

**ALIGNMENT OF THE EASTERN CAPE DEPARTMENT OF LOCAL
GOVERNMENT AND TRADITIONAL AFFAIRS STRATEGIC PLAN**

WITH

ALFRED NZO DISTRICT MUNICIPALITY

INTEGRATED DEVELOPMENT PLAN

FOR

EFFECTIVE MUNICIPAL SERVICE DELIVERY

(2007-2009)



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UNIVERSITY OF FORT HARE

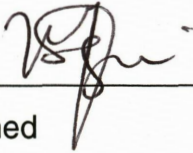
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DECLARATION

I, Vuyiswa Gertrude Sogoni, hereby declare that this mini-dissertation submitted to the University of Fort Hare for the Degree of Masters in Public Administration has never been previously submitted by me or anyone else at this or any other University, that this is my own work in design and execution and that all sources I have used or quoted have been indicated and acknowledged by means of complete references.



Signed



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ACKNOWLEDGEMENTS

I would like to express my sincere gratitude and appreciation to the following people for their outstanding support, contribution, guidance and encouragement:

- Prof M. H. Kanyane, my supervisor, for creating an enabling atmosphere, providing guidance, continual support and assistance throughout the study.
- Mr L Nyama, for your assistance and encouragement.
- My husband and children, for their support and understanding.
- The participants, for their respect and support, as well as their determination and willingness to participate in this study.



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ABSTRACT

The study focuses on the relationship and interlinkage between Department of Local Government and Traditional Affairs (DLGTA) strategic plan and Integrated Development Planning (IDP) for Alfred Nzo District Municipality. A provincial Plan should seek to address the needs of citizens within its jurisdiction.

To this end, municipalities are directly responsible for service delivery. Provincial plans should guide what municipalities do, in this case DLGTA plays a supporting role in the duties and objectives of Alfred Nzo District Municipality. The DLGTA is not service oriented; it coordinates and ensures that sector departments intervene and provide their relative or relevant services to the municipalities. The study found that the DLGTA strategic plan is not directly linked to Alfred Nzo District Municipality IDP which they seeks to achieve a different constitutional mandate. The time frames within which Alfred Nzo District Municipality and DLGTA develop these two plans are different. This makes it practically impossible to have an integrated and coherent service delivery between the two spheres of government.

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It is recommended that the timing for the formulation of the two plans should talk to each other. Also, municipal officials should be involved in the formulation of the DLGTA strategic plan and vice versa. This would contribute to a positive relationship between the two plans. The study gives further in-depth recommendations thereof.

ACRONYMS

ANC	African National Congress
APP	Annual Performance Plan
DLGTA	Department of Local Government and Traditional Affairs
DM	District Municipality
IDP	Integrated Development Planning
IDPs	Integrated Development Plans
IGR	Intergovernmental Relations
IGRA	Intergovernmental Relations Framework Act (Act 13 of 2005)
LED	Local Economic Development
LGTA	Local Government Transition Act, Act 97 of 1996
MEC	Member of the Executive Council
MFMA	Municipal Finance Management Act, Act 53 of 2003
MTEF	Medium Term Expenditure Framework
MSA	Municipal Systems Act, Act 32 of 2000
MTSF	Medium Term Strategic Framework
NSDP	National Spatial Development Plan
PGDS	Provincial Growth and Development Strategy
PSDF	Provincial Spatial Development Framework
RSA	Republic of South Africa
PFMA	Public Finance Management Act, Act 29 of 1999
PGDP	Provincial Growth and Development Plans
SALGA	South African Local Government Association
SDBP	Service Delivery Budget Plan
SONA	State of the Nation Address
SOPA	State of Province Address
SP	Strategic Planning
SPs	Strategic Plans
5YLGSA	Five Year Local Government Strategic Agenda



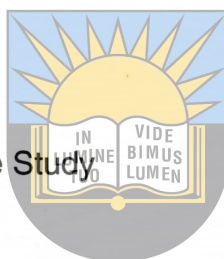
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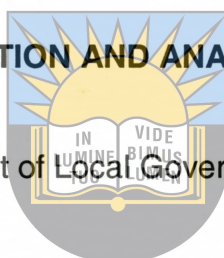
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CHAPTER ONE

INTRODUCTION AND GENERAL ORIENTATION

1.1 Introduction

The White Paper on Local Government, published in March 1998 established a blueprint for developmental local government. At the heart of developmental local government is the concept of Integrated Development Planning (IDP) where municipalities coordinate all developmental activities within their area of jurisdiction.

Integrated Development Planning (IDP) is a planning method to help municipalities develop a coherent, long-term plan for the co-ordination of all development and delivery in their area. Municipalities face immense challenges in developing sustainable settlements, which meet the needs and improve the quality of life of local communities. In order to meet these challenges, they need to create a common vision for the area, and strategies for realizing and financing that vision in partnership with their provincial strategic plans.

One of the strengths of integrated development planning is that it involves the community in development, delivery and democracy. Building local democracy is a central role of local government, and municipalities should develop strategies and mechanisms to continuously involve citizens, business and community groups in processes such as planning and budgeting. The White Paper on Local Government (1998) states that local government must play a “developmental role”. *The Constitution of the Republic of South Africa* states that government must take reasonable steps, within available resources, to ensure that all South Africans have access to adequate housing, health care, education, food, water and social security.

To this end, local government works with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives (White Paper on Local Government, 1998).

This study identifies the gaps between the IDPs and the Provincial Strategic Plans (SPs) with an intention to close them. It seeks to answer the most frequently asked questions as to where, why and how do municipalities fail to deliver when there are in place policies and strategies available to guide them.

1.2 Statement of the Problem

Unless municipalities are able to link their IDP to provincial strategic planning, developmental local government will remain an unattainable vision (Pycroft, 1998: 153). Various review processes targeted at measuring the effectiveness of policy, legislative, planning and implementation actions by various organs of the state, highlight the 'lack of integrated and cooperative governance' as one of the most critical shortcomings of such actions and point to a number of factors impeding joint work amongst the sectors and spheres of government (Pycroft, 1998:153). These include:

- the lack of a shared focus on key national development priorities and insufficient and inefficient sharing of information;
- sectors, line departments and service providers approach municipalities differently on, interaction and communication, support and capacity building, intergovernmental mechanisms such as forums, grants and monitoring;
- a lack of shared understanding on the status and relationships of the various strategic, spatial and financial planning instruments, National Spatial Development Plan (NSDP), Provincial Growth and Development Plans (PGDSs), Provincial Spatial Development Frameworks (PSDFs), Medium Term Strategic Frameworks (MTSFs) Medium Term Expenditure Frameworks (MTEFs), Integrated Development Plans (IDPs) resulting in instruments not being used and functions not performed as intended;
- insufficient awareness and understanding of the roles and responsibilities of various government actors in engaging with the various intergovernmental instruments exacerbated by insufficient clarity on the roles of the Office of the Premier,

Department of Local Government and Traditional Affairs and Provincial Treasury in coordinating Intergovernmental Relations (IGR); and

- inadequate enforcement and inadequate and ineffective performance management (Levy & Tapscott, 2001:25).

Generally, the meaning and definition of IDP is still very vague and to some extent there is inadequate alignment between local municipality IDPs and district municipality IDPs. In some instances, consultants still have the upper hand in developing IDPs resulting in irrelevant IDPs that are not relevant to the specific development needs of the communities. Moreover, public participation in some cases is undermined.



1.3 Objectives of the Study

The objectives of this study are to:

- examine what guides the formulation and implementation of both provincial strategic plans and IDPs in response to service delivery;
- explore and identify the gaps and shortcomings in the development of provincial strategic plans and the implementation of IDPs; and
- develop possible ways to overcome and bridge the gaps found in the implementation of IDPs.

1.4 Hypothesis

A lack of a shared and integrated understanding between the provincial strategic planning instruments and municipal IDPs results in instruments not being used and functions not performed as intended in response to municipal service delivery.

1.5 Significance of the Study

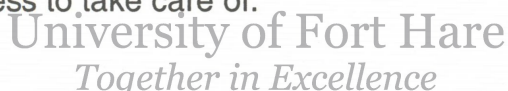
The rationale behind this study cannot be underestimated. This study explores the possible contradictions inherent in the formulation and implementation of both departmental strategic plans and IDPs. Whilst the study seeks to identify the gap between the development of provincial strategic plans, and IDPs, it will also add value to the government's ability to:

- improve the quality of life of all South Africans;
- eradicate the dualistic nature of the South African economy; and
- deliver and maintain basic infrastructure and services in a sustainable and equitable manner.

All this will be achieved only if there is alignment of development strategies, not only in the Eastern Cape Province, but in the rest of the country.

1.6 Scope and Limitations of the Study

The present study was only limited to Alfred Nzo District Municipality's IDP as it relates to the Department of Local Government and Traditional Affairs strategic plans. Given this limitation, the results cannot be generalized to other municipalities because of the differences among different municipalities. It may also be very difficult for the researcher to meet all the anticipated participants due to their busy schedules; they are also employees who have their day to day business to take care of.



The researcher will make appointments with the respondents in due time, so that they are ready and available for interviews. Some will be contacted telephonically should it happen that they are busy.

1.7 Ethical Considerations

This research was designed so that respondents/participants do not suffer physical harm, discomfort, pain, embarrassment, or loss of privacy (Cooper and Schindler, 2003:121). The researcher complies with the following principles which aim at protecting the dignity and privacy of every individual who, in the course of the research work, provide personal or commercially valuable information (hereinafter referred to as a respondent/participant of research):

- a) Before an individual becomes a participant of research, he/she has been notified of:
 - the aims, methods, anticipated benefits and potential hazards of the research;

- his/her right to abstain from participation in the research and his/her right to terminate at any time his/her participation; and
 - the confidential nature of his/her replies.
- b) No individual shall become a participant of research unless he/she is given the notice referred to in the preceding paragraph and provides a freely given consent that he/she agrees to participate. No pressure or inducement of any kind shall be applied to encourage an individual to become a subject of research.
- c) The identity of individuals from whom information is obtained in the course of the Project shall be kept strictly confidential. At the conclusion of the Project, any information that reveals the identity of individuals who were subjects of research; shall be destroyed unless the individual concerned has consented in writing to its inclusion beforehand. No information revealing the identity of any individual shall be included in the final report or in any other communication prepared in the course of the Project, unless the individual concerned has consented in writing to its inclusion beforehand.
- d) Objectivity versus subjectivity in this research is another important consideration. The researcher will make sure personal biases and opinions do not interfere with the research; hence both sides will be given fair consideration; and
- e) In doing research, the researcher shall not take advantage of easy-to-access groups of people (such as children at a daycare) simply because they are accessible. The respondents/participants chosen are based on what would most benefit this research.

1.8 Chapter Outline

CHAPTER ONE: Introduction and General Orientation

This chapter is a brief background on the envisaged study and the contents thereof; what it entails and what it aims to achieve. It serves as a guide to the study.

CHAPTER TWO: Literature Review

In this chapter, a list of sources is compiled to explain the study and give an overview about the contents of the study. It gives the theoretical framework of the study.

CHAPTER THREE: Research Design and Methodology

It includes the research design and methodology, which covers the procedures of how the study was conducted and the method of collecting data from the respondents.

CHAPTER FOUR: Presentation and Analysis of data

This chapter focuses on the process of data collection; interaction with respondents and interpretation of the findings.

CHAPTER FIVE: Conclusions and Recommendations

This is the final chapter in which the researcher gives an overview of the study and findings thereof.



1.9 Conclusion

It is important that all national development plans are linked across all spheres of government. This will ensure integrated service delivery. All government spheres need to create a common vision and strategies for effective service delivery. A partnership between local and provincial government should be conducive so that their planning instruments relate and link with each other. Strategic plans and integrated development plans need to address national priorities. Integrated and cooperative governance should be promoted at all levels. Chapter 2 deals with the literature review.

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CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The South African legislation requires formulation of Provincial Growth and Development Plans (PGDPs) that should guide each departmental strategic planning process; in the same way the latter should incorporate the priorities of local government through Integrated Development Planning (IDP). These strategic plans would tie the IDP to budgets and performance measures of the province as a whole, in terms of service delivery.

The purpose of a strategic plan, as Eadie (2000:124) suggests, is to maintain a favorable balance between an organization and its environment over the long run. A strategic plan can be defined as a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does and why it does it (Bryson, 1995:45). The most important issue, however, concerns putting plans into action. Strategic planning is an action-oriented type of planning that can only be useful when it is carefully linked to implementation and this is often where the process breaks down.

Thus; effective strategic planning should be an all encompassing process of developing and managing a strategic agenda, hence (Koteen, 1998:18) defines it as a broad concept that embraces the entire set of managerial decisions and actions that determine the long-run performance of an organization. Toft (1989:6) portrays it as an advanced and coherent form of strategic thinking, attempting to extend strategic vision throughout all units of the organization

Strategic planning is the primary element but not the essence of strategic management-the other component includes implementation and evaluation (Halachmi et al., 1996:165). While strategic planning is a central element, strategic management is a holistic and much more demanding process; departments achieve strategic planning results through the effectiveness of its overall capacity for strategic management.

The compilation of the IDP undergoes a number of phases to ensure a comprehensive planning that links provincial development goals and the objectives of local government. There are five distinct phases, namely, Analysis, Strategy Formulation, Project Identification, Integration and Approval, which consider the linkage to Strategic Planning in the province.

In this chapter, planning will be defined, theories of planning discussed and integrated development planning will be examined and analysed. The legislative framework in which planning is based will guide the ensuing discussion.

2.2 Planning: An Overview

An overview of planning will now be made.



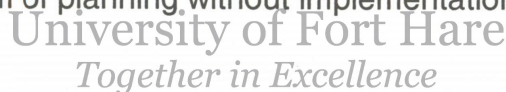
What is planning?

The formulation of plans enables organizations to survive in a very dynamic and turbulent environment. Some scholars argue that, planning is time-consuming therefore planning should not be done. However, many studies show that the relationship between planning and organizational performance, is associated with increased/improved as well as comprehensive attainment of goals. Planning is believed to facilitate the attainment of an organization's mission and long term goals. It is understood in Smit and Cronje (1999:110) that planning encompasses defining organizations goals, establishing strategies (strategic plans) for attaining these goals and developing a comprehensive plan eg IDP to integrate and coordinate activities in the organization that is what is to be done, as well as how it is to be done.

Alexander (1992:39) defines planning as an agent of rationality in society and further argues that to understand planning and the planning process, one needs to know about rationality, its uses and limitations and how it is involved in individual and social decision making. Smit and Cronje (1999:110) define planning as the process of reconnecting the organization's resources (internal environment) with threats and opportunities caused by changes in external environment.

Alexander (1992:69) also views planning as a process of human thought and action based upon that thought. In an analysis of planning components, Alexander (1992:69) further suggests that every action is the result of complex process, of which planning is an integral part. This approach to planning has its major flaw: what will be there to distinguish planning and as well as giving planning any particular attention in an organisation?

Planning must also be anticipatory in nature which equates planning with foresight in formulating and implementing programs and policies or advance lay out of a programme of actions (Alexander, 1992:70). Planning therefore enters into a rational human action system. Many scholars of planning strongly disagree with the notion of linking planning with action and argue that this does not distinguish planning from other components of behavior or action not planned. Other scholars define planning as the control of the future but this also does not provide criteria for evaluation and these scholars strongly reject any form of planning without implementation.



From the above discourse it is clear that defining planning is not an easy matter; therefore, it is in the interest of this research to be clear in defining what is not planning as opposed to planning. The following will assist in sharpening the understanding of planning that applies to provincial strategic planning and integrated development planning:

- planning cannot be routinised because problems will not always be the same, therefore there should be a distinction that differentiates the apparent from real planning activity in an organization;
- planning has little or nothing in common with trial and error approaches to problem solving. Decision making based on incremental trials is not planning;
- planning is not just imagining desirable futures but also stating explicitly the means for achieving that; and
- planning is not just making plans - the linkage between plans and actions stated in the above discourse of what planning is, is now generally recognised.

Planning, therefore, needs a sound knowledge, relevant skills and the right value of orientation to apply the principles of planning successfully; if goals are clearly formulated and plans unambiguous, tasks and resources can be allocated in such a way that goals can be realised efficiently. The increasing complexity and demand for services make planning essential for both provincial and local government (Davidoff et. al, 1995:103). It is imperative to discuss the theories of planning and how they are applied in organizational day to day activities.

2.3 Theories of planning

Developing good models is an important key to translating strategic plans into operating plans/action. Two types of models have been identified, each equally important, they emerge from the planning process: a function or process model, which describes major functional responsibilities; and data models, which describe significant data hierarchies. Several types and levels of models should be used in the successive refinement of strategic plans into executable application projects (Blumenthal, 2003:37).



Three levels will be discussed, although in practice the number of levels will depend on the needs of the individual organization. These three levels are:

- strategic models;
- application group models; and
- application systems model.

2.3.1 Strategic Models

First, at the strategic level, a general model is needed to provide a high level framework. The network should provide a visual depiction of the strategic long range objective of the strategic and operational plan.

2.3.2 Operational/Application Models

The transition from the strategic analytical framework just defined; to an application project definition involves the following steps:

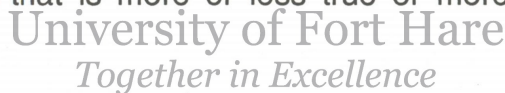
- aggregation of functions into application group function models;
- definition of application group data models;

- analysis of function and data relationships that includes development of a time cycle chart and definition of application project function and data models (Blumental, 2003:40).

2.3.3 Application Systems Model

An application systems model is a process of reaggregating these functions. These groups may closely parallel the major functions identified in the realization of a collective goal.

The number of levels and the scope of Application Groups will depend on the size, type, and diversity of an organization. Application Groups could be developed for each division in a highly decentralized corporation, or for an entire corporation of a smaller size. Application Groups are then further subdivided into individual, implementable Application System Projects. In trying to describe various approaches to planning, it should be noted that there is no approach that is more or less true or more accurate than any other.



2.3.4 Substantive/Sectoral Models

A substantive/sectoral model differentiates between different types of planning activities such as physical, economic, transportation and health planning (Blumental, 2003:40). This model will assist the researcher to seek answers as to why there seems to be a gap in the formulation of Department of Local Government and Traditional Affairs strategic plan and Alfred Nzo District Municipality Integrated Development Plan (IDP) in terms of the above-mentioned planning activities. When problems are identified and goals well articulated in the planning process, the shortfalls in the issues of service delivery will improve. This would be achieved if plans of DLGTA and IDP of Alfred Nzo Municipality are aligned and coordinated.

2.3.5 Instrumental Models


This model focuses on the variations in planning objectives and the tools employed to achieve them. It involves regulatory planning, one that describes a desired end-state and regulates decisions and actions to bring that state

about, usually by prohibiting those that are not within approved categories or limits.

2.3.6 Contextual Models

Contextual models relate more to their context in time, social institutions, and value-ideological premises. They have gone through the end of time; a succession of another kind of planning model defines the context as a distinct planning area. The model recognizes the complexity of factors affecting and affected by what were previously perceived as purely physical decisions; actually it aims to take all factors into account in a rational, analytic planning process, also known as rational planning process.

It assumes that the planner knows or can discover other people's needs and that a central planning agency has the authority and autonomy to develop planning proposals through rational analysis, as well as the power to implement them (Pollit et al., 2000:97).

The logo of the University of Fort Hare, featuring a sun with rays above an open book. The book has the Latin motto 'IN VIDE BILUIS' on its pages. Below the book, the motto 'TOU PLOMEN' is visible.

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The main focus of strategic planning is on the changing future not the present or the past. In other words it is a management tool that will help an organisation to do a better job.

2.4 Legislative and Policy Framework

As highlighted in the previous chapter, lack of integrated and cooperative governance is one of the most critical shortcomings this province is faced with (Policy Speech, 2008/9:14). A number of policies have been developed to ensure the linkage between Strategic Plans (SPs) and IDPs, but this leaves much to be desired.

In the 2008/09 Policy Speech, the Department of Local Government and Traditional Affairs (DLGTA) highlights that it derives its mandate fundamentally from the Provincial Growth and Development Plan (PGDP) as it contributes to eradicating poverty and to transforming the instruments of public sector service delivery. In pursuing this mandate the department

commits itself to the Five Year Local Government Strategic Agenda (5YLGSA), which is the blue print for effecting sustained improvements by:

- mainstreaming hands on support to local governments;
- addressing the structure and governance arrangements of the State in order to better strengthen, support and monitor local government; and
- refining and strengthening the policy, regulatory and fiscal environment for local government and giving greater attention to the enforcement measures.

Primarily informed by the lessons of the transition phase, the period post 2000 and feedback from the electorate in the 2004 national and provincial government elections, government reached the conclusion that many citizens were not sufficiently benefiting from the new system of local government, most of which is caused by the mislinkage of development plans (Department of Local Government and Traditional Affairs Policy Speech 2008/9:2).


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The democratic government of South Africa has clearly made great progress in the promotion of co-operative government and intergovernmental relations (Fox & Meyer, 1995:66). This was done by creating a constitutional and institutional framework to encourage co-operation and interaction among the established three distinctive spheres of government, which are interdependent and interrelated (*The Constitution of the Republic of South Africa* 1996, Section 40 (i)).

Planning policy activities and budgets needs to be co-ordinated in order to improve intergovernmental relations among the three spheres of government, (Mentzel & Fick, 1996:101). They define intergovernmental relations as:

...formal and informal, multi-sectoral and sectoral, legislative, executive interaction entailing joint decision-making, consultation, coordination, implementation and advice between spheres of government at vertical as well as horizontal level and touching on every government activity.

In this spirit, and the spirit of business un-usual, as well as in the interest of improving Intergovernmental relations to provide such integration, the DLGTA has launched the Municipal Support and Intervention Framework. The Municipal Support and Intervention Framework is aimed at ensuring that the department moves away from ad hoc support to municipalities to a much more focused and co-ordinated approach. This is done through a consultative process involving municipalities (Mayors and Municipal Managers) in the Province and the South African Local Government Association (SALGA).

The critical elements of the framework include:

- the categorisation of municipalities based on capacity levels and identified needs;
- setting up of a support providers' forum;
- data base development;
- deployment strategy;
- type of support and intervention;
- municipal support plans; and
- municipal support units.

The Department prioritizes the implementation of the Intergovernmental Relations Framework Act (Act 13 of 2005). The importance of Intergovernmental Relations lies in its facilitation of dialogue and planning across all spheres of government; primarily focusing on supporting local governments, Hanekom (1997:233) points out that the key focus of the department is to ensure effective and efficient functioning of both the provincial and municipal Intergovernmental Relations Forums which are both aimed at ensuring a coherent government.

Implementing the Intergovernmental Relations mechanisms and processes, DLGTA better aligns planning at a national and provincial level with planning at municipal level. All these efforts must be focused on supporting municipalities to implement their Integrated Development Plans (IDPs). Intergovernmental Relations will further play a role in encouraging the sharing

of experiences through twinning arrangements between municipalities nationally and internationally. This is a necessary step to improving the ability to find what works and what does not. More of these collaborative initiatives promote linkages of development plans (Pycroft, 1998:240).

Atkinson and Rietzes (1998:75) agree that irrespective of the independence of each sphere in terms of the respective constitutional roles, co-operation is emphasized in order to ensure that good governance is in place and that there is synergy in operations so as to enhance effective functioning towards the enhancement of the democracy. The table below is a summary of the available legislation on both Strategic Planning and IDPs.

Table 1: Policy and Legislative Mandates

Legislation	Description
White Paper on Local Government, 1998	<p>The White Paper identified the IDP as a key tool of 'developmental local government' (meaning local government that is concerned with promoting the economic and social development of communities) and linked the IDP to a broader package of instruments which include performance management tools, participatory processes and service delivery partnerships.</p> <p>The White Paper emphasized the role of the IDP in providing a long term vision for a municipality, setting out its priorities, linking and co-ordinating sectoral plans and strategic plans, aligning the implementation needs and strengthening the focus on environmental sustainability and providing the basis for annual and medium term budgeting.</p>
Intergovernmental Relations Framework Act, 2005 (Act 13 of	The IGRA is a response to the limited successes in the alignment efforts among the three spheres

<p>2005). (IGRA)</p>	<p>of government. The Act creates a framework to support intergovernmental co-operation and co-ordination as required by the co-operative governance.</p> <p>The implementation framework of the IDP depends on the ability to influence the investment and spending of other spheres of government; the Act also represents an important support mechanism to the IDP process. It provides for the obligation of all spheres to participate in the planning processes of the municipality and in turn allow their own planning process to be influenced by the municipal IDPs.</p>
<p>Local Government Transition Act, (Act 97 of 1996)</p>	<p>Provides revised interim measures with a view to promoting the restructuring of Local Government and for that purpose to provide for the establishment of Provincial Committees for Local Government as well as the establishment and appointment of Transitional Councils in the pre-interim phase.</p>
<p>Municipal Structures Act, 1998 (Act 117 of 1998) together with the Municipal Structures Amendment Act, 2000 (Act 33 of 2000)</p>	<p>These two Acts guide the establishment of municipalities as provided in the Constitution, in accordance with the requirements relating to types of municipalities, provides for an appropriate division of functions and powers between categories of municipality, and regulates the internal systems, structures and office –bearers of municipalities.</p> <p>They specifically focus on the division of powers and functions between district and local municipalities. The allocated powers and functions influence the content of an IDP and</p>

	<p>identify key issues that would require alignment of strategies and functions.</p>
<p>Municipal Systems Act, 2000 (Act 32 of 2000) as amended. (MSA)</p>	<p>Provides for core principles, mechanisms, and processes that are necessary to enable municipalities to move progressively towards the social and economic up-liftmen of local communities and ensure universal access to essential services that are affordable to all. The IDP is regarded as a key instrument in the given framework of intergovernmental planning and co-ordination.</p> <p>Municipal Systems Act also describes the legal nature of municipalities and the implications for the way that municipalities interact with communities, stakeholders and other spheres of government.</p>
<p>Municipal Finance Management Act, 2003 (Act 53 of 2003) (MFMA)</p>	<p>Provides for the governance of municipal financing, minimizing the opportunity for undue political influence. It clarifies the requirements of transparent and accountable practices in government and specifically in local government. The MFMA is particularly the financial cycle (schedule requirements) that influences the development and review cycle of the IDP to ensure a process of mutual influence.</p>
<p>Municipal Demarcation Act, 1998 (Act 27 of 1998) as amended.</p>	<p>The Act gives effect to section 155 (3) (b) of the Constitution that determines 3 categories of municipalities. It provides for criteria and procedures for the determination of municipal boundaries by an independent authority (Demarcation Board). The demarcation process considers factors that promote interdependencies between communities in the</p>



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	area, the municipality and other spheres of government.
Disaster Management Act, 2002	Provides for an integrated and co-ordinated disaster management policy in line with the Municipal Systems Act, 2000 requirement for IDPs to include a disaster management plan to identify and deal with risks.
<i>The Constitution of the Republic of South Africa, 1996. Section 154, Section 155(5.6 & 7)</i>	<p>The National Government and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and perform their function.</p> <p>Provincial Legislation must determine the different types of municipalities and by legislative and other measures must:</p> <ul style="list-style-type: none"> Provide for monitoring and support of local government in the province, and Promote the development of local government capacity to enable municipalities to perform their functions and manage their own affairs <p>Provincial government has the legislative and executive authority to see to the effective performance by municipalities of their function in the respect of matters listed in Schedule 4 and 5, by regulating the exercise by municipalities of their executive authority referred to in section 156(1)</p>

Source: Department of Local Government and Traditional Affairs, Strategic Plan (DLGTA), 2008/09-2010/11: 12.

Nationally, there is a strong refocus on more alignment within all spheres of government for effective service delivery. The planning system in South Africa continues to evolve through a learning process and in response to

broader government approaches (Todes et al., 2008:137). It is until recently, that the IDP was seen almost entirely as an instrument of local planning and co-ordination, although there was a requirement that the IDP should be aligned to national and provincial strategic plans (Todes et al., 2008:139). However, the emphasis now is on integrated or joined-up governance. The issue of integration is suggested as the cornerstone in these developments. Aristigueta (1999:58) agrees with Parsons (1995:52) that the idea to prioritise, align and coordinate government planning and ensure that departmental budgets are driven by nationally agreed strategic priorities. Within the provincial sphere, new attention has been given to Provincial Growth and Development Planning. These developments address the spirit of co-operative governance and intergovernmental relations in South Africa.

2.5 Co-operative Governance and Intergovernmental Relations.

Co-operative government is strengthened by the provision which *The Constitution of Republic of South Africa, 1996* makes. Participation by all spheres of governments in decision making and development plans should be observed. Various government levels have a constitutional duty to assist one another. This means that the National government must assist provincial governments to develop the administrative capacity that is required for the effective exercise of their powers and functions (*The Constitution of the Republic of South Africa, Second Amendment Act, 2003*). In the same Act, it is stipulated that the National and Provincial government by legislative and other measures must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their power and to perform their functions.

This study focuses on the vertical intergovernmental relations that exist between provincial and local government. In terms of Section 139 of the constitution, provincial government has the power and authority to intervene where municipalities fail to fulfill its executive obligation. Thus, a provincial executive must monitor and support the executive actions of municipalities within its area of jurisdiction; this is done to ensure that there is efficient and effective service delivery by municipalities as organs of state.

The plans of the entities that comprise the spheres of government must indicate how they are going to contribute to the task of providing basic services to the people.

2.6 Provincial Strategic Planning Process

The concept of strategy comes from military science. Strategy is the art of winning wars. In provincial governance it is not the business of winning wars, but is putting policy into practice. It is about winning in the work that departments do to ensure success in service delivery. Strategy is the 'how' in a department; it is the way in which the department decides to achieve its mission.



Strategic plans are built from a strategic thinking point of view, which views strategy as an ongoing process and insight. Strategic plans are quantified as an implementation plan into three categories as follows, short-term, medium-term and long-term. Fundamentally, all departments derive their strategic plans from the Provincial Growth and Development Plans. In the same way, a departmental strategic plan should fit with its vision, mission and values. This means that, when a department develops its strategic plan, it should establish a sectoral situational analysis. This happens when the department considers the position it is at and where it wants to be in a given period of time, usually five years. A lack of vision in an organization leads to a chaotic administrative activity; this means that certain opportunities can be used irrationally. The operational projects and programmes function best when they are integrated in a coherent framework and when there is coordination at a strategic level. In essence; a strategic plan seeks to identify what the department wants to do in alignment with the available financial and human resources. It also explains how the vision, mission and values of the department will be achieved. This is done through the development of strategic goals, which further tell who does what and why. In order to be successful, strategic planning needs to be related to all aspects within the department and one cannot underestimate the importance of strategic

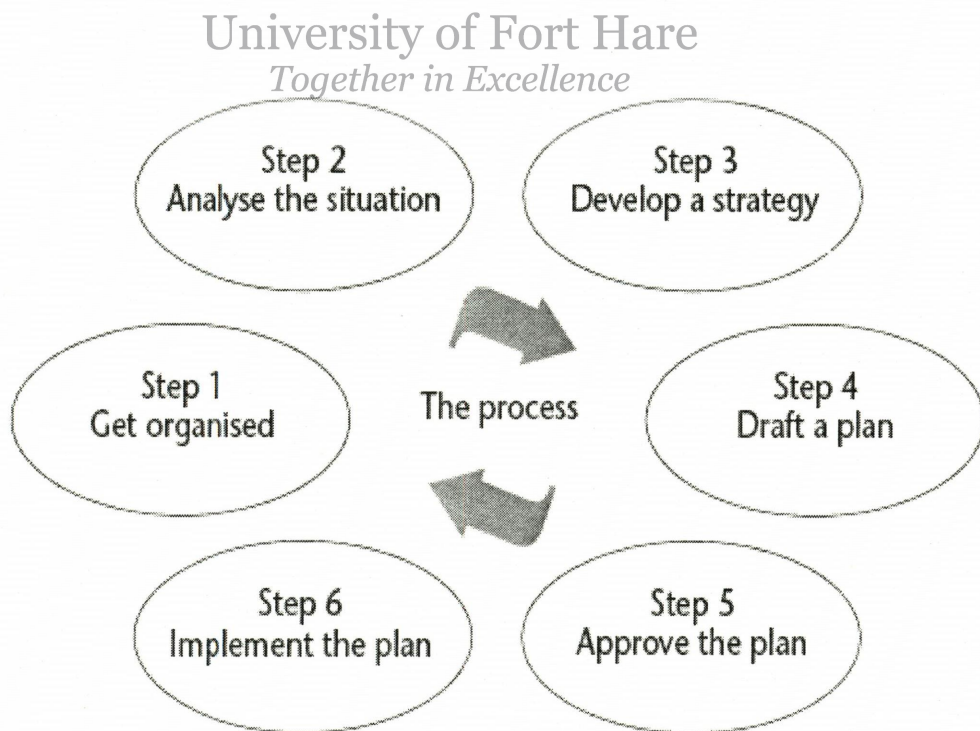
management in this regard as it is a broader concept which encompasses strategic planning.

Geyer (2006: 3) concurs with Van der Waldt (1999: 87) that strategic planning is about what to do, why it should be done, how it should be done and who should do it. Most importantly, strategic planning results in a participatory and inclusive process, which will lead to departmental functionaries and local government taking a common view to development. It also helps to define the purpose of the department clearly, which should lead to realistic planning and to realise what activities can help to achieve the overall goals of both the municipalities and the province.



Six stages have been identified when developing provincial strategic planning. Below is a diagram showing the processes involved in strategic planning.

Figure 1



Strategic Planning Process (Geyer 2006:12)

The steps are further explained and discussed below.

Step 1: Getting organized

It is important to get support from all the different sections of the department before the strategic plan is developed. This is done to ensure that the department has a full mandate from all stakeholders. In this stage, necessary resources, human and financial, to make the process a success; must be identified. This will promote allocation of responsibilities and assigned deadlines in the plan.

Step 2: Analyse the situation

It is important to exercise a situational, also known as an environmental analysis when developing a strategic plan. In this phase, both internal and external environments are analysed. The environmental analysis looks into the strengths, weaknesses, opportunities and threats of the department as it seeks to realize its vision, mission and values.

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➤ Internal Environmental Analysis

The department should take note of its strengths and weaknesses. The two form a core part of internal environmental analysis. An analysis considers the available human and financial resources against the projected goals of the department. This is where the department needs to distinguish between what it wants to do and what it can do, given the resources it has.

➤ External Environment Analysis

The department needs to consider change and dynamics in the outside world. This can be political, economic, technological, social, legal changes and the broad need of the community. The given factors can present themselves as threats or opportunities under which the department needs to position itself. All the information surrounding such environmental factors should be considered when developing strategic plan.

Step 3: Develop a strategy

At this stage, the department is now ready to begin identifying the strategies needed to address the environmental analysis based on departmental priorities. The department can now take each priority issue and develop strategies to address it. When the department chooses the best strategy to address each priority issue, the focus should be on the resources available to roll it out. In developing the strategies, the department should seek to answer the following questions:

- What are we trying to achieve?
- Why and what do we need to achieve this?
- How will we go about achieving it?
- What skills and resources do we need to achieve this?

Each strategy should have a goal and objectives to inform the plan, leading to the drafting of a proper planning document.



Step 4: Draft a plan

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The planning document is important because it will guide the future of the department. The planning document shows that the department is informed and aware of what is needed to address the needs of the community. It is in this plan that the department needs to show the time lines of each strategy, the caretaker of various programmes, for example, programme managers and their allocated resources, to achieve the strategy.

Upon completion of the draft plan, the department tables the plan at the Provincial Legislature for its approval.

Step 5: Approval and Implementation

Once the plan is approved by the Provincial Legislature, then the Operational Plan follows. This operational plan shows how the strategic plan will be implemented. Upon implementation, the principles and guidelines set out in the Public Financial Management Act 29 of 1999 must be followed. These principles promote fair and equitable expenditure of public finance to avoid fruitless expenditure, over expenditure and under expenditure.

All these processes and steps outlined above seek to ensure that there is cooperative alignment of development plans among all spheres of government.

2.7 Developmental Local Government and Integrated Development Plans

IDP is the focus of South Africa's post-apartheid Local Government planning system. It is now regarded as the key instrument of intergovernmental planning and coordination. Although the IDP was initially conceived of as an instrument of local planning and coordination, it is now linked, in an intergovernmental planning system, with instruments such as the national government Medium Term Strategic Framework (MTSF) and the Provincial Growth and Development Strategy (PGDS) (Harrison et al., 2003: 187).

The Integrated Development Plan is a product of integrated development planning process and can also be defined as a transformative tool towards enhancing service delivery at local government level (Davids et al., 2005: 199). The IDP is a principal strategic planning instrument which guides and informs all planning, budgeting, management and decision-making in a municipality. This mandate is derived from the Municipal Systems Act, which in terms of Section 25(1) calls for each municipal council to adopt a single, inclusive and strategic plan for the development of the municipality which:

- links, integrates and co-ordinate plans and takes into account proposals for the development of the municipality;
- aligns the resources and capacity of the municipality with the implementation plan;
- forms the policy framework and general basis on which annual budgets must be based; and
- is compatible with national and provincial plans and planning requirements binding on the municipality in terms of legislation.

2.8 Purpose of the IDP

The new role of local government includes provision of basic services, creation of jobs, promoting democracy and accountability, and eradication of poverty. Preparing and/or having the IDP therefore enables the municipality

to manage the process of fulfilling its developmental responsibilities. Through the IDP, the municipality is informed about the problems affecting its municipal area, this is being guided by information on available resources; thus it is able to develop and implement appropriate strategies and projects to address the problems.

IDP Planning Process

An IDP is one of the key tools for Local Government to cope with its developmental role. It seeks to arrive at decisions on issues such as municipal budgets, land management, promotion of local economic development, and institutional transformation in a consultative, systematic and strategic manner.



According to Section 27(2) of the Municipal Systems Act, 2000(Act 32 of 2000), a district municipality, within a prescribed period after the start of its election term and after following a consultative process with local municipalities within its area, must adopt a framework for an integrated development plan in its area as a whole. The Framework Plan provides the linkage for the establishment of binding relationships between the District and Local Municipalities in the District. In so doing, proper consultation, co-ordination and alignment of the IDP process of the District Municipality and its various Local Municipalities can be maintained. The framework should take into consideration the principle as contained in the National Spatial Development Plan (NSDP) and Provincial Growth and Development Strategy (PGDS) respectively.

Framework for Integrated Development Plan

The framework plan entails the following elements which outline in simple terms what has to happen and when, by whom, with whom, and where and it should include cost estimates. The Framework plan should at least include the following aspects:

- identification of plans and planning requirements binding in terms of national and provincial legislation on the district and local municipality or any type of municipality;

- identify common issues that call for alignment in the IDPs of both the district and local municipality;
- specify the principles to be applied and co-ordination mechanisms in respect of matters set out above; and
- the manner in which the amendments can be effected to the framework plan.

The framework plan in essence determines the structure according to which operations evolve. Once agreement is reached, then it is essential that the roll out plan or mechanics of 'doing' or 'implementation' is then put into place or developed. The next phase then calls for the development and approval of the Process Plan.



Phases of the IDP

The process of developing the IDP is dynamic and could be adapted to accommodate the community consultation process which is circumstantial in nature. The total programme spans over an expected nine month period and could be categorised in the following phases. The following needs to be prepared in advance:

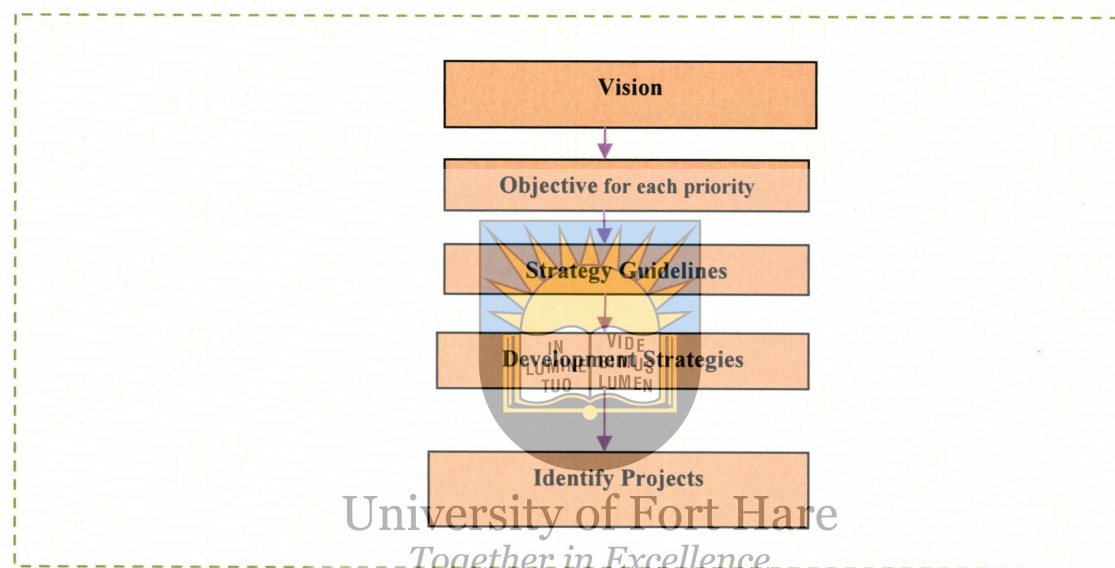
- roles and responsibilities need to be cleared and resources allocated accordingly;
- a community participation strategy must be in place and a procedure for alignment with external stakeholders; and
- a comprehensive analysis of the municipal area is conducted to establish priority areas.

After the analysis, it is important for the municipality to develop strategies that seek to address the vision of the municipality, its objectives for each priority issue and development strategy for each priority issue. The vision of the municipality must indicate long term development as well as emphasise the municipality's most critical development and internal transformation needs. The development strategies should be directed towards alignment with the

NSDP and PGDS and the planning requirement binding the municipality. What is critical herein is the need to seek synergy.

The diagram below indicates the step by step process in this phase.

Figure 2.



IDP Phases of development (Planact Enhancement Programme, 2001, and Department of Local Government and Traditional Affairs (DPLG) Process Manual)

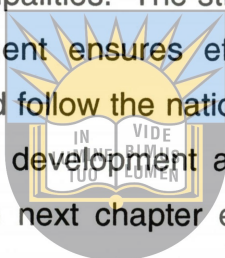
When developing IDPs; municipalities should seek to integrate projects and programs in line with the Council's objectives. The process also assesses project viability and sustainability. Integrated programmes are usually medium and long term plans. They are useful guides for annual business plans, budgets and general service delivery. This will provide an overall picture to be integrated with the overall IDP.

Approval is the final phase during which the IDP is approved prior to submission to the Members of Executive Council (MEC) for Local Government in the Province. Before Council approves the IDP, public comments must be considered. The MEC will review the IDP and when necessary make the required changes to ensure that it is in line with legislation, provincial and national strategies. Once the IDP is adopted, it

becomes a strategic planning instrument that guides and informs all planning and development. The approved IDP is binding on the municipality and all role players, including State Departments, parastatals, land owners and private developers who engage in development activities within the area of jurisdiction of a municipality.

2.9 Conclusion

Provincial departments have a constitutional responsibility to strengthen the capacity of municipalities, provide support and monitor their performance. It is imperative in order to promote the development of linked and aligned strategic plans for province and its municipalities. The strong focus on more alignment within all spheres of government ensures effective and efficient service delivery. All these efforts should follow the national guidelines, principles and policies for a shared vision on development aspects of service delivery in South Africa as a whole. The next chapter elaborates more on research methodology.



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CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

This chapter presents the research method and design followed by the researcher. A research method describes and explains the technique used to collect data and a research design provides a framework for the collection and analysis of data. However, researchers may vary according to which kind of method they utilize, but, the most prominent criteria for the evaluation of research are outlined and must be met, that is, reliability, replication and validity as well as consideration of ethical and sensitive issues involved in conducting research.



3.2 Research design

A research design provides a framework for the collection and analysis of data. It represents a structure that guides the execution of a research method and the analysis of the subsequent data. Many research designs can thus be followed. This study follows the case study design. A case study research design entails the detailed and extensive exploration of a specific case, which could be a community, organization or person, (Stake (1995) in Bryman, 2001:47). In this research, the case study is the Department of Local Government and Traditional Affairs (DLGTA) and the Alfred Nzo District Municipality.

3.3 Population

Mouton (2000:107) and Bless and Higson-Smith (1995:87) define the target as a set of elements on which the researcher focuses and from which, the results obtained by testing the sample, can be generalized. In this case, only the formulators of DLGTA's strategic plans and the implementers of the municipal IDPs form the target population because they were found to be relevant to this study.

In the DLGTA, three officials were interviewed. These included the provincial Director of Policy and Strategy, Director of IDP Coordination and the Director of Municipal Evaluation and Capacity assessment.

From the municipality three individuals were interviewed. These individuals form the IDP forum and steering committee. This group was composed of the Municipal Manager, IDP Manager and a councilor responsible for Local Economic Development (LED) and IDP.

This group is targeted because they are the ones who formulate and implement these plans so they are more knowledgeable on the subject matter.

3.4 Sampling Technique.

Sampling techniques may be grouped into probability and non-probability (Neuman, 2001:45). Non-probability sampling techniques were used because the chance that any member of the population would be involved was unknown and could not be guaranteed. A judgmental sampling technique was used. In this case, the researcher's selection of the sampling unit was arbitrary as the researcher relied heavily on personal judgment.

3.5 Research Methodology

Bryman (2001:29) and Mouton (1996:57) both agree that research methods describe and explain the technique for collecting data; this can however involve specific instruments, for instance, self completion questionnaires, survey, participatory action research or structured interview schedules

This research is concerned with the complexity and the nature of the relationship and the linkage between DLGTA's strategic plans and the municipality's Integrated Development Plan (IDP). In order to establish variation between these cases and to examine associations between the variables, it became necessary to adopt a systematic and, standardized research approach.

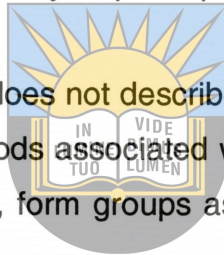


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Qualitative research methods were used by the researcher. Qualitative implies and emphasizes the qualities of the entities and the processes and meanings that cannot be experimentally examined or measured (if measurable at all) in terms of quantity, amount, intensity or frequency, (Denzini & Lincoln, 2003:13).

This research gives answers as to why there seems to be a gap in the formulation of provincial strategic plans and municipal IDPs; it was therefore appropriate for the researcher to make use of qualitative research methods. The emphasis is on understanding the social world through an examination of the interpretation of the real world by its participants.

The term 'qualitative research' does not describe a single research technique. There are many research methods associated with it, employing means such as, interviews, content analysis, focus groups as examples (Struwig & Stead, 2001:11).



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In this research, structured interviews were utilized. The researcher, firstly formulated general research questions, secondly, selected the relevant respondents, as Foster (1995 in Bryman, 2001:267) suggests and lastly executed data collection through interviews. This research often collected and analyzed texts and documents as well, especially the DLGTA Strategic Plan and the IDP review findings as well as Alfred Nzo District Municipality IDP.

3.5.1 Interviews

In conducting field work, the researcher used structured interviews for the Department of Local Government and Traditional Affairs as well as Alfred Nzo District Municipality. A research must give answers to the questions under study. For this reason, the researcher used structured interviews to get the answers; involving question and answer session where the researcher noted responses in writing. The researcher planned and structured specific questions and objectives. They are easier to prepare and manage.

Interviews were found to be reliable and valid because participants would engage, give their feelings, ask questions and provide explanations in the process. Participants talked about their experience as it applied to the formulation and implementation of the two plans.

The researcher made appointments with the targeted officials from the department and the municipality. Upon confirmation and approval of the dates and times, the researcher physically visited them in their work places. The researcher could not, however manage to meet with all targeted officials, so telephonic interviews were held, using the same structured interview guide and noting their responses in writing. It also took so long for the researcher to get respondents on time because they were hardly available when they were needed. They had other commitments to attend to, so the researcher had to wait for most of them to avail themselves.



3.5.2 Documentation

The research often referred to written documents in conjunction with the interviews. The range of documents used in this research included strategic plans, quarterly reports, service delivery budget plans, integrated development plans, IDP assessment results, annual performance plans as well as operational plans. The main challenge was that the municipality did not submit some of the documentation and among those that were submitted, they had not been compiled according to the guidelines.

The documents were compared in terms of their content, relevance and linkage on the objectives of each. This was done for triangulation purposes and to check whether DLGTA and Alfred Nzo municipality are consistent in their five year plans.

3.6 Conclusion

The choice of using interviews and a document analysis was to assist the researcher acquire all the necessary and relevant information from participants. The interviews were structured to promote uniformity across all participants and also, they ensured clarity to participants on how to answer or

respond to a question. Documentation assisted in that all the plans were used to correlate the information in assessing the linkage between DLGTA Strategic Plans and Alfred Nzo municipality IDP. Chapter four deals with presentation and analysis of data.



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CHAPTER FOUR

PRESENTATION AND ANALYSIS OF DATA

4.1 Introduction

Interviews were conducted and both DLGTA and Alfred Nzo's planning documents were analyzed. Findings from the field work are presented in this chapter. As indicated earlier, a qualitative research analysis was used. Purposive or judgmental sampling techniques were used and the following officials were found useful in this study. In the DLGTA, three officials were interviewed. These included the provincial Director of Policy and Strategy, Director of IDP Coordination and the Director of Municipal Evaluation and Capacity assessment.

From the municipality, three individuals were interviewed. These individuals form IDP forum and steering committee. This group was composed of Acting Municipal Manager, IDP Manager and a councilor responsible for LED and IDP. The names of the respondents are not mentioned for both anonymity and privacy purposes.

4.2 Responses from the Department of Local Government and Traditional Affairs (DLGTA)

During and after the interviews, the researcher noted the responses, analyzed the documentation and came up with own observations. These will be provided below.

4.2.1 Development of strategic plans against municipal capacity and involvement

The question was posed to the interviewee whether municipalities' capacity is considered in the development of Departmental Strategic Plans. In response to this question, the respondents acknowledged that they consider municipal capacity, but is given minimal consideration. The respondents say municipal capacity assessments are carried out to identify challenges facing municipalities in terms of capacity.

The documentation provided scanty information as it showed a lack of capacity development initiatives relevant for a specific municipality. From the documentation it seems that all the municipalities are treated under one blanket without consideration of specific municipal needs in terms of capacity. For instance, Alfred Nzo District Municipality is a rural and agricultural municipality, but when capacity is assessed, it is treated the same as others like Cacadu which is highly urban and industrialized. These two would need a different approach in terms of capacity assessment.

The researcher observed a lack of coordination in all capacity support interventions. The way in which municipalities are categorized and assessed should meet each municipal need. An agricultural municipality like Alfred Nzo should receive the kind of capacity assessment and assistance that seeks to address agricultural issues. These would include land agrarian transformation, rural development as well as land reforms. It is the understanding of the researcher that municipalities have to deliver according to the departmental strategic objectives, hence the question of their capacity.

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4.2.2 DLGTA assistance to Alfred Nzo District Municipality.

The department makes use of a Capacity Assessment Tool, which is a questionnaire that is capacity related. For example, the tool checks if financial annual reports are submitted and are they submitted on time and are they compiled in the correct format; if not so, the department will follow up and find out where exactly the problem is. DLGTA acknowledges that there are more than just individual or organizational challenges facing municipalities in service delivery. These include environmental challenges which are not so easy to address. Little support can be provided by the department in Alfred Nzo municipality because it is agricultural oriented and therefore only the Department of Agriculture and Rural development can assist in this field in so many more ways than the DLGTA. Seemingly, the intervention from the department is limited and new ways of doing it need to be created or generated and implemented effectively.

Documentation shows that when problems are identified through the use of the tool, it produces different results for different municipalities but nothing is done about it.

The researcher has observed that the DLGTA does not categorize these municipalities according to their specific skills challenges. They all are placed under one blanket and the intervention they receive is always the same although not always relevant to all municipalities, Alfred Nzo District Municipality included. It would assist the departments and relevant municipalities if upon identification of the problem, tailor made support is provided to overcome this challenge. This should appear in the DLGTA Annual Performance Planning (APP) on how to deal with different municipalities and to address specific IDP mandates.

4.2.3 Development and formulation of IDPs

An inquiry was made as to how the department assists municipalities in development and formulation of IDPs. In terms of formulation and development, the DLGTA participate nationally to develop the national IDP guide and IDP evaluation tool which all municipalities in the Republic should follow. It is, therefore, a constitutional mandate. Like all the other municipalities, Alfred Nzo District municipality then uses these tools to develop their IDP.

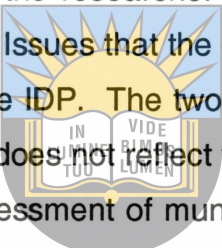
The document establishes guidelines and frameworks through which all municipal IDPs should be developed and formulated. It helps municipalities assess how implementable are IDPs and identifies weaknesses associated therewith so that the Department can assist.

The researcher has observed a lack of consistency in terms of the municipality's interpretation of the guide. This makes it difficult for plans to be developed and formulated in an integrated manner. If the DLGTA could be hands on to cascade it down to individual municipalities, Alfred Nzo District municipality's IDP would at least get the input from the Department itself and plans would then talk to each other.

4.2.4 Relationship between SPs and IDPs

The researcher was keen to check if there was any relationship between the departmental Strategic Plan and the municipality's Integrated Development Plan. Officials in the department confirm that they do not plan together with the municipalities. The IDP has been totally taken as the responsibility of the municipality. It also came out from the interview and responses from the departmental officials that the department does not have a clear understanding of IDP; hence they cannot assess or incorporate it into their Strategic Plans if they do not understand it.

In terms of document analysis, the researcher compared DLGTA's strategic plans with the municipality IDP. Issues that the department addresses in their plan are not related to that in the IDP. The two plans seem not to be closely related. DLGTA's annual report does not reflect what the department has tried to achieve in relation to the assessment of municipal annual reports (Section 46 reports). There is nothing peculiar to Alfred Nzo District municipality in the annual report.


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The department appeared disinterested in the content of the IDP, including whether the municipality has adhered to the democratic processes of developing the IDP. It is difficult to link the two plans because the municipalities are not involved in the development of Strategic Plans; in the same way the department does not play a role in drafting IDPs. Only the departmental officials are present in the development of strategic plans.

4.2.5 Monitoring of the implementation of provincial plans.

According to the respondents in the DLGTA, the department monitors participation of sector departments in municipalities to identify which departments are not participating and craft a follow up to see what can be done to improve the situation. An example of the Department of Education was given. This department was found not to be planning with the municipalities but the DLGTA convinced them to plan with the municipalities. However, the question remains, do they do this effectively with all other sector departments as well as National Departments like Water Affairs.

On this question of monitoring, the municipality's adherence to provincial plans, the researcher found that there is continuous intervention which can guarantee proper compliance by the municipality. They use a tool called Service Delivery Budget Plan, (SDBP). Since IDP is a five year plan, it is too long a time to wait for results; hence SDBP, which is only an annual plan, can check closely on the annual achievements of the municipality in relation to their five year mandate stipulated in the IDP. However, the SDBP content is not checked as to whether it complies with the national guidelines.

4.2.6 Tools/mechanisms to ensure linkage

Respondents from the DLGTA acknowledge that so far there has been no tool or mechanism to ensure linkage of the two plans, because they are not planned accordingly; hence they do not even talk to each other.

Alfred Nzo District municipality's IDP assessment findings do not appear anywhere in the DLGTA's annual performance plan. The researcher strongly feels that it would be necessary to use the IDP evaluation findings to identify municipal priorities and challenges so that they are able to develop strategies that can be used to assist municipalities to achieve their constitutional objectives as well as promote participation by municipalities in the sector departments plans to ensure linkage. As is, the departments do not even use the IDP assessment findings; hence they do not have any form of information that can help them plan in line with the priorities or challenges facing municipalities in service delivery.

4.2.7 Other critical issues

Looking at the participants in the formulation of Strategic Plans, only the departmental officials including Head of Department, Deputy Director Generals, Chief Directors and other Senior Managers are involved. Other Senior Managers would consolidate their units' input to the development of the whole strategic plan on which they will report upon actual development of the plan. Municipalities are therefore not involved in any way; this clearly shows that the plans do not address the common issues surrounding service

delivery at local level. The department could not furnish the researcher with reasons why municipalities were not invited to these discussions. Had it been the case that both parties sit and plan together, the question of linking plans and working for the common good would not be an issue when it comes to actual delivery.

The timing of these plans is not the same. The Public Finance Management Act, 1999 (Act 29 of 1999) (PFMA) as amended, prescribes that the departmental financial year starts on the 1st of April to 31st March of the following year, during which departments are already working on current Strategic Plans that seek to address the African National Congress(ANC) manifesto as well as government priorities highlighted in the State of the Nation Address (SONA) which aligns to the State of the Province (SOPA) so that National priorities are realized. Be that as it may, according to the Municipal Finance Management Act, 2003 (Act 56 of 2003) (MFMA), the municipal calendar runs from 1st of July to 30 June of the following year. Thus, municipalities are still working according to 2006 - 2011 IDPs, and that on its own presents a challenge when it comes to developing plans that coordinate. The researcher has also found that the goals and objectives of local government as highlighted in Section 152 of *The Constitution of the Republic of South Africa, 1996* are not necessarily the same with departmental mandate. The Department of Local Government and Traditional Affairs claims that they are not service providers but coordinators.

4.3 Responses from Alfred Nzo District Municipality.

4.3.1 Alfred Nzo District Municipality IDP

A research tool was administered in the municipality in question. The Alfred Nzo District municipality officials were asked if the municipality had an IDP and this was confirmed.

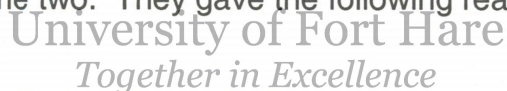
The current IDP runs from 2006 – 2011. As it is, it means the municipality will only have a new IDP after local government elections in 2011, one which will be aligned to current National and Provincial priorities.

The researcher did not understand why these two plans be done separately and in different time frames if they address the current and common needs that are highlighted as national priorities.

As much as IDPs cover three to five years, the municipality reviews plans annually. An IDP is reviewed against the progress on projections. The review also allows for current provincial priorities to be included for sound and effective service delivery. However, most of these priorities would not have been budgeted for; hence they cannot be fully/adequately addressed and cannot be made new plans.

4.3.2 Relationship between IDP and DLGTA strategic plan

Respondents from the Alfred Nzo Municipality highlighted that their IDP is guided by the National IDP guidelines. It focuses on the objectives of the municipality as mandated by the constitution. Officials believe that there is no relationship between the two. They gave the following reason:



IDPs are developed well after Strategic Plans have been developed. That is why, at provincial level it is almost impossible to link Strategic Plans to IDPs because by the time they are working on SPs, IDPs have not been generated. The likelihood is that, when IDPs are formulated, they may address certain issues highlighted in the provincial strategic plans. The difficulty comes when the municipality seeks to meet the needs of the communities as well as address issues highlighted in the Strategic Plans, because by the time IDPs are developed, certain issues have become things of the past or may no longer be community priorities. In as much as they may be highlighted as priorities in the province in 2009, by 2011 when IDPs are developed, the story may be entirely different; for example, the Department of Local Government and Traditional Affairs Strategic Plan highlights training and capacity development as a major priority now but, it may not be an issue for the municipality when they develop their IDP in 2011 onwards. Hence the disjuncture between the two plans.

The two documents were also analyzed by the researcher and priorities set in each document differ. The Alfred Nzo Municipality IDP highlights agriculture as its major priority. The DLGTA Strategic Plan does not address the Alfred Nzo District Municipality's agricultural priorities, but generalises across all municipalities, including those that are not even agriculturally oriented.

From the researcher's observation, one wonders how the department can play coordinating role when their plans are not synchronised. The IDP is service delivery oriented but the DLGTA officials are not familiar with Alfred Nzo District municipality IDP content, which makes it difficult to create a positive relationship between the two plans.

4.3.3 IDP formulation role players versus SP formulation role players

According to Alfred Nzo District municipality officials, DLGTA officials do not take part in the development of IDPs. It is only councilors and management in the municipality that develop IDPs. Moreover, broader forums are involved in the development of IDPs; these include Traditional leaders, social partners, government parastatals, the community in the form of ward committees and sometimes sector departments, who then send junior staff with little influence, to represent them. The broader forum ensures public participation because ward councilors represent the needs of various wards when developing IDPs.

Instead of the DLGTA personally guiding municipalities in the development of IDPs, based on the information they have for the direction municipalities should take, they hire consultants who know very little about the content that municipalities should address. Consultants only have the knowledge of how IDPs should be formulated but are not familiar with applicable national, provincial and local development plans. Municipalities' needs and priorities differ; hence using consultants across the board is again a recipe for disaster.

4.3.4 Alfred Nzo municipality involvement in DLGTA strategic plan formulation

On the role municipality play in the formulation of strategic plans, respondents say that the municipality sends information they may want to be captured in

the Strategic Plans, but the approach used to formulate Strategic Plans is top-down, and this type of approach according to Sabatier et al., (1989:288) is characterized by enhancement of compliance by implementing officials where the National Government lists areas of importance through the State of the Nation Address as well the ruling party's manifesto. Hence, the information given by the municipality is excluded from the Strategic Plans of the Department. Besides, by the time municipalities send this information, Strategic Plans have already been formulated to address current national priorities, which lead to the disjuncture highlighted above.

Upon consulting the DLGTA strategic plan, the researcher found that there was nothing specifically about the Alfred Nzo District Municipality, which means that whatever information they sent, was not captured in the strategic plan. The information coming out of the strategic plan shows a general approach for all municipalities. It is acknowledged from both the department and the municipality that there are no mechanisms they can use to ensure linkage between the two plans unless they are linked at the outset.

4.3.5 Information sort from DLGTA

The researcher asked the Alfred Nzo District Municipality officials exactly what kind of information, if any, do they obtain from the department when formulating IDPs, and also the researcher asked if this information was enough.

Respondents highlighted that they only obtain the IDP guide format as well as assessment results, and they are not enough, as they say, to guarantee a good IDP that is linked to provincial plans. Just as much as IDP assessments are conducted by the department, so that when IDPs are being formulated, such assessment results are incorporated into the IDP but the information is still not enough.

It remains unclear as to who should therefore be assessing Strategic Plans to see if they address municipal needs. Should it come from the municipality or coordinated at provincial level? The researcher is still inquisitive as to

whether developing a very good strategic plan would address municipal needs? In the past, departments have developed sound Strategic Plans but there has been nothing on the ground, hence the rationale for this inquiry.

4.3.6 Other critical issues.

The researcher asked if there are any challenges facing the municipality in delivering the SP's objectives and mandates? It came out clearly that the issue of different time frames during which they develop their plans, leaves a lot to be desired. While the municipal IDP is reviewed annually to accommodate new priorities set out by government, municipalities are not able to handle all these because already they have backlogs in other areas like housing and general service delivery. The new priorities will not receive sufficient commitment, budget and dedication as they should have if they had been planned and budgeted for.



The officials from the Alfred Nzo District Municipality feel that the National and Provincial Government must set goals and develop policies that are informed by the situational analysis based on community/municipal needs before they commit to unrealistic manifestos which are not implementable at ground level. For example, the issue of job creation has been made a priority at all government levels without much consideration of the current economic situation within which municipalities operate. It would appear difficult for the municipality to start looking at job creation while busy dealing with service delivery.

4.4 Conclusion

From the above analysis, the researcher can safely conclude that as much as the Alfred Nzo District Municipality tries to address the DLGTA strategic plans through their IDPs, certain areas cannot be adequately addressed. Also the time during which the two plans are formulated is different. IDPs are reformulated long after SPs begin to operate and issues raised in SPs do not now fit into the already existing IDP. All in all, the two plans are not linked. This causes challenges on resource allocation which results in a non-coordinated and non-integrated service delivery. It remains a challenge that

both spheres of government claim to do the same function of coordinating, but create confusion. The DLGTA maintain that they are not a service delivery agent, but rather a coordinator that makes sure sector departments deliver certain services. The municipality, on the other hand, being closer to the people, is seen as a service delivery instrument. However, the challenge arises when for example on health issues, people go directly to the municipality, which then argues that provision of primary health care is the mandate of the Department of Health while theirs is to coordinate provision for this service. At the end of the day, the confusion lies with regard to the issue of coordination; who coordinates what?

Chapter five concludes this research work and also provides recommendations.



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CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

The research dealt with the analysis of the linkage between Strategic Plans and Integrated Development Plans. The case study was the Department of Local Government and Traditional Affairs and the Alfred Nzo district municipality. Lack of integrated approaches to service delivery remains the central part of this study. The researcher wanted to find out whether these plans are linked, and if not, could that be the reason why delays in service delivery are a dire issue in Alfred Nzo.

5.2 Critical Issues

The first chapter of this study presents an introduction to the study. It also discusses the statement of the problem, objectives, hypothesis, as well as ethical considerations of the study. This section highlights critical issues that come out in this chapter. Developmental local government is a platform with which municipalities work with local citizens and organized groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives. At the heart of developmental local government is the formulation of vibrant and Integrated Development Plans (IDPs) where municipalities coordinate all developmental activities within their area of jurisdiction. Unless municipalities are able to link their IDP to provincial strategic planning, developmental local government will remain an unattainable vision.

Apparently, there is a lack of a shared focus on planning in terms of key development priorities between the DLGTA and the Alfred Nzo District Municipality. Moreover, a lack of shared understanding on the status and relationships of these strategic planning instruments results in the instruments not being effectively utilized and functions not performed as intended.

In the second chapter, literature about IDPs and strategic planning was reviewed. Provincial Growth and Development Plans (PGDPs) should guide

each departmental strategic planning process in the same way that the latter should incorporate the priorities of local sphere of government. Subsequently, strategic plans should tie the IDP to budgets and performance measures of the province as a whole. The most important issue, however, concerns putting plans into action. Whether its departmental strategic planning or integrated development planning, it should be an action-oriented type of planning that can only be useful when it is carefully linked to implementation. It is not enough to define government goals, establish strategies (strategic plans) for attaining these goals and develop comprehensive plans; a proper, linked and coordinated execution of these strategies should be ensured. What should be recognized is the linkage between plans and actions.



When goals are clearly formulated and plans are unambiguous, tasks and resources can be allocated in such a way that goals can be realised efficiently. The increasing complexity and demand for services makes planning essential for both provincial and local sphere of government. Developing good models is an important key to translating strategic plans into operating plans/action.

Chapter three presented various research methods used to conduct this study. It describes and explains research design, methodology and techniques used for the collection and analysis of data. In this, issues concerning reliability, replication and validity as well as ethical and sensitive issues were considered.

The case study of the researcher focuses upon the Department of Local Government and Traditional Affairs (DLGTA) and the Alfred Nzo District Municipality. It is from this population that results obtained by testing the sample, were generalized. A judgmental sampling technique was used; in this case, only the formulators of DLGTA's strategic plans and the implementers of the municipal IDPs formed the target population because they were found to be relevant.

Because of the complexity and the nature of the relationship and the linkage between DLGTA's strategic plans and the municipality's Integrated Development Plan (IDP), qualitative research methods were used by the researcher with an understanding that a systematic and standardized research approach would yield the much needed results.

The choice of using interviews and document analysis was to assist the researcher acquire all the necessary and relevant information from participants. The interviews were structured to promote uniformity to all participants and also, ensure clarity to participants on how to answer or respond to a question. Documentation assisted in that all the plans were used to correlate the information in assessing the linkage between DLGTA Strategic Plans and Alfred Nzo District municipality IDP.

In the fourth chapter, a presentation and an analysis of the data was carried out. The chapter highlights critical outcomes as raised by the departmental and municipal officials. There is a lack of capacity development initiatives that are relevant for a specific municipality. Municipalities are treated and classified under one blanket without consideration of specific municipal needs in terms of capacity. The Alfred Nzo Municipality is rural and agricultural in nature. Little support can be provided by DLGTA in Alfred Nzo municipality because it is agricultural oriented and only the Department of Agriculture and Rural development will have to assist in this field in so many ways than DLGTA can do.

A lack of coordination in all the capacity support intervention is seen as a major contribution to the disjuncture of the plans. Officials in the department confirm that they do not plan together with the municipalities. The IDP has been totally taken as the responsibility of the municipality. It also came out from the interview and responses from the departmental officials that the department does not have a clear understanding of IDP; hence they cannot assess or incorporate it into their Strategic Plans if they do not understand it. Issues that the department addresses in their plan are not related to what the IDP has.

As it is, there has not been any tool or mechanism to ensure linkage of the two plans, because they are not planned accordingly; hence they do not even talk to each other. The Alfred Nzo District Municipality's IDP assessment findings do not appear anywhere in the DLGTA's annual performance plan. Drafting of the two plans is done separately and covers different time periods. IDPs are working on a 2006-2011 five year plan while DLGTA strategic plans address 2009-2014 time period. This presents a challenge when it comes to developing plans that work together.

The goals and objectives of local government as highlighted in Section 152 of *The Constitution of the Republic of South Africa, 1996* are not necessarily the same with departmental mandate. The Department of Local Government and Traditional Affairs claim that they are not service providers but coordinators.

5.3 Recommendations

Based on the critical issues raised by both the DLGTA and Alfred Nzo District Municipality officials, the following recommendations are drawn:

- a. The researcher recommends joint planning. This means that the department should make contributions in the formulation of a municipal IDP. There must be a series of engagements of information sharing. The DLGTA must take all the IDP assessments and incorporate them in their Strategic Plans. DLGTA must seek the interest in the content and process of the IDP so that they can be in a position to assess the annual performance of the municipalities in accordance with provincial plans. A joint planning forum should be established to drive this process. It must be composed of DLGTA senior officials, sector department's senior officials, municipal and other senior managers.
- b. Municipalities should also be re-categorised according to their capacities over and above the existing categorization. As much as the Cacadu District Municipality and the Alfred Nzo District Municipality are both Category C municipalities, they differ so

much in terms of capacity. The DLGTA's intervention will therefore take into consideration the capacity each municipality has and then address each municipality accordingly. This can only be achieved through capacity assessments which are capacity related and not compliant related. The Alfred Nzo District Municipality is always behind in their plans and financial annual reports. DLGTA should pick up and analyse these trends so that they can capacitate the municipality in this regard.

- c. While National Government sets out national priorities, policies and programmes it must do so in consideration of the existing challenges facing municipalities. In so doing, municipalities should raise their concerns to the provincial level, while the province considers what the State needs to address. In this approach, not everything is coming from the top; neither is it all coming from the bottom, but these parties should meet somewhere in the middle through continuous dialogues and consultation.
- d. In terms of different times with which these plans are formulated, the researcher recommends that local government elections must be moved from 2011 to 2014, so that when the municipality develops its IDP, it will be in conjunction with DLGTA strategic plans. The current strategic plan extends to 2014, while the current IDP is left with only two years before another is developed. These documents should be revised bi-annually to meet the requirements labeled in accordance with service delivery.
- e. The researcher recommends that the DLGTA change to Corporative Governance and Traditional Affairs as it is nationally. This change will also address the roles and responsibilities of these two spheres. It needs to be stipulated exactly what and which sphere coordinates. In this clarity of

roles, the coordinating part needs to be left in the hands of the municipality as they are the custodians of service delivery. The Alfred Nzo Municipality is closer to the people; it would be much easier to play that role because they know exactly what needs to be addressed within their area of jurisdiction. The adopted name change should suggest that the department provide leadership, support (financially and otherwise) and assistance to the roles played by the Alfred Nzo District Municipality.



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ANNEXURES

ANNEXURE A: PERMISSION LETTER

TO : THE OFFICE OF HOD/ MUNICIPAL MANAGER
Department of Local Government and Traditional Affairs/
Alfred Nzo District Municipality

FROM : MS V. G. SOGONI

DATE : 15 AUGUST 2009

SUBJECT : RESEARCH INTERVIEWS

The above matter refers:

Permission is hereby requested for student, V.G. Sogoni, Student Number 200507135, from the School of Public Management and Commerce, with the University of Fort Hare, to conduct research in your Department/Municipality.

The study is entitled "Alignment of the Eastern Cape Department of Local Government and Traditional Affairs Strategic Plans with Alfred Nzo District Municipality Integrated Development Planning for effective municipal service delivery". The study is conducted as part of the dissertation for a Masters degree in Public Administration with the University of Fort Hare.

The interview will take 10-15 minutes and therefore permission is requested to make the necessary appointments with officials who will assist in facilitating the process already indicated.

Your cooperation in this regard will be highly appreciated.

Thank you,



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ANNEXURE B : Interview Guide

Department of Local Government and Traditional Affairs

General

Overview

All provincial and local government planning is drawn from the Provincial Growth and Development Plan. This further informs provincial departments' strategic plans to execute their mandates, and upon this, the Integrated Development Plans should be established. All in all, all these plans should be linked to promote uniform and effective service delivery.

Respondents

Only those officials who formulate DLGTA's Strategic Plans and the implementers of the municipal IDPs are targeted as they are presumed to be relevant to the subject under study, which is the linkage of both the plans.

Guidelines

Please note that the information gathered during this research will only be used strictly for academic purposes, hence your privacy and confidentiality will be guaranteed.

Process

The researcher will administer the interview guide based on the direct engagement with respondents.

Communication

The researcher will engage the respondents in English.

Disclaimer

This interview guide has been prepared for a research project undertaken to fulfill the requirements of a Masters Degree in Public Administration at the University of Fort Hare.

Your participation will be greatly appreciated

Strategic Plans (SPs)

Question

1. In the development of SPs, is the capacity of municipalities considered?
2. If yes, how?
3. If not, why?
4. How does your department assist in the delivery of services by municipalities?
5. What is the relationship between Strategic Plans and Integrated Development Plans?
6. Who is involved in the formulation of Strategic Plans?
7. Do municipalities play any role in the formulation of Strategic Plans?
8. If yes, what role do they play?
9. If not, please furnish with reasons why?
10. How does the department ensure municipalities deliver according to provincial plans?
11. How does the department help municipalities in the formulation and implementation of IDPs?
12. Are there any monitoring mechanisms or tools to ensure linkage between the two plans?
13. What role do you think the department should play to ensure linkage between the two plans?
14. What mechanisms do you think should be put in place to improve planning in the provincial and local sphere of government?
15. What sort of information, if any do you ever obtain from local government when formulating strategic plans?

Other

Any other issues you would like to raise?



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ANNEXURE C : Interview Guide

Municipal Officials: Alfred Nzo District Municipality

General

Overview

All provincial and local government planning is drawn from the Provincial Growth and Development Plan. This further informs provincial departments' strategic plans to execute their mandates, and upon this, the Integrated Development Plans should be established. All in all, all these plans should be linked to promote uniform and effective service delivery.

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Disclaimer

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Your participation will be greatly appreciated

Integrated Development Plans (IDPs)

Question

1. Does your municipality have an IDP?
2. If yes, when was it last reviewed?
3. What is it reviewed against?
4. What is the relationship between the Integrated Development Plan and Strategic Plans of the DLGTA's?
5. Who is involved in the formulation of IDPs?
6. Does your municipality play any role in the formulation of the DLGTA's Strategic Plans?
7. If yes, what role would that be?
8. If not, how then do the two plans link together?
9. How does the DLGTA ensure or promote a positive relationship between SPs and IDPs
10. How does the DLGTA help your municipality in the formulation and implementation of IDP?
11. Are there any monitoring mechanisms or tools to ensure linkage between the two plans?
12. Are there any challenges facing the municipality in delivering the SP's objectives and mandates?
13. What role do you think the municipality should play to ensure linkage between the two plans?
14. And what should the department do about it?
15. What mechanisms do you think should be put in place to improve planning in the provincial and local spheres of government?
16. What sort of information, if any, do you ever obtain the department when formulating your IDP?

Other

Any other related issues you would like to raise?

ANNEXURE D

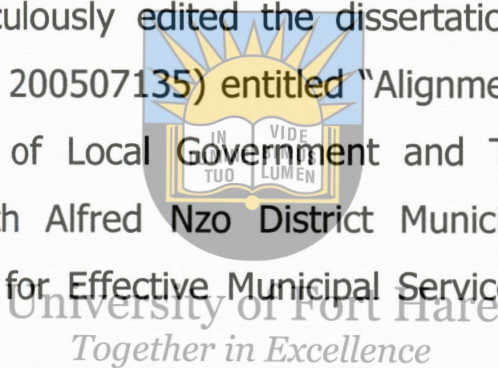
PO Box 544
Sovenga
0727

31 March 2010

To Whom It May Concern:

DOCUMENT EDITING CONFIRMATION

This letter serves to confirm that I, MM Mohlake, as a professional editor, have meticulously edited the dissertation of Vuyiswa G. Sogoni (Student # 200507135) entitled "Alignment of the Eastern Cape Department of Local Government and Traditional Affairs Strategic Plan with Alfred Nzo District Municipality Integrated Development plan for Effective Municipal Service Delivery (2007-2009)".



I thus confirm that the readability of this document is of a high level.

For any enquiry please do contact me.

Yours faithfully

A handwritten signature in black ink, consisting of several overlapping loops and a long horizontal stroke at the end, representing the name M. M. Mohlake.

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