CHALLENGES FACED BY THE EASTERN CAPE PROVINCIAL DEPARTMENT OF LOCAL GOVERNMENT INTEGRATED DEVELOPMENT PLANNING UNIT IN SUPPORTING MUNICIPALITIES TO DELIVER CREDIBLE INTEGRATED DEVELOPMENT PLANS, USING SUNDAYS RIVER VALLEY MUNICIPALITY AS A CASE STUDY.

BY

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A THESIS PRESENTED TO THE FACULTY OF ECONOMIC AND BUSINESS SCIENCES AT THE NELSON MANDELA METROPOLITAN UNIVERSITY IN FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE: MASTERS

PROMOTER: MS E SAUNDERS

NOVEMBER 2013
DECLARATION

I, Lindile Andrew Salman, declare that the work contained in this treatise is entirely my own work. It has never been presented to any other university for a degree before

Signature______________________________

Date: November 2013
ACKNOWLEDGMENTS

I hereby wish to take this opportunity to express my heartfelt gratitude to the following people who made it possible for me to complete the study.

To my supervisor, Ms Elizabeth Saunders, for her scrupulous guidance and encouragement. Her inspiration, perseverance and indulgence has immensely contributed to my completion of the study. I will forever be indebted to her for the impeccable contribution that made it possible for me to realise my academic potential.

I also wish to extend my appreciation of love, support, encouragement and understanding to my wife Ntombizanele, my five children; Phumelela, Simbulele, Siseko, Sibabalwe and Sivuyise, my two sisters and my brother

A special word of appreciation to the DLGTA for financing my studies.

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Special thanks go to my study mates, Osmond Ngenanimazizi Sidinana and Sandiswa Qhayi, for their support, mentoring and encouragement.
ABSTRACT

This Research was undertaken to explore the challenges faced by the Eastern Cape Department of Local Government and Traditional Affairs Integrated Development Planning Unit to support municipalities to deliver credible Integrated Development Plans (IDPs), using Sunday's River Valley Municipality as a case study. The legal obligation of the Department of Local Government is to support Municipalities to enable them to perform their function and execute the duties allocated to them. This mandate originates from the Constitution of the Republic of South Africa, Act 108 of 1996. The Provincial Department of Local Government Integrated Development Unit is therefore obliged to support and guide municipalities in the development of IDPs by mobilizing and coordinating sector departments to participate in IDP processes, and to identify and allocate funds for projects.

It is suggested that the DLGTA IDP Unit is not doing enough to support municipalities so as to deliver credible IDPs, hence the wide-spread violent service delivery protests. The study aimed at establishing whether there is a direct link between the efforts or not of DLGTA to help the municipality to develop a credible IDP and service delivery protests. The IDP may be credible, but the implementation may be flawed, or funding does not flow as expected, or the people on the ground may not understand that it may take years to deliver services.

The study targeted senior managers of coordinating Departments, the Sunday's River Valley Municipality (SRVM) and IDP Managers of SRVM and the Cacadu District Municipality (CDM). The study discovered that sector departments do not participate meaningfully in IDP processes mainly because: (1) SRVM does not extend invitations to all sector departments to attend IDP meetings; (2) There is no legal obligation to participate at local
level; (3) There appears to be no commitment shown by senior managers of SRVM on IDP Processes.

The DLGTA IDP Unit efforts to assist SRVM to deliver credible IDPs cannot be deemed successful, because the SRVM IDP continued to receive medium rating score for four years in succession. The DLGTA IDP Unit never paid attention to the issues cited above as the cause of stagnation of SRVM IDP. The DLGTA IDP Unit was not aware that the issues cited above were the cause for the poor SRVM IDP until the researcher brought it to their attention.

It is therefore recommended that the culture of participation in the IDP processes by top management of both SRVM and DLGTA should be included in the performance contracts of top management officials. It is also recommended that the Inter Governmental Relations (IGR) Framework Act be reviewed to recognize IGR IDP Structures at local level such as IDP Representative Forums. The Act currently is silent on those structures at local level.
**ABBREVIATIONS AND ACRONYMS**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>B &amp; Bs</td>
<td>Bed and Breakfasts</td>
</tr>
<tr>
<td>CDM</td>
<td>Cacadu District Municipality</td>
</tr>
<tr>
<td>DLGTA</td>
<td>Department of Local Government and Traditional Affairs (Eastern Cape)</td>
</tr>
<tr>
<td>DM</td>
<td>District Municipality</td>
</tr>
<tr>
<td>DPLG</td>
<td>Department of Provincial and Local Government</td>
</tr>
<tr>
<td>HOD</td>
<td>Head of Department</td>
</tr>
<tr>
<td>IDP</td>
<td>Integrated Development Plan/Planning</td>
</tr>
<tr>
<td>IDP Rep Forum</td>
<td>Integrated Development Planning Representative Forum</td>
</tr>
<tr>
<td>IGRFA</td>
<td>Intergovernmental Relations Framework Act No.13 of 2005</td>
</tr>
<tr>
<td>KPA</td>
<td>Key Performance Area</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
<tr>
<td>LGTAS</td>
<td>5-Year Local Government Turn-Around Strategy</td>
</tr>
<tr>
<td>LM</td>
<td>Local Municipality</td>
</tr>
<tr>
<td>LRAD</td>
<td>Land Redistribution for Agricultural Development</td>
</tr>
<tr>
<td>MEC</td>
<td>Member of Executive Council</td>
</tr>
<tr>
<td>MSA 32 of 2000</td>
<td>Municipal Systems Act No. 32 of 2000</td>
</tr>
<tr>
<td>MTAPs</td>
<td>Municipal Turn-Around Plans</td>
</tr>
<tr>
<td>NMMM</td>
<td>Nelson Mandela Metropolitan Municipality</td>
</tr>
<tr>
<td>OTP</td>
<td>Office of the Premier</td>
</tr>
<tr>
<td>SRVM</td>
<td>Sunday’s River Valley Municipality</td>
</tr>
</tbody>
</table>
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CHAPTER 1
INTRODUCTION AND BACKGROUND

This chapter presents an introduction and background to the study titled: Challenges faced by the Eastern Cape Department of Local Government Integrated Unit to support municipalities in deliver credible Integrated Development Plans using Sundays River as a case study. These will include: Introduction, background to the study; problem statement; objectives of the study; hypothesis; related views in the literature; legislative framework; methodology and conclusions and recommendations.

1.1 Introduction

The first South African democratic elections of 1994 brought about far-reaching changes in Local Government through a plethora of legislations that were enacted. The Constitution of the Republic of South Africa Act 108 of 1996, transformed Local Government from being tiers of government and service centres into developmental and autonomous spheres of government that each play key roles in development initiatives. Ground breaking legislations aimed at broad participation of communities in social and economic development were passed by parliament (MSA, chapter 4). The White Paper on Local Government (Government Gazette No. 18739, 13 March 1998) proposed the establishment of two critical tools: Integrated Development Planning and Performance Management Systems for Municipalities to be able to deliver on their mandate. Consequently, two separate Acts, Local Government: Municipal Structures Act, No.117 of 1998 and The Local Government Municipal Systems Act No.32 of 2000(as amended) were passed by Cabinet to spearhead development, thereby facilitating the infrastructure development and services in municipalities (Local Government White Paper (1998).

Critical to development and service delivery in municipalities are the credible Integrated Development Plans (IDPs) which are the principal strategic planning instruments that guide and inform all decisions with regard to planning, management and development in
the municipal plans. The key objectives of the Integrated Development Plans are to coordinate development activities in municipalities with community participation being critical in the IDP development phases to ensure ownership and sustainability.

It is unfortunate that since the inception of integrated development planning; most municipal IDPs continued to be unimplementable wish-lists despite the clear guidelines provided by the Systems Act on the development of IDPs. Underdevelopment, hunger and starvation and joblessness remain the main features bedevilling the majority of municipalities in the province. How the Department of Local Government and Traditional Affairs can assist and support municipalities to deliver credible IDPs continues to be a challenge, as the non-credible and un-implementable IDPs are blamed for the scourge of poor service delivery, service delivery protests and MEC interventions.

In 2005 the national Department of Provincial and Local Government in conjunction with the Eastern Cape Department of Local Government and Traditional Affairs conducted IDP Hearings to establish the reasons behind the continued delivery of poor IDPs by Municipalities (2005 IDP Hearings). The hearings revealed that sector departments’ non-participation in IDP processes was one of the reasons for non-credible IDPs including the Sundays River Valley Municipality (SRVM).

In accordance with the provisions of section 154 and section 106 of the Constitution and subsequently the MSA respectively, the provincial Government and the Department responsible for Local Government are obliged to support and strengthen the capacity of municipalities to enable them to perform their duties and execute powers devolved on them. In an effort to comply with the above constitutional mandate and to deal with the poor IDPs, the DPLG developed a Five Year Local Government Strategic Agenda (5YLGSA). The strategic agenda emphasised on the provision of hands-on support by all provincial and national departments in their specific areas of municipal development and of service delivery. The Department of Local Government IDP unit resolved to provide the hands-on-support to municipalities through financial and technical support.

The financial support is aimed at alleviating the financial burden of the IDP development processes in municipalities while the technical support is intended to provide strategic guidance towards the development of credible IDPs through district-wide-engagements,
participation in municipal representative foras and direct interactions with the municipalities. In furthering the hands-on support, the Provincial Local Government particularly the IDP unit in conjunction with the Office of the Premier, by virtue of them being the co-ordinating departments, took a leading role in mobilising provincial and national sector departments including other organs of state to participate in district-wide IDP Engagements and IDP Analyses since 2006, with a view to improve municipal, provincial and national planning and performance.

The National Department of Provincial and Local Government (now the Department of Cooperative Governance and Traditional Affairs) developed a tool to guide municipalities in the development of credible IDPs. (IDP Format Guide, 2006).

Since the identification of the causes of poor municipal IDPs through IDP Hearings and the implementation of the 5YLGSA through hands-on-support, there has been no practical or empirical proof that municipalities are beginning to move towards delivering credible IDPs. The study, therefore, is aimed at investigating the challenges faced by the Eastern Cape Department of Local Government Integrated Unit to support the municipalities in delivering credible Integrated Development Plans using Sundays River as a case study.

1.2 Background to the study

The Sundays River Valley Municipality, which serves as a case study for this investigation, is a statutory entity established in terms of Section 12 of the LGSA. Administratively the SRVM municipality is divided into eight wards.
The Sundays River Valley Municipality (SRVM) is one of the developing local municipalities within the Cacadu District Municipality (Western Region). It is located in the Eastern Cape, approximately 80km north of the Nelson Mandela Bay Municipality.

The municipality boasts of its eco-tourism and agricultural potential. The Addo Elephant National Park (AENP) and citrus production are two important economic drivers in the SRVM. The AENP has given rise to a number of booming B&Bs and private lodges. Its close proximity to the Coega Industrial Development Zone has led to the Addo Tourism Development corridor and the Enon-Bersheba’s 10 000 ha pristine communal land being increasingly sought after for tourism enterprise development and conservation opportunities. The municipality recognises and supports the creation of wealth in local communities through private enterprises, community works programme and productive public-private partnerships.

The municipal area covers 3507.59 km² (6% of Cacadu’s to area). It can be accessed through the N10 and N2 national roads as indicated in the following map.
Sunday’s River valley and reaches the coast between the Nelson Mandela Bay Metro (city of Port Elizabeth) in the south and the Ndlambe local municipality in the northeast.

The administrative centre is Kirkwood, located at the northern end of the valley. Other significant urban places include the small town of Addo towards the south, and Paterson towards the east.

The municipal area abuts the Addo National Elephant Park to the north and the east. Intensive agriculture (particularly the production of citrus, lucerne and flowers) and tourism are the economic drivers of the municipal area.

- Baviaans (Steytlerville, Willowmore)
- Blue Crane Route (Cookhouse, Pearston, Somerset East)
- Camdeboo (Aberdeen, Graaff-Reinet, Nieu Bethesda)
- Ikwezi (Jansenville, Klipplaat)
- Kouga (Hankey, Humansdorp, J. Bay, Oyster Bay, Patensie, St Francis Bay)
- Kou-Kamma (Joubertina, Kareedouw)
- Makana (Alicedale, Grahamstown, Riebeeck East)
- Ndlambe (Alexandria, Bathurst, Boknes, Bushmans River, Cannon Rocks, Kenton Alfred)

Sundays River Valley (Addo, Kirkwood, Paterson)

Table 1 below shows the population growth of SRVM from Population

Table 1: Distribution of population by Gender (Census 1996, 2001 & 2011)

<table>
<thead>
<tr>
<th></th>
<th>1996</th>
<th>2001</th>
<th>2011</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Total</td>
</tr>
<tr>
<td>1996</td>
<td>21949</td>
<td>22091</td>
<td>44040</td>
</tr>
</tbody>
</table>

SRVM 2013/14 IDP

According to Census 2011, the population of SRV was approximately 540504 people of whom 72% are Black African, 21% Coloured and 6% White. Between the years of 1996 and 2001, the population showed a slight decrease of 0.29% (127 of the population). However during the years of 2001 and 2011, the population had increased by 19% (10590 of the population).

Table 2 shows population groups of SRVM according to gender

Gender by Population group
Poverty levels in SRVM are equal to national figure of 40 percent.

This is compounded by loss of skills in key sectors of the labour market. The long period of illness associated with AIDS reduces labour productivity. One review reported that the annual costs associated with sickness and reduced productivity as a result of HIV/AIDS. These costs reduce competitiveness and profits. Government incomes also decline, as tax revenues fall, and governments are pressured to increase their spending, to deal with the rising prevalence of AIDS, thereby creating the potential for fiscal crises.

The profile below indicates that the epidemic is reaching a plateau, with some 4 200 people or 9% of the population infected with HIV and some 200-300 AIDS sufferers. (SRVM 2013/14 IDP)

Table 3: SRVM population age structure

<table>
<thead>
<tr>
<th>Age Group</th>
<th>Black African</th>
<th>Coloured</th>
<th>Indian or Asian</th>
<th>White</th>
<th>Other</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – 4</td>
<td>4 179</td>
<td>1 274</td>
<td>12</td>
<td>192</td>
<td>25</td>
<td>5 682</td>
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<tr>
<td>5 -10</td>
<td>3 903</td>
<td>1 389</td>
<td>15</td>
<td>220</td>
<td>13</td>
<td>5 540</td>
</tr>
<tr>
<td>11 – 17</td>
<td>4 134</td>
<td>1 583</td>
<td>6</td>
<td>317</td>
<td>7</td>
<td>6 047</td>
</tr>
<tr>
<td>18 – 35</td>
<td>13 416</td>
<td>3 545</td>
<td>33</td>
<td>593</td>
<td>314</td>
<td>17 901</td>
</tr>
<tr>
<td>36 – 45</td>
<td>5 694</td>
<td>1 613</td>
<td>13</td>
<td>457</td>
<td>45</td>
<td>7 822</td>
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<tr>
<td>46 – 55</td>
<td>3 792</td>
<td>1 216</td>
<td>11</td>
<td>581</td>
<td>21</td>
<td>5 620</td>
</tr>
<tr>
<td>56 – 65</td>
<td>2 229</td>
<td>637</td>
<td>4</td>
<td>416</td>
<td>7</td>
<td>3 293</td>
</tr>
<tr>
<td>66 – 75</td>
<td>1 184</td>
<td>258</td>
<td>1</td>
<td>226</td>
<td>6</td>
<td>1 675</td>
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<tr>
<td>76 – 85</td>
<td>399</td>
<td>101</td>
<td>-</td>
<td>176</td>
<td>2</td>
<td>678</td>
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<tr>
<td>86 – 100</td>
<td>175</td>
<td>25</td>
<td>1</td>
<td>31</td>
<td>-</td>
<td>232</td>
</tr>
<tr>
<td>101 – 120</td>
<td>9</td>
<td>5</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>14</td>
</tr>
<tr>
<td>Grand Total</td>
<td>39 116</td>
<td>11 644</td>
<td>96</td>
<td>3 209</td>
<td>439</td>
<td>54 504</td>
</tr>
</tbody>
</table>

Table 4: SRVM household Income Levels

According to 2013/14 IDP Age Structure; Table Three SRVM has relatively youthful population. The youthful population suggests a need for prioritization of skills development and employment creation initiatives for youth.
1.2.2 Challenges facing SRVM

- Statistics South Africa has revealed that SRVM poverty levels are equal to national figure of 40 percent and the most affected group are blacks

- SRVM has a youthful Population and that suggests a need for prioritization of skills development and employment creation initiatives for youth

- SRVM is experiencing HIV and aids pandemic (9%). HIV/AIDS pandemic has an impact on labour supply, through increased mortality and morbidity.

1.2.3 Developmental objectives for local government

Since the first democratic elections of 1994 the nature and functions of municipalities changed to place more emphasis on the development role of Municipalities, as well as co-operative governance. The Constitution (1996) provides five core objects of Local government, as follows:

- Ensure sustainable provision of services;
Promote social and economic development;

Promote a safe and healthy environment;

Give priority to the needs of the communities; and

Encourage the involvement of communities

Section 24 of the MSA, on municipal planning in co-operative Government, states in part that:

The planning undertaken by a municipality must be aligned with, and complements the development plans and strategies of other affected Municipalities, and other organs of state, so as to give effect to the principles of Cooperative government, contained in section 41 of the constitution.

Chapter 5 of the Municipal Systems Act (2000) as amended provides guidance to Municipalities on how to conduct Integrated Development Plans that cover a five year cycle. This is reviewed on an annual basis, in consultation with the communities and stakeholders. The key part of this development at local government level is essentially focused on identifying local development needs and potential.

1.3 Problem Statement

Legislations; policies and strategies, such as The Constitution; Municipal Structures Act (1998); Municipal Systems Act (2000); White Paper (1998); Format Guide (2006); credible IDP framework (2006); (5YLGSA); hands-on-support; IDP Engagements and IDP Analysis respectively are all aimed at enabling Municipalities to develop credible and the implementable IDPs that will result in sustainable socio-economic development, and provisioning of basic services. Since 2005, after the IDP hearings, the development of the credible IDP Framework in 2006 and the IDP format Guide, the Department of Local Government has increased its support to municipalities. It introduced a series of IDP Engagements where it mobilised sector departments to district wide engagements for IDP Sector alignment. Despite these efforts, the municipal IDPs show little improvement. The research thus aims to investigate and assess the impact of support provided by the IDP Unit to local municipalities. The study also seeks to evaluate the
root cause of this problem by looking at the support role of the DLGTA IDP Unit in supporting municipalities in delivering credible Integrated Development Plans.

1.4 Aims and Objectives of the study

The overall aim of the research is to examine the extent to which the Eastern Cape Department of Local Government, and the Traditional Affairs’ IDP support Unit has assisted the Sunday’s River Valley Municipality to develop and implement a credible IDP. It is assumed that the implementation of the legislative provisions, policies and strategies will yield to credible IDPs and sustainable socio-economic development in Sundays River Valley Municipality.

The study sets out to answer the following the objectives:

- What are the processes undertaken by the SRVM to develop its IDP?
- What is the policy and legislative role of the DLGTA IDP Unit to support the municipalities in delivering credible IDPs?
- How is this role performed?
- What are the challenges faced by the DLGTA IDP Unit in performing the support role to the SRVM, so as to deliver credible IDPs?
- What are the benefits / advantages of this role to the municipality?

1.5 Hypothesis

The assistance offered by the IDP Unit of the Eastern Cape Department of Local Government Traditional Affairs has resulted in the development of a credible IDP by the Sunday’s River Valley Municipality.

1.6 Related views in the literature (Literature Survey)

Research on IDPs has been conducted by various relevant institutions and researchers, to understand the role of developmental local government, and specifically-the IDP process and its challenges. All these researches have a recurring view that municipal IDPs are not credible and are the fundamental cause of poor service delivery by the municipalities. For example, (Tsatsire, 2008) focused on the challenges of
developmental local government where he made several recommendations in terms of planning for service delivery. Kwaru, 2008, did an analysis of “Participation of Provincial Sector Departments in IDP Processes of Local Municipalities in the Eastern Cape (with special focus to Amahlathi)” where she discovered various reasons for poor performance and participation of sector departments on IDPs. Nekwaya, 2007 assessed the extent to which communities are participating in decision-making relative to the development planning process and service delivery system, and whether community participation is understood and implemented during the project implementation. Nekwaya further evaluated the effectiveness of development planning as a vehicle for service delivery to communities, from a community participation perspective. Todes, Sithole and Williamson, (2007) examined whether decentralisation is actually empowering women by making the government closer and more accessible, or whether national gender policy directives are being ignored in IDP processes and outcomes. Kambuwa & Wallis (2002) analyzed the Performance Management of Integrated Development Planning in South Africa.

In order to provide background information on IDP processes, and the role of the DLGTA Unit, the research will provide a brief summary of the legislative frameworks and guidelines regarding the role of the DLGTA IDP Unit.

1.7 Methodology

The research methodology will be discussed in Chapter 3. The most appropriate research methods will be selected. In short, qualitative research methods will be employed, that will include structured interviews on the role of the DPLG’s IDP Unit, with key role players in the municipal IDP process, as well as in the District Municipality. The role players will include the Mayor, portfolio heads, ward committee members, ward councillors, IDP managers of SRVM and CDM, senior managers of the three coordinating departments who will examine their perceptions of how the IDP responds to their needs. Research methods to be engaged in this study will be qualitative and inductive reasoning. It will use information deduced from legislative frameworks, websites, and policy documents. Scheduled, structured interviews with the Mayor, portfolio heads, seven Ward Councillors, and two ward committee members in each of
the seven wards will also be employed to gather information on how the Municipal IDP responds to their service and developmental needs.

Questionnaires will be prepared for participants to shed light on their views regarding various aspects of the IDP, such as community participation, sector involvement in the IDP development, implementation, and periodic feedback on challenges experienced during the implementation of IDPs.

Interview sessions with senior departmental officials within the district will be held to evaluate their compliance with the constitutional mandate, particularly cooperative governance (sec 41), which obligates spheres of government to participate in inter-spherical planning. The study is also aimed at investigating whether the support provided to municipalities by the Department of Local Government is appropriate for delivery of credible IDPs.

1.8 Overview of chapters in the research report

1.8.1 Chapter one following this introductory chapter, the material will be divided into the following chapters:

1.8.2 Chapter Two: Literature Review and Conceptualization

This chapter focuses on the legislative framework and literature relating to the role of the provincial DLGTA, to assist Municipalities to deliver credible IDP. It also focuses on various interpretations of IDP, the scanning of existing literature on the research topic and the investigation of the DLGTA support mechanisms to assist municipalities to deliver credible IDPs.

1.8.3 Chapter Three: Research Methodology

In this chapter a research design and data collection tools appropriate for the study are selected. Qualitative research, questionnaires and interviews have been selected as the design and data collection tools for the research. A detailed description of how data will be collected from research participants is also presented.

1.8.4 Chapter Four Data Analysis
This chapter will present how data was collected, analysed and interpreted to provide solutions to the research question: How are challenges faced by the DLGTA IDP Unit to support municipalities to deliver credible IDPs?

1.8.5 Chapter Five: Conclusions and Recommendations

Based on the analysed literature and collected data on the research topic this chapter presents conclusions and recommendations to the DLGTA IDP Unit and SRVM on how to support municipalities and develop credible IDPs, respectively.

1.9 Conclusion

The inadequate monitoring of the IDP processes by the DLGTA IDP Unit may have played a role in some municipalities, continuing to relegate the development of IDPs to a desk top exercise. If this is proved to be the case in the Sunday’s River Municipality, the motivation for the research is to come up with recommendations for the Department, so as to improve the functioning of its IDP Unit and prevent other municipalities from failing their communities, as well as to assist municipalities to understand the role of the Department’s IDP Unit, and how the effective implementation of this role could lead to/result in better IDPs.
CHAPTER 2
LITERATURE REVIEW AND CONCEPTUALIZATION

2.1 Background

In many municipalities IDP processes continued to be a desk top exercise, with limited participation and inputs from the communities. This is one of the cornerstones of IDP as enshrined in Chapter 4 of MSA (2000). This scenario may result in the IDPs being disowned by the communities, and thus rendering the IDP-lacking incredibility. Adherence to the IDP processes, particularly Ward Based Planning, is critical in IDP development by municipalities. This was made evident when Koukamma municipality, 2009/10 failed to involve communities in the Ward Based Planning and the communities disowned the IDP declaring it invalid because it did not reflect their needs. This resulted in the intervention of the DLGTA, and the municipality was ordered to start the process all-over again. The circumstances that prevailed in Koukamma municipality are the same as those that now prevail in Sunday's River Valley Municipality. Both Municipalities have been affected by section 139 of the Constitution of SA Act no 108 of 1996 which placed them under an Administrator, appointed by the MEC for Local Government, to take charge of the executive administrative functions of the municipality.

2.2 Introduction

This chapter focuses on, and is limited to the legislative framework, and literature relating to the role of the provincial DLGTA IDP Unit to assist Municipalities to deliver credible IDPs. In this chapter, the researcher will attempt to explore what research has already been done on this topic. Financial support, IDP engagements, and IDP assessments are hands-on support strategies which the DLGTA employs to support municipalities, and it is on the basis that the researcher included as literature so as to evaluate and establish whether it is appropriate to assist municipalities to deliver credible IDPs. Following the literature review, the roles and responsibilities of a government support unit, to assist municipalities in developing and implementing credible IDPs will be outlined. This review will focus in particularly on the roles of the IDP Unit of the Eastern Cape Department of Local Government and Traditional Affairs, in supporting the Sunday’s River Valley Local Municipality.
2.3 Review of the literature on government support to assist municipalities with integrated planning

The researcher has observed that research on IDPs has been conducted by various relevant institutions and researchers, to understand the role of developmental local government, and specifically the IDP process and its challenges. All these researches have a recurring view that municipal IDPs are not credible, and are the fundamental cause of poor service delivery by the municipalities. Mello & Maserumule, in their journal (June, 2010), investigated whether the current intergovernmental relations system in South Africa adds value to integrated developmental planning in the local sphere of government. Their findings revealed that 90 percent of municipalities in South Africa are unable to develop credible IDPs. This view is based on the study conducted by the former Department of Provincial and Local Government (DPLG, 2004) now known as the Department of Co-operative Governance, (DCoG) and these findings are claimed to be in accord with the findings of a variety of other scholars such as Heller (2001); Schoeman (2004); Wilkinson (2002); Friedman (2001); Innes and Booher (2002), as cited by Mello & Maserumule (journal 2010).

The researcher tried to limit the literature study to those texts which were relevant to the research, and has conducted literature and Internet researches on the topic. It appears, however, that there is only limited research that has been done on this specific topic.

There is, however, related research which provides insight into other variables that contribute to the non-credibility of IDPs, and the need for the Department of Local Government's IDP Unit to evaluate the appropriateness of its support of Municipalities.

Tsatsire (2008) focused on the challenges of developmental local government, where he made several recommendations in terms of planning for service delivery. He maintained that, despite local government enjoying equal status with the national and provincial spheres of government, municipalities do not have stable financial resources to enable them to sustain service delivery, without national government support. The lack of stable financial resources, and reliance on other spheres of government for survival, threatens the autonomy of local government. He argues that local government is located closer to the people than the other spheres of government, and therefore it is, therefore, the most appropriate sphere of government to deal with all service delivery functions. He cites
services such as education, sports, recreational and social welfare services, which are rendered directly by the provincial government, which is struggling to provide them effectively, due to the fact that provincial government is far removed from communities, and to the absence of a clear regulatory framework to enhance constitutional provisions. (Tsatsire, 2008: 329) In the light of these reasons, he suggests that, these functions should be delegated to local government, even if only on an agency basis. The harsh reality is that, if the public is unhappy with any of these services, it tends to vent its anger on local government. If such roles are handled at local level, this will enable provincial and national government to focus more on policy-making, supporting, capacity building and strengthening local government.

According to Tsatsire’s research findings, 54 percent of the respondents believed that IDPs were not realistic, and represented wish-lists of needs. In order to enhance the development of realistic IDPs, he recommended that the Department of Provincial and Local Government develop a universally applicable framework for IDPs. This would reflect the minimum requirements needed in an IDP. Once this was done, it’s costing and budget alignment would be much easier (Tsatsire, 2008).

Kwaru (2008) investigated the participation of provincial sector departments in the IDP processes of the Amahlathi municipality in the Eastern Cape. She discovered several reasons for poor performance and participation of sector departments in the IDP. The study revealed that the senior managers of the sector departments do not participate in the IDP process. The reason given was that they were never invited by the Amahlathi Local Municipality. Her investigation revealed that there appeared to be a lack of political commitment to integrated development planning. Furthermore, nothing compelled these officials to participate in the IDP process, because it was not factored into their KPAs. This view corresponds with the findings of the IDP Hearings (2005 IDP Hearings) conducted by the Department of Cooperative Governance), and the Provincial Department of Local Government, to establish the reasons behind the continued delivery of poor IDPs by Municipalities. The hearings revealed that the sector departments’ nonparticipation in IDP processes were the major reason for the non-credibility of IDPs including that of Sundays’ River Valley Municipality.
This view is also supported by Gibbens (2008) in his research in Klerksdorp and Kungwini Local Municipalities. He noted the existence of power dynamics between the local, provincial and national spheres of government, in that both municipalities expressed concerns regarding the quality of participation from Provincial and National officials in their IDP processes. These municipalities were both frustrated by the power that provincial and national government had to implement provincial and national directives in their local areas of jurisdiction, although these did not necessarily address local needs and priorities, as identified in the IDP processes.

Nekwaya (2007: 4) assessed the extent to which communities were participating in decision making, relative to the development planning process and service delivery system and whether community participation was understood and implemented during the project implementation. Nekwaya further evaluated the effectiveness of development planning as a vehicle for service delivery to communities, from a community participation perspective. He proposed that a holistic approach to development at all levels (International, national, local) should be encouraged, to address the challenges facing institutions, and in order to tackle the problem of public participation for omusati regional council to achieve integrated development planning.

On a related topic, Todes, Sithole and Williamson (2007) studied whether decentralisation was essentially capitalising women by making government closer and more accessible, or whether national gender policy directives were being ignored in IDP processes and outcomes. Kambuwa & Wallis (2002) analyzed the Performance Management of Integrated Development Planning in South Africa. The authors focused largely on local authorities, as they are expected to play key roles in making this initiative a reality. The authors of this paper drew in part on their own experiences as facilitators of a major capacity building programme for local authorities, which took place in late 2001 and 2002, as well as on various forms of information and analysis derived from a range of sources. Nelana (2006: 4) evaluated co-operative governance in integrated development planning, focusing on local economic development by municipalities.

Both Nekwaya and Kwaru saw the need for a critical analysis of public participation approaches in local government; and are in agreement with regard to limited community
participation in decision making, during the development planning processes. They are also in tandem with regard to the IDPs being the appropriate tool for municipalities to deliver on the constitutional mandates to the communities.

The literature review provides an opportunity to explore the challenges faced by the DLGTA as the available literature does not cover this area. Contrarily to other researches which focus on the poor performance or challenges of municipalities, regarding IDPs, this research focuses on the role of the department in ensuring that the municipalities deliver credible IDPs, (or assisting them in this), as well as assessing how effectively they execute this role.

2.4 What is an Integrated Development Plan?

The exploration of IDP literature reveals the existence of a range of IDP definitions which are dependent on the perspective in which one sees the IDP. Gibbens (2008) argues that the legislative context of Integrated Development Planning provides a starting point from which a definition of IDP can be determined. He also maintains that, to come to an authoritative definition of an IDP, requires the scrutinising of a myriad of definitions for Integrated Development Planning by agencies concerned with the IDP. He then provided a number of such definitions by various agencies.

The Department of Provincial and Local Government, for example, defines the IDP in terms of its legislative requirements, describing it as a five-year strategic development plan for a municipality which serves as the principal strategic management instrument, legislated by the MSA (2000). This supersedes all other plans that guide development at local level (DPLG, 2002:).

Others focus on the integrative aspect, such as the South African Local Government Association (SALGA), which describes the IDP as a participatory planning process, aimed at integrating sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas, and across the population, in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalized (SALGA, 2002: 2).

In a similar vein, the IDP Nerve Centre concentrates on the intergovernmental coordination aspects of IDP, classifying Integrated Development Planning as a process...
aimed at promoting intergovernmental planning, by way of coordinating local development intentions with national and provincial legislation, policy, plans and programmes (IDP Nerve Centre, 2004).

Pieterse (2004: 7) defines IDP as essentially a planning methodology that links a statement of purpose, with plans, programmes, institutional designs and practices, monitoring mechanisms and financial flows.

Todes (2004) states that IDPs are intended to be all-inclusive multi-sectorial plans, which direct the future development of the locality, giving direction to both the municipality and other spheres of government operating in the area, and containing a spatial development framework, expenditure priorities and projects for implementation over a five year period. As a key development tool the IDP was fully elaborated upon in the White Paper on Local Government (Gibbens, 2008)

Tsatsire (2008: 125) has this to say about IDP, “Municipality’s IDP, informs all other key institutional policy documents, including the Budget and the Service Delivery and Budget Implementation Plan.” It is therefore the Municipality’s principal strategic planning instrument. He says further that, the IDP ensures horizontal and vertical co-ordination and integration across the three spheres of government and provides a platform for community and stakeholder Participation in the planning processes of the Municipalities.

In the end, the IDP contains the service delivery plans for the Municipality for the next five years. The intention is to develop the Plan and prioritise projects with the active participation of stakeholders, which should include civil society, the business sector and other spheres of government. If such a participatory process is done correctly, then the stakeholders, particularly those that are in need of basic services like, housing, should understand the limitations of the Municipality, particularly in terms of funding, but also in terms of human resources. Such a participatory approach should, at least to some extent, limit the violent service delivery protests that continue to this day.
2.5 Legislative Context for government’s IDP support to municipalities

Section 31 of the Municipal Systems Act explicitly expresses the responsibilities of the MEC for Local Government, and obligates it to exercise an overall coordinating, monitoring, inclusive and supportive role in the municipal IDP process. These responsibilities are summarized as follows:

- Monitor the processes of municipal IDP preparation, implementation and review in the province, and assist municipalities, where necessary, in these actions;
- Facilitate the coordination and alignment of IDPs with the strategies and programmes of national and provincial organs of state;
- Resolve disputes or differences between local and district municipalities, neighbouring municipalities and local communities and municipalities; and
- Address the comments by the MEC for Local Government on the IDPs prepared by municipalities, with regards to their compliance with national and provincial legislation, policies, strategies and the processes followed in their preparation, and the alignment

2.6 The roles of the IDP Unit of the Eastern Cape Department of Local Government and Traditional Affairs to assist municipalities with their IDP processes

The Eastern Cape DLGTA established a dedicated IDP support Unit in 2001 to assist municipalities in the province with their IDP processes.

The following section considers the roles and responsibilities of the IDP Unit, particularly with respect to the support it has provided over several years to the Sunday’s River Valley Municipality.

2.6.1 Monitor IDP Development and Review Phases

According to the Municipal Systems Act, read with the Municipal Planning and Performance Management Systems Regulations, the Integrated Development Planning Process commences in July of each year, which is the beginning of a municipal financial year. The above mentioned prescripts and DPLG (2001c: 6), through the IDP Guide Pack 111, identifies five phases of IDP development as follows;
(a) The first phase is the Preparation Phase (July-September), which includes:

1. the adoption of the IDP Framework and Process Plans,
2. the establishment of IDP Steering Committees, and
3. The verification of stakeholders.

(b) The second phase is Situational Analysis Phase (October-December), which comprises the following:

1. Progress reports on the implementation of Service Delivery Budget Implementation Plans which are annual extracts of the IDPs
2. the updating of demographics
3. Conducting of Ward Based Planning.
4. Ensuring the alignment of municipal priorities and targets with national and provincial Sector Plans

(c) Third phase is strategic phase (January and February), which entails:

- Ensuring alignment of municipal priorities and targets with national and provincial Sector Plans
- The fourth phase is project and integration phases which entail: Provision of municipalities with budget allocations as per agreed projects, aligned with municipal priorities. Ensuring that their respective plans appear in the IDP document and advising municipalities of gaps identified

(d) The last phase is the approval and adoption phases (March and June)

- Drafting the IDP submitted, for noting by Council in March
- Sector Departments ensuring that their respective plans appear in the IDP document and advising municipalities of gaps identified.
- Municipalities considering comments by the MEC for Local Government in the Province.
- Municipalities developing plans on how to deal with the MEC comments.
• Final draft adopted by Council in May or June.

District and Local Municipalities are obligated by Section 29 of the Municipal Systems Act, to develop and adopt IDP frameworks and IDP process plans. These plans serve as guiding documents on how, and when, the municipality will undertake its processes of IDP development. The DLGTA IDP Unit requests each municipality to submit a copy of its IDP process plan or IDP Framework Plan, in the case of a district, in order to monitor its implementation. During each phase the Unit interacts with the municipality to monitor the progress in the implementation of the plan and the framework, to ensure adherence, and notify the MEC if deviations are established.

2.6.2 Financial Support

Since 2007 the Department, on an annual basis, has provided financial support to all municipalities in the Province, through their respective District Municipalities. The financial support provided for 2009/2010 was R6, 574,347 million, allocated per district as determined according to the number of local municipalities. CDM received R1 281 000 of the total funds transferred to district municipalities to share with local municipalities under their jurisdiction. Of this sum, SRVM received R 145 933, 33 of that year’s DLGTA funding.

Due to a crippling budget-cut in 2010/11 financial year, the department was forced to limit its financial support to only seven municipalities in the Province, i.e. Sunday’s River Valley and Koukamma in the Cacadu district, and Nkonkobe, Engcobo, Ingquza Hill, Ntabankulu, Mbhizana in other districts (Local Government Gazette No 2121, vol 16). The Department was compelled to develop new criteria for selecting municipalities to receive financial support.

In terms of the new criteria, the above municipalities were selected on the following grounds:

a) Municipalities that received a low rating score in the 2009/10 IDP Assessment Report (these are internal reports of the DLGTA and give a date)

b) Municipalities where the department has intervened in terms of section 139 of the constitution.
Koukamma and SRVM were the only two municipalities in the province where the department intervened in terms of section 139 of the constitution. The municipalities received R445.427 and 445.428 respectively in 2010/11. The funding was strictly for the development of ward-based plans and IDP processes, i.e. IDP outreaches, hiring of the venue for the IDP representative forum, consolidating and binding of the document, printing, and other costs. The municipalities are expected to submit monthly expenditure reports and copies of ward-based plans after the process is finalised.

2.6.3 IDP Engagements

In accordance with the provisions of section 154 and section 106 of the Constitution and subsequently the Municipal Systems Act respectively, the provincial Government and the department responsible for Local Government, are obliged to support and strengthen the capacity of municipalities, to enable them to perform their duties and execute powers and functions devolving on them. The Integrated Development Unit is responsible for coordinating, supporting and facilitating the development of Integrated Development Plans by municipalities. The main purpose of the IDP engagement is to promote inter-spheral planning and disclosure of specific financial allocations, for inclusion in the Integrated Development Plans and to yield the following results:

- To ensure that the sector specific development priorities, in the form of programmes and projects, with specific allocated funds, find expression in the IDPs.
- To ensure joint responsibility on the implementation, monitoring, reporting and evaluation.
- The implementation and performance progress on the previous year’s commitments.

In the light of the above, the importance of supporting IDP engagement sessions by all departments cannot be over emphasised, especially when one takes into account the IDP Assessment Findings of the previous year (2011/12 IDP Assessment Report). The IDP Assessment Auditor General, and Section 47 reports on many of our municipalities ranges from disclaimers to adverse reports with only a few unqualified report.

It has, however, been noted that the departments with regional offices seldom inform those regional offices about the IDP engagements until the last moment, and thus they
are represented without information or with distorted brief (2008/09 IDP Engagement report).

2.6.4 IDP Assessment

In compliance with Section 31 and 32 of the MSA and Municipal Planning and Performance Management Regulations, which state that the MEC responsible for Local Government needs to assist, engage with, facilitate and monitoring the IDP process in municipalities and provide written comments on the alignment of the IDP in relation to Provincial and National plans, polices and strategies.

In order to enable the MEC for Local Government and Traditional Affairs to undertake the above legal requirements, the Department has to establish a core team of IDP assessors who have to be capacitated every year to enable them to resourcefully acquit this responsibility. The research was undertaken during 2011-12 financial year and therefore the background information was based on 2011-12 IDP Assessment Reports. The DLGTA IDP Unit usually allocates two and a half days for Capacity Building of assessors prior to the actual assessment. However, during 2011, the duration of the training was reduced to half a day, 7 May 2011 (2011-12 IDP Assessment Report) due to time constraints, although there were new participants. The main objectives of the Capacity Building Session are to achieve the following:

- Build the capacity of the IDP assessors, practitioners and sector specialists on the IDP Assessment, the strategic nature of the IDP, and what is expected of credible IDPs.

- Enable Sector Departments and State Owned Enterprises to ensure integration of their own programmes and projects in IDPs that are to be implemented in specific municipalities

Enable Sector specialists to identify areas of support required in the IDP processes, and to achieve alignment with Sector specific objectives, programmes and projects in an endeavour to accelerate service delivery in municipalities (IDP assessment report 2011).

To enable the MEC for Local Government to communicate comments or recommendations on the submitted IDPs for consideration by municipalities, Sector
Departments (national and provincial) and State Owned Enterprises converge to analyse the IDP documents taking cognizance of the policies and legislative imperatives that relate to their own specific departments, but utilizing the national IDP Analysis Framework Tool as the assessment tool (2010/2011 IDP Assessment Report). During the year 2010, the Department of Cooperative Government and Traditional Affairs introduced the Local Government Turn-Around Strategy (2010 LGTAS) and its Implementation Plan, which necessitated that all municipalities develop their own Turn-Around Strategies and incorporate them in their respective IDPs.

This approach delayed the whole Approval Phase, as this was introduced in March, two months into the stage of the tabling of Draft IDPs. As indicated above, it tampered with the IDP Assessment arrangements which had to be suspended until municipalities had compiled and adopted their Municipal Turn-Around Plans (2010 MTAPs). The Department of Cooperative Government and Traditional Affairs advised the Department to analyse adopted IDPs instead of assessing the drafts, because of the limited time available, and more so, as several municipalities had already adopted their IDPs. The 2010 FIFA World Cup hosted by South Africa also had an impact on the extent of the assessment sessions as the Department had to ascertain availability of officials during this period.

The Department scheduled its IDP Assessment for the 8-10 June preceded by a one day training session on the 7 June 2010 at Fish River Sun, near Port Alfred. (2010 IDP Assessment Report)

Six commissions were established, according to the Key Performance Areas i.e. (1) Spatial Development Framework, (2) Service Delivery, (3) Financial Viability, (4) Local Economic Development, (5) Good Governance and (6) Institutional Arrangements and Transformation with KPA leaders nominated for each commission.

The national IDP Assessment Framework Tool was adopted and utilized to analyse IDPs by all commissions, (2010 IDP Assessment Report).

2.7 Roles of Three coordinating departments in the IDP processes are summarised in the diagram marked roles of coordinating departments below"
Table 5: Role of three departments

Standing presentation in sector engagements by the three co-ordinating departments jointly developed by OTP and DLGTA.

2.8 Role of SRVM in IDP processes are summarised as follows:

- The district municipality develop an IDP review framework plan.
- SRVM develops a process plan.
- Both plans are adopted by Council.
- There the process is launched for communities to know what the process entails.
- The IDP process plan is linked to the Budget process plan as one consolidated plan.
Public participation and communication action plan also integrate the IDP/Budget processes.

2.9 Conclusions

This chapter discussed and demonstrated the legal context which provides the department an opportunity to play its role in assisting municipalities to deliver credible IDPs. The literature reviewed which comprises legislations, research theses, articles and IDP reports revealed that some of the factors contributing to the non-credibility of IDPs are:

- Reliance of Municipalities to sector departments for fiscal resources to deliver quality service.
- Failure of the Inter- governmental relations framework Act of 2005 to provide punitive measures for defaulting departments participating in IDP Rep Forums.
- The failure of the abovementioned Act to recognise the IGR structures at local government level.
- Non- inclusion of participation of senior managers in the IDP processes in their performance contracts, which also contribute to this challenge.

The preliminary findings of the literature review conducted revealed that an Intensive and meaningful collaboration between DLGTA, Office of the Premier and Provincial Treasury regarding mobilisation of sector departments to ensure their participation in the IDP processes. The roles and responsibilities of each department are summarised in the diagram marked Roles and Responsibilities of three Coordinating Departments above.
CHAPTER 3
RESEARCH METHODOLOGY, RESEARCH DESIGN AND DATA COLLECTION TOOLS

3.1 Introduction

According to O’Leary, 2004:85, research methodology is a framework linked to a particular set of definitive suppositions which a researcher will use to conduct a research.

It can be a scientific method, ethnography, or action research. Qualitative (flexible) iterative and inductive reasoning will be followed in this study because according to Terre Blanche, Durrheim & Painter, 2006 maintains that fixed methodological designs are essential characteristics of quantitative research and are restrictive and unsuited to much exploratory and inductive research. The scholars of this view further argue that unlike blue print, which specifies exactly how the research will be conducted, qualitative designs cannot be given in advance, Lincon and Guba (1950). Therefore it provides guidance for action and specifies the iterative process the researcher will engage. This view is also collaborated by MOUTON 2001 where he states that qualitative researches are worked out during the course of the study.

The study is about learning from the officials of the Provincial Department of Local Government IDP Unit, and Sunday’s River Valley Municipality, how they operate to deal with the challenges of non-credible IDPs.

The study will also be interpretive. When only qualitative methods are used, the research methodology will usually be located in the “interpretive traditions” (Henning, 2004; p 40). The study will also follow the post positivist approach, as this author also concludes that most qualitative researches have “post positivist traits” (Elizabeth Henning 2004; p 40).

The practical findings of the exploration into the challenges faced by the department of Eastern Cape’s Local Government IDP Unit, to support
municipalities to deliver credible IDPs - using Sunday’s River Valley Municipality as a case study - will be analysed and reported. The findings will be examined by means of using feedback from participants.

3.2 Methods of data collection

According to Cresswell 1994, a qualitative research is defined as a survey method of understanding a societal or human problem, based on building a complex, holistic picture, formed with words, reporting detailed views of informants, and conducted in a natural setting. Qualitative research is multi-method in focus, involving an interpretive, naturalistic approach to its subject matter. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret phenomena in terms of the meanings people attach to them. Qualitative research involves the studied use and collection of a variety of empirical materials case studies, personal experience, introspection, life story interviews, observational, historical, interactional, and visual texts—that describe routine, problematic moments and meaning in individuals' lives.

The pragmatic study which will be engaged in conducting this research will be qualitative research. According to Creswell, 1994 and Pretorius and Schurink, 2007 Qualitative researchers generally rely on four basic types of data sources: interviews, observations, documents and audio-visual materials. Li (2006), on the other hand argues that there are three data collection instruments for qualitative research, namely; questionnaires, personal interviews and attitude scales. The data for this study will be collected by means of self-administered questionnaire and face to-face interviews.

3.2.1 Sample population

Terreblanche and Durrheim (2002:274) write that sampling is a “process used to select cases for inclusion by participants in a research study”. Stuart and Wayne (1996:29) state that “population is any group that is the subject of research interest”.

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The Sample population chosen by the researcher consists of senior managers in government departments, and top level management at the municipality i.e. the Municipal Manager and all four Section 57 managers reporting directly to him/her. This will be done solely because managers at these levels have decision making powers. The IDP manager is also included in the sample population because he coordinates all IDP processes in the municipality, and is therefore appropriately positioned to share his experience and the challenges he is facing in coordinating the IDP processes, both from sector departments and within the Municipality.

The researcher intends to collect the data by developing and distributing structured questionnaires to participants in the SRVM, in both provincial and national Departments.

The participants from the municipality will be; the municipal manager, the head of the administration in the municipality, four heads of departments employed in terms of section 56 of the Municipal Systems Act No. 32 of 2000 as amended, the Mayor and four portfolio councillors. The heads of departments and portfolio councillors are heading the following departments:

- Corporate Services
- Finance
- Community Services
- Technical and Engineering Services

3.2.2 Questionnaires

Questionnaires present a set of questions to an interviewee or respondent, who with his/her responses will provide data to a researcher. According to Stuart & Wayne (1996: 43), a questionnaire is a printed list of questions which respondents are requested to answer. The respondents will be asked to fill the questionnaires themselves.

The data will be collected by means of self-administered questionnaires. According to Babbie and Mouton (2001: 258) questionnaires are only appropriate
for literate participants. This bodes well with the sample population of this study which is focusing on senior managers of sector Departments and the Municipality. These officials should be able to complete the questionnaires.

This method is also chosen because it is cheaper and quicker (Babbie and Mouton 2001: 262).

The questionnaires will be administered in English to accommodate all language groups of the sample population.

Questionnaires will be delivered to respondents at their work places. The SRVM IDP Manager will assist in distributing the self-administered questionnaires to SRVM research participants.

The researcher will distribute questionnaires to Government Department participants.

The research study will be explained to the respondents so that they understand the contents of the questionnaires and know what is expected of them. The respondents will be allowed three days to complete the questionnaires and the municipal respondents will be asked to return them to the IDP Manager on the third day.

The researcher will collect questionnaires from the government departments and will collect all municipal respondents’ questionnaires from the IDP Manager on the fifth day after confirming with him that they are ready for collection.

According to Babbie and Mouton, 2001, the advantage of delivered and collected questionnaires is that they have a high rate of completion. Since the researcher himself will be collecting the questionnaires from the respondents, he will have an opportunity to address areas of uncertainty and confusion in the questionnaires and thus contribute to an improved completion rate.

3.2.3 Interviews

Conducting an interview is described as a more natural form of interacting with people than making them complete a questionnaire, do tests or perform some
experimental tasks, and therefore, it fits well with the interpretive approach to research (Terre Blanche, Durrheim & Painter (2006). These authors argue that this approach affords us an opportunity to get to know the people quite intimately, so that we can better understand how they think and feel.

The interview technique to be used to collect data for this study will be basic individual interviewing, which falls within qualitative research paradigm. According to Babbie and Mouton (2001; 289), it is an interaction between an interviewer and a respondent. In terms of this technique, the interviewer has a general plan of inquiry, but not a specific set of questions that must be asked in particular words or any particular order. The authors of this approach further argue that this mechanism is characterised by its flexibility, iterativeness and continuity rather than being prepared in advance and cast in stone (Babbie and Mouton (2001; 289).

3.2.4 Interview Probes

In conducting the interviews the researcher will make use of interview probes which are very important interview techniques. Patton (1990) identifies three types of probes:

(a) Detail-oriented probes. These are follow-up questions to get more details, to understand more about what we want to know.

(b) Elaboration probes. Encourage the interviewee to tell more. We do this amongst other things by gently nodding our head as the person talks, softly voicing 'uh-huh' every so often, and sometimes by just remaining silent but attentive.

(c) Clarification probes. The interviewer gently asks for clarification when he/she is unsure of what the interviewee is talking about or means.

3.2.5 Standardised Interview

According to Henning (2004) procedures coming from this approach are said to reflect a true or real subjective version of facts, opinions and feelings as she/he experiences them. Gubrium and Holstein, as cited in Henning (2004: 53), argue
that the content is believed to be the real thing as expressed by the subjective participant. In this approach the interviewer is seen as an impartial catalyst who obtains information from the interviewee, through questioning and probing. The writer further advises that the best way of conducting standardised interviews is to view the interviewee as not only giving information but also accounting for the information. According to Gubrium and Holstein,(cited in Henning, 2004: 53), as the interviewee is preparing responses she/he would give account of her/his position in the society and her personal experience in relation to the research topic.

In the context of our study the participants will give an account of their positions in the municipality and their own experiences, or opinions regarding the support being provided the Department of Local Government to the municipality, so as to deliver credible IDP.

The method that will be used to collect data from the respondents will be face-to-face because it is said that, rather than asking respondents to read questionnaires and enter their answers, researchers should send interviewers to ask the questions orally and record respondents’ answers (Babbie and Mouton, 2001:249). They further conclude that interviews are conducted more naturally in a face-to-face environment.

3.3 Conclusion

This chapter dealt with methodology to be employed in collecting data for the study. Self-administered questionnaires and face-to-face interviews have been chosen as tools to collect data.

A questionnaire was developed (see Annexure A) for the sample of respondents to complete. Once the questionnaires have been completed satisfactorily, the findings will be analysed in the following chapter. The findings should allow the researcher to assess the impact of the DLGTA’s IDP Unit support to SRVM to deliver a credible IDP.
CHAPTER 4

ANALYSIS OF RESEARCH FINDINGS

4.1 Introduction

This chapter deliberates on the data that was collected, the findings and the analysis thereof. In terms of these findings, an attempt will be made to interpret the challenges facing the DLGTA IDP Unit to assist SRVM to deliver a credible IDP.

4.2 Background

This chapter presents the research findings on the impact of the support provided by the DLGTA IDP Unit to municipalities to deliver credible IDPs and interpretations of the findings.

It was noted that despite the support the DLGTA IDP Unit has been providing, the SRVM showed little improvement in developing a credible IDP for four successive years (IDP Assessment Report, 2012: 23). The non-credibility of Municipal IDPs is perceived as the main deterrent to effective service delivery. This is due to the fact that, for a municipality to deliver quality services to its community, it needs a credible IDP to guide such delivery and clear performance criteria to measure its impact.

As mentioned earlier, the central research question of this study was whether the IDP Unit’s interventions have had any impact in the past, and furthermore, how the Unit can improve its support to municipalities.

A comparative study of the roles of the three coordinating departments and the SRVM in the IDP processes were scrutinized. Qualitative data analysis was employed to analyse the data collected from the different groups of research participants, as well as interpretation thereof. The following were selected as research participants; Five Section 56 managers from SRVM, including the Municipal Manager, the IDP Manager, the portfolio head of planning (which in the SRV case is the Mayor), and the senior managers (level 13) in the three coordinating departments, i.e. DLGTA (IDP Unit), Treasury (municipal finance
and budgeting) and the Office of the Premier (planning and policy development and Inter-Governmental Relations).

In the SRVM, the research group was selected on the basis of their respective relevance, and the positions they hold on the IDP processes. Section 56 municipal officials and departmental senior managers were needed to deal with strategic issues, such as policy formulation and implementation, development of strategic plans, and to influence and manage budgets of their respective entities, as well as human capital. The IDP Manager was included because he is responsible for the coordination of IDP processes in the municipalities and he is fittingly positioned to provide an informed perspective of IDP processes in the municipality. The Mayor was also included because, legislatively, the IDP is politically driven by the mayor of the Municipality.

4.3 Data Collection Methodology

Data was collected through questionnaires and face to face interviews. Questionnaires for the Coordinating Departments and the District Municipality were emailed directly to the respective participants (senior managers and IDP Coordinator respectively. Questionnaires for the Sunday’s River Valley Municipality were emailed to the SRVM IDP Manager to distribute to all SRVM participants (Heads of Departments and the Mayor). The researcher telephonically confirmed receipt of the questionnaires with each research participant.

Nine acceptable questionnaires out of a sample of eleven respondents were completed and returned.

4.4 Data Analysis

The data collected from the two groups of participants was analysed using quantitative data analysis method.

The findings will first be analysed against the stated objectives of the research. Thereafter the challenges faced by the SRVM’s IDP Unit will be analysed separately.
4.4.1 Objective one - Brief background of the IDP processes in SRVM

This objective strives to establish participants’ understanding of the IDP processes in SRVM. In order to establish this, participants were asked to explain briefly SRVM IDP processes.

It transpired that the majority of participants know the processes that SRVM undertake to develop its IDP. All participants showed a fair understanding of the IDP processes. Understandably the municipal officials responded to the question from an operational point of view, wherein they tabulated the processes followed by SRVM in line with provisions of section 28 of MSA read with the IDP and PMS Regulations, whilst the participants of the coordinating department approached the processes from a strategic perspective, where they demonstrated the envisaged broad picture of the IDP process.

The SRVM and the DLGTA IDP Unit participants even mentioned phases and structures that are established in SRVM to enable the IDP Processes. The following are just an example of the structures mentioned, IDP steering Committee, IDP Representative Forum, IDP standing committee, Exco, Council. Ward Committees and Management Forum. Treasury and Office of the Premier (OTP) provided a general account of processes undertaken by municipalities in developing IDPs.

4.4.2 Objective two - Legislative role of the DLGTA IDP processes

The question seeks to establish whether the legislative role of the DLGTA IDP Unit is known by senior managers of both coordinating departments and SRVM.

To accomplish this purpose, participants were asked to explain in their own words the policy and legislative prescripts that guide the role of the DLGTA Unit to support municipalities with IDP processes.

Again, participants showed a clear understanding and knowledge of the legislative role of the Department of Local Government to support municipalities. The Systems Act, Constitution, Structures Act, and IDP and PMS Regulations
featured prominently in their responses as the key prescripts that guide and regulate the development of IDPs by SRVM and municipalities in general.

All participants appeared pleased with the manner in which the DLGTA IDP Unit is performing this mandate. Participants were also gratified with the DLGTA’s IDP Unit conceptualisation of policy and legislative prescripts that obligate it to support municipalities to execute their powers and functions and to perform their duties, in so far as development of credible IDPs is concerned. Participants demonstrated this by enunciating precise and pertinent legislative frameworks which guides its support to Municipalities.

Table 6: Legislative and policy framework Policy

<table>
<thead>
<tr>
<th>Policy</th>
<th>Score</th>
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<tbody>
<tr>
<td>Constitution</td>
<td>4</td>
</tr>
<tr>
<td>Municipal Systems Act</td>
<td>4</td>
</tr>
<tr>
<td>Municipal Structures Act</td>
<td>2</td>
</tr>
<tr>
<td>White Paper</td>
<td>3</td>
</tr>
<tr>
<td>IDP and PMS Regulation</td>
<td>4</td>
</tr>
<tr>
<td>Municipal Finance Management Act</td>
<td>1</td>
</tr>
<tr>
<td>Integrated Development Planning IDP Guide Pack, 2001</td>
<td>1</td>
</tr>
</tbody>
</table>

4.4.3 Objective three - How DLGTA performs its mandate

To attain this objective, participants were asked to give their perceptions of the role of the DLGTA Unit in terms of its captured existing strategic plan to support SRVM, during the last three years.

It transpired that all participants were unaware of any captured existing mechanisms in the DLGTA Strategic Plans to support SRVM, during the last three years (2010-2012). All participants, however, indicated that they were

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aware that the DLGTA IDP Unit is constitutionally obliged to support all municipalities in the province, including SRVM. All participants were in agreement that the DLGTA IDP Unit never availed its Strategic Plan to SRVM. The DLGTA participant admitted that the DLGTA IDP Unit had never provided SRVM with its strategic plan. SRVM participants informed the researcher that they had never been aware of the existence of the DLGTA Strategic Plan. The participant, however, admitted that the department always informed municipalities of the support it would provide to municipalities, and the amount involved during the district engagements and direct interactions with municipalities. They further informed the researcher that SRVM was provided with the respective Government Gazettes which list municipalities, projects and funding to demonstrate how they would be delivering the identified projects through a business plan.

Participants were generally aware that funding of R145 933 in 2009/2010 and R445 428 in 2010/11 financial years were transferred by DLGTA IDP Unit to SRVM, as a financial support to develop credible IDPs, and to promote Ward Base Planning, respectively.

Only the IDP manager and Chief Financial Officer were aware that SRVM utilized only R185 217, 20 of the Ward Base Plan support funding, and submitted a request to the DLGTA Superintendent-General for permission to utilize the balance of R260.210.80 for IDP processes in 2012/13.

The Department is strengthening Integrated Development Planning for responsive service delivery through the promotion of Ward Based Planning. This approach assists meaningful public participation in the development planning, allowing the people to define their own destiny, understanding of their needs and generating interest in the governance of their own municipalities, as well as monitoring their respective performance from a point of understanding. This initiative is intended to positively contribute against violent public service delivery protests as people will understand municipal limitations and what to expect at a given time.
All participants were also aware of the following support the DLGTA provided to SRVM with the exception of one municipal official who said he did not know any support provided by DLGTA IDP Unit because he had just joined the municipality: (yes)

- During 2009/10-2011/12 DLGTA seconded officials to SRVM in Cooperate Services, Finance and Local Economic Development departments.

- Respondents were also aware that DLGTA had seconded an official to assist SRVM on Operation Clean Audit, so that the municipality meet the DLGTA target of a clean audit by the year 2014.

- All participants, except one municipal official, were aware that DLGTA IDP Unit fostered interspheral planning in the SRVM IDP Processes, in order to improve the credibility of the SRVM IDP, by developing District IDP calendars which reflected IDP process dates for SRVM. All participants acknowledged that the DLGTA IDP Unit distribution of these calendars to all IDPs stakeholders, including sector departments had helped to publicise the SRVM IDP Process Plan and solicited the participation of all stakeholders in the SRVM IDP Processes.


- The SRVM’s draft IDP was analyzed in the previous three years, and the MEC for DLGTA had communicated the results of the assessment to enable the municipality to make corrections to the IDP document.

Despite all these efforts, the SRVM IDP document showed little improvement in relation to the overall rating score, see table two below.
Table 7: SRVM overall rating scores for 2010-2012 IDP assessment Ratings.

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<tbody>
<tr>
<td>Spatial Development</td>
<td>Low</td>
<td>High</td>
<td>Low</td>
<td>High</td>
<td>High</td>
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<tr>
<td>Framework</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Service Delivery</td>
<td>Low</td>
<td>Medium</td>
<td>Medium</td>
<td>Medium</td>
<td>Medium</td>
</tr>
<tr>
<td>Financial Viability</td>
<td>Low</td>
<td>High</td>
<td>Low</td>
<td>Low</td>
<td>Medium</td>
</tr>
<tr>
<td>Local Economic</td>
<td>High</td>
<td>High</td>
<td>Medium</td>
<td>High</td>
<td>High</td>
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<tr>
<td>Development</td>
<td></td>
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<tr>
<td>Good Governance &amp;</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Medium</td>
<td>High</td>
</tr>
<tr>
<td>Public Participation</td>
<td></td>
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<tr>
<td>Institutional</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Medium</td>
<td>Medium</td>
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<tr>
<td>Arrangements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Rating</td>
<td>Low</td>
<td>Medium</td>
<td>Low</td>
<td>Medium</td>
<td>Medium</td>
</tr>
</tbody>
</table>

4.4.4 Objective four - Challenges faced by the DLGTA IDP to support SRVM to deliver credible IDPs

To attain this objective participant were asked to give their perceptions on the challenges facing the DLGTA IDP Unit in performing its mandate to support SRVM.

4.4.4.1 External challenges

- Sector department respondents and two municipal officials cited the autonomous constitutional nature of municipalities as a serious hindrance to the DLGTA IDP Unit in taking final (or reversing) municipal decisions those are detrimental to development, such as cadre deployment which is characterised by the appointment of undeserving and unqualified senior officials.

- Coordinating departments’ respondents also indicated that the equal status of DLGTA with other sector departments compromises its responsibility of coordination for maximum support to municipalities.

- The minimal participation of Sector departments in IDP Processes was raised as a challenge by all participants. This aspect poses a challenge to the DLGTA’s IDP support unit.
• All municipal Respondents accused sector departments of sending or delegating junior officials who have no decision making powers. All participants agreed that people who are sent to these sessions should have such powers, so that they are able to commit their respective departments on programs, projects and financial allocations thereof.

• Poor quality of invitations: Although all senior managers of coordinating departments informed the researcher that they had been invited to attend SRVM IDP processes, they commented that invitations they received from municipalities including SRVM were not specific about the information required from Sector Departments for the forthcoming meeting. This was another issue that should be addressed by the DLGTA’s IDP Unit.

4.4.4.2 Internal challenges to support SRVM

There are a number of internal challenges that limit the support that DLGTA’s IDP Unit staff may render to municipalities

The DLGTA IDP Unit organogram has a very lean staff complement, which makes it difficult for the Unit to render adequate hands to support all municipalities in the Province. The IDP Unit has a staff complement of only nine personnel; 1 senior manager, 2 managers, 5 assistant managers and 1 senior admin officer, to render support to 37 LMs, 6 District municipalities and 2 Metros;

Senior manager: The senior manager is responsible for province-wide coordination of IDP development.

  o Two managers: Each manager is responsible for the coordination of IDP development in three district families of municipalities with 23 and 22 municipalities.

  o Five assistant managers: Each assistant manager is responsible for the coordination of IDP development in the district with one assistant manager being responsible for two districts (Joe Gqabi and Alfred Nzo districts). One Senior Administrative officer is responsible for rendering administrative support to the directorate.

• Inadequate office space: Offices are very small, and some have faulty air conditioners, making working conditions difficult for the staff.
- Unavailability of vehicles as working tools: There is a serious shortage of pool vehicles to enable IDP officials to support municipalities according to their work schedules.

- The Department failure to provide subsidized vehicles to officials is making the situation worse. The last time an official received a subsidized vehicle was in 2008. Officials are force to use their own private vehicles for official duties.

- Inadequate budget to assist municipalities in developing their IDPs, including Ward Based Planning: Due to insufficient funding the DLGTA IDP Unit prioritized only 6 municipalities (Ntabankulu, Nyandeni, Port St John's, Maletswai, Sakhisizwe and Ngqushwa) for Ward Base Planning in the 2012/13 financial year. The ability of the IDP support unit to deliver on its mandate is thus compromised.

4.4.5 Objective Five - Benefits / advantages of this role to the DLGTA

- The DLGTA is able to monitor the processes of municipal IDP preparation, implementation and review in the province and to assist municipalities where necessary in these actions.
  - The facilitation of the coordination and alignment of IDPs with the strategies and programmes of national and provincial organs of state.
  - The ability to comment on the IDPs prepared by municipalities with regards to their compliance with national and provincial legislation, policies and strategies, the processes followed in their preparation and the alignment.
  - It walks the journey with the less capacitated municipalities, providing guidance as well as hands on support until the process is finalized. It monitors and guides the better capacitated ones.
  - It takes stock of complying municipalities, and does follow ups on those that lag behind, outlining whatever challenges there are, if they are political it refer them for political intervention, e.g. where the council does not cooperate with the speaker who is responsible for calling a Council Meeting for consideration of the IDP. There are many other political challenges facing our municipalities.
• It ensures that IDPs are everybody’s business so that there is maximum community participation taking into consideration all community formations, such as traditional leadership, sectors and others-including internal formations such as organised labour.

• The IDP Assessors training which precedes the IDP assessment by all departments and municipalities creates an environment of maximum understanding for all stakeholders involved in the IDP assessment process.

• National and provincial development priorities e.g. MTAS and Ten Provincial Outcomes are communicated and understood by the local sphere of government causing smooth alignment.

• It ensures that all municipalities adopt a culture of developing IDPs, and adhere to legislated timelines and that those IDPs are reflective of a particular municipality which avoids cut and paste.

• It puts the Department of Local Government in a better position to understand the extent and depth of social, psychological and economic scars, inherited from the apartheid system.

• It gives guidance on how to develop IDPs, and Identification of gaps in the IDP through IDP Assessment.

• It promotes and encourage municipalities to budget for Ward Base Planning to obtain accurate and credible situational analysis and IDP development.

4.4.6 Challenges facing the SRVM’s IDP Unit in developing credible IDPs

• Multiple tasking of the SRVM’s IDP Manager, e.g. the responsibility for IDP, HR and PMS results in the IDP Manager loosing focus on IDP development and eventually leads to poor IDPs.

• Coordinating departments’ respondents also indicated that the equal status of DLGTA with other sector departments compromises its responsibility for coordination for providing maximum support to municipalities.
• Sector department respondents and two municipal officials cited the constitutional autonomous nature of municipalities as a serious hindrance to the DLGTA IDP Unit in taking final or reversing municipal decisions that are detrimental to development, such as cadre deployment which is characterised by appointment of undeserving and unqualified senior officials.

• It transpired that there has been limited support from SRVM’s Acting Municipal Manager to enforce cooperation of other senior managers in the IDP processes to provide the required information. Their KPAs did not include obligations of participation on the IDP, so that they considered this of low priority. Lack of input from senior managers thus also compromised the credibility of the IDP.

• The IDP Manager of SRV Municipality is not a Section 56 Manager. Due to his lack of seniority, he struggles to coordinate Section 56 Managers for credible information, as he is easily ignored, particularly without the necessary support from the Municipal Manager. A need to elevate his post to Director strategic services has been identified but SRVM currently does not have a budget for the post.

• Instability in some municipalities has negative impacts on IDPs. SRV Municipality experienced political and administrative instability, which culminated in the municipality operating without a Municipal Manager for five years, from 2008. During this period the SRV Municipality’s IDP was awarded a ‘Low’ rating in 2010 and ‘Medium’ ratings in 2011 and 2012 years. The Municipal Manager, who had just been appointed in March 2012, attributed these poor results to political and administrative instability in the Municipality.

• The SRVM struggles to get sector departments to attend IDP meetings, due to poorly worded and locally confined sector department invitations. It transpired that the DLGTA IDP Unit had developed, and distributed a standard invitation letter to all municipalities, in an effort to address the poor quality of invitations from municipalities.

A follow-up question was asked to coordinating departments’ officials whether they had ever been invited to participate in an IDP Rep Forum meeting by SRV Municipality?
This was aimed at assessing whether the limited participation of sector departments in municipal planning was due to the municipality not doing enough to inform sector departments about an impending IDP Rep Forum.

- All Coordinating department officials were in agreement saying that they were never invited to participate in the SRV Municipality’s IDP meetings.
- The SRV IDP Coordinator alluded to this and informed the researcher that SRV Municipality limits its invitations to the locally based sector departments.
- The SRVM IDP participants, CDM and SRVM IDP Coordinators disparaged the commitment of internal role-players, particularly the section56 managers in IDP processes. They categorically attributed the recurrence of the poor quality of SRVM’s IDP to the poor quality of information provided by these internal role-players.

Municipal officials and DLGTA respondents revealed that there was no congruence between the IDP KPAs and Key Performance Indicators of the Performance Management System (KPIs and PMS) and the Auditor-General’s Assessment tools. A Municipality that achieved a good rating score in the IDP Assessment would probably be inclined to obtain a poor or adverse report from the Auditor-General, or vise-versa. Due to different tools used to assess IDPs for MEC comments, PMS section 47 reports and AG Performance audit reports municipalities are inclined to receive conflicting results because the different tools are looking for different information in the IDPs. Yes I believe that this is an issue the DLGTA should address and as such a recommendation to align these tools will form part of the recommendations.

Coordinating Departments informed the researcher that the IDP Process Plans are done simply for the purpose of compliance. They do not have specific timelines on activities e.g. the SRVM 2011/2012 Process plan only reflects months and year on a relatively small number of activities. This poses a challenge to the DLGTA in that it makes it difficult to distribute the Process Plan to relevant stakeholders, and monitor their participation.
4.4.7 Benefits to the SRVM derived from the intervention and support of the DLGTA

- The SRVM and municipalities in general have a better understanding of the legislative framework that compels the DLGTA to support them in all planning related matters.

- Through monitoring of IDP processes by DLGTA, the SRVM keep pace with the IDP legislated process phases and thereby refrains from its tendency of starting IDP processes very late (2009/2010 Process Plan). In most cases this tendency results in municipalities compromising a very crucial element of an IDP process, namely community involvement, and relegating the process to a desk-top exercise.

- Coordination of sector departments and their participation in the IDP processes results in an inter-spherical aligned IDP, because it will be reflective of the plans of the other spheres of government.

- The MEC comments on the municipal IDP, as well as the municipal specific action plans developed from the IDP Assessment Report, help municipalities to understand which aspects of the IDP need improvement and what financial and other support may be expected from the responsible institutions.

4.5 Conclusion

In this chapter the findings of the survey were analysed against the stated objectives of the research. Furthermore, the challenges facing a local municipality, such as the SRVM to overcome their own challenges to develop and implement credible IDPs were assessed.

The final chapter will summarise the conclusions and attempt to make recommendations to the key role players (the SRVM, DLGTA, OTP and Treasury) in order to find solutions to the challenges faced by these role players to enhance the IDPs of local municipalities.
CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

The essential objective of the research was to explore the challenges faced by the DLGTA IDP Unit to support municipalities so as to deliver credible IDPs using the SRVM as a case study. A pragmatic exploration was undertaken to establish the gaps in the support which the DLGTA provides to the SRVM to deliver credible IDPs. The strategies used by the DLGTA to support SRVM were interrogated. Gaps in the support provided by DLGTA were scrutinized on the premise of continuous non-credible development of IDPs by the SRVM for three years in succession. Reasons for this were investigated and the results confirmed that, certainly, the DLGTA is facing challenges in its support of the SRVM to deliver credible IDPs. This chapter will also present a summary of findings, conclusions and recommendations on the evaluation of the research study to validate the assumption mentioned in chapter 1, which says that the poor SRVM IDP is due to limited sector participation in the IDP processes, due to the following reasons:

1) SRVM does not extend invitations to all sector departments.
2) There is no legal obligation for sector departments to participate at local /municipal level.
3) No commitment is shown by the SRVM senior management, to the IDP Processes

Present findings, conclusions and recommendations.

5.2 Summary of chapters

Chapter one presented a transitory exploration introduction and background to the study titled; Challenges faced by the Eastern Cape Department of Local Government Integrated Unit to support municipalities to deliver credible IDPs using the SRVM as a case study. It also established the extent of the challenges pertaining to the research study. Mechanisms to address these challenges are proposed in chapter five, The chapter validates the hypothesis which says the support provided by the DLGTA IDP Unit should result in a credible IDP in the Sunday’s River Valley Municipality with consequent sustainable socio-economic development and the provision of basic
services. The support provided by the DLGTA IDP Unit has resulted in a credible IDP in the Sunday’s River Valley Municipality with consequent sustainable socio-economic development and the provision of basic services.

Chapter two focused on the legislative framework and literature, relating to the mandate and the role of the DLGTA IDP Unit to support SRVM to deliver credible IDPs. In this chapter, the researcher explored studies already done on the research topic

Chapter three; explored strategies employed by DLGTA to support SRVM to deliver credible IDPs.

Chapter four embarked on the pragmatic investigation where coordinating departments and SRVM officials were surveyed to provide insight into the appropriateness of the DLGTA support to SRVM to deliver credible IDPs. Five SRVM section 56 managers, two IDP coordinators of the CDM, and the SRVM, and senior managers of coordinating departments were interviewed and they provided appropriate responses to challenges facing the DLGTA to support the SRVM to deliver credible IDPs. Data concerning the research study acquired through structured interviews and questionnaires.

5.3 Testing the Hypothesis

The support offered by the DLGTA IDP Unit has resulted in the development of a credible IDP by the Sunday’s River Valley Municipality

5.3.1 Findings

The results of this research reject the hypothesis because the DLGTA IDP Unit’s support did not result to the development of credible IDPs in the SRVM.

IDP overall Assessment results have shown that SRVM has developed poor IDPs which ranged between Low and Medium scores for five consecutive years.

The lean staff compliment (structure) of the DLGTA IDP Unit hinders the Unit to provide support to all forty five municipalities during the IDP cycle. It has been revealed that one official has not been able to provide support to SRVM in all IDP cycle phases because he or she is also responsible for other nine municipalities in the Cacadu District. This is
further compounded by the fact that IDP processes are legislated and happen during the same IDP phase.

Another critical finding of the research is the confirmation of the preliminary conclusions drawn on literature review in chapter two which revealed that non-credibility of most IDPs is largely due to municipalities’ heavy dependence on the participation of sector departments in the IDP Processes because all respondents agreed that limited participation of sector departments in the SRVM IDP processes is compromising the efforts of DLGTA to support SRVM to develop credible IDPs.

5.4 Conclusions relating to each Objective

Conclusions are made in accordance with the relevant objectives:

5.4.1 Objective one - Brief background of the IDP processes in the SRVM

It was pleasing to discover that both groups of participants (coordinating departments and municipal officials) have a fair understanding of the IDP processes. This illustrated that they are aware that their participation in the IDP processes is crucial throughout the IDP phases.

5.4.2. Objective two - Legislative role of the DLGTA IDP Unit in the IDP processes of the SRVM and of municipalities in general.

It is encouraging to discover that Senior Managers of both the SRVM and the coordinating departments have an in-depth understanding of the support role of DLGTA IDP Unit to support the SRVM and municipalities in general in the IDP processes.

The participants also have an immaculate knowledge of the legislative and policy framework that guides the DLGTA IDP Unit to support the SRVM and municipalities in general during IDP processes to deliver credible IDPs.

They are aware that their participation in the IDP processes is crucial for proper interspheral planning and compliance with the respective legislations.
5.4.3 Objective three - How does the DLGTA perform this mandate?

The draft of IDP Assessment which focused on the existence of systems such as policies, plans and strategies in the IDPs was no longer relevant. The need to come up with a new approach, to assess the impact of the IDP implementation was suggested to the DLGTA for their consideration.

Acknowledgement by coordinating departments that they had never invited the SRVM or any other municipality to their strategic planning sessions to ensure that their planning is informed by municipal community needs.

Admission by coordinating departments that they had not only failed to invite SRVM to their strategic sessions but had also failed to provide them with their Strategic Plans.

5.4.4 Objective four – Challenges faced by the DLGTA IDP Unit to support the SRVM to deliver credible IDPs

The SRVM’s poor IDP assessment rating scores, which are partly due to some sector departments” failure to fund their own sector plans.

The SRVM’s limiting of IDP processes invitations to locally based sector departments contributes largely to the limited sector department’s participation in the IDP processes.

The DLGTA IDP Unit staff compliment is lean to support all forty-five municipalities. It should be recalled that the IDP processes are legislated, and processes are thus happening almost at the same time.

The IGR act is silent on IGR structures at a municipal level and therefore participation of sector departments is not legally binding.

Municipalities are unable to conduct Ward Base Planning due to the fact that it is very costly.

The SRVM has operated without a municipal manager for four years and was gripped by political and administrative challenges hence its IDP experienced stagnation for four years.
The SRVM IDP Coordinator is not focused on the IDP functions due to the fact that he is multi-tasked; he is also responsible for Performance Management Systems, Human Resources.

His lower level position is compromising his capability to coordinate information for incorporation in the IDP from the section 56 managers who are his seniors. He gets undermined by heads of departments, resulting in the late submission of poor information.

5.4.5 Objective five Benefits of this support role to the DLGTA and the SRVM?

Benefits of both the SRVM and the DLGTA have been deliberated at length in chapter four, Objective five.

5.5 Recommendations

Recommendations are also presented in-accordance with the objectives.

5.5.1 Objectives one and two

Participants’ responses to objectives one and two were positive and illustrated that both municipal and coordinating departments have the necessary knowledge about SRVM IDP processes and the legislative role of the DLGTA IDP Unit to support SRVM to deliver credible IDPs.

However, the DLGTA needs not to be complacent by the evaluation results and assume that all municipalities and sector departments know the IDP processes. It must consider having a standing presentation on these two objectives in all its interactions and engagements with municipalities and sector departments because new people enter and leave the public service a continual basis.

5.5.2 Objective three

The DLGTA should graduate from assessing the existence of systems, such as policies, strategies and plans in the draft IDPs, and focus on service delivery issues.

It is also recommended that DLGTA consider the paradigm shift wherein assessments of draft IDPs will be done per phase, and the ordinary assessment will be done on
adopted IDPs, because it enables the DLGTA to comply with the legislation, (sec, 32 of MSA), which advocates the assessment of adopted IDPs whilst the assessment of drafts should be conducted per phase and per district, starting with the clustering of phases and districts, because of financial constraints. The advantage of the proposed approach is that omissions and weaknesses identified will be addressed per phase, by relevant departments, as the process goes along and will be accounted for in the next assessment.

The DLGTA to should lead other coordinating departments in a process of encouraging all sector departments to invite at least district strategic managers to their strategic planning sessions. This is to ensure that their strategic plans are informed and aimed at addressing the respective district municipal community needs. The DLGTA and Treasury should facilitate the development of a policy that will obligate all sector departments to submit their strategic operational plans to all municipalities after they have been approved to monitor the submission of the plans to municipalities.

5.4.3 Objective four

In view of the observation of limited participation of sector departments in the SRVM Municipality IDP processes, to forge sectoral plan alignments. It is recommended that senior managers of both SRVM and sector departments, prioritise participation in IDP processes throughout the IDP cycle, and increase efforts towards improving the quality of information and inputs to the IDPs, regarding their KPAs. This proposal can be further enhanced if it can receive the same commitment from the SRVM Council, the Portfolio Committees and the Heads of sector departments.

It is further recommended that participation by senior managers of sector departments, in the IDP processes, be included in their performance contracts, to ensure credibility of information provided in the IDPs.

To address the IGR act's failure to provide punitive measures for non-participation of sector departments in the IDP processes, it is recommended that a reviewal of all local government legislations be embarked on, to provide for consequences of non-compliance.
To deal with the issue of the understaffing DLGTA IDP Unit the vast areas the IDP Unit has to cover in support of Municipalities, it is recommended that District Offices be re-introduced, strengthened by allocating officials per district and metro. This approach will result in official travelling shorter distances, and enable them to support all the district families of municipalities.

It is recommended that an appeal be made to the DLGTA to prioritize, and make available funds to municipalities that cannot afford the cost of conducting ward based planning so that all municipalities are able to conduct it for credible situational analysis.

The DLGTA fast-track the process of the local government legislation reviewal, so as to enforce the provisions of the constitution as mentioned.

The DLGTA should conduct a workshop for all IDP managers on the development of an IDP process plan to improve their quality, and to encourage their adherence and circulation to all sector departments, in-order to forge inter-spherical planning.

The SRVM should extend invitations to IDP processes invitations to all stakeholders including national and provincial sector departments within and outside municipal boundaries. The DLGTA and the SRVM should keep records, and monitor all sector departments which do not honor the invitations, and submit their names to the MEC for the DLGTA and the Premier, for naming and shaming in the provincial IGR meetings.

The DLGTA should take stock of all available budgeted and costed national and provincial sector plans, and identify the outstanding ones to make follow-ups.

A circular should be developed by the DLGTA to hold all the SRVM departmental heads responsible, with punitive consequences, for their IDP KPAs poor assessment rating scores.

5.6 The successes and limitations of the study

The overall aim of the research is to examine the extent to which the Eastern Cape Department of Local Government, and the Traditional Affairs’ IDP support Unit has assisted the Sunday’s River Valley Municipality to develop and implement a credible IDP.
The research has managed to conscientise management at all levels that to develop credible IDPs require concerted efforts of all spheres of government.

The challenge that was experienced was a lack of cooperation from SRVM senior managers which resulted to questionnaires not being filled and retuned.

To overcome the challenge the researcher held individual sessions with the affected respondents and explained the purpose of the research. The researcher then decided to do face to face interviews.

5.7 Concluding Comments

The research has revealed that the Integrated Development Planning requires the involvement and commitment of all spheres of government in the IDP processes if the notion of credible IDPs is to be realized.
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SURVEY QUESTIONNAIRE

My name is Lindile Andrew Salman and I am a masters’ student in Development Studies at the Nelson Mandela Metropolitan University. My research module aims to investigate the role of the Integrated Development Unit in the Provincial Department of Local Government and Traditional Affairs in supporting local municipalities to develop credible Integrated Development Plans.

You have been identified as an important respondent in this regard. I should be grateful if you could devote half an hour of your time to complete the following questionnaire. You may contact me at (071 604 3338 or Lindile.salman@eclgta.gov.za) at any time to clarify questions and issues that are raised in the questionnaire.

Kindly note that the completed questionnaire will be collected by THE IDP Manager on Friday, 28 September 2012 at 12h00.
I thank you in advance for your kind co-operation to enable me to complete my research.

Objective one

What processes are undertaken by SRVM to develop its IDP?

Statement
Sec 28 of the Municipal Systems Act 32 of 2000 as amended (SA) states: “Each municipal council, within a prescribed period must adopt a process set out in writing to guide planning, drafting, adoption and review of its integrated development plan:

Question
1(a) Could you reflect on the processes the Sunday's River Valley (SRV) Municipality follow in developing its IDP?

Answer
It uses structures and systems such as, District framework, Alignment of process plan or , review, Adoption. Advertise the process, Inform stakeholders for comment. Establishment of Steering Committee, IDP rep forum.

Objective two

Statement

What is the legislative role of the DLGTA IDP Unit to support SRVM to deliver credible IDPs?

The DLGTA”s role to support municipalities is guided by policy and legislative framework.

Question
Can you mention the legislative framework that guides DLGTA to support SRVM?

Answer
- Local Government Structures Act, No.117 of 1998
Objective Three

How does DLGTA performs its mandate?

Statement

DLGTA has a captured existing strategic plan to support SRVM in the last three years.

Question

What are your perceptions on the role of the DLGTA Unit in terms of its captured existing strategic plan to support SRVM in the last three years?

Answer

- DLGTA has never provided any municipality in Cacadu including SRVM with its strategic in terms of its captured existing strategic plan to support SRVM in the last three years.

- No municipality in CDM including SRVM was ever invited to attend DLGTA Strategic Sessions in the last three years

- DLGTA IDP Unit supported SRVM in the last three years with Operation Clean Audit (OCA).

- Seconded officials to assist in LED, Finance and Human Resources
• Provided funding for Ward Base Planning
• The DLGTA IDP Unit on an annual basis conduct draft IDP analysis to enable the MEC responsible for Local Government and Traditional Affairs to comment on the rating score for each KPA and an overall rating for each Municipal draft IDP, identified gaps in draft IDP and suggests improvement measures to be

Objective four

What are the challenges faced by the DLGTA IDP Unit to perform the support role to SRVM to deliver credible IDPs?

• DLGTA do not provide technical and monitoring support mechanisms on WBP process. the funding for WBP without monitoring mechanisms for the process.
• Do not even attend IDP Rep Foras
• IDP Manager is not a section 56 manager and therefore so it difficult to coerce information from his seniors
• Failure by SRVM to distribute action plans developed during the IDP assessment hinders sector specific support.

Objective five

What are the benefits / advantages of the support role to the municipality

➢ SRVM through interaction gets a better understanding of capacity strengths and limitations of DLGTA to support them in IDP processes.

➢ Through support and monitoring by DLGTA, SRVM keep pace with the IDP processes.

➢ Inter-spherical aligned IDPs are achieved through Coordination of participation of sector departments in the IDP processes
Objective One

What are the processes undertaken by SRVM to develop its IDP?

- The IDP process is one of the models aimed at integrating delivery of services by the three spheres of government.
- In pioneering the IDP concept government had recognise the different levels of government institutions, its distinct functions and a need to work together in providing service delivery.
- IDP is not a simply plan for project development but a document to plan the development of the local sphere by all stakeholder in a participatory manner.

Objective Two

What is the legislative role of the DLGTA IDP Unit to support SRVM to deliver credible IDPs?

- The constitution of the country provides for the local government sphere that has to be supported by the other spheres and that identify a need for a models of the IDP in nature to be guided by Local Government and Traditional Affairs.
- The municipal systems act provides a system for the functionality of municipalities and the Department of Local Government has been mandated to be a custodian of the legislation

Objective Three

How does DLGTA performs its mandate?

- Currently the department performance with regard to the IDP is more in ensuring compliance with the legislation.
- In its support there is no structured way to do check and balance on how the document as a plan has been implemented to develop the municipality.

- There is a need to graduate from the legislative compliance to the drive on the implementation of the IDP as a sole plan for municipal developments.

Objective Four

What are the challenges faced by the DLGTA IDP Unit to perform the support role to SRVM to deliver credible IDPs?

- Common understanding and common approach on the IDP and its processes. This needs a leadership that would understand the concept of the IDP and development of an approach for development of municipalities.

- The IDP unit is always the smallest as focus is on interventions which in turn are caused by lack of planning.

- Municipal commitments on the IDP processes.

Objective Five

What are the benefits / advantages of this support role to the department and municipalities?

- Better understanding of the legislative framework that guide municipal systems

- Interface amongst the spheres of government and entities

- Give a picture of service delivery challenges and the ideas moving forward

- Municipality are able to improve performance.
9 January 2014

I hereby confirm that I have edited, for language purposes, the thesis of Lindile Salman, Student No: 209080602, entitled “Challenges faced by the Department of Local Government to support Municipalities, to deliver credible Integrated Development Plans, using the Sundays River Valley Municipality as a case study.”

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