipal manager's office and respondents alike.

In summary, the BPDM case study focuses on the perceptions of the senior managers in all five local municipalities, including the senior manager of the mining company. Campbell (2003), John and Reve (1982) argue that particular individuals, for instance individuals in an organisation as respondents, provide insight on how to structure the purpose of the study; moreover, they must be purposefully selected (Light, Singer & Willett, 1990). Consistent with the argument in Neuman (2011), I conducted a detailed deep understanding of the text, in the context of the interpretive assumptions to understand social reality in relation to how issues associated with municipal service delivery effectiveness are perceived and explained in a natural resource-rich municipality. Most significantly, the unit of analysis is therefore identical with the knowledge that key informants, namely, senior managers provide to the researcher as Grünbaum (2007) asserts.

4.4 Primary data collection

Appropriate data collection tools are employed based on issues generated from the conceptual framework, problem and purpose statements. Merriam (2002) asserts that there are three major sources of data in qualitative research, namely, interviews, observations, past and current documents. However, this study did not include observations. The choice of communication with potential respondents can make or break the success of interviews. In the next section, the study outlines and argues for

the correct form of communication to facilitate delivery and collection of permission seeking letters and consent forms. I employed both hand and e-mails delivery to communicate with local municipalities. Difficulties and constraints were noted and measures taken to remedy the conditions are addressed hereunder.

Electronic communication could be perceived as an intrusion into one's workplace environment, subsequently ignored or result in undue litigation. The disadvantage of e-mail communication is that as part of the voluminous correspondence (Fariborzi & Zahedifard, 2012) including spam (Graham, 2002), important messages could be discarded unintentionally. Stover and Stone (1974) argue that personal delivery of questionnaires and the letter of permission could facilitate better response rate of participants. Personal delivery and collection could be a costly exercise; however, the benefits supersede the costs. The use of e-mails delayed the process of data collection. In the main, the predominant difficulty of unavailability of the municipal managers in their offices, unreliable email communication and telephone systems in the municipalities posed the danger of not conducting interviews. Despite the long distances traversed between the municipalities and several visits that had to be undertaken, personal delivery of questionnaires and letters of request to conduct the research as well as collection of authorised permission to access respondents expedited the process, including creation of a rapport with gatekeepers.

For this research, face-to-face interviews included IDP Managers, Human Resource Managers, Chief Financial Officers, Performance and Management Managers, Acting Municipal Managers, Technical and Infrastructure Managers. In addition, a manager in a mining company, that is, the Social Performance Manager was also interviewed as one of the partners involved with capacity development in relation to service delivery initiatives in the BPDM. Thus, I had a sample of 30 municipal managers of departments, five respondents from each of the five local municipalities and five from the District, as well as one manager of the local mining company with operations in the BPDM. Although there were difficulties in commencement of the interviews due to

unavailability of respondents, there was full co-operation once commenced. In many instances, initially there were difficulties with gatekeepers seeking clarity on the orientation of the study. However, I received warm welcome across all local municipalities, the District and the mining company. I had to personally explain the purpose of the research study and patiently be attentive to the concerns about the general state of local government in every local municipality. Subsequently, I was accordingly assisted in locating the unit of analysis, that is, interviewees. As such, it was easier to stick to five respondents per municipality.

This consistency in the study including collection of data, made it easy to get equal number of respondents in each municipality. However, actual participants varied from the proposed ones as explained in the sampling design, section 4.4.2. Permission seeking letters were hand delivered to office of the Municipal Managers and social performance mine manager. The Wits Ethics Committee granted permission to conduct interviews. Interview participation information sheets and consent forms were also handed out on the day of interviews accordingly.

Collection of primary data through face-to-face interviews was a long and arduous process. Interviews were conducted from 20 May 2016 to 29 July 2016. This happened eight weeks after a series of telephone calls and visits to the municipalities. I hand-delivered letters of request to conduct interviews in all municipalities. The total distance travelled was 575 kilometres. This exercise was followed up by e-mails of requests for interviews on 30 March 2016. Follow-up e-mails were sent to the respective municipal managers in vain, as no one responded to acknowledge receipt of the requests. I had to drive again to all municipalities and was referred to managers in the Office of the Municipal Managers in two local municipalities. Human resource managers and directors in three local municipalities and the District served as gatekeepers. They apologised for the delays and were not only candid, but also, enthusiastic in co-ordinating availability of respondents.

The study is a qualitative one; however, some elements of descriptive statistics dimensions were used to verify findings from the interviews. More details on the rationale for using qualitative method and descriptive statistics component are in section 4.4.4. The follow-up descriptive statistics component was employed after analysis of data collected in the interviews. In this study, section 4.4.3 and section 4.6.2 describe how the research component questionnaire is structured and how descriptive statistics using Microsoft Excel was employed to analyse descriptive statistics component data respectively. Descriptive statistics provides simple description that summarises the sample, whereas inferential statistics typically makes judgement of the probability of events, therefore makes quantitative conclusions beyond the immediate data alone (Trochim & Donnelly, 2006). Unlike inferential statistics, descriptive statistics can be a component of quantitative, qualitative, and mixed methods research (UCLA Labor Center, 2021). Questionnaire research tools in this study served not only to confirm or contrast the perspectives from in-depth interviews but also as a platform for wide ranging views in a case study, whereupon an analysis of systems could either employ one or several methods within their contexts (Jack, 2008). Thus, questionnaires could build and generate new aspects that were not captured in the interviews.

I had planned to distribute more than 60 questionnaires to pre-empt any refusal to participate in the study or spoilt questionnaires against the earmarked sample of 50 participants. To reduce the risk of decline or rejection by respondents I sought assistance from the gatekeepers who co-ordinated distribution of questionnaires. I was on-site to collect completed questionnaires on the same day. This allowed for any clarifications that could arise, as well as to possibly maximise the return of questionnaires. I learned from difficulties related to unreliable e-mail correspondences experienced in the interviews phase, and relied more on hand delivery of the questionnaires.

It is of methodological importance to demonstrate the experience of learning in gathering data that made the subsequent encounters more powerful. I spent at the most

three days combined in each local municipality to deliver and collect the completed questionnaires. The experience was significant as it allowed me to be more familiar with whom to contact and what time to interview the respondents. In all cases, human resource directors closely associated themselves with the nature of the study. They easily identified themselves as key agents to develop skills, develop organisational performance and enhance participatory governance in relation to service delivery. They assisted in the mobilisation of the middle and junior staff members. My experience is that junior staff members were very keen and enthusiastic. They came to the identified central point, some asked for more clarification on the questions and others invited me to fetch the completed questionnaires from their offices. As such getting a sample of 55 was a stress-free exercise.

4.4.1 Qualitative research data collection

Primary data was collected in the field at the predetermined local municipalities and further subjected to systemic and rigorous processes. In the process of collection of primary data, I identified and examined within the context of municipal governance meaningful issues in relation to enhancement of capacity and how the respondents experience capacity development initiatives.

4.4.1.1 Rationale for using semi-structured interviews

A semi-structured guideline, that is, Appendix 1, was developed and employed to conduct the interviews. Semi-structured interviews are in-depth interviews whereby respondents have to answer preset open-ended questions (Corbin & Strauss, 2008), whereas, unstructured interviews resemble a ‘controlled conversation’ based on unplanned questions that are generated instantaneously in the natural flow of the interview (Patton, 2002). During collection of data I was alert to some signals and complexities associated with transcription of the ‘voice’ of respondents into meaningful interpretations. Some of the respondents initially felt unease at the type of questions. They felt as if some questions were personal. These necessitated further probing or clarification and the need to be objective. Fortunately, I did not have to

abruptly terminate any interview. However, some respondents felt uncomfortable at the beginning and I noted some of the uneasiness in the ‘voice’ and bodily expressions during the interview. Some demanded that I listen to their work-related fears and grumblings before they could open up. Nevertheless, after clarifying the purpose of the interview and study, despite allocating them time to read letter of permission for the interview; all respondents opened up, engaged and responded accordingly to probing questions and conversations.

The four research questions in Table 4.1 were employed as a guide, constructed in alignment with the literature review and key aspects developed from the conceptual framework. Subsequently, the 12 interview questions were categorised accordingly to examine implications of issues consistent with the nature of the inquiry, without rigidly superimposing research findings into skills development, performance improvement, and collaborative participation, as issues explicated upon in Chapter Six.

Table 4. 1 Research and interview questions

Questions	Skills development	Performance improvement		Collaborative participation
Research questions	1. What are the structures and programmes for enhancing capacity development to deliver services, and what lessons do the experiences show to date?	2. What are the facilitators and inhibitors of skills development initiatives in relation to implementing service delivery programmes?	3. How do local mining companies contribute to capacity development in enhancing service delivery?	4. How can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results?
Interview questions	1.1 Which fora or structures are responsible for improvement of service delivery programmes? 1.2 What are the key programmes that are supported by the structures and fora you stated? 1.3 What are the challenges experienced in acquiring resources for implementation of service delivery programmes?	2.1 What are employee performance improvement challenges experienced in your department in relation to implementation of service delivery programmes? 2.2 What could be attributed to the successful implementation of service delivery programmes in your department?	3.1 Explain why structures have not succeeded in improvement of service delivery programmes. 3.2 Why are skills training initiatives in your department difficult to implement?	4.1 Who are the key partners in relation to implementation of service delivery? 4.2 In which structures do business stakeholders participate? 4.3 In which service delivery programmes do business stakeholders facilitate socio-economic development? 4.4 How is the relationship between the municipality and mining companies? 4.5 Explain how the collaboration with partners could be improved in relation to service delivery and development?

Source: Own (2016).

The study employed open-ended semi-structured 12 interview questions on a sample of 31 on site. In order to facilitate an informative discourse, I examined pre-set semi-structured probing interview questions, took notes and successfully voice-recorded all interviews with permission of respondents.

4.4.1.2 Rationale for using documentary analysis

I examine the topic using documentary analysis to extensively develop motivation for the study, assess viability and understanding of the subject matter for research purpose. Berg (2001) asserts that official documentary records may offer particularly interesting data accessible to limited audience, but available on request for research purpose. Documents were collected from the municipalities and interpreted to provide meaning. Bowen (2009) argues that document analysis is a low-cost way to obtain primary data in an unobtrusive manner and often combined with data from interviews to establish credibility consistent with the research problem and conceptual framework of the research study.

Documentary review in social research is perceived in Gribbs (2002) as a research tool, which in essence provides a triangulation method. Moreover, the study employed MQA mining SETA, LGSETA, Workplace Skills Plans (WSP), Integrated Development Plans (IDPs), local economic development (LED) strategies, Municipal Annual Plans and Annual Performance Reviews. Among others, these documents provide positions of the local municipalities in relation to financial, human resource, community participation as well as inter-governmental structures and programmes. These documents in principle corroborate the data collected from interviews in the Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele local municipalities. Consistent with Guba (1981) documents were found not only reliable, but also, confirmed credibility and consistency of the data collected in the interviews in relation to capacity development of service delivery structures and programmes in the Bojanala District. In alignment with Bowen (2009) it was important to verify authenticity of particular documents with due regard of the original purpose and context

for further analysis of findings. The following section examines sampling strategies for both qualitative study and the descriptive statistics complementary component.

4.4.2 Sampling design

4.4.2.1 Qualitative research sampling

Classes of sampling

The sampling strategy defines a particular demarcation aligned with the context of the problem whereby the sample has particular experience, knowledge and other relevant particular information within a delineated or defined criteria. In a qualitative research study knowledgeable participants are deliberately sought in alignment with a purposive sampling strategy in order to produce findings that are context relevant (Guba, 1981; Coyne, 1997). Similarly, the sampling process and methods employed in this case study define limits within specific boundaries and depth. A qualitative research seldom uses random sampling (Creswell, 2013). Thus, respondents were purposively sampled in alignment with enablers and constraints of the selected method of sampling applicable to interpretive research. Delineation of this case study is with the intention to narrow down the case by adhering to the defined context of the problem within a particular municipality through purposive sampling. The choice of respondents in this study is consistent with Eisenhardt and Graebner (2007) that respondents are not only highly knowledgeable senior managers with the ability to express diverse perspectives on capacity development of service delivery structures and programmes, but also from different hierarchical levels and functional areas.

Typical of a case study, a broad research question is employed in this study to derive insights within particular criteria. The main research question is “why the utilisation of resources and programmes on capacity development has been a challenge, in relation to public service delivery in the natural resource endowed Bojanala Platinum District Municipality?” Notably, to address shortcomings associated with a case study research design, that is, a tendency to answer a broad question for one study, Baxter and Jack

(2008) argue that the researcher should delineate the case by 'placing boundaries' as advocated in Stake (1995) and also asserted to in Yin (2009). Knowledge on how utilisation of resources and programmes on capacity development is effective in relation to service delivery is important in delineation of the sample in this study. In addition, Maree (2007) considers participants as bearers of particular information with defined criteria. All respondents met the defined criteria as leading senior department decision-makers with similar administrative functions and from the same target population or local government institution.

This sampling strategy is similar to the argument in Morse (1991) that a theoretical sampling deliberately seeks participants with typical experience and knowledge including a range of variation. In addition, theoretical sampling develops during the course of the study (Sandelowski, 1995). Contrary to purposive sampling, theoretical sampling depends on the emerging theory or categories and further dictates a follow-up sampling strategy concurrent to data analysis (Sandelowski, 1995; Morse, 1991). The use of acquired data to synthesise categories and generate themes in relation to capacity development in the municipalities makes it necessary for the study to preclude the use of the theoretical sampling strategy. A purposive sampling approach of 30 officials from the five local municipalities and the District Municipality with the requisite experience as senior managers in their respective departments was employed. In addition, an official from a mining company knowledgeable and responsible for implementation of the SLP and support of municipal IDPs was interviewed using the same face-to-face interview questions. The focus was not to delve into the space of intersection of the local government authority and mining. However, as a naturalistic inquiry the study incorporated triangulation by using multiple sources of data to minimise bias (Neuman, 2011).

The original plan represented in Table 4.2 demonstrates who were to be interviewed. It was also envisioned in the original plan that the number and seniority of respondents could vary from one municipality to the other subject to their availability. The choice

of respondents in the study is consistent with aspects aligned with capacity development, that is, human resource development, stakeholder participation, organisational performance, efficiency in utilisation of resources and effectiveness of policy programmes.

Table 4. 2: Municipalities and mining proposed sample

Proposed target Group A (*equal sample representation per locality*)	**Proposed sample size** (n=31)	**Locality** (sample distribution)	**Rationale**
Group A: Chief Financial Officer, Performance Management Systems, IDP, Human Resources and Municipal Managers.	5	BPDM	A sample of senior managers based on their knowledge of skills development, performance and participatory governance issues in relation to service delivery.
	5	Moses Kotane Local Municipality.	
	5	Rustenburg Local Municipality.	
	5	Moretele Local Municipality.	
	5	Madibeng Local Municipality.	
	5	Kgetlengrivier Local Municipality.	
Mining company senior manager.	1	Local Mining Company.	

Source: Own (2016)

However, the situation in the field dictated otherwise in the sense that all Municipal Managers, except in the District and one local municipality, were Acting-Municipal Managers. The actual sample of available respondents, indicated in Table 4.3 varied in relation to their particular departmental roles.

Table 4. 3: Actual municipalities sample interviewed

Locality (sample distribution)	**Designation of Respondents**	**Actual sample size** (n=30)
Municipality 1	Acting Municipal Manager (MM), Chief Financial Officer (CFO), IDP Manager, Performance Management Systems (PMS) Manager, and Human Resources Manager	5
Municipality 2	Manager in Office of Municipal Manager (OMM), CFO, IDP Manager, HR Manager, and PMS Manager.	5
Municipality 3	Director Corporate Services (DCS), IDP Manager, CFO, Acting Municipal Manager, and Community Services Manager.	5
Municipality 4	DCS, Local Economic Development (LED) Manager, HR Manager, IDP Manager, and Finance Manager.	5
Municipality 5	HR Manager, CFO, Acting MM, PMS Manager, Director Technical and Infrastructure.	5
Municipality 6	HR Manager, LED Manager, OMM, IDP Manager, and CFO.	5

Source: Own (2016)

Regarding the orientation of the study, although it is rooted in governance, at a local government level the HR department was more insightful in relation to service delivery and capacity development related issues. I had more access to senior Corporate Services and HR managers in most of the local municipalities. Importantly, some local municipalities, especially in the rural areas have very knowledgeable managers, although at junior level and with only a National Certificate. Despite this, some

managers occupy two positions that are normally occupied by two senior managers in urban local municipalities. The social performance manager from the mining company operating within the BPDM area was also interviewed to gather insight from the perspective of mining companies. Thus, a total of 31 respondents were interviewed.

The following section discusses descriptive statistics component of sampling.

4.4.2.2 Descriptive statistics component sampling

The descriptive statistics component was employed after analysis of the qualitative study to corroborate the emergent insights from the interviews, that is, group A. This section explains the rationale for the choice of sampling. There are two types of sampling, that is, probability sampling and non-probability sampling (Field, Pruchno, Bewley, Lemay & Levinsky, 2006). The study employs non-probability judgement sampling on the premise of descriptive statistics and the target is knowledgeable of the case in relation to municipal capacity development in the BPDM, that is, a non-random selection of targets (Maree, 2007). On the other hand, in relation to municipal capacity development non-probability convenience sampling consistent with Stufflebeam and Shinkfield (2011) would not satisfy the requirement to assess the setting of potentially useful respondents or knowledgeable decision-makers. To the contrary, probability sampling is cost effective although time efficient (Field et al., 2006). Consistent with the naturalistic nature of this study Tansey (2007), Ellison, Barwick and Farrant (2009) argue that advantages of non-probability sampling are: control of the selection process, allow for more informative deliberate selection and bias.

Questionnaires were distributed among a sample of 55 middle and junior managers across all departments categorised as group B. No respondents participated in both groups A (senior managers) and B. The nature of questions in the questionnaire is consistent with issues derived from the interviews. In order to minimise possible flaws in the use of questionnaires consistent with the argument in Treece and Treece (1986) a judgement sample of two officials was employed to advise on possible clarity

seeking, relevance and restructuring of questions in the questionnaires. Two gatekeepers participated in the exercise and were satisfied with the nature and relevance of questions in the questionnaires.

Consistent with Neuman (2011) I collected and analysed data concurrently. This approach lifts off some of the emergent patterns and insights to provoke emphasis on new issues that could be interrogated in the following interviews. The narrative developed in the interviews elevated some discrepancies in relation to how local municipalities experience and attempt to resolve inhibitors to capacity development.

4.4.2.3 Analysis of respondent samples

The presentation and articulation of the narrative on demographics of respondents gathered in the interviews and questionnaires, in this section is provided in the form of demographics. The demographics provides data on interviewees and participants in the questionnaire. This is necessary to determine whether the individuals in a particular study are a representative sample.

The insightful data presentation is aligned to and consistent with the problem statement, issues generated from the conceptual framework and distinctive patterns. What could be learned from the demographics of respondents is how issues of HRD, that is, diversity at workplace, work experience, age and level of education are related to gender parity. Human resource planning, examined in Chapter Two, addresses the skills gap due to skills deficit or surplus and could well be informed by the demographics of employees. Demographics of respondents from both interviews and questionnaires are deliberated upon and compared accordingly.

4.4.2.3.1 Demographics of interviewees

The demographics describe the period of employment, age, occupational level and qualifications of respondents. Analysis of the demographics, in Table 4.4 indicates that out of 30 interviewed respondents 19 were females and 11 males. Considering that

interviewees are in the main, senior managers and directors; it is notably interesting that females constitute eight out of 14 or 67% of respondents with a B.Tech and more. None of the females has only a matric certificate. It is not the purpose of this research to interrogate occupational categorisation and discrepancies in terms of gender distribution.

Table 4. 4: Demographics of interviewees

Gender	Females		Males		Percentage
Period of employment					(Group)
1 - 12 months	0	0%	0	0%	0%
1 - 2 years	2	11%	0	0%	7%
2 - 5 years	5	26%	2	18%	23%
5 - 10 years	4	21%	3	27%	23%
10 - more years	8	42%	6	55%	47%
Total	*19*	100%	*11*	100%	100%
Age group					
18 - 35	3	16%	0	0%	10%
35 - 45	10	53%	4	36%	47%
45 - 60	6	32%	6	55%	40%
60 - 75	0	0%	1	9%	3%
Total	*19*	100%	*11*	100%	100%
Occupational level					
Junior Manager	4	21%	3	27%	23%
Middle Manager	5	26%	5	45%	33%
Senior Manager	10	53%	3	27%	43%
Total	*19*	100%	*11*	100%	100%
Highest qualification					
National Certificate	0	0%	3	27%	10%
National Diploma/bachelor degree	11	58%	4	36%	50%
B.Tech/Honours	7	37%	3	27%	33%
Masters or higher	1	5%	1	9%	7%
Total	*19*	100%	*11*	100%	100%

Source: Own (2016)

The background and motivation for this knowledge, however, highlight transformative elements in relation to the Employment Equity Act 55 of 1998. The Act seeks to create affirmative action, develop, and place women among the Historically Disadvantaged South Africans in positions of authority at workplace.

Period of employment and age of respondents provide insight on the level of experience and the general extent of knowledge of issues in their departments. Respondents with more than 5 years experience are 12 females and 9 males, that is, 70% of all respondents. Respondents at middle to senior levels are females, 15 and males, 8. In general, more than 70% of respondents are experienced and occupy high management positions, thus, consistent with the type of sample design significant to provide insightful perspectives from a level of high accountability.

4.4.2.3.2 Demographics of questionnaire respondents

A total of 56 questionnaires were distributed in three local municipalities. Only three were spoilt and one unreturned as illustrated in Table 4.5. Gender distribution among the 52 (93%) respondents were 24 (46%) females and 28 (54%) males.

Table 4. 5: Number of questionnaires used

	Circulated	**Returned**	**Not returned**	**Spoilt**	**Number valid** (analysed)
Frequency	56	55	1	3	52
Percentage	100%	98%	2%	5%	93%

Source: Own (2016)

Just over half, that is 27 employees have above five years experience of which females are, 11 and males, 16. In other words 52% of respondents have more than five years experience as illustrated in Table 4.6. Notably, in relation to seniority of respondents at middle-senior positions there are, 14 females and 7 males. Thus, only 40% of respondents occupy high level of accountability, however, females represent the majority in the middle-senior management category.

Table 4. 6 Demographics of questionnaire respondents

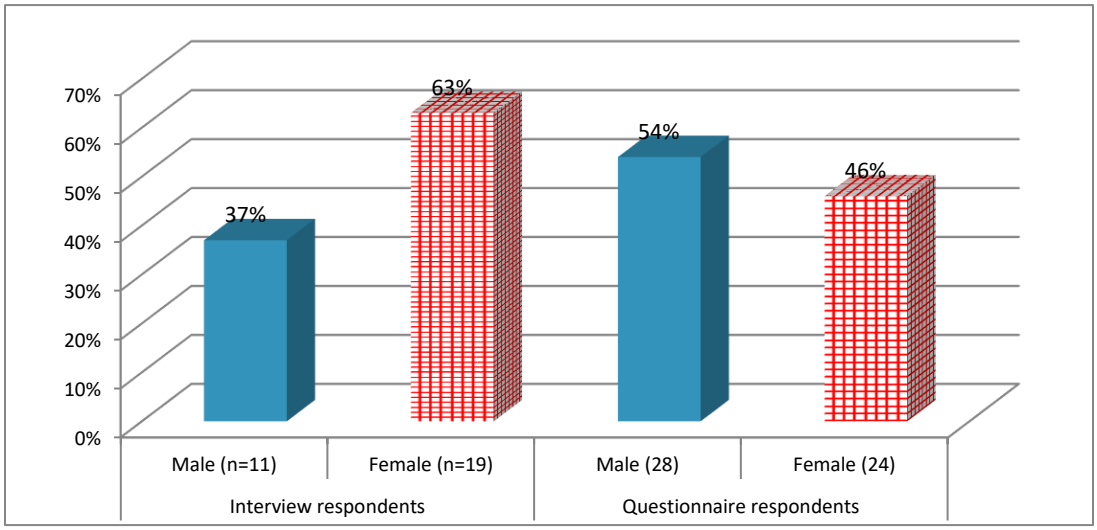
Gender	Females		Males		Percentage
Period of employment	Frequency	Percentage	Frequency	Percentage	Group %
1 - 12 months	2	8%	4	14%	12%
1 - 2 years	4	17%	2	7%	12%
2 - 5 years	7	29%	6	21%	25%
5 - 10 years	9	38%	9	32%	35%
10 - more years	2	8%	7	25%	17%
Total	*24*	*100%*	*28*	*100%*	*100%*
Age group					
18 - 35	8	33%	10	36%	35%
35 - 45	10	42%	7	25%	33%
45 - 60	6	25%	9	32%	29%
60 - 75	0	0%	2	7%	4%
Total	*24*	*100%*	*28*	*100%*	*100%*
Occupational level					
Junior Manager	10	42%	21	75%	60%
Middle Manager	7	29%	5	18%	23%
Senior Manager	7	29%	2	7%	17%
Total	*24*	*100%*	*28*	*100%*	*100%*
Highest qualification					
National Certificate	6	25%	9	32%	29%
National Diploma/bachelor degree	10	42%	14	50%	46%
B.Tech/Honours	8	33%	4	14%	23%
Masters or higher	0	0%	1	4%	2%
Total	*24*	*100%*	*28*	*100%*	*100%*

Source: Own (2016)

The number of respondents at junior position is consistent with the sampling design to capture questionnaire confirmatory perspectives among junior members of the staff. Regarding employees with only National Certificate, out of a total of 15 there are nine males and six females. It is therefore, noteworthy that the experienced, elderly employees (above 45 years old) and at junior level with only a national certificate are at the most males.

Measures of frequency are often expressed in the form of tables, histograms (for quantitative variables), or bar graphs (for qualitative variables) to make the information more easily interpretable (Kaur, Stoltzfus & Yellapu, 2018). Accordingly, as a qualitative study I employed bar graphs to add meaning and simple interpretation of the data. The following diagrammatic representation, Figure 4.4 examines gender of participants in both interviews and questionnaires. Female representation of interviewed respondents is high, 19(63%), that is, senior management is mostly females, whereas males at 28(54%) dominated the number of participants in the confirmatory phase of the study.

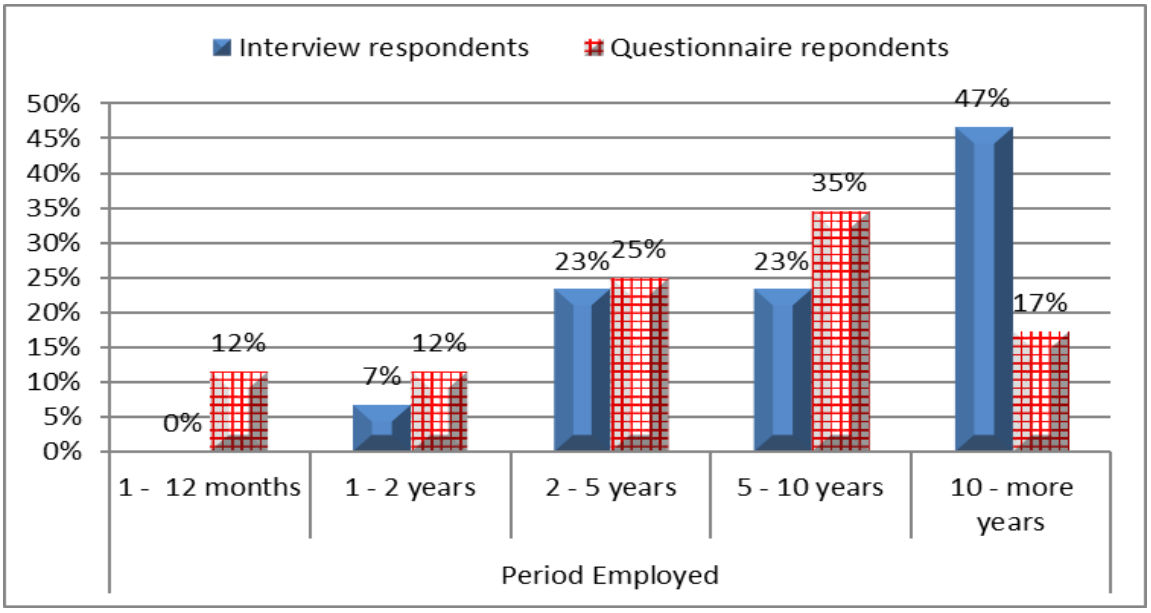
Figure 4. 4: Gender representation



Source: Own (2016)

Figure 4.5 demonstrates that most of the senior managers, 21(70%) have more than 5 years of experience and none among them has less than a year experience at senior management level. This information bears relevance in relation to the high level of a sample of knowledgeable decision-makers sought upon to add value to this study.

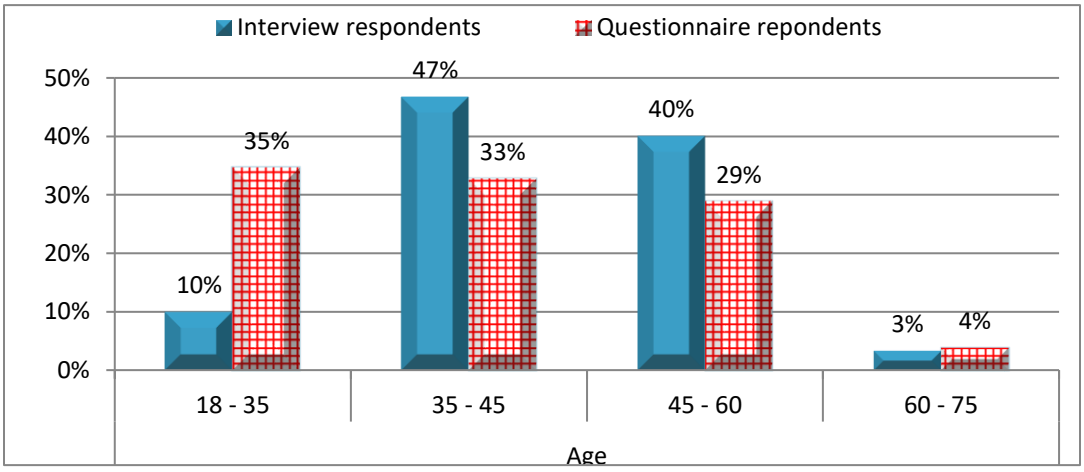
Figure 4. 5: Period of employment



Source: Own (2016)

In Figure 4.6 most of the respondents who are 35 years and below participated in the questionnaire study. The high number of the youth is consistent with the sampling design to get the perspective of mostly youthful members of the staff to confirm interview insights.

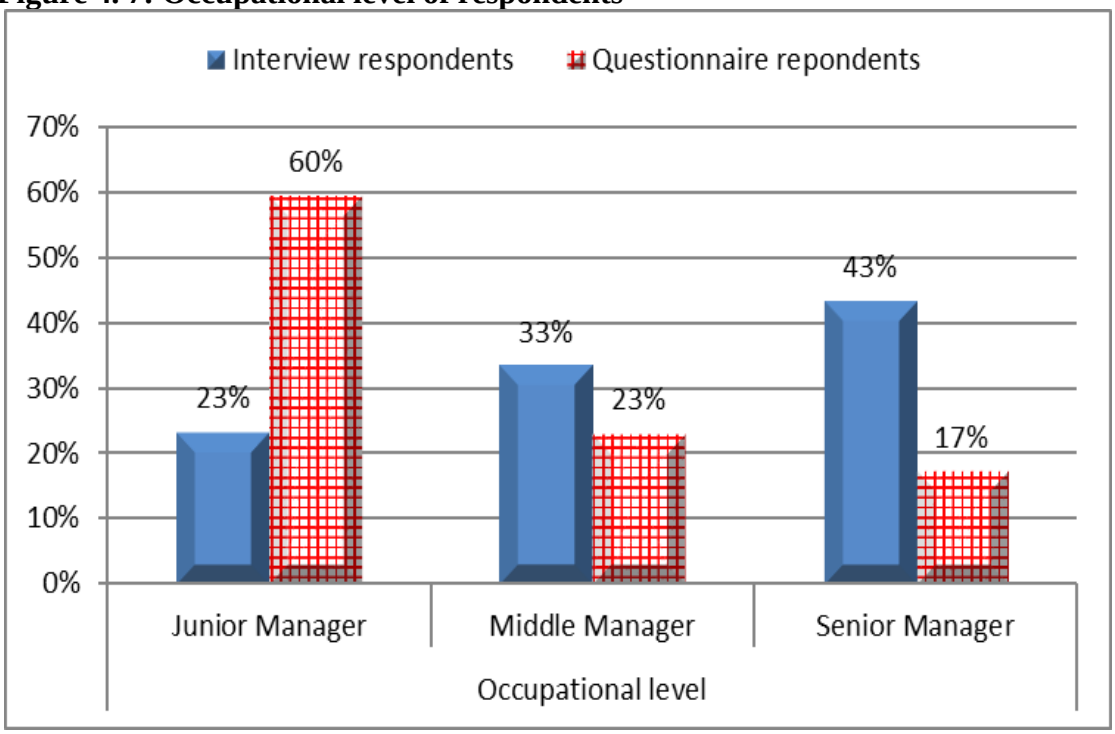
Figure 4. 6: Age group of respondents



Source: Own (2016)

In relation to levels of occupation in Figure 4.6, confirmatory component participants are 31(60%) at junior level and interviewees at senior level 13(43%). Respondents that participated in the in-depth interviews are fewer at junior level whereas participants in the confirmatory component are fewer at senior level.

Figure 4. 7: Occupational level of respondents



Source: Own (2016)

In summary, examination of the demographics of this research study advances some understanding of the characteristics of the research sample in relation to workplace experience and level of seniority, consistent with the purposive judgemental sampling reflective of knowledgeable managers.

The following section examines the descriptive statistics component.

4.4.3 Descriptive statistics component

This section explains the rationale for using close-ended questionnaires. Close-ended questionnaires with structured questions were developed from the emergent themes after qualitative analysis of responses from group A and employed in the descriptive statistics component to allow for consistency of the research study. Neuman (2011) argues that a questionnaire seeks to describe issues and explain reasons for occurrence of the phenomenon examined in the interviews.

The Organisational Performance Framework referred to in Lusthaus et al. (1999) was adapted in conjunction with the literature review, employed to systematically construct and generate the original possible close-ended questions. However, following analysis of themes generated in the qualitative interviews, questions were revisited and readjusted (included in Appendix 2) consistent with outcomes of categories generated. The study pulls together generated themes and descriptive information derived from questionnaires to enhance trustworthiness of the study consistent with Guba (1981) as discussed in the data analysis chapter.

I employ the Likert Scale response format in the questionnaires to gather standardised response categories consistent with the assertion in Leedy and Ormrod (2001). The use of the Likert Scale is not only to solicit descriptive statistics data in this study, but also, assists in collecting objective data consistent with Burns (1999). Questionnaires asked respondents to indicate '*strongly disagree*', '*disagree*', '*agree*' or '*strongly agree*' suggestive of the non-numerical 'intensity' of their attitude on an ordinal scale consistent with the use of descriptive statistics (Kaur, Stoltzfus & Yellapu, 2018). Discussion on descriptive statistics component data analysis, section 4.6.2, provides more perspectives on the application of Likert Scale in this study. The study borrows the employ of the Likert Scale that is traditionally and broadly used. Historically, the first attempt to come up with procedures to measure social attitudes came up with Thurstone (1928). Renesis Likert is credited for the original 'Attitude Scale', commonly referred to as the Likert Scale discussed in Likert (1932). Similarly, later on

Grim (1936) developed a 'Scale of Beliefs'. Section 5.4 and section 5.5 of this study hone in on the descriptive statistics presentation and discussions respectively in relation to the Likert Scale. Out of the 56 questionnaires distributed, 55 were returned and three spoilt. Effectively 52 respondents participated in the questionnaire phase of the study.

Advantages of the self-administered questionnaire are: quicker to administer, cost-effective to deliver and collect, pre-coding facilitates processing of data, and it also affords anonymity (Bryman, 1989; Dixon, 1989). Disadvantages of data collection tools of this nature are that the wording and coding of questions could be ambiguous, inadequate of an opportunity to probe issues, and negative attitude of respondents (Dixon, 1989). For this research study, respondents did not express any difficulties in comprehension of the statements.

The following section delves into the rationale and motivation to employ qualitative approach before descriptive statistics and the use of the Likert Scale for measuring perceptions or attitudes of respondents.

4.4.4 Rationale for using qualitative method and descriptive statistics

The rationale for using qualitative method followed by a descriptive statistics component is to get a broader perspective of viewpoints. This approach is against the challenges of answers based on social desirability of respondents (Williams, 2003; Yin, 2009) and intentionally incomplete responses (Lankshear & Knobel, 2004). Field and Morse (1985) refer to completion of the qualitative method before the descriptive statistics component as sequential triangulation, that is, a component of methodological triangulation. Furthermore, because of the small sample size of 31 in the qualitative study the results can be difficult to replicate or generalise (Bryman, 2008). Hence, the study chooses to use the questionnaire as a complementary descriptive statistics component consistent with the argument by Morse (1991). Categorical variables in this study also known as qualitative may be classified as nominal, ordinal, or dichotomous, for instance male or female, middle or senior managers (Kaur, Stoltzfus & Yellapu,

2018). This approach is unlike the quantitative approach that uses continuous variables coupled with inferential statistics.

However, Knafl and Breitmayer (1989) assert that methodological triangulation if not used accordingly it may elevate weaknesses of each method, rather than obtain complementary findings for knowledge development. The wide-ranging views from the questionnaires confirmed or contrasted the perspectives from in-depth interviews, as discussed in section 5.5 of this study. Thus, the study is in line with the argument that a case study as an analysis of systems gives tools to study wide-ranging views within their contexts and employs either one or several methods (Baxter & Jack, 2008).

Consistent with the study in Harris and Brown (2010) semi-structured interviews are qualitatively interpreted followed by structured questionnaires for confirmatory purpose. Data analysis of the responses looked for similarities and differences of respondents' perceptions across the semi-structured interviews and questionnaires. Given the difference between the qualitative theme analysis and descriptive statistics methods of data analysis, any noticeable similarities and dissimilarities add credibility to findings of the research study.

The following section unpacks secondary data collection as a form of data triangulation to maximise credibility in this naturalistic inquiry.

4.5 Secondary data collection

The study employs secondary data in the form of national and international socio-economic, political, public development and management scientific journals, books and documents as reasonable measures to enhance trustworthiness of the study. In order to understand and contribute knowledge in relation to municipal capacity development issues in a natural resource endowed municipality, the study employs secondary data sources and listed them accordingly. Bowen (2009) asserts that documents provide

verification and are therefore analysed separate from primary data to answer the research question on municipal capacity development.

An exploration of the secondary data raised several scholastic arguments on managerial skills deficiency, contemporary and historical challenges associated with the impact of mining on host local municipalities. This study employs qualitative and descriptive statistics analysis methods to examine difficulties experienced in the improvement of public capacity development of service delivery structures and programmes, as explained in the following section.

4.6 Data analysis

This section discusses qualitative and descriptive statistics data analysis.

4.6.1 Qualitative data analysis

The process of data analysis is inseparable from the data collection process. Thus, the need to apply both processes concurrently. Consistent with Ryan and Bernard (2003), Grbich (2013) asserts that qualitative data analysis entails consideration of the research question, identified theoretical frameworks, and reviewed literature in relation to the transcribed database. Having taken these into consideration, descriptive comments are made on key aspects identified from the respondents' beliefs, attitudes and experiences. Consistent with the argument in Schatzman and Strauss (1973), Vaughan (1992), Marshall and Rossman (1989) data analysis methods used in this study facilitate knowledge transformation following the processing of information collected from key respondents or unit of analysis.

The study conducted analysis of the qualitative research content inductively. Data analysis involved data codification, data structuring and data integration as discussed in the following sections.

4.6.1.1 Data codification

The first step in data analysis entails codification of data. Data was grouped into categories according to their similarities and dissimilarities in order to "bring themes developed from deep inside data, the initial research question and concepts to the surface" (Neuman, 2011, p.511). Patterns of plausible evidence (see section 5.2) generated from aspects that are alike and unlike (Neuman, 2011) are synthesised and possible themes analysed further to determine the emergent aspects from the semi-structured face-to-face interviews on municipal capacity development.

4.6.1.2 Data structuring

Structuring of analysed data follows coding of data, whereby data is arranged in a vertical 'piling' processing of data for similarities and dissimilarities. Own comments or opinions are synthesised and generated into plausible evidence based on issues emergent from similarities or dissimilar views of departmental managers. This process is in alignment with the case study on integration of health services conducted by Gillies, Shortell, Anderson, Mitchell and Morgan (1993). Grbich (2013) argues that identified segments are matched accordingly, grouped and any overarching labels attached to generate identified sub-groupings to be conceptualised and linked to the literature and theory.

The research study adapts the thematic analysis method in alignment with Ryan and Barnard (2003) to examine and describe different theme generating techniques: looking for repetitions, similarities, differences, theory related material, cutting and sorting expressions into piles to identify themes and use of key words in context (KWIC) in identifying sub-themes. Data structuring, in this study therefore entails 'braiding data threads', 'braiding data ropes', condensation of texts into categories with meaning consistent with problem statement, research questions, literature review and theoretical framework (Vatne & Fagermoen, 2008; Grbich, 2013). Thus, section 5.3 on discussions of the interview questions advances arguments in the form of categories, unless in exceptional cases refers to particular coded respondent.

4.6.1.3 Data integration

Horizontal processing of information generates themes after vertical integration of analysed data from interviews. This is consistent with the assertion in Vatne and Fagermoen (2008) that, data from different sources on a single event be pulled together into a single text for analysis and interpretation. Hashim (2010) contends with the assertion in Creswell (2013) that regardless of the voluminous amount of research database generated, it is recommended that 20 to 30 categories be further combined into five or six themes to minimise ambiguity. Themes are recurrent unifying concepts about the phenomenon of inquiry and fundamental concepts that characterise experiences of participants (Ryan & Bernard, 2003). As such, this research study generates categories that are further condensed into six sub-themes in Chapter Six and eventually three themes as discussed in Chapter Seven.

Four questions grounded in the conceptual framework and a detailed theoretical review on capacity development of service delivery structures and programmes in a local government sector guide this study. Content analysis was employed to reduce and classify textual material into manageable bits (Weber, 1990). In addition, the information from corresponding documentary analysis and research studies is used to confirm similarities or dissimilarities in relation to the recorded interview responses. Similarly, arguments are developed on the premises of the emergent patterns and themes generated from particular categories. Thus, section 5.8 integrates the primary data, followed by detailed analysis in Chapter Six.

The following section discusses the descriptive statistics component data analysis.

4.6.2 Descriptive statistics data analysis

Although to a greater extent qualitative research approach is employed in the research, some aspects of descriptive statistics including, frequencies, percentages, and graphs add value to the description, as indicated in the format and content of the questionnaire.

The descriptive statistics assists to interpret and explain responses gathered from the questionnaires.

Format and content of the questionnaire.

The questionnaire is divided into two sections (see Appendix 2) as indicated below.

Section 1

The purpose of this section is to use questions 1 to 7 to gather demographical information of respondents about gender, years in the position, age range, occupational level, highest qualification, nationality, and approximate residence from work.

Section 2

The study employs Microsoft Excel software descriptive statistics tools to analyse data within the following parameters:

1. Data captured in the form of frequencies
2. Overall data converted in the form of percentages and graphs
3. Qualitative data captured in the pre-implementation phase of the questionnaire and categorised according to identified themes.

Bowling (1997) argues that respondents may be invited to indicate the degree of agreement or disagreement on an issue in a form of Likert Scale ranked from '*Strongly Agree', 'Agree', 'Disagree'* and *'Strongly Disagree'.* Accordingly, Likert Scale is employed to measure a single attribute whereby a respondent indicates the level of the 'intensity' of his or her attitude on an ordinal scale. Poe, Seeman, McClaughlin, Mehl and Dietz (1988) allude that a '*don't know'* category could lead to non-committal responses. Consequently, a 4-point scale is used in the research to avoid an indifferent or non-committal position and rather produce a non-numerical 'forced choice'. Consistent with the argument in William (2003) the study assesses factual validity of the questionnaire by comparing responses derived from the qualitative approach on "what are the challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities, and how can they be overcome?" A confluence of themes generated from interviews and outcomes of the

complementary descriptive statistics assists in the confirmation of municipal capacity development profiles of the local municipalities in this study.

The following section discusses validity and reliability of the research study.

4.7 Validity and reliability

This section discusses validity, reliability, and corresponding aspects associated with trustworthiness in the context of qualitative research. The constructivist notion that reality is changing prompts the researcher to employ multiple methods, that is, triangulation strategy using face-to-face interview, documentary analysis, scientific journals, and books to look for a confluence of information to form themes in the study (Creswell & Miller, 2000). Quantitative studies suggest that triangulation is commonly used in surveying for accurate convergence of data from different angles to enhance reliability and validity (Angen, 2000). Guba (1981) argues that validity enhances the aspect of consistency in relation to the reliability strategy in quantitative studies. As in all research, consideration must be given to construct validity, internal validity, external validity, and reliability (Yin, 2009). Internal validity is also obtainable from the description of the unit of analysis; moreover, data collection and analysis test the developed theories (Tellis, 1997).

Reliability is analogous to the dependability strategy used in the naturalistic paradigm (Guba, 1981); moreover, it captures a candid portrayal of lived experiences of participants in the municipalities, that is, truthful account of participants (Neuman, 2011) on capacity development in their departments. Field and Morse (1985) argue that issues of truthfulness and credibility are prominent in a qualitative research in relation to validity.

Lincoln and Guba (1985), consistent with the naturalistic inquiry advocate for the term transferability rather than generalisability. Accordingly, findings of a qualitative nature cannot be generalised as they are defined by their own context (Erlandson, Harris,

Skipper & Allen, 1993). Criteria for enhanced transferability of research findings: providing rich and dense data, focusing study on the typical, utilising multi-site investigation, studying the leading edge of change and use of a systematic approach (Lincoln & Guba, 1985; Straus & Corbin, 1990).

The following section delves into the Guba model of trustworthiness designed to enhance the rigor in qualitative research.

4.7.1 Truth Value

The Guba model is proposed in Guba (1981) to distinguish four aspects of trustworthiness: truth value, applicability, consistency, neutrality and corresponding strategies, that is, credibility, transferability, dependability and confirmability respectively in relation to qualitative approach. Truth value is significantly known in a naturalistic inquiry as credibility, a strategy analogous to internal validity strategy in quantitative research (Guba, 1981). Lincoln and Guba (1985) assert that credibility is the subject-oriented truth value whereby findings of the naturalistic inquirer express confidence in the 'truth' of the findings. Consistent with the assertion that doing 'member checks' premised on multiple realities revealed by respondents the study also recognised accuracy of description of their experiences (Sandelowski, 1995; Guba, 1981; Krefting, 1991).

I undertook a minimum of three visits to each of the five local municipalities including the District. Consistent with the argument in Guba (1981) that prolonged engagement at a site alleviates possible distortions or perceived 'threats' by the presence of the researcher; the numerous visits prior to actual interviews eased the pressure in creation of a rapport, follow-up distribution and collection of questionnaires resulting with a high participant turn out at 93%.

I employ adequate references, interviews, documentary analysis, different theories, attended PhD fora and seminars to allow for constructive peers' critiques and possible reshaping of the inquiry. Continuous triangulation of multiple sources throughout this study used a triad approach made up of in-depth interviews, documentary analysis, and literature review, which added to credibility of the study.

4.7.2 Applicability

Applicability is an aspect in a naturalistic setting distinguished as transferability and is similar to external validity or generalisability in quantitative research (Guba, 1981). Contrary to the rationalistic setting that forms generalisation that "holds in all times and in all places, transferability depends on the degree of 'fit' between the contexts" (Guba, 1981, p.81). Seale (1999), Lincoln and Guba (1985) contend that transferability is the responsibility of the other researcher whose interest is to transfer the original findings with thick description of the setting, to another context or population to enable comparison. During the inquiry, I collected and provided thick descriptive data in alignment with the argument in Geertz (1973) and Guba (1981).

Throughout the study, I examined experiences of respondents using relevant approaches explained in the foregoing section on the development of credibility of the study. The resultant thick description and interpretation of the in-depth studies and findings provide context related to capacity development premised on particular parameters linked to improvement of service delivery. As a result, to achieve a reasonable degree of 'fit' between the contexts it is the responsibility of the other researcher who seeks to transfer findings of this study to another context to have thorough understanding of the parameters used prior to their application (Guba, 1981).

4.7.3 Consistency

Consistency is referred to as dependability in the naturalistic inquiry and analogous to reliability associated with the assumption of a stable single reality to be studied

(Lincoln & Guba, 1985) in a quantitative perspective. Multiple realities reflected in a naturalistic paradigm make it inappropriate to assume reliability in a qualitative perspective (Krefting, 1991). Human experiences, culture, beliefs, and attitudes are dynamic and vary in relation to the different contexts. Qualitative research considers variation in uniqueness of the human context in relation to experiences of both respondents and the researcher (Field & Morse, 1985). Arguably, Krefting (1991) suggests that dependability is traceable to sources of variability without controlling them, for instance, improved insight of the phenomenon by the researcher or fatigue of the respondents. Guba (1981) argues that the naturalist establishes an 'audit trail' followed by a 'dependability' audit during the study to enable an external examiner or auditor to examine data documentation, research processes, data collection, and analysis methods used in the study.

Importantly, as a researcher together with the respondents we have different experiences in the given contexts in this study. Apart from the roles of the researcher and respondents as instruments in the study, both have variable insights and range of experiences in relation to municipal capacity development in mineral-endowed municipalities. The province and national governments in terms of administrative systems, policies, implementation of the constitutional legislative mandate, and budgetary allocation, support the BPDM. However, experiences and attitudes are constantly dynamic and vary from one local municipality to the other. Consistent with the assertion in Krefting (1991), consistency in this study on arguments related to utilisation of resources for effective service delivery is dependent on the use of multiple sources of data as described in the preceding sections under credibility of the study. Consistency is achieved despite the constantly changing context from one municipality to another. Accordingly, the study expands on the constantly changing legislative, social and skills development contexts within which the research occurred in alignment with the argument in Merriam (1998).

4.7.4 Neutrality

Lincoln and Guba (1985) assert that in the qualitative research perspective neutrality is considered in relation to data confirmability on respondents and the context, rather than the researcher or scientific objectivity. Neutrality is elevated whereupon the biases and motivations of the researcher are precluded from the findings of the study (Scriven, 1972). Triangulation and reflexivity are steps naturalists can take during a qualitative inquiry in relation to confirmability (Guba, 1981). Triangulation advances confirmability of data collection using a variety of perspectives and methods (Guba, 1981), whereas practicing reflexivity intentionally reveals to the audience underlying epistemological assumptions on formulation of questions and presentation of findings in a specific manner (Ruby, 1980).

A confirmability trail in the form of a bank of data, that is, recorded voices and completed questionnaires are available to confirm interpretation of findings by peers or interested readers. Questionnaires, research questions, references, and documents are available on request to unequivocally raise the level of neutrality and demonstrate what measures were considered to achieve triangulation. Consistent with Eisner (1991) the process of identifying and establishing a convergence of compelling and plausible evidence I had to identify and note any outliers for enhancement of neutrality. Outlying data despite not being a representative of the group, determines the boundaries of the experiences or phenomenon (Krefting, 1991), and in this study no outliers were observed. The study does not reject outliers since any contradictory information on capacity development of service delivery structures and programmes can be cross-checked for credibility by returning to the fieldwork to gather supportive documents.

In summary validity and reliability are usually complementary (Neuman, 2011). Findings are corroborated against or in alignment with secondary data consistent with Merriam (1998). Interviews, questionnaires and documentary analysis are employed to gather adequate perceptions in relation to capacity development of service delivery structures and programmes. The study through triangulation and rigorous examination

achieves consistency and neutrality, despite the constantly changing contexts from one municipality to another.

The following section discusses limitations to the research study.

4.8 Limitations

De la Luz Reyes and Halcon (1988) hold the view that the status and positioning of both the researcher and the respondents could have an impact or limitations on reliability or truthfulness of the findings. Recognition of some limitations of this study is worth noting and most importantly, could suggest possible avenues for further research without compromising the value of the findings. First, this study as a naturalistic inquiry employs a limited sample of 31 respondents and could raise concerns over transferability of findings. Second, the research focuses on five local municipalities which can be viewed as unique in relation to the organisational culture and may differ considerably from other local municipalities. Nonetheless, I believe that findings of this study can be transferable to other typical local municipalities.

There were many instances and different conditions that came to play in the interaction with local government officials. Interviews were held just a few days before the national local government elections in South Africa, on 3 August 2016. In the South African context, local government is by its nature a highly politicised environment. The study focused on senior managers, that is, directors of whom mostly also have their work contracts linked to the five-year tenure of the politically appointed executive mayors.

A sense of despondency among senior managers, especially directors on five yearly contracts or tenure could drive home some irrational or unfair perspective that could have an impact on the research findings. The Bojanala District local municipalities are politically charged, especially the urban municipalities such that in one municipality I was advised by the director not to interview the municipal manager because he is a

‘political animal’ fighting for his political life in the coming elections. This is against the background that four municipal managers are in acting positions. Probably, respondents in such an environment could wittingly or unwittingly provide a less truthful picture on service delivery. Conversely, for political allegiance and other non-ethical reasons some middle managers could attempt to ‘protect’ their senior managers by withholding some of the relevant information lest they smear their integrity and compromise their loyalty.

The geographical enormity of the municipalities made it difficult to frequent or stay longer in the field. To cite an example Kgetlengrivier local municipality is about 200km from Moretele local municipality. Nevertheless, all efforts were successful in obtaining uncompromised data as required. To some extent financial constraints were limitations to the study. Rural municipalities are very under-resourced, consequently, have unreliable communication that compelled me to drive long distance, just to go and make an appointment. Accordingly, attempts to create a rapport with the gatekeepers in order to ease access to the institution and develop trust with the respondents were a costly exercise. As such, questionnaires were distributed to only three of the five local municipalities

Participants were reluctant to fill in the questionnaires and submit them back to their senior managers. Except for one municipality, the rest were only filled in on my arrival and they all ascertained that they hand delivered them to me. Chances are that due to time limitation they could most likely over-rate or under-rate some of their perspectives, therefore, contribute to limitation of the quality of data, subsequent data analysis, and findings.

The following section discusses ethical consideration.

4.9 Ethical considerations

The Constitution of South Africa (Act 108 of 1996) section 16 (1),(d) pronounces on freedom of scientific research. However, freedom to academic expression comes with accountability. Anonymity, confidentiality and bias were upheld during the course of the research study. Provision of freedom to academic expression comes with accountability to protect confidentiality of personal contributions of respondents and the right to anonymity of their identity. To protect identity of the respondents I used coding, thus consistent with Mouton (2001) in order to keep their anonymity and information secret. Notably, Kaiser (2009) alerts on protection of identity in that a conflict could arise between relating a detailed narrative of social reality and protection of identity of respondents.

In order to uphold confidentiality, I kept all information confidential and without disclosure to protect participants and their institutions. In addition, the study avoided a subject or topic that would expose respondents to hazards or intimidation. The participant information sheet and consent form were submitted before the interview. I informed respondents of their right to withdraw their participation in the research at any stage of the interview, potential risks and purpose of the research study consistent with Shahnazarian, Hagemann, Aburto and Rose (2013). All participants were enthusiastic to participate in the study after I had explained purpose of the study and submitted a letter of request to participate in the study. They signed consent forms, which are locked away safely, together with the questionnaires to avoid compromising their identity, anonymity and confidential opinions consistent with Coomber (2002). Ethical consideration on the use and application of questionnaires were considered in the preparation of the Consent Form (Appendix 6) and Participant Information Sheet (Appendix 7). This was coupled with an explanation of their right not to sign the consent form, not to participate in the study or pull out at any moment during the interviews or while answering the questionnaires. They all signed the consent forms and participated fully in answering the questionnaires.

To maintain an objective stance and collect unbiased information I disclosed previous relations, as a mining representative and partner in the IDP forum within the District. A naturalistic enquiry seeks to gather insight on social reality to be interpreted subjectively by the researcher (Pandey, 2014), thus, the need to overcome own biases (Rajendran, 2001). I had a professional business relation in the BPDM during the period 2007 to 2011 as an employee in a mining company and a stakeholder representative in the public-private-partnership (PPP) municipal structures namely the IDP, LED and other mining company initiated fora. Accordingly, I upheld objectivity, remained unbiased, avoided engagements in trivial workplace and personal issues throughout the study. I remained focused throughout the interviews. It was important to accommodate questioning for clarification and allow to some extent a shift of focus where respondents felt unease. As a researcher, I learned from the interactions that asking them to stick to the context of questions and with some flexibility to ask me unrelated questions made the exercise quite productive. Subsequently, probing of the interviewees kept the conversations within boundaries in an objective and unbiased manner.

Personal bias could also be notable in relation to unintentional meddling in the construction of data collecting tools, for instance, questionnaires is unavoidable (Shenton, 2004). Pandey (2014) warns of bias associated with freedom of expression in relation to language of communication, political beliefs, perception, or attitude towards sexual orientation and misplaced friendship or relationship. I advised the respondents to feel free to use their home language and in the main, they used Setswana in addition to English. It was an added advantage to the study as I am also conversant with Setswana.

The study adhered to the research protocols of the Wits School of Governance, including permission to use information solely for research purposes. Consistent with the assertion in Creswell (2013), I adhered to the following ethical conditions: permission was sought with the Ethics Committee of the University of the

Witwatersrand (Appendix 1), and a letter of request for permission to commence with the interviews on-site, Appendix 4 was sent out to the BPDM Municipal Manager, respective local municipalities and local mining company. The District municipal manager granted permission to conduct interviews as indicated in Appendix 5. The mining company requested that they remain anonymous, hence letter of permission is not included in the study. In addition, request for permission to conduct the study included explanation of the purpose of the research, topic of the research study, number of departmental managers in a municipality to be interviewed, estimated duration of an interview and possible presentation of the research report to the BPDM management.

4.10 Summary

The aforementioned discussions detail the research methodology, examined different data collection tools, data analysis methods, and distinctly elevated the rationale for using them in this study. Motivation for the choice of a particular sample of knowledgeable respondents and justification for measures to uphold truthfulness in the study based on the literature were discussed overtly. Despite the meticulous adherence to protocol measures, the study accordingly captures the experiences, that is, consistent with my expected professional conduct and limitations to the study. Importantly, the study follows ethical considerations to the letter as advised and approved by the Ethics Committee of the University. As a researcher, I found the ethical recommendations very useful to tackle some of the difficulties on the field. The following chapter presents the data collected in this study.

CHAPTER FIVE

FINDINGS: ADMINISTRATIVE INTERFERENCE, POOR SKILLS RETENTION AND ORGANISATIONAL RELATIONS

5.1 Introduction

In this chapter, the study presents challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities, and examines how they can be overcome. The study reveals not only a strong relationship of trust between middle managers and lower-level employees but also, a reasonably flexible relation between senior management and lower-level employees. There are, however, challenges of administrative interference, poor skills retention and organisational relationships. These challenges could be overcome by among others, strengthening municipal structures to achieve organisational resilience in the form of optimised civil society engagement and administrative synergy.

The outline of this chapter entails in-depth interview data presentation followed by discussions. Presentation of data comes before discussion of data from questionnaires. Similarly, presentation of documentary analysis precedes consolidation. Lastly, the study discusses the space of integration and interface of primary data.

5.2 In-depth interview data presentation

Presentation of interview data is premised on the respective outline of the research method, aspects and nuances considered in Chapter Four. This study employs 31 qualitative in-depth interviews and presents data according to interview questions. Responses from interviewees were categorised into patterns, that is, skills development, performance improvement, and collaboration.

5.2.1 Impediments to skills development

Respondents suggest that the following impediments affect organisational efficiency and effectiveness in relation to capacity development of individuals, departments, and civil society: Budgeting constraints; political interference; grading of municipalities; attracting and retaining skilled employees; capacitation of communities; developmentally inhibitive geographical setting of the municipalities; in-migration and related informal settlements issues. This section not only presents impediments to skills acquisition, but also demonstrates issues that attribute to weak organisational structures, programmes, and an unfavourable workplace environment. Respondents largely raised concerns about budget constraints and political interference as deterrents to acquiring skilled employees. They also highlight the impact of community protests, lack of employee retention strategies, and inequality in the grading of local municipalities. Further, this section also examines the relationship of emergent insightful issues and presents them according to the general picture and social reality they portray. For example, lower incomes, fewer employment opportunities, limited education and training opportunities have a bearing on skills development and subsequently heighten economic inequality. Chapter Six examines and analyses their inter-connections and disconnections if any.

Determining the grade of a municipal council varies on a scale from 1 to 6, with a municipal council that does not have any municipal income at grade 1 (Department of Cooperative Governance and Traditional Affairs, 2016). Rural geographical settings and unfavourable grading of municipalities influence the adequacy of the fiscus, subsequently the ability to attract and retain skilled knowledge workers. Impediments to resource acquisition in the municipalities vary. Among others, this study advances disablers, namely, perceptions of political role players, and the rural nature of local municipalities characterised by sparsely distributed communities. These communities have to deal with challenges in relation to access to local affordable basic services and related developmental programmes. Respondent 09 (personal communication, 30 June 2016) and Respondent 26 (personal communication, 15 July 2016) indicate that

"grading of the local municipalities impacts on budget allocation" especially in Kgetlengrivier, Moses Kotane and Moretele rural local municipalities. Subsequently, budget constraints have a bearing on implementation of service delivery programmes and serve as a catalyst for community protests.

Geographic settings of local municipalities differ, with some urbanised and some in far-flung rural areas. Respondent 09 (personal communication, 30 June 2016) and Respondent 26 (personal communication, 15 July 2016) maintain that far-flung municipalities in the rural areas get lower grading. The Department of Co-operative Governance and Traditional Affairs (2016) explains that grading of local municipalities is based on the allocation of administrative and financial resources with public office bearers of lower graded local municipalities earning lower salaries. Typical of an enclave setting dotted with elements of non-rural areas, that is high income earners, within a sea of the poor rural villagers, inequality persists in rural local municipalities embedded in an extractive economy.

Huge interest in the literature on the determinants and impact of inequality upon economic growth, corroborate findings of this study and suggest that inequality retards growth. Employees in rural areas tend to experience lower incomes (Cloke, Milbourne & Thomas, 1994; Gilbert, Colley & Roberts, 2016; Mclaughlin, 1985; O'laughlin, Bernstein, Cousins & Peters, 2013; Dymirow, Bieganska & Grzelak-Kostulska, 2017). In addition, Sen (1999) advances an argument that low income can be a major reason for illiteracy. Ostry, Berg and Tsangarides (2014, p.4) argue, "inequality undermines progress in education, reduces economic growth and political stability". A similar assertion in Ward (2017) indicates that high economic inequality is a deterrent to human capital development in some lower income groups.

Research findings in this study are consistent with the arguments by Gilbert, Colley and Roberts (2016), Lohnert and Steinbrink (2005) that rural areas tend to have lower incomes, fewer employment opportunities, and limited education and training

opportunities. By contrast, those in urban municipalities have better chances of obtaining assistance in the form of social services (Ndebele, Muhuro & Nkonki, 2016). Measures to alleviate, for instance, the impacts of migratory labour on organisational skills development and fewer employment opportunities also include integrating citizens, especially in rural communities (Shabangu & Madzivhandila, 2017).

Sparsely populated rural local municipalities characterised with adverse administrative grading and geographically wide settings experience difficulties in providing services and goods cost-effectively and efficiently. Typical of a huge and disabling geographical setting in the BPDM, local municipalities are characterised by low population density and sparsely distributed communities with the challenge of accessing basic services cost-effectively. To exacerbate the conditions, the study also reveals in the following section that political elites interfere in determining developmental projects, recruitment, and promotion of employees. The nature of local municipalities in the Bojanala District are examples of what the National Treasury (2011) describes as rural and sparsely populated areas in which people farm or depend on natural resources.

Respondents allude to lack of a responsive political support, which in turn affects organisational capacity development. While intricacies associated with the geographic setting and municipal grading are significant, some of the reasons indicative of difficulties experienced in acquiring resources are attitudes, actions, and inactions of opportunistic politicians. Political elitism in the administrative realm could manifest in inefficient utilisation of limited resources and poor financial health of the municipalities. Budget allocation also tends to be area of contestation, especially in some urban municipalities that are enormously overwhelmed with high population density and highhanded political elitism. Local municipalities are prone to problems associated with access to opportunities for employment and technical post-school education as elucidated in the following sections.

Difficult relations at workplace, silo operations, and poor inter-governmental relations stand out as some of the key impediments to skills retention. Political interference creates a 'poisonous environment' (Respondent 09, personal communication, 30 June 2016) with some councillors hurling insults and derogatory remarks; "*listen here I am the boss, you must appoint so and so*" (Respondent 10, personal communication, 11 July 2016). Councillors also opportunistically claim ownership of municipal projects (Respondent 18, personal communication, 11 July 2016). The 'difficult environment' and lower grading of local municipalities could be some of the issues associated with challenges of retaining skilled employees. Cadre 'deployees' tend to serve political party interests, dictate, and influence implementation of projects (Respondent 01, personal communication, 20 May 2016; Respondent 24, personal communication, 14 July 2016). Subsequently, delays in project implementation tend to result in service delivery protests. Thus, outcomes of the results of appointments of unskilled senior personnel are reflected in, for instance, ineffective revenue collection systems. This results in the poor financial health of local municipalities and recurrent community disquiet.

Poor payment of municipal levies is partially due to lack of competent personnel, ineffective revenue collection systems, community protests that exacerbate budget constraints and the financial health of local municipalities (Respondent 01, personal communication, 20 May 2016; Respondent 21, personal communication, 14 July 2016). Impediments to attracting and retaining employees severely impact on performance improvement measures. A workplace environment devoid of collaborative relations and responsive management could exacerbate poor organisational performance, and skills attraction and retention initiatives. Lack of employee performance appraisal (Respondent 08, personal communication, 07 July 2016), silo operations, and poor inter-governmental relations (Respondent 25, personal communication, 14 July 2016) underpin key features of a disabling organisational environment and disjointed structures. Political elitism comes with unilateral decisions that shift budget away from prioritised projects in favour of political party activities

(Respondent 10, personal communication, 11 July 2016). Respondents also underscored the ineffective role of workplace education and training programmes and structures in relation to skills development. A dysfunctional Local Government Sector Education and Training Authority (LGSETA) makes it difficult to attract and retain skilled labour, Respondent 20 (personal communication, 12 July 2016) suggested.

In summary, the BPDM social environment is confronted with social-ills and mobile heterogeneous communities in most local municipalities. Thus, the environmental setting is not conducive to create economically viable societies. This social capital deficit makes it difficult to attract and keep skilled employees. Most importantly, respondents strongly feel that inadequate sanitation services, lack of water and other amenities add to problems of employee retention, unemployment and acquisition of rare skills. Political opportunists obstruct fair distribution of limited resources in local municipalities and render efforts to redress the dearth of rare skills futile. Further examination of findings on skills development (section 5.3.1) advances the argument that skills retention and stakeholder engagement are key enablers to facilitate narrowing of skills deficit.

The foregoing section examines some key organisational issues that inhibit acquisition of resources necessary to strengthen municipal structures, programmes, and related skills to enhance performance of local municipalities. Based on the strength of perceptions and impediments to organisational skills development, the focus of this study shifts to the implications thereof on organisational performance. Following examination of difficulties to skills acquisition, the following section captures enablers and disablers to performance as experienced by the respondents.

5.2.2 Municipal performance improvement aspects

Key aspects that emerge under the municipal performance improvement are organisational skills retention, departmental performance capacity, administrative synergy, and socio-political integrity. These aspects peculiarly advance the most

predominant patterns influenced by the perceived inequality, disunity, and political abandonment. The following section presents patterns generated in examining facilitators and inhibitors of skills development initiatives in relation to performance improvement. I examine and systematically present patterns derived in relation to municipal performance improvement issues. The most predominant patterns are performance management systems (PMS) and political interference. In addition, employee retention and municipal administrative grading are also applicable among skills development issues discussed in the previous section.

The research study reveals the following impediments and enablers to municipal performance improvement: performance management system, municipal grading, budget constraints, political interference, employee retention, community protests, teamwork, inter-governmental relations, community relations, communication, employee assessment, managerial skills, skills mismatch, community participation, and in-migration. The dominant patterns that are also inhibitors to municipal performance are performance management system and political interference. A synopsis of key patterns developed hereunder from the dominant patterns of perceptions and experiences of respondents identifies facilitators and inhibitors of organisational performance. Furthermore, the study advances reasons why utilisation of structures and training programmes has been a challenge in the improvement of public service delivery in the local municipalities.

In this section on performance improvement, the pattern of perceptions already illustrates a link with skills development attributes discussed in the previous section. Respondents advance the argument that municipal councils fail to provide incentives despite the legislative provisions of the Performance Management System (PMS). There is a perception that provision of incentives heightens inequality at the workplace and widens the distance between senior managers and the rest of the employees. Moreover, lowly graded local municipalities struggle to attract skilled staff. This compromises municipal performance, for instance, the collection of revenue, near-

collapse of the institutions, and community protests arise in response to persistent poor service delivery.

Differential budget allocation premised on geographical settings not only affects the human capital issues, but also expands into organisational performance, communication, commitment, and collaborative mobilisation of external partners. Grading of local municipalities compromises the collection of revenue (Respondents 11, 12 & 15, personal communication, 06 July 2016), budget allocation (Respondents 13 & 14, personal communication, 06 July 2016), and impedes the provision of quality goods and public services (Respondent 17, personal communication, 12 July 2016). Unsurprisingly, respondents raised concerns that the lack of incentives to attract and retain skilled high performers manifests into high employee turnover, subsequently, projects remain incomplete, and community protests arise in response to poor service delivery. Respondent 10 (personal communication, 11 July 2016) and Respondent 11 (personal communication, 06 July 2016) put it strongly that skilled employees readily leave or resign, which results in reduction of capacity and puts performance improvement initiatives in a vicious cycle of desperation and near-collapse of the institutions. Madibeng local municipality is cited as an example of a near-collapsed state institution (Respondent 01, personal communication, 20 May 2016), such that the local municipality is under administration of the North-West Provincial government. Respondent 10 (personal communication, 11 July 2016) and Respondent 14 (personal communication, 06 July 2016) accordingly assert that inability of the institution to retain skilled employees is an impediment to service delivery.

The municipal legislation makes provision in the Performance Management System (PMS) for performance assessment of directors and municipal managers (Respondent 25, personal communication, 14 July 2016; Respondent 16, personal communication, 12 July 2016). All respondents strongly advance the argument that this inequality widens the distance between senior managers and the rest of the employees, to the detriment of administrative synergy and sustainable capacity development

programmes. Respondents condemn the PMS as a tool that perpetuates inequality in relation to providing incentives, and opportunities to personal and career development. Respondents articulated their displeasure and emotionally expressed that "*no one cares how I do*" (Respondent 21, personal communication, 14 July 2016) and "*I feel like enslaved to work for the directors*" (Respondent 20, personal communication, 12 July 2016).

Respondents widely hold the view that some at the level of directorship advance the argument for optimising accountability as the rationale for introduction of performance assessment across all levels. Undoubtedly pessimistic, Respondent 07 (personal communication, 30 June 2016), Respondent 01 (personal communication, 20 May 2016) and Respondent 25 (personal communication, 15 July 2016) suggest that discriminatory performance assessments instil personal demoralisation and tension at workplace. Respondent 12 (personal communication, 06 July 2016) advances the argument that, lack of performance appraisal, subsequently presents itself in some form of resistance to learning. Apart from the regulation to offer incentives to directors, all municipal councils have resolved not to reward performance (Respondent 01, personal communication, 20 May 2016). This practice is associated with the perceptions of the workplace environment that has acquired a *laissez-faire* organisational culture (Respondent 01, personal communication, 20 May 2016) and development of a "bureaucratic lacuna" or inept leadership (Respondent 09, personal communication, 30 June 2016).

An examination of the space of intersection between the discriminative municipal grading and operational performance systems presents the extent of difficulties encountered in the endeavour to alleviate the managerial skills deficit. Inappropriate organisational culture and inadequate leadership skills impede improved performance as raised by respondents. However, the research study also notes positive attributes in the form of teamwork and co-operative hands-on management.

Differential administrative grading of local municipalities within the same district raises unfair competitive advantages in the form of incongruent salary packages (Respondent 11, personal communication, 06 July 2016), which encourages high staff turnover (Respondents 12 & 15, personal communication, 06 July 2016). Loss of skilled labour occurs despite the support offered by municipalities to enhance senior managerial skills (Respondent 04, personal communication, 29 June 2016). Despite the perceived inept leadership and *laissez-faire* organisational culture, Respondent 08 (personal communication, 07 July 2016) and Respondent 20 (personal communication, 12 July 2016) indicated that managers are hands-on and contribute meaningfully to service delivery, especially in the rural municipalities.

Some passionate perceptions against mismatch or misplacement of skills (Respondent 04, personal communication, 29 June 2016; Respondent 16, personal communication, 12 July 2016; Respondent 18, personal communication, 11 July 2016) defeat the good intentions to alleviate managerial skills deficit, in that, a particular unit could be deprived of deriving optimal benefit from multi-skilling, that is, acquisition of diversified cross-cutting knowledge. In addition to perceived inhibitive skills mismatch and related unfair competitive advantages, organisational performance impediments are continuously unattended due to *ad hoc* performance of skills audit (Respondent 18, personal communication, 11 July 2016), unaligned workplace skills plan, and disjointed annual training reports as posited by Respondent 15 (personal communication, 06 July 2016).

Despite the culture of 'us and them' raised by Respondent 30 (personal communication, 15 July 2016) in relation to directors and the rest of the staff, Respondents 11, 12, 13 and 14 (personal communication, 06 July 2016) suggest that teamwork is a positive attribute in relation to improving service delivery. In addition, functional departmental relations (Respondent 22, personal communication 14 July 2016; Respondent 28, personal communication, 19 July 2016; Respondent 30, personal communication, 15 July 2016) are understood to be positive attributes to successful teamwork. However,

silo operations (Respondent 15, personal communication, 06 July 2016; Respondent 20, personal communication, 12 July 2016) and poor workplace relations (Respondent 16, personal communication, 12 July 2016; Respondent 25, personal communication, 14 July 2016) are identified as inhibiting service delivery.

The study also reveals how silo operations contribute to corroding community developmental projects. Most respondents expressed strong views about lack of consequences in the management of poor performance due to political interference (Respondent 01, personal communication, 20 May 2016; Respondent 23, personal communication, 14 July 2016; Respondent 30, personal communication, 15 July 2016). The scarcity of political will and synergy, for example, ineffective Speakers Fora and ward committees (Respondent 06, personal communication, 30 June 2016; Respondent 17, personal communication, 12 July 2016) hamper service delivery. Due to lack of collaboration among councillors and managers, there are silo operations (Respondent 25, personal communication, 25 July 2016).

Against the backdrop of a lack of political will and administrative synergy, respondents suggest there is political abandonment, fragmented committee commitments, and lack of accountability steeped in arrogance and dishonesty. Respondent 30 (personal communication, 15 July 2016) asserts that councillors "*force own unqualified people upon us for appointment*" and their interference in administration issues delays implementation of projects. More concerns point to the roles of councillors that are significantly devoid of elements of a responsive and facilitative leadership. The opportunistic and elitist nature of their relationship with the administrators renders consultations into "*mooi praatjies"* or 'talk shops' (Respondent 03, personal communication, 20 May 2016). It was also stated that it is common for communities that feel politically abandoned to declare 'no-go zones' in some areas due to delayed or halted services (Respondent 02, personal communication, 20 May 2016; Respondent 04, personal communication, 29 June 2016).

Respondent 01 (personal communication, 20 May 2016) highlight the critical role of councillors as decision makers, in an interface between the society and the municipality. The respondent contends that split commitments of councillors and senior political deployees between council activities and political party engagements could hamstring performance of council's fiduciary duties. In addition, their preoccupation with non-work-related political party issues severely retards the municipality's performance. Respondent 24 (personal communication, 14 July 2016) succinctly sums it up, that councillors need to understand "our mandate as an institution is to avoid display of arrogance with comments like *the community will sort you out*".

Certainly, indications are that preferential performance of political party tasks of choice drives a wedge of disunity at administrative level. These tendencies have the propensity to enhance appetite to create silos or fragmented approaches that lead to dishonesty (Respondent 09, personal communication, 30 June 2016), communication break-down (Respondent 26, personal communication, 15 July 2016), poor community participation, and incomplete projects or 'white elephants' (Respondent 08, personal communication, 07 July 2016; Respondent 09, personal communication, 30 June 2016). The perennial political interference could be the root cause to the perceived disjointed local government operations and corrupt activities that eat into state coffers.

The perceived arrogance and weak role of councillors at the interface between the society and the municipality hamper developmental programmes, for instance adequacy in providing human settlements and municipal synergy with the community. Political principals and traditional authorities are expected to co-operate on issues of labour immigration, a typical phenomenon in local municipalities embedded in the extractive economy. Uncontrolled influx of economic migrants in urban municipalities is rampant in Rustenburg and Madibeng local municipalities (Respondent 01, personal communication, 20 May 2016). Unduly so, the study reveals that it is common to be confronted with undesirable consequences in the form of informal settlements and associated social-ills. Respondent 03 (personal communication, 20 May 2016)

indicates that migrants from different cultures are attracted to the mines, invade land, and encroach on river banks without sanitation, resulting in water pollution and conflicts with traditional authorities.

In summary, the study reveals strengths and weaknesses in relation to organisational performance and how they affect capacity development. Against the administrative grading, inept municipal leadership, and discriminatory incentives, municipal service delivery is to some extent a challenge. The most predominant patterns are performance management system (PMS) and political interference. Several structures and training programmes are seen as ineffective for improving public service delivery. In turn, they contribute to prevailing inequality that widens the distance between senior managers and the rest of the employees. To some extent, the perceived inequality exacerbates poor administrative synergy and derails sustainable capacity development programmes in relation to service delivery. Performance of political party tasks at the expense of service delivery drives a wedge of disunity at a senior management level. In turn, disunity results in disjointed municipal operations that contribute to stunted community developmental projects. These disablers are perceived to promote a feeling of political abandonment in communities**.** Examination of patterns of responses reveal a profoundly significant integration of components aligned to skills retention, administrative synergy, and relations. These elements are further corroborated with literature in Chapter Six. Respondents elevate some of the impediments to performance improvement that permeate into the fibre of administrative synergy, political integrity, consequence management, political will, and synergy. Further examination of performance improvement aspects reveals that skills retention, performance capacity, administrative synergy, and socio-political integrity (section 5.3.2) are areas of focus for optimisation of municipal performance. In conclusion, this section examines some of the perceived enablers and inhibitors of performance skills development initiatives and discussed reasons why structures and programmes are ineffective.

The following section outlines presentation of issues and findings related to participatory governance.

5.2.3 Collaborative participation aspects

This section demonstrates vividly how collaborative governance links to skills development and municipal performance improvement aspects. The data presentation advances viewpoints that examine the research question, that is, how partnerships facilitate or hinder improvement of municipal service delivery. Patterns of responses generate teamwork, inter-governmental relations, community relations, and communication as dominant categories.

A large number of respondents indicate that they believe relations-building at workplace and in civil society in the form of collaborative teamwork, can improve stakeholder engagement and subsequently, enhance capacity development. Respondents believe that teamwork, community relations, communication, inter-governmental and departmental relations collectively enhance collaboration with partners (Respondent 25, personal communication, 14 July 2012; Respondents 06 & 07, personal communication, 30 June 2016; Respondent 16, personal communication, 12 July 2016). Successful functional relations thrive on the strength of internal partnerships in the form of inter-governmental and departmental relations. Respondents raised concerns about lack of inter-departmental collaboration. They suggest measures on how senior managers could have positive impact fulfilling the common legislative mandates to improve service delivery. Respondent 25 (personal communication, 15 July 2016) raises the importance of senior managers to liaise across the departments in an attempt to enhance “positive team spirit”. Similarly, Respondent 28 (personal communication, 19 July 2016) cites pursuance of the legislative service delivery mandate as a key driver to achieve “meaningful communication” to avoid civil uprising and protests.

Collaboration through purposeful communication improves at intra-departmental, inter-departmental, and inter-governmental levels, especially in instances where multi-stakeholder partners have to take collective responsibility. For example, mining activities have the propensity to attract informal settlements; and according to the prescripts of the legislation local municipalities have to 'follow' and turn the informal settlements into formal dwellings, respondents suggest. Respondent 04 (personal communication, 29 June 2016) comments that mining houses must develop social houses to accommodate mineworkers. In addition, Respondent 01 (personal communication, 20 May 2016) alludes to a lack of leadership and socio-economic development in the community following the 2012 fatal shooting of 34 mineworkers in the Marikana village. Formalisation of informal settlements continues to be a perennial challenge in a typical municipality endowed with natural resources.

Some of the suggestions to curb and remedy the scourge of social-ills emanating from mining include legal enforcement of the legislation to bind mining houses to commit to development of local municipalities, and undertaking collective consultation to pre-empt mine closures and retrenchments (Respondent 16, personal communication, 12 July 2016). However, to the contrary the national Department of Mineral Resources (DMR) exacerbates the fragile alliance with the municipalities as it tends to implement some projects without municipal approval (Respondent 18, personal communication, 11 July 2016). A combination of the fragile alliance between the national and local government and the perceived 'silos mentality' at the District inhibits knowledge sharing and honest engagement (Respondent 27, personal communication, 29 July 2016; Respondent 21, personal communication, 14 July 2016; Respondent 02, personal communication, 20 May 2016). This presentation of data not only articulates and delves into integrated issues consistent with the patterns, but also examines impediments and enabling aspects to capacity development in relation to service delivery. Findings presented in the foregoing sections underscore the following patterns integral to capacity development disablers in relation to service delivery: grading of local municipalities and rural geographic settings; political interference and

retention of employees; political elitism and consequence management; and inter-departmental relations and teamwork.

In summary, the social setting in a mineral endowed municipality is complex as some political decision-makers or councillors could be from labour-sending areas and, therefore, pledge no allegiance to the local traditional leadership. Leaders that lack cultural attachment to local traditional establishments could, for instance, render unsuccessful any efforts to exercise consensus-seeking measures to formalise human settlements and resolve socio-economic disputes. Against the numerous adverse socio-economic and political confrontations, respondents believe in the importance of creating meaningful participatory structures and executing effective service delivery programmes. Therefore, respondents express the belief that workplace relationship building is pivotal for purposeful communication, effective commitment and enhancement of service delivery programmes.

Following the formation of categories, boundaries of these categories are established, and the content of each category is elaborated regarding the balance of strengths of similarities and dissimilarities reflective of the beliefs, opinions, and worldview of the respondents in relation to capacity development of service delivery structures and programmes. A simplified tabular synopsis of issues in Table 5.1 captures patterns of perceptions in relation to capacity development of service delivery structures and programmes. In this research, accordingly the 12 interview questions generated 21 patterns, which are further interwoven into categories. Categories are threaded along and braided into six sub-themes in Chapter Six.

Table 5. 1: Synopsis interview questions and generated patterns

Categories	Patterns	Interview emergent attributes	Interview questions
Categories (Section 5.3.1) Employee skills retention and stakeholder engagement.	**Impediments to skills development**. Section (5.2.1) 1. Budget constraints, 2. Political interference, 3. Municipal grading, 4. Employee retention, and 5. Community protests.	Skills development inhibitors and enablers Budgeting constraints; political interference; administrative grading of municipalities, attraction and retention of skilled employees; capacitation of communities, huge geographical setting of the municipalities and in-migration with informal settlements.	1. Which fora or structures are responsible for improving service delivery programmes? 2. What key programmes are supported by the structures and fora you stated? 3. What are the challenges experienced in acquiring resources for implementing service delivery programmes?
Categories (Section 5.3.2) Organisational skills retention, departmental performance capacity, administrative synergy, and socio-political integrity. **Categories** (section 5.3.3) Administrative and stakeholder relations	**Municipal performance improvement aspects**. Section (5.2.2). 1. Budget constraints, 2. Political interference, 3. Teamwork, 4. Municipal grading, 5. Employee assessment, 6. Skills mismatch 7. Inter-departmental/governmental relationships. 8. In-migration, 9. Managerial skills, 10. Employee retention, 11. Community participation, 12. Communication.	Inhibitors to municipal performance improvement Staff poaching and high turnover, grading of local municipalities, employee performance assessment, staff retention, inter-governmental relations (IGR), management skills and political interference, and dysfunctional labour unions. Positive attributes to performance Teamwork, meet deadlines, co-operative communities, and provision of bursaries to staff. Inhibitors of functional structures Budget constraints, creation of silos operations, ineffective councillors, poor community relationships, lack of managerial skills, ineffective ward committees, and political interference. Impediments to skills training Resistance to change, budget constraints, managerial skills, skills misplacement, skills audit, performance management system, and training of councillors.	4. What are employee performance improvement challenges experienced in your department in relation to implementation of service delivery programmes? 5. What could be attributed to the successful implementation of service delivery programmes in your department? 6. Explain why structures have not succeeded in improving service delivery programmes. 7. Why are skills training initiatives in your department difficult to implement?
Categories (Section 5.3.4) Mining socio-economic impediments	**Collaborative stakeholder aspects**. Section (5.2.3) 1. Teamwork, 2. Community relationship, 3. Inter-governmental relationship, 4. Communication.	Collaboration inhibitors and enablers Teamwork, inter-departmental relationships, transparent and honest communication, pursue common multi-stakeholder mandate, share resources, improve inter-governmental relations, disjointed community relationships, develop an MoU with stakeholders, align SLP with IDP, and encourage partnership for economic growth	8. Who are the key partners in relation to implementing service delivery? 9. In which structures do business stakeholders participate? 10. In which service delivery programmes do business stakeholders facilitate socio-economic development? 11. How is the relationship between the municipality and mining companies? 12. Explain how the collaboration with partners could be improved in relation to service delivery and development?

Source: Own (2016)

Further examination and discussions of collaborative participation approaches reveal that administrative synergy, stakeholder relations, and capacity development perspectives of mining companies (section 5.3.3) are areas of focus for optimising collaborative participation and peculiar to this study.

The next section presents capacity development perspectives from the mining partners in relation to service delivery programmes consistent with the social and labour plan.

5.2.4 Capacity development perspectives of the mining company

The multinational extractive industries are influential in the economy of the BPDM. In addition, the multinationals are partners with local government in relation to provision of service delivery. Against this background this study engages the distinct measures that impact on power asymmetry among stakeholders in relation to socio-economic empowerment of host and labour-sending communities.

A face-to-face interview was held on the mine premises, at a multinational mining company operational in the Bojanala district, on 22 June 2016 with Respondent 31, a senior manager responsible for social performance. Respondent 31 (personal communication, 22 June 2016) cites her experiences, strengths and difficulties dealing with some structures and associated programmes in relation to partnerships that endeavour to enhance service delivery, as elucidated in the following section.

The manager indicates that she heads the Community Engagement and Development (CED) department and chairs the mining-led Community Engagement Forum (CEF) constituted of the Traditional Council, *Dikgosana* or local chiefs, community-based organisations (CBOs), and local municipal councillors. The forum seeks to develop host communities where the mining companies extract natural resources. The socio-economic oriented corporate social investment (CSI) programmes also include communities they source labour from, that is, labour sending areas. The commitment

is part of the mining right or social license to operate consistent with the DMR. In the main, the CED Forum seeks to "*understand needs of communities around and helps us plan interventions accordingly*" (Respondent 31, personal communication, 22 June 2016).

She argues that the multinational mining company has critical focus areas to advance socio-economic development in a huge area in partnership with 50 local government councillors of the BPDM. Interventions of mining business at community level are based on the following focus areas: education, health, enterprise, human settlement, and infrastructure development (Respondent 31, personal communication, 22 June 2016). In addition, the respondent specifies some of the programmes related to certain focus areas, for instance, enterprise development to establish and advance poverty eradication. "At school level we train teachers in partnership with the provincial department of education and build schools under infrastructure development. We also assist municipalities for formalisation of informal settlements," (Respondent 31, personal communication, 22 June 2016). The respondent indicates that inter-departmental cooperation with the technical and programme management departments of the mine provides a quality driven support, whereas her department focuses on engagement, development and relations.

She further indicates that, the mine also participates in the IDP Forum and the Mayoral Stakeholder Committee to discuss economic and capacity development projects in partnership with local municipalities. Accordingly, the IDP Forum provides a platform to align CED forum projects consistent with the SLP programmes submitted to the DMR with the mayoral priorities captured in the IDP of local municipalities. However, she alludes to the numerous mining socio-economic impediments that bring to the fore difficult social reality on the ground, as discussed section 5.3.4.

The following section delves into interview findings. Issues consistent with the patterns generated from the interviews are further threaded along complementary, similar,

dissimilar, and opposing attributes in relation to skills development, municipal performance improvement, and collaborative participation strategies.

5.3 In-depth interview discussions

At this juncture, the study explicates processed data from the foregoing sections into informative categories. Data presentation is organised to provide consistency between dimensions from the conceptual framework and interview questions. The study delves into in-depth interview responses and discusses them in relation to skills retention and engagement, municipal performance improvement and collaborative participation approaches generated from weaving together patterns developed in section 5.2. The horizontal structuring phase is the preliminary stage prior to data analysis. I find it useful to have a preliminary stage of discussion before the robust data analysis phase in Chapter Six. In addition, robust analysis in Chapter Six incorporates the discussions in Chapter Five. Thus, the rationale of presenting the discussion prior to data analysis serves to unfold the distinct nature of perspectives and opinions and not suggest possible repetition.

The most fundamental consideration in the determination of what context-specific and how findings are presented in a specific way in the case study is not only to make the presentation of findings easy enough to be understood by the readers but also, the study implementable in their own situation in alignment with Stake (1995) and transferable (Guba, 1981). An elaborate narrative is therefore generated from the perspectives of respondents and presented in sections 5.2.1, 5.2.2, 5.2.3 and 5.2.4 and following these sections, emerging seven categories are discussed in respective sections 5.3.1, 5.3.2, 5.3.3 and 5.3.4.

The following categories emerged in the presentation of data:

- Employee skills retention;
- Stakeholder engagement;

- Organisational skills retention;
- Departmental performance capacity;
- Administrative synergy and socio-political integrity;
- Administrative synergy and stakeholder relations; and
- Mining socio-economic impediments.

These categories are woven together, condensed, analysed, and corroborated against literature review in Chapter Six to consolidate findings into sub-themes. In addition, the study includes perspectives of the mining company in relation to capacity development of service delivery structures and programmes, and presents a narrative that underscores the peculiar nature of the issues associated with the public-private-partnership.

5.3.1 Skills retention and engagement

Presentation of data on impediments to skills development in section 5.2.1, on further examination reveals that skills retention and engagement serve as strategic approaches to narrow the skill deficit gap and manage the associated challenges. Skills development is associated with the human capital theory (section 3.2.1), which is examined in the aforementioned discussions, whereupon skills development attributes were generated. Responses emanating from the interviews are employed to answer the interview questions:

- Which fora or structures are responsible for improving service delivery programmes?
- What key programmes are supported by the structures and fora you stated?
- What are the challenges experienced in acquiring resources for implementation of service delivery programmes?

Applicability of the categories examined herein is in relation to capacity development precursors to performance improvement, acquisition, and retention of an adequate skills pool. Applicability to governance is with regards to skills development issues,

and entrenchment of a responsive managerial and administrative competency. Emergent experiences related to skills development suggest that employee skills retention enablers and enhancement of stakeholder engagement can improve skills development in the Bojanala local municipalities.

5.3.1.1 Employee skills retention

Respondents believe budget constraints, political interference, grading of municipalities and employee retention could have significant impact on advancing employee skills retention. The CMPD as a remedial training course offered at Wits University (Respondent 04, personal communication, 29 June 2016) intends to reduce human capital skills deficit. However, lack of employee performance appraisal (Respondent 08, personal communication, 07 July 2016) and dysfunctional LGSETA (Respondent 20, personal communication, 12 July 2016) make it difficult to attract and retain skilled labour necessary to narrow the skills deficit gap.

It emerged from comments that lower graded rural municipalities are unfairly deprived of sufficient revenue allocation. Influential political principals also make unilateral decisions to shift budget away from prioritised projects (Respondent 10, personal communication, 11 July 2016). Accordingly, silo decision-making makes it difficult to operationalise commitments to service delivery, subsequently leads to split commitments and poor inter-departmental relations (Respondent 25, personal communication, 14 July 2016). Inequality and lack of accountability in allocating budgets could defeat good intentions to create, and co-ordinate service delivery and skills development programmes equitably across municipal departments, and municipal and inter-governmental relationships. Relaxing the boundaries between tiers of government without the political will to facilitate dissemination and sharing of knowledge could still result in miscarriage of administrative justice at the expense of managerial skills deficit at the local government level.

Political interference featured prominently among impediments to acquiring skilled employees, and moreover was perceived to create a 'poisonous environment' (Respondent 09, personal communication, 30 June 2016) with some councillors hurling insults and derogatory remarks, for instance, "*listen here I am the boss, you must appoint so and so*" (Respondent 10, personal communication, 11 July 2016). Typical of a local government environmental setting, it is greatly influenced by the political milieu. Political interference occurs against the setting of the Post-Apartheid transformative legislation and administrative interventions. Albeit the possibility to harmonise transformative policies and democratic structures, municipal councillors are perceived to be dislocated from societal interests, arrogant and a barrier to capacity development of service delivery structures and programmes.

The conceptual framework highlights training programmes, investment in training, and employee retention issues essential for enhancing the municipal functions. Regardless of the importance of training and employee retention initiatives, inadequate budget allocation and lack of prioritisation of skills training, alluded to in the foregoing sections could contribute to state institutional weakness. Moreover, political elites, respondents suggest, inadvertently impede the creation of a learning and collaborative environment. However, against the context of a dearth of managerial skills deficiency, opportunistic elites display the propensity to claim "*ownership of municipal projects*" (Respondent 18, personal communication, 11 July 2016).

Participants suggest that the 'difficult environment' and lower grading of the municipalities are issues associated with the challenges of retaining skilled employees. Cadre deployees (Respondent 24, personal communication, 14 July 2016) tend to serve political party interests, dictate to managers, and selfishly influence implementation of projects (Respondent 01, personal communication, 20 May 2016; Respondent 24, personal communication, 14 July 2016). Systemic failures could weaken institutional structures as evidenced by respondents. Accordingly, poor payment of municipal levies and ineffective revenue collection systems (Respondents 21 & 23, personal

communication, 14 July 2016; Respondent 01, personal communication, 20 May 2016; Respondent 28, personal communication, 19 July 2016) could manifest in community protests (Respondent 01, personal communication, 20 May 2016; Respondent 26, personal communication, 15 July 2016). The study reveals that ripple effects of social uprisings exacerbate budget constraints and the financial health of local municipalities.

In relation to human resource development, respondents perceive the exclusive performance assessment of only directors using the Performance Management Systems (PMS), as a tool that perpetuates inequality in relation to providing incentives, opportunities to personal and career development. They articulate their displeasure that "*no one cares how I do my work*" (Respondent 21, personal communication, 14 July 2016) and '*I feel like enslaved to work for the directors*' (Respondent 20, personal communication, 12 July 2016). A difficult workplace environment does not auger well in relation to principles of good governance, neither does the environment support retention of knowledge workers.

In summary, suggestions of respondents are that concerted institutional efforts to enhance capacity through equitable acquisition, recognition, and retention of rare skilled knowledge workers can transform local municipalities into learning organisations. The 'difficult environment' and lower grading of the municipalities are issues associated with the challenges of retaining skilled employees. It emerges from comments that political principals propagate split commitments and make unilateral decisions that impact negatively on their constitutional obligations to service delivery. This suggests tendencies that lead to inequality and lack of accountability. Aside from the relaxation of boundaries between tiers of government through inter-governmental relations frameworks, without the political will, and harmonisation of transformative policies and democratic structures, difficult workplace environments remain unchallenged in the local municipalities. Thus, efforts to create a learning environment that supports and advances skills retention rooted in equality and accountability are impeded.

The following section delves into stakeholder engagement perspectives and related findings associated with organisational skills development.

5.3.1.2 Stakeholder engagement

The 'poisonous environment' (Respondent 09, personal communication, 30 June 2016) not only impacts on skills retention and employee recruitment, but also, hampers employee relations with external stakeholders, especially the communities. The opportunistic tendencies of councillors, and political and administrative cadre deployees (Respondent 24, personal communication, 14 July 2016) who tend to curry favour within communities, claim accolades and ownership of municipal projects (Respondent 18, personal communication, 11 July 2016). These undesirable practices tend to widen the distance between administrators and society. Wittingly or unwittingly, these malicious tendencies project employees and the municipalities badly as they manifest in community protests against local municipalities (Respondent 01, personal communication, 20 May 2016; Respondent 26, personal communication, 15 July 2016). It could be difficult to attract and retain rare-skilled employees in such an unstable environment.

Respondents raised concerns about poor relationships and engagement at intra-departmental, inter-departmental and inter-sectorial levels. Non-recognition of partners as equals, more so, in an unstable environment with ulterior and opportunistic ambitions (Respondent 01, personal communication, 20 May 2016) inevitably, yields power-related imbalances that hamper knowledge transfer and active communication. In relation to skills training, there is a perceived notion of dysfunctional LGSETA (Respondent 20, personal communication, 12 July 2016) at inter-sectorial level, this makes it difficult to attract and retain skilled labour.

In summary, in order to adequately address the question on acquiring and developing employee skills, the aforementioned section examined the link between generated patterns and their consolidation into employee skills retention and stakeholder

engagement. Measures that seek to widen the distance between administrators and society, such as dislocated councillors and poor service delivery tend to manifest into despondency, demonstrations, and volatile community protests. In turn, non-recognition of partners as equals, more so, in an unstable environment tend to propagate power-related imbalances that hamper collaborative stakeholder engagement, knowledge transfer, and active communication.

The examination and presentation of preceding findings on skills development advance the argument for examining the nexus between skills development and municipal participatory performance issues. The next section examines findings in relation to municipal performance as experienced by the respondents.

5.3.2 Municipal performance improvement strategies

Discussion of the in-depth perceptions examines skills retention, performance capacity, administrative synergy, and socio-political integrity in relation to optimising local municipal performance. This section is consistent with the research question in Chapter One that identifies facilitators and inhibitors to skills development initiatives in relation to implementing service delivery programmes. Subsequently, this section examines the research question, that is, "what are the challenges in effectively utilising capacity development resources and programmes in Bojanala Platinum District local municipalities, and how can they be overcome?" The data presented in section 5.2.2 on municipal performance reveals that municipal performance improvement strategies serve to maximise operationalisation of the acquired skills to enhance service delivery and associated challenges.

The performance improvement theory examined in section 3.2.2 generates municipal performance improvement attributes. Responses emanating from the interviews seek to answer the interview questions: (1) What employee performance improvement challenges have you experienced in your department in relation to implementing service delivery programmes? (2) What could be attributed to the successful

implementation of service delivery programmes in your department? (3) Explain why structures have not succeeded in improving service delivery programmes; and (4) Why are skills training initiatives in your department difficult to implement?

Respondents suggest that the inhibitors to performance improvement are: Deterrents to departmental synergy and attraction of skilled workforce; grading of the local municipalities; unjust employee performance assessment; lack of a staff retention strategy; deficient inter-governmental relations (IGR); management skills deficit; political interference; and dysfunctional labour unions (Respondent 25, personal communication, 14 July 2016; Respondent 16, personal communication, 12 July 2016). Other inhibitors to performance include dysfunctional structures due to budget constraints; creation of silos operations; ineffective councillors; poor stakeholder relationships; political interference; and ineffective ward committees (Respondent 04, personal communication, 29 June 2016; Respondent 16, personal communication, 12 July 2016).

The impediments to skills training: resistance to change; budget constraints; managerial skills; skills misplacement; skills audit; performance management system; and training of councillors (Respondents 11, personal communication, 06 July 2016; Respondent 10, personal communication, 11 July 2016; Respondent 14, personal communication, 06 July 2016). These impediments indicate the underlying causes of difficulties in BPDM local municipalities, experienced in an endeavour to improve capacity development. The aforementioned patterns reveal that some impediments cut across skills development, municipal performance improvement, and collaborative participation. Consistent with the research problem the research study as a naturalistic inquiry, examines the interface of attributes to explain why utilisation of resources and programmes on capacity development has been a challenge, in relation to providing public services in a natural resource endowed district municipality.

The following sections interweave issues outlined in this section and consolidate them into four categories, that is, organisational skills retention, departmental performance capacity, administrative synergy, and socio-political integrity.

5.3.2.1 Organisational skills retention

Differential grading of local municipalities, especially rural areas, within the same district raises unfair competitive advantages in the form of incongruent salary packages (Respondent 11, personal communication, 06 July 2016) that manifests in high staff turnover (Respondents 12 & 15, personal communication, 06 July 2016). In spite of implications of limited resources, some respondents suggest non-financial alternative measures to improve municipal performance. The skills deficit in rural local municipalities exacerbates recurrent problems, which are also unattended due to *ad hoc* skills audit (Respondent 18, personal communication, 11 July 2016), poorly aligned workplace skills plans (WSPs), and annual training reports (ATRs), Respondent 15 (personal communication, 06 July 2016) suggests.

These assertions imply that committees responsible for finance management, revenue collection, and budget control can do better if capacitated to alleviate budget constraints within limited resources. Thus, dysfunctional skills training and labour committees certainly make it difficult for local municipalities to redress some of the budget constraints. Lack of employee performance assessment is an area of contestation as it limits knowledge generation, sharing, and compromises administrative synergy. To cite an example, power contestation occurs in relation to challenging governance issues in the Madibeng local municipality, *vis-à-vis* inadequate North-West provincial government administrative intervention in the near-collapsed municipality.

Numerous concerns suggest heightened concerns that the lack of incentives to attract and retain skilled high-performers manifests in high employee turnover and community protests. Respondents 11 and 10 (personal communication, 06 July 2016; personal communication, 11 July 2016) put it strongly that skilled employees readily leave or

resign, putting municipal performance improvement initiatives in a vicious circle of desperation and near-collapse of the institutions. Failure to recognise employee skills and knowledge could scuttle efforts to enhance service delivery as guided by the municipal strategy. Widening of the managerial skills deficit gap could weaken and devalue organisational capacity development.

Performance appraisal of employees is legislated; however, it unintentionally tends to widen the distance between the council and directors as explained in this section. Madibeng local municipality is cited as an example of a near-collapsed state institution under the administration of the North-West Provincial government. Respondents advance the perspective that deterrents to organisational performance in the form of skills-flight and limited performance appraisals attribute to inadequate administrative synergy. Respondent 10 (personal communication, 11 July 2016) and Respondent 14 (personal communication, 06 July 2016) assert that the inability of the municipality to retain skilled employees is an impediment to service delivery. The municipal legislation only allows for performance assessment of directors and municipal managers (Respondent 25, personal communication, 14 July 2016; Respondent 16, personal communication, 12 July 2016), however, they do not get any incentives. All respondents strongly advance the argument that this inequality widens the distance between senior managers and the rest of the employees to the disadvantage of administrative synergy and sustainable capacity development of service delivery structures and programmes.

In summary, respondents suggest that organisational skills retention brings some stability in performing the constitutional mandate to provide services to society. However, impediments to organisational programme implementation in the form of budget constraints, and the dearth of managerial skills could weaken and devalue organisational capacity development, including effective resource use. Capacity building could alleviate budget constraints, curb inequality between senior managers and the rest of the employees, strengthen administrative synergy, and subsequently

advance sustainable capacity development of service delivery structures and programmes.

The next section examines departmental performance inhibitors and enhancers against the background of organisational skills retention difficulties.

5.3.2.2 Departmental performance capacity

Differential allocation of grants to local municipalities, lack of consequences management, and loss of skilled labour inhibit municipal performance improvement strategies. Differential allocation of municipal grants and revenue according to size of the municipality and level of development are not responsive to the social and economic needs of local communities (Respondents 11, 12 & 15, personal communication, 06 July 2016). Recognising that a lack of managerial skills impedes performance in their departments, all senior managers are offered an opportunity to improve themselves. However, loss of skilled labour occurs at senior management level despite the municipal support towards studies. Concerning inhibitors to performance of the departments, respondents indicate that despite poor performance due to political interference there is lack of appetite for punitive or corrective measures (Respondent 01, personal communication, 20 May 2016; Respondent 23, personal communication, 14 July 2016).

Management proficiency is paramount in situations of asymmetric power relations. To combat political opportunism that hampers public service delivery, it is essential to enhance effectiveness through organisational and departmental learning, while collaborating with societal representatives. Lack of political will and synergy, and ineffective Speakers Fora and ward committees were perceived to hamper public service delivery (Respondent 06, personal communication, 30 June 2016), resulting in fragmented operational programmes (Respondent 25, personal communication, 25 July 2016). Aside from the imbalanced power relations and lack of political will from some political principals, participants assert that there is little room for work-related

independence; that is, little autonomy and their ideas are undermined and ignored (Respondent 24, personal communication, 14 July 2016).

In summary, despite the allocation of developmental grants to address unemployment and infrastructure development, the perceived 'difficult' political terrain impacts negatively on creation of synergy at the level of senior management according to respondents. This unstable terrain, respondents suggest, thrives at the expense of achieving the national developmental goals delegated to municipalities. Management proficiency, and organisational and departmental learning are key attributes for optimising departmental performance capacity in an environment subjected to asymmetric power relations. Challenges to organisational skills retention are inseparable from departmental performance initiatives and impediments. In addition, administrative synergy could inspire strengthening of skills retention and performance enhancement initiatives supportive of capacity development.

The following section examines administrative synergy and socio-political aspects related to service delivery.

5.3.2.3 Administrative synergy and socio-political integrity

Participants suggest that collective employee teamwork, inter-departmental relations, adequate and co-ordinated skills placement can improve administrative synergy. The dominant perception among respondents, especially in the finance departments, in relation to inter-departmental synergy, was that they initially found it difficult to associate their core functions to other departmental structures, for instance, IDP, HR and community services, to cite an example, Respondent 17 (personal communication, 12 July 2016) and Respondent 27 (personal communication, 29 July 2016). However, on further probing they easily managed to associate their tasks in relation to other governance structures right up to provincial and national levels. Therefore, functional inter-governmental and employee relations are fundamental to the success of teamwork across the departments.

Some respondents suggested that teamwork, functional inter-departmental relationships, and proficient management can help proliferate harmonious inter-departmental relationships (Respondent 25, personal communication, 14 July 2012; Respondent 26, personal communication, 15 July 2016). To some extent and closely associated with teamwork as asserted to by many respondents, positive workplace relations can promote organisational learning, sustain productive mentoring relations, and knowledge sharing. Despite the culture of "us and them" elevated by Respondent 30 (personal communication, 15 July 2016) in relation to the distance between directors and other employees, Respondents 11, 12, 13 and 14 (personal communication, 06 July 2016) indicate that teamwork is a positive attribute for improving delivery of services. Thus, by implication, co-ownership of commitments across local municipalities and exercise of a proficient style of management could open the doors of learning for all to share knowledge in a positive team spirit across the departments.

Respondents had different opinions on the misplacement of skills. It is common for employees in entry-level jobs to explore and develop interests in other jobs different to their current positions. A mismatch of skills and unmeritorious appointments alluded to could defeat the good intentions to alleviate the dearth of managerial skills. In relation to positive attributes to enhance performance, managers are hands-on and contribute meaningfully to service delivery, especially in rural municipalities (Respondent 08, personal communication, 07 July 2016; Respondent 20, personal communication, 12 July 2016). Local economic development units of the municipality support poverty alleviation programmes and collaborate with Mintek on small mine scale training, although it is ineffective as trainees struggle to get jobs (Respondent 18, personal communication, 11 July 2016).

The foregoing section examines administrative synergy as the superglue that could hold organisational skills retention and performance improvement initiatives together. However, when a lack of socio-political integrity widens the space between senior managers and political principals, administrative synergy is weakened. To inspire a

meaningful political integrity through the bottom-up participatory consultation that significantly inculcates empowerment and integration of civil society using policy instruments is an on-going challenge in local government structures. The role of political elites within the natural mineral endowed BPDM make it difficult to effectively and equitably distribute resources to enhance municipal performance. Respondent 01 (personal communication, 20 May 2016) expressed concerns about the critical role of councillors as decision makers, an interface between the society and the municipality in relation to facilitating service delivery. The respondent, a senior and experienced manager, elevates the financial impact of split commitments of councillors and senior political appointees between council activities and party-political engagements as attributes to ineffective municipal performance. The respondent states that the preoccupation with non-work-related political party issues severely retards municipal performance.

The study picks up a sense of despondency and strong feelings among respondents, at the seemingly narcissistic leadership and combative stance assumed by some of the councillors. Respondent 24 (personal communication, 14 July 2016) succinctly sums it up that councillors "*baya re telela,"* that is, undermine us and need to understand our mandate as an institution and avoid display of arrogance with comments like "*the community will sort you out*". In a similar vein, the respondent asserts that councillors force "*own unqualified people upon us"* for appointment and their interference in administrative issues delays project implementation. However, this is in contravention of section 78(b) of the Municipal Finance Management Act (2003), a guiding tool that advocates for advancing effective, efficient, cost-effective and transparent utilisation of financial and other resources of the municipality. Even though political elitism is a global phenomenon, in South Africa, respondents suggest that the long chain of bodies that exercise oversight over councillors could be reduced to adequately and efficiently empower the local councils to take remedial or punitive action against the seemingly recalcitrant councillors.

In this section, respondents highlight how the lack of socio-political integrity leads to fragmented administrative operations, and delays services as a result of the widened operational distance between administrators and legislators. Furthermore, due to lack of collaboration among councillors and managers there are silo operations in relation to engaging mining companies (Respondent 25, personal communication, 25 July 2016). Failure of political principals to democratically represent and elevate interests of the communities could necessitate a shift of power balance in relation to decision-making in favour of the private business sector partners.

A common view shared among respondents is that councillors are supposed to be responsive and facilitative leaders in their local communities. The opportunistic and elitist nature of their relationship with the administrators renders consultations into "*mooi praatjies"* or 'talk shops' (Respondent 03, personal communication, 20 May 2016). The moment communities feel excluded from consultations on project implementation, they assume a confrontational stance, subsequently, declare 'no-go zones' in some areas, due to delayed or halted services (Respondent 02, personal communication, 20 May 2016). The interwoven perspectives of respondents advance the argument that a display of arrogance and deliberate violation of the prescripts of the legislation is consistent with corruption and compromised compliance with the Constitutional mandate to deliver public services and goods effectively and efficiently.

Poor human settlement arrangements in some local municipalities have undesirable human rights and social justice implications with knock-on effects that have a bearing on depressive socio-economic dimensions. Respondents indicated that mining-related in-migration creates squatting on tribal and municipal land, which results in social-ills and poor collaboration (Respondent 03, personal communication, 20 May 2016). Developing a memorandum of understanding (MoU), respondents suggest, could assist in enhancing collaboration. However, some mining houses by reneging on committed projects impede collaboration, to cite an example lack of development of social housing and rental arrangements for mineworkers. Thus, social-ills emanating from the largely

heterogeneous and changing mobile population in the mineral endowed municipality are exacerbated by the uncontrolled influx of the economic labour migrants. To curb and remedy social-ills emanating from mining, respondents suggest measures to legally bind mining houses to develop local municipalities, including a plan to anticipate mine closure and retrenchments. Implementing such legislation could remedy the problem of informal settlements in mining active villages exhausting the local municipal budgets.

In summary, knowledge and not individuals is an asset of value to local government capacity development. The perceived narcissistic political leadership at local government impacts negatively on administrative synergy. It would be naïve not to expect the community to be confrontational in a situation of mistrust and social exclusion from implementation of projects, respondents suggest. The current state of poor governance should prompt for a responsive, foresighted transformative leadership to affirm good governance practices. Enhanced political integrity and containment of the administrative 'brain gain' possibly could help to inspire a meaningful bottom-up socio-political integrity followed by enhanced capacity for service delivery. Respondents suggest that a lack of socio-political integrity has the propensity to weaken administrative synergy. In general, there is an overarching belief that bottom-up participatory consultation inspires meaningful political integrity. The interwoven perspectives of respondents advance the argument that skills retention measures, departmental performance capacity, administrative synergy, and socio-political integrity are building blocks of municipal performance improvement strategies.

Efficient management of the distance between municipal managers and society could alleviate some impediments in relation to capacity development of service delivery structures and programmes as alluded to in the next section.

5.3.3 Administrative synergy and stakeholder relations

Further examination of the data on collaborative participation impediments in section 5.2.3, reveal that administrative synergy and stakeholder relations are fundamental to improving and managing inhibitors to collaborative participation and associated challenges. Performance management system, inter-governmental relations, and organisational culture feeding off a 'bureaucratic lacuna', typical of an ineptitude type of leadership manifest into perpetuation of inequality across all departmental units. A fragile alliance between national departments and municipalities distinctly advances disrespect for the rule of law and a *laissez-faire* type of management style.

Most of the respondents condemn the Performance Management System (PMS) as a tool that perpetuates inequality in relation to providing incentives, weakens organisational culture, and promotes a *laissez-faire* workplace environment and incompetent leadership (Respondent 01, personal communication, 20 May 2016; Respondent 09, personal communication, 30 June 2016) with less appetite to enhance collaborative relations with other stakeholders. Respondents articulate their displeasure that "*no one cares how I do*" (Respondent 21, personal communication, 14 July 2016) and "*feel like enslaved to work for the directors*" (Respondent 20, personal communication, 12 July 2016). Thus, respondents submit that the exodus of senior managers to provincial and national departments, happens to the detriment of municipal service delivery and capacity development.

Inadequate synergy is not only confined to the municipal departments, but also, in the local government-provincial government space (Respondent 16, personal communication, 12 July 2016). Respondents allude to the poor relations with mining companies and the resultant mounting costs on the municipalities, in relation to human settlement issues. Formalising informal settlements continues to be a challenge in the Bojanala District. Respondent 04 (personal communication, 29 June 2016) remarks that mine houses must develop social houses together with interested parties to accommodate mineworkers. In addition, partnerships with mining companies on

accommodation of mineworkers seek to circumvent silo operations in local and national governments that tend to confuse and frustrate communities (Respondent 18, personal communication, 11 July 201).

To curb and remedy social-ills emanating from mining, respondents suggest measures to legally bind mining houses to develop local municipalities and develop a plan to anticipate mine closure and retrenchments. This is against the backdrop that maintenance of informal settlements in mining active villages exhausts budgets of the local municipalities. This perspective advances the argument that administrative synergy cannot be viewed in isolation of the collaboration that intends to align the IDP with business strategies of mining companies, including the SLP.

According to some perspectives, discriminatory performance assessments instil personal demoralisation, tension at workplace, and divisive decisions that manifest in some form of resistance to learning in the workforce. Most importantly, the workplace environment would develop a *laissez-faire* organisational culture feeding off a 'bureaucratic lacuna'-type of deficient leadership. Thus, it is essential that administrative synergy cuts across organisational performance improvement and collaborative participation, as explained in the foregoing sections, based on the grounds of the multi-stakeholder driven local government environment. Hence, the need to examine and discuss stakeholder relations as one component to maximise collaborative participation in relation to capacity development of service delivery structures and programmes.

Some views advance the argument that administrative silos or fragmented approaches lead to dishonesty, communication break-down, poor community participation, and incomplete projects or '*white elephants*' (Respondent 09, personal communication, 30 June 2016; Respondent 26, personal communication, 15 July 2016; Respondent 08, personal communication, 07 July 2016). The Municipal Systems Act 32 of 2000, section (66) has a provision on developing a culture of community participation. It

states that a municipality must develop a culture of municipal governance in which formal representative government complements a system of participatory governance that contributes to building the capacity of the local community to enable it to participate in the affairs of the municipality, councillors and staff.

Most of the mining activities take place on land of *magoshi*/traditional authorities subject to attaining a mining license from the Department of Mineral Resources (DMR). The DMR exacerbates the fragile alliance with municipalities, as it tends to implement some projects without municipal approval (Respondent 18, personal communication, 11 July 2016). The fragile alliance between the national departments and municipalities, is symptomatic of functionally disjointed policies, inadequate administrative synergy and poor stakeholder relations.

The study reveals that local municipalities have structures in the form of committees and fora to support collaborative participation and enhance stakeholder relations. The multi-stakeholder forum for partners necessarily must support information sharing, integrated planning, and optimised stakeholder relationships. Respondents contend that consultative fora interact directly with communities and encourage them to pay for their services (Respondent 01, personal communication, 20 May 2016).

Alignment of the legislative prescripts could improve collaborative participation and quality public service delivery. In addition, municipal legislative tools endeavour to pre-empt and possibly guide how to resolve the perceived ‘silos mentality’ at the District that inhibits communication, knowledge use, and honest engagement (Respondent 27, personal communication, 29 July 2016). Purposeful engagement with stakeholders is therefore a prominent strategy to facilitate skills retention. Moreover, participants’ insights suggest that administrative synergy is equally important and common to improving municipal performance and collaboration in relation to capacity development of service delivery structures and programmes. An overarching distinct narrative, against the background of the elucidated impediments to service delivery, is

that skills retention, administrative synergy, and stakeholder relations are inevitably intertwined outcomes in the endeavour to maximise operationalisation of capacity development initiatives.

In summary, notwithstanding the perceived rhetoric talks and arrogant conversations among some political principals, respondents raise the importance of senior managers liaising across the departments in pursuance of a "positive team spirit". Premised on the worldview of the respondents, service delivery impediments advanced in this study are embedded in the interwoven poor administrative synergy and stakeholder relations, which also serve as fodder to weaken capacity of local municipalities. Unilateral decision-making could instigate harmful competition and conflict between government institutions.

The next section presents and discusses socio-economic issues from the perspectives of the mining constituency and examines a collection of insights against the context of capacity development displayed in the interviews.

5.3.4 Mining socio-economic impediments

Most importantly, the respondents indicated that availability of money is the major challenge, as the mine's operational shafts are scattered all over a substantially huge area. In addition, the poor performance of the mining industry makes it more difficult to sufficiently assist communities with developmental projects or programmes. The manager explains how structures and programmes fail to improve service delivery programmes in line with the SLP or corporate social responsibility (CSR) programmes. On further probing Respondent 31 (personal communication, 22 June 2016) cites an example of the extent of political interference, whereupon political elites manipulate and dictate to mining companies to feed their self-serving greed, political careerism and ambitions.

> *The biggest challenge is when the other partner does not fulfil what they promised to implement. Our services are also on local procurement and communities fight among themselves over our limited resources. Politics come into play, especially now, during the election period. Councillors use service delivery issues to score points. One councillor would halt a clinic construction and say "vote for me and you will get more jobs". They use our projects for electioneering. We have marches every day, with people demanding jobs. After elections there will be challenges, but not as aggressive as during elections. We end up resolving issues instead of delivery. We sit in conflict resolution sessions instead of planning and implementing projects.*
>
> (Respondent 31, personal communication, 22 June 2016).

The social performance manager felt that the relationship with the local municipality is good. However, "*the mining communities have a sense of entitlement and we have a lot of community uprising. As such we have a conflict resolution committee led by director of public safety to intervene when necessary*" (Respondent 31, personal communication, 22 June 2016). Moreover, communities have the propensity not to understand the importance of prioritising and aligning projects within limited resources of the mine. To some extent, this argument draws attention to lack of community empowerment; against the background of the supposedly trained councillors and ward committees in relation to knowledgeable skills transfer on how the municipality operates.

The social performance manager's perspectives of impediments to socio-economic development in the district are consistent with the views expressed on political elitism (Respondent 24, personal communication, 14 July 2016; Respondent 09, personal communication, 30 June 2016). Similarly, she asserts that some of the difficulties are

due to shoddy actions and inactions of councillors, and department officials at provincial and national governments. The sour relationship with local councillors extends to the communities. For example, projects turn into 'white elephants' as a result of trust deficit with the local municipalities, and agreements are hardly honoured. Subsequently, she further argues that communities take the law into their own hands in the absence of effective leadership, and fight among themselves over mining community projects. It is insightful to note how her views corroborate perceptions of respondents. The geographical setting of the mining shaft over huge areas, overstretches utilisation of limited resources of the mining company, she alludes.

A look at the perspectives of respondents on relations with mining companies yields vastly different views from pleasant to sour relationships. Respondent 01 (personal communication, 20 May 2016) raised concerns about the influence of mining on relations with the civil society, that is, "*the relationship is not always good because mining houses do not always attend the mining forum meetings*". Findings reveal that councillors who are also members of the traditional authorities sometimes run own mining sponsored projects parallel to and in conflict with the municipal projects and legislations. These conflicts manifest into sour relations between the municipality and mining companies (Respondent 31, personal communication, 22 June 2016). However, respondents hold different opinions, thus, Respondent 04 (personal communication, 29 June 2016) acknowledges that the relationship with mining companies is fair, and mines contribute to local schools. Mining companies could do better with an "*implementable and sustainable plan to pre-empt mine closures, retrenchments and volatility to alleviate the impacts of revenue loss and unemployment, tap into mining environmental rehabilitation fund and legally bind mining houses to develop local municipalities*" (Respondent 16, personal communication, 12 July 2016).

Poor inter-governmental relations profoundly affect enhancement of social capital in the municipalities. Thus, there is a need to strengthen relations with national government to avoid duplication of resources and wastage by the mining companies

and government. Respondent 18 (personal communication, 11 July 2016) corroborates on issues closely associated with the DMR duplication of projects as confirmed by the mining manager, that they should not implement projects without municipal approval. Importantly, "*we need formation of functional collaboration initiatives to inform spatial development*" (Respondent 18, personal communication, 11 July 2016).

In summary, from the perspective of functional orientation of mining companies, engagement with stakeholders could enhance relational dialogue to address power asymmetry and optimise implementation of programmes to meet expectations of communities. Nonetheless, social reality is that the geographical setting of mining shafts is over huge areas, which overstretches the limited resources of the mining company to meet the expectations of communities. However, strengthening relations with national government and business could improve trust, communication, and related costly red tape perceived to stunt functional participatory collaboration.

The next section examines emergent views collected from the questionnaires for wide ranging views supportive or negative of the perspectives captured in interviews.

5.4 Questionnaire data presentation

Most of the 52 participants are in the junior management level and 45 years old or less, as explained in the demographics. This section underscores the attributes related to skills development, organisational performance and collaborative participation. The Likert Scale was employed to not only solicit quantitative data in this study, but also, assist in collecting quantitative objective data argued in Burns (1999). Using questionnaires respondents were asked to indicate '*strongly disagree*', '*disagree*', '*agree*' or '*strongly agree*' suggestive of the non-numerical 'intensity' of their attitude. The number of respondents corresponding to a particular choice of perception was added up and average percentages were determined to collate particular level of intensity of their 'feelings'. On average highest 'strongly agree' scores were noted

among skills development issues, whereas collaborative participation yielded the lowest scores. Among other reasons, this discrepancy could be attributed to the fact that junior and middle managers felt strongly about their development, in that they have little or no direct influence on optimising performance in their departments and have minimum or no contact with external stakeholders.

Data collected from the questionnaires with 18 distinctive aspects is presented in tabular forms (Table 5.7 to Table 5.22) consistent with Appendix 2. Typical of the nature of descriptive statistics, this study employs all 18 aspects to guide completion of the questionnaires.

The following section examines the skills development enablers and associated aspects.

5.4.1 Skills development enablers

This section examines issues in relation to skills development in the questionnaire and matches them against responses collected in interviews, that is, recruitment strategy, working conditions, training and development, effective management support, employee motivation, pay and benefits, job autonomy, retention strategy and loyalty. Most respondents, 43(80%) indicate that they are attracted by the image of the municipality (Table 5.2). Induction on individual performance scores more than on the performance of the municipality. More participants ‘strongly disagreed’ that they were evaluated within a year at work. A noticeable quarter of participants strongly disagree that they were evaluated on their performance.

Table 5.2: Recruitment strategies

A) Recruitment strategies When I was first employed by the institution I		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
1	Was inducted on my performance expectations	52	4	9	28	11
2	Was inducted on the mandate of the Council	52	3	12	21	16
3	Was oriented on the local social environment	52	10	15	18	9
4	Was introduced to the political office bearers	52	8	14	20	10
5	Was evaluated within 12 months	52	13	11	21	7
6	Was attracted to the image of the company in my community	52	2	7	32	11
	Average		***7(12%)***	***11(22%)***	***23(45%)***	***11(21%)***

Source: Own (2016).

Most respondents, that is, over 38 (Table 5.3) feel that the workplace is supportive and are encouraged to think independently. Close to 32 indicate that they are recognised for good performance. This is inconsistent with the perception gathered in the interviews of senior managers. The perception could be indicative that in general their relationship with senior management is fairly good, as supported in the examination of 'effectiveness of management support' in Table 5.5 and explained in the following sections.

Table 5. 3: Working Conditions

B) Working Conditions		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
I like working here because						
7	The workplace environment is supportive.	52	3	11	30	8
8	I am encouraged to think independently.	52	4	9	29	10
9	We all honour our duties.	52	4	14	21	13
10	I am recognised for good performance	52	11	9	20	12
	Average		***6(10%)***	***11(21%)***	***25(48%)***	***11(21%)***

Source: Own (2016).

Most respondents in Table 5.4 assert that workplace training and development is not a waste of time. They strongly feel a need to develop their individual talents and diversify their skills for promotional purposes. It is also interesting that about the same number of respondents suggest they have sufficient skills for their current jobs. However, they would like to acquire skills to work in other departments. The same number indicates that they pursue new skills in order to be promoted. In relation to training and development about the same number assert that they rather be trained on skills unrelated to their current jobs, 46(88%), because they would stand more chance of promotion, 45(87%).

Table 5. 4: Training and development

C) Training and Development		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
I feel that						
11	I need to develop my talent.	52	1	2	25	24
12	Opportunities to develop are many	52	0	12	24	16
13	I have sufficient skills to perform my job.	52	1	6	23	22
14	I would like to be trained on skills unrelated to my job.	52	0	6	26	20
15	I would like to be trained to be promoted.	52	0	7	19	26
16	Training and development is a waste of my time.	52	31	9	9	3
	Average		***6(13%)***	***7(15%)***	***21(39%)***	***19(33%)***

Source: Own (2016).

Table 5.5 suggests that respondents are quite vehement that their managers do not make them feel like leaving the municipality, suggestive of a good working relation or teamwork between managers and staff. A high measure of trust and teamwork is synonymous with a high level of two-way communication and fair delegation of duties. The views expressed by lower-level staff are inconsistent with the views of senior managers in the interviews in relation to trust and teamwork. Senior managers expressed high level of mistrust and lack of communication with their political heads.

Table 5. 5: Management support

D) Effective management support		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
My manager						
17	Trusts me.	52	1	5	31	15
18	Always avoids favouritisms.	52	5	8	20	19
19	Responds quickly to requests.	52	4	13	21	14
20	Makes me leave the institution.	52	19	16	11	6
21	Advises me on my performance.	52	2	8	31	11
22	Encourages staff to work as a team.	52	1	6	27	18
23	Delegates duties to me accordingly.	52	1	8	25	18
24	Uses open two-way communication.	52	3	4	30	15
	Average		***5(9%)***	***9(16%)***	***25(47%)***	***15(28%)***

Source: Own (2016).

Job security, departmental recognition of employees' skills, and support of the host communities could be attributes for motivation to retain employees. There is a strong sense of belonging and motivation to work for the municipality, as represented in Table 5.6. Personal satisfaction and motivation are also derived from being able to pay personal bills, consistent with the high recognition of 'good benefits' suggested earlier. High scores on motivation portray a different picture compared to perspectives and insights derived from interviews. Nonetheless, consistent with the views of senior management, local government is supposedly still an employer of choice with better opportunities of a stable job than the private sector.

Table 5. 6: Employee Motivation

E) Motivation		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
I am motivated to do my work because						
25	I have to pay my bills.	52	4	8	21	19
26	I feel a sense of 'belonging'.	52	1	12	26	13
27	My department supports our communities.	52	3	7	26	16
28	My department values my knowledge and skills.	52	4	7	25	16
29	Of the job security.	52	4	6	28	14
		Average	***3(7%)***	***8(15%)***	***25(48%)***	***16(30%)***

Source: Own (2016).

Most of the senior managers felt they would rather transfer to urban local municipalities, provincial or national government than the private sector. However, to some extent there are strong feelings that annual salary increases are not good enough and total remuneration is not equivalent to skills and qualifications, as suggested in Table 5.7. Over half of participants (32) believe benefits are more important than salaries and 28 suggest that total remuneration is equivalent to their skills and qualifications. Albeit the positive acknowledgement of benefits offered, half the respondents are dissatisfied with annual salary increases. They also point out that the municipalities could do better with regards to salary packages. This is a view and concern shared by senior managers in the interviews too.

Table 5. 7: Pay and Benefits

F) Pay and benefits I am encouraged to work for the company because		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
30	Annual salary increases are good	52	11	15	20	6
31	Total remuneration is equivalent to the job I do	52	10	14	22	6
32	Total remuneration includes good benefits (medical aid, housing and pension)	52	2	5	29	16
33	Total remuneration is equivalent to my skills and qualifications	52	8	16	22	6
34	Benefits are more important than salary	52	7	13	20	12
	Average		***8(15%)***	***13(24%)***	***23(43%)***	***9(18%)***

Source: Own (2016).

Most respondents are fulfilled by going 'the extra mile' without the frequent 'push' from the managers. Just more than half felt fulfilled by working alone and confronting challenges experienced at workplace. This could be indicative of a workplace environment that facilitates autonomous or independent thinking, acknowledged by more than 70% of the respondents, as Table 5.8 indicates. Significantly, this is consistent with the views of senior management, in that they felt the legislative tools could be adequate for them to confront challenges related to their mandate, nonetheless, political interference is a deterrent to autonomous performance of tasks.

Table 5. 8: Job Autonomy

G) Job Autonomy		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
I am fulfilled by						
35	Challenges at workplace.	52	1	13	25	13
36	Working alone.	52	3	22	20	7
37	Going the 'extra mile' in performance of my job.	52	0	4	29	19
38	The frequent 'push' from my manager/supervisor.	52	5	21	19	7
		Average	***2(4%)***	***15(29%)***	***23(45%)***	***12(22%)***

Source: Own (2016).

Although, just over half the participants were encouraged by the teamwork, to some extent an above average number 'strongly disagree' that the salary is competitive. A substantial number of participants suggested that councillors do not offer good support. Teamwork is perceived as a positive attribute to service delivery by most of the participants, as Table 5.9 indicates. To some extent, these attributes are consistent with some of the senior managers, mainly in rural local municipalities. It is also interesting that despite the limited support by councillors, participants are prepared to go the 'extra mile'.

Table 5. 9: Retention strategies

H) Retention Strategies		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
I am encouraged to stay at the institution because						
39	Of work and family life satisfaction.	52	3	18	24	7
40	Of the great status of the company.	52	6	20	21	5
41	I feel a sense of ownership and Corporate Citizenship in this institution.	52	9	12	24	7
42	We work as a team.	52	6	12	22	12
43	The salary is competitive.	52	11	12	24	5
44	Management recognises my talent.	52	9	10	26	7
45	Councillors offer good support.	52	13	15	19	5
	Average		***8(16%)***	***14(27%)***	***23(44%)***	***7(13%)***

Source: Own (2016).

The expression by many respondents that the retirement package and economic support of host communities enhance their loyalty could be indicative that local government is the employer of choice. It is noteworthy that against this background, an above average number, 23% 'strongly disagree' that political office bearers acknowledge their roles and suggest that the institution does not invest in their personal development, as Table 5.10 expresses. All these attributes associated with loyalty confirm the viewpoints gathered in the interview phase.

Table 5. 10: Institutional Loyalty

I) Institutional Loyalty because I intend staying in the company		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
46	The retirement package is good.	52	5	19	23	5
47	The institution has invested in my personal development.	52	2	23	18	9
48	The institution practices transparent communication with employees.	52	7	17	21	7
49	The municipality supports economic development in my community.	52	1	18	25	8
50	Political office bearers acknowledge my role.	52	12	14	19	7
	Average		***5(7%)***	***18(37%)***	***21(42%)***	***7(14%)***

Source: Own (2016).

The following section examines perceptions of participants in relation to municipal performance improvement strategies.

5.4.2 Municipal performance improvement strategies

In-depth interviews reveal that a combination of consultative budget allocation, efficient utilisation of resources and development of relevant skills is integral in effectively achieving departmental and inter-departmental performance outcomes. Attributes that are pointed out in the interviews in relation to municipal performance include departmental skills development; departmental performance; performance impediments; political elitism; and the Councils' support of service delivery related IDP programmes.

A very high and convincing number, 35(69%), of participants assert that skills 5training is not only offered to senior managers and about the same number agree that all employees have job descriptions. This corroborates the views expressed in the interviews. To verify existence of silos departmental operations as indicated in the

interviews, a substantial number, in Table 5.11 also indicates that education and training programmes are not linked to roles in other departments. However, concerning a skills audit just over half, which is not convincing, assert that skills audit is done annually. This is against the perspective that more than average number 'strongly disagree' which is consistent with the perceptions captured in the interviews.

The senior managers when interviewed on skills audit indicate that a lack of co-operation among organised labour unions and the dysfunctional LGSETA make it difficult to complete skills audits in alignment with the WSPs. Fewer respondents, 29(56%) suggest that education and training are for the fortunate. All interviewees confirmed that municipalities offer bursaries for anyone to study in any field of interest, although to some extent the elder employees were reluctant to study.

Table 5. 11: Departmental skills development

J) Departmental skills development In my department		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
51	We all have job descriptions.	52	4	12	22	14
52	Strategies of Education and Training are reviewed annually.	52	4	17	23	8
53	Education and training opportunities are for the fortunate.	52	9	14	19	10
54	Education and training programmes are linked to roles in other departments.	52	2	23	18	9
55	Skills training is only offered to senior public servants.	52	17	18	13	4
56	Skills audit is done annually.	52	12	13	18	9
	Average		***8(16%)***	***16(31%)***	***19(36%)***	***9(17%)***

Source: Own (2016).

Concerning departmental performance, in Table 5.12, participants overwhelmingly confirm insights captured in the interviews. Performance is not rewarded, nor measured against any targets aligned with other departmental mandates. Remarkably, management hardly exercise consequence management. Perceptions of most of the participants are consistent with the opinions gathered in the face-to-face interviews on inhibitors to performance.

Table 5. 12: Departmental performance

K) Departmental Performance		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
Our departmental performance						
57	Is measured on achievement of individual targets.	52	7	20	20	5
58	Is associated with the achievement of other departmental targets.	52	5	25	18	4
59	Expectations are aligned to our skills.	52	4	10	35	3
60	Management system rewards all individuals for improvement of services.	52	23	15	11	3
61	Management system punishes individuals for lack of improvement in the implementation of service delivery.	52	17	14	15	6
	Average		***11(22%)***	***17(32%)***	***20(38%)***	***4(8%)***

Source: Own (2016).

Poor inter-governmental relations scored the highest, 44 (85%) followed closely by budget constraints, 43 (83%) in Table 5.13. Inter-governmental relations as performance inhibitor featured strongly in relation to silo operations. Importantly, some managers, especially in the PMS unit found it difficult to evaluate directors because according to protocol they are junior or middle managers. In the interviews respondents alluded that they merely submit forms for directors to tick the boxes. Over 70% of participants also confirm other performance impediments, that is, lower grading of local municipalities, political interference, and lack of mentoring.

Table 5. 13: Performance impediments

L) Performance Impediments		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
Key Performance Inhibitors are						
62	Budget constraints.	52	5	4	27	16
63	Lower grading of local municipalities.	52	1	12	23	16
64	Poor inter-governmental relations.	52	1	7	32	12
65	Political interference.	52	4	11	16	21
66	Lack of mentoring support.	52	4	11	27	10
	Average		***3(6%)***	***9(17%)***	***25(48%)***	***15(29%)***

Source: Own (2016).

Following an examination of perceptions related to performance inhibitors, that is, budgetary planning and resource utilisation, participants corroborated that silo operations and political interference delay the release of budget plans as stated in the interviews. Similarly, participants confirmed that policies are in place and notably budget allocation is sometimes influenced by councillors unilaterally, as depicted in Table 5.14. Most participants indicate that concerning budgets and resources in their departments, policies that guide compliance, and financial reports are released annually.

Consistent with the results obtained from the interviews a substantial 40(77%) of respondents suggest that councillors sometimes influence budget unilaterally. Half the respondents feel that budget plans are not released timeously, which is an issue also expressed in the interviews, that is, political interference and absent political chairpersons delay approval of resolutions and implementation of decisions. None disputes that financial reports and feedback are released annually. Thus, another confirmation of the views expressed, especially by the financial managers and CFOs that financial reporting including auditing takes place, and annually they seek assistance from the Auditor General's Office.

Table 5. 14: Budgetary planning and resource utilisation

M) Budgetary planning and resource utilisation		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
Concerning budgets and resources in my department						
67	Budget planning is a consultative process.	52	3	16	28	5
68	Budget plans are released timely.	52	7	19	22	4
69	Financial reports and feedback are released at least once annually.	52	0	11	32	9
70	There are policies that guide compliance with the legislation.	52	0	1	30	21
71	Budget allocation is sometimes influenced by councillors unilaterally.	52	4	8	23	17
	Average		***3(5%)***	***11(21%)***	***27(52%)***	***11(22%)***

Source: Own (2016).

The following section delves into collaborative participation as suggested in the questionnaire.

5.4.3 Collaborative participation approaches

The Bojanala Platinum District Municipality is endowed with natural mineral resources, and by extension the political heads have to keep a healthy relationship with owners of the land, that is, traditional leaders and multinational business partners. There is a strong worldview that underscores that service delivery is inseparable from participatory governance in the establishment of external partnerships. Regarding the establishment of external partnerships over 48 (93%) respondents contend that not only should the municipality communicate with partners, but also, the quality of engagement must improve, as Table 5.15 indicates. This signifies an argument consistent with the results from face-to-face interviews. The above 50% positive worldview on the relationships with traditional leaders and business partners is significant. However,

their view is refuted among the interviewees. Again, the result is important, as the strength of their belief reflects no actual experience with external partners.

Table 5. 15: External partnership

N) External partnership I feel that		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
72	Opportunities to communicate with external stakeholders are important.	52	1	3	30	18
73	I have adequate skills to communicate with stakeholder representatives.	52	1	15	24	12
74	The municipality could improve on quality of stakeholder engagement.	52	2	2	29	19
75	The relationship with business/ mining companies is productive.	52	8	16	16	12
76	The relationship with traditional authorities is productive.	52	4	18	24	6
	Average		***3(6%)***	***11(21%)***	***25(47%)***	***13(26%)***

Source: Own (2016).

Respondents propagate the view that the severity of political elitism in Table 5.16, is poorly dealt with. Silo operations and relations manifest in unilateral decision-making and impact negatively on productive employment. Over half of the participants strongly argue that political interference does not enhance synergy with communities and collaboration with stakeholders. The strength of corroboration and consistency with the arguments in the interviews is quite profound.

Table 5. 16: Political elitism

O) Political elitism		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
Political interference						
77	Affects our operations	52	4	6	24	18
78	Is poorly dealt with	52	4	9	26	13
79	Impacts on productive employment	52	2	10	27	14
80	Creates 'silos' unilateral decision making	52	1	11	23	17
81	Strengthens synergy with the community	52	11	17	19	5
82	Enhances collaboration with business stakeholders		9	23	13	7
		Average	***5(10%)***	***13(24%)***	***22(42%)***	***12(24%)***

Source: Own (2016).

Another plausible worldview consistent with the interview responses is that political heads do not provide a facilitative leadership nor reward good performance as Table 5.17 demonstrates. Similarly, a reasonable number also feels that the political principals do not maintain an empowering communication with stakeholders. A substantial number asserts and confirms that the political heads provide feedback on resolutions of the Council and comply with the legislation. The same number raises concerns that external consultants are outsourced to do their duties. Thus, another plausible confirmation of the perspectives drawn from the interviews.

Table 5. 17: Council support of municipal IDP

P) Council support of IDP		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
Our political heads						
83	Always approve programmes on time	52	1	18	25	8
84	Provide regular feedback on Resolutions of the Council	52	7	8	29	8
85	Respond to challenges accordingly	52	10	14	20	8
86	Sometimes invite external consultants to do our duties	52	7	10	22	1
87	Provide facilitative leadership and support	52	5	16	20	8
88	Award good performance to employees	52	18	13	15	3
89	Comply with the local government legislation	52	3	19	28	8
90	Maintain participatory communication	52	2	28%	23	8
	Average		***7(13%)***	***15(28%)***	***23(44%)***	***8(15%)***

Source: Own (2016).

Most respondents feel that relations with stakeholders are meaningful and productive, as demonstrated in Table 5.18. This perception is contrary to the worldview of the interviewees. Most of the participants are at lower levels of accountability and hardly in contact with external partners, thus some inconsistency noted in relation to perceptions on stakeholder relations.

Table 5. 18: Relationship building with stakeholders

Q) Relationship building with stakeholders		**Total**	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**
Stakeholder relationships are						
91	Disjointed	52	7	19	19	8
92	Productive	52	6	11	28	7
93	Meaningful	52	9	9	30	4
94	Transparent	52	3	19	25	5
95	Manipulative	52	10	14	19	9
		Average	***7(12%)***	***14(28%)***	***24(47%)***	***7(13%)***

Source: Own (2016).

A reasonable number feels that relations with stakeholders are disjointed and manipulative, a view also held by the senior management. Some perceptions underpin that mining companies do not regularly communicate with host communities, have no interest in discussing any repercussions of mining closure, and express little co-operation on social and labour plans, Table 5.19 reveals. These factors also feature strongly in the face-to-face interviews.

Table 5. 19: Mining operations

R) Mining Operations		Total	Strongly Disagree	Disagree	Agree	Strongly Agree
Mining companies						
96	Work alone on social and labour plans (SLPs)	52	1	15	27	9
97	Regularly inform the municipality on their IDP commitments	52	6	23	18	5
98	Are open and realistic on the economic impacts of mining closure	52	12	23	14	3
99	Communicate meaningfully with the host communities on social impacts of mining and rehabilitation measures	52	14	26	9	3
100	Have no interest in discussing the risks of 'ghost towns' after mine closure	52	7	14	12	19
		Average	***8(15%)***	***20(39%)***	***16(31%)***	***8(15%)***

Source: Own (2016).

It is against the milieu of inadequate SLP that despite the legislative prescripts that govern acquisition of mining licences; local municipalities endowed with natural minerals are always vulnerable to possible risks associated with creation of ‘ghost towns’. It is worth mentioning that employees as citizens and often subjected to service delivery challenges, raise these concerns against the backdrop of possible severe socio-economic impacts in the context of active or inactive mining operations.

The following section examines and discusses the responses gathered from the questionnaires.

5.5 Questionnaire data discussions

A critical view of the data collected from the questionnaires underscores similarities, contradictions and dissimilarities indicative of disputes and confirmation of the perspectives collected in the in-depth interviews in relation to skills development, performance, and collaboration. Most of the participants employed at junior level are

less experienced. Respondents find the workplace to be supportive and encouraging autonomy. Notably, all local municipalities have the human resource management (HRM) departments tasked to enhance training and development. Human resource development (HRD) units in the HRM departments employs the workplace skills plan (WSP) to redress dearth of technical and managerial skills.

Most of the participants felt that opportunities to communicate with external stakeholders are important in the optimisation of collaborative engagements. As such, they are. The less experienced employees are unlikely to participate in decision-making structures or consult with external stakeholders, thus, they would value opportunities to participate in external structures and programmes.

Key challenges in relation to skills development are trust deficit and political interference. A high measure of trust and teamwork could be indicative of transparent and efficient communication. In the main, respondents feel that they would rather be trained in skills unrelated to their current jobs. This perception is advanced against the high likelihood of being promoted in other departments or local municipalities. The perceived career limiting difficulties could be the results of undesirable consequences of not being appraised on performance, thus, a similar perception was raised among participants in in-depth interviews. Notably, employees feel uncertain of career advancement in their jobs. Significantly, this is consistent with the views of senior management, in that they felt the legislative tools could be adequate for them to confront challenges related to service delivery mandate, nonetheless, political interference is a deterrent to autonomous execution of tasks.

In relation to institutional performance enhancing, individual performance is not rewarded, nor measured against any targets aligned with other departmental mandates. Remarkably, the predominant challenges are lack of consequence management and PMS Managers cannot make recommendations or give instructions to the directors.

Over half of the participants strongly argue that political interference does not enhance synergy with communities and collaboration with stakeholders. The strength of corroboration and consistency with the arguments captured in the interviews is quite profound. Although a substantial number assert and confirm that the political heads provide feedback on resolutions of the Council and comply with the legislation, nonetheless, about the same number raised concerns that external consultants are outsourced to do their duties. Thus, another plausible corroboration of the perspectives drawn from the interviews.

Despite the challenges expressed by respondents in the questionnaires, they feel motivated, a sense of belonging and suggest that the municipalities are the employer of choice. In-depth interviews advanced insightful attributes to implementing effective retention strategies, that is, teamwork, political integrity, work-family balance, and recognising talent. Similarly, most respondents in the questionnaire feel motivated with a sense of corporate citizenship, balanced family-work life satisfaction, or personal growth and a sense of belonging. Consistent with the views of senior management, local government is believed to be an employer of choice with better opportunities of a stable job than the private sector.

Employees could be fulfilled by independent thinking, recognising their contributions and performance of duties. Participants believe that recognition of individual talent and support by the Council could encourage employees to stay. Similarly, loyalty to the employer, that is, the Council could be enhanced within a transparent workplace environment that invests not only on professional, but also personal growth of employees. Although most of the participants acknowledge the support in relation to professional skills development, benefits and working conditions, however they feel that more could be done. They feel more support could be in the form of mentoring and benchmarking salaries. Furthermore, participants suggest that the availability of job descriptions and policies for compliance with the legislation are some of the positive attributes to enhance performance. Nonetheless, more could be done in relation to a

skills audit, recognising good performance, improving inter-departmental relations, budget limitations, grading of municipalities, and partnering with political principals, as suggested in the questionnaires. Although inexperienced and at junior management level most of the views in the questionnaires, especially in relation to skills development and municipal performance, confirm the perspectives noted in the interviews. A very high number asserts that the municipality could improve on quality engagement, enhance collaboration with civil society, and provide facilitative leadership. In relation to promotion of external collaboration, most of the respondents argue that it could be more appropriate for them to be afforded opportunities to communicate with stakeholders. A positive attribute in relation to collaboration is mainly compliance of the Council with the legislation. Participants strongly believe that political interference advances unilateral decision-making.

In summary, working conditions, recruitment strategies, and perceptions of the organisation can have an impact on attracting and retaining employees, and creating productive workplace relations. Attraction to the institution could be indicative of the municipality as employer of choice. The perceptions that mining companies demonstrate little or no commitment to implementing social and labour plans advances the worldview that participants as beneficiaries of service delivery programmes in the Bojanala region are clued up in relation to improving their lives. Most administrators are not in contact with external stakeholders and partners; thus some inconsistency is noted in relation to perceptions on stakeholder relations. Participants are mostly young and not only look for job security but also demonstrate a good relationship of trust, teamwork, and supportive managers. This is strongly demonstrated in relation to job satisfaction based on benefits provided by the municipalities. Notably, respondents are motivated to work for the local municipalities.

The following section presents documentary analysis.

5.6 Presentation of documentary analysis

The mandate of local municipalities is enshrined in the constitutional prescripts and municipal legislation. In turn, the legislative frameworks guide processes and procedures that govern municipal integrated development plans (IDPs). This section examines and cites capacity development of service delivery structures and programmes and issues peculiar to the local municipalities in Bojanala. Presentation of the documentary analysis underscores municipal accountability and utilisation of resources in relation to enhancing service delivery. Some key documents inform the documentary analysis. The types of documents analysed in this section are, for instance, annual reports and integrated development plans (IDPs) of the five local municipalities and the District, mid-year performance reports, South African Race Relations Development Indicators, South African Parliamentary Portfolio Committee minutes, budget allocations of the local municipalities, and the district, local municipal regulations and legislation.

5.6.1 State of municipal accountability

The Office of the Auditor General is the custodian of public accountability that examines the extent of efficiency in using state resources and effective municipal performance in relation to their supply of accountability. The World Bank (2007) describes the 'supply side' of local government public accountability in relation to the following approaches: local council oversight, administrative accountability measures, local public financial management (planning, budgeting, reporting, internal control and audit, external audit), participatory planning, citizen access to information campaigns, and participatory budgeting. Similarly, the Auditor Report (2018) is a significant tool used to examine public accountability and demonstrate the extent of efficiency in the use of state resources and effective performance of the municipality in improving service delivery. The Constitution, section 153 makes provision for municipalities to be consistent with a public developmental entity, whereupon a municipality must "structure and manage its administration, budgeting and planning processes to give

priority to the basic needs of the community, promote social and economic development of the community".

The National Auditor General gives oversight on the use of state resources and annually expresses an opinion based on findings in relation to accountability at local municipal level. The Auditor General's opinions on the Bojanala District in the 2014/2015 financial year highlights a managerial skills deficit and related issues, that is, consequence and procurement management in the space of good governance (Bojanala Annual Report, 2015). The Auditor's findings in relation to consequence management expresses the opinion: "unauthorised, irregular, fruitless and wasteful expenditure incurred by the municipality were not investigated to determine if any person is liable for the expenditure, as required by section 32(2)(a)(ii) of the MFMA". Furthermore, the Auditor's Report (2015) states that year after year awards are made to providers who are in the service of other state institutions and no effective steps are taken to prevent or combat the abuse in accordance with Supply Chain Management (SCM) regulation 38(1). These violations take place against the background of the legislation that grants the provincial government the power to oversee administration of municipalities that fail to deliver on their constitutional obligations, powers, and functions.

Examination of the Auditor Reports reveals audit opinions that express inconsistencies and practices typical of non-learning public institutions, as indicated in Table 5.20. The audit of the Bojanala District Municipality was not finalised and all five local municipalities except for the improved Rustenburg municipality obtained qualified opinions in the 2014/2015 financial year (Auditor General Report, 2018).

An analysis of the audit reports over ten financial years (2007-2017) reveals that Kgetlengrivier local municipality shifted from a series of seven disclaimers to unqualified opinion over the past two financial years. Madibeng has not registered an unqualified opinion and is the only municipality to register an adverse opinion with

findings. Both Moretele and Kgetlengrivier municipalities experienced improvement and stability in relation to accountability and management of their systems. It is of high concern that the pattern of audit outcomes in the District, endowed with the constitutional mandate to oversee and capacitate the five local municipalities in relation to service delivery, indicates a spiral of decline or regression in organisational systems. On average 28 (47%) of audit opinions express a disclaimer, indicative of among others, unfulfilled financial obligations and commitments, and lack of sufficient evidence in financial reports. Despite the support and recommendations from the Auditor General, local municipalities find it difficult to effectively implement legislative mandates as explained in this section.

Table 5. 20: Audit opinions BPDM municipalities 2007-2017

Municipality	Financial Years									
	2016 - 2017	**2015 - 2016**	**2014 - 2015**	**2013 - 2014**	**2012 - 2013**	**2011 - 2012**	**2010 - 2011**	**2009 - 2010**	**2008 - 2009**	**2007 - 2008**
Bojanala District	Disclaimer with findings	Disclaimer with findings	Audit not finalised	Unqualified with findings						
Rustenburg	Qualified with findings	Qualified with findings	Unqualified with findings	Qualified with findings			Disclaimer with findings	Qualified with findings		
Moses Kotane	Disclaimer with findings	Qualified with findings	Qualified with findings	Unqualified with findings		Qualified with findings	Disclaimer with findings			Unqualified with findings
Madibeng	Disclaimer with findings	Disclaimer with findings	Qualified with findings			Disclaimer with findings				Adverse with findings
Kgetleng Rivier	Unqualified with findings	Unqualified with findings	Qualified with findings	Disclaimer with findings						
Moretele	Qualified with findings	Qualified with findings	Qualified with findings	Disclaimer with findings						

Source: Auditor-General (2015).

One of the objectives of the auditor's recommendations is for the local municipalities to express the appetite to learn from their shortcomings and take remedial action or respond accordingly to deviations from their constitutional mandates.

The following section presents the budget and staff vacancies in the BPDM. Several inconsistencies and discrepancies are noted and examined against the backdrop of suggestions in the interviews including, but not, limited to bloated staffing, and extreme managerial and staff vacancies.

5.6.2 Municipal resource utilisation and development indicators

The examination of the fiscal allocation and some of the developmental indicators yields results consistent with the opinions expressed in the interviews. The Local Government Handbook (2016) indicates that in the 2014/15 financial year the category B1 Madibeng and Rustenburg local municipalities received revenue for R1.3b and R3b respectively. According to Local Government Handbook (2016) in terms of revenue allocation, the percentage increase/decrease over the 2012/13 to 2014/15 financial years, only Moses Kotane and Kgetlengrivier local municipalities experienced increases in budgets, whereas the other three experienced decreases, as represented in Table 5.21. Comparison of the capital expenditure in the 2014/15 financial year between Moses Kotane and Kgetlengrivier indicates under-spending of R41,6m in the under-capacitated Kgetlengrivier municipality. Both Moretele and Rustenburg local municipalities experienced a decrease in revenue allocation in the 2014/15 financial year. Contrary to expectations, both under-spent by over R100m each in the same financial year. Budget under-spending in developmental local municipalities is indicative of severe under-capacity and lack of accountability. The total amount under-spent in the 2014/15 financial year among all local municipalities is R96m. This occurs against average population increase of 10% in all local municipalities in the period 2011 to 2016.

Table 5. 21: Budgets and vacancies of the district and local municipalities

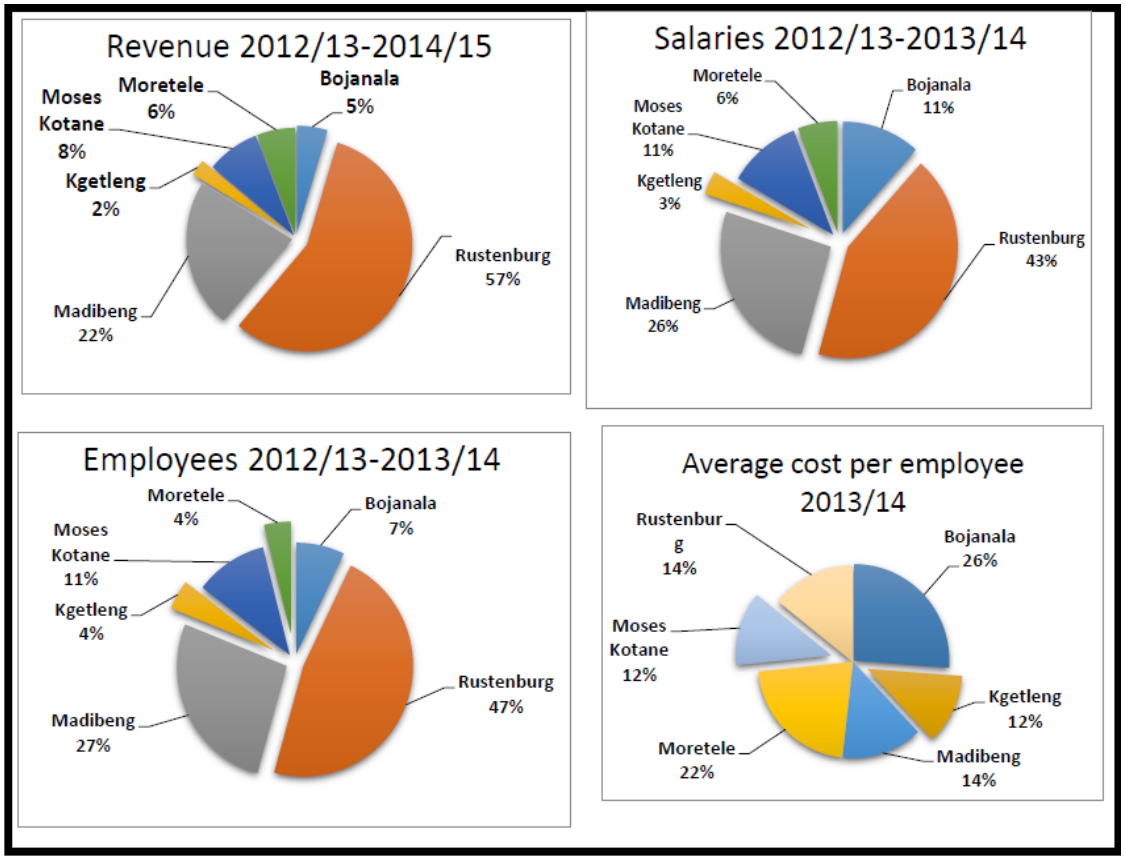
Municipality (category)	Year	Revenue (xR1000)	Expenditure (xR1000)	Surplus (deficit) (xR1000)	Employed	Vacant	Managerial posts	Managerial vacant	Total employment costs (xR1000)	Total cost per employee (R)
Bojanala District (C1)	2014/15	278,659.00	271,449.00	7,210.00						
	2013/14	267,117.00	277,133.00	(10,016.00)	381	10	35	1	141 188.00	370 570,00
	2012/13	251,037.00	266,087.00	(15,050.00)	403	82	36	3	130 953.00	324 950,00
Rustenburg (B1)	2014/15	3,016,699.00	2,905,127.00	111,572.00						
	2013/14	3,510,210.00	3,547,538.00	(37,328.00)	2698	759	94	2	544,099.00	201 670.00
	2012/13	3,172,602.00	2,979,052.00	193,550.00	2533	854	70	1	465,753.00	183 870.00
Madibeng (B1)	2014/15	1,256,961.00	1,284,140.00	(27,179.00)						
	2013/14	1,335,088.00	1,657,615.00	(322,527.00)	1624	447	42	7	316,415.00	194 840.00
	2012/13	1,237,806.00	1,807,728.00	(569,922.00)	1356	351	37	1	290,729.00	214 400.00
Kgetlengrivier (B3)	2014/15	157,255.00	115,683.00	41,572.00						
	2013/14	150,098.00	167,355.00	(17,257.00)	258	1	14	1	43,053.00	166 870.00
	2012/13	104,407.00	134,378.00	(29,971.00)	216	11	13	3	36,212.00	167 650.00
Moses Kotane (B4)	2014/15	469,182.00	521,866.00	(52,684.00)						
	2013/14	388,943.00	421,325.00	(32,382.00)	765	164	37	9	133,822.00	174 930.00
	2012/13	515,086.00	393,802.00	121,284.00	440	15	37	15	119,881.00	272 460.00
Moretele (B4)	2014/15	333,365.00	220,850.00	112,515.00						
	2013/14	350,925.00	316,494.00	34,431.00	240	34	31	0	73,259.00	305 250.00
	2012/13	323,391.00	226,671.00	96,720.00	198	18	32	1	64,202.00	324 250.00

Source Local Government Handbook (2016)

On average the managerial vacancy rate over the 2012/13 to 2013/14 is 68% across the District and local municipalities. Rustenburg and Madibeng municipalities are the largest and both experienced a loss of one and six senior managers respectively in the 2012/13 to 2013/14 financial years. In the same period, Moses Kotane gained six managers. In addition, the Local Government Handbook (2016) indicates that the District spent about R141 million on 381 employees, whereas Moses Kotane with double the number of employees spent about R7 million less than the District on employees. A comparison of the cost per year between the District and Moses Kotane indicates huge increase from the 2012/13 to 2013/14 in favour of the District. The huge discrepancy in salaries averages to a ratio of 1:2, that is, the District spent double the Moses Kotane per employee in the 2013/14 financial year.

Moses Kotane had the highest managerial vacancy (n=9) in the 2013/14 financial year. Typical of a category B4; Moses Kotane service delivery is hampered by the skills deficit associated with the imbalanced employee retention initiatives. Notably, pie charts in Figure 5.1 indicate that Kgetleng and Moretele have each 4% of employees in the 2012/13 and 2013/14 financial years; however, salaries in Moretele are double at 6%. However, the average amount spent on an employee in Kgetlengrivier is R170 000,00 compared to Moretele for R300 000,00; that is, just over 76% of the Kgetlengrivier spent amount. Although according to the census of Stats SA (2013) the population in Moretele (186 947) is about four times more than Kgetlengrivier (51 049) it does not justify the high amount spent on employees in Moretele.

Figure 5.1 Revenue, salaries and employee costs

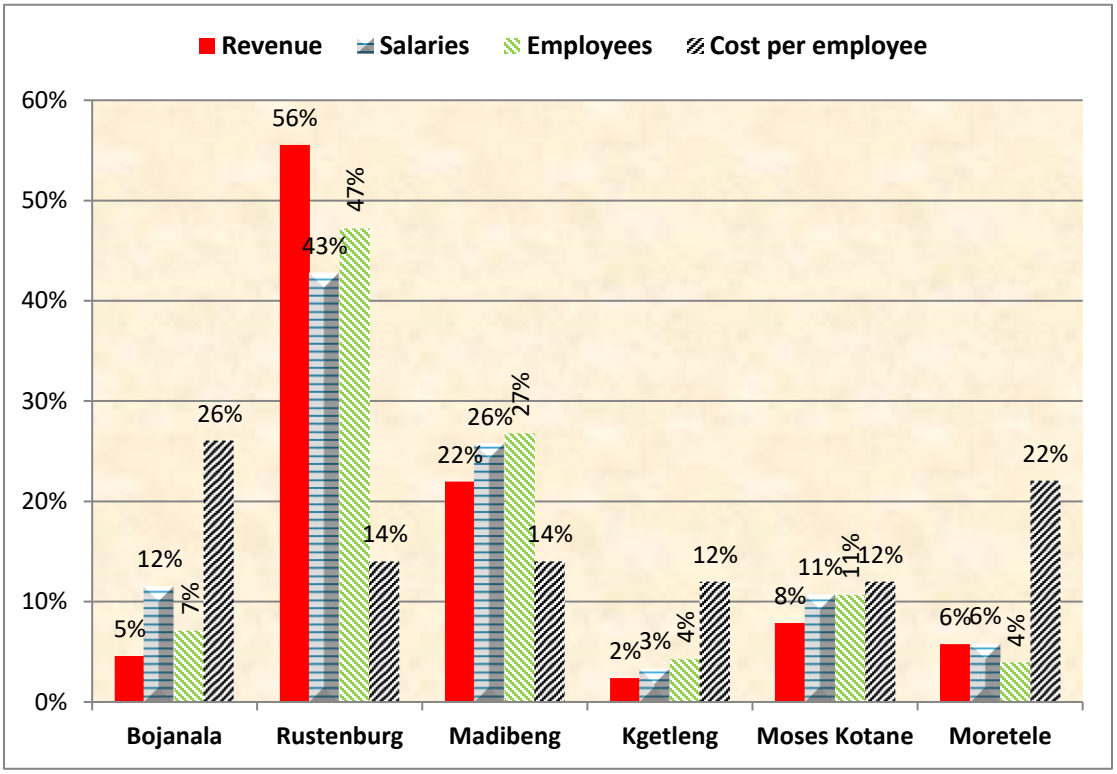


Source: Local Government handbook (2016).

An examination and comparison of local municipalities within the same category B4 reveals some interesting discrepancies. Noticeably, the total costs per employee between municipalities of the same category were found to differ drastically. To cite an example, in the 2013/14 financial year Moretele cost per employee was R300 000.00, whereas, Moses Kotane was only R175 000.00. All municipalities experienced reduction in cost per employee from 2012/13 to 2013/14, except for Rustenburg and the Bojanala District with increases at 10% and 14% respectively (Local Government Handbook, 2016). Graphical illustration in Figure 5.2 is consistent with the argument advanced in the foregoing section in relation to organisational efficiency and effectiveness. The graphical representation explicitly demonstrates clearer comparisons of the revenue, salaries, and cost per employee across the municipalities.

Similarities and dissimilarities in the allocation of the revenues reveal some startling implications on the effectiveness of policy instruments *vis-à-vis* enhancing accountability in a developmental local municipality.

Figure 5.2: Graphical illustration summary of key costs in the BPDM

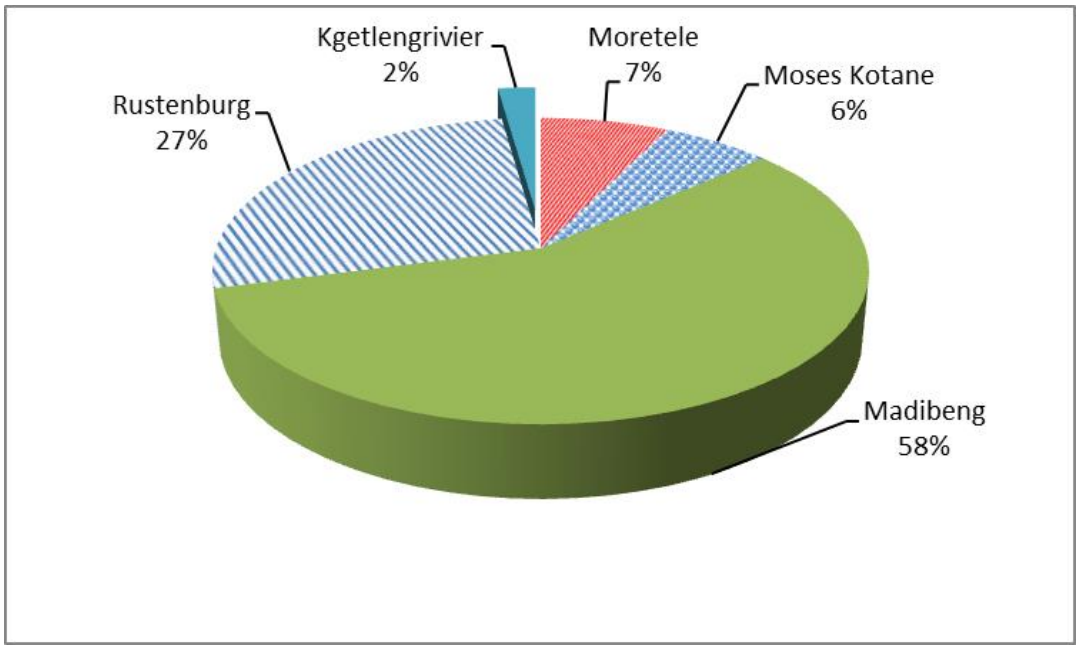


Source: Local Government Handbook (2016).

According to the legislation, the District Municipality is supposed to provide a supportive role, appropriate oversight, and facilitative leadership to local municipalities with the intention to enhance the provision of public goods and services. It could be for these reasons that the District has the highest cost per employee in the endeavour to attract and retain rare skills. However, the Auditor Report (2013/2014) finds the District lacking in leadership, financial and performance management. Density of the population could inform the extent of budget allocation and skills acquisition or distribution.

Distribution of local populations in the Bojanala municipalities varies tremendously. Population density can have an impact on providing equitable services and capacity in the BPDM. Madibeng is the most densely populated local municipality in the BPDM. To cite an example Madibeng only occupies 8% compared to Kgetlengrivier that covers 22% of land in the BPDM. However, the population per square kilometre ($\frac{population}{km^2}$) in Madibeng and Kgetlengrivier is 389(58%) and 15(2%) respectively, as indicated in percentage in Figure 5.3. Other dynamics like unemployment, level of school and post-school education advance the extent of inequality and poverty. As explained in the background to this study Moretele has the highest youth unemployment at 57% (Stats SA, 2013) against the average 39% in the whole district. Nonetheless, this is a non-revenue collecting local municipality as advised by all the respondents and has an area bigger than Rustenburg or Madibeng. Moretele and Kgetlengrivier local municipalities each is close to three times greater compared to Madibeng and both do not have multinational investors.

Figure 5.3: Percentage population density Bojanala local municipalities



Source: Stats SA (2016).

The presented municipal accountability documentary analysis in relation to capacity development prompts further examination of the missions, visions, risks and challenges of the respective local municipalities, consolidated from the Bojanala Platinum District Municipality, Kgetleng, Rustenburg, Bojanala, Moretele and Moses Kotane Annual Reports, as demonstrated in Appendix 8. The Bojanala Platinum District Municipality (2016) indicates that its mission is to commit to shared services, coordinate, facilitate, and support local municipalities by equitably sharing resources and maximising community benefits in the access to natural resources. The Moses Kotane Local Municipality (2016) has a mission that seeks to provide "responsive, transparent and accountable leadership and an environment for business growth". The two missions underpin that the desired partnership for business growth with mining companies and promotion of access to natural resources cannot be undermined.

Poverty alleviation initiatives present variable intensity of poverty in the BPDM. Kgetlengrivier has the highest level of poverty rate at about 70% followed by Moretele and Moses Kotane at above 60% (South African Institute of Race Relations, 2014). A low level of sanitation, access to internet, and ICT (South African Institute of Race Relations, 2014) are some of the developmental indicators in Appendix 9 that contribute to the high level of poverty in the local municipalities.

In summary, local municipalities are by law obliged to exercise a high level of accountability in relation to use of service delivery structures and programmes. Despite the support and oversight of the Auditor General and the District, the BPDM local municipalities continue to perform poorly and experience unfavourable audit opinions and community protests in demonstration against unfulfilled developmental expectations. Some serious shortcomings in the municipalities that experience glaring, intense poverty, include under-staffing, over-spending on salaries, and under-spending on allocated municipal grants.

The following section examines and consolidates documentary analysis.

5.7 Consolidation of the documentary analysis

This section consolidates attributes of organisational collaborative performance and accountability that permeate through the skills development, performance improvement, and participatory governance structures and programmes. A focus on the nature and effectiveness of collaborative municipal structures, human resource development, and performance management systems underscores the essence of organisational capacity development as the documentary analysis suggests. This study also looks into the recommendations to alleviate the impact of social-ills and how mining houses could be legally bound to develop local municipalities, for example, Marikana in the Bojanala local municipality. Subsequently, I point out to the Minutes of the Parliamentary Portfolio on Mineral Resources regarding improving lives of the Marikana community and employees of Lonmin (Parliamentary Monitoring Group, 2016).

There are many constitutional structures with different mandates and programmes that are similar. Some of the programmes are duplicated and costly to respond to socio-economic challenges of communities. These challenges persist despite the obligatory legislative prescriptions and fiduciary roles of the national and provincial governments. In the main this partnership seeks to maximise utilisation of their legislative governance instruments to develop capacity of the local municipalities. Similarly, the District municipality and Local Government Sector Education and Training Authority (LGSETA) are, according to the legislation, invested with the power to strengthen human resources, capacity building, and improved service delivery.

The following section illustrates that there is a need for meaningful collaborative partnerships in relation to developing service delivery capacity and enhancing public participation.

5.7.1 Service delivery collaborative structures

I identify and combine the relevant legislative prescripts to confirm or refute the constitutional leadership roles of managers, structures, programmes and expectations of employees as captured in the presentation of documentary analysis. Major partners in the South African local municipal governance context are ward committees and traditional authority councils. Ward committees are led by politicians, whereas traditional authority councils are apolitical constituencies. Ward committees and Traditional Authority Councils participate in the Municipal Council in accordance with the Local Government Municipal Structures Act 117 of 1998 section 72 and section 81 respectively. Both structures, as representatives of major constituencies, are influential key drivers in the socio-economic development programmes. The Municipal Structures Act 117 of 1998, sub-section (3) stipulates that the object of a ward committee is to enhance participatory democracy in local government. A councillor is not only a chairperson of the ward committee, but also represents the ward in the municipal council.

To improve the capacity of ward committees, especially to 'enhance participatory democracy in local government' (Local Government Municipal Structures Act 117 of 1998, p.30), administrators are obliged to operate in a political space. The functions and powers of ward committees and traditional leaders highlight some limitations and define grounds on which they can exercise their mandate. The examination of this space enables the study to reflect, confirm, or refute some of the insights captured in the interviews in relation to expectations of the two constituencies. The Local Government Municipal Structures Act, 117 of 1998 section 74 pronounces on functions and powers of ward committees. For example, a ward committee makes recommendations on any matter affecting its ward through the ward councillor. However, participation of apolitical ward committee members is constrained. Committee members cannot have direct influence on the local council as they depend on the ward councillor.

Traditional leaders are subjected to the legislative governance tools that to some extent limit their authority. The Local Government Municipal Structures Act, 117 of 1998, section 88 pronounces on participation of traditional leaders in municipal councils and allows for participation in any meeting of the council. Legislation stipulates that the MEC for local government in a province must identify the traditional leaders who may participate in the proceedings of a municipal council. However, there is a limited number of traditional leaders that may participate in the municipal council. Traditional numbers may not exceed 20 per cent of the total number of councillors in the council. In instances where the council has fewer than 10 councillors, only one traditional leader may participate, the Act prescribes.

An analysis of the structures and related service delivery issues at local government reveals that due to their under-representation, traditional authorities may be left with no option but to populate ward committee membership. It is envisaged that with more Traditional Authority members turned into political party activists their thrust and influence in decisions-making committees of the council would have an impact on service delivery. Thus, the foregoing contextual setting underpins a disconnect among performance-oriented structures and dysfunctional partnerships that could be deterrents to good governance and capacity development.

The next section examines the nexus between HRD and performance management in relation to organisational collaborative performance and accountability.

5.7.2 Performance oriented challenges and development indicators

This section examines issues that are peculiar to enhancing service delivery capacity in relation to human resource development, performance management, and developmental indicators as underscored in the documentary analysis.

It is inevitable that against the preceding discussions and impediments on structures for service delivery, roles and responsibilities of employees, directors and political office

bearers; notably, the mandate of political structures should be aligned with priorities and objectives of the municipal IDP. In addition, it is against this context that this study argues that structures would be functionally stunted if they exist in silos. This study highlights the relevant roles of senior managers and employees against the socio-economic integrated developmental plans in relation to human resource development and organisational performance. The Auditor General Report (2018) demonstrates inefficiency and shortcomings in allocating resources among the local municipalities, functioning of structures and systems, as well as the use of financial resources in relation to strengthening service delivery programmes.

Performance management imperatives are grounded in the Local Government Municipal Systems Act 32 of 2000, section 38(a), (b) and (c), which pronounce on the establishment of performance management systems. Accordingly, the PMS objectives are in alignment with the priorities, objectives, indicators and targets contained in the municipal integrated development plan. Inadequate implementation of the PMS in relation to the operational context would therefore, be incongruent to the capacity development of service delivery structures and programmes.

Notably, difficulties experienced in relation to the use of state resources and human resource development prompted me to examine risks and development indicators that could stunt both performance of service delivery structures. The National Auditor General (2016) oversees the use of state resources and makes provision for remedial action in instances where the municipality fails to deliver on its mandate. The nature of allocation of resources among local municipalities suggests inequitable and inconsistent distribution of resources in relation to the developmental needs and expectations (Local Government Handbook, 2016; South African Institute of Race Relations, 2014). There is an indication of inter-municipal competition and advantages in the form of unfair salary packages among the local municipalities. These challenges could manifest into high staff turnover in the rural municipalities as demonstrated in the Local Government Handbook (2016) and illustrated in a tabular form in Table 5.26.

Although Moretele local municipality is the poorest and grant-dependent, with a population four times that of Kgetleng local municipality, it could afford to under-spend R112m compared to only R41m by Kgetlengrivier in the 2014/15 year. What is more, Moretele has a vacancy of 34 compared to Kgetlengrivier with a vacancy of one (Local Government Handbook, 2016). The examination and comparison of local municipalities within the same category reveals some discrepancies. This observation advances the argument that there are systemic serious issues in relation organisational policy implementation efficiency and effectiveness of programmes.

The examination of development risks and challenges of the respective local municipalities underscores the dysfunctional labour fora, poor organisational capacity building, and high employee turnover across all local municipalities, including the District. Development indicators point out that Moses Kotane, Moretele and Kgetlengrivier local municipalities have about 100% rural type of settlement and an above 60% poverty level (South African Institute of Race Relations, 2014). These challenges are associated with poor IGR, non-compliance with supply chain regulations, and lack of consequence management.

Even though local municipalities have difficulties in the implementation of their service delivery mandates, structures and systems are in place, however disjointed, in attempts to address shortcomings and challenges. According to section 88 of the Local Government Municipal Structures Act 32 of 2000 there is a nexus between the District and local municipalities in relation to participatory collaboration. Thus, the District municipality may provide support in the form of financial, technical, and administrative services to local municipalities. In addition, the MEC for Local Government is obliged to assist the District municipality to provide support services to local municipalities, the Local Government Municipal Structures Act 32 of 2000 suggests.

The following section examines social realities of communities and related impediments in the administration-political realm of governance.

5.7.3 Democratic governance: Lessons from Marikana

This study also examines the significant roles of other players beyond the local government structures. The inter-twined roles of the labour constituency and other private sector stakeholders facilitate collective advancement of service delivery. This section reveals how socio-political interference and labour related issues could stunt developmental goals. This study brings forth the argument for examination of the macroscopic picture of governance failures in the form of lessons learned from the Marikana incident using the documentary analysis. The tragedy in Marikana underpins the impact of social realities and difficulties associated with influx of cheap labour to the mines. The inception of the democratic dispensation in South Africa has awakened many leaders to the reality of poor participatory governance. To cite an example, 'political considerations' reflected in the Marikana Report (2014), in the lead to the police massacre of 34 mineworkers, in the Madibeng local municipality reportedly are credited to senior police officials.

The Marikana Report (2015) contends that in both the 'cross-examination' and 'arguments' the Provincial Commissioner is strongly criticised for taking a political position. Most importantly, "She wanted to end the violence before Mr Julius Malema arrived in Marikana" (Marikana Report, 2015, p.167) for the fear that Mr Malema, leader of the Economic Freedom Front (EFF) could gain political mileage. The Commission adds that this insinuation was against the setting that Mr Malema earlier "was given the credit for defusing the situation at Impala Mine".

The National Development Plan (2011) proposes a 'hybrid approach' in appointing top management for 'reconciliation of political and administrative priorities'. However, the *Marikana Commission of Inquiry: Report on matters of public, national and international concern arising out of the tragic incidents at the London Mine (Lonmin) in Marikana*, released in March 2015, highlights shortcomings of the traditional practice of political appointments. Transforming lives of rural mining communities

requires humane treatment of workers and benefits of economic spin-offs to both the labour-sending and host communities.

The Mineral Resources Minister Mosebenzi Zwane commented on the Marikana Report (2015) in a DMR portfolio meeting. He recommended that stakeholders should recommit to improving the well-being of mineworkers, communities affected and impacted upon by mining activities. The meeting of the DMR held on 07 September 2016 raised the need for collaboration between government and mining companies (Parliamentary Monitoring Group, 2016). The Parliamentary Monitoring Group (2016) states that there are no reasons why the government and the mining industry could not work together to provide accommodation for employees and develop host communities.

Most importantly, the minister stressed that transforming lives of communities where mining is taking place would have socio-economic spin-offs in the district and South Africa. The minister also raised concerns that "mining companies must not be associated with less than humane treatment of workers nor engage in practices that lead to value leakage" (Parliamentary Monitoring Group, 2016). These perspectives advance the argument that administrative synergy cannot be viewed in isolation of the strategic collaboration that strives to align the IDP with business strategies of mining companies, including the SLP. In addition, the case of political interference at provincial level, as cited in the Marikana Report highlights shortcomings in the 'hybrid approach' whereby political appointees are in positions of senior administration.

The following section discusses the interface of the in-depth interviews, questionnaires, and documentary analysis.

5.8 Integration and interface of primary data

In the context of lack of capacity, near-collapse of some of the local municipalities, and ineffective measures to curb inefficient use of state resources, the Bojanala District

faces difficulties in relation capacity development of the five local municipalities. According to the Annual Reports of local municipalities, challenges and risks attributable to poor performance, and consistent with perspectives examined among respondents in the interviews are notably: huge local municipal wards, political interference, engagements with other municipalities and capacitating ward committees, among others. It is against the context of impediments identified in the interviews, questionnaires, and documentary analysis in relation to capacity development that arguments for effective utilisation of resources for service delivery prompt further examination of the risks and challenges. This is against the background that municipal structures and programmes do not adequately impact on efficiency of organisational procedures and operations (Auditor General, 2018).

Local municipalities have legitimate structures to address financial, administrative, labour and stakeholder related capacity development structures and programmes. The consolidation of inputs advances the following issues: (1) how poor inter-governmental relations impact on the implementation of the overarching service delivery developmental goals; (2) understaffing as the result of inadequate non-financial performance strategies; (3) ineffective organisational performance due to interference of political elites; (4) weak decision-making structures; and (5) under-representation of influential constituencies.

Bojanala district is a typical municipality embedded in the extractive economy. The District therefore thrives on good relations with the Department of Mineral Resources (DMR), custodian of the mining sector at a tier of national government as discussed in the preceding sections. Nonetheless, the relationship with local municipalities is merely a written legislative imperative without efficient and effective oversight in relation to implementing the constitutional mandate to provide socio-economic support. Existence of meaningful inter-governmental relations is refuted by most respondents. Notably, respondents perceive the DMR to exacerbate fragile alliance with local municipalities

as it exhibits the ‘silos mentality’ in relation to implementation of municipal projects, which inhibits knowledge sharing.

There are inconsistencies in the distribution and allocation of resources in the context of service delivery imperatives. Madibeng Mid-Year Performance Report (2016) on Non-Financial Performance indicates that Human Resources Management could only fill 60 of the targeted 90 positions despite approval of funding. These are some of the examples that confirm difficulties of management to adhere to governance principles, as respondents suggest, especially in consideration of the Madibeng municipality, which is under administration of the North West Province.

The under-representation of traditional authorities in the councillor-led ward committees could compromise effectiveness of their participation in the maze of political party dynamics. Only the provincial government, through the MEC for local government has the power to maximise participation of traditional leaders in local municipal governance matters. The enormous land occupied by the local municipalities and mining companies in the Bojanala district is owned by traditional leaders/*magoshi* and is home to the world’s top three platinum producers. Respondents raise concerns about limited participation of the *magoshi* in service delivery and economic advancement issues. Participants, in answering the questionnaires, corroborate some knowledge and understanding of how limitations emanating from some of the legislative prescripts disable capacity development and encourage power-imbalances and, subsequently, inefficient service delivery.

It is apparent in the interviews that only one of the five local municipal managers is a permanent municipal manager, that is, the other four are acting local municipal managers. The municipality with a permanent municipal manager is politically stable with functional stakeholder relations as informed by the respondents, however, is one of the poorest rural local municipalities. Thus, instability in the office of the municipal manager may bring along some uncertainties in the execution of roles associated with

organisational collaborative performance and accountability, the general pattern of responses suggests.

In the South African context, lack of efficient use of resources in recruiting employees, ineffective retention measures, and general obscurity in applying administrative justice, as well as not evaluating staff performance are key aspects against principles of employment equity, respondents suggest. These operational and governance issues are suggested in the context of impediments to human resource development. To cite an example; councillors "*force own unqualified people upon us for appointment*" (Respondent 30, personal communication, 15 July 2016). Local Government Systems Act 32 of 2000, section 67(1) stipulates that a municipality must develop and adopt appropriate systems and procedures to ensure fair, efficient, effective, and transparent establishment of personnel administration, including: recruiting, selecting and appointing persons as staff members; monitoring, measuring and evaluating staff performance; promoting and transferring staff.

The performance management system of municipalities cannot be a 'one size fits all' event. The extent of confluence of resource availability, prioritisation of programmes in line with the municipal IDP, and meaningful political intervention should be consistent with the planned performance management system. All respondents felt immensely frustrated in the implementation of the Performance Management System (PMS) framework, and inevitably perceived it to be unfair and unjust to all employees. Analysis of information gathered in the field indicates that some of the PMS Managers are very inexperienced and at junior management level. Their role could succinctly be explained as mere messengers, instead of managing operational risks, alerting management to early warning signs in relation to systems failures, and monitoring and evaluation of programmes. Poor implementation of the PMS in the fiscally marginalised local municipalities is exacerbated since the municipal legislation prescribes that the planning and execution must 'commensurate with its resources'. Most of the respondents are not familiar with the IDP of their local municipality. These

challenges explicitly bring to bear the unexplored space of knowledge management and employee mentoring in relation to capacity development of service delivery structures and programmes.

The general pattern in this study underscores aspects necessary to maximise governance. In addition, the roles of institutions must be elevated above the roles of individuals and political party politics. The 2015 Vision 2063 of the African Union Commission stipulates that one of the aspirations is “An Africa of good governance, democracy, respect for human rights, justice and the rule of law”. However, the translation of aspirations, visions, and policies into tangible people-driven sustainable development in rural mining villages continues to elude many, especially the youth, as opinions in this study suggest.

5.9 Summary of data presentation

This summary underlines key thematic issues that inform data analysis. Participants believe that skills development depends on the flexibility of management to the needs of employees and the institution. There is a strong relationship of trust between managers and lower-level employees. On the other hand, facilitative leadership of the Council could do better in developing a solid relationship with the administrators as explained by senior managers.

As far as the nexus between skills training and municipal performance improvement is concerned respondents advocate for alignment of training to their functions, and implementation of PMS across all levels. Moreover, they felt that municipalities could implement service delivery effectively if community expectations were met. In relation to collaboration among stakeholders, respondents submit that mining companies should not only serve interests of landowners or traditional authorities, but also, engage meaningfully with host communities. These are communities affected by their activities and consistent with the award of mining rights, multinational companies are obligated to fulfil their socio-economic developmental commitments.

The key major issues advanced in this summary are skills retention, relationships building, and administrative synergy. The three issues lead to the reflection and consolidation of key inhibitors of employee skills development, municipal capacity development, and public service delivery. Developing municipal service delivery capacity is premised on training and retaining skilled employees with the objective to improve organisational performance. However, the study indicates administrative interference and lack of accountability in the utilisation of municipal resources are leading inhibitors to developing a skilled workforce and a strong transformative leadership. Experiences related to enhancing public service delivery indicate that municipal structures, training programmes, partnership among the traditional leadership and local business are operationally ineffective. Conversley, to some extent organisational resilience in the form of optimised civil society engagements and administrative synergy rooted in systemic capacity building could facilitate skills development initiatives, and in turn enhance implementation of service delivery programmes.

The following, Chapter Six, examines socio-political resilience and administrative synergy initiatives and analyses findings.

CHAPTER SIX

ANALYSIS OF FINDINGS:

SOCIO-POLITICAL RESILIENCE AND ADMINISTRATIVE INTERFERENCE

6.1 Introduction

The purpose of this chapter is to examine and analyse aspects of capacity development in relation to service delivery. I focus on several segments, that is, analysis of primary data including interfacing findings from interview questions, questionnaires, and documentary analysis, and moreover corroborating them with the literature; compare and contrast research findings and emergent theoretical constructs.

In responding to the difficulties associated with improving public service delivery, individuals might have different ways of responding to respective capacity development policies and programmes. Emerging issues are examined and explained on the premise of the respective theories. Against the environment of revealed challenges of skills retention, organisational relationships, and socio-political capacity building across all departments and municipalities, this study looks at the shared components of skills development, performance improvement, and collaborative participation. These are the key aspects in relation to capacity development of service delivery structures and programmes in a mineral endowed local government municipality.

This study analyses dominant perspectives derived from the findings in Chapter Five in relation to capacity development. Subsequent to examination of findings, these sections corroborate them against the literature and documentary analysis. The

following sub-themes elevate arguments for and against some of the key components associated with the advancement of capacity development: (1) leadership and organisational relations synergy; (2) organisational resilience and administrative synergy; (3) optimising civil engagement; (4) systemic capacity building and empowerment; (5) optimising quality service delivery; and (6) service delivery and the socio-political environment

In addition, this chapter examines and reflects on the theoretical orientation, summarises interface of the conceptual framework and main findings. Issues and nuances discussed in the sub-themes underscore how the conceptual framework was employed to examine interface of the conflated issues embedded in skills development, municipal performance, and collaborative participation in relation to capacity development of service delivery structures and programmes.

The next section examines the main findings. Thus, consistent with the naturalistic inquiry triangulation is employed to capture insightful perspectives from other sources.

6.2 Analysis and discussions of main findings

This section delves into the triangulation of examined perspectives of respondents and integration with the literature. Consistent with Yin (2009) this research study chooses to make a single case study with embedded units that enable exploration of the case, that is, the BPDM. Exploration of the case, in the main, enables the study to analyse subunits in the form of senior managers located within the larger case. The analysis pools together the emergent insights from multiple sources. The analysis process further distinguishes operational dimensions aligned with the conceptual and the theoretical framework. Consistent with Tillis (1997) documents that have to be reviewed in the form of study reports, or any items that could add value to the data have to be validated to avoid inclusion of incorrect data.

Varied perceptions although divergent in this study, distinctly underpin the co-existence of a parallel economic development agenda. Multinational mining companies

provide better health and education facilities in their enclave type of societal arrangements. Private high education institutions offer quality post-education, whereas inequality in the form of dislocation of the local development agenda persists due to the dearth of skills in the public sector. This study also points out a case in relation to the minority of Africans in management positions. Senior managers in the mining sector play major roles in determining how companies use their resources on career and socio-economic development programmes. The MQA (2014) report indicates that out of 100 Africans only one is a manager, whereas for the same number of Whites, 12 are managers in the mining and mineral sector in South Africa. Similarly, the ECSA (2014) report reveals that most engineers are White (65.4%) with a ratio of African to White at 1:3. These aspects of racial inequality at managerial level bring about issues of capacity building, thereby, elevating the lack of capacity development in the context of this research. Furthermore, familiarity with the cultural beliefs and expectations as well as proximity of the managers to host communities are important in initiating and influencing capacity development of service delivery structures and programmes. In the context of administrative environment municipalities marginalise skilled employees in the recruitment and placing of candidates. Despite repetitive informative Auditor General's reports some municipalities do not take corrective actions to comply with the legislation.

The following section delves into leadership and organisational relations synergy.

6.2.1 Leadership and organisational relations synergy

Findings in this research study suggest a persuasive link between leadership and optimisation of performance and resources, organisational relationships as strategic components in the endeavour to transform leadership.

6.2.1.1 Leadership and optimising performance

In the context of a democratic local government, governance entails respect of the rule of law within economic, political, and administrative environments. The study reveals

that municipal governance is rooted in a highly politicised turf. Furthermore, municipal programmes are disjointed, experience difficulty acquiring skilled employees, and inappropriately allocate resources, including budgetary allocations. Most respondents are not familiar with the integrated development plan (IDP) of their local municipality, an equivalent of the business strategy in the private sector. Poor communication between political principals and citizens affects performance of projects linked to service delivery, respondents suggest. Senior managers indicated that they earn some incentives and have limited autonomy in executing their duties.

Meaningful organisational performance and skills development complement each other and together rely on employees who are willing to contribute to structuring municipal strategy (Chourides et al., 2003). Mpofu and Hlatywayo (2015) argue that employee training and development initiatives are key aspects of improving employee performance. However, autonomy and incentives among the bureaucrats do not always improve performance (Fehr, Herz & Wilkening, 2013). Successful organisational performance is not only premised on disseminating knowledge (Yeh, Lai & Ho, 2006), but also budgetary processes, and enhanced communication between political principals and citizens (Ndebele & Lavhelani, 2017). Zack (1999) adds a dimension of the human resources to address communication issues. He argues that it is important to narrow the gap between the strategic and the overarching knowledge gap. This argument asserts that managers must share knowledge and understanding of policies and strategies with lower-level management or staff. Mkandawire (2001) argues for a transformative leadership that does not ignore current capacity, but rather reinvigorates and retools according to the capacity development needs.

Against the backdrop of the predominant lack of administrative synergy and accountability, the uneven political terrain in the local municipalities exacerbates implementation of forward-looking measures to stimulate capacity development. The study reveals that developmental programmes are fragmented and, therefore, the municipal accounting officer has to take the lead in identifying what must be known,

given the extent of impediments to skills development raised by respondents. Transformative leadership and organisational performance are not only fundamental enablers of socio-political resilience but also, the responsibility of national government. The power to allocate policy instruments is bestowed upon top management. Subsequently, effective utilisation thereof depends on how they disseminate and use the knowledge instruments. In addressing skills supply and demand space management has to make informed decisions in the alignment of operational plans to the business strategy. Most significantly, a responsive initiative at national government in this context ought to take the lead in making the environment conducive for investments. A solid inter-governmental relations should define a socio-economic developmental trajectory with some tenacity to establish a purposive partnership with the private sector. The study reveals to what extent impediments to equitable budgetary allocation and placement of skilled employees can create risks and challenges to capacity development. An effective knowledge management strategy in this instance requires a long-term commitment from all employees, and flexibility to changes internal or external to the organisation. Developing a distance or gaps between directors, senior managers and the rest of the staff has the propensity to harm internal and external relations, consequently, would impede the formation of partnerships with business and functional IDP programmes.

The following section discusses organisational relations and optimising resources.

6.2.1.2 Organisational relations and optimising resources

The worldview among respondents describes how, in some instances, acquiring administrators is based on special relations with some influential leaders. These perspectives prompt this study to examine the nexus between organisational relations and optimising resources. Candidate appointees with relevant professional abilities and qualifications are marginalised at the expense of friends with special political allegiance and social standing. The study reveals that the essence of administrative synergy is to align organisational obligations. Transparent recruitment processes and effective relationship-building initiatives in a collaborative participatory governance-

oriented organisation alleviate unemployment and related social-ills. Although organisational change is significant for functional relationships among senior managers, directors, and political principals it is a complex process. Auditor General Reports underpin features of an organisation without an appetite to learn. Staff turnover could be contained if equity and career advancement could be upheld across municipalities without territorial practices of the elites. Notably, astute good governance and transformative human resource policies stand out as priorities for developing sustainable service delivery.

Utilisation of knowledge management programmes to effect organisational change (Liebowitz, 1999; Greengard, 1998) is premised on a merit system of appointments consistent with Syed-Ikhsan and Rowland (2004). Transparent communication based on trust significantly facilitates effortless knowledge generation within the organisation (Bhatnagar, 2008; Syed-Ikhsan & Rowland, 2004). Optimisation of resources is a learning process. In the process learning contributes to developing human capital in the organisation (Taylor, 2007; Syed-Ikhsan & Rowland, 2004). An institutionalised organisational learning process contributes largely to the human resource development system and related performance appraisals.

The issue of measures to retain staff is corroborated among others as employer-employee engagement sessions, reward and performance management systems, career and succession planning (Meyer, 2005; Munsamy & Venter, 2009). However, Rasul and Rogger (2016) caution against the simplistic employ of private sector practices against the backdrop of leadership inaptitude in the public sector. Bo, Finan and Rossi (2013) corroborate the findings that poor management practices directly impact negatively on retention practices and policies.

An organisation's talent management, practices, recruitment, and retention policies can significantly reduce attrition rates (Franckeiss, 2008). Despite the application of adequate training, recruitment and retention policies argued by Franckesis (2008),

Syed-Ikhsan and Rowland (2004), Mehta, Dhankar and Kurbetti (2014) argue that it is difficult to retain talented employees under high unemployment levels. Literature corroborates the general pattern of findings, that is, employees are motivated to act accordingly in the interest of the society (Huang & Feeney, 2016; Vandenabeele, 2007).

The belief that some of the influential role players are territorial suggests a refusal to change and comply with the legislative prescripts accordingly. By implication, there is a need for stringent change management approaches to inculcate professional and ethical principles. Participatory governance in the form of collective administrative and political role players forms fertile grounds for quality service delivery. Staff turnover and the exodus of senior managers could be contained if external motivating factors, related to career advancement and equity across municipalities could be upheld. However, collective active participation of senior managers and influential members of the mayoral committee could be difficult without common a ground in pursuance of service delivery public interests.

The aforementioned discussions on leadership and organisational relations prompts the study to hone in and examine organisational resilience and synergy. The following section delves into organisational resilience and administrative synergy.

6.2.2 Organisational resilience and administrative synergy

This section delves into peculiar components of organisational resilience and administrative synergy. Facilitative inter-departmental administrative synergy, organisational and socio-political resilience display a persuasive link in relation to optimising capacity development.

6.2.2.1 Organisational and socio-political resilience

Examination of the numerous organisational risks prompts the question; what measures could be implemented to alleviate challenges of capacity development of service delivery structures and programmes and how the respective measures could be used to enhance resilience. This study reveals that scanning and examining issues in the internal and external workplace environments is critical for understanding organisational and socio-political resilience. Many respondents, for instance assert forthrightly that political elitism, and a scarcity of political will and synergy (Respondent 01, personal communication, 20 May 2016) could be restrained. Respondents raise concerns about the conduct of some elites that divide and inhibit a prosperous administrative synergy. Insights derived from this study suggest that skills retention improves the skills base to strengthen municipal capacity programmes and structures. Although most participants acknowledge the support in relation to professional skills development, they feel more could be done if mentoring were introduced, and support from political heads increased. As such, because of political interference unemployment in the rural local municipalities is high among the youth, making it difficult to develop skills from the perspective of youth development.

Issues of political elitism, and scarce political will and synergy are corroborated by Hodder (2009). The complementary perspectives of Nonaka and Takeuchi (1995) argue for engagement strategies to address the difficulty of lack of organisational synergy. The high number of unemployed youth puts the district at greater risk of economic failure. Phimister, Upward and Vera-Toscano (2000) argue that the nature of rural poverty may require rural-specific policies that address the needs of the specific groups, for instance, youth and women. Bozeman and Feeney (2009) argue that mentoring relations in the public sector should play an important role in retaining and advancing managers. Desai and Jarvis (2012) suggest that more understanding and participation of society is needed in order to get thorough knowledge of the nuances of performance in the public sphere. Enriching public participation activities in the context of labour migrants flocking to the ‘platinum belt’, and therefore heterogeneous

society, impacts on social capital. In addition, arguments in the examination of the nexus of participatory performance and social capital underpin elements that are inseparable in strengthening of participatory governance (Alstine & Afionis, 2013; Booysen, 2009; Desai & Jarvis, 2012; Maconachie & Hilson, 2013; Putnam, 1995).

Youth unemployment is high in the District. To some extent, challenges inherent in a rural setting by and large with high unemployed could stunt socio-political resilience in the absence of responsive strategies specific to the needs of the youths. By implication, the concept of mentoring is an internal environment performance enabler in relation to retention. Respondents raised concerns about the conduct of some elites that divide and inhibit prosperous administrative synergy. The assertions in Putnam (1995), Alstine and Afionis (2013) that social networks enhance social capital and trust could be disputed given the heterogeneous nature of the society in the 'platinum belt'. The relationship between the society and politicians is typically soiled with divisive elitist leadership that inhibit sustainable administrative synergy. Optimisation of organisational and socio-political resilience, by implication entails external and internal dimensions that preclude political party intrusion, encouraging societal active participation and administrative synergy. Pulling together these measures to enhance organisational socio-political resilience against deteriorating community owned structures and lack of political integrity could possibly improve delivery of services and goods.

Following analysis of findings and narrative on the contemporary discourse regarding measures to enhance organisational and socio-political resilience the following section hones in on facilitative inter-departmental administrative synergy.

6.2.2.2 Facilitative inter-departmental administrative synergy

This study suggests the need to advance political integrity. This could remedy the perceived negligence of community needs and the deteriorating inter-departmental administrative synergy, findings suggest.

Initiatives to strengthen administrative synergy could be foiled where instability results from high employee turnover. Thus, the exodus of senior managers to provincial and national departments due to despondency at senior management could propagate a vicious circle resulting in challenges in relation to capacity development. For example, the sense of sabotage (Respondent 20, personal communication, 12 July 2016) expressed in the interviews is consistent with the argument advanced in Eby et al. (2000) and Scandura (1998) that, sabotage is a manifestation of negative relationships. Notably, from this analysis it would be difficult to achieve administrative synergy and teamwork in some instances.

Duck (1992) argues that, non-resilient relations present high employee attrition. Contemporary narrative and findings in Ngwenya and Botha (2014) vividly sum up that employees working under pressure to meet 'targets' could experience loss of self-worth and burn-out. In the absence of mentoring for resilient relationships, employees could experience a loss of self-worth. However, mentoring as a stand-alone approach offers insufficient capacity to withstand the fluid socio-political environmental factors. This study reveals a need to integrate and harmonise skills development, municipal performance, and collaborative participation in order to enhance capacity development of service delivery structures and programmes.

Given the ever changing societal challenges, political office bearers are expected to unify and facilitate knowledge sharing beyond the level of senior managers consistent with McAdam and McCreedy (1999), Sunassee and Sewry (2003). In the context of municipal good governance, the municipal council should oversee the knowledge construction stage. In the process the municipal council should entrust the municipal manager with facilitation of inter-departmental administrative synergy rooted in knowledge management strategies. The scholastic narratives corroborate findings in this study in relation to mentoring and relations building, and explicitly advance the argument for an objective account of a responsive council to develop, *inter alia*, a new political trajectory. Furthermore, the new trajectory should be the locus for political

integrity consistent with the constitutional and rightful demands of local communities. As such, knowledge management strategies and tools could resolve some of the issues around developing capacity of service delivery structures and programmes, as suggested in the interviews and captured in the documentary analysis.

In the absence of complementary plausible collaborative participatory initiatives, it would be naïve to expect inter-departmental administrative synergy to improve delivery of public services, as discussed in the next section.

6.2.3 Optimising civil engagement

Numerous respondents assert that meaningful community relations and transparent communication could collectively enhance collaboration with partners. Thus, research findings are suggestive of exclusion in economic participation, and poor synergy between society and local municipalities. Respondents, for instance, Respondent 25 (personal communication, 14 July 2016), Respondents 06 and 07 (personal communication, 30 June 2016) assert that community relations, communication, and inter-governmental, and departmental relationships could collectively enhance collaboration with partners. Disempowered citizenry are unable to claim a high level of accountability in relation to capacity development. This disconnect of the electorate is premised on the dysfunctional communication and relational inadequacies. The perspectives advanced in the rural mining host communities are corroborated in the literature.

Typical enclave economies in rural areas do not use mining royalties to invest in education infrastructure (Opalo, 2014; Hilson, 2001), housing, and transport (Shaw, 1979). Literature indicates that a characteristic of the rural local municipalities is that citizens feel marginalised by a lack of “power, choice and opportunity” (Cloke, Goodwin, Milbourne & Thomas, 1995, p. 358; Woodward, 1995). Accordingly, the literature corroborates the general pattern that there is lack of community engagement and access to economic development, typical of the marginalised mining rural

communities. Continued reliance on extractive capital associated with market volatility, the literature argues, has a profound bearing on effectiveness of civil society. Retrenchments during economic difficulties impact on the financial viability of host local municipalities to deliver quality public service.

Difficulties associated with how to stay resilient in relation to capacity development challenges are further revealed in the documentary analysis. A study by Ndebele and Lavhelani (2017) of local government and quality service delivery shows that poor synergy between community members and ward councillors could cause a growing inability to collect revenue from local communities. Equally, this study corroborates suggestions that, in the main, the Madibeng local municipality is economically stunted because of the challenge of poor revenue generation and collection. This perspective is consistent with the argument in Mpofu and Hlatywayo (2015) that service delivery is a constitutional mandate. In addition, service delivery is a developmental orientation responsive to communities' needs and encourages people to engage in policymaking.

Citizens' demands for accountability contribute to improved governance. Accountability deepens democracy by allowing communities to exercise their right to expect and ensure that government acts in the best interests of people (World Bank, 2007). Typical of the researched municipalities steeped in heterogeneous cultural diversities, disjointed organisational operations and strategies, this study argues that organisational governance structures are weak and state institutions are deteriorating. This necessitates the need for intimate relations and synergy between society and municipalities in the form of hybrid governance, inclusive of key businesses and traditional authorities.

The Bojanala district has features of coalitions led by seminal decision makers, that is, *Magoshi*/*Dikgosana* or traditional council and multinational companies. Coalition members should be willing and capable to meet both demands and expectations of the communities. De Castro et al. (2016) argue that local governments have key roles to

play in forming society-based movements critical of mining activities. However, the formation of a hybrid alliance has to be made up of legitimate participants (Muqui, 2009), that is, not merely an anti-mining social movement (Muradian, Martinez-Alier & Correa, 2003).

It is necessary to put measures in place to advance civil engagements into meaningful collaborative participation. Active participation encapsulates equitable representation of knowledgeable multi-stakeholder participants. This study suggests that collaborative participation is a non-linear process that entails non-governmental organisations or civil society, private business partners, and government departments. Although participants may have different roles in a polycentric collaborative participation, by implication they also have equal chance to influence decision making in the collaborative processes. Consistent with the Polycentric Collaborative Governance Model by Wang (2014) advances the argument that multi-stakeholder collaborative governance shifts beyond the dominance of a singular participant with the focus on equal consultation.

Operationalising the legislative imperatives captures the essence of an environment conducive to capacity development steeped in inter-departmental synergy, enhancing administrative structures and civil engagement. In the absence of systemic capacity building there would be a breakdown in operationalising commitments to capacity development of service delivery structures and programmes.

The following section delves into systemic capacity building and empowerment.

6.2.4 Systemic capacity building and empowerment

Systemic capacity development in the form of systemic capacity building and empowerment is not a stand-alone phenomenon. Institutionalised processes and procedures that support organisational resilience through inter-governmental structures and programmes are suggested in all local municipalities. To cite an example

integration of LED programmes and functional developmental programmes. Notably, bureaucratic inefficiencies or 'bureaucratic lacuna' manifests in an inability to provide inclusive service delivery across the communities. Other disablers to capacity development include non-permanent Contract Agreements of municipal managers, lack of visibility of leadership and political will. The study reveals that LED initiatives also depend on political will and meaningful partnerships with business. Findings indicate that some trainees drop out and mostly do not get employment, partially because there are no business hubs in the BPDM to strengthen the link between informal and formal businesses.

On the other hand, the study shows difficulties in relation to skills retention, relationships, administrative synergy, lack of systemic capacity building, and empowering consumers of public goods and services. According to Akinboade, Mokwena and Kinfack (2014), communities are required to be involved in developing the IDP, budget processes, and capacity building of the uneducated and functionally illiterate. Community participation serves as an enabler that "converts dependents into independents; that is, converting the poor from the passive consumers of services into the producers of those services, thereby benefitting them both economically and socially by taking part in governing" (Bekker, 1996, p.75).

In this study, issues captured in the findings on capacity development are linked and 'interwoven' in alignment with typology of capacity models. The Griddle (1996) model as presented in the literature review, suggests the following forms of local government capacity: institutional, technical, administrative, and political capacities. This research expands the model, as indicated in Table 6.1. Integral to the study the model examines shared skills development, municipal performance improvement, and collaborative participation aspects consistent with the research problem. The viewpoints on technical and institutional capacity, for example, determine strategic direction and explore the relationship of trust between different tiers of government respectively. The main objective of the tabular illustration is that technical, institutional, and political

capacities are threaded along the aspects of the research problem, that is, to advance understanding of shared perspectives on capacity development of service delivery structures and programmes, legislative mandates, heterogeneous mobile populations, and functional collaboration. In addition, adapting the typology of capacity models of Griddle (1996) to this study reveals how functional integration of the key findings into the respective issues derived from the conceptual framework and the corresponding aspects of the research questions underpins the concepts of capacity development. Premised on integrating the data, literature, and comments the study suggests that in the context of identified local government capacity inadequacies, systemic capacity building is found embedded in an array of organisational development enablers that redress impediments to citizen participation, political elitism, and stakeholder engagement.

Table 6.1: Typology of local government capacity

Capacity	Research problems	Conceptual framework	Outcomes
Institutional capacity	Effectiveness of municipal legislative mandates. .	**Trust deficit, effective econo-political regulations** Municipal performance and collaborative participation.	Premised on the relationship of trust between local and national governments. The ability to sustain strong governance structures. Facilitation of effective economic and political interactions.
Technical capacity	Acquiring and developing relevant employee skills. Effectiveness of municipal legislative mandates. Heterogeneous mobile population and functional collaboration.	**Non-responsive leadership** Skills development, municipal performance and collaborative participation.	Determines strategic direction, effective leadership that can potentially facilitate socio-economic and infrastructure development. Manage coherent strategies based on advice of policy analysts.
Administrative capacity	Acquiring and developing relevant employee skills. Effectiveness of municipal legislative mandates.	**Ineffective service delivery** Skills development and municipal performance.	Administering local infrastructure, public goods and services effectively
Political capacity	Heterogeneous mobile population and functional collaboration. Effectiveness of municipal legislative mandates	**Ineffective participation and non-responsive to societal needs** Collaborative participation and municipal performance.	Engage different stakeholders in governance processes, allow for effective political participation and respect representation of different interests. Render services in response to needs of local citizens.

Source: Adapted from Griddle (1996).

Disempowered societies in the form fragmented families, limited municipal grants allocation and a disconnect between the public and private sector impact negatively on systematic organisational capacity building. Recognition of a complementary relationship between business and the municipal constituency has a bearing on a *win-win* developmental goal leading to a productive thrust on service delivery. Furthermore, findings reveal that impediments to service delivery in the BPDM are consistent with and corroborated in other typical mineral endowed municipalities elsewhere. To cite an example, New South Wales municipality in Australia has difficulty maintaining infrastructure and depends on limited grants from the federal government (Honadle, 2001). Studies on the nature of the Australian Fly-In and Fly-Out practices suggest that family fragmentations among mineworkers are symptomatic of weak societal capacity development systems.

Against the context of performance at local government level, and consistent with Mwita (2000), less attention is paid to means of achieving sustainable organisational improvement, that is, internal organisational processes and learning. Bureaucratic inefficiency in the development of inclusive development of service delivery structures and programmes is reflective of an inadequate performance management system. Morris (2011) argues that an important human resource issue relates to facilitative leadership that builds relationships and common visions. Examination of organisational performance in relation to capacity development reveals some organisational strengths and weaknesses at the interface of human resource development and economic development within civil society, inter-governmental partnerships, and public-private-partnerships For example, the Department of Rural Development and Land Reform (DRLR) and Department of Agriculture together with some local municipalities have memorandum of understanding (MoU) on facilitating small businesses to facilitate job creation and partnership with private-business sector. Bernstein (2002) advocates for allocating budgets for rural development programmes focused on building social infrastructure, for instance, schools and clinics as well as economic and service delivery infrastructure.

Rurality of the local municipalities and the state-capitalist relationship underpin elements associated with poverty and inadequate municipality-business collaboration. Mhone (1995) argues that organisational performance improvement initiatives promote shifts from dependency on international extractive capital to a local investment-driven economy. This view aligns with initiatives of the LED programmes, as Respondent 18 (personal communication, 11 July 2016) suggests that there are poverty alleviation programmes focused on agriculture and rural development, training of business corporates members, and small-scale mining offered by Small Enterprise Development Agency (SEDA) and Mintek respectively. Similarly, Mkandawire (1986) contends that forming state supported corporates, whether exploitative or complementary in terms of modes of production, offers some form of competition among informal businesses. Due to the informal nature of artisanal small-scale mining (ASM) in the Bojanala local municipalities the extent of the impact of their transactions is difficult to determine. Community leaders and local municipalities need to support ASM. Support of the sector could result in socio-economic benefits for local communities, subsequently reducing the burden of unemployment and social-ills that continue to drain the municipal coffers earmarked for public service delivery.

Due to the imbalance in the economic power, most rural local municipalities depend on grants from national government. Mhone (1995) contends that there is a state-capitalist relationship that represents co-existence of the contractionary formal sector and the dependent informal sector. Thus, the view is strongly generally corroborated by respondents in relation to exclusion of informal business in the local economy *vis-à-vis* expansion of formal multinational mining businesses. This study explicitly advances the argument that imbalanced state-business relations with some historical socio-political attachments exacerbate the state of poverty.

Some of the distinct features implicated in the systemic inadequacy in relation to capacity development and service delivery are advanced in this study. For example, managerial skills deficits and lack of consequence management, high employee

turnover rate, and a lack of stakeholder commitment were also corroborated in the literature. Thus, notably, lack of financial, administrative (Marais & Kroukamp, 2009) and management skills (Gqamane & Taylor, 2013) as well as elements of organisational effectiveness (Lusthaus et al., 1995) were examined and found consistent with the findings. These aspects are by implication underlined and corroborated accordingly in relation to the examined capacity development aspects, that is, skills development, performance improvement, and collaborative participation.

Economic networks also facilitate stakeholder participation in the municipal IDPs and PPPs. To cite an example, the local economic development (LED) projects in the Rustenburg and Moretele local municipalities are in partnership with the local business. However, consistent with Kim (2018), Lindholst, Petersen and Houlberg (2018) municipalities experience savings losses in cooperations where poverty is increasing. Increasing poverty and inability to invest in revenue generating projects make it difficult to sustain a PPP. For instance, this study reveals that the rural municipalities of Moretele and Kgetlengrivier experience the harshest difficulties finding willing partners, which exacerbates socio-economic stress.

In summary, systemic capacity building and empowerment initiatives are premised on context-specific relational and power balances underscored by political integrity, bureaucratic efficiency, and the ability to provide inclusive service delivery programmes to enhance organisational capacity. The support of context-specific programmes, for instance, training political principals and bureaucrats on capacity development of community developmental projects and collaborative performance strategies are advanced in this study. Well-structured capacity development projects could address societal needs and expectations. Moreover, this would expand opportunities for maximising impactful quality driven outcomes and sustainable capacity development goals.

The following section outlines how continuous quality improvement, in addition to change management, knowledge management, and mentoring strategies discussed in Chapter Two, could be integrated in a fully functional local government system to enhance organisational collaborative performance and accountability.

6.2.5 Optimising quality service delivery

Findings in this study express the general belief that communities are loaded with heightened expectations for delivery of quality services and goods. As such, analysis of insights peculiar to optimising capacity in relation to providing public services consolidates and underlines reasons to the question: How can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results? Further examination of systemic failures including the general belief among respondents that the workplace environment is riddled with for instance, *laissez-faire* organisational culture and bureaucratic lacuna (Respondent 09, personal communication, 30 June 2016), prompts the study to probe how quality service delivery is enhanced.

Public organisations operate in a relatively complex, multi-stakeholder environment that is often punctuated with conflicting objectives and high scrutiny by decision makers (Rainey, 2014; By & Macleod, 2009). Service delivery impediments cannot be resolved with a single approach. As such, notably a multitude of service delivery impediments discussed in Chapter Five could be managed through some of the models discussed in Chapter Two. Accordingly, in this chapter research findings are corroborated against key components of the models discussed and suggested consistent with or against the respective models. The public sector is often under-resourced and has limited capacity to implement continuous quality improvement systems. In the South African local government context, the national Auditor's Reports from 2007 to 2018, annually express concerns about the often-neglected area of quality of financial reports and the respective impact in relation to optimisation of service delivery.

Moreover, this study reveals that management is under-resourced with limited capacity to institute change to effect quality service delivery. Research findings in this study advance the argument for change across all municipalities. Participatory leadership in the context of change management (Njuguna & Muathe, 2016) would be exemplary in the endeavour to stimulate readiness for change. In addition, the perceived organisational readiness for change in the municipalities would influence the extent of manifestation of envisioned organisational change informed by social, political, legislative and economic dimensions (Fahey, 1994).

Deming (1982) inspires municipal quality management with the illustrious Total Quality Management (TQM) model. Nonetheless, the model has some limitations in relation to capacity development in the local government sphere. Although TQM is commonly used in the private sector, there is a growing demand in the local government sector to utilise some of the TQM approaches. Effective TQM practices could be difficult to measure since the model employs customer satisfaction, which could be difficult to measure in the public sector. The study reveals that management of quality supporting systems and procedures in local municipalities is peripheral.

A synopsis of limitations of the TQM in relation to the findings of this research study is illustrated in Table 6.2 and adapted in accordance with the findings of this research. The model indicates that the level of accountability is linked to the strategic business and benchmarking of quality is against performance of competitors. However, in the public service sector typical of this study, benchmarking is premised on satisfaction of the community needs, which could vary from time-to-time. The local government perspective advocates for accountability across all strategic and operational levels, whereas TQM promotes linking accountability to the strategic level of management.

Table 6. 2: TQM model and key aspects of service delivery

Key aspects to service delivery	TQM	Local government perspective
Performance measurement	Analysing and measuring performance.	Costly for a local government institution. Perceptions of communities are more important.
Collaborative communication	Facilitates communication throughout a company.	The model does not explain how difficult communication within a multi-stakeholder environment could be handled.
Locality of issues	Grounded in well-established research.	Traditionally uses cost-effective HR guidelines.
Level of accountability	Quality efforts linked to strategic business objectives.	Capacity development efforts linked across all strategic and operational objectives.
Implementation	The model does not specify which tactics to use in implementing TQM in the public sector.	Knowledge management and mentoring relations are tactics and strategies to implement capacity development.
Benchmarking performance	Benchmark performance to competitors.	Performance benchmarked in accordance with the legislative prescripts in relation to satisfaction of community needs.
Knowledge embodiment	Top management is TQM's "driver", which embodies quality values.	Knowledge creation and embodiment is across the workforce.
General perspective	Quality improvement.	Organisational effectiveness.

Source: Adapted from Deming (1982).

Deming (1982) argues that there is no substitute for teamwork and good team leaders bring consistency of effort along with knowledge. Similarly, findings in this study corroborate and elevate the suggestions that teamwork is a positive attribute of collaborating and achieving the desired service delivery outcomes. Despite the applications and implications of some aspects to the local government sphere, TQM is costly to implement in a municipality struggling to retain skilled employees, suffering political interference and ineffective collaboration. Not all the 14 points of TQM model are applicable in the public sector. The model is biased towards profit making private businesses, with little or no need to account to clients on their business strategies or use of resources. Continuous quality management initiatives could prove futile in the absence of mentoring programmes. In order to play active and responsive roles in

decision making and acquiring resources, senior managers and the directors have to institute supportive knowledge management programmes to effect continuous capacity development of high-quality service delivery structures and programmes.

A multitude of operational impediments experienced in municipalities could be resolved using some of the fundamental models in Table 6.3. Chapter Two explains mentoring, change, and knowledge management strategies following some operational questions prompted by the nature of the contemporary literature debates. A synopsis of the three models captures a framework for capacity development. The framework is premised on the strengths of the findings. The three phases emergent from the discussions include a capacity building plan, capacity implementation, and capacity review.

Table 6. 3: Synopsis of capacity development phases

Researchers	Operational models	Capacity development		
		Capacity building plan	Capacity implementation	Capacity review
Gordon (2000)	Mentoring	Recognition and development	The emerging independence	Letting go.
McAdam and McCreedy (1998).	Knowledge management	Knowledge creation	Knowledge sharing	Knowledge use
Kotter (1995)	Eight steps to change	1. Create sense of urgency. 2. Build guiding coalition. 3. Form strategic vision and initiatives. 4. Enlist volunteer army.	5. Enable action by removing barriers. 6. Generate short term wins. 7. Sustain acceleration.	8. Institute change.
Deming (1982)	Total Quality Management	1. Create constancy of purpose for improving products and services. 2. Institute on-the-job training. 3. Drive out fear. 4. Break down barriers between staff areas.	5. Institute a vigorous program of education and self-improvement for all. 6. Put everybody in the company to work to accomplish transformation. 7. Eliminate slogans, exhortations and targets for the workforce.	8 Adopt the new philosophy. 9. Improve constantly and forever every planning, production, and service process. 10. Adopt and institute leadership. 11. Remove barriers that rob people of pride in workmanship.
Lewis (1947)	Change model	Unfreeze	Change	Refreeze

Sources: Adapted from Gordon (2000), Kotter (1995), Deming (1982), Lewis (1947), McAdam and McCreedy (1998) and Own (2016).

In summary, throughout the planning and implementation phases of municipal policies to optimise delivery of quality services, feedback from civil society is critical to facilitating an informed capacity development review phase. Continuous quality management of programmes and communication through an empowering participatory feedback are in the main, enablers of a responsive and accountable governance system. To this end, managers have to create a sense of shared commitment in order to continuously and reliably adhere to a shared purpose and vision. In the context of impediments to capacity development of service delivery structures and programmes, local municipalities need to be receptive to research informed empowerment for constructive influence on the design and redesign of developmental systems and strategies.

The following section delves into nexus of service delivery initiatives and the current socio-political environment in the Bojanala Platinum District Municipality. Experiences and opinions captured in the findings are corroborated against the literature. Moreover, the study analyses measures explored on how to optimise quality in relation to capacity development of service delivery structures and programmes against challenges associated with the socio-political resilience and administrative synergy in the municipalities.

6.2.6 Service delivery and the socio-political environment

Typical of natural endowed municipalities, partnership with multinational mining companies could facilitate or impede innovative outcomes required to advance the needs of communities. Society-owned needs driven functional corporate social responsibility programmes can make a difference in a productive public-private sector partnership, as this section examines. The public sector could learn several lessons from partners in the private and business sectors. The manager from the mine explicitly describes her limitations from the mining company's side in relation to interacting with government agents. Although she indicates that her department is small, she gets support from professional project managers, specialists with small business incubation

expertise, engineers and accountants to oversee projects implementation of CSR programme. The programme is integrated into the corporate strategic plan of the multinational company, thus, the broad professional support of her department. Social responsibility is raised against the background that mining companies are an integral part of society and should therefore be socially responsible (Muswaka, 2014).

However, typical of the nature of this extractive economy, relationship building tends to involve an array of interests. People tend to follow mining activities and local government tend to follow people to provide services. In the study of social struggles and political economy, Lust (2014) reveals that mining companies in response to protests by indigenous communities, establish social responsibility programmes to break unity among host communities, divert attention, and undermine communities. Opalo (2014) argues that government institutions do not use mining royalties to invest in public goods such as roads, hospitals, schools, and the failing CSR model used by mining companies promises unsustainable 'low-hanging-fruit' projects. Notably, these arguments strongly suggest that mining companies play a very limited role (Respondent 25, personal communication, 25 July 2016) despite the legislative obligation to be socially responsible (Muswaka, 2014). This practice is inconsistent with the SLP in relation to acquiring a mining license. Similarly, suggestions that the mining company in the BPDM meaningfully and effectively supports host and labour sending communities are refuted in this study.

Uncontrolled migrant labour influx in the main, from the OR Tambo District Municipality continues unabated with ravaging social-ills in both the host and labour sending districts. Mining companies tend to "close down public debate" (Bebbington, 2010, p.8), promote public relations exercises (Slack, 2012) resulting in ineffective community development programmes with pernicious forms of dependence, fragmented communities, and weakened political power and voice (Gamu et al., 2015). This contention refutes the arguments by mine management, that there is effective socio-economic development in the Bojanala area where they operate. However, more

significantly literature corroborates the perspectives of respondents that there are social-ills and ineffective social corporate investment programmes. Typical of local municipalities dependent on the extractive economy, arguments in Conde and Le Billon (2017) corroborate perspectives of the mining manager in relation to failure of poorly designed CSR projects.

This research study reveals how political elitism spoils endeavours to promote good governance and shared commitment across the municipalities, despite the stringent legislative instruments to promote accountability. Contrary to Labonne (2002, p.69), proponent of 'resource blessing' who contends "mining broadly contributes to poverty reduction"; Pegg (2006), a proponent of the 'resource curse' argues that mining activities are likely to exacerbate poverty. Indeed, typical of a mineral resourced municipal district the high level of poverty and unemployment evidenced in the interviews has distinct components of the marginalised poor and economically disempowered civil society (Gamu et al., 2015). Certainly, in the context of the extractive economy and the associated resource curse, political leaders as policy-makers could lower the level of democracy and create weak institutions embedded in corruption (Arezki & Van der Ploeg, 2011; Bhattacharya & Hodler, 2010; Gylfason, 2001; Leite & Weidman, 1999).

In summary, findings suggest that there is a need to realign the municipal legislative frameworks with the contemporary socio-economic and political landscape. Thus, findings suggest that CSR programmes of mining companies are not committed to projects that inculcate life-long skills transfer, which could sustain the community after mining. Moreover, this study suggests that the mining companies do not discuss or share their SLPs with local municipalities. Poor relationship building with communities and the limited participation of traditional authorities and *Dikgosana* in local councils also deter fair implementation of CSR projects. This makes traditional authorities more prone to develop special personal relations with mining companies, as advanced by some respondents. To some extent, trust deficit creeps in to undermine and divide

communities further in relation to loyalty and proximity to local authorities. In the context of challenges experienced in the implementation of CSR programmes, sufficiently empowered administrators together with councillors could play a central role in developing relations with the business sector for the benefit of communities. Meaningful engagement could feed into collaborative participation and enhance relational dialogue to address legitimacy issues and power asymmetry among stakeholders accordingly.

An outline of the structures of Chapters Five, Six and Seven, in Table 6.4 indicates how the research questions and problems are logically aligned to emphasise a sequence of generated categories, sub-themes and themes respectively against the corresponding theoretical and conceptual frameworks. In Chapter Five, data presentation is followed by weaving together associated patterns to generate categories, whereas Chapter Six corroborates the findings in relation to municipal capacity development of service delivery structures and programmes. Subsequently, the thematic discussions are delved into in Chapter Seven.

Table 6. 4: Synopsis research questions and key findings

Theories (section 3.2)	Human Capital Theory	Performance Improvement Theory	Collaboration Theory
Conceptual Framework (3.4)	Skills development	Municipal performance	Collaborative participation
Research questions	1. What are the structures and programmes for enhancing capacity development to deliver services and what lessons do the experiences show to date?	1. What are the facilitators and inhibitors of skills development initiatives in relation to implementing service delivery programmes? 2. How can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results?	1. How do local mining companies contribute to capacity development in enhancing service delivery?
Research problem	Acquisition and development of relevant employee skills. Skills and capacity development **(Section 2.2)**	Effectiveness of performance of municipal legislative mandate. Municipal performance improvement **(Section 2.3)**	Heterogeneous and mobile population. Roles of elites. Functional collaborative partnerships. Municipal Collaborative participation **(Section 2.4**)
Categories (Chapter Five). Skills retention, administrative synergy and relations	Employee skills retention and stakeholder engagement **(section 5.3.1).**	Organisational skills retention, departmental performance capacity, administrative synergy, and political integrity **(Section 5.3.2)** Mining socio-economic impediments **(Section 5.3.4)**	Administrative synergy and stakeholder relations **(Section 5.3.3)**
Sub-themes (Chapter Six). Socio-political resilience and administrative synergy	Leadership and organisational relations synergy **(Section 6.2.1).** Organisational resilience and administrative synergy. **(Section 6.2.2)**	Optimisation of civil engagement **(Section 6.2.3).** Systemic capacity building and empowerment **Section 6.2.4).**	Optimisation of quality service delivery **(Section 6.2.5)** Service delivery and the socio-political environment. **(Section 6.2.6).**
Themes (Chapter Seven). Conclusion and recommendations	Skills retention **(Section 7.2.1**).	Organisational relations building **(Section 7.2.2).**	Socio-political capacity building **(Section 7.2.3).**

Source: Own (2016).

6.3 Summary

The findings in this study advance numerous arguments about different issues in relation to the continued reliance of local municipalities on the extractive capital economy and roles of the huge profit-making multinational mining companies. Numerous challenges exist against the heightened socio-economic ills experienced by host communities. In the context of the historic South African mining sector, and against the backdrop of a depressive socio-economic environment, notably, communities heavily dependent on social grants and without access to the benefits of their natural resources.

Typical of the BPDM region, unpredictable elements like sudden retrenchments from mining companies and poor management of water pollution have a severe impact on providing quality services and goods. The study reveals that the success of municipal capacity development of service delivery structures and programmes rests upon socio-political resilience and administrative synergy. Success of an envisioned capacity development is premised on an admin-political realm that continuously seek to optimise efficient utilisation of resources, organisational performance, and relationships. Key findings reveal that although formal municipal council and administrative structures, rules, and legislations exist, local municipalities are dogged with socio-political dimensions inherently rooted in inadequate organisational collaborative performance and accountability. Perceptions that some political principals take personal ownership of CSR programmes suggest that mining companies, to some extent, manipulate political elites at the expense of developing capacity of service delivery structures and programmes. Research findings also indicate that there is a weak leadership and organisational relationship synergy. This is against the difficult socio-political resilience, beliefs that communities have been politically abandoned, and inadequate meaningful transformative leadership.

The desire to operationalise the legislative imperatives captures the essence of an environment conducive to capacity development. Operational levers for enabling capacity development of service delivery structures and programmes, that is, mentoring, knowledge, and change management policies and strategies could facilitate efficient implementation of the desired outputs, in the context of organisational learning systems.

Data presentation and discussions underscore that lack of organisational resilience is characterised by inadequate administrative synergy and stakeholder relations. Moreover, findings suggest that fragmented policy and administrative systems manifest in a leadership vacuum and uncertainties tainted with compromised accountability in relation to skills development. Experiences related to enhancing public service indicate that current partnerships, municipal structures, and training programmes are ineffective in relation to skills development and enhancing performance.

Data analysis reveals what and how the nature of public sector leadership failures results in inadequate organisational change management, such that leadership cannot strengthen the state institutions that support capacity development of service delivery structures and programmes. Service delivery in the context of local government essentially entails efficient and effective operationalisation of the legislative prescripts in an environment conducive to society-driven and community-owned capacity development programmes. Furthermore, this study reveals that the failure of administrative structures and programmes is embedded in the systemic weakness, which makes it difficult to fulfil organisational cohesion in relation to developing capacity of service delivery structures and programmes. Notably, analysis of insights peculiar to optimising capacity point to inadequate civil engagement and ineffective organisational capacity building as key systemic failures that continue to thrive on *laissez-faire* organisational culture and inept leadership. Chapter Seven concludes the study and presents recommendations based on the findings.

CHAPTER SEVEN

CONCLUSIONS AND RECOMMENDATIONS

7.1 Introduction

This chapter presents theoretical orientation and general conclusions, contribution of the study and further research. The research findings advance the argument that host communities experience inadequate service delivery and remain vulnerable to depressive social-ills. The purpose of this study is to examine the challenges related to the use of capacity development of service delivery structures and programmes in the Bojanala Platinum District local municipalities and explains how they are overcome.

The research findings reveal why operations in a mineral resource endowed municipality characterised by influential elites, heterogeneous and changing mobile population make it difficult for municipalities. Among others, key municipal difficulties are to acquire and develop relevant employee skills, efficiently comply with implementation of municipal legislative mandates. Political elitism and nature of the population therefore, make it difficult to establish and develop functional collaborative partnerships with local mining companies.

The following four research questions guide the study:

a) **What are the structures and programmes for enhancing capacity development to deliver services and what lessons do the experiences show to date?**
b) **What are the facilitators and inhibitors of skills development initiatives in relation to implementing service delivery programmes?**
c) **How do local mining companies contribute to capacity development in enhancing service delivery?**

d) How can municipalities better utilise their capacity development resources, and partner better, to ensure stronger service delivery results?

The thematic areas included in the study are: employee skills retention; stakeholder engagement; organisational skills retention; departmental performance capacity; administrative synergy and socio-political integrity; administrative synergy and stakeholder relations presented in Chapter Five. Further analysis of the thematic areas in Chapter Six, yields six sub-themes that underscore socio-political resilience and administrative synergy. This chapter discusses emergent themes, that is, skills retention; organisational relationship building, and socio-political capacity building. The conceptual and theoretical frameworks are also examined in relation to conclusion and contribution to capacity development in the literature.

7.2 Thematic conclusions

The study reveals the three emergent themes relating to capacity development of service delivery structures and programmes, that is, skills retention, organisational relations, and socio-political capacity building that corroborate with issues in the literature review. This section further, unpacks how the three themes relate to the framing. Skills retention is part of the skills development umbrella of aspects in relation to the human capital theory. Organisational relationship building and socio-political capacity building relate to the performance improvement and collaborative governance theory respectively. Findings in this single case study are employed to question old theoretical relationships, namely, human capital, performance improvement, and collaborative governance. The study explores new theoretical relationships and related nuances. This exercise has allowed the study to examine and pursue an in-depth insight and deeper understanding of the subject of capacity development of service delivery structures and programmes as demonstrated in the development of the conclusions. The following section discusses skills retention thematic perspectives in relation to capacity development.

7.2.1 Skills retention

The first question that guides this study probes reasons for the perceived difficulty in the acquiring and developing relevant employee skills in the municipalities. Thus, examination of the findings in relation to interview questions on structures, programmes and experiences that promote enhancement of capacity development of service delivery structures and programmes in the Bojanala Platinum District local municipalities reveals inadequate skills development programmes. Skills retention is part of the skills development aspects in relation to the human capital theory. Accordingly, the human capital theory argues for education, training and knowledge development (Becker, 1993; Zula & Chermack, 2007). The theory also identifies training programmes and low employee turnover as key aspects for improving workplace skills. This study suggests that despite existence of skills training structures and programmes poor participation of organised labour inhibits effectiveness of skills development structures. Notwithstanding, the power invested in the District municipality and LGSETA to strengthen local municipalities in human resources, capacity building, and service delivery, the LGSETA is perceived to be dysfunctional. This challenge makes it difficult to attract and retain skilled labour.

Almost all employees confirm that they are encouraged and supported to improve their skills. However, to some extent, municipal budgeting constraints and political interference impede skills retention. Moreover, political interference is perceived to create a ‘poisonous environment’, that is, albeit the possible harmonisation of political policies and programmes. In the main, respondents perceive municipal councillors to be deterrents to capacity development of service delivery structures and programmes.

Looking at some of the findings, relations among senior managers, inter-departmental, directors and political principals are obstacles to service delivery. Despite the potential to establish knowledge and change management strategies to enhance the limited decision-making powers of the directors, inadequate managerial skills and organisational relations impede skills retention. Outsourcing of external consultants in

all local municipalities is another plausible shortcoming and admission to the dearth of managerial, administrative, and technical expertise.

Acquiring, retaining and developing skills aligned with BPDM capacity development initiatives are critical aspects in the context of transformation in the Post-Apartheid South Africa. Skills development programmes are inadequate in relation to aligning and enhancing municipal performance and business strategy of the multi-stakeholder driven integrated development plans (IDPs). It is the responsibility of the accounting officer to advance application of knowledge management strategies in the endeavour to effectively respond to human resource planning issues. In other words, management that is responsive and decisive on issues related to skills supply and demand. Processes and procedures to strengthen knowledge management strategies can be aligned with the operational capacity and capabilities to optimise capacity development of service delivery structures and programmes.

Political office bearers impede functions of a responsive, facilitative, and transformative leadership in the current political setting. Thus, the organisational setting which is characteristic of a top-bottom regime is a key disabler of capacity development. Particularly, in a bottom-up system employees who are willing and able to contribute to meaningful performance of the municipal mandates could effectively advance knowledgeable strategic leadership through functional mentoring programmes. Equitable resource allocation, including time across all municipalities and levels of management could induce alignment of capacity development and retention of skills, subsequently establishing a strong foundation for the bottom-up approach to service delivery.

The accounting officer of the municipality has to take the lead in identifying the knowledge needs, given the extent of impediments to skills development. The study reveals, for instance to what extent impediments to equitable budgetary allocation and inappropriate placement of skilled employees can create risks and challenges to

capacity development of service delivery structures and programmes. Notably, shared commitments to responsibilities could be in jeopardy given the rigidity of the municipal legislative framework that limits the influence of directors in the decision-making structures of the Municipal Councils. Acknowledging line managers and supervisors as leaders could in the main, facilitate responsiveness, citizen participation, and inclusiveness in relation to building trust and improved service delivery. Nonetheless, it is the responsibility of the municipal manager as the municipal accounting officer to integrate human resource development into the business strategy, to effect organisational change and alleviate negative impacts to skills development and retention.

In an endeavour to narrow the gap between management and the executive, both political principals and managers have to attend common training or workshops. Talent pools could be established in the communities from which both the public sector and business can recruit. Support to senior managers could entail pooling information on knowledge management and facilitation of organisational learning. Indeed, at the core of functional good governance and learning is the appointment of individuals in their rightful positions and on merit, thus fundamentally strengthening the building blocks to developing human capital. Recruitment and retention policies should be closely aligned with orientation and induction, to address some of the issues raised in the annual reports and interviews.

Good governance practices associated with attracting new recruits could only be sustained on condition that there are recruitment and retention policies, as well as operational strategies aligned to the municipality's business strategy. However, organisational practices, recruitment and retention policies alone cannot reduce the personnel attrition rates. A combination of astute good governance measures, transformative human resource policies, and consequence management could heighten a sense of belonging and desire to stay.

Responsive management would elevate public accountability above any personal interests and workplace feuds. Human resource planning, placement, and development serve as the entry point to examine impediments, enablers, and attributes related to strengthening capacity of service delivery initiatives. This study reveals that skills retention, administrative synergy and stakeholder relations would facilitate better decision making in the municipal departments and collaboration with partners. Against poor inter-departmental collaboration and synergy, forming a crucial 'municipal family' or knot would indicate the political will to strengthen knowledge sharing strategies, enhance cost-effective use of knowledge, and bring down the heightened brain drain and skills-flight.

In addition to skills retention, and closely intertwined at an operational level, is the municipal performance management system. Performance management systems in the local government are regulated in an ambiguous manner. According to the performance improvement theory by Gilbert (1978), Swanson (1999), Rummler and Brache (1988) organisational performance is linked to return on investment (ROI). The theory also relates to the importance of feedback on performance, consequence management, and employee skills development. The study also probed to what extent the human resource performance systems are effective in achieving municipal development outcomes in relation to the public service delivery mandate. Performance facilitators and constraints, feedback and consequences to remedy ineffective policy implementation are some of the issues examined in this study.

The current performance management system, as corroborated by all respondents has the hallmarks of a dysfunctional state institution. The municipal governance system does not link departmental performance to the performance of directors, thus the high staff attrition rate in the municipalities. To some extent, methods other than monetary rewards could be used to better handle staff turnover. Motivational factors related to career advancement and equity across local municipalities could curtail the high staff attrition rate. Employer-employee engagement sessions, at the level of mayoral

committee members and directors could alleviate systemic pressure and reduce impediments to skills development and retention. Local municipalities need stringent change management approaches as some partners in authority could display territorial tendencies including resistance to progressive change. The accounting officers and senior management, by virtue of their positions, should take heed of feelings of other employees by attempting to break down barriers between staff, and institute robust education programmes as part of capacity enhancement strategies.

In summary, recurrent mention of leadership and management inadequacies suggests a loss of appetite to comply with the legislation to accelerate quality service delivery. Data analysis in this study unequivocally spells out that, although it is not possible to satisfactorily pursue public interests and achieve fulfilment in relation to workplace expectations, the executives of municipal councils must manage a delicate balance to retain managerial skills and halt technical skills-flight in the BPDM. A shift from pursuing self-indulgence towards advancing public demands could enhance and instil positive motivation in other individuals. Notably, despite the examined legislative limitations and operational models there is no single approach that could eliminate all impediments.

Skills retention and performance enablers could struggle to take off in the absence of relationship building and formal mentoring that cut across departments and societies as discussed in the following section.

7.2.2 Organisational relationship building

Insights captured in the study advocate for making concerted efforts to enhance administrative synergy and political integrity across all departments, based on examining facilitators and inhibitors of skills development initiatives, and how local partners could facilitate or hinder improved municipal service delivery programmes. Analysis of issues and nuances that impede efficient use of resources bring to surface relationship building components that resonate with challenges in the BPDM.

Numerous insights derived from this study suggest that skills retention improves the skills base upon which municipal capacity programmes and structures stand to gather strength and synergy. Most importantly, expanding the skills base could be associated with adequate responses to the relationship deficit, which is a deterrent to advancing and retaining managerial skills. External environmental factors influenced by social, economic, and political risks are inseparable from activities of extractive industries. However, knowledge of the local government sphere nuances embedded in the extractive economy broadens the understanding of how to enhance, stakeholder relations, accountability, and improve weak performance of systems. Inter-governmental relations at a tier of local government could be in the form of inter-municipal co-operation, as alluded by Soukopová and Vaceková (2018) and inter-municipal owned cooperation advanced in Germà and Gradus (2018). Thus, functional partnership with the mining companies in the provision of certain services, for instance road infrastructure and sanitation, could be encouraged in all local municipalities. These programmes and associated developmental policies could alleviate the severity of social-ills, premised on the extent of rurality and high youth unemployment. Public sector expertise should be encouraged to optimise capacity development of service delivery structures and programmes, despite possible marginalisation and undermining due to the dynamics of local politics.

Typical of the nature of the social capital characterised by the heterogeneous mobile community attracted to mining activities, networks and social cohesion are stronger. Enhanced social capital is in the context of huge labour migrants flocking to the ‘platinum belt’, with common purpose of seeking job opportunities. Nevertheless, the burden brought about by social-ills arising from informal settlements and unemployment surpasses the ability of any single individual or institution to redress the situation. Against the context of the unstable mobile community setting, hybrid governance in the form of partnership with civil society, traditional leadership, and private sector could be essential and fundamental to advancing public accountability and innovation in service delivery.

In the context of high unemployment in both the host and labour sending local municipalities, it is important to establish a relationship of functional trust and transparent communication between the Bojanala and OR Tambo districts in relation to capacity development initiatives. Challenges in the 'Madibeng-Nyandeni corridor' present opportunities for both Bojanala and OR Tambo District Municipalities to examine their common socio-economic risks and strengths, and collectively collaborate on how to redress the persistent continuum of impediments to service delivery. Establishing satellite local government agencies in municipalities disadvantaged by the huge geographical settings would alleviate problems associated with communication, access to opportunities for employment, and fragmented relationships between administrators and communities. Although it is not the intention of this study to explain ineffective service delivery on the grounds of labour related issues, lessons from the Marikana massacres leave us with some unanswered questions on the premises of decision-making and relational roles of influential politicians at the interface of both business and public sectors.

Findings in this study indicate that some elites have undesirable conduct, which divides and inhibits a prosperous administrative synergy. The study also elevates the perceptions that there are inadequate inter-governmental relationship building measures to develop meaningful cooperation with provincial, national and private sector partners. Continuous monitoring and evaluation of developmental programmes and a collective buy-in of the political heads into the business strategic vision may alleviate constraints and weaknesses in relation to community capacity development. However, the argument could fall short in view of the heterogeneous nature of the society and power imbalance skewed in favour of multinational mining companies. Given the extent of organisational fragmentation in relation to good governance, this study advocates for mentoring programmes and knowledge management strategies, as precursors to continuous management of quality, monitoring and evaluation (M&E) of programmes. In addition, and more significantly, this study concedes that there will always be impediments associated with the evaluation of programmes and systems,

especially where they hardly exist or the municipal authority is restrained by the embedded frivolous political nuances.

The ensuing brain drain could be handled well, provided the council, a typical political structure, has a political will to narrow the distance or negative relations between senior managers and councillors that head mayoral committees. Prioritisation of measures to strengthen administrative synergy could inhibit a vicious cycle of ineffective service delivery programmes. Some respondents draw attention to being 'enslaved', thus a manifestation of negative relationships and notably an impediment to administrative synergy and teamwork. In order to deepen relationship-driven democracy it would be obligatory to have socio-political settings in harmony with the administrative bureaucracy. Knowledge management strategies and tools, most importantly, are critical to reinforcing organisational relations and capacity development of service delivery structures and programmes issues in the socio-political milieu.

The study also reveals a high number of unemployed youths. It is therefore paramount that youthful members of the staff, mostly employed at junior level be given opportunities to participate in external IDP structures and related service delivery programmes. This could translate into facilitating functional trust and teamwork with youths in the communities. Junior mangers as knowledgeable agents of change are best positioned to influence pro-poor policies and programmes, understand and explain the needs of the unemployed youths in their communities. Thus, organisational relations building measures could address not only context-specific needs but also sectorial-specific needs, especially of the unemployed youths.

In summary, the council should, in the context of good municipal governance, oversee organisational relationship building measures embedded in knowledge management strategies, driven by the municipal manager. To avoid institutional memory loss municipal managers may be appointed on permanent posts rather than the current five-yearly contract tenure. Given the ever-changing societal challenges, political office

bearers are expected to unify and facilitate the understanding that knowledge embodiment should go beyond senior managers. The study advances a new trajectory on capacity development of service delivery structures and programmes. The trajectory empowers HRD practitioners to bring synergy between human capital and municipal performance improvement issues; thus, consistent with the municipal knowledge and performance management systems.

It would be inconsistent of a thorough environment scanning to ignore external attributes associated with socio-political capacity building as explained in the following section.

7.2.3 Socio-political capacity building

The socio-political capacity-building theme advances the argument for improving the internal and external environmental structures and training programmes. Thus, this improvement would enhance effective implementation of capacity development of service delivery structures and programmes. Typical of an extractive economy dependent local government, the BPDM is confronted with upshots of the 'resource curse' in the form of exploitation of natural resources by multinationals, diverse cultures, disjointed organisational operations, incoherent municipal strategies, and weak governance structures and inter-municipal networks.

The participatory governance model by Waheduzzaman and Mphande (2012) emphasises that good governance depends on empowering citizens in a democratic society. General patterns of perceptions indicate a high level of mistrust and asymmetric power balance. The private sector, particularly multinational companies, implements SLP programmes in silos and parallel to the municipal IDPs. The perceived polarised state of municipal developments is consistent with the arguments that asymmetrical economic power relationships and lack of trust between multinational extractive corporations and weak host governments make governance networks unsustainable (Akiwumi, 2012; Klijn, Edelenbos & Steijn, 2010).

The Bojanala district has features of a coalition led by seminal decision makers, that is, *Magoshi/Dikgosana* or traditional council and multinational companies, who could be willing and able to meet community expectations. Furthermore, continued reliance on the extractive capital that is predisposed to market volatility has a negative bearing on the effectiveness and financial viability of host municipalities to deliver quality public service. Local municipalities in the BPDM have to take the lead and address the exploitation of natural resources, and the distance between themselves and private companies, rather than leave it to the national government and traditional authorities. Thus, the need for established intimate relations, synergy between society and municipalities in the form of hybrid governance, inclusive of key businesses, and traditional authorities.

If the distance between management and private businesses increases, their relationship and collaboration would grow weak, and it could unintentionally be left up to certain influential individuals to exploit the space and abuse state resources, as the study points out. Similarly, if the distance is too close management could be manipulated by multinational companies, subsequently, develop dependency syndromes, that is, inability to independently make meaningful decisions within constitutional structures.

The problem of multinational companies opting for employment of non-locals overstretches the municipal fiscus and municipalities will forever be on the hind-leg, playing catch-up regarding quality service delivery. Therefore, more political will is needed to plan with key community representatives, co-ordinate infrastructure development, and advance locally-driven economic integration in the BPDM. The strategic role of mayors, although important, should not be exercised in isolation of the professionally qualified accounting officers who are also custodians of human resource capacity development. Thus, human resource capacity also faces its challenges that cannot be viewed in isolation.

The IDP in the South African local government context could be more inclusive of mining companies and key legitimate community leaders. Thus, accordingly provide a a stronghold for a responsive and accountable management in relation to both organisational and societal human resource development programmes. Most importantly, communities highly blighted with huge numbers of the unemployed youths should not merely be informed about socio-economic programmes. Instead, senior officials should considerably engage and effectively empower, women and youths, for instance, on the human resource management plan and the state of municipal assets. Thus, senior management, and not the IDP unit, should lead in narrowing the distance between the council and civil society through a common strategic vision.

South Africa's municipal legislation promotes inter-municipal capacity development, but support is inadequate and not effectively enforced. The problem of poor inter-governmental relations is exacerbated in that the disjointed Municipal Systems Act and the Mineral and Petroleum Resource Development Act impact on fragmented planning and implementation of projects. This disconnect at local and national government levels tends to confuse and frustrate communities. Given the disjointed legislative imperatives that impact on capacity development at local government level, and lack of the state-capitalist synergy, it would be naïve to expect an abrupt offshoot characterised by mutually reinforced collaborative participation or mature democracy. Capacity development could be enhanced in an enforced legislative environment. Political oversight plans and a well-articulated public-private-partnership synergy should be administratively co-ordinated.

The population in the BPDM is mainly young, so unemployed youths, uncontrolled labour influx, and associated social-ills are prominently advanced in the study. Most importantly, citizen empowerment as an on-going process should be promoted to accommodate the 'small voice' and interests of the vulnerable. Accordingly, to combat corrupt activities, harmonised citizen participation in decision-making structures and

ownership of capacity development programmes should be encouraged in all local municipalities. However, the mechanism could be susceptible to abuse, as in some instances allegations of corruption would be unclear and distorted. This could be done to deliberately achieve individual or personal vendettas against the political heads. Thus, in the context of unemployed and uneducated youth, research units could be established within all local municipalities to accelerate dissemination of balanced scientific knowledge. Knowledge dissemination to knowledge users, among others, administrators, the council and civil society would narrow the inter-sectoral knowledge gap. In turn, there is a need to align, and co-ordinate synchronised transformative human resource development (HRD) policies and programmes across all local municipalities.

In summary, notwithstanding the fundamental challenges discussed above, local municipalities can derive some lessons from past experiences, generate knowledge and influence the national legislations, enforce ethical conduct, reinforce building of functional relations, and provide regular transparent reporting and feedback to stakeholders. Against the perspective of impediments to skills retention, organisational relations, and socio-political issues the identified emergent themes would ameliorate the capacity deficit. Findings of this study, therefore, conclude that even though there are noteworthy constitutional structures, namely, municipal office, LED, IDP, HRD and CFO and related programmes in Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele local municipalities, inadequate socio-political resilience and administrative synergy are impediments to cost-effective, efficient, and effective capacity development of service delivery structures and programmes.

Local government is a highly contested terrain. It will take a protracted process to transform and strengthen partnerships, including societal coalitions and administrative-political synergy. Successful balance of forces in the politically contested terrain is premised on effective roles of transformative agents of change with an envisioned

purpose to achieve local ownership of the developmental goals and maintain a *win-win* robust coalition.

The following section discusses general conclusions.

7.3 General conclusions

The essence of general conclusions as informed by the thematic conclusions presented at the beginning of this chapter and their implications are reflected upon in this section. The discussed literature review highlights current studies and thinking in relation to service delivery. Focus areas of the study advance arguments on disjointed and generic debates linked to capacity development, that is, skills development, municipal performance, and collaborative participation. However, they do not integrate skills retention, organisational relationships, and socio-political capacity building. As such, there is inadequate explanation from the literature review, how skills development, municipal performance and collaborative participation affect capacity development of service delivery structures and programmes in the local municipalities. Furthermore, the examined contemporary scholarly debates do not provide distinct explanations in relation to the strategic integration of elements of skills retention, organisational relations, and socio-political capacity building in the realm of capacity development of service delivery structures and programmes. Examination of this knowledge gap informed this study to explain the strategic link of the elements in relation to capacity development of service delivery structures and programmes in a local municipality.

Premised on the intricacy of organisational relations, ineffective operational structures and programmes this study defines capacity development in relation to public service delivery based on some key findings. Capacity development from the perspective of this study is defined as the efficient and effective maximising of operational enablers, collective ownership of measures to address political and socio-economic diversity in relation to transformational programmes, good governance, and public accountability. Maximising the enablers of service delivery could depend on creating organisational

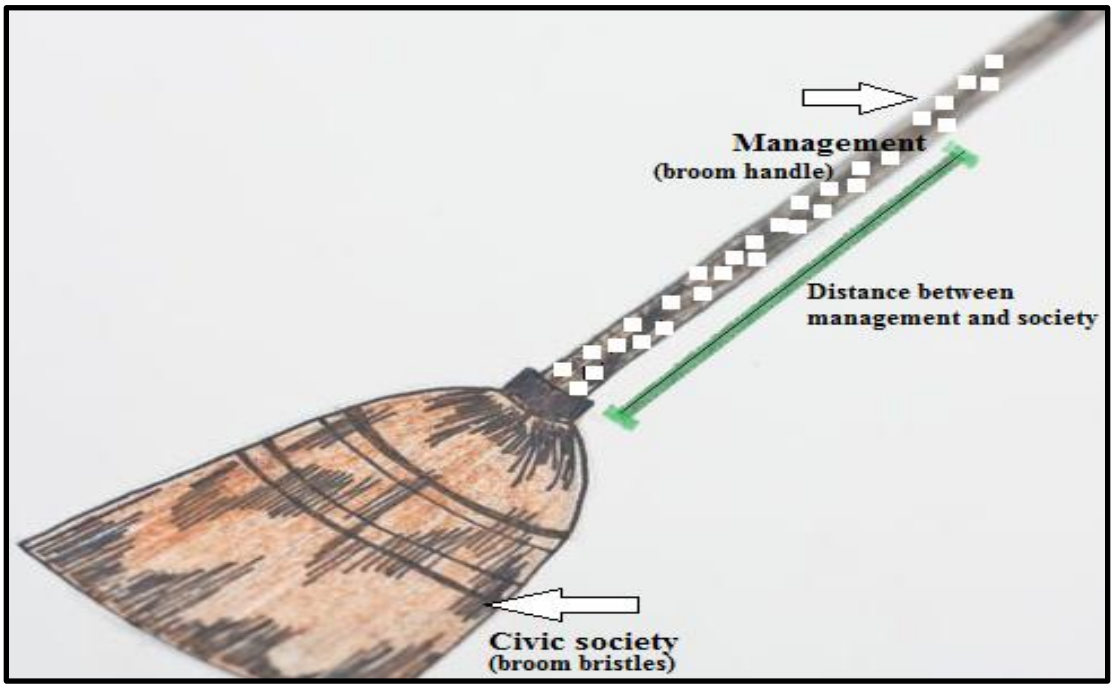
built-in administrative synergy, socio-political integrity, and on-going monitoring and evaluation of capacity development of service delivery structures and programmes.

Administrative synergy and political integrity across some municipalities are inadequate. This is against the setting of organisational systems fraught with poor relations and profound inhibitors to skills development, performance, and collaborative participation. The study suggests that political interference *vis-à-vis* administrative governance is not only confined to the councillors as it gets indirectly formalised and institutionalised, in the main at the level of directors. These practices may lead to autocratic and territorial advantages in the hands of unscrupulous individuals. A general pattern among senior managers is that the closer they are to political principals who are perceived as dishonest by the communities, the more difficult the relationships as mistrust alienates them from society.

Based on the uniqueness and intricacy of the relations and ineffective operational structures prominent in the findings; I developed a 'management by broomstick' (MbB) framework. The framework in Figure 7.1 illustrates how the phenomenon of poor management of the distance between the municipal council and communities could raise attention to the possible inadequacy in the administrative and societal synergy. The illustration adds value to the literature as it conflates and examines the aspects that are underscored in integrating mainstream politics, administrative synergy, and relationship-building issues inherent in the BPDM.

The distance between the handle of the broomstick and the broom bristles determines how effective the broom functions. The longer the broomstick the further away the handle is from the brittles. It would also be difficult to move the broom accordingly on the floor. In other words, if knowledge workers or managers were far from communities it would be difficult to plan with and listen to their needs. Thus, distance or proximity to the society can affect how productive and responsive an individual performs developmental programmes.

Figure 7.1 Management by Broomstick framework



Source: Own (2016).

If the handle is too close to the broom bristles, one would be too close to the ground and find it difficult to move the broom, and one could even fall over. If management is too close to the community, they could be susceptible to being manipulated by unscrupulous influential leaders peddling corrupt activities. One could also be biased and get captivated by trivial political and organisational dynamics on the ground.

The question of how to manage a long enough distance between management and civil society is a negotiable and consensus-seeking polycentric multi-stakeholder driven process. The process could be supported by a municipal unit with research capability for continuous upholding of ethics, detecting early warning signs of corruption, managing risk, and co-ordinating capacity development initiatives. In the absence of collaborative participatory governance; understandably the municipality would be dysfunctional. The pragmatic approach of local municipalities skewed towards improving participatory municipal performance and good governance would inspire real leaders to commit to real and believable shared visions.

In summary, this study finds that senior managers in the local municipalities experience difficulties attracting and retaining skilled employees, and established relations among senior managers and political principals are unhealthy. Moreover, the organisational culture is inflicted with party political activism, fraught with contestations for high stakes in the 'low lying fruits' within the extractive capital economy. For example, the Madibeng and Rustenburg local municipalities, home to the top world platinum mines, have had some difficulties with leaders in other tiers of government, councillors, and citizens, as evidenced in the numerous court litigations.

In conclusion, this study advances an evidence-based explanation of the examined knowledge gap by underscoring the need for local municipalities to strategically integrate skills retention, organisational relations, and socio-political capacity building to optimise capacity development of service delivery structures and programmes. In the context of peculiarly high mining labour immigration, *de facto* government roles played by mining companies, the Marikana tragedy, and labour related inequalities, the impact of socio-economic inequality and social-ills on the host communities is tremendous. Inadequate conditions to enhance social capital and equality in the distribution of mineral revenues are typical features associated with the highly heterogeneous socio-economic settings of local municipalities in Bojanala District.

The following section delves into contribution to the study.

7.4 Contribution to the study

7.4.1 Theoretical contributions

In this section the study advances critiques to multiple elements of theories employed in the study. Most importantly, the presentation of rational critiques with plausible evidence based on the research findings suggests the theoretical merit on what and how new settings depicted in the findings could or could not be operationalised. This study is underpinned by three inter-related and mutually supportive theories, that is, human capital, performance improvement, and collaborative participatory governance within

the context of local government capacity development. The interface of these theories provides valuable insight in relation to enhancing capacity development of service delivery structures and programmes. Aside from the original theoretical framework construction in Chapter Three, this study suggests a new trajectory in relation to capacity development of service delivery structures and programmes in the form of a learning theory.

Many studies and respective theories on capacity development focus on issues related to natural resource endowed economy and governance in relation to human capital (Fabricant, 1959), performance improvement (Swanson, 1999; Rummler & Brache, 1988), and civil society participation (Ansell & Gash, 2007; Imperial, 2005; Waheduzzaman & Mphande, 2012; Wiig, 2007). However, these studies, in the context of effective integration of skills retention, organisational relationship building, and socio-political capacity building across local municipalities; do not look at the implication of essential components of the human capital, performance improvement, and civil participation aspects in relation to municipal capacity development in a mineral endowed local government municipality. Most significantly, these theories are premised on the neoclassical context within homogeneous populations. This study utilises qualitative approach, and explanatory approaches to identify what influences capacity, examines and develops a robust explanation why the municipal structures and programmes are a challenge for successful public service delivery.

The major findings advance socio-political resilience and administrative synergy, and conclusions underpin skills retention, organisational relations building, and socio-political capacity building. Theoretical implication of the study underpins skills development, municipal performance enhancement, and collaborative participation, as aspects associated with the theories. The theoretical perspectives that inform this study are based on human capital theory, performance improvement theory, and collaborative governance theory. These theories advance employee skills development in terms of human capital, municipal performance development in terms of improving

organisational performance management systems, and collaborative participation in terms of collaborative governance. Notably, as demonstrated in the conceptual framework skills development highlights skills retention and socio-political capacity building; municipal performance significantly denotes organisational relationship building and socio-political capacity building, whereas collaborative participation advances organisational relations building and socio-political capacity building.

The human capital theory advanced in Becker (1993), Zula and Chermack (2007) asserts that education, training and knowledge development enhance productivity and return on investment (ROI). The theory identifies training programmes, perceptions on investment in training, employee turnover and employee retention strategy as some of the aspects that could be contained or improved in the advent that there are skills training programmes at workplace. The theory is biased towards non-service capital driven industries and homogenous societies. Although, in the South African context skills development and employment equity programmes at workplace are stakeholder-driven, findings in this study suggest to the contrary in relation to poor participation of organised labour. Local municipalities experience budgeting constraints, political interference, difficulties in relation to attracting and retaining skilled employees despite on-going employee training programmes. These impediments, contrary to certain aspects of the human capital theory, that is, to some extent employee turnover and ineffective service delivery continue unabated without return on investment.

The human capital theoretical inclinations should therefore be inclusive of the socio-political resilience and administrative synergy, systemic capacity building and empowerment aspects. In addition, the human capital perspectives advance the significance of skills retention, optimisation of resources, political integrity, and employee engagement among the outputs attributive to enhanced workplace productivity outcomes in advancement of skills development, as demonstrated in the conceptual framework. In the context of this study human capital theory is the leading theory. The human capital theory provides a significant springboard and entry point

into the realm of knowledge management strategies and operationalisation of mentoring programmes in municipalities.

Suggestions in the performance improvement theory in Gilbert (1978), Swanson (1999), Rummler and Brache (1988) argue that performance is linked to organisational and economic return on investment. Although, the theory assumes the use of scorecards (Swanson, 1999) to measure achievement of targets in public services, it is not easy to measure, for instance, the degree of community satisfaction against investment in training. The model advances performance feedback, psychological support, alignment of consequences to performance, and extends to recognition of employee skills, thus, a commonality with the human capital theory.

The performance improvement theory assumes the workplace environment to be responsive to the requisite values and legislative prescripts. However, consequence management remains elusive as indicated by some respondents. Municipal performance should take place in the context of organisational collaborative performance and accountability, premised on organisational systemic resilience, relationships, and administrative synergy. Accordingly, a prominent new perspective on the performance improvement theory is that organisational relationship building should be premised on advancing concerted efforts to enhance administrative synergy and political integrity across all departments.

Participatory governance theory, that is, citizen involvement in local municipal decision-making structures is advanced in Imperial (2005), Ansell and Gash (2007) Waheduzzaman and Mphande (2012). Furthermore, the theory not only expounds that development without people's participation lacks sustainability, but also, expands on the importance of roles of civil servants in facilitating interactive governance. The research findings profoundly amplify impediments in relation to participatory collaboration, rooted in poor teamwork, inter-departmental relationships, dishonest communication, and ineffective inter-governmental relations.

Typical of the heterogeneous mining dependent communities affected by roles of unscrupulous elites and mobile society, it would be difficult to empower citizens and achieve developmental goals. The collaborative participatory theory could introduce and expand on synchronised administrative and stakeholder relations synergy as in-built conditions driven by a facilitative leadership. The peculiar and relevant elements in the new theoretical configuration are socio-political resilience, systemic capacity building, administrative and organisational relations synergy. The systematic capacity building aspect of the new theoretical perspective is advanced in the administrative synergy, highlighted in the municipal performance theoretical inclinations, as well as resource optimisation components linked to skills development. Similarly, these theoretical inclinations advance a conclusive argument for skills retention in the conclusion of this study.

The socio-political resilience component of the new theoretical configuration is advanced in the resource utilisation and stakeholder relations of the skills development and collaborative development theoretical inclinations respectively. Similarly, these theoretical inclinations are aligned with the socio-political capacity-building component in the conclusion of this study. The administrative and organisational relationship synergy are components of the new theoretical configuration and on the other hand are advanced in the political integrity, employee engagement and stakeholder relations aspects that are embedded in the municipal performance, skills development, and collaborative participation theoretical inclinations respectively. This argument is also strongly aligned with the organisational relations building component in the conclusion of this study. Thus, integration of the human capital, performance improvement, and collaborative governance theories in this study is justified.

Following a wider discovery of the theoretical evolution and findings intensely grounded in different empirical evidence, this single case study presents a more convincing theory based on deeper understanding of capacity development in relation to service delivery and the richly explained existence of the phenomenon of capacity

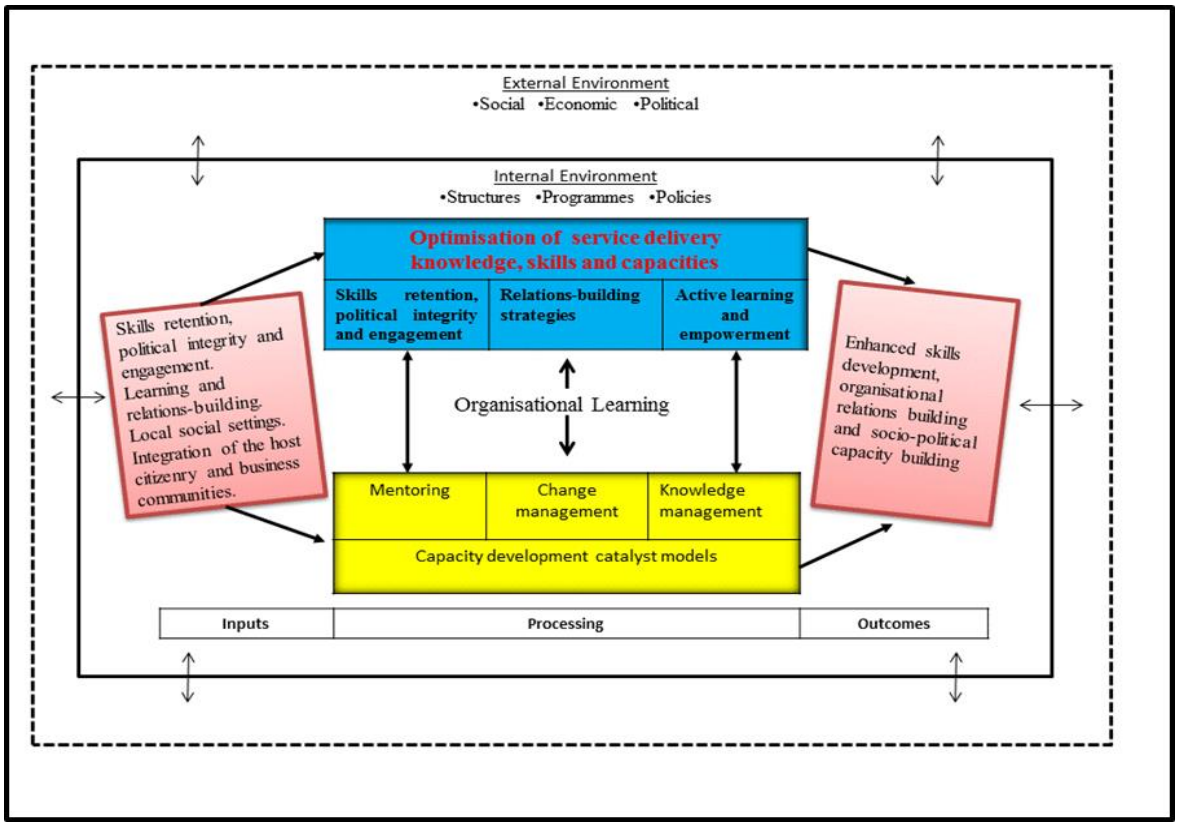
development of service delivery structures and programmes. Thus, production of a theory that introduces a new trajectory and expands in relation to capacity development of service delivery structures and programmes.

There is a predominant world view among the respondents that key attributes in relation to optimising organisational performance have to be advanced. These scholarly perspectives are in the context of the perceived 'bureaucratic lacuna' or leadership ineptitude, management proficiency and departmental learning. By definition capacity development is a "locally driven process of learning by leaders to achieve development goals" (Otto et al., 2009, p.9). Institutions are by implication environments that could enable learning through human capital development of the organisation (Taylor, 2007). It is therefore the firm argument of this study that through inter-departmental and inter-municipal co-operation a new organisational learning trajectory is possible to redress impediments against capacity development of service delivery structures and programmes as advanced in the findings.

At this point the study has identified patterns of the data and interweaved them with some aspects of the literature and employed the theoretical perspectives and conceptual orientations to give meaning to the contribution of the study. The original theoretical framework construction is delved into in Chapter Three. Premised on human capital, performance improvement and collaborative governance theories, the theoretical orientation that emerges from the research findings is a local government oriented organisational learning theory demonstrated in Figure 7.2. The theory is described and its relevance to the study is underscored in relation to optimising capacity development of service delivery structures and programmes. This study identifies aspects integrated and associated with the problem of acquiring skilled employees. Furthermore, develops a framework relevant to organisational employee skills deficit in relation to lack of skills retention, political integrity, and continuous engagement with employees and stakeholders. Apart from education and training attained at workplace or formal institutions, local municipalities continue to experience scarce skills and no return on

investment in relation to enhancing the quality of service delivery. The new theoretical implications and contribution to the body of knowledge underscores learning and to some extent, relationship-building initiatives, as enablers of empowerment and attainment of optimised skills development outcomes across the municipalities.

Figure 7. 2: Organisational Learning Theory



Source: Own (2018).

In addition, this study examines and explains how the problem of compliance with effective implementation of municipal legislative mandates could be addressed through organisational performance improvement initiatives in the context of learning and relations building. The new theoretical implications and contribution to the body of knowledge, therefore, underscore learning and relationship-building. This argument is against the context of managing the 'distance' between stakeholders. It serves to advance productive organisational relations driven by relationship-building strategies.

Against the problem of cultural diversity, rural and heterogeneous nature of the mobile population, the new theoretical inclination and contribution to body of knowledge affirms promotion of participation and integration of the host citizenry and business communities in all developmental programmes. To inspire participatory quality service delivery, the internal supportive infrastructure must actively embrace organisational learning and empowerment. A supportive environment would, therefore, optimise resilience and synergy of the socio-political capacity building measures.

Internal underlying aspects, namely, policies, strategies and programmes of each local municipality are intrinsically intertwined with the external social, economic, and political aspects. Thus, a multitude of issues impact on the inter-municipal co-operation and governance related to capacity development. In the context of local government organisational learning; mentoring, knowledge management, and change management are strategic levers or capacity development catalysts for optimising service delivery. The three capacity development catalysts are interwoven with service delivery knowledge, skills, and capacity aspects in the internal environment of organisational learning.

In summary, the study advances critiques focused on multiple elements of each theory. In addition, the study meticulously rationalises the critiques with plausible evidence based on the research findings and integration of the three theories. Accordingly, against the perspective of ineffective integration of skills retention, organisational relations and socio-political capacity building across local municipalities; this study advances the arguments and explanations of the significance of integrating aspects of the learning theory in relation to effective enhancement of capacity development of service delivery structures and programmes.

The following section outlines the conceptual contribution of the study.

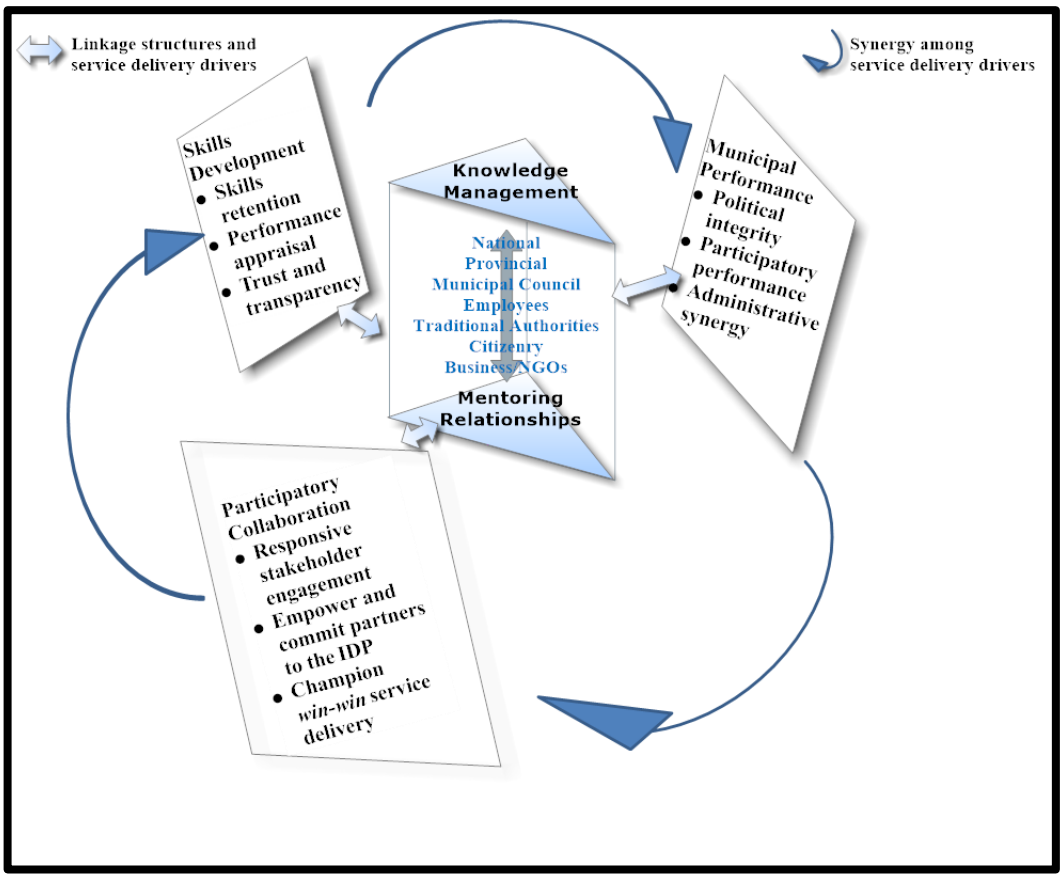
7.4.2 Conceptual contribution

The conceptual framework is employed to examine the intersection of the conflated issues embedded in skills development, municipal performance, and collaborative participation in relation to service delivery across all local municipalities. The framework grounds the study in the local governance capacity development knowledge base that provides foundation for the constructed problem statement and research questions. An account of the orientation of the conceptual framework consistent with the research questions guides the methodological orientation; examination, analysis and conclusions on the findings. An examination of the afore-mentioned key aspects lays foundation for the conceptual framework. In the robust and rigorous process of analysis of findings, I compare the results to facts in the published literature and existing data. Accordingly, I also align the arguments with the suggestions by Eisenhardt (1989), Baxter and Jack, (2008) concerning an effort to fully understand the findings and make the results more reliable.

In the context of local government distribution of basic resources such as water, sanitation, infrastructure, and housing (Ndebele & Lavhelani, 2017) in relation to service delivery, a complex interaction of capacity enablers at the interface of organisational skills development, performance, and collaboration arises. During the process of this research study some paradoxes, that is, inconsistencies emerged. As such, the conceptual idea of this study facilitates essential enhancement of understanding of the identified paradoxes. The study examines the integration and interface of knowledge management and mentoring relations demonstrated in Figure 7.3, to the conceptual framework premised on insightful findings derived from this study. Knowledge management and mentoring relationships are profound in the examination of possible key catalytic thrusts to effect change in relation to the afore-mentioned three aspects, skills development, municipal performance improvement, and participatory collaboration. Developing a new developmental trajectory could be met with resistance to change among employees, communities, and local to national government structures. However, the study suggests that functional synergy among

citizens, business, traditional leaders, employees, and local to national government structures would create an environment conducive to improving service delivery.

Figure 7.3: Integration of the findings and the conceptual framework



Source: Own (2016).

In the context of local government capacity development of service delivery structures and programmes, operationalisation and synchronisation of policy instruments, along with application of knowledge management strategies and mentoring programmes captivate the essence of functional synergy. The findings reveal an interface of skills development, municipal performance, and collaborative participation. Elements at the interface advance the argument for integrating knowledge management strategies and mentoring programmes to operationalise key theories affirmed in this study. Synergy between service delivery drivers and delinked inter-municipal structures is weak and

inherently incapacitates efforts of the Bojanala District Municipality to develop capacity in Kgetlengrivier, Rustenburg, Madibeng, Moses Kotane and Moretele local municipalities.

In summary, functional structures and programmes act as catalytic pulling forces that bring issues related to skills development, municipal performance, and participatory collaboration closer to enhance capacity in relation to service delivery. Similarly, the three key service delivery drivers would maintain some space just enough to respond accordingly to the supply and demand of services and goods in the local municipalities. The model promotes flexibility in both top-down and bottom-up policy making processes and stimulates appropriate responsive management approaches.

The following section discusses the operational contribution.

7.4.3 Operational contribution

This section hones in on the interaction of the theoretical and conceptual perspectives as well as the empirical data advanced in the research findings in Chapter Six. Initially, some of the key operational challenges are outlined and followed by the capacity development framework that demonstrates the schematic presentation of the conceptualised inputs, outputs, outcomes and impacts premised on the logic framework consistent with Kusek and Rist (2004). The study suggests operational contributions on the strengths of the research findings, the theoretical and conceptual framework. The following is an overview of key operational contributions:

Firstly, findings in this study indicate weakness in leadership and insufficient organisational relations synergy. There is thus, a need to optimise administrative and organisational relations against the challenges of skills retention, lack of socio-political integrity, under-representation of traditional authorities/*magoshi* and high labour in-migration.

Secondly, employees in all local municipalities are supported to enhance their knowledge and skills. However, the choice of nature of skills training, especially in management and leadership could best be informed by inputs, not only from the directors and senior managers, but also, junior and middle managers. Apart from the regular attendance of directors in IDP related fora, more could be done to improve information sharing among community representatives, especially the traditional authorities as owners of the land. Regular active communication and actual participation in the villages could enhance inter-municipal co-operation and co-operation between the municipalities and communities, in relation to determining service delivery projects, and feedback on municipal programmes to address among others, challenges of 'dislocated' councillors, access to affordable health and human settlement facilities.

Thirdly, in the context of the peculiar dependence on the mining activities, findings suggest existence of poor collaborative engagements, perceived manipulation of mining managers by councillors, and political abandonment at the expense of service delivery. Therefore, it is important to create meaningful and trustworthy collaborative engagements with other stakeholders and enhance socio-political resilience. There is therefore, a need to continuously strengthen efficient resource use, and organisational performance and relationships through consequence management.

Fourthly, successful implementation of service delivery programmes, for instance, road infrastructure and provision of water requires acquiring scarce skills, most significantly, for maintaining and repairing of water boreholes for human and livestock water use. In this regard, training of technicians and professional engineers should give preference to members of the host communities, especially the youth. A common problem associated with implementing projects is lack of transparency and engagement with the communities among councillors. In relation to local economic development and expansion of the local tax-base, local municipalities have to facilitate formalisation of the ASM sector. In the main, training programmes to empower ex-mineworkers

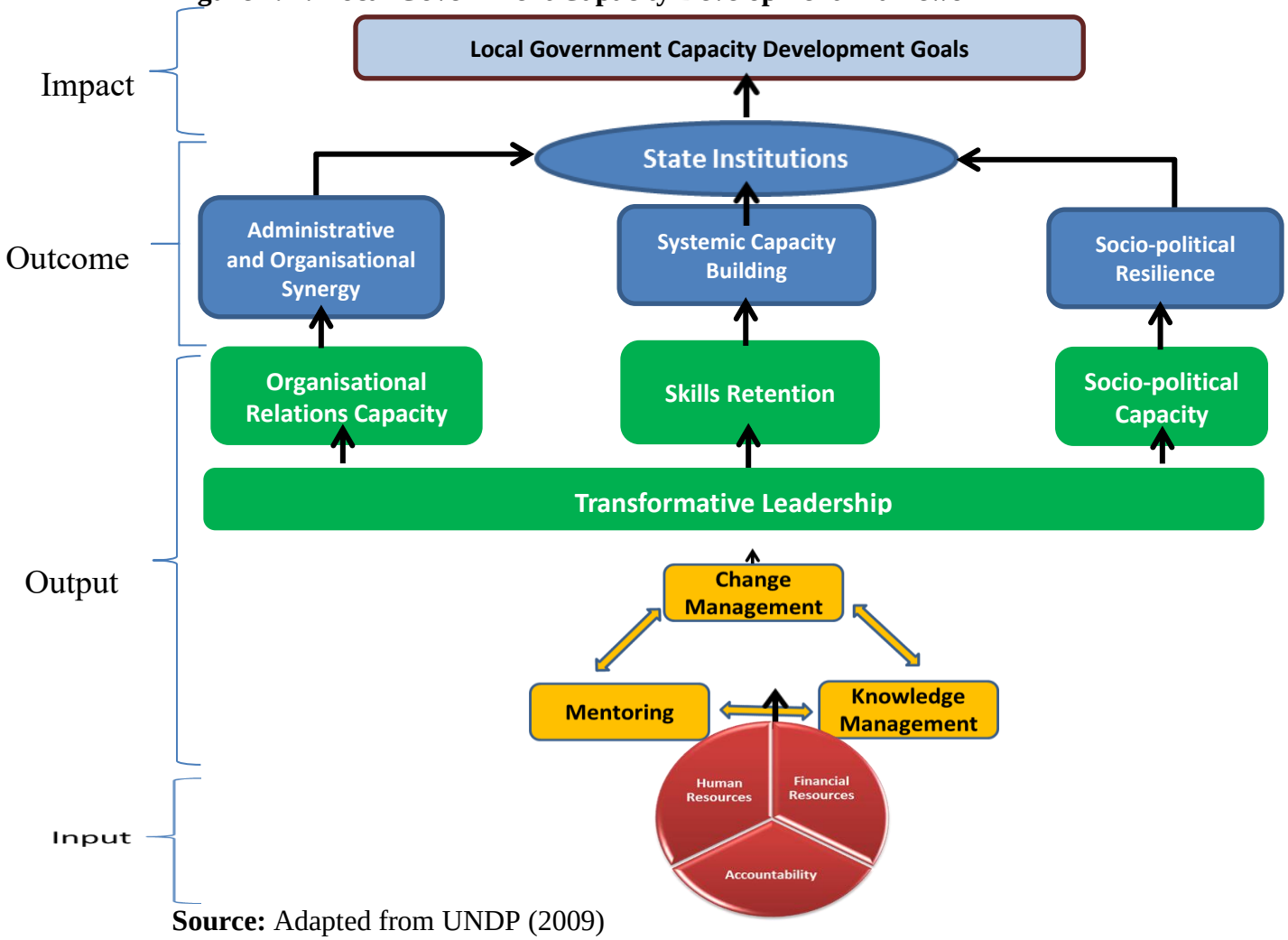
could be established between community and business partnership consultative structures. Among others, societal challenges could be addressed through basic training on financial and project management. Return on this investment could be achievable in the form of expanded economic and efficient access to for instance, water and sanitation basic services to households.

Fifthly, to address difficulties associated with service delivery at organisational level, there is a need to advance and instil transformative systemic capacity building programmes. Distinctive disablers to capacity development, that is, the managerial skills deficit and fragmented programme implementation plans impact on the quality of service delivery. In addition to optimising skills retention, persuasive stakeholder engagements are necessary to inspire a thrust directed to create functional representative coalitions.

Sixthly, growing population, and poor water quality and scarcity due to mining activities in all the local municipalities and ineffective coalitions are associated with the challenges peculiar in the five local municipalities. These issues are disablers in relation to expanding entrepreneurial opportunities in the long run. As much as capacity development of service delivery structures and programmes are supposed to be sustainable, the nature of representative coalitions must demonstrate the ability to partner with business structures. To cite an example, expansion of technical capacity with the land development and agriculture producers' fora, namely, Magalies Water and other state and municipal-owned entities. Among others, management and maintenance of sewer reticulation, wastewater treatment, storm water drainage, and upgrading of local landfill sites in partnership with collaborative stakeholders, could instil a culture of systemic capacity building. The envisioned participatory consultative engagements could enhance synergy across all local municipalities in the Bojanala Platinum District Municipality region.

Premised on the research findings and literature review, this study advances a capacity development framework, represented in Figure 7.4 consistent with the revealed operational aspects. The framework is adapted from the UNDP (2009) capacity development assessment framework that employs the principles of input, output, and outcome as conceptualised by the United Nations Development Programme and explained in Chapter Two. This study reveals that accountability, human, and financial resources are in essence major inputs for creating a solid foundation for capacity development. The non-linear process of optimising outcomes of capacity development commences with integrating an input-oriented accountability.

Figure 7. 4: Local Government Capacity Development Framework



Source: Adapted from UNDP (2009)

Transformative leadership, as an agent of change underpins the ability to appropriately implement responsive developmental programmes within the difficult political setting, economic inequality, and disjointed programmes. In the context of findings, this study employs a combination of mentoring, knowledge, and change management strategies, that is, indicative of functional gears essential to efficiently generate outputs in the form of skills retention, organisational relations, and socio-political capacity. Outcomes of the capacity development framework advance the proposed theoretical trajectory components, namely, systemic capacity building, socio-political resilience, and administrative and organisational synergy that have a bearing on effective state institutions. This study reveals that functionally strong institutions impact constructively on achievement of local government capacity development goals. Most significantly, effective outcomes that seek to meet the developmental goals may be subjected to continuous monitoring, collaborative evaluation, and revised accordingly with representative stakeholders, the derived Local Government Capacity Development Framework suggests.

In summary, this study argues that whereas no particular amount of monetary allocation could be determined in relation to capacity development, it would be a misleading notion to justify existence of the disjointed sector-specific local government training centres and policy instruments. Fragmented policies together with the numerous private consultancy services continue to bleed the local government fiscus dry.

The following section discusses the study implications.

7.5 Study implications

Literature review in this study underpins debates on service delivery. Debates tend to focus on generic approaches linked to organisational service delivery and not on capacity development. Subsequently, there is inadequate explanation how skills development, municipal performance improvement, and participatory collaboration influence organisational service delivery in local municipalities. In the context of the

difficult political setting, economic inequality, and disjointed programmes, the contemporary discourse does not provide a clear explanation of the important link of the operational gears, namely, mentoring, change and knowledge management strategies. The strategic link of the defined operational gears underscores the functional outputs to capacity development of service delivery structures and programmes, namely, skills retention, organisational relations, and socio-political capacity. This study addresses the knowledge gap by demonstrating the strategic link between capacity development and service delivery underpinned by systemic capacity building, socio-political resilience, and administrative and organisational synergy that have a bearing on effective local government structures and programmes. Although my original assumption was that capacity development contributes to optimising service delivery, the research findings indicate that organisational learning and skills development play important roles in enhancing capacity development of service delivery structures and programmes.

On the basis of the evidence of weakness in leadership, inadequate organisational relations synergy, peculiar dependence on the mining activities, and political abandonment at the expense of service delivery, learning in this case study provides a thrust on capacity development of service delivery structures and programmes in the context of managerial skills deficit and fragmented programme implementation plans. Accordingly, the contribution of this study to the body of knowledge is underpinned in the interface between learning and skills development. The interface not only evolves beyond capacity development, but also is also necessary to enhance service delivery in the local municipalities. The study concludes that political abandonment, and poor communication and stakeholder engagements contribute to weaken inter-municipal co-operation and inadequate utilisation of resources. These challenges undermine cost-effective, efficient and effective implementation of capacity development of service delivery structures and programmes.

The following section gives a brief outline on further research.

7.6 Further research

Future studies can expand on and improve the explanatory strength of the examined models. This study provides a framework to engage meaningfully on capacity development of service delivery structures and programmes issues. Thus in the context and strength of findings in this research study the following future studies are suggested: (1) the effectiveness of provincial government oversight for enhancing capacity development in local municipalities; (2) the significance of implementation of mentorship programmes on service delivery; (3) strategic reorientation of the Performance Management System consistent with local municipality service delivery programmes; and (4) comprehensive examination of the social and economic interface between local municipalities and mining companies and (5) the translation of change management strategies as mediating instruments to effective capacity development programmes.

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Appendix 1: Semi-structured Interview Guide

You are cordially requested to complete the following questions for demographic information purpose. These will be followed by 12 interview questions. Your participation is highly valued.

QUESTIONNAIRE	
SECTION 1	Please complete all questions. Mark with an "X"
A) Demographic Information	
My gender is:	**Q.1**
Male	
Female	
I am employed at the Municipality for the period:	**Q.2**
1 - 12 months	
1 - 2 years	
2 - 5 years	
5 - 10 years	
10 - more years	
My current age is between:	**Q.3**
18 – 35	
35 – 45	
45 – 60	
60 – 75	
My occupational level:	**Q.4**
Junior Manager	
Middle Manager	
Senior Manager	
My highest qualification:	**Q.5**
National Certificate	
National Diploma/bachelor degree	
B.Tech/Honours	
Masters or higher	
My nationality is:	**Q.6**
African	
Coloured	
Indian	
White	
Permanent family residence:	**Q.7**
On mine.	
Within 50km radius from work	
50 - 200km radius from work	
200km or more from work	

Interview questions

1. Which fora or structures are responsible for improvement of service delivery programmes?

2. What are the key programmes that are supported by structures and fora you state?

3. What are the challenges in acquiring resources for implementation of service delivery programmes?

4. What are employee performance improvement challenges experienced in your department?

5. What could be attributed to the successful implementation of service delivery programmes in your department?

6. Who are the key partners in relation to implementation of service delivery?

7. In which structures do business stakeholders participate?

8. In which service delivery programmes do the business stakeholders facilitate socio-economic development?

9. How is the relationship between the municipality and mining companies?

10. Explain how the collaboration with partners could be improved in relation to service delivery and development?

11. Explain why structures have not have not succeeded in improvement of service delivery programmes?

12. Why are skills training initiatives in your department difficult to implement?

Your participation in this study is much appreciated and I thank you for your co-operation and your time.

Matuku Mphahlele
(Researcher)

Appendix 2: Research questionnaire guide

QUESTIONNAIRE					
SECTION 2	Please complete all 18 statements. Mark with an "X".Mark from Strongly Disagree to Strongly Agree				
A) Recruitment Strategies When I was first employed by the institution I	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Was inducted on my performance expectations.					**1**
Was inducted on the mandate of the Council.					**2**
Was oriented on the social environment (shops, play grounds, schools and other amenities).					**3**
Was introduced to the political office bearers.					**4**
Was evaluated within 12 months					**5**
Was attracted to the image of the municipality.					**6**
B) Working Conditions I like working here because	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
The workplace environment is supportive.					**7**
I am encouraged to think independently.					**8**
We all honour our duties.					**9**
I am recognised for good performance.					**10**
C) Training and Development I feel that	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
I need to develop my talent.					**11**
Opportunities to develop are many					**12**
I have sufficient skills to perform my job.					**13**
I would like to be trained on skills unrelated to my job.					**14**
I would like to be trained to be promoted.					**15**
Training and development is a waste of my time.					**16**

D) Management support My manager	Strongly	Disagree	Agree	Strongly	No.
Trusts me.					17
Always avoids favouritism.					18
Responds quickly to requests.					19
Makes me leave the institution.					20
Advises me on my performance.					21
Encourages staff to work as a team.					22
Delegates duties to me accordingly.					23
Uses open two-way communication.					24

E) Employee Motivation I am motivated to do my work because	Strongly	Disagree	Agree	Strongly	No.
I have to pay my bills.					25
I feel a sense of 'belonging' .					26
My department supports our communities.					27
My department values my knowledge and skills.					28
Of the job security.					29

F) Pay and benefits I am encouraged to work for the institution because	Strongly	Disagree	Agree	Strongly	No.
Annual salary increases are good.					30
Total remuneration is equivalent to the job I do.					31
Total remuneration includes benefits (medical aid, housing and pension).					32
Total remuneration is equivalent to my skills and qualifications.					33
Benefits are more important than salary.					34

G) Job Autonomy I am fulfilled by	Strongly Disagree	Disagree	Agree	Strongly Agree	No.
Challenges at workplace.					35
Working alone.					36
Going the 'extra mile' in performance of my job.					37
The frequent 'push' from my manager/supervisor.					38
H) Retention Strategies I am encouraged to stay at the institution because	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Of work and family life satisfaction.					39
Of the great status of the company.					40
I feel a sense of ownership and Corporate Citizenship in this institution.					41
We work as a team.					42
The salary is competitive.					43
Management recognises my talent.					44
Councillors offer good support.					45
I) Institutional Loyalty I intend staying in the company because	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
The retirement package is good.					46
The institution has invested on my personal development.					47
The institution practices transparent communication with employees.					48
The municipality supports economic development in my community.					49
Political office bearers acknowledge my role.					50

J) Departmental skills development In my department	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
We all have job descriptions.					**51**
Strategies of Education and Training are reviewed annually.					**52**
Education and training opportunities are for the fortunate.					**53**
Education and training programmes are linked to roles in other departments.					**54**
Skills training is only offered to senior public servants.					**55**
Skills audit is done annually.					**56**
K) Departmental Performance Our departmental performance	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Is measured on achievement of individual targets.					**57**
Is associated with the achievement of other departmental targets					**58**
Expectations are aligned to our skills.					**59**
Management system rewards all individuals for improvement of services.					**60**
Management system punishes individuals for lack of improvement in the implementation of service delivery.					**61**
L) Performance Impediments Key Performance Inhibitors are	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Budget constraints.					**62**
Lower grading of local municipalities.					**63**
Poor inter-governmental relations.					**64**
Political interference.					**65**
Skills mis-match.					**66**

M) Budgetary planning and resource utilisation Concerning budgets and resources in my department	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Budget planning is a consultative process.					**67**
Budget plans are released timely.					**68**
Financial reports and feedback are released at least once annually.					**69**
There are policies that guide compliance with the legislation.					**70**
Budget allocation is sometimes influenced by councillors unilaterally.					**71**

N) External partnership I feel that	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Opportunities to communicate with external stakeholders are important.					**72**
I have adequate skills to communicate with stakeholder representatives.					**73**
The municipality could improve on quality of stakeholder engagement.					**74**
The relationship with business/mining companies is productive.					**75**
The relationship with traditional authorities is productive.					**76**

O) Political Elitism Political interference	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Affects our operations as a municipality.					**77**
Is poorly dealt with.					**78**
Impacts on productive employment.					**79**
Creates ‘silos’ unilateral decision making.					**80**
Strengthens synergy with the community.					**81**
Enhances collaboration with business stakeholders.					**82**

P) Council support in IDP Our political head s	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Always approve programmes on time.					**83**
Provide regular feedback on Resolutions of the Council.					**84**
Respond to challenges accordingly.					**85**
Sometimes invite external consultants to do our duties.					**86**
Provide facilitative leadership and support.					**87**
Award good performance to employees.					**88**
Comply with the local government legislation.					**89**
Maintain an empowering participatory communication with stakeholders.					**90**
Q) Relationship building with stakeholders Stakeholder relationships are	**Strongly Disagree**	**Disagree**	**Agree**	**Strongly Agree**	**No.**
Disjointed.					**91**
Productive.					**92**
Meaningful.					**93**
Transparent.					**94**
Manipulative.					**95**

R) Mining Operations Mining companies		Strongly Disagree	Disagree	Agree	Strongly Agree	No.
	Work alone on social and labour plans (SLPs).					**96**
	Regularly inform the municipality on their IDP commitments.					**97**
	Are open and realistic on the economic impacts of mining closure.					**98**
	Communicate meaningfully with the host communities on social impacts of mining and rehabilitation measures.					**99**
	Have no interest in discussing the risks of 'ghost towns' after mine closure					**100**

Section 3.
How can capacity development be improved in future, in relation to service delivery in the District? You may tick as many statements as applies and if need be.

	Recruit on merit and retain staff for service delivery
	Establish more accountable structures and responsive programmes
	Create transparent and functional partnerships with other stakeholders
Other specify	

Your participation in this study is much appreciated and I thank you for your valuable time and insight.

Matuku Mphahlele (Researcher)

Kindly include any other comments you may have

…….

……

……

Appendix 3: Clearance Certificate

Research Office

HUMAN RESEARCH ETHICS COMMITTEE (NON-MEDICAL)
R14/49 Mphahlele

CLEARANCE CERTIFICATE	**PROTOCOL NUMBER: H16/03/21**
PROJECT TITLE	Service delivery capacity development in Bonjanala Platinum District Municipality
INVESTIGATOR(S)	Mr M Mphahlele
SCHOOL/DEPARTMENT	School of Governance/
DATE CONSIDERED	18 March 2016
DECISION OF THE COMMITTEE	Approved unconditionally
EXPIRY DATE	28 April 2019

DATE 29 April 2016 **CHAIRPERSON** (Professor J Knight)

cc: Supervisor : Dr H Zandamela

DECLARATION OF INVESTIGATOR(S)

To be completed in duplicate and **ONE COPY** returned to the Secretary at Room 10005, 10th Floor, Senate House, University.

I/We fully understand the conditions under which I am/~~we are~~ authorized to carry out the abovementioned research and I/~~we~~ guarantee to ensure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/~~we~~ undertake to resubmit the protocol to the Committee. **I agree to completion of a yearly progress report.**

Signature

29 April 2016
Date

PLEASE QUOTE THE PROTOCOL NUMBER ON ALL ENQUIRIES

Appendix 4: Permission Seeking – District Municipality

The Municipal Manager
Mr I. Sirovha
Bojanala Platinum District Municipality, Cnr Beyers Naude and Fatima Bhayat Drive
Rustenburg

Dear Mr I.K. Sirovha

REQUEST FOR PERMISSION TO CONDUCT RESEARCH

My name is Matuku Mphahlele and currently a doctoral student at the University of Witwatersrand in Johannesburg, Wits School of Governance and supervised by Dr. Horacio Zandamela. My research topic is "Capacity development of service delivery structures and programmes in Bojanala Platinum District Municipality".

The research I wish to conduct for my Doctoral Thesis involves the examination and analysis of capacity development initiatives in relation to service delivery in the Bojanala Platinum District Municipality. I hereby seek your consent to collect data from the District and local municipalities through the 30 senior and middle managers knowledgeable of capacity development initiatives in their respective departments. Data collection will be in the form of face to face interviews and followed by completion of questionnaires by 90 managers. The interviews would at the most be one and half an hour each and all research codes associated with confidentiality will be adhered to.

I have provided you with a copy of my thesis proposal which includes copies of the consent forms to be used in the research process. Upon completion of the study, I undertake to provide the District with a bound copy of the full research report. Kindly contact me if you require further information

Yours sincerely

_____

Matuku Mphahlele

Doctoral student
E-mail: matukum@mweb.co.za
Institution: University of the Witwatersrand

Supervisor: Dr H. Zandamela

Tel: (011)7173133
E-mail: horacio.zandamela@wits.ac.za
Institution: Wits School of Governance

Date: 17 February 2016

Appendix 5: Permission letter Bojanala District



Bojanala Platinum
District Municipality

17 February 2016

Mr. Matuku Mphahlele

University of Witwatersrand

Faculty of Public Management & Development

Dear Sir

RE: **REQUEST TO CONDUCT RESEARCH AT BOJANALA PLATINUM DISTRICT MUNICIPALITY**

Your letter dated 17th February 2016, regarding the above matter refers

You are most welcome to conduct research within the Bojanala District as requested.

You are however requested to liaise directly with the municipal manager of the specific local municipality should your research require you to visit any of the constituent municipalities within the district.

Good luck with your research. It will be appreciated if, at the conclusion of your research, your findings be made available to BPDM as a matter of interest.

For more information kindly communicate with Ms Bontle Qiqimana on 078 838 5274 and 014 590 4515

Yours faithfully

Innocent Sirovha(Mr)

Municipal Manager

Cnr. Beyers Naudé and Fatima Bhayat Drives • PO Box 1993, Rustenburg, 0300, North West Province, South Africa
Tel: +27 14 590 4502 • Fax: +27 14 597 0306 • Website: www.bojanala.gov.za • Email: innocents@bojanala.gov.za

Appendix 6: Consent Form

I……agree to participate in Matuku Mphahlele's research study. The purpose and nature of the study has been explained to me in writing. I am participating voluntarily and give permission for my interview with Matuku Mphahlele to be audio recorded. I understand that I can withdraw from the study, without repercussions, at any time, whether before it starts or while I am participating. I understand that I can withdraw permission to use the data within two weeks of the interview, in which case the material will be deleted. I understand that pseudonyms will be used and confidentiality ensured in the write up. I understand that disguised extracts from my interview may be quoted in the thesis and any subsequent publications if I give permission below:

(Please tick one box :)

	I agree to quotation/publication of extracts from my interview
	I do not agree to quotation/publication of extracts from my interview

(Please tick one box :)

	I agree to audio recording of my interview
	I do not agree to audio recording of my interview

Signed……..

Date……..

Appendix 7: Research Questionnaire- Participant Information Sheet

Dear Sir/Madam

My name is Matuku Mphahlele, a doctoral student at the University of Witwatersrand. I kindly invite you as a knowledgeable manager in your department to participate in the study to examine and develop an insight on capacity development initiatives in relation to municipal service delivery improvement programmes and structures. Tittle of the research is "Capacity development of service delivery structures and programmes in the Bojanala Platinum District Municipality". Kindly find the attached questionnaire sent by e-mail to you.

The purpose of this questionnaire is to examine and develop an insight on a series of statements in relation to capacity development consistent with the municipal service delivery improvement initiatives. Participation is voluntary and you have an option to withdraw before, during or after commencement of the study with no penalty or loss of benefit. Any data collected will be destroyed if you wish to discontinue from the study. The data will be kept confidential and pseudonyms will be used to avoid disclosure of identity. The questionnaire consists of Section A (demographic information) and Section B made up 18 statements that require a cross 'X' in the boxes provided according to the strength of your opinion from *'Strongly disagree', 'Disagree', 'Agree' to 'Strongly agree'.* It should at the most take half an hour to fill in the questionnaire.

The answers will provide insights into how current measures to improve service delivery are viewed and how capacity development initiatives in terms of promoting good governance could be enhanced. There is no right or wrong answer. I undertake to make summary of the research study available. The thesis will be available online and you are cordially welcome for further clarification or questions.

You may also call me at 0828638646 should you require further clarity. I would appreciate your responses by 07 October 2016.

Yours sincerely

Matuku Mphahlele
Doctoral student
E-mail: matukum@mweb.co.za
Cell: 0828638646
Fax: 086 672 0745
Institution:
University of the Witwatersrand
Date: 03 October 2016

Supervisor: Dr H. Zandamela
Tel: (011)7173133
E-mail: horacio.zandamela@wits.ac.za
Institution: Wits School of Governance
Faculty of Law, Commerce and Management
University of the Witwatersrand

Appendix 8: Municipal service delivery challenges

Municipality	Vision	Mission	Organisational risks (MFMA section 62(i)(c) system of risk management)	Service delivery challenges
1.Bojanala District	Bojanala Platinum District Municipality, a model of cooperative governance for effective and efficient service delivery in partnership with local municipalities and all stakeholders.	Bojanala Platinum District Municipality, through shared services, will coordinate, facilitate and support local municipalities by equitable sharing of resources and maximising community benefit of natural resources in safe and healthy environment.	1. Inadequate systems in place to monitor budgets and prevent unauthorised expenditure. 2. Non-market related project costs/prices. 3.VAT assets not recovered sufficiently 4. Non-compliance to National Archives Records Act. 5. Management of Assets, register and valuation.	1. Water and sanitation. 2. Electrification. 3. Economic development. 4. IGR arrangement.
2. Madibeng	To be the leading united municipality through service excellence.	We, the local municipality of Madibeng, are committed to strive to remain accountable in rendering affordable qualitative and sustainable services to our community in line with our constitutional obligations.	1.Financial mismanagement and poor financial reporting 2. Poor revenue generating and collection. 3. Backlogs in delivery of basic services (water, electricity, sanitation, roads and waste. 4. Proliferation of informal settlements. 5. Vacant critical posts. 6. Governance - Insufficient by-laws.	1. Council Committees not sitting regularly and therefore oversight role not practiced. 2. Service delivery protests. 3. Provincial department does not approve by-laws or respond to by-laws on time. 4. No closing report received from Administrator. 5. No record management system in place. 6. High vacancy rates, 50% due to adverse workplace organisational culture. 7. Labour Forum dysfunctional. 8. Stability of Municipal Executive Management Team.

Municipality	Vision	Mission	Organisational risks (MFMA section 62(i)(c) system of risk management)	Service delivery challenges
3.Rustenburg	A world class city where all communities enjoy a high quality of life.	To continuously improve the quality of life, economic growth and eradicate poverty through best practice, sustainability and inclusive governance.	1. Availability of land. 2. Aa a 2. Insufficient quality and quantity of water and electricity. 3. Declining agricultural sector. 4. General level of education of most of the locals. 5. Lack of interest (in participating to further develop the local economy) from the private sector. 6. Inter-governmental Relations Forums. 7.Establishment of appropriate structures. 8.Engagements with other municipalities and stakeholders. .	1. Retention of qualified personnel. 2. Directors and Managers fail to assess subordinates after attending certain courses 3.Lack of stakeholder commitments in attending main skills committee. 4. Shortage of skilled personnel in technical areas. 5. Personnel turnover in technical areas high. 6. Structures do not enable meeting service delivery. 7.Capacitating Ward Committees 8. The resuscitation of Mayoral and Premier's Imbizos.
4.Kgetlengrivierr	To be a viable, effective, efficient and sustainable local Municipality	A municipality committed to diligently working together with citizens and community groups to find sustainable ways to meet the social, political, economic and material needs to improve quality of lives of the people.	1. Political Instability. 2. Vastness of wards. 3.Capacity in Mayor's office 4. Dysfunctional Ward Committees 5. Lack of Public Participation Strategy. 6.No capacity building programmes.	1 Lack of competent staff 2. Management of contractors 3. Lack of integrated planning 4.Lack of a high performance culture. 5.Occasional non-adherence to legislated reporting regime 6. Auditor General Report 7.No controls measures on performance information.

Municipality	Vision	Mission	Organisational risks (MFMA section 62(i)(c) system of risk management)	Service delivery challenges
5.Moses Kotane	A caring and responsive municipality that is best to live in, work for, and do business with.	By providing responsive, transparent and accountable leadership. By creating an environment for business growth and job creation. By providing sustainable services.	1. Theft and misuse of resources. 2. Fraud and corruption. 3. Reduction in revenue collection. 4. Withdrawal of grants allocated. 5. Interrupted provision of services 6	1. PMS only applicable to Section 56 employees and no sufficient technical staff and skilled personnel. 2. Budgetary challenges. 3. Limited human resource capacity. 4. Lack of communication of government programmes. 5. Lack of motivation of employees
6. Moretele	A developing Moretele for growth and prosperity for all	To provide and enhance equitable, cost effective, efficient and quality service delivery and exploit resources for sustainable development, growth and prosperity for all.	1. Delay in Supply Chain Management processes. 2. Unreliable IT Infrastructure. 3. Non Achievements of objectives. 4. Inability to generate own funds. 5. Insufficient Training budget. 6. Non-compliance with laws and regulations.	1. Too few people work 2. The quality of school education for 'black' people is poor 3. Infrastructure is poorly located, inadequate and under-maintained 4.The economy is unsustainably resource intensive 5. The public health system cannot meet demand or sustain quality 6. Public services are uneven and often of poor quality

Source Bojanala Platinum District Municipalities Annual Reports

Appendix 9: Development indicators in Bojanala local municipalities

North West	*Bojanala Platinum District municipality*	*Kgetleng-rivier*	*Madibeng*	*Moretele*	*Moses Kotane*	*Rustenburg*
Demographics						
Size (km^2)	18 333	3 973	3 839	1 378	5 719	3 423
Share of country area (%)	1.5%	0.3%	0.3%	0.1%	0.5%	0.3%
Main town	**N/A[n]**	**Koster**	**Brits**	**Makapanstad**	**Mogwase**	**Rustenburg**
Population[b]	1 507 505	51 049	477 381	186 947	242 554	549 575
— African	91.4%	80.1%	89.3%	99.4%	98.3%	88.5%
— Coloured	0.7%	1.7%	0.9%	0.2%	0.3%	0.9%
— Indian	0.6%	0.9%	0.5%	0.1%	0.5%	0.8%
— White	7.0%	16.8%	8.9%	0.2%	0.8%	9.4%
Age structure[b]						
0–14	26.4%	28.5%	25.7%	30.9%	29.2%	24.1%
15–64	68.3%	65.6%	69.2%	60.9%	63.1%	72.5%
65+	5.3%	5.9%	5.1%	8.2%	7.7%	3.4%
Households						
Number of households	501 696	14 673	160 724	52 063	75 193	199 044
Average household size	2.8	3.1	2.9	3.6	3.2	3.1
Poverty rate[c]	48.2%	75.0%	47.2%	60.0%	59.8%	36.9%
Settlement type						
Rural	N/A[n]	99.1%	91.5%	100.0%	100.0%	86.4%
Urban	N/A[n]	0.9%	8.5%	0.0%	0.0%	13.6%
Education						
Highest education levels of over-21 year olds						
– No schooling	7.6%	15.8%	7.8%	9.1%	9.4%	5.4%
– Some primary schooling	14.7%	18.9%	14.3%	16.7%	17.1%	13.0%
– Completed primary school	5.4%	6.4%	5.4%	5.5%	5.4%	5.4%
– Some secondary schooling	36.3%	29.7%	37.5%	36.9%	35.3%	36.2%
– Grade 12/Std 10	28.6%	22.7%	27.3%	27.2%	27.5%	31.1%
– Higher	7.4%	6.3%	7.7%	4.6%	5.4%	8.9%
Employment						
Working-age population[d]	1 029 388	33 471	330 505	113 837	152 972	398 603
Participation rate (supply)[e]	59.0%	53.1%	64.2%	45.1%	48.4%	62.4%
Absorption rate (demand)[f]	40.9%	42.7%	44.5%	25.8%	30.0%	46.1%
Employed	420 520	14 290	147 117	29 371	45 839	183 902
Employment by industry[g]						
Agriculture	4.5%	7.4%	2.9%	1.5%	0.4%	1.3%
Mining/quarrying	27.0%	7.8%	6.3%	0.2%	8.1%	19.6%
Manufacturing	11.1%	3.3%	8.0%	5.6%	2.5%	2.5%
Electricity/gas/water supply	0.3%	0.2%	0.0%	0.2%	0.0%	0.1%
Construction	4.3%	1.3%	1.9%	2.3%	1.0%	1.8%
Wholesale/retail trade	10.9%	5.7%	5.1%	3.7%	4.1%	4.2%
Transport/storage/communication	4.2%	1.1%	2.0%	1.0%	1.8%	1.8%
Financial/insurance/real estate	6.6%	2.3%	3.0%	2.2%	2.4%	2.8%
Community/social/personal services	11.4%	2.7%	4.8%	5.1%	4.3%	4.7%
Private households/other	19.7%	6.3%	7.6%	6.4%	5.8%	9.9%

North West	Bojanala Platinum District municipality	Kgetleng-rivier	Madibeng	Moretele	Moses Kotane	Rustenburg
Unemployment						
Unemployment rate (official)[h]	30.7%	20.5%	30.4%	45.9%	37.9%	26.4%
Youth unemployment (official)[h]	39.1%	26.7%	38.2%	57.2%	47.4%	34.7%
Income						
Average annual household income (R)	73 020	68 909	75 103	35 467	50 289	90 092
Monthly income (% of population)[b]						
No income	N/A[n]	15.4%	16.2%	19.9%	19.2%	16.8%
R1–R1 600	N/A[n]	35.4%	26.2%	37.6%	33.3%	18.0%
R1 601–R3 200	N/A[n]	22.2%	20.0%	21.7%	17.5%	17.2%
R3 201–R6 400	N/A[n]	11.1%	19.3%	12.1%	14.7%	23.1%
R6 401–R12 800	N/A[n]	6.7%	9.4%	5.6%	9.5%	12.1%
R12 801–R25 600	N/A[n]	5.2%	4.8%	2.2%	4.0%	7.1%
R25 601–R51 200	N/A[n]	2.4%	2.6%	0.7%	1.4%	4.0%
R51 201–R102 400	N/A[n]	1.0%	0.9%	0.1%	0.3%	1.2%
R102 401–R204 800	N/A[n]	0.4%	0.3%	0.1%	0.1%	0.3%
R204 801 or more	N/A[n]	0.2%	0.2%	0.1%	0.1%	0.2%
Assets (%)[b]						
Dwelling occupied						
Formal	69.4%	73.6%	59.6%	84.7%	79.1%	69.3%
Informal	29.8%	25.8%	39.7%	14.4%	19.5%	30.0%
Traditional	0.8%	0.6%	0.7%	1.0%	1.4%	0.6%
Households by tenure status						
Households owned and fully paid off	53.8%	53.0%	59.8%	95.4%	77.9%	28.9%
Households owned but not paid off	7.8%	15.5%	5.7%	1.4%	4.6%	12.1%
Rented	38.4%	31.5%	34.6%	3.2%	17.5%	59.1%
Occupied rent free	N/A[n]	N/A[n]	N/A[n]	N/A[n]	N/A[n]	N/A[n]
Household goods						
Radio	63.4%	64.6%	61.3%	66.0%	65.9%	63.5%
Television	72.4%	62.0%	70.6%	79.5%	73.4%	72.1%
Refrigerator	65.0%	56.2%	61.0%	76.1%	73.2%	62.8%
Computer	14.3%	16.5%	15.1%	11.5%	9.7%	15.9%
Cellphone	89.4%	81.8%	89.4%	86.2%	85.9%	92.2%
Landline	4.6%	7.1%	4.8%	1.6%	2.9%	5.7%
Internet[i]	26.8%	24.7%	27.0%	20.6%	24.0%	29.4%
Household access levels						
Electricity						
Lighting	84.2%	78.0%	81.0%	92.2%	89.9%	83.0%
Cooking	66.4%	54.6%	63.0%	63.1%	63.5%	71.9%
Heating	77.2%	65.8%	75.6%	76.7%	75.1%	80.2%
Piped (tap) Water						
Inside yard/dwelling	73.4%	82.0%	67.9%	71.2%	56.3%	84.3%
On communal stand	16.8%	11.8%	17.2%	17.3%	36.6%	9.4%
No access	9.7%	6.2%	14.9%	11.5%	7.2%	6.3%

North West	*Bojanala Platinum District municipality*	*Kgetleng-rivier*	*Madibeng*	*Moretele*	*Moses Kotane*	*Rustenburg*
Refuse removal						
Removed by local authority/ Private company	50.9%	45.9%	27.0%	1.3%	82.9%	71.4%
Communal/Own refuse dump	41.2%	42.2%	62.7%	90.7%	13.1%	21.4%
No refuse disposal	6.8%	9.7%	9.2%	7.9%	3.2%	5.7%
Sanitation						
Flush/chemical toilet	38.3%	67.9%	33.0%	6.6%	14.8%	57.5%
Pit latrine	55.2%	17.5%	57.2%	91.5%	81.1%	37.0%
Bucket toilet	0.9%	1.0%	1.9%	0.3%	0.2%	0.6%
No Toilet	4.3%	10.4%	5.8%	1.4%	3.3%	3.9%
Social security recipients[j]						
Child support grant	12.8%	16.4%	13.0%	18.6%	16.6%	8.0%
Old age pension	5.6%	5.1%	5.2%	8.7%	8.0%	3.5%
Municipal Finance						
Unauthorised expenditure[k] (Rm)	8.4	17.3	7.5	9.9	13.4	449.8
Irregular expenditure[l] (Rm)	3.1	5.6	71.3	25.2	71.3	73.5
Fruitless and wasteful expenditure[m] (Rm)	0.5	0.0	2.1	0.1	3.4	0.0

Source: South African Institute of Race Relations (2014)