THE ROLE OF COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS IN PROMOTING EFFECTIVE SERVICE DELIVERY. A CASE STUDY OF THE AMATHOLE DISTRICT MUNICIPALITY

BY

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DECLARATION

I, **Maxwell Haurovi**, student number **200706147**, do hereby declare that this dissertation entitled, **"The Role Cooperative Government and Intergovernmental Relations in promoting effective Service Delivery: A case of the Amathole District Municipality"** submitted at the University of Fort Hare for the Master of Administration (Public Administration) degree has never been previously submitted by me for a degree at this or any other university, that this is my own work in design and execution and that all material contained therein has been duly acknowledged.

Signature **Date**

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DEDICATION

To my late sister Virginia Haurovi, who sadly departed this poignant world a few months before the completion of this dissertation. May her loving soul rest in eternal amity.

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This dissertation would have been a futile exercise, if it wasn't because of the aid, guidance and supervision of, *supremus totus*, The Omnipotent Lord of the Universe, God the Almighty-The Creator of All and Everything. And the steadfast contribution of the following people, to whom I feel beholden, is worth mentioning.

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LIST OF ACRONYMS AND ABBREVIATIONS

ADM	Amathole District Municipality
ANC	African National Congress
DCD	Department of Constitutional Development
DFA	Development Facilitation Act
DHF	District Health Forum
DIMAFO	District Mayors' Forum
DLGTA	Department of Local Government and Traditional Affairs
DPLG	Department of Provincial and Local Government
ECDC	Eastern Cape Development Corporation
EPWP	Expanded Public Works Programme
FFC	Finance and Fiscal Commission
FOSAD	Forum of South Africa Directors General
GWMES	Government Wide Monitoring and Evaluation System
HDI	Historically Disadvantaged Individual
IDP	Integrated Development Plan
IGFRA	Intergovernmental Relations Framework Act
IGR	Intergovernmental Relations
LED	Local Economic Development
LGTA	Local Government Transition Act
M & E	Monitoring and Evaluation
MEC	Member of Executive Council
MIDP	Municipal Integrated Development Planning

MIG	Municipal Income Grant
MinMEC	Minister and Member of Executive Council
MSP	Municipal Service Partnership
MTEF	Medium Term Expenditure Framework
NCOP	National Council of Provinces
NEDA	Nkonkobe Economic Development Agency
NGO	Non-Governmental Organisation
NPC	National Planning Commission
NSDS	National Spatial Development Strategy
PCC	President's Coordination Council
PCF	Premier's Coordinating Forum
PGDP	Provincial Growth and Development Plan
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SALGA	South African Local Government Association
SDI	Spatial Development Initiative
SPSS	Statistical Package of Social Sciences
UNO	United Nations Organisation
ZAR	South African Rand

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ABSTRACT

The historic year of 1994 marked the demise of the apartheid government and its replacement with a new era of participative democracy in South Africa. Government in the new South Africa adopted a decentralised structure underpinned by chapter three of the Constitution (1996). Consequently, there are three spheres of government, which are, national, provincial and local levels. These spheres are obliged and mandated to mutually cooperate and support each other through peaceful interactions termed intergovernmental relations (IGR) which are aimed at achieving a cooperative system of government. IGR is institutionalised through forums which cut-across all spheres of government and such structures are established by the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005). Sustained intergovernmental cooperation can lead to an integrated and coordinated system of government, which can, deliver services effectively while meeting the needs of the citizens and ultimately promoting sustainable socio-economic development in South Africa.

The aim of this empirical study was to assess the role played by cooperative government and intergovernmental relations in promoting effective delivery of services in the Amathole District Municipality (ADM). Local government is the 'grassroots' government and it is where the actual rendering of services is situated which was reason behind the choice of the study area by the researcher. The study adopted a mixed-method research paradigm in which both the quantitative and qualitative research paradigms were triangulated to ensure that the validity and reliability of the research findings is improved. Data in the study was gathered from a representative

sample of seventy (70) respondents carefully selected using non-random sampling designs, *viz*, judgmental and snowball sampling. The study used both primary (questionnaires and interviews) and secondary (documentary analysis) sources of data to achieve the research objectives as validly as possible. Respondents in the study comprised of municipal officials, IGR practitioners, representatives from Community Based Organisations and the residents of ADM.

Data analysis was done using the Statistical Package of Social Sciences (SPSS) software and the mains findings of the study were that; ADM has got IGR forums in existence although some of these are dormant and dysfunctional, only three out of the seven local municipalities in ADM are cooperative in IGR, there is general lack of political will on the side of politicians in terms of support of IGR initiatives, political factionism and interferences is crippling IGR and cooperation, the legal framework for IGR needs revision and revamping, there are still communities without access to basic services in ADM, public sector planning cycles are fragmented and need synergisation and IGR is not being monitored and evaluated. The study therefore recommended that; the relevant stakeholders in IGR should be fully dedicated towards cooperation, planning cycles for public entities need to be synergised, the National Planning Commission (NPC) should take an oversight role in the entire planning process, the legislation should be enacted which has a clause for punitive action being taken against those who fail to cooperate in IGR and the national, provincial and local governments should prioritise access to basic services in communities cooperatively.

KEY WORDS

Amathole District Municipality

Cooperative government

Effectiveness

Intergovernmental relations

Local government

National government

Provincial government

Service delivery

Sustainability

CHAPTER ONE

INTRODUCTION AND

BACKGROUND OF THE STUDY

1.0 INTRODUCTION

The demise and dismantling of the apartheid system in 1994 saw a new dispensation of participative democracy take its node in the Republic of South Africa. The apartheid era, which was characterised by prejudice and racial discrimination, was replaced when a strong reconfiguration of the South African state was embarked upon. A new system of Intergovernmental relations (IGR) was introduced and developed, built upon the three existing spheres of government (national, provincial and local). This new mode of intergovernmental cooperation and mutuality is rooted in the Constitution of the Republic of South Africa (1996). One of the founding provisions of the Constitution (1996), is that of the superlative position of the Constitution (section 2), it declares that, the Constitution is the supreme law of the Republic and any law or conduct inconsistent with it is invalid, and the obligations imposed by it must be fulfilled. This prominence accords the Constitution an unassailable position within the entire Republic, including the arena of Public Administration. Enshrined within it, we derive some of the significantly influential clauses and guiding principles of the evolving constitutional democracy. This includes the principles of cooperative government, in chapter 3, which gave birth to the cardinally imperative notion of intergovernmental relations. It is beyond

reasonable doubt that cooperative government is one of the anchoring pillars of constitutional democracy in South Africa especially considering the fact of her undergoing a wind of changes since the dawn of the new era of democracy in 1994.

In the developmental government paradigm that has characterised the South African government since 1994, cooperative government would, by design, recognise the complementary manner in which the various levels of government should be galvanised for purposes of good government and thus facilitate the derailment and/or curtailing of any notion of national power aggrandisement (Mathebula, 2011: 841). The Constitution of the Republic of South Africa (1996) states in section 40(1) that, in the Republic, government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated. This forms the foundation of working together for one common goal of promoting public good. Impliedly, the fostering of sound intergovernmental cooperation is the only means through which such mutually and commonality towards development can be achieved. Section 41 (2) calls for an Act of Parliament to be enacted to promote intergovernmental cooperation. Therefore, Chapter 3 [section 41 (2) (a)-(b)] of the Constitution of the Republic of South Africa sums-up by stating that an Act of Parliament must:

- establish or provide for structures and institutions to promote and facilitate intergovernmental relations; and
- provide for appropriate mechanisms and procedures to facilitate settlement of intergovernmental disputes.

Consequently, a number of legislation and policy documents have followed, which emphasise on the importance of cooperative government, intergovernmental relations and the minimisation of intergovernmental disputes. These are, *inter alia*, The Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) and the Intergovernmental Fiscal Relations Act (N$^{o.}$ 97 of 1997). These pieces of legislation made great strides towards an efficient, economic, effective and hassle-free process of service delivery in South Africa, towards an impartial and better life for all citizens.

The system of intergovernmental relations and cooperative government in South Africa is rapidly evolving, not only because of its constitutional/legal framework but also because of the statutory commitment of the various spheres of government to the implementation of the principles of cooperative government and intergovernmental relations. This system of intergovernmental relations is crucial when policies are drafted or projects and programmes planned and implemented. Through the establishment of various institutional arrangements for intergovernmental relations and the successful operation of these structures it is expected that all three spheres of government will continually strive to co-operate with one another in mutual trust and good faith. Without the effective operation of intergovernmental relations in South Africa, projects and programmes cannot succeed.

1.1 BACKGROUND OF THE STUDY

According to the Eastern Cape Development Corporation (2011: 1), the Eastern Cape Province, on the southernmost coast of Africa, is the second largest of South Africa's nine provinces, covering around 14% of the country's land mass. The province has got 6 district municipalities, *viz*, Alfred Nzo, Oliver Tambo, Amathole, Ukhahlamba, Chris Hani and Western District municipality, along with two metropolitan municipalities (Nelson Mandela Metropolitan Municipality and Buffalo City Metropolitan Municipality). The Amathole District Municipality (ADM) was established after the first transformed local government elections in December 2000. The district stretches from the Indian Ocean coastline in the south to the Amathole Mountains in the north, and from Mbolompo Point (just south of the Hole-in-the-Wall along the Transkei Wild Coast) in the east to the Great Fish River in the west. It is a land of rivers and fertile floodplains, undulating grasslands, valley bush, pristine estuaries, beaches, forests and waterfalls. The bio-diversity of the district is often remarked upon, together with possible implications for future socio-economic developments and competitive advantages. ADM is bordered by the Cacadu, Chris Hani and OR Tambo district municipalities and covers a land mass of roughly 21 229km^2 (IDP, 2012/2017: 31).

The ADM economy of the district is dominated by Buffalo City, which comprises the coastal city of East London, King William's Town, Mdantsane and the provincial administrative capital of Bhisho. The administrative seat of Amathole district municipality is in East London and the municipality is headed by an executive mayor. According to

ADM (2012), the district has seven local municipalities, each containing at least one urban service centre. These are:

- Amahlathi local municipality (Cathcart, Stutterheim and Kei Road);
- Mbhashe local municipality (Dutywa, Willowvale, Elliotdale);
- Great Kei local municipality (Komga, Kei Mouth, Hagga-Hagga, Morgan's Bay and Chintsa);
- Mnquma local municipality (Butterworth, Nqamakwe and Centane);
- Ngqushwa local municipality (Peddie and Hamburg);
- Nkonkobe local municipality (Seymour, Fort Beaufort, Alice and Middledrift); and
- Nxuba local municipality (Bedford and Adelaide).

The population of Amathole District Municipality was estimated to be 963 363 inhabitants in 2010, and most of the residents reside in Mnquma local municipality (28%) with the remainder unevenly distributed across the remaining six local municipalities (IDP, 2012/2017: 32). ADM is predominantly Black African (97.6%) followed by coloureds with a 1.4% population, whites getting a 0.9%, and lastly Asians/Indians constituting 0.1% of the population (2012/2017: 33). Gender figures show a bias towards women (54%) and this has been attributed to the low life expectancy for males. Socio-economically also, there are more women-headed households in the district but most females lack sufficient disposable income due to lack of empowerment and emancipation policies, hence affirmative action and local economic development should be furthered and promoted in the district. Figures in the IDP (2012/2017: 35) are indicative high levels of poverty, with 79% of the district's

citizens earning an income of R1 200 or less per month. Furthermore there is a huge economic burden in the district, since 66% of the households in ADM are solely dependent of social grants. Putting this perspective, there is need for projects and initiatives aimed at addressing the plight of these poorest of the poor in Amathole.

Two of the Eastern Cape's Spatial Development Initiatives (SDIs) for concentrated economic development and economic empowerment, the Fish River and Wild Coast SDIs, fall partly within the Amathole region, making ADM the centripetal for the socio-economic empowerment of its inhabitants. Another economic development initiative, the East London Industrial Development Zone, endorsed by the Department of Trade and Industry, is aimed at export-oriented manufacturing and processing and is ideally located close to the airport and harbour, the only river port in South Africa. The district is renowned for its historical heritage as this was the area where nine colonial/frontier wars took place over a century between 1779 and 1878. The area is also renowned for its struggle heroes during the repressive apartheid regime (ADM, 2012: 5).

The genesis of intergovernmental relations in South African has got a historic significance to the contemporary study of IGR in the 21st century. Kahn, Madue & Kalema (2011: 51) explain that, the South Africa Act of 1909, being the Constitution of the Union, created three spheres of government (these were central, provincial and local spheres), but it provided little genuine originating powers to the lower ties of government. Thus, under the new system, the separate colonial authorities transferred most of their powers, functions and resources to the central authority and became

subordinate authorities of the new polity. This newly created and enlarged state acquired a unitary system of government but which included some federal characteristics (Worrall, 1971: 32).

Tapscott (1998: 2) notes that, it was a consequence of a need to accommodate the vested interest of the former British colonies and the two Boer republics within a united state, that the South Africa Act of 1909 introduced provincial government as a third tier of administration. Given the fact that before the unification the British colonies of the Cape and Natal followed a Westminster system of government while the Boer republic of Orange Free State and Transvaal were modelled along the Dutch system, it was logical to introduce a second tier of government in order to accommodate the differences that existed between the different administrative entities (Kahn, Madue & Kalema, 2011: 51).

The introduction of the provincial tier assigned some delegated powers to the four former political entities. This was intended to reduce antagonism and, in a way, to help foster unity. The provincial councils that were created were subordinate to the national legislature but possessed delegate powers to promulgate laws and ordinances (Omer-Cooper, 1994: 95). While the provincial councils derived their powers from the aforementioned South Africa Act, the real focus of the power within a provincial government lay in the office of the provincial administrator, who was a member of the ruling political party, was appointed for a period of five years, and was, in effect, an agent of the central government within the rank of deputy minister (Tapscott, 1998: 12).

With the dawn of the era of participative democracy in 1994, the Constitution of the Republic of South Africa (1996) established a decentralised government with three spheres (not tiers) of government who are interdependent, interrelated and autonomous. The national government has got more autonomy and powers but the provincial and local government has got exclusive executive and legislative powers in their own capacity. This led to the hierarchical structure of government where we have one (1) national government, nine (9) provincial governments and two hundred and eighty-three (283) local governments (municipalities). The relationships amongst and how these three spheres interact is what are termed intergovernmental relations, which are of paramount importance in upholding the principle of “oneness in separation” towards effective service rendering.

Amathole District Municipality, as a category C municipality (established by section 155(1)(c) of the Constitution), has a legislative mandate to achieve integrated, sustainable, social and economic development within its area of jurisdiction (IDP, 2012/2017: 144). Thus, such an obligation is executed by adopting an integrated approach to the planning and development for the entire district. This approach can only be possible when there is cooperation, mutuality, all involved stakeholders working in good faith and some constitutional provisions regulating such relationships. The Constitution (1996) as the supreme law of the land declares in section 154 that the national and provincial governments, who utilise legislative and other measures to support and strengthen the capacity of municipalities so that they can be able to manage their own affairs and exercise their powers and functions. Furthermore, section

83 (3) (c) of the Local Government: Municipal Structures Act (N$^{o.}$ 117 of 1998) requires district municipalities, through an integrated and sustainable approach, to build the capacity of local municipalities in their areas , and enable them to perform the functions as well as exercise their where such capacity is lacking. Section 88(1) of the Municipal Structures Act also encourages district municipalities to cooperate with the local municipalities in their own area by way of supporting and assisting one another in promoting sustainable socio-economic development. Therefore IGR and cooperative government are the catalysts which will aid national, provincial and local (ADM) spheres of government to cooperate, capacitate and support each other towards sustainable development through service delivery.

1.2 RATIONALE AND MOTIVATION FOR THE RESEARCH

The *raison d'être* of this study is that apposite, fluent and effective service delivery can only be attained when there is close, harmonious and mutual cooperation amongst national, provincial and local government. This can take shape by a full utilisation of the guidelines and statues which are in place to work towards such cooperative government goals. The then Department of Provincial and Local Government (DPLG) published the Practitioner's Guide to Intergovernmental Relations in 2008. This was in line with other supporting policy documents promoting cooperative government and intergovernmental cooperation. Such policy documents include, *inter alia*, section 40-41 of the Constitution of the Republic of South Africa (1996), the Intergovernmental Relations Framework Act (N$^{o.}$13 of 2005) and the Intergovernmental Fiscal Relations Act (N$^{o.}$ 97 of 1997). These are the chief documents underpinning this study.

The study entitled “The Role of Cooperative Government and Intergovernmental Relations in Promoting Effective Service Delivery. A case of the Amathole District Municipality” is a quite feasible research topic in the researcher’s opinion. There are gaps which exist in the current system of cooperative government and intergovernmental cooperation. Since South Africa adopted the decentralised form of government, the notion of ‘*Oneness in Separation*’ as postulated in sections 40-41 of the Constitution of the Republic of South Africa is not being fully utilised. This causes a lot of skewed and uneven patterns in the delivery of services, some Provincial Growth and Development Programmes (PGDPs), National Spatial Development Strategy (NSDS) and Municipal Integrated Development Plans (MIDPs) are not in harmony. For example in some cases, while most municipalities are ailing with huge service delivery backlogs in the Eastern Cape Province, the provincial government and its departments are under-spending. The various Intergovernmental Relations Forums are not being fully utilised and some spheres of government end-up under-resourced thereby hindering their developmental progress. So the crux of the study was to expose the existing gaps and loopholes in order to bridge the reality (status *quo*) with the required (standard).

1.3 STATEMENT OF THE PROBLEM

The standard of services offered by Amathole District Municipality is not living to its expectations. Although various mechanisms are in place to work towards sustainable local economic development, the residents of Amathole District Municipality remain quite vulnerable to poverty, hunger, destitution, unemployment and a bleak future.

Evidently therefore, based on this status *quo* in the municipality, most programmes aimed at achieving a given policy, face a lot of financial, logistical, human capital and cooperation glitches. Such inconveniences and problems are complicating service delivery. Cooperative government and IGR can, *mutatis mutandis*, assist in the progressive improvement of service delivery to ensure that it become more effective and thereby achieving a better life for all South Africans. The shift towards a full utilisation of principles of cooperative government as set in chapter three of the Constitution of the Republic of South Africa (1996) and in various pieces of legislation can be a stepping stone towards effective service delivery. **In this regard therefore, the purpose of this study is to assess the role played by cooperative government and intergovernmental relations (IGR) in promoting effective service delivery in the Amathole District Municipality.**

1.4 RESEARCH QUESTIONS

- Does Amathole District Municipality have structures promoting cooperative government, and intergovernmental relations (IGR) forums promoting sustainable service delivery?
- What are the problems and challenges faced by Amathole District Municipality in utilising cooperative government and intergovernmental relations to improve on the level and standard of service delivery in its area of jurisdiction?
- How can such challenges be minimised in order to ensure that sustainable intergovernmental cooperation is promoted and maintained in the municipality

towards effective service delivery and the sustainable meeting the needs of the community?

1.5 RESEARCH OBJECTIVES

The overarching objective of the study is to assess the role played by cooperative government and IGR in promoting effective service delivery for sustainable socio-economic development. The sub-objectives of the study are to:

- Assess and determine the existence of and functionality of structures and forums promoting cooperative government and intergovernmental relations (IGR) in Amathole District Municipality.
- Explore the problems and expose the challenges faced by Amathole District Municipality in utilising cooperative government and intergovernmental relations to improve service delivery in its area.
- Recommend strategies, mechanisms and solutions through which the identified problems and challenges can be minimised for improvement of service delivery and sustainable satisfaction of community needs.

1.6 SIGNIFICANCE OF THE STUDY

The researcher has identified various stakeholders (*inter alia*, policy-makers, politicians, political parties, IGR practitioners and professional peers or activists) who will benefit from the study and discuss how they would benefit. Hence the significance indicates how the study will benefit various stakeholders in the field of (P) public (A)

administration. In this regard therefore, the study will be of benefit to various stakeholders both on the short, medium and long run. Above all, policy-makers throughout all the spheres of government will reap maximum benefits since the recommendations will aid in reshaping policy direction aimed at promoting cooperative government and harmonious intergovernmental relations. The study will help recommend the smoothening of cooperation amongst all spheres of government and reduce intergovernmental conflicts, hence practically ensuring that the constitutional mandate of autonomy, interdependence and interrelatedness are observed in due course. Amathole District Municipality will also benefit, since the study will aid in exposing some of the grey areas of their policies and programmes related to intergovernmental relations thereby picking out those areas which need improvement and revamping. Also, mechanisms through which these local municipalities can effectively utilise cooperative government and intergovernmental relations towards sustainable service delivery can be derived from the findings of this study. Residents and other peer groups will benefit since IGR can contribute to a sustainable local economic development environment.

1.7 LIMITATIONS OF THE STUDY

Lutabingwa and Nethonzhe (2006: 700) express that the researcher has an obligation to make the shortcomings of the research known to the readers. It is for this reason that an attempt is made to highlight factors which have a bearing on the conclusions, findings and recommendations of the study. Nonetheless, since resources are always limited, access to finance, time and other logistical wherewithal, the study was constrained in

this regard. There was also a limitation of the subjectivity which might have characterised the responses of the research participants, which was beyond the control of the researcher. Also, the researcher could not handle the voluminous size of the target population, hence a representative sample of seventy (70) respondents was utilised. It should thus be mentioned that, in spite of the limitations mentioned in this section, they did not impact much on the results, in terms of the validity and reliability.

1.8 DELIMITATION OF THE STUDY

Delimitations address the issue of how a study will be narrowed in scope. How will the study be bounded? In this regard therefore, the researcher confined the study in Amathole District Municipality in the Eastern Cape Province (this includes the seven local municipalities under the Amathole district). The target population, sample and inferences on the data was carried out within this delimitated area, in which the evaluation of the role of cooperative government and intergovernmental relations in promoting effective service delivery will be undertaken.

1.9 CLARIFICATION OF KEY CONCEPTS AND TERMS

The study cooperative government and intergovernmental relations is hinged on a number of key interrelated terms and concepts. This conceptual framework is so important to the research and the researcher saw it vital to clarify these terms and concepts in this introductory chapter, in this section of the study.

1.9.1 Public administration

Dye (1987: 324) defines public administration as a practical phenomenon whose purpose is to provide services to the society. Whereas Cloete (1998: 1) views Public Administration is a universal phenomenon which consists of the numerous activities involved in the day-to-day work of public functionaries employed in a municipality of public institutions. He further explicate the definition by mentioning that, the manner in which the public administration is performed affects the quantity and quality of goods and services which public institutions provides to people. In any particular state the quality of public administration will largely determine the quality of community life. Therefore, it is essential that public functionaries should perform their work with honesty, zest, insight and skill.

Van der Waldt & Helmbold (1995: 1) explained that Public Administration as a field of study must educate officials and politicians to be sensitive to community values and norms. On the contrary they argue that public administration must comply with those requirements of the citizens of the country that have been authoritatively approved by political process as objectives of government. As a discipline, Public Administration is linked to the pursuit of public good through the enhancement of civil society and the social justice in order to make life more acceptable for citizens through the work done by officials within government institutions and to enable these institutions to achieve objectives at all three levels of government. Public administration as an academic field is relatively new in comparison with related fields such as political science.

Moreover Cotzee (1988: 18-20) provides an in-depth outline of what public administration details, as follows:

i. Public administration is the executive branch of government; civil service; bureaucracy; the formulation, implementation, evaluation and modification of public policy. The terms usually represents a broad ranging, amorphous combination of both theory and practice whose objectives are to promote an understanding of government and its relationship with society, to encourage public policies that are more responsive to social needs, and to institute managerial practices in the public bureaucracies that are designed to achieve effectiveness and efficiency and, increasingly to meet the deeper human needs of the citizens. The term also refers to all employees of the government excepts members of the legislature, the chief executive, and the judicial officials, or high level employees of the government departments or agencies that make non-routine decisions that set standards to be carried by subordinates.

ii. Public administration is decision making, planning the work to be done, formulating objectives and goals, working with the legislature and citizen organisations to gain public support and funds for government programmes, establishing and revising organisation. Directing and supervising employees, providing leadership, communicating and receiving communications, determining work procedures and methods, appraising performance, exercising controls, and other functions performed by government executives and supervisors. It is the action part of government, the means by which the purposes and goals of the government are realised.

iii. Public administration is a comprehensive and peculiar field of activity, consisting of numerous activities, processes or functions performed by public officials working in public institutions, and aimed at producing goods and rendering services for the benefits of the community. These activities or functions can be classified into three categories:

- Generic administrative functions or activities of policy-making, organising, staffing, the determination of work procedures and controlling.
- Functional activities peculiar to specific services such as education, nursing, public work, or defence.
- Auxiliary functions such as decision making, data processing, planning, programming and communication, which are necessary to simplify or expedite the execution of the generic administrative functions and the functional activities (Coetzee, 1988: 18-20).

In a nutshell based on the above definitional perspectives of public administration, it can be deduced that public administration consists of activities that form part of the executive, as opposed to the legislative and judicial powers of the administrative side of the government. The main objective of public administration should be to shepherd human and material resources in order to achieve the objectives of public policy and improve the welfare of the citizens/populace. The success or demise of these activities aimed at achieving policy goals depends on the expertise and ability of public officials to implement policy. Public administration is also viewed in its twin-dimensional form, that it, both as a discipline/ field of study and as an activity. In layman terms, the discipline

side of public administration equips the activity with the expertise on how to achieve the goals of the public with economic, effective and efficient precision.

1.9.2 Intergovernmental relations

According to Malan (2002: 228), Intergovernmental relations encompass all the complex and interdependent relations among various spheres of government as well as the coordination of public policies (including policies on sustainable development) among national, provincial and local governments through programme reporting requirements, grants-in-aid, the planning and budgetary process and informal communication among officials (Fox & Meyer, 1995: 66). Intergovernmental relations also refer to the fiscal and administrative processes through which spheres of government share revenues and other resources generally accompanied by special conditions that must be satisfied as prerequisites to receiving assistance. Intergovernmental relations are therefore a set of formal and informal processes as well as institutional arrangements and structures for bilateral and multilateral cooperation within and among the three spheres of government.

For Kahn, Madue and Kalema (2011: 11) intergovernmental relations refer to the mutual relations between all spheres of government and all organs of state in South Africa. They further expound that, the legislative framework for such relations and the hierarchic order of governmental institutions are specified in the Constitution of the Republic of South Africa (1996). The Constitution of the Republic of South Africa (1996: 25-26) promotes intergovernmental relations by setting out the principles of cooperative

government and all spheres of government bodies in South Africa (Watts, 2001: 22). Kahn *et al* (2011: 11) posits that, intergovernmental relations can be further subdivided into horizontal and vertical IGR.

Moreover Kanyane and Nazo (2008: 139), postulate that according to Chapter 1 of the Intergovernmental Relations Act (N$^{o.}$ 13 of 2005), intergovernmental relations are about relations among different governments or among organs of state from different governments about the conduct of their affairs. At its basic level, IGR is about the relationships among the three spheres of government and not tiers and how these spheres, national, provincial and local can be made to work together for the good of the country as a whole (DPLG, 2009: 1). In terms of the White Paper on Local Government (1998), intergovernmental relations are the set of multiple formal and informal processes, channels, structures and institutional arrangements for bilateral and multilateral interaction within and among spheres of government.

1.9.3 Cooperative government

Cooperation applies to circumstances in which people decide or are instructed to work together, also where citizens are given the feeling of involvement while exercising little real power (Fox & Meyer, 1995:28). No sphere of government can function effectively without cooperation with the other because of the interdependency and interrelatedness of some governmental functions, spill-overs in services, scarce resources and poor economic conditions and popular accountability as well as grassroots pressure (De Villiers, 1994: 430).

For Kahn *et al* (2011: 65) cooperative government is uniquely South African. They expand by writing that, the drafters of the South African Constitution decided to use the term cooperative government with the hope that the Intergovernmental relations system in post-apartheid South Africa would be consensual rather than conflictual in character. While IGR refers to the sum of total relationships between the different spheres of government based on either hierarchy or equality, the principles of cooperative government put these relationships into a normative framework. Section 41(1) of the Constitution of the Republic of South Africa spells out the ground rules for cooperative government. These rules include, *inter alia*:

- **Loyalty** to country and its inhabitants as a whole by those in charge of governing the country at all levels of government;
- **Respect** for the distinctiveness and the status of the different spheres of government; and
- The **positive duty** to cooperate with one another in mutual trust and good faith (Mathebula & Malan, 2002: 56).

On another note, Mathebula (2011:840) mentions that, the origins of cooperative government may be traced in the German *Bundestreue* concept, which entails a set of unwritten principles upon which relationships between national and regional government are based. The fundamental thrusts of *Bundestreue* are trust, partnership and respect for each other, and in the case of sub-national and national jurisdictions it would mean recognition of each other's defined constitutional responsibilities. The *Bundestreue* concept places sub-national and national jurisdictions under a political and legal

obligation to assist and support each other, to inform and consult on matters of common concern, to co-operate and co-ordinate joint projects, and to maintain friendly relations (De Villiers 1995: 4).

1.9.4 Local Government

According to Ismail, Bayat and Meyer (1997: 3), local government can be described as that level of government which is commonly defined as a decentralised representative institution with general and specific powers devolved to it by a higher tier of government within a geographical area. Furthermore, Roux and Nyamukachi (2005: 693), posit that it should be noted that local government refers to a sphere of government, and not to an individual municipality. All the individual municipalities in South Africa make up the collective sphere, known as local government (Reddy, 1996: 50). Municipalities were created for the whole of South Africa to render services in specific geographical areas/locality/jurisdiction (RSA Constitution, 1996: Section 151).

1.9.5 Developmental local government

Ababio and Mahlatsi (2008: 350) write that the White Paper on Local Government (1998: 37) defines developmental local government as local government committed to working within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives. The developmental role of local government encourages municipalities to address poverty, unemployment and redistribution in their respective areas. Municipalities are also required to participate in various economic development programmes of provincial and national government. As

the ‘grassroots’ government, a municipality is mandated to ensure that it promotes socio-economic development of is juridical area as stipulated in under objects of local government in section 152 of the RSA Constitution (1996).

1.9.6 Service Delivery

Fox & Meyer (1995: 118) posit that service delivery is the provision of public activities, benefits or satisfactions. Services relate to the provision of tangible public goods and to intangible services. Tangible public goods refer to the provision of services that are visual to the public, for instance the provision of hospitals, water and sanitation systems as well as public transport by the responsible authorities. Whereas intangible public goods refer to those services offered by the council which are essential to the public, although they are not visible for instance the provision of education, security and safety standards in a municipality. But with regard to infrastructure development, intangible public goods are made necessary by tangible goods. In short the two are inextricably interlinked.

1.10 PRELIMINARY FRAMEWORK FOR THE STUDY

The study consists of five chapters which are outlined as follows:

Chapter One covering the:

- introduction and the background to the study;
- rationale for the study;
- problem statement;

- research questions as well as the objectives of the study;
- limitations of the study as well as the delimitation and its significance; and
- clarification of key concepts and terms.

Chapter Two centred on:

- reviewing literature on cooperative government and intergovernmental relations;
- analysing cooperative government on an international perspective;
- probing various models of cooperative government and intergovernmental relations;
- outlining a synopsis of the South African IGR system;
- providing the theoretical approaches to intergovernmental relations and cooperative government;
- discussing the legislative framework on cooperative government and IGR; and
- the evolution of the South African system of IGR and cooperative government.

Chapter Three encompasses the:

- research design and methodology;
- the research paradigm adopted in the study;
- data collection techniques and research instruments;
- ethical considerations observed in the study; and
- sampling and sampling designs which the researcher has utilised.

Chapter Four details:

- the analysis, presentation and interpretation of gathered data both quantitatively and qualitatively in line with the research objectives.

Chapter Five is the concluding section which encompasses:

- the generalisations, conclusions and recommendations to various stakeholders based on the findings of the study in Amathole District Municipality.

1.11 CONCLUDING REMARKS

The study south to evaluate the role played by IGR and cooperative government in the delivery of services and promotion of sustainable socio-economic development in the South African local sphere of government. It took a case study approach and studied the area of the Amathole district municipality. Chapter one, as the introductory section of the study, has covered the preamble of the study which sought to investigate cooperative governance and intergovernmental relations as apparatus for effective service delivery. Additionally, the rationale of the study as well as the objectives and research questions has been alluded to. The section also clarified the key concepts and terms and it wrapped-up by providing a preliminary framework of the study in the chapter outline. The next chapter concentrates on literature review in the context of the research study.

CHAPTER TWO

LITERATURE REVIEW

2.0 INTRODUCTION

Chapter one introduced the study, explored and explained the objectives of the study and the research questions, the rationale for the study and the limitations of the study. The chapter also conferred the delimitation of the study as well as the preliminary framework of the study. The contemporary chapter with delve into a meticulous review of literature on the theme of cooperative government and intergovernmental relations. A literature review can be seen as a critical analysis of what others have written as well as the central issues and debates surrounding a research concept or topic. Hence this section is going to explore literature within the context of the study.

2.1 RATIONALE AND RELEVANCE OF LITERATURE REVIEW

Taylor (2001: 1) and Bless, Higson-Smith & Kagee (2006: 19) define a literature review as a structured evaluation and classification of what reputable scholars previously have written on a topic; the sources and identification of a particular research problem; the analytical points of departure employed and a guiding golden thread hypothesis. A literature review sets the basis for the analysis of research, enabling the researcher to comprehend the structure of the research problem and presenting the justification for the research (Obenzinger, 2005: 1). For Wellington *et al* (2005: 72), however, a

literature review relates only to the formulating of research questions, the framing and design of the research as well as the methodology to be used (Majan & Theron, 2006: 605).

Furthermore, Brynard & Hanekom (1997: 31), point out that, successful research depends on a well-planned and thorough review of the relevant literature available and such a review usually entails obtaining useful references and sources. De Wet *et al* (1981) as cited in Brynard and Hanekom (1997: 31), justifies a literature review by outlining the motive behind a literature review by providing that it is meant for, obtaining perspective on the most recent research findings related to the topic of the research; obtaining an indication of the best methods, instruments for measurement, and static, which can be used; in improving the interpretation of one's own research results; and helping in the determination of the actuality of research on a particular topic.

The literature review thus links, through the research process and the end product (for example in a thesis) the philosophical; theoretical; strategic; managerial and policy outcomes of the research. A literature review becomes the golden thread in a well planned and executed research process. In the quest to understand human nature and knowledge generation, the literature review is sometimes the key linkage (Majam & Theron, 2006: 605). Accordingly, the literature review section of a study becomes the pillar and cornerstone to the whole study because of its ability to build-up onto the whole revolving study.

2.2 COMPOSITIONAL STRUCTURE OF GOVERNMENT IN SOUTH AFRICA

Chapter three of the Constitution of the Republic of South Africa (1996) establishes three spheres of government which are distinct, interrelated and interdependent. This therefore further expands the government system, which South Africa adopted at its independence in 1994, a decentralised government system. The Constitution (1996) further establishes the compositional structure of these three spheres of government, namely we have one national government, nine provincial governments and two hundred and eighty-three (283) municipalities which make up local government. The three spheres of government are further expounded as follows.

2.2.1 National Government

According to the DPLG (2006:3), the 1996 Constitution establishes a national government, comprising a Parliament and a National Executive. National legislative authority is vested in Parliament, which consists of the National Assembly and the National Council of Provinces (NCOP). The NCOP comprises of delegations from each province. National Executive authority, which includes the power to implement national legislation, is vested in the President, who exercises this authority together with the other members of the Cabinet. Cabinet members are collectively and individually accountable to Parliament. National government is the top sphere in a pyramidal structure theoretical construct, and it has got numerous roles and responsibilities in overseeing the sustainable maintenance of peaceful relations through the entire system of government.

2.2.2 Provincial Government

The Constitution establishes and demarcates nine provinces, each with a provincial legislature and a provincial executive. Provincial legislative authority is vested in the provincial legislature. Provincial legislatures range from 30-80 members, elected for a five-year term. A province's executive authority is exercised by the Premier, together with the other Members of the Executive Council (MECs). They are collectively and individually accountable to their provincial legislature (DPLG, 2006:4). Each province should have an appointed representative to the provincial IGR forum called the National Council of Provinces (NCOP) which plays a very important role in the enactment of legislation and fostering of peaceful IGR in the Republic.

2.2.3 Local Government

Local government is a unique experiment in intergovernmental relations in South Africa. Guided by the constitutional principle of cooperative government, district and local municipalities must work together to achieve their often overlapping goals. They must coordinate their common policies, programmes and service delivery in synergy with each other. A district municipality and the local municipalities in its area share the local government functions in the district area. Metropolitan municipalities can be seen as self-governing but their policy programmes should not be inconsistent with the district municipalities within whose area they fall, provincial or national government. The precise modality of the sharing of functions between district and local municipalities may vary from municipality to municipality (DPLG, 2006: 5). In practice, relations between district and local municipalities are often characterised by lack of cooperation if not conflict. The presence of two councils sharing jurisdiction of the same territory has set

the stage for political contestation. Hence there are IGR forums designed to cater for horizontal relations within local government itself.

Local government often referred to by various scholars and authors as the “grassroots” government because of its closeness and proximity to the people, is the sphere of government where the populace has a close contact with the government and hence should be supported and resourced by all means possible to deliver services. Local government enables citizens to exercise their civic right in voting and taking part in the activities of government, hence promoting public participation in government, a good characteristics of participative democracy. South Africa also adopted a system of participative democracy in 1994 after the first ever multi-party elections which meant the demise of the discriminatory apartheid.

2.3 COOPERATIVE GOVERNMENT IN SOUTH AFRICA: THE PRINCIPLES

Mathebula (2011: 840) mentions that, the origins of cooperative government may be traced to the German *Bundestreue* concept, which entails a set of unwritten principles upon which relationships between national and regional governments are based. The fundamental thrusts of *Bundestreue* are trust, partnership and respect for each other, and in the case of sub-national and national jurisdictions it would mean recognition of each other’s defined constitutional responsibilities. The *Bundestreue* concept places sub-national and national jurisdictions under a political and legal obligation to assist and support each other, to inform and consult on matters of common concern, to co-operate and co-ordinate joint projects, and to maintain friendly relations (De Villiers, 1995: 4).

Cooperative government can be seen to be the cornerstone of the post-apartheid participative constitutional democracy, and that intergovernmental relations in both the legislative and executive areas of government can be regarded as a practical tool which ensures that all the levels of government embrace co-operation. Also the growing need for national, provincial and local development programmes to be in harmony and work in unison for public good has increased the vitality of sound cooperation and harmonious relations. The notion of 'oneness in separation', as articulated by chapter three of the Constitution of the Republic of South Africa, under the principles of cooperative government has led to the formation and implementation of various intergovernmental relations structures.

Cooperative government derives its principles from chapter three of the Constitution of the Republic of South Africa (1996). According to section 40(1) in the Republic, government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated. And section 40(2) declares that, all spheres of government must observe and adhere to the principles in chapter three of the Constitution and they must conduct their activities within the parameters that the chapter provides. The principles of cooperative government are set-out in section 41 of this chapter. Section 41(1) states that, all spheres of government and all organs of state within each sphere must: -

(a) preserve the peace, national unity and the indivisibility of the Republic;

(b) secure the well-being of the people of the Republic;

(c) provide effective, transparent, accountable and coherent government for the Republic as a whole;

(d) be loyal to the Constitution, the Republic and its people;

(e) respect the constitutional status, institutions, powers and functions of government in the other spheres;

(f) not assume any power or function except those conferred on them in terms of the Constitution;

(g) exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere; and

(h) cooperate with one another in mutual trust and good faith by:-

(i) fostering friendly relations;

(ii) assisting and supporting one another;

(iii) informing one another of, and consulting one another on, matters of common interest;

(iv) coordinating their actions and legislation with one another;

(v) adhering to agreed procedures; and

(vi) avoiding legal proceedings against one another (Constitution of RSA, 1996: 14).

Accordingly, the principles outlined in chapter three of the Constitution (1996) are of paramount importance since they are calling for close, harmonious and mutual relations amongst the three spheres of government. The principles also advocate for peace and

guards against the abuse of power by other spheres of government. They also guard against the superimposition of unregulated action on another sphere of government by a superior one. For example, an unregulated section 139 intervention into a municipality by a provincial government can be a cause of conflict and hostility between the municipality and its provincial government. Hence, interventions should be sanctioned by the corresponding clauses of the Constitution that is sections 100 and 139 which set out the conditions and procedures for interventions into ailing municipalities.

2.4 THE EVOLUTION OF THE SOUTH AFRICAN IGR SYSTEM

Intergovernmental relations refer to the complex and interdependent relations amongst three spheres of government as w ell as the co-ordination of public policies amongst the national, provincial and local government. According to the Department of Provincial and Local Government(DPLG) [2008:7] the current intergovernmental relations system in the Republic of South Africa can be classified under three distinct phases. These phases are, *viz*, the Transformational Phase, the Operationalisation Phase and the Consolidation phase. These periods of gradual IGR shaping are discusses as follows.

2.4.1 The Transformational Phase (1994-2000)

It was a period of transforming the macro-organisation of the state and creating an IGR system. This phase centred around the creation of a single public service incorporating the ex-homeland administrations, establishment of the nine provincial governments, cabinet reforms such as the introduction of the cluster system and an end to the transitional phase of local government transformation, culminating in the demarcation of

284 (and subsequently 283) municipalities. The primary focus was initially on the creation of specialist intergovernmental forums and processes, especially in regard to concurrent functions. Where legislation dealt with the settlement of intergovernmental disputes, these were confined to particular contexts.

2.4.2 The Operationalisation Phase (2001-2004)

This equally important stage aimed at operationalising the IGR system. It was during this phase that the IGR system unfolded rapidly with only minimal regulation. To give operational substance to the concept of cooperative government, many non-statutory national and provincial intergovernmental forums emerged [such as the President's Coordinating Council (PCC), the Forum of South African Directors General (FOSAD), the National Council of Provinces (NCOP) and many other provincial intergovernmental forums). This period also saw increased organised local government engagement in IGR as well as increased collaborative joint work, programmes and projects across the three spheres. It was perhaps prudent to go this route, since institutions initially envisaged to be crucial have proven ineffective and been superseded by more effective institutional arrangements.

2.4.3 The Consolidation Phase (2005 to date)

Consolidating the IGR system was always a key stage of the process of instituting cooperative government in South Africa. This phase saw the enactment of various statutory instruments and provisions to give effect to the constitutional principles of cooperative government. Some of these Acts, include, the Intergovernmental Relations

Act (N$^{o.}$ 13 of 2005) which sketched out a broad, general statutory framework for the practice of IGR, regulated IGR forums and provided a basic framework for the settlement of intergovernmental disputes. With the increased formalisation in the regulatory environment comes a shift of emphasis to intergovernmental instruments facilitating the effective practice of IGR.

The preceding outline of the three phases through which the South African Intergovernmental Relations Systems evolved through is quite illustrious in showing how important each phase was in coming up with the current system of IGR. There are other numerous milestones which depict the various events which also transpired throughout this whole period of IGR evolution, these are listed in table 2.1.

Table 2.1: Some milestones in the evolution of the IGR system in South Africa

YEAR	IGR MILESTONE
1993	Interim Constitution adopted. Local Government Transition Act (LGTA) sets a three-phase transition process for local government. The first pre-interim phase commenced. Metropolitan transitional councils, local transitional councils, transitional representative councils, transitional rural and district councils created to replace apartheid structures. These brought together formerly racially segregated cities and towns.
1994	First democratic elections. Integration of old provincial administrations and homelands into the nine newly created provincial governments. Public Service Act of 1994 created a single civil service for national and provincial governments. 35 national departments, offices and services, and nine new provincial governments were created. IGR Forum

	established in August 1994.
1995	First local government elections. Establishment of two-tier transitional local government arrangements in the cities. The second Interim phase of transition commenced.
1996	Final Constitution adopted. MinMecs begin operating as informal intergovernmental forums. Intergovernmental Forum established. The Borrowing Powers of Provincial Government Act 48 of 1996.
1997	The Intergovernmental Fiscal Relations Act 97of 1997 formally established the Budget Council and Budget Forum and outlined the process for sharing nationally collected revenues across the three spheres. Organised Local Government Act (N$^{o.}$ 52 of 1997) provided for the recognition of national and provincial organisations to represent the various categories of municipalities. Financial and Fiscal Commission Act 99 of 1997 passed. Provincial Review Report on the nine newly created provinces. Introduction of the Medium Term Budget Policy Statement.
1998	White Paper on Local Government sketched a vision of developmental local government. Municipal Demarcation Act set forth criteria and procedures for the redefinition of municipal boundaries, creating w all-to-w all local government. Municipal Structures Act 117 of 1889 establishes 3 categories of municipalities (metros, local and district municipalities) and the structures within them. Medium Term Expenditure Framework (MTEF) introduced.

1999	Introduction of the Cabinet Cluster system. Presidents Coordinating Council (PCC) emerged as the successor to the Intergovernmental Forum. Public Finance Management Act 1 of 1999. Publication of the first annual National Treasury Intergovernmental Fiscal Review.
2000	First Annual Division of Revenue Act promulgated. Second local government elections. Final phase of local government transition begins. The number of municipalities is reduced from 843 to 284. The Municipal Systems Act (N$^{o.}$ 32 of 2000) outlined the powers and functions, planning processes, delegations, performance management and raising of revenue within the municipalities.
2001	Municipal Planning and Performance Management Regulations, 2001. Provincial Tax Regulation Process Act (N$^{o.}$ 53 of 2001).
2003	Gazetting of powers and functions between category B and C municipalities. The
	Municipal Finance Management Act (N$^{o.}$ 56 of 2003) to modernize local government budgeting and financial management, thereby promoting cooperative government.
2004	Municipal Property Rates Act (N$^{o.}$ 6 of 2004) dealt with the imposition of property rates. A new budget and reporting format for provincial governments was introduced based on a new standard chart of accounts.
2005	The Intergovernmental Framework Relations Act (N$^{o.}$13 of 2005) sets out the basic legal framework for IGR across the three spheres of government and procedures for the settlement of disputes.
2006	IGR Practitioners Manual and Toolkit published by DPLG. Third local government

	elections.
2007	Municipal Fiscal Powers and Functions Act (N$^{o.}$ 12 of 2007). DPLG commences its policy process on the system of provincial and local government, expected to culminate in a new White Paper on Provinces and a Review Report on Local Government in 2008.

Source: adapted from DPLG, 2008

2.5 THE DEFINITIONAL PERSPECTIVE OF INTERGOVERNMENTAL RELATIONS AND COOPERATIVE GOVERNMENT

Intergovernmental relations encompass all the complex and interdependent relations among various spheres of government as well as the coordination of public policies (including policies on sustainable development) among national, provincial and local governments through programme reporting requirements, grants-in-aid, the planning and budgetary process and informal communication among officials (Fox & Meyer, 1995: 66). Furthermore, Malan (2005: 228) posits that, intergovernmental relations also refer to the fiscal and administrative processes through which spheres of government share revenues and other resources generally accompanied by special conditions that must be satisfied as prerequisites to receiving assistance. He further asserts that, intergovernmental relations are therefore a set of formal and informal processes as well as institutional arrangements and structures for bilateral and multilateral co-operation within and among the three spheres of government (Malan, 2005: 228).

According to Opeskin (1998: 11), the term “intergovernmental relations” is commonly used to refer to relations between central, regional and local governments that facilitate the attainment of common goals through cooperation. Used in this sense, mechanisms for intergovernmental relations may be seen as employing consensual tools for the mutual benefit of the constituent units of the state. For Van der Waldt & Du Toit (1997: 162), intergovernmental relations refer to the mutual relations and interactions between government institutions at horizontal and vertical levels. This is in line with Thornhill, Odendaal, Malan, Mathebula, Van Dijk & Mello’s (2002: 8) definition that “intergovernmental relations consist of all the actions and transactions of politicians and officials in national, sub-national units of government and organs of the state”. All of which are in concurrence with Adamolekun’s (1999: 53) position that it deals with the relationships between government and sub-national units, hence Ademolekun (1986: 89), defines intergovernmental relations as the interactions that take place among the levels of government within a state. Crucial to this relation amongst spheres of government are statutory bodies (legislative backing) and non-statutory bodies (constituted by government for a specific task) as these can promote intergovernmental relations in the form of committees, boards or a range of other bodies (Kuye, Thornhill & Fourie, 2002: 45).

Ile (2010:51) sees an intergovernmental relations system consisting of facilitative systems and relationships that enable the units of government to participate effectively and carry out mandates so that governmental goals are achieved. This includes executive mechanisms, coordinating mechanisms, cooperative agreements, judiciary

and legislative mechanisms that all facilitate delivery by government machinery. Intergovernmental relations can thus be defined as the “glue” that holds them together. Put differently, it refers to the interactions, relationships and the conduct of officials between governmental activities. It seeks the achievement of common goals through mutual relationships between and across vertical and horizontal governmental arrangements, alignment and cohesion across all spheres of government. The aim of intergovernmental relations therefore, is to enable governmental activities (primarily service delivery), through synergy, efficiency and effectiveness in delivering services, to sustain democracy and strengthen delivery capacity across all spheres of government for the common good (Ile, 2010: 51).

Anderson (1960:3) points-out that intergovernmental relations are important interactions occurring among governmental institutions in all spheres. The distinctive features of intergovernmental relations suggest the increased complexity and interdependency of political systems. The characteristics of these more complex and interdependent systems are: the number and growth of governmental institutions, the number and variety of public officials involved in intergovernmental relations, the intensity and regularity of contacts among those officials, the importance of officials' actions and attitudes, and the preoccupation with financial policy issues (Wright, 1978: 8). IGR is one of the means through which the values of cooperative government may be given institutional expression (Simeon & Murray, 2001: 71-72).

For Thornhill *et al* (2002: 8) as cited in Kanyane & Nazo (2008: 139) IGR in broader context understood to be the relationships among different governments, be it South African, Mozambican, Congolese, Seychellois or Nigerian government. In this context, the term extragovernmental relations, is used and not inter-governmental. IGR or cooperative government could refer to cooperation amongst the spheres of government, in a system which is decentralised in manner. Kanyane and Nazo (2008: 139), note that chapter 1 of the Intergovernmental Relations Act ($N^{o.}$ 13 of 2005), intergovernmental relations are about relations among different governments or among organs of state from different governments about the conduct of their affairs. At its basic level, IGR is about the relationships among the three spheres of government and not tiers and how these spheres, national, provincial and local can be made to work together for the good of the country as a whole (DPLG, 2009). In terms of the White Paper on Local Government (1998) intergovernmental relations are the set of multiple formal and informal processes, channels, structures and institutional arrangements for bilateral and multilateral interaction within and among spheres of government.

On the contrary, Msaseni & Hilliard (2000: 155) assert that the relationship among the three spheres of government metaphorically speaking implies that one sphere cannot serve two masters at the same time. Each one has its own autonomy it deserves to take policy decisions on pertinent issues. However, the national or provincial sphere for example, cannot take policy decision on an issue that would have national implications without due regard to national government's involvement. Intergovernmental relations is intended to promote and facilitate cooperative government and decision-making by

ensuring that policies and activities across all spheres encourage service delivery to meet the needs of citizens in an effective way. IGR is intended to promote and facilitate cooperative decisions-making across all spheres regardless of the level of executive and legislative powers each sphere has.

Before 2005 intergovernmental relations had been largely unregulated, and were informal in nature and practice. Since the promulgation of the Intergovernmental Relations Framework Act (2005), numerous intergovernmental forums have been set up in all nine provinces and at some district municipalities. These forums are consultative bodies designed to facilitate intergovernmental dialogue on matters of mutual interest, such as the implementation of national policy and legislation, the coordination of development planning and the co-ordination and alignment of provincial and local strategic and performance plans (DPLG, 2005: 6; Leon, 2007: 2).

According to the Discussion Document of the former Department of Constitutional Development (1999: 4), cooperative government represents the basic values of the government as stipulated in section 41(1) of the Constitution as well as the implementation of these values through the establishment of structures and institutions. Cooperative government is a partnership among the three spheres of government requiring each government to fulfil a specific role. Also Malan (2005: 229) notes that cooperative government does not ignore differences of approach and viewpoint among the different spheres but encourages healthy debate to address the needs of the people they represent by making use of the resources available to government. Government in

South Africa has to embrace and utilise cooperative government as a means of promoting sustainable economic development in a developmental state. This can help eradicate the disparities harboured on the economy by the previous system of segregatory development, which was impartial, prejudicial and built on Social-Darwinist philosophy.

Cooperative government, which is constitutionally entrenched, is the key to intergovernmental relations in South Africa (Edwards, 2008: 90). On the one hand the system of cooperative governance is a philosophy of government that governs all aspects and activities of government. Cooperative government is a partnership between the three spheres of government where each sphere is distinctive and has a specific role to fulfil. On the other hand, intergovernmental relations are concerned with the political, financial and institutional arrangements for interactions among the different spheres of government and organs of state within each sphere. IGR is one of the means through which the values of cooperative government may be given institutional expression (Simeon & Murray, 2001: 71-72; Mathebula & Malan, 2002: 6).

The notion of cooperation, according to Fox & Meyer (1995: 28) applies to circumstances in which people decide or are instructed to work together, also where citizens are given the feeling of involvement while exercising little real power. Moreso, De Villiers (1994: 430) expounds cooperation in cooperative government by stating that, no sphere of government can function effectively without co-operation with the other because of the interdependency and interrelatedness of some governmental functions,

spill-overs in services, scarce resources and poor economic conditions and popular accountability as well as grassroots pressure. Thus cooperation can be viewed as some sort of oneness in separation, a principle which underlies the constitutional foundations of IGR in South Africa.

Malan (2005: 230) mentions that, there is a conceptual difference between cooperative government and intergovernmental relations. Cooperative government is a fundamental philosophy of government (constitutional norm) that governs all aspects and activities of government and includes the deconcentration of power to other spheres of government and encompasses the structures of government as well as the organisation and exercising of political power (DCD, 1999: 21). It is specifically concerned with the institutional, political and financial arrangements for interaction among the different spheres of government. Cooperative government is thus about partnership government as well as the values associated with it which may include national unity, peace, proper co-operation and coordination, effective communication and avoiding conflict. IGR is one of the means through which the values of cooperative government may be given both institutional and statutory expression and may include executive or legislative functions of government (DPLG, 1999: 12). Chapter three of the Constitution states that cooperative government should be the conceptual framework through which the aim of promoting a development-orientated state is achieved.

2.6 GLOBAL PERSPECTIVES OF INTERGOVERNMENTAL RELATIONS

The practice of intergovernmental relations is a global phenomenon, with both the developed and developing world embracing the all-important practice into their systems of government. Just like South Africa, Canada, the United States of America, Australia and Switzerland have got their own system of IGR as discussed below.

2.6.1 The Canadian Intergovernmental Relations System

Canada has got a governmental system which can be classified as a decentralised federal parliamentary democracy. According to Wheare (1967: 20) the Canadian constitution appears to be quasi-federal in nature. Even though in practice, the government consists of the central government and the 10 provinces as well as two northern territories with the majority of the population living in Ontario and Quebec. Canada has a unique characteristic in its policy since it has a large French speaking majority concentrated in Quebec. The Canadian legislature consists of two houses, which are, the House of Commons-the lower legislative chamber and the Senate which serves as the highest chamber. The leader of Canada is the Prime Minister who, together with various ministers, forms the executive arm of the government. The Prime Minister is also responsible for selecting a cabinet.

Herperger (1991: 4) notes that Canada is perhaps the most innovative nation because its federation represents the first attempt to combine federalism with a system of a responsible parliamentary government. This combination was subsequently adopted by Australia and the Federal Republic of Germany (although with some minor

modifications). He goes further to highlight some of the area which Canada can be credited as the innovator, as:

- A constitution that assigns legislative powers (federal, provincial and concurrent).
- The general residual power is assigned to the federal government rather than to the provinces. This is in contrast to the practice of all other federations except in India and most recently, Nigeria.
- The distribution of powers is uniquely marked by the inclusion of several federal government unilateral powers, where it can overrule provincial powers. Examples are the powers of reservation and disallowance and the declaratory power most of which have not been used in the past several decades (Herperger, 1991: 4).

The last trend highlighted by Herperger (1991:4) was adopted by the Constitution of the Republic of South Africa (1996) in sections 100 and 138 although generically, the principle of subsidiarity applies, which implies that decisions be taken at the lowest level possible. These sections focus of political supremacy of a higher sphere of government over the lower sphere. Impliedly, this means that a higher sphere of government makes policy and the lower sphere carries out the implementation of such policy. Such supremacy also entails the intervention into the lower level of government by the higher sphere in case of failure by the lower sphere to perform optimally.

The issue of federal-state relations in Canada has always taken centre stage as a result of the challenges that are inherent and ultimately underline these intergovernmental relationships. The multi-cultural nature of the Canadian society may have contributed to

the adaptation of the federalist style of government as “federalism creates the need for competition and the need for its containment through compromise” (Hague & Harrop, 2001: 206). The need for integrated society has been the key driver, which has led to accelerated development in the domain of intergovernmental relations.

This kind of cooperative government stress interdependence. However, in real; there are times when cooperative federalism has to come to terms with the competition between various stakeholders. Gagnon (1994: 136), argues that, for years Canadians have applied some measure of political asymmetry but have been reticent to move beyond to constitutional asymmetry thus Canadians outside Quebec have therefore tended to view asymmetrical arrangements as a mechanism that promotes a set of unfair practices or set of privileges that is not extended to others and this has led to some tensions in the intergovernmental relations setting. Given the constitutional mandate to promote cooperation, effective governance requires strong IGR mechanisms which will enable the state and the central government to work together to develop policies that all can agree to. In Canada, this is known as executive federalism (Hague & Harrop, 2001: 207).

2.6.2 The Switzerland Intergovernmental Relations System

The Swiss constitution came into being in 1848 following the American example of federalism, Switzerland became the second federation to came into existence (Wheare, 1967:16). According to Herperger (1991: 4) Switzerland is a relatively small country that comprises of 26 constituent units called cantons, of which six of these are considered to

be half cantons. The management of the Swiss federation had been described by Herperger (1991) as follows:

- It has achieved a significant degree of linguistic and religious diversity, although the German Swiss continue to dominate its numbers and economic power;
- The Swiss distribution of powers has a significantly large proportion of power assigned to the federal government;
- An innovative administrative decentralisation system that deals with legislative powers thereby making the cantons responsible for the administration of a whole range of programmes that may have been established by federal policy; and
- There is a positive power record in the management of its multilingual and multicultural activities (1991: 4).

Switzerland demonstrates all the classical elements of a federal state; for example, all the cantons are listed in the Swiss constitution, although each has got its own specific constitution (Schmitt, 1994: 364). Schmitt (1994), further posits that there is a chamber of cantons at the federal level and there is power sharing that allows the cantons to display great competencies. Some of the innovations have evolved from tradition as several of the features of the Swiss political systems are decided by the custom, for instance, the linguistic repartition is not provided for in the constitution, but the Latin minority (25% of the population) is usually over-represented by two to three members out of seven representatives. The concept of asymmetrical federalism is applicable in Switzerland, although most of it is limited to the existence of the so-called ‘half cantons’, which have almost the same rights and duties except that they have only one deputy in

the House of Cantons (instead of two) and are this representative is counted as half a vote for constitutional elections.

Part three of the Swiss constitution is the one which regulates power sharing between the federal government and the cantons. It states that the cantons are sovereign a right which cannot be limited by the federal government. This implies that the cantons have powers vested in them, which may not have been entrusted by the federal government (Schmitt, 1994: 369). The devolution of power in the Swiss federal system can be likened to the South African decentralised system, where the provincial and local government have got exclusive executive, legislative and other powers which they can exercise with no influence or interference from the central government. Evidently therefore, the Swiss IGR system can be regarded as the peace-loving model since role clarity and legal empowerment exits between the federal government and the cantons, a feature which makes the relationship vibrant and mutual.

2.6.3 The American Federalism System

The drafters of the American Constitution left the multi-layered governmental system in the United States of America untouched. They recognised the need for a series of governments more directly in contact with the people and more keenly attuned to their needs. Thus, only a limited number of functions, such as, the management of currency, raising an army, diplomatic and foreign policy and waging war were reserved for the Federal Government (Glick, 1989: 1). The Federal Government is also able to regulate inter-state commerce and, through this device, has become in the twentieth century

increasingly involved in detailed regulation of social and commercial activities throughout the federation. Outside this framework, the states are free to govern their communities as they see fit. They consequently have some authority over the form of local government within their territories, as well as elements of civil and criminal law, policing, public works, education and planning (Chandler, 1993: 138).

Ferguson and McHenry (1971: 740) state that local government is not enshrined in the Federal Constitution. The omission is explained by the expectation that their establishment and control was a state responsibility. Legally, local governments are viewed as arms or agencies of the states and, therefore, are subject to the same constitutional prerogatives and prohibitions. Rassel (1995: 135) adds that relationships between state and local governments are defined by the constitutions and laws of the states in which the local authority is situated. The Federal Constitution is silent on issues of local government. According to Ranney (1992: 566) and Wright (1995: 99), the provisions of the written Constitution of the United States and their associated customs and usages add up to a constitutional system that has three distinctive features, namely, federalism, separation of powers, that is, the constitutional division of government power among separate legislative, executive and judicial branches, and judicial review.

Institutions such as the Presidency play a major role in the success, or even the possibility of 'big government' as it is known today. The essential elements are fiscal policy, including control of expenditure, taxation, and the use of these to accomplish

social ends; the closely related function of economic planning; co-ordination of agencies; personnel policies; liaison with the legislature and the public; administrative organisation; investigations of the sphere of advisable government operations as well as both long and short-range planning (Griffith, 1983: 70-71).

Chandler (1993: 149) writes that, the Federal Government has an impact on local policy-making through grant aid programmes, although President Reagan's attempts to return to dual federalism somewhat curtailed this channel of influence. Nevertheless, there remain numerous categorical grants still conveyed directly to local government which require the recipient to follow the instructions enclosed with the funding parcel. Walker (1991: 119) adds that, “in 1980 President Reagan managed to reduce the Federal Government’s intergovernmental role, to devolve various federally-aided programmes to state and local governments, reduce the heavy reliance on the traditional federal-state partnership with a scrapping of the multiple federal sub-national governmental relationships and, in general, reduce governmental activism at all the levels of government, state and local as well as federal”.

Regarding intergovernmental relations, Chandler (1993: 150), posits that restraints on local government came not from the Federal Government but from the states. Legally, local governments are created *via* the constitution of the state or specific or general state legislation. Home rule charters give the larger municipalities or cities considerable autonomy and powers over their activities and are more restrictive for smaller communities. However, the states have become an important source of local funding

by providing a large array of categorical grants, which in turn, erodes the ability of local authorities to raise their own funds.

2.6.4 The Australian Intergovernmental Relations System

Australia is made-up of six former colonies which came together to form the quasi-sovereign commonwealth of Australia. The main reason behind this was that Australia, at that time existed as a geographical space and not necessarily as a country that inhabitants had sentiments attached to. Federalism, in this case was what Joske (1971: 34) contemplated, that federalism comes about when independent political communities come together and resolves to form a common government. They achieved this by coming together but without desiring a complete union, thereby preserving some degree autonomy. This formation of the Australian federation had a sizeable number of people who were of British decent who preferred some kind of unified structure given that they had the same languages, ancestry and customs.

The Australian constitution came into existence in 1901 with an agreeable power distribution mechanism that allowed for some degree of political independence. Like the American constitution, the constitution of Australia allows for the distribution of powers among the organs of government. Nevertheless, Joske (1971: 38), remarks that, the difference between the Australian and American systems lies in the recognition of the sovereignty and indivisibility of the Crown throughout Australia and the system of responsible government under which the ministers of the Crown are directly responsible

to the parliament, acknowledging that these were derived from the British principles of government.

There are similarities between the Australian and Canadian government systems as noted by Herperger (1991: 4) when he argues that Australia is also governed by a parliamentary system but her system is unique in the sense that it has provided for the delegation of legislative authority from the states to the federal government. While the concentration of residual powers at the centre was rejected by the founders of the Australian constitution, practically however, there has been a significant shift in the manner of centralisation especially with regard to financial powers.

Australian states can raise their revenue locally, although they have become so much dependent on the centre, epically on financial resources, a situation which has made the central government even more powerful. Hague and Harrop (2001: 207) note that about 60% of the states' revenue comes from the federal government. While the issue of financial revenue sharing model remains complicated and problematic, other challenges still complicate the relationship between the federal government and the states. For example, some have argued that in Australia, decisions of the High Court have favoured the centre to the point where some regard federalism as having been sustained more by political tradition than by the constitution (Hague & Harrop, 2001: 208).

The Australian constitution may have clauses which attempt to promote equality enshrined in it but Mullins and Saunders (1994: 46), argue that the Australian constitution has been criticised for not articulating what might be the expected aspirations of the people joining together to create a new nation, this can be substantiated by the fact that this constitution does not have a preamble in it. Thus, this shows that the relationship between the Australian federal/central government and its state are not well defined, this ambiguity may lead to abuse of power by the central government especially in cases were there might be overlapping jurisdiction. These scenarios is in contrast to the South African model of IGR, where we have a preamble in the Constitution, numerous pieces of legislation stipulating how the national government should relate to the provincial and local government as well as financial resources allocation and the raising of revenue all in the spirit of autonomous, interdependent, interrelated cooperation.

2.7 MODELS ASSOCIATED WITH INTERGOVERNMENTAL RELATIONS

The conceptual breadth and profoundly human nature of intergovernmental relations as well as its varying applications necessitates a need to clarify other basic concepts, both evolving and old, often used within an intergovernmental relations environment to clarify IGR, replace IGR or denote underlying principles and values applicable to IGR. This section expounds some of the terms or models which are synonymous with IGR.

2.7.1 Federalism

Federalism is loosely defined as the principle according to which levels of government, general and regional, exist side by side in the state, each possessing certain powers and functions. The emerging intellectual consensus on the meaning of federalism is that it generically refers to an association of governing entities (often referred to as either states, provinces and/or regions) that has been formed (mostly through a constitution) for certain common purposes, but in which member entities retain a large measure of their independence (Mathebula, 2011: 845). Critical to the sustaining of a federation, both in character and structure, is its ability to establish and maintain a polity where government by the people produces at one and the same time a strong self-conscious national organisation while keeping intact the rights and cultures of the units as enshrined in the Constitution (Hicks 1978: 4).

In a federal system there are usually two levels of government above the local level, each level enjoying relative autonomy with regard to certain functions. For example, the central government may have the sole authority to coin money, raise an army or declare war, and foreign affairs, whilst the intermediate level of government, such as states (United States of America), cantons (Switzerland) or *länder* (Germany), may have sole authority to regulate education, criminal or civil law, local institutional structures and economic development. Federalism allows for both the expression of regional goals and a co-ordinated expression of national goals (Mahler, 1995: 31; Hollis & Plokker, 1995: 84).

According to Hague & Harrop (1987: 169-170), federalism is a system of government in which legal sovereignty is shared between the central and the other levels of government. Each level or sphere of government, central and state, has constitutional authority to make some decisions independently of the other. Citizens of a federal state remain subject to the authority of both the central and the state governments, each of which impacts directly on the citizen. Moreso Gildenhuys (1991: 165) posits that in a federal system the formal stipulations in the constitution define the authority of governmental institutions at federal, state and local levels.

In state terms, federalism may also be understood as the principle of the union of states in a federation that links the states together creating an acting unit that still allows them certain independence (Heun, 1990: 168). Federalism can also be said to be an IGR system based on the differentiated allocation of powers to sub-national units. The degree of autonomy in exercising the power *vis-à-vis* the powers of the national authority-distinguishes federations from one another (Mathebula, 2011: 846). The need for people and polities to unite for common purposes and yet to remain separate to preserve their respective integrities is often referred to as federalism. The application and use of federalism has often generated ambiguities related to the balance between political power diffusion, in the name of liberty, and the concentration of the same power in the name of national unity and/or the indivisibility of political power (Elazar, 1987: 33). The federal character of a state and a structured federal state can be distinguished from each other. The former refers to a condition where sub-national jurisdictions with some form of political representation determined through quasi-independent franchise

mechanisms exist. The latter refers to clearly defined powers for governments within a federation. In federal systems of government, the defining characteristic is the non-centralisation of polities whereby powers of government within them are diffused among many centres, and whose existence and authority are guaranteed by the constitution (Elazar 1987:34). Federalism can be seen as another mode of IGR.

2.7.2 Decentralisation

Decentralisation is understood in the science of public law as the establishment of legally autonomous administrative institutions that fulfil their functions autonomously and free from outside directives and are subject only to oversight regarding the legality of their actions. Burki, Perry & Villinger (1999: 3) define decentralisation as a process of devolving political, fiscal and administrative powers to sub-national units of government (decentralisation is differentiated from deconcentration in the sense that the latter refers to the manner in which central governments increase the autonomy of regional offices, while preserving the right to give directives and full oversight).

According to Mawhood (1993: 4), decentralisation is the sharing of part of the governmental power by a central ruling group with other groups, each having authority within a specific area or state. Whereas Cameron (1995: 396) and Rondinelli (1981: 137), define decentralisation as the transfer or delegation of legal and political responsibility for planning, management and resource use and allocation from the central government and its agencies to field organisations of these agencies, subordinate units of government, semi-autonomous public corporations, area-wide

regional or functional authorities, or non-governmental private or voluntary organisations.

Moreover, Smith (1997: 400), states that organisationally, decentralisation means a choice between different types of public institutions, which vary in terms of the areas over which they have jurisdiction, the range of functions delegated to local institutions and the level of discretion allowed, as well as the manner in which decision-makers are recruited, so producing institutions that are primarily political or bureaucratic or a mixture of both. Decentralisation can, therefore, be defined as the transfer of authority or power from a higher to a lower level of government, quasi-government or non-governmental organisations to execute and manage public activities or functions.

Decentralisation originates as an IGR management technique from the need to address the limitations of central and/or command types of government. In a centralised government system the vulnerabilities inherent in the top-down dissemination of government and governing information are perpetually hidden in the topology of the existing communication network (Mathebula, 2011: 846). The challenge of governments, along the representative to absolute monarchy systems of government, has always been to create systems that seek to neutralise the risk associated with a possible destruction of the central node of control and therefore destroy communication with regional jurisdictions. The resultant outcome of this challenge has been the design of command systems and structures that relate to the centre but have sub-jurisdictional centres with which command, management and control are enhanced. This did not,

however, reduce the relative hold of the centre on the peripheries; hence the growing importance of distributed power as opposed to decentralised power (Barabasi, 2002: 144).

The arguments against decentralisation have not deviated an inch from those advanced when the decentralisation movement evolved. Distributed power as a governing system advocates a cellular-type and wall-to-wall link of the governing nodal points (Barabasi, 2002: 145). The distributed power movement advocates wall-to-wall political jurisdictions that are interwoven, designed in mesh-like architecture and capable of creating organic IGR (Barabasi, 2002: 145). The distributed power system also creates multiple links between sub-national jurisdictions. The emergence in IGR practice of techniques such as cross-border jurisdictions and virtual service authorities can be traced to this movement. Decentralisation is hence a process of devolving central governmental authority and power to sub-national units of government, and deconcentration as the delegation of functions in an autonomy-expanding manner that does not compromise central government's right to give directives and have full oversight. Centralisation and concentration would be the reversal of these processes.

2.7.3 Unitarism

According to Hattingh (1998: 114) and Hinsley (1986: 118) the unitary form of government can be traced back to the so-called philosophy of sovereignty. They further go on to explain that during certain periods in the past, identifiable geographic areas, such as England, were established and came to consist of a number of separate

autonomous authorities under the control of a king and members of the autocracy. In the case of England, these areas were united through a series of wars, until a united state emerged with supreme authority vested in the ruler. After yet another protracted English war between the king and the parliament, supreme authority came to be vested in the parliament.

In the modern state, unitary government can be defined as a government in which authority is centralised on a national level and the lower levels of the government have little or no autonomy, as in the United Kingdom (where these lower levels of government are called counties), Italy (provinces), France (*departements*), Sweden (counties) and the Netherlands (provinces). The principles that form the basis of intergovernmental relations in a unitary state are the following:

- the supreme power rests with the central government;
- such supreme power is indivisible and unlimited;
- within the boundaries of the state, the central legislative authority is sovereign and authorised to promulgate, repeal or amend laws in respect of any matters affecting the state and its citizens; and
- the Constitution of the unitary state would not usually set limits to the authority of the central legislative authority, unless if it voluntarily consents to such limitations. (Du Toit, Van der Waldt, Bayat & Cheminais, 1998: 244)

In a unitary system, the real power to make political decisions resides with parliament, and parliament has the right to control whatever powers the cities or counties might

exercise. Parliament has the power to grant the cities or counties more influence, or to take away policy jurisdiction they may already control (Mahler, 1995: 30). Most countries who were former colonies or which are affiliates of Great Britain use this form of government system.

Hague & Harrop (1987: 176), state that in unitary state sub-national governments, whether regional or local, may make policy as well as administer it, but they do so at the pleasure of the national government. In a unitary system governmental relations are mostly the result of enforced duties as prescribed by the constitution or statutes which control lower authorities by virtue of the centralised control of authority (Gildenhuys, 1991: 165). Craythorne (1990: 38) adds that most legislation tends to set out principles, leaving all the detail to be stated in regulations. Where regulations are made by central government, they are usually administered by public servants. This gives public servants a great deal of authority, including in many cases the authority to change local decisions or even to set them aside.

2.8 FEDERALISM VERSUS UNITARISM

Schultz (1961: 179) identifies the following to be the fundamental differences between federal and unitary states:

- the principle of supreme sovereign power in a unitary state allows it to be more flexible that a federal state, with regard to the allocation and reallocation of functions between governmental bodies and the altering of geographical boundaries;

- a unitary state finds it easier to set uniform policies, whereas a federal government's authority to determine policy is limited to matters assigned to it in terms of the Constitution; and
- in a federal state, sub-national and local government are protected against summary centralisation of authority by means of entrenched guarantees in the Constitution. This ensures that maximum participation by the community maximised the value of democracy and is essential for the creation of meaningful extra-governmental and intergovernmental relations. A unitary form of government obviously offers less protection against the centralisation of authority.

Therefore, based on these clear-cut differences in these two forms of government, it can be factually proven that the South African system of government is a federal since it empowers the other spheres of government, that is provincial and local. It also decentralises authority and accords executive, legislative and other powers to the provinces and municipalities so is to accelerate decision-making and ultimately service delivery and improving the quality of life of the populace. This is a good arrangement especially considering that the national government is faced with a huge mountain to climb in terms of eradicating the disparities left by the apartheid system.

2.9 THEORETICAL APPROACHES TO INTERGOVERNMENTAL RELATIONS

The study of intergovernmental relations is no exception to other studies as it also consists of various approaches. Hattingh (1998: 10) has identified four distinct

approaches to the study of IGR, *viz*, the constitutional/legal approach, the democratic approach, the financial approach and the normative approach. Maphaisha (2006: 7) also adds the bureaucratic approach to the IGR field. For the purpose of this study, the bureaucratic, legal/constitutional and democratic approaches will be looked at in greater depth.

2.9.1 Bureaucratic Approach

The most influential of the approaches is Max Weber's ideal-type bureaucratic model. Its characteristics are, *inter alia,* hierarchy, specialisation, role-specificity, recruitment by merit, promotion by seniority-cum-merit, career development, training, discipline, and separation between personal and official means. Legal-rationality authority and efficiency are main emphasis of this model. One attribute of all bureaucratic organisations is the implementation of policies through an administrative staff. The basic structural prerequisites of the Weberian model of bureaucracy include:-

- Staff promotions regulated by both seniority and merit;
- Defined rights and duties prescribed in written regulations;
- Systematically ordered authority relationships;
- Technical competence as a formal condition of employment;
- Fixed monetary salaries;
- Strict separation of the office and the incumbent in the sense that employee does not own the means of administration and cannot appropriate the position (Mphaisha 2006: 7).

This approach is useful in this study of IGR since the role specificity characterise the public service of today. The three spheres of government have got specific roles which they are supposed to play in the developmental state. However, the approach does not provide details on how such levels of government have to interact and how they can avoid cases of overlapping jurisdiction and mutual cooperation as a major requirement of cooperative government.

2.9.2 The Legal/Constitutional Approach

The constitutional/legal approach uses the Constitution and other legislative provisions as a starting point to the study of intergovernmental relations. It would entail a structural and hierarchic analysis of the Constitution and legislation pertaining to central, provincial and local governments which has a bearing on relations between government bodies. The result of such an analysis would be a long list of governmental bodies and structures with a comprehensive description of the duties and powers of every political office-bearer within each institution (Hattingh, 1998: 11). In this approach public administration is studied as part of law, and the concentration is on formal legal structure and organisation of public bodies. The concern is with the structure and functions of power.

The approach stresses formal organisation of offices, official duties, limitations of power and discretionary authority of administrators. The main sources of this approach include constitutions, codes of law, office manuals of rules and regulations as well as judicial decisions. Germany, Belgium and France have particularly applied the legal

approach to the study of public administration and IGR. In these countries, there are two divisions of law, namely, constitutional and administrative law. Constitutional law deals with three main organisations of government, their interrelation and the distribution of power among them. Administrative law is concerned with the structure and functions of public bodies, departments and authorities. The legal approach is valuable for understanding of legal framework within which administrative system has to operate. It neglects sociological and psychological variables or the informal forces operating in public organisations. As such, it remains a largely incomplete approach to the study of comparative public administration. According to Roux *et al* (1996: 172), the constitutional approach accepts that there is hierarchy of governments and this is a constitutional fact, because the Constitution was seen as the instrument for determining IGR and the achievement of harmony across the spheres of government.

A shortfall with this approach is that it accepts the information contained in legislation as accurate and unchanging, until it is amended by new legislation. It also operates on the assumption that relations between governmental institutions only exists within a framework of the legislation permitting such relations. This approach was useful in this study in helping obtain a comprehensive list of governmental bodies and the powers and duties of office bearers in them. The approach also fails to explain the dynamic of relations in these governmental bodies, and among people working in these bodies, which has to be determined and debated so as to recommend improvements to the system if necessary.

2.9.3 The Democratic Approach

The main emphasis of the democratic approach is on the right of the provincial and local government autonomy. Proponents of this approach see provincial and local government as autonomous institutions and advocate for a move away from centralised authority through greater devolution of authority to regional and local institutions. If this objective was taken to its logical conclusion, it would mean that provincial and local authorities would be independent of any higher authority. Relations between these bodies would then take place based on the extent of power invested in them. Such situations in a democratic state would result in chaos. In the real world the notion of autonomy is best understood as the measure of autonomy given to provincial and local institutions by central government (Hattingh, 1998: 12).

Proponents hold a separatist view and emphasize the right to autonomy of every government (regardless of level) to exist. The researcher sees this theoretical approach as a recipe of disaster since it precipitates a complicated relationship which is volatile for any sphere of government to handle. Intergovernmental relations should, practically, focus on the effectiveness and efficiency in the public service and this requires that conflict and competition be reduced and interdependence and interrelatedness be instilled towards the pursuit of common agenda and sustainable service delivery. An ultimate merit to such a relationship will be the pooling of resources and hence there will be automatically and optimal utilisation of these to help deliver services aimed at advancing the quality of lives of citizens.

2.10 STATUTORY AND REGULATORY FRAMEWORK FOR COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS

There exists a plethora of legislation guiding and informing intergovernmental relations and cooperative government in the Republic of South Africa. Among others, we have the Constitution of the Republic of South Africa (1996), the White Paper on Local Government (1998), the White Paper on Municipal Service Partnerships (2000), the White Paper on Transforming Public Service Delivery (1997), the White Paper on the Reconstruction and Development (1994) and the Development Facilitation Act (1995). The legal framework is examined in detail in this section.

2.10.1 Constitution of the Republic of South Africa (1996)

Chapter three (section 40) of the Constitution of South Africa (1996) provides that the three spheres of government are distinctive, interdependent and interrelated. The principles that underlie the relations between the spheres are of cooperative government and intergovernmental relations. In terms thereof; each sphere must, among other things respect the constitutional status, institutions, powers and functions of government in the other spheres; exercise their powers and perform other duties required to fulfil these Constitutional obligations. The RSA Constitution (1996: 25) declares that 'government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated'. Furthermore, the Constitution, 1996 provides that an Act of parliament should be put in place to regulate the relationship between these three spheres of government, and hence the birth of the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005).

Moreover, the Constitution provides that the three government spheres are “distinctive, interdependent and interrelated”. These concepts reflect the three constituent components of the decentralised South African state. The following working definitions are provided for these three concepts in the DPLG (1999: 7):

2.10.1.1 Distinct/Autonomous

The distinctiveness of each sphere is the degree of legislative and executive autonomy entrenched by the Constitution. One sphere is distinguishable from the other in its powers to make laws and execute them. In short, each sphere has distinctive legislative and executive competencies. The allocation of competencies is based on the assumption that there are particular public interests which are best served by the respective spheres of government. The existence of unique provincial and local interest called for their protection and promotion not through a unitary but through a decentralised state.

2.10.1.2 Interdependent

The interdependence of the spheres is the degree to which one sphere depends upon another for the proper fulfilment of its constitutional functions. There are two interrelated aspects to this dependency. First, the provincial and local spheres have an entitlement to assistance from the national and provincial governments respectively, in order for them to fulfil their constitutional functions. Second, the flip side of the entitlement is the duty on the national and provincial spheres to supervise the provincial and local spheres

respectively to ensure that they fulfil their constitutional functions. This duty entails both the monitoring of the other sphere and intervening when a dependent sphere fails to fulfil its functions. The interdependence between the spheres is thus reflected in this co-relationship in which a particular sphere (national or provincial, as the case may be) has the responsibility of empowerment and oversight, as well as, under certain circumstances, intervention in the dependent sphere. In layman terms, interdependence entails the mutuality amongst the three spheres of government in a bid to maintain a 'oneness in separation' kind of existence.

2.10.1.3 Interrelated

The inter-relatedness of the spheres is the duty on each sphere to co-operate with one another in mutual trust and good faith for the greater good of the country as a whole. Based on the distinctiveness of each sphere, the relationship is one of relative equality. However, because this relationship must be realised within the duty of cooperative government, the result is not competitive federalism. Consequently, a duty is imposed on each sphere to avoid litigation against another sphere. The activities of each sphere of government are in a way interlinked to the next sphere of government and thus the three spheres of government are intertwined in a collaborative network which aims at promoting public good.

The legality of IGR in South Africa is so concrete that it cannot be ignored or looked-down upon by any role player in the field of public administration. IGR derives and sustains its impetus from the supreme law of the land, the 1996 Constitution. In the

regard therefore, intergovernmental relations are and will remain a major requirement in the realisation of governmental policy in both the current, immediate and foreseeable future. Efforts should be made to promote sound IGR across the entire public entities and resources should be availed in order to aid the realisation of these cause.

2.10.2 White Paper on Reconstruction and Development (1994)

The White Paper expresses the vision for the fundamental transformation in our society and demonstrates the ways in which the processes of achieving the goals are to be implemented and managed. It is the duty of the Government to manage this transformation efficiently and effectively. The Presidential projects were designed not only to meet identified basic needs but to demonstrate the processes of management through which the Reconstruction and Development Programme (RDP) will operate. To implement the transformation of society, the government's first priority was to transform the way the Government itself operates. Coordinated, efficient, transparent and consultative government is a basic premise of the RDP. This lays the groundwork for the involvement of other sectors of society and the three spheres of government. The paper also sought to introduce sound intergovernmental and intergovernmental fiscal relations.

The White Paper on RDP, introduces just after the first democratic elections in 1994, was a vision by the government to introduce equality and economic redistribution of wealth. The national economy was characterised by extreme poverty *vis-a-vis* lavish wealth. So the programmes and projects which were run under the RDP were meant to

'heal' the painful wounds of apartheid and empower and emancipate the previously disadvantaged individuals-the majority of whom were the natives. One of the fundamental changes which were recommended as accelerating the Reconstruction and Development Programme was the manner in which the entire system of government operated-government was supposed to be functioning cordially and mutually regardless of the varying levels of executive and legislative autonomy each sphere enjoyed. This was regulated latter in the dawn of the 21st century by the Intergovernmental Fiscal Relations Act (No. 13 of 2005).

2.10.3 Development Facilitation Act (No. 67 of 1995)

This developmental piece of legislation introduces extraordinary measures to facilitate and speed up the implementation of reconstruction and development programmes and projects in relation to land. In so doing it seeks to lay down general principles governing land development throughout the Republic, it also provides for the establishment of a Development and Planning Commission for the purpose of advising the government on policy and laws concerning land development at national and provincial levels. The Act further provides for the establishment in the provinces, of development tribunals which have the power to make decisions and resolve conflicts in respect of land development projects.

Furthermore, the Act facilitates the formulation and implementation of land development objectives by reference to which the performance of local government bodies may be measured. It also provides for nationally uniform procedures for the subdivision and

development of land in urban and rural areas so as to promote the speedy provision and development of land for residential, small-scale farming or other needs and uses. Coupled with this the Act seeks to promote security of tenure while, ensuring that end-user finance in the form of subsidies and loans become available as early as possible during the land development process.

The link between the Development Facilitation Act (1995) and IGR can be viewed by some scholars as being a far-fetched one but in reality it is very close and influential. The Development Facilitation Act (DFA) seeks to accelerate the Reconstruction and Development Programme throughout the entire republic, including, but not limited to, municipalities. The DFA provides a platform for improving cooperation and mutuality across the system of government in South Africa. It is only through this system of cooperative government can the developmental goals of the government be met. Projects, programmes of action and other courses of improving the redistribution of wealth in South Africa can only be achieved when the national, provincial and local public entities are cooperative enough to pool resources together towards the realisation of this cause. Thus, the aims of the RDP can only be achieved through sustained sound IGR and cooperative government.

2.10.4 White Paper on Transforming Public Service Delivery (1997)

The White Paper on Transforming Public Services, 1997 *(Batho Pele)* reflect some principles of co-operation, integration and the promotion of governmental relations pertaining to development, planning and service delivery issues. This policy document

accords cooperative government and close cooperation between the spheres of government a very influential role in transforming the public sector. The *Batho Pele* White Paper (1997) seeks to empower public participation at local government level as a means of shifting the focus of the public sector and local government from the organic system to the government for the people, by the people with the people. Above all, the White Paper on the Transformation of the Public Service, 1997 sought to overhaul the old system of government and install a participative democracy in place. Hence such a scenario could only be achieved through cooperative government.

The Constitution (1996) through the Bill of Rights, gives citizens certain rights. Amongst such rights are the rights to take action against the state if they believe their constitutional rights have been infringed, and to have access to information which they need held by the state. In line with these Constitutional principles, the White Paper on the Transformation of the Public Service *(Batho Pele)* calls on all national and provincial departments to make service delivery as their chief priority. This White Paper provides a framework enabling national and provincial departments to develop departmental service delivery strategies.

The White Paper further seeks to improve the delivery of public services by means of redressing the imbalances of the past. It also seeks to maintain continuity of service delivery to all levels of society, focusing on meeting the needs of mostly the forty percent (40%) of South Africans, who live below the poverty line. Such groups include the disabled, black women, those living in rural areas and those who have previously

been disadvantaged in terms of service delivery. Improving service delivery also calls for a shift away from inward-looking, bureaucratic systems, processes and attitudes, and a search for new ways of working which put the needs of the public first. This, it is envisaged will ensure that public services are delivered better, faster and in ways more responsive to citizen needs. This rendering of services also to a large extent depends on Supply Chain Management, which is an enabling factor in the functioning of public sector in South Africa, since places emphasis on provisioning and procurement of goods and services.

It also means a complete change in the way that services are delivered. The objectives of service delivery have to include welfare, equity and efficiency. The introduction of a service delivery improvement programmes cannot however be achieved in isolation from other fundamental management changes within the public service. They have to be part of fundamental shifts in culture, whereby public servants see themselves first and foremost as servants of the citizens of South Africa. It is thus against this background that activities and processes mandated in the White Paper on Transforming Public Service, 1997 seeks to ensure that the public sector transformational programme encounters little or no glitches, in its quest to fast-track the socio-economic development of the people in South Africa as a developmental state. Intergovernmental cooperation can be an enabling tool towards such transformation; this can be made possible by tasking IGR to address the service delivery priority areas throughout the entire republic.

2.10.5 White Paper on Municipal Service Partnerships (2000)

As the White Paper on Local Government published in March 1998 indicates, achieving the Reconstruction and Development Programme (RDP) objectives within a reasonable time frame requires municipalities to look at innovative ways of providing municipal services. This policy document was the brainchild of the White Paper on Local Government. It sought to accelerate the delivery of services through the capacitation of municipalities in Municipal Service Partnerships. Partnerships between municipalities and the public sector, the private sector and community and non-governmental organisations (CBOs/NGOs) are a key option that municipalities should consider in their efforts to rectify infrastructure deficits and disparities. However, improving and expanding the delivery of municipal services through municipal service partnerships (MSPs) is new ground for South Africa.

Developing the partnership concept into a practical and beneficial method for providing good quality and affordable services for all required the government to review and consolidate its policies on these matters. It is government's explicit expectation that all stakeholders in this country want all the people to have access to adequate municipal services and to contribute actively towards principles the economy of the country. The MSP Policy has been derived from the principles of *Batho Pele* (people first). It actively promotes an ethos of participation by consumers and other stakeholders throughout the process of determining and implementing service delivery options. The MSP Policy also endorses universal access to basic services, the progressive improvement in service standards, and openness and transparency in the processes used for selecting service

providers. Underlying this is the core principle that services should be affordable and delivered efficiently. Finally, the MSP Policy supports and encourages better information flows, value for money, avenues for citizen's redress and, importantly, courtesy in service delivery.

The MSP option is not an end in itself, but simply one of the means available to councils to address the municipal infrastructure and service backlog. Too often, the debate around MSPs is presented as an attempt by the government to actively promote the private sector, at the expense of the public sector, as the mechanism for municipal service delivery. MSPs are not intended to be a substitute for traditional methods of direct service delivery. Nor should they be viewed as an alternative to ongoing efforts to improve the efficiency and accountability of service delivery by the council itself. Instead, MSPs are intended to provide municipal councils with greater flexibility in addressing service delivery needs. Municipal services are those services identified in the Constitution (Schedule 4 & 5) and other services that may be assigned by national or provincial legislation to a municipal council. A contractual agreement between a municipality and an external service provider may take any number of forms. The White Paper establishes strategic linkages through which municipalities can engage with various partners in service delivery, both inter-governmentally and extra-governmentally. Such partnerships work hand-in-glove of the national and /or provincial programmes of action, which should be in mutual harmony with the local government’s plan of action-the Integrated Development Plan.

2.10.6 Organised Local Government Act (No. 52 of 1997)

This piece of legislation seeks to provide for the recognition of national and provincial organisations representing the different categories of municipalities; to determine procedures by which local government may designate representatives to participate in the National Council of Provinces; to determine procedures by which local government may consult with national and provincial government and to determine procedures by which local government may nominate persons to the Financial and Fiscal Commission. In this Act, the relationship between provinces and municipalities was formalised through monitoring, supervision and intervention. The Act does an equally important duty of regulating the designation of members/delegates to the National Council of Provinces (the second chamber of the legislature). The NCOP is one of the cardinally important fora on IGR in South Africa. It is a cross-cutting forum in which all the nine provinces of the republic have got equal representation. The Act also regulates the consultation process between the National and Provincial governments in matters of mutual interest aimed at promoting public good and improving the welfare of the general populace.

The Organised Local Government Act also regulates the members and compositional structure of the Financial and Fiscal Commission. The Financial and Fiscal Commission is one of the chief public institutions aimed at equalising national revenue. Revenue sharing and both horizontal and vertical fiscal equalisation are some of the key determinant factors to smooth national economic development. This process is aimed at promoting equity and eliminating unfair fiscal advantages of some public entities over

the others, simply because of the fact that the economic factors of production are immobile. Lastly the Organised Local Government Act (N$^{o.}$ 52 of 1997) seeks to have an equitable share of representation at all levels of government, between rural and urban municipalities.

2.10.7 Financial and Fiscal Commission Act (N$^{o.}$ 99 of 1997)

This equally important financial management Act, enacted in connection with section 220 of the Constitution of the Republic of South Africa (1996), seeks to establish and regulate how the Financial and Fiscal Commission operates. This is one of the essential institutions of the state which can improve and sustain sound public service delivery. The Commission aims at fiscal equalisation and revenue sharing. It makes provision for the establishment and determination of fiscal intergovernmental relations among the three spheres of government. The sharing of national revenue from the revenue fund and the equalisation of the national fiscals is a stepping-stone towards the financial capacitation of government departments, provincial entities as well as local government entities-municipalities. This Act occupies a strategic position in the practice of intergovernmental relations in South Africa since the sharing of revenue and fiscal equalisation, regardless of whether it is vertical or horizontal, requires sound cooperation and relations across the spheres of government. For example, the Eastern Cape Provincial Government might require the Financial and Fiscal Commission to redistribute revenue from such economic powerhouses like the Gauteng and Western Cape provinces because the province does not have much of revenue to sustainable fund its policies and programmes.

2.10.8 Intergovernmental Fiscal Relations Act (N$^{o.}$ 97 of 1997)

Arguably one of the most influential pieces of intergovernmental legislation, this Act seeks to regulate the sharing of revenue amongst the three spheres of government. It also regulates the fiscal relationships amongst the spheres of government in South Africa. The Act also establishes the Budget Council/Budget Forum, a very important Intergovernmental Relations forum which meets and deliberates on intergovernmental fiscal relations. Sometimes there is need for revenue sharing and fiscal equalisations since some spheres of government are strategically positioned in areas where revenue collection is efficient and have got a broader revenue base in contrast to others. For example the Gauteng Province will have a broader and higher revenue base in comparison with the Eastern Cape Province because in the Gauteng Province there is a lot of economic activity and the employees and companies there earn more as compared to the Eastern Cape Province, which has been branded the poorest province in the Republic oftentimes. Therefore there is need to equalise and share revenue so as to capacitate the so-called “disadvantaged” or “poor” spheres of government since we live in one nation and development should be equal and impartial.

2.10.9 White Paper on Local Government (1998)

The White Paper on Local Government, 1998 urges provincial governments to support the promotion and maintenance of intergovernmental relations. This policy document posits that, intergovernmental relations are the set of multiple formal and informal processes, channels, structures and institutional arrangements for bilateral and multilateral interaction within and between spheres of government. In South Africa a

system of intergovernmental relations is emerging to give expression to the concept of cooperative government contained in the Constitution (1996). The strategic purposes a system of intergovernmental relations are to:

- promote and facilitate cooperative decision-making;
- coordinate and align priorities, budgets, policies and activities across interrelated functions and sectors;
- ensure a smooth flow of information within government, and between government and communities, with a view to enhancing the implementation of policy and programmes and;
- The prevention and resolution of conflicts and disputes;

To date, the development of a framework for intergovernmental relations has focused on the relationship between national and provincial government. The role of local government is being defined as it develops in practice over time. The establishment and recognition of organised local government structures is an important step in ensuring local government representation in intergovernmental processes and forums. In 1998 local government representatives nominated by the South African Local Government Association (SALGA) have taken their place in the National Council of Provinces (NCOP).

2.10.10 Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005)

The Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) seeks to provide focus, clarity and certainty regarding core aspects of intergovernmental relations at the

executive level of government. The Act also provides for the establishment of intergovernmental structures (President's Coordinating Council, National intergovernmental forums, provincial intergovernmental forums, municipal intergovernmental forums) as well as the conduct of intergovernmental relations and the resolution of intergovernmental relations disputes. This Act was enacted as a result of the calls by the Constitution (1996), for an Act of parliament which should regulate the relations amongst the three spheres of government as well as to minimise intergovernmental relations disputes. Thus this Act is both the cornerstone and pillar of IGR in South Africa.

The Act does not only provide for the establishment of IGR structures, but it also regulates the composition and operation of these forums. For example, the Act provides that the President's Coordinating Council (PCC) consists of the President, Deputy President; the Minister in the Presidency; the cabinet member responsible for finance; the cabinet member responsible for the public service; the premiers of the nine provinces; a municipal councillor designated by the national organisation representing organised local government [South African Local Government Association (SALGA)] and the minister in the presidency, and further states that the forum's meetings are chaired by the President.

2.11 A SYNOPSIS OF THE SOUTH AFRICAN INTERGOVERNMENTAL RELATIONS SYSTEM (THE INTERGOVERNMENTAL RELATIONS STRUCTURES)

The South African IGR fraternity has got various enabling fora as structures through which intergovernmental cooperation and relationships are to be fostered and maintained. These forum help built and maintain relations amongst governmental spheres and bodies, these relations can be understood to be what Kahn *et al* (2011: 73) termed dynamic, complex, interactive and interdependent. This section of the study explores the various IGR structures characterising the South African government system in detail.

2.11.1 President's Coordinating Council (PCC)

Formed on the 15 of October 1999, this forum brings together the president, the premiers, the chairperson of the South African Local Government Association (SALGA) and national minister responsible for cross-cutting functions such as provincial and local government affairs, public service and administration and finance. The PCC is an institutionalised organisation whose meetings are aimed at addressing the common problems faced by premiers, in such a way that they may effectively fulfil their responsibilities. The forum also fosters synergy between provinces and the other spheres of government. It is the national-provincial forum at the highest level (Kahn *et al*, 2011: 75).

According to the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005), compositionally, the President's Co-ordinating Council consists of; the President; the

Deputy President; the Minister in the Presidency; the Cabinet member responsible for finance; the Cabinet member responsible for the public service; the Premiers of the nine provinces; a municipal councillor designated by the national organisation representing organised local government [South African Local Government Association(SALGA)] and the Minister in the presidency. The President is the chairperson of the Council. The President may invite any person not mentioned above subsequent to a meeting of the Council.

The Council is a consultative forum for the President which aims to raise matters of national interest with provincial governments and organised local government and to hear their views on those matters; consult provincial governments and organised local government on-the implementation of national policy and legislation in provinces and municipalities; discuss the co-ordination and alignment of priorities, objectives and strategies across national, provincial and local governments; and any other matters of strategic importance that affect the interests of other governments. They also meet to discuss performance in the provision of services in order to detect failures and to initiate preventive or corrective action when necessary; and to consider reports from other intergovernmental forums on matters affecting national interest, and other reports dealing with the performance of provinces and municipalities.

2.11.2 Ministers and Members of Executive Council (MinMEC)

Levy (2001: 99) writes that, MinMec's primarily exist within the areas of concurrent or joint competency between national and provincial government departments, that is,

areas listed in Schedule 4 of the Constitution such as housing, education, health, social development, transport and other specific areas of jurisdiction. A MinMec is normally composed of a national minister and the nine members of executive councils (MEC's) of the provinces of a sector, provincial officials and representatives of the South African Local Government Association (SALGA). The interface between the different sectoral role-players within the MinMec's makes it an important instrument for intergovernmental cooperation. MinMecs allow the provinces to explain the peculiarities of their situations to each other and provide them with a major opportunity to interact with the national minister. Terms of reference differ from one MinMec to another, but essentially they provide advice, identify problems, anticipate potential areas of conflict, comment on national policy and propose legislation, and determine short- and long-term priorities.

The MinMec's are not constitutionally prescribed and are therefore informal entities of IGR, based on mutual trust and cooperation. The MinMec's have since 1994 emerged as important institutions for intergovernmental cooperation. Criticism levelled at it was that MinMecs are too sectorally focused, there is a lack of integrated planning and there is an absence of strategic thinking (IGR Audit Report, 1999: 35). Although the MinMec's in most sectors are of an informal nature the education and finance sectors regulated their forums by legislation which respectively created the Council of Education Ministers and the Budget Council (Levy, 2001: 100).

Kahn *et al* (2011: 76) mention that the MinMecs are sector-based meetings created to promote cooperation, coordination and communication between the national

departments and their provincial counterparts. The responsibilities of the MinMecs with the regard to intergovernmental relations include, *inter alia*:

- the harmonisation of legislation within a given sector;
- the division and deployment of financial resources;
- the harmonisation of programmes on a national basis;
- consultation and negotiation of national norms and standards;
- the integration of intergovernmental policies and strategy;
- the formulation of joint programmes and projects;
- the sharing of sectoral information; and
- the assignment of roles and responsibilities between spheres of government (Presidential Review Commission, 1998).

The importance of MinMecs as IGR instruments is evidenced by the fact that a number of informal structures similar to MinMecs have emerged for the national departmental cooperation. Among others, these *ad hoc* forums are to be found in the trade industry, water affairs, land affairs and housing. At the provincial level, *ad hoc* institutions similar to those at national level (mentioned in the preceding sections of this chapter) have also emerged. While some bodies are not IGR instruments in the true sense, they remain important for cooperation and collaboration. IGR theory expounds that the proliferation of IGR institutions is a universal experience and what these structures usually arise in response to specific situations (Wright, 1988: 467).

2.11.3 Premier's Coordinating Forum (PCF)

The IGRFA (2005) states that, "this forum promotes and facilitates intergovernmental relations between the provinces and local government in the province". The forum consists of; the Premier of the province; the member of the executive council of the province who is responsible for local government in the province; any other members of the executive council designated by the Premier; the mayors of district and metropolitan municipalities in the province; the administrator of any of those municipalities if the municipality is subject to an intervention in terms of section 139 of the Constitution; and a municipal councillor designated by organised local government in the province. The Premier is the chairperson of the forum and may so invite any person not mentioned above to a meeting of the forum.

The forum meets to discuss and consult on matters of mutual interest, including the implementation in the province of national policy and legislation affecting local government interests; matters arising in the PCC and other national intergovernmental forums affecting local government interests in the province; draft national policy and legislation relating to matters affecting local government interests in the province; the implementation of national policy and legislation with respect to such matters; the development of provincial policy and legislation relating to such matters; the implementation of provincial policy and legislation with respect to such matters; the co-ordination of provincial and municipal development planning to facilitate coherent planning in the province as a whole; the co-ordination and alignment of the strategic and performance plans and priorities, objectives and strategies of the provincial government

and local governments in the province; and any other matters of strategic importance that affect the interests of local governments in the province; and to consider reports from-other provincial intergovernmental forums on matters of mutual interest to the province and local governments in the province; and district intergovernmental forums in the province.

2.11.4 Forum for South African Directors-General (FOSAD)

The FOSAD is a body of heads of departments; membership is confined to national directors-general and the directors-general responsible for the provinces. Its chairperson is the national Director-General in the Presidency. While the coordination and implementation of national policy is its fore-most activity, the forum provides a regular opportunity for Directors-General to share experiences around policy and implementation, exchange ideas and assist each other in the professional development and management of their departments. Formally, its role in intergovernmental relations includes fostering a dynamic interface between the political structures and the administration at the national and provincial levels, improving horizontal and vertical coordination of national policies and sharing information on best practices in public management. The wide-ranging brief of FOSAD-specially its reference to support and to facilitate the promotion of cooperative governance-makes it an important instrument to coordinate policy and to ensure that the “vision of the government of the day” as well as of the future, is achieved (Levy, 2001: 108).

The Forum of South African Directors-General (FOSAD) was established in June 1998 with the main aim of the need to coordinate policy, and facilitate intergovernmental Cooperation and the vertical and horizontal levels of government. Kahn et *al* (2011:80) mention that an important feature of FOSAD is that it brings together directors-general at the national and directors-general at provincial level. The FOSAD hold meetings on a quarterly basis but where urgent issues to attend to, meetings are called frequently. FOSAD provides a regular opportunity for Director Generals to share their experiences on policy formulation and implementation. In so doing, it affords them and opportunity to exchange ideas and assist each other in the professional development and management of the departments they lead. FOSAD also plays a part in the advising political office-bearers on how to foster good working relationships between themselves and the administrators. Thus FOSAD helps in public administration and management in public sector since it is and information dissemination and sharing amongst directors-general.

2.11.5 Budget Council or Budget Forum

According to the Intergovernmental Fiscal Relations Act (N$^{o.}$ 97 of 1997) the Local Government Budget Forum consists of the Minister of finance; the MEC for finance of each province; five representatives nominated by the national organisation recognised in terms of the Organised Local Government Act, 1997; and one representative nominated by each provincial organisation recognised in terms of that Act.

A Budget Forum is a body in which the national government, the provincial governments and organised local government consult on any fiscal, budgetary or financial matter affecting the local sphere of government; any proposed legislation or policy which has a financial implication for local government; any matter concerning the financial management, or the monitoring of the finances, of local government; or any other matter which the Minister has referred to the Forum. The Budget forum is a key structure in intergovernmental relations since it plays an advisory role in budgetary and fiscal matters of public entities. It is thus, a uniting force which also cuts-across all the spheres of government in South Africa.

2.11.6 District Mayor's Forum (DIMAFO)

A district intergovernmental forum consists of; the mayor of the district municipality; the mayors of the local municipalities in the district or, if a local municipality does not have a mayor, a councillor designated by the municipality; and the administrator of any of those municipalities if the municipality is subject to an intervention in terms of section 139 of the Constitution. The mayor of the district municipality or, if that municipality is subject to an intervention, the administrator of the municipality is the chairperson of the forum. The chairperson of the forum may invite any person not mentioned above to a meeting of the forum.

The role of a district intergovernmental forum is to serve as a consultative forum for the district municipality and the local municipalities in the district to discuss and consult each other on matters of mutual interest, including draft national and provincial policy

and legislation relating to matters affecting local government interests in the district; the implementation of national and provincial policy and legislation with respect to such matters in the district; matters arising in the Premier's intergovernmental forum affecting the district; mutual support in terms of section 88 of the Local Government: Municipal Structures Act (N$^{o.}$ 117 of 1998); the provision of services in the district; coherent planning and development in the district; the co-ordination and alignment of the strategic and performance plans and priorities, objectives and strategies of the municipalities in the district; and any other matters of strategic importance which affect the interests of the municipalities in the district. DIMAFO a key strategic IGR structure to the municipality since the local government is the closest to the people.

The DIMAFO acts as a bridging structure between a district municipality and its local municipalities. This is due to the nature and purpose of its meetings which discuss matters of mutual interest between ADM and her local municipalities. For example Amathole District Municipality's DIMAFO will comprise of all of the local municipalities falling under the district, equally represented. That is Nxuba, Mnquma, Nkonkobe, Amahlathi, Great Kei, Ngqushwa and Mbhashe local municipalities.

2.11.7 National Council of Provinces (NCOP)

Chapter four of the Constitution, 1996 (section 60-72) establishes the National Council of Provinces (NCOP) which represents the provinces to ensure that provincial interests are taken into account in the national sphere of government. It does this mainly by participating in the national legislative process, and by providing a national forum for

public debate of important issues affecting the provinces. The NCOP also ensures that local government concerns are represented at the highest level. The NCOP consists of nine provincial delegations nominated by the provincial legislatures, and a delegation from the South African Local Government Association (SALGA). Each provincial delegation has ten members made up of four special delegates drawn from the provincial legislature, including the Premier of the province or a person designated by the Premier as head of the delegation. These delegates may change from time to time six permanent delegates. This means every province is equally represented in the NCOP. The political parties in each provincial legislature are entitled to be proportionally represented in that province's NCOP delegation. The SALGA delegation comes from the nine provincial local government associations to represent local government, but it may not vote.

Kahn *et al* (2011: 82) explains that the intent of the 1996 Constitution, therefore, is to link the different spheres of government within a bicameral system. Following this, the NCOP is, potentially, an important instrument of IGR in South Africa, though questions may be raised about its relevance. Calland & Nijzink (2001: 112), argue that the NCOP offers an intricate institutional contribution to the intergovernmental relations in South Africa. No one will deny that it is also an experiment that has yet to prove its value. South Africa’s second parliamentary chamber has attracted criticism for its failure to solve its logistical and other teething problems; the jury is still out on the question of whether it can work in the long run.

The NCOP acts at the national level of government in South Africa. It represents provincial and local government. It functions as a bridge between these three spheres of government. The NCOP is a linking mechanism that acts simultaneously to involve the provinces in national purposes and to ensure the responsiveness of national government to provincial interests. Through the NCOP, national government is sensitised to provincial interests and its processes are enriched accordingly. Equally, by engaging the provinces and provincial legislatures in the formulation of national policy, it avoids their becoming parochial (Pandor, 2000: 1).

The view that public scrutiny of intergovernmental relations is important was highly influential in the design of the NCOP. South Africans departed from the German model of the *Bundesrat* to the 'more complicated' model of the NCOP to avoid the bureaucratisation of executive-driven intergovernmental decision-making and to enhance transparency and openness. By involving provincial legislatures in NCOP decision-making through the mandating process, and by designing delegations that combine members of the executive and the legislature, the Constitution seeks to deepen democracy and enhance representative government.

Furthermore, the role of the NCOP as an intergovernmental forum is also not restricted to discussion of particular policies and legislation. It has a broader role in overseeing the relationships between the three spheres of government. Moreover, in fulfilling this role, unlike the executive intergovernmental forums, the NCOP can engage all role-players comprising of ten legislatures, ten executives and the public. At the moment, the

greatest challenge to the NCOP is to clarify the relationship between local government, on the one hand, and the provincial and national spheres on the other. In particular, provincial legislatures have very little clarity about the responsibility that provinces have in relation to local government and how they should ensure that their executives fulfill this responsibility. What is needed is a common understanding of the relationships and a framework in which they can operate. The NCOP is the appropriate forum for this.

The NCOP considers passes, amends, proposes amendments to, or rejects legislation. It must consider all national bills. It may also initiate or prepare bills falling within Schedule 4 of the Constitution, 1996 (matters over which national and provincial legislatures jointly have the power to make laws) and certain bills affecting the provinces. However, only the Minister of Finance may introduce a bill to do with finance. Most of this law-making work is done in committees, but all bills must be referred to a sitting of the NCOP for debate and for a vote on whether to accept or reject the bill.

2.11.8 South African Local Government Association (SALGA)

With the advent of the first democratically elected government in 1994 organised local government was radically reconstructed to meet the challenges of post-apartheid development and brought within the system of IGR. These reforms were effected through the 1996 Constitution which required an act of Parliament to provide for the recognition of the national and provincial organisations representing all South African municipalities in one national organisation. Accordingly, section 2(b) of the Organised Local Government Act of 1997, recognised only one national organisation (the South

African Local Government Association, referred to as SALGA) and provided that all the different categories of municipalities in the provinces were represented in the organisation. The Act also provided for the nomination of people to represent the municipalities on the Finance and Fiscal Commission, which recommends the formula to the national treasury for the division of the 'equitable share' of the national revenue across the nine provinces. Levy (2001: 96), mentions that, the Act also provides for the strong representation of nominees from the local government associations in each of the nine provinces to the national council of SALGA and an equally sizeable delegation of ten nominees to the National Council of Provinces in which they participate as non-voting observers.

The Constitution of the Republic of South Africa (1996) allows local authorities to organised forms of municipal association. A national organisation, the South African Local Government Association (SALGA), and nine provincial associations have been established. SALGA's main role is the effective representation of local government in the legislative processes of all spheres of government, and in intergovernmental executive processes. SALGA represents local government interests in forums such as the National Council of Provinces (NCOP), The Financial and Fiscal Commission (FFC), the new Budget Forum dealing with intergovernmental transfers, MinMecs, and in the drafting of legislation that affects the status, institutions, powers and functions of local authorities (Kahn *et al*, 2011: 80).

As a comprehensive representative of the local sphere of government in South Africa, SALGA is always there to ensure that local government matters are enshrined and included into development programmes of both the national and provincial spheres of government. It seeks to avoid local government from being omitted from policies and programmes of action which are of mutual and national interest. Hence, SALGA stands for the biggest sphere of government, since local government has got a total of 283 public entities in South Africa. In the same vein, local government is of paramount importance to service delivery because of its nearness to the community, thus it is commonly branded the 'grassroots government' in scholarly terms. Imperatively therefore, SALGA occupies a strategic role in intergovernmental relations due to the fact that it's an advocate of local government matters throughout the entire system of government in the republic.

2.12 CONCLUDING REMARKS

This chapter reviewed literature related to intergovernmental relations and cooperative government in South Africa. Topically, literature was reviewed under the headings of the compositional structure of government in South Africa, the global perspective of IGR and cooperative government, the principles of cooperative government and the genesis of IGR in South Africa. The chapter also covered the models associated with IGR, the theoretical framework of IGR, the synopsis of the IGR system in South Africa as well as the legislative framework of IGR. In terms of legislation, the South African IGR and cooperative government fraternity has got a rich plethora of legislation determining, establishing and regulating how these vital practices are to function. Another important

milestone reached by this chapter was to provide a distinction between federalism and unitarism. Summative, this chapter was quite contributory to the study since it gave an exposition and deeper understanding of IGR. It showed factually that the South African IGR system is not unique to its making but is also closely related to other global systems of IGR. There are positive benefits to the system of IGR and cooperative government adopted and structured by the government of the republic of South Africa since service delivery is not being compromised by the bureaucracies caused by centralisation. The succeeding chapter will offer an in-depth exposition of the research design and methodology utilised in this study.

CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

3.0 INTRODUCTION

The first chapter focussed on introducing the study. This was in the shape of the background of the study, statement of problem and the significance of the study. Chapter two covered a holistic review of related literature in the study, through the various aspects of cooperative government and intergovernmental relations in the wake of public service delivery in South Africa. The contemporary chapter will cover the research design and methodology. Research design is the roadmap, or blue-print of the study. It outlines, vividly and comprehensively, the path of the study which was followed by the researcher toward achieving the research objects. The research design presents the methodology and methods used in this study. The methodology and methods, outlines the research approach and instruments used to collect data respectively. The research design enables the researcher to use data collection techniques that suit the research problem. The purpose of this chapter is therefore to outline and clarify the research design, the research paradigm adopted, the target population, the sample, data collection techniques used in the collection of data in this study, and the rationale for choosing them. This episode will conclude by outlining the plans of analysing the collected data which will be covered in the next chapter.

A research design is imperative in any empirical study due to its ability and role to map-out the roadmap towards the achievement of the intended goals of the study. This aids the researcher to gather facts and techniques which are to be employed in the process of either proving or disproving the hypothesis or providing valid and reliable answers to the research questions. Researchers should come-up with a sound and vibrant research design in order to produce quality research results which are valid and reliable. Thus this section of the study covers the methods and techniques which the researcher adopted and applied towards answering the research questions. The research design encompasses the paradigm of the study, the methods which were used to collect and collate research data, the ethical principles which guided the study, the issues surrounding how the sample was built and the justification of the sampling methods used thereof as well as the survey area and all units falling inside the delimitated area of this study.

When a research project is designed, a number of equally important stages are followed including, *inter alia*, the conceptualisation stage, defining the key terms in the study; choosing the research methods to be employed, making use of questionnaires or interviews; operationalisation of the study, creating concrete measurement techniques; population and sampling, making decisions about what and who to study; observations, collecting the empirical data; data processing, coding the answers to questionnaires; data analysis, drawing conclusions from the collected data; application and communicating the findings to all stakeholder individuals and/or groups. Each of these stages must be carefully planned in such a way so as to maximise the validity of the

research findings. Therefore this ensures that personal prejudices and bias are reduced as far as possible when data is collected to ensure the collection of reliable data. Objectivity and reliability is thus a precondition for validity in social science research. According to Mouton (1996: 119) the obstacles to objective empirical research include vague research questions, the use of biased measurement techniques, biased sampling and samples that are too small or conclusions that are not supported by evidence. Also, research findings could also be invalidated when interviewers are poorly trained and leading questions are asked in interviews and questionnaires.

3.1 RESEARCH DESIGN

Kerlinger (1986) as cited in Kumar (2005: 84) defines research design as, “a plan, structure and strategy of investigation so conceived as to obtain answers to research questions and problems. The plan is the complete scheme programme of the research. It includes an outline of what the investigator will do from writing the hypotheses and the operational implications to the final analysis of data”. Whereas for Thyer (1993) as cited in Kumar (2005: 84), “a traditional research design is a blueprint or detailed plan for how a research study is to be completed, operationalising variables so they can be measured, selecting a sample of interest to study, collecting data to be used as basis for testing hypothesis, and analysing results”. A research design is therefore a procedural plan that is adopted by the researcher to answer questions validly, objectively, accurately and economically (Kumar, 2005: 84). A research design provides the structure within which the selected variables are controlled, manipulated and measured (Hedge, 1987: 135).

In layman terms, research design entails the plan by the researcher on what research instruments are to be used in the study, how data is going to be gathered and possibly how it will attempt to provide logical answers and solutions to the research problem(s). Usually the hypothesis which has been formulated from the previous stage of the research process will act as an objective yardstick to limit and guide the scope of the researcher. Every research process should be having its research design in a bid to foster and maintain validity, objectivity and accuracy of the outcomes of the respective investigation.

The research design should not be confused or misunderstood when related to research methodology since the two are totally different, distinct but related concepts. They are viewed as two sides of the same coin, which make a single whole. A valid and reliable research study should encompass both a carefully structured research design and a robust selection of the research methodologies. Hence social science researchers should be professional and scientific in the selection of a study design. Table 3.1 clearly shows the similarities and variations between research design and research methodology.

Table 3.1: Principal differences between research design and research methodology

Research Design	Research Methodology
Focuses on the end-product:- What kind of study is being planned and what kind of results are aimed at.	Focuses on the research process and what kind of tools and procedures are to be used.
Point of departure is the research problem or research question.	Point of departure are the specific tasks (data collection or sampling) at hand.
Focuses on logic of the research: - what kind of evidence is required to address the research question adequately?	Focuses on the individual (not linear) steps in the research process and the most "objective" (unbiased) procedures to be employed.

Adapted from Babbie & Mouton (2002:75)

From Table 3.1, it can thus be deduced that the focal area of research designs is the end-product of the research, which is the outcome that any particular study is aiming to achieve, with the starting point being the research problem or questions and hence the chief goal is to gather a certain type of evidence to arrive at an answer to address the research problem. Whereas the methodology concerns the tools and strategies which should be utilised towards the arrival to the answers needed to adequately answer the research questions, while the starting point are the specific tasks such as data gathering and sampling procedures. Hence the research methodology is rooted on the most objective individual steps and procedures to be employed in a study. In this research,

there is a clear-cut demarcation between the research design and the methodologies adopted by the researcher in a bid to adequately and objective arrive at answers addressing the question of intergovernmental relations and cooperative government in the wake of the need for effective and efficient service delivery in Amathole District Municipality.

3.1.1 The case study approach

Wessels (2007: 248) mentions that a case study depicts a slice of life, since it is a written record of an actual incident that happened in a work environment. Brynard & Erasmus (1995: 7) further expound that, this incident is described and explained, along with the problem that arose, who was involved, why the problem was experienced, and the opinions and prejudices that were pertinent to the individuals involved. Moreover, a case study involves a decision or a problem experienced (Wessels, 2007: 248). Erskine, Leenders & Mauffette-Leenders (1981) as cited in Wessels (2007: 248) provide an insight into this view by stating that, case studies are written from the viewpoint of the decision-maker involved, and allows the learner to step into the shoes of the decision-maker or problem-solver. According to Creswell (2007: 52), a case study can be regarded as an exploration or in-depth analysis of a 'bounded system' (bounded by time and/or place), or a single or multiple case, over a period of time. The case being studied may refer to a process, activity, event, programme or individual or multiple individuals. It might even refer to a period of time rather than a particular group of people.

Different to the other methodological frameworks the case study strategy is more of a choice of what to study than a methodological one. This becomes clear by looking at its ability to adapt to all the theoretical approaches and methodological frameworks such as life history, phenomenology, grounded theory and ethnographic research. Schram (2006: 120) notes that, whether you consider case study as a way of conceptualising human behaviour or merely as a way of encapsulating it, its strategic value lies in its ability to draw attention to what can be learned from the single case. In other terms, a case study is under the jurisdiction and control of the researcher, who can make deductions about the study area based on feelings and expressions made by the constituent individuals in the study area/universe of interest.

The exploration and description of the case takes place through detailed, in-depth data collection methods, involving multiple sources of information that are rich in context. These may include interviews, documents, observations or archival records. As such, the researcher needs to have the confidence of participants. The product of this research is an in-depth description of a case or cases. The researcher situates this system or case within its larger context, but the focus remains on either the case or an issue that is illustrated by it (Creswell, 2007: 56). There are three types of case study approaches, all having different purposes, *viz*:

- The intrinsic case study which is solely focused on the aim of gaining a better understanding of the particular case.
- The instrumental case study which is used to provide insight into or elaborate on a theory or to gain a better understanding of a social issue through studying the

case. This case study merely serves the purpose of facilitating the researcher's gaining of knowledge about a social issue.

- The collective case study is an instrumental case study extended to a number of cases. The focus is on further the understanding or theorising of the researcher about a general phenomenon or condition. Cases are chosen so that comparisons can be made between cases and concepts and in this way theories can be extended and validated (Schram, 2006: 122).

The researcher applied the case study approach in order to understand the pattern of intergovernmental cooperation between Amathole District Municipality and its local municipality over an expansive period of time. Overally, the study adopted a case study approach to study the survey area of Amathole District Municipality, this includes all the seven local municipalities in ADM. In the study, the case study design took shape in the form of informal and unstructured interviews which were conducted concurrently with data collection through questionnaires. The study utilised case studies in the assessment of IGR and service delivery in Amathole District Municipality. Research data was collected in the target population, through the mixed approach research paradigm because the case study focused on the stated topic in the context of the researcher's area of interest.

3.1.2 The Quantitative Research Paradigm

Webb & Auriacombe (2006: 593) state that, the quantitative approach is closely associated with the natural sciences. A number of research designs within the

quantitative paradigm include the social survey, experimental design, analysis of previously collected data (documentary analysis), and quantitative content analysis. In the quantitative approach, research is underpinned by the natural sciences and terminology such as variables, control, measurement and experiment are common. While Bless & Higson-Smith (2002: 86) are of the opinion that, quantitative research method uses quantifying data to record aspects of society. It makes collected data to be reduced to some numerical representation of what is being measured. Thus Babbie & Mouton (2001: 49), point out that the best way to measure the properties of phenomena is through quantitative measurement, which is by assigning numbers to the perceived qualities of things. Also Welman, Kruger & Mitchell (2005: 9), elucidate that quantitative researchers do try to understand phenomena by means of controlling the situation using remote, empirical, and inferential methods. In this regard therefore, the research utilised questionnaire and survey as a way of gathering quantitative data which was made ready for scientific analysis in the succeeding chapter.

Weinreich (1996: 85) provides a description of the quantitative paradigm by mentioning that, it uses methods adopted from the natural sciences that are designed to ensure objectivity, generalisability, and reliability. He further expounds by writing that, quantitative techniques are concerned with how research participants are selected randomly from the study population in an unbiased manner, the standardised questionnaire or intervention they receive, and the statistical methods used to test predetermined hypotheses regarding the relationships between the specified independent and dependent variables (Weinreich, 1996: 85). In quantitative research,

the researcher is considered to be external to the subjects (an outsider), and results are expected to be replicable no matter who conducts the research. The strengths of the quantitative research paradigm are that its methods produce quantifiable, reliable data that are usually generalisable to the target population (Webb & Auriacombe, 2006: 592). Quantitative measures are often most appropriate for conducting needs assessments or for evaluations comparing outcomes with baseline data. This paradigm breaks down when the phenomenon under study is difficult to measure or quantify. The greatest weakness of the quantitative approach is that it tends to decontextualise human behaviour in a way that removes the event from its real world setting and ignores the effects of variables that have not been included in the model (Weinreich, 1996: 85).

Leedy & Ormrod (2005: 101) note that, quantitative research is used to answer questions about relationships among measured variables with the purpose of explaining, predicting, and controlling phenomena. They further posit that, quantitative researchers seek explanations and predictions that will generalise to other persons and places (2005: 101). Also, quantitative research uses standardised procedures and methods to collect numerical data. The variables to be studied are usually isolated and extraneous variables are controlled. This type of data collection allows for the use of statistical procedures to analyse and interpret data (Leedy & Ormrod, 2005: 102).

In the context of this study, the research applied the quantitative research paradigm in exploring and examining the physical characteristics of the target population. This covered the physical, demographic and other socio-economic characteristics which

were covered in Amathole District Municipality. Quantitative data approach also helped ascertain the feelings of the sample participants through objectively designed questionnaire items. These ensured that the researcher gain a deeper bigger picture of the classes and demographic make-up especially of those individuals who participated in the study, as well as the general and deeper understanding of the practice of IGR to promote cooperation and service delivery in local government. The use of quantitative research methods in the study enabled the researcher to have a sound data analysis which was done using statistical procedures such as the Statistical Package of Social Sciences (SPSS) and hence objective, valid and reliable results were obtained at the end of the research journey.

3.1.3 The Qualitative Research Paradigm

De Vos *et al*, (2005: 269) state that, “the qualitative research design differs inherently from the quantitative design, in that it does not usually provide the researcher with a step-by-step plan or a fixed recipe to follow. On the contrary, in quantitative research, the design determines the researcher’s choices and actions, while in qualitative research, the researcher’s choices and actions will determine the design strategy.” In qualitative research design, it is important to note that researchers need to think through the implications of their chosen strategy for their studies. For Denzin & Lincoln (1994: 4) the word qualitative implies an emphasis on processes and meanings that cannot be rigorously examined or measured (if measured at all). Maxwell (2005:102) states, “to design a workable and productive study, and to communicate this design to others, you need to create a coherent design, one of which the different methods fit together

compatibly, and in which they are integrated with the components of your design". Also, the most critical connection is with your research question, if your methods won't provide you with the data you need to answer your questions; you need to change either your questions or your methods (Schurink, 2009: 814).

Another viewpoint is that, contrary to the research approach of quantitative researchers, it is believed by qualitative researchers that data can only effectively be interpreted when he/she maintains an intimate relationship with the object of study and comes as close as possible to it (Mouton, 1996:130). Webb & Auriacombe (2006:592), write that, qualitative research is an exploration of what is assumed to be a dynamic reality. It does not claim that what is discovered in the process is universal and, thus, replicable. The qualitative research paradigm provides the researcher with the perspective of target audience members through immersion in a culture or situation and direct interaction with the people under study (an insider view). They further pen that, qualitative research methods used in social research include observations, in-depth interviews, focus groups and the analysis of personal documents.

These methods are designed to help researchers understand the meanings people assign to social phenomena and to elucidate the mental processes underlying behaviours. Qualitative research refers to an approach to the study of the world which seeks to describe and analyse the behaviour of humans from the point of view of those being studied (Webb & Auriacombe, 2006: 597).

According to Bryman (1995: 61), the qualitative research approach displays a number of characteristics dimensionally. Firstly, qualitative research is committed to viewing events, norms and values from the perspective of the people who are being studied. Secondly, such researchers provide detailed descriptions of the social settings they investigate. This enables them to understand the subject's interpretation of what is going on. Thirdly, the scholar attempts to understand events and behaviour in the context in which they occur, following a holistic approach. This is significantly a different stance from the natural scientist who attempts to isolate the subject from undue interference. Fourthly, qualitative research views life as streams of interconnecting events, an interlocking series of events and as a process of constant change.

Creswell (2007: 50) identifies the following as main strategies applied in qualitative, these can be used individually or as combinations in order to improve and the validity and reliability of findings:

- Biography
- Ethnography
- Phenomenology
- Grounded theory.

The study utilised biography, phenomenology and case study approaches as the basis of the qualitative research segment of an overall plan which was is a mixed-research paradigm. The researcher adopted the said strategies of qualitative research design due to the need to understand the human behaviour and feelings towards certain

phenomena which occurs within their environment. The applied methods of the qualitative research paradigm can be discussed as follows.

3.1.3.1 Biography

Schwandt (2007: 21), posits that biography refers to both product and process, this approach is based on the assumption that the life world of a person can best be understood from his or her own account and perspective, and "…thus the focus is on individual subjective definition and experience of life" (Schwandt, 2007: 22). However, since an individual is part of a social and cultural world, the biographic approach seeks to inter-relate these worlds. Older forms of biography include life stories and life histories mainly flowing from an objectivistic perspective. As such, the researcher needs to do the following (Cresswell, 2007: 51).

- Collect extensive information from and about the participant;
- Have a clear understanding of historical, contextual material; and
- Have a keen eye for determining the particular stories or angles that 'work' in writing a biography.

This strategy is used by the researcher to report on and document the participant's life and his or her experiences as told to the researcher (solicited documents), or found in documents and archival material (unsolicited documents), narratives and autobiographies (Schurink, 2009: 810). Despite the different perspectives taken in biographical research, the research strategy has a common aim namely the reconstruction of the history of a life (the unfolding of an individual's experiences over

time and in a specific culture). The methods of data collection applied here are primarily personal interviews and personal documents (letters and diaries) with a detailed picture of an individual's life being the product of the research. Hence the researcher used the biographic approach in order to understand the life history of the residents and employees of Amathole District Municipality, which formed the basis of understanding the status *quo* in terms of lifestyles, levels of service delivery over time and the relations between the municipality and its residents. Such data was collected through interviews.

3.1.3.2 Phenomenology

This strategy stems from the objectivistic paradigm and aims to describe what concepts and structures of experience give form and meaning to the person involved (Schram, 2006: 120). The researcher utilising this approach brackets their own assumptions and perceptions of how everyday events are experienced in order to first gain a deeper understanding of his/her observations. The main aim is to gain an understanding of the essence of the experiences of the research participants (Moustakas, 1994: 55). The end-product of the research is a careful description of the conscious every day experiences and social action of the research participants. In order to accomplish a description of life world experiences, researchers should be able to turn from things to their meaning. Under phenomenology, researchers therefore turn away from their personal perceptions and try to understand how the world appears to others. This is mainly done by means of naturalistic methods of study, implying that researchers must be able to distance themselves from their own judgements and preconceptions about

the nature and essence of experiences and events in the everyday world (Schram, 2006: 120).

The researcher should thus assume the attitude of a ‘disinterested’ observer. Researchers using this strategy of enquiry will mainly utilise participant observation and interviewing as methods of data collection. Data analysis is undertaken by means of an inductive and recursive process. Patterns, categories, or themes evolve as data collection proceeds. This approach draws on the resources of the phenomenological paradigm but flows from a constructionist perspective (Schwandt, 2007: 97). By following this design the researcher tries to understand the meaning of the interactions people experience in everyday life. The researcher therefore applied a phenomenological approach when conducting the face-to-face informal interviews during the course of data collection. This was due to the fact that there are some observations noted onto the participants in relation to their attitudes towards some of the interview items, thereby informing the researcher to best understand participant behaviour towards answering the research question.

3.2 RESEARCH METHODOLOGY

Meiring (2001: 156) notes that, fundamental to every scientific research is a method which can be explained as a prescribed manner for performing a specific task, with adequate consideration of the problem, objectives and hypothesis. Whereas Hofstee (2006: 107) explains method as follows, “If you are going to pose yourself a problem and then come to a conclusion about it, you have to do something to come to that

conclusion. That ‘something’ is your method.” It is the nitty-gritty of the matters detailing the application of the research design and the justification thereof (2006: 107). Mouton (2004:35) expounds that research methodology involves the application of a variety of standardised methods and techniques in the pursuit of valid knowledge, and is committed to the use of objective methods and procedures that will increase the likelihood of attaining validity. Thus, when we talk of research methodology we not only talk of the research methods but also consider the logic behind the methods we use in the context of our research study and explain why we are using a particular method or technique and why we are not using others so that research results are capable of being evaluated either by the researcher himself or by others.

In any study, the researcher uses their own discretion to choose on the methodological mixes which they are to adopt and apply in their study. Such choices should be objective and justifiable, since the methods and technicalities of the study substantiate the research design towards adequately answering the research question(s) as validly as possible. Therefore in this regard, the researcher selected various methods in data gathering, data analysis and the handling of the research findings. Methods selected also encompassed sampling and sampling procedures as well as the choice of the target population, the study area and its units, in this case, Amathole District Municipality its seven local municipalities and their various units and divisions.

3.3 THE MIXED-METHOD RESEARCH PARADIGM

The growing need for studies which are valid, object and reliable has seen the use of the mixed-method research rise in recent times. Du Plessis & Majam (2010:549) write that a mixed method design incorporates techniques from qualitative and quantitative methods to answer research questions. In the same vein, Greene (2007:13) defines mixed-method designs in social inquiry as involving a plurality of philosophical paradigms, theoretical assumptions, methodological traditions, data gathering and analysis techniques and personalised understandings and value commitments. When using mixed methods, social inquirers choose from a full repertoire of methodological options at any number of multiple points in an inquiry process, purpose, overall design, methods, sampling, data recording, analysis, and interpretation (Teddlie & Tashakkori, 2003: 11).

Moreover, Schwandt (2007: 196) expands this view by saying that, in the process (of mixing various research methods) different kinds of data are generated. Therefore, mixed methods research entails processes and procedures for collecting, analysing and inferring both quantitative and qualitative data in a single study or in sequential studies, based on priority and the sequence of information. Hence the 'mixing' covers almost every aspect of the study from the purposes of the study to the data analysis and interpretations. It should be emphasised that the researcher should be consistent in the use of the chosen designs in order to avoid negatively affecting on the findings and conclusions of the entire study.

According to Teddlie & Tashakkori (2003: 12) mixed method research involves qualitative and quantitative projects being mixed in more than one stage of the study (questions, research methods, data collection and data analysis, as well as the interpretation or inference process). This can be made possible, for example, when a researcher conducts surveys with a large group of individuals, while concurrently conducting in-depth interviews with a sub-sample of those individuals. In taking this dual approach the researcher seeks to find general trends in the target population and also aims to provide greater detail regarding any unexpected findings that may arise. Mixed method research involves collecting or analysing quantitative and/or qualitative data in a single study (Teddlie & Tashakkori, 2003: 696). The data is collected concurrently or sequentially and only the data is integrated at one or more stages during the research process. This mixing is often referred to as triangulation in social science research.

Triangulation is the mixing of the two research paradigms, so that diverse viewpoints or stand points can cast light upon a topic. Denzin (1978) as cited in Jick (1979: 602) articulates triangulation as the combination of methodologies in the study of the same phenomenon. The approach was inspired by geometry in implying that multiple viewpoints allow for greater accuracy. In this vein, triangulation connotes the use of more than one approach to research, in order to enhance the trustworthiness and credibility of ensuing findings. Put differently, it is aimed at deepening and widening the researcher's understanding of the problem at hand using more than a single approach. The triangulation method provides for the reliability and validity of the data, thus ensuring the trustworthiness of the research conducted (Creswell, 1994: 158). The

virtue of this approach is that it cuts-out the inadequacies of both quantitative and qualitative methodologies. As such, it combines the strengths of both approaches, thereby increasing the validity and reliability of the research output. As articulated to in the preceding sections of this chapter, the study triangulated in the research approach since it made use of both the quantitative and qualitative research paradigms.

3.4 SCOPE OF THE STUDY

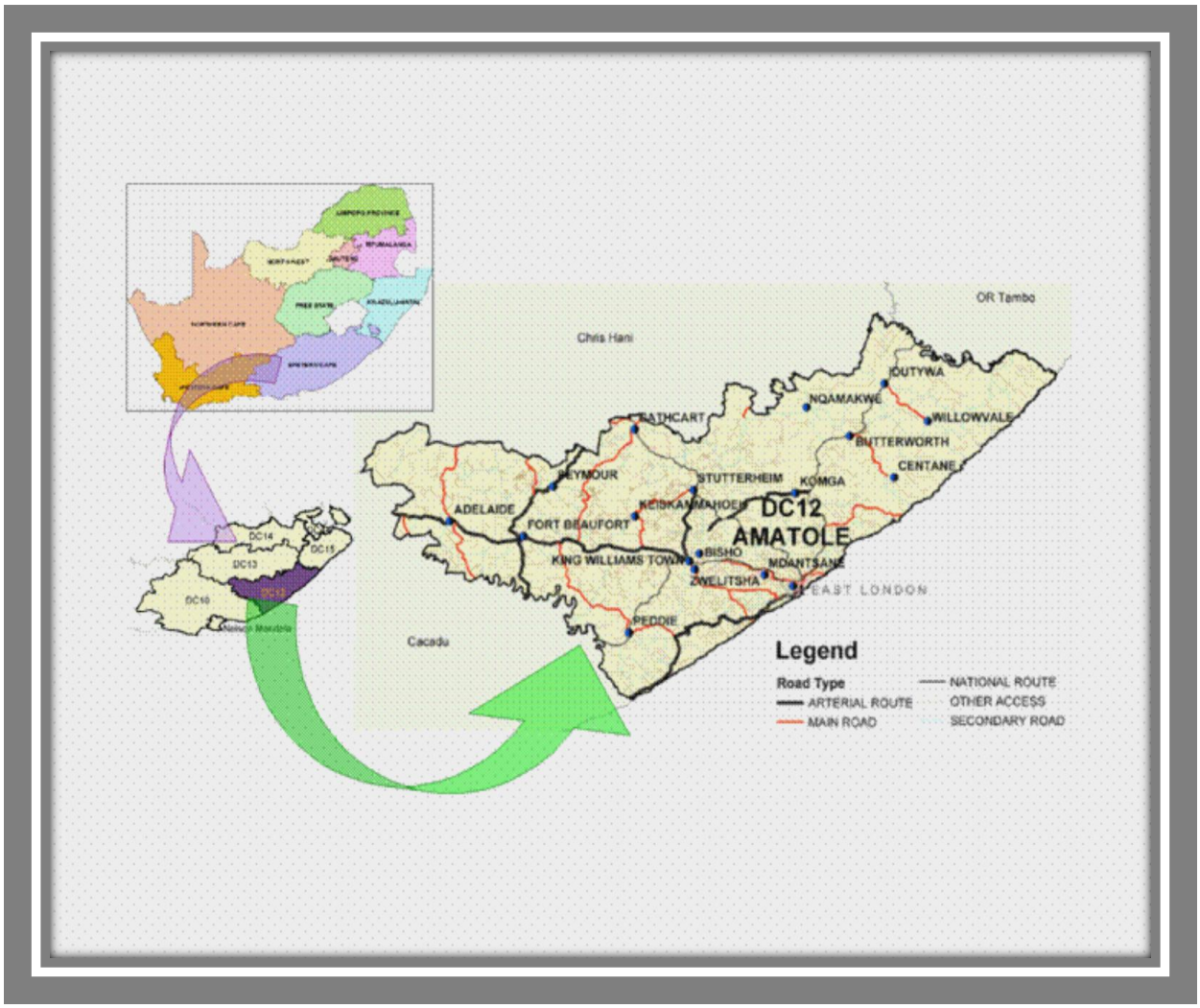
The scope of the study covers a quite expansive area, which covers the entire region of the Amathole District Municipality situated along the east coast of the Eastern Cape Province of South Africa. The administrative centre of the municipality is situated in the coastal town of East London. Therefore the study which aims at exploring and assessing the role played by cooperative government and Intergovernmental Relations in ADM towards improved public service delivery is centred on this whole district of Amathole.

3.4.1 Delimitating the study area and its units

Amathole District Municipality, municipal demarcation code DC 12 has got seven (7) local municipalities. The units for study in this study encompass the entire district of Amathole since the research seeks to assess the issues of cooperative government and intergovernmental relations between Amathole District and its local municipalities. The local municipalities falling under Amathole District are, *viz*, Nkonkobe, Mbhashe, Nxuba, Mnquma, Ngqushwa, Great Kei and Amahlati local municipalities. The map in figure 3.1

shows the geographical location of ADM both in South African and the Eastern Cape Province.

Figure 3.1: Map of the Amathole District Municipality



Source: Municipal Demarcation Board (2011)

3.5 TARGET POPULATION

Babbie & Mouton (2004:110) view a population for a study as that group, usually people, from which the researchers require to draw conclusions. Whereas for Polit & Hungler (1997: 43), a target population as the totality of all subjects that conform to certain specifications. Another perspective of a target population is that, it refers to a collection of objects, events or individuals having some common characteristics that the researcher is interested in studying (Mouton, 1996: 34). A population of a study means a group of potential participants or cases from which the researcher draws a sample from and to which results from the sample are generalised (Newman, 2006: 224).

In this regard, all conclusions and generalisations which a researcher will make are solely based on the target population as Bless & Higson-Smith (2006: 97), put across when they write that, it is a set of elements that the researcher focuses upon and to which the results obtained by testing the sample should be generalised and lastly a population encompasses all units which the researcher wishes to make conclusions about. Impliedly, the sample of a study is specifically chosen from the target population. The essence of sampling from the target population is that the population is too large to be studies without selecting an objectively representative small group.

In layman terms, the target population is the 'universe of interest' of the researcher, from which all conclusions and generalisations of the study will be based on. Thus, all inferences made in the study were rooted in the researcher's population of interest. A target population is of cardinal importance in any empirical study due to the fact that we

cannot study every single item in a study even if it is not meeting the desired characteristics specified in the study. For example, this study was premised in the aspect of cooperative government and intergovernmental relations, hence the target population will not include members who do not have anything to do with IGR, and also those falling outside Amathole District Municipality were excluded from the sample.

The target population of the study are the officials from Amathole District Municipality tasked with promoting cooperative government, the municipal administrators, such as the municipal managers or accounting officer of the municipality, the residents of the municipality, IGR practitioners in all the local municipalities falling under Amathole's jurisdiction, representatives of parastatal bodies, representatives from the South African Local Government Association (SALGA) and interest groups and stakeholders such as Community Based Organisations (CBOs) who might have an greater understanding of the relations between the district and its municipalities as well as the impact of such relations. The target population also encompassed the residents of ADM as the consumers of the municipality's services.

3.6 SAMPLE AND SAMPLING PROCEDURE

Arkava & Lane (1983) as cited in De Vos, Strydom, Fouche & Delport (2005: 194), state that, "a sample comprise elements of the population considered for the actual inclusion in the study, or it can be viewed as the subset of measurements drawn from the population in which we are interested". Wisker (2001:138) postulate that a selected and chosen group upon which the research is carried out. We study the sample in an effort

to understand the population from which it is drawn. Sampling on the other hand is the process of selecting a few cases from a bigger group to become the basis for estimating or predicting the prevalence of an unknown piece of information, situation or outcome regarding the bigger group, in other words a subgroup of the population in which a researcher is interested in (Kumar, 2005: 144). Sampling is thus the process of selecting a few cases from a bigger group to become the basis for estimating or predicting the prevalence of an unknown piece of information, situation or outcome regarding the bigger group, in other words a subgroup of the population in which a researcher is interested in (Kumar, 2005: 144).

The most important reason for sampling is feasibility (Strydom, 2005:194). It is often too costly and impractical to study an entire population and researchers make use of sampling to save time and resources. Although sampling is more technical than other research processes, it is not that complicated a concept. In fact, in everyday lives, one speaks about and of populations all the time. One might refer to poor service delivery by municipalities in South Africa, but rarely is this done on the basis of a full dataset. It is unlikely that all municipal services in South Africa are poor. One only bases the assessment on a sample of the particular municipalities in the area in which one lives (Burger & Silima, 2006: 658).

Sampling theory distinguishes between probability and non-probability sampling designs. Probability sampling is only possible when the probability of the inclusion of each member of the population into the sample can be determined. Here a sample is

built randomly when each member of the population has an equal chance of being selected into the sample. Simple-random sampling, interval or systematic sampling, stratified random sampling and cluster sampling are the commonly used probability sampling designs. On the contrary, non-random sampling is possible where the probability of each element of the population being included in the sample is not known. The two main categories of sampling designs, *viz*, probability/random sampling and non-probability/non-random sampling can be used in a study. The former is applicable when the researcher has a deep awareness of the target population and includes such designs as simple random sampling, stratified and cluster. Whereas the latter is useful when the research is not well-customised with the study group, it includes such designs as accidental, snow-ball, judgmental and quota sampling.

The study utilised non-random/non-probability sampling procedures due to the fact that the researcher did not in-depth knowledge of the target population. Hence a representative sample of seventy (70) respondents was objectively constructed using non-probability sampling designs. The two main non-random sampling designs which the researcher applied during the sampling stage of the study are, purposive/judgemental sampling and snowball sampling. The details of the sample are presented in table 3.2.

Table 3.2: Details of the study sample

RESPONDENTS' DESIGNATION	NUMBER SAMPLED	GENDER		PERCENTAGE TOTAL (%)
		MALE	FEMALE	
MUNICIPAL MANAGER'S OFFICE	2	2	0	3%
IGR PRACTITIONERS	30	18	12	43%
COMMUNITY-BASED ORGANISATIONS	5	2	3	7%
SALGA REPRESENTATIVES	15	11	4	21%
RESIDENTS	18	10	8	26%
TOTAL	70	43	27	100%

n=70 *Source: Own Illustration based on sample data*

The sample details provided in table 3.2 illustrate clearly how the researcher came-up with the sample which was representative of the target population. Sampling was made possible by the use of non-random sampling designs, *viz,* purposive and snowball sampling methods. These adopted designs are covered in the sections which follow.

3.6.1 Purposive/Judgmental Sampling

Purposive sampling is the type of sampling that is based entirely on the judgment of the researcher, in that a sample is composed of the elements that contain the most characteristics, representative or typical attributes of the population (Singleton & Straits, 2004: 104). Here, researchers rely on their experience, ingenuity and previous research findings to deliberately obtain participants in such a manner that the sample obtained may be regarded as representative of the relevant population. Purposive sampling is a procedure based on case, individuals or communities judged as being appropriate or very informative for the purpose of the research underway. Cases are handpicked to achieve some specific characteristics that will illuminate the purpose of the study. Another viewpoint of judgmental sampling is provided by Warwick & Linenger (1975:74) when they promulgate that in purposive sampling, sample elements are chosen by the researchers using their own discretion about which informants are typical or representative. Hence the more knowledgeable the researcher is about the target population, the easier and objective the selection of the sample becomes.

A principal weakness of purposive sampling is that making an informed selection of cases, requires considerable knowledge of the population before the sample can be drawn. Hence there is a loophole for the subjective biases of the researcher to influence the selection of respondents for data gathering. However purposive sampling can be advantageous in situations where the researcher knows a section of the target population very well and hence can simply target such members of the population to partake in the research. In this regard therefore, the researcher used the judgmental

sampling method in the selection of respondents in the categories of those in the municipal managers' office, the IGR representatives as well as those representatives who fell under the SALGA segment of the sample. The researcher mixed the two sampling designs from the non-random category in order to improve on the validity and reliability of the sample. Thus the sample was also built upon the principles of the snowball sampling method.

3.6.2 Snowball Sampling

Snowball involves the selection of a sample by having initially identified subjects who can refer the investigator to other subjects with like or similar characteristics. Supposedly, if the population is known to the researcher and others, then the snowball sampling approach is about the only way to find subjects. According to De Vos *et al* (2005:85) snowball sampling involves the approaching of a single case that is involved in the phenomenon to be investigated in order to gain information on other similar persons. In turn, this person is requested to identify further people who could make up the sample. In this way the researcher proceeds until he has identified a sufficient number of cases to make up his sample (De Vos *et al*, 2005: 86). There is some form of "referral sampling" of some sort in snowball sampling as expounded on by Baker (1988: 159) they he writes that, snowball involves approaching a single case that is involved in the phenomenon to be investigated in order to gain information on other similar cases.

This design uses a process of chain referral. For example, when members of the target population are established, they are asked to provide names and contact information of

other members of the target population, who are then contacted and asked to name others, and so on. Snowball sampling is rooted in the basic assumption that members of the target population know each other. Strydom (2005) as cited in Burger & Silima (2006: 664) suggests that researchers should always ask for more than one referral from a respondent to ensure than the chain does not get broken. Consequently, the researcher used snowball sampling in the selection of those members of the population who knew each other in terms of their knowledge of IGR and cooperative government, this encompassed respondents form the segments of Community Based Organisations (CBOs) and residents of Amathole District Municipality.

3.7 DATA COLLECTION METHODS AND PROCEDURES

Any empirical study involves the gathering of research data from the target population by means of a representative sample. The need for triangulation in a bid to drive the research findings towards validity and reliability made the researcher to use questionnaires and a limited number of unstructured interviews in needed data. Although a great deal of data sourced using primary methods as above, provision was also made for accommodating some useful information provided by the responsible authority in the municipality in line with the research objectives and purposes. This source of data is regarded as secondary since it involves a great deal of already existing documents (documentary analysis). Kumar (2005: 119) mentions that, observations, interviews and questionnaires make primary sources of data while government publications, earlier research, personal records and mass media occupy the secondary source category. Instruments such as interviews, intakes forms,

questionnaires and surveys and attendance records can be useful in gathering data as in the sentiments of (Layder, 1993: 54). The study utilised questionnaires, interviews and documentary analysis as data collection tools.

3.7.1 Questionnaires

Bless *et al* (2006:120) define a questionnaire as an instrument of data collection consisting of a standardised series of questions relating to a research topic to be answered in writing by participants. In this case, respondents read and interpret questionnaires and write answers for themselves with no or very minimal help. According to Johnson & Christensen (2000: 162) researchers use questionnaires to obtain information about thoughts, feelings, attitudes, beliefs, values, perceptions, personality and behavioural intentions of research participants. In a questionnaire respondents read the questions, interpret what is expected and then write down the answers. This opinion does not deviate much from that of Kumar (2005: 126) who asserts that it is a method used for collecting data by means of written questions which calls for responses on the part of the respondent.

Questionnaires are also used to explore and expose data which lies deep within the heart, mind, and feelings of people (Brynard & Hanekom, 1997: 37). Open-ended and closed-ended questions enable the respondents to fully express their views and helped in understanding the meaning of the questions better respectively, questions are answered within the same framework and responses can consequently be compared with one another. The research administered both these classes of questionnaires

(structured and un-structured). Questionnaires in this study were used to solicit information mainly demographic from the target population. Such information includes the ages, ethnic origin, employment status, educational qualifications, marital status and gender. These questionnaires were administered to the sample as selected above (see annexure C). The researcher made use of four (4) different categories of questionnaires which were distributed to respondents within the target population, which was represented by the sample. These include representatives from SALGA and Community Based Organisations, IGR practitioners in the district, residents of ADM as well as Amathole District Municipal officials.

3.7.2 Interviews

An interview is any person-person interaction between two or more people with a specific purpose in mind. This is advantageous in the sense that a face-to-face impression can have a positive effect and people can open up their minds and the conversation can illuminate a problem in some instances (Kumar, 2005:123). The interviewer should not play a role in eroding the validity and reliability of responses (Jarbandhan & Schutte, 2006: 678). Such distortions of data can come through the asking of leading questions and/or poorly structured questions in an interview. Hence the interviewer should be equipped with the proper skills in order to enable them to solicit the best quality and unbiased data from the respondents in the interview.

The study triangulated in data collection by means of both questionnaires and interviews in data gathering. Interviews were concurrently done together with

questionnaires since the researcher strongly felt that some opinions would be gathered through these 'informal' interviews (see annexure D), such opinions would not be expressible in the questionnaires. Procedurally, the researcher asked some follow-up questions to the respondents during the process of them completing their allocated questionnaires. This economised in terms of time since it did not waste the participants' time when questionnaires and interviews are done independently or individually.

3.7.3 Documentary Analysis

The analysis of pre-existing records forms part-and-parcel of what Auriacombe (2007: 458) refers to as unobtrusive research methods. According to him, the use of unobtrusive research methods is the process of studying social behaviour without affecting it. Secondary sources of data should therefore be used to counteract the bias and loopholes found in the primary data collection procedures, therefore playing a complimentary role and driving data towards validity and reliability. However, researchers must ensure that no errors should be made in collating and collection of data form documents in secondary research. These documents can include archival records, published statistics, judicial records, election or census results, crime statistics and educational data. Institutional publications, data published by private sector organisations, personal documents, biographies, historical documents and medical or other scientific records also form part of this type of recorded data. The researcher also made use of the Amathole District Municipality Integrated Development Plan for the period of 2012-2017.

Bless and Achola (1990:106), note that, in documentary analysis, the respondents are not aware that they are the subject of study. The main weakness associated with these unobtrusive data collection methods such as documentary analysis is that the records to which the research will be allow access might contain institutional biases. For example, a municipality might restrict a researcher to the records in which it is certain paint a positive image for the entity not necessarily worried about providing objective and reliable data which reflects both the good and bad sides of the municipality. The study also made use of the unobtrusive data gathering method of documentary analysis, through which the researcher analysed the performance and IGR records of Amathole District Municipality in relation of how the cooperation between ADM and her local municipalities improved the rendering of services to the residents as well as the maintenance of institutional efficiency.

3.8 VALIDITY AND RELIABILITY

Kumar (2005:153) views validity as the ability of an instrument to measure what it is designed to measure. Smith (1991) as cited in Kumar (2005: 153) confers that, 'validity is the degree to which the researcher has measured what he or she has set out to measure'. Hence validity is associated with providing answers to whether are we measuring what we think we are measuring? It avoids scenarios whereby an n instrument such as a research questionnaire or interview diverts form the intended goal and end-up measuring totally deferent phenomena. As a result, validity endeavours to ensure that there is a cordial linkage between the research hypothesis or the research questions and the item in a measuring instrument. Kumar (2005: 154) postulates that,

validity can be categorised into three main classes, *viz*, face and content validity, construct validity as well as concurrent and predictive validity. In this study the research sought expert advice on how to ensure that all the types of validity are attained and sustained in the data collection instruments used in the study.

Reliability can be seen as the extent to which a questionnaire, test, observation or any measurement procedure is able to produce the same results on repeated trials. Succinctly, it is the stability or consistency of scores over time or across different raters. For Kumar (2005: 456) reliability seeks to check the consistency and stability as well as the predictability and accuracy of a measurement tool. Hence a more consistent scale will be classified as a more reliable one. Researchers should design measurement scales which have got a great deal of precision to ensure that the results can be trusted and adopted by various stakeholders in any given study. The wording of questions, physical setting, respondent's mood and the nature of interaction as well as the regression effect of an instrument are the main factors affecting the reliability of a research instrument (Kumar, 2005: 157).

The researcher consulted the questionnaires and interview samples and guides from other reputable researcher and organization such as the United Nations Organisation (UNO) to act as benchmarks for the construction of the data collection tools used in the study. Thus the study was quite conscious of the need to ensure validity and reliability of the measurement instruments as the building blocks to a valid and reliable study. Such validity and reliability assurance made it possible for the various stakeholders

identified under the significance of the study in chapter one to consider adopting and implementing some of the recommendations which the researcher made at the end of the study in chapter five.

3.8.1 Fundamental indicators used to assess the role of cooperative government and intergovernmental relations in promoting effective service delivery

The preceding section has exclusively established the rationale behind validity and reliability in social research. The assessment of the pivotal role which cooperative government and intergovernmental relations play in promoting sustainable service rendering at the local government of South Africa should be informed by key performance indicators which serve as yardsticks through which this study based its premise on. The key indicators against which the study was built-upon are:

- The existence or establishment of developmental programmes, projects and interventions cutting-across the three spheres of government. Such projects might have been initiated by a given sphere of government and the other sphere(s) partake in partnership with the parent sphere;
- The congruence and harmonisation of the reports and reporting patters nans well as budgeting cycles and integration of budgets across the three spheres of government. The study used the concept of funding and budget cycles to assess the cooperation and collaboration of the three spheres of government in matters which aim at promoting public good;
- Oneness and collective development and promotion of public welfare through all-inclusive programmes aiming to reduce poverty, fight unemployment and

promotion of socio-economic development. The study focussed on the National Spatial Development Strategy, Provincial Growth and Development Programme and the Municipal Integrated Development Planning were used in this regard; with a particular emphasis on the IDP process within the district of Amathole; and

- Intergovernmental disputes and the provision of friendly hands-on support on ailing municipalities by the other sister spheres of government. This key indicator assesses IGR and cooperative government from the angle of peace and harmony in the helping and supporting of needy spheres of government. In this way, the study focusses on the support or help which the national and provincial government could offer/offered to needy municipalities as a gesture of promoting a 'oneness in separation' as articulated by section 41 of the Constitution (1996).

3.9 ETHICAL CONSIDERATIONS APPLIED IN THE STUDY

In any field of scientific enquiry (such as social science research), there are *ethos* which make as yardsticks to guide the respective practitioners on how to ethically undertake a study. This encompasses social science researchers, who often find themselves trapped in some ethical dilemmas associated with the use of human beings as their study subjects. Lutabingwa & Nethonzhe (2006: 694) noted that the fact that some researchers use human subjects in their investigations calls them to abide by the ethical norms and values. One of the challenges facing both quantitative and qualitative social science researchers has to do with ethical issues. This is brought about by the fact that researchers studying human beings have to be concerned with how they treat them, for example, researchers face the dilemma of whether they should give full information to

the participants about their research, thus possibly contaminating their studies, or withhold some information. Furthermore, Reese & Fremouw (1984) as cited in Lutabingwa & Nethonzhe (2006: 695) outline that there are three broad areas of ethical concern in research: the ethics of data collection and analysis; the ethics of the treatment of participants; and the ethics of responsibility to the society. This incorporates such ethical considerations as informed consent, de-briefing, deception, voluntary participation, and participant's protection from harm, protection of privacy and dignity and privacy of participants.

3.9.1 Written permission to conduct the research

The study was passed ethically fit and abiding by the University's ethics committee. Written permission was sought from the Department's Chair and Head that the study was university sanctioned and the letter requesting permission (see Annexure A) on the universe of interest (Amathole District Municipality). In appreciation of receipt of the permission request letter (see annexure B) the municipality wrote back authorising the researcher to undertake the study within their area of jurisdiction but using the relevant structures and systems set within the municipality. Seeking research permission and ethical clearance letters from the relevant authorities helped clear the study of any academic fraud of whatsoever magnitude. Therefore, the researcher used the authorisation letter from the municipality to inform the respondents in the sample of the fact of permission being granted beforehand, to enable them to be as comfortable as possible to participate in the study.

3.9.2 Anonymity, privacy and confidentiality

Participants in any field of scientific research should be assured of their right to their privacy for one to come up with a valid and reliable conclusion (Welman *et al*, 2005: 181). Violation of privacy should not exist as advised by Lutabingwa & Nethonzhe, (2006: 699), Invasion of privacy remains a public concern as a result of widely publicised accounts of government wiretapping, police entrapments, and corporate drug testing (Singleton & Straits, 2004). Social research presents many possibilities for invading the privacy and confidentiality of research participants, and it is essential that researchers be sensitive to the ways in which their actions can violate the participants' basic right to privacy. It is in this view that respondents remained anonymous and confidential, and no personal information unrelated to the research was solicited. Confidentiality can also be ensured by removing identifying information as soon as it is no longer needed. The researcher ensured that the rights to privacy and confidentiality of participants was not breached, no personal details of the respondents in the study was disclosed, as disclosing such information would lead to the victimisation of the respective respondents thereby discrediting the validity and reliability of the findings.

3.9.3 Informed consent and debriefing

The researcher pre-emptied the purpose of the research and made sure that participation by respondents was as per their own will. Furthermore, respondents were debriefed after every questionnaire and interview session in order for them to be well acquainted with the purpose of the study and how the results of the study would be used to improve policy in the municipality. This was essential since "it is unethical to

obtain fraudulent data and there should be a thorough and truthful information of respondents before data is collected regardless of the method used to source such data" (Welman *et al*, 2005: 181). A study should ensure that there is informed consent beforehand in every scientific enquiry as affirmed by Kumar (2005: 212). Therefore respondents were accorded their right to informed consent before they participated in this research. Also no respondent under the age of the legal age of eighteen (18) years took part in the study.

3.9.4 Avoidance of harm and voluntary participation

Researchers in the social sciences should guard against the infliction of harm to their participation in any nature or form, be it physical, emotional or psychological harm regardless of the virtue that they had consented and volunteered to participate in the study. There should be no room for erroneously asking questions since this can have some after effects on the participants, like stress (Lutabingwa & Nethonzhe, 2006: 697). Therefore with this as a yardstick, the researcher ensured an all safety environment to the participants throughout the research. Moreover, nobody should be coerced into participating in a research project because participation should always be voluntary (De Vos *et al*, 2005: 59). The researcher used a liberal approach in sampling as well as data collection whereby only those volunteers were interviewed or made to complete the set of questionnaires designed for them. Hence participants participated willingly and those who felt that they needed to withdraw at any stage of the research process were accorded a chance with hindrance or coercion.

3.9.5 Handling of research results

Social science researchers should be cautious in the use and application of their research findings. The obvious fact is that research findings might be used to reshape public policy and improve the rendering of service as noted by Singleton and Straits (2004). However, there are some guidelines which researchers are to follow in relation to the use of the research findings of any study. These guidelines relate to the avoidance of exploitation of the target population by policy-makers, hence results should be made available to the best possible audience, there should also be a constructive engagement of the various stakeholders of policy-making in order to reap the best possible results from the study to avoid too much generalisation and misuse of results (Diener & Crandall, 1978). The research made sure that the research findings do not fall into the wrong hands and they were only made available to the relevant authorities such as ADM and its local municipalities to help in the reshaping of policy and improvement of intergovernmental cooperation in these municipalities.

3.10 CONCLUDING REMARKS

This section covered the research design and methodology which included, *inter alia*, the research paradigm, that is, the mixed method research approach, details on the target population, sample and sampling procedures, data collection techniques as well as the ethical principles considered in the study. Chapter three also provided detailed structure of the sample constituents and the study area and its units. A research design is of paramount importance to a study since it is a roadmap to be procedurally followed in a bid to achieve the set research objectives, the study triangulated by means of

adopting a mixed-method research design which encompasses both quantitative and qualitative approaches. Triangulation was done due to the need to improve on the validity and reliability of the research findings since the weaknesses of one research approach (for example the quantitative research paradigm) are covered by the strengths of the other method (for example qualitative research paradigm).

Research methodology is of equal importance to research design since it details the methods and procedures which have been used to gather the much needed research data. The study used questionnaires, unstructured interviews and documentary analysis (unobtrusive method) as the data gathering methods. The collected data was statistically analysed, presented and interpreted in order to prepare it for consumption by a wide spectrum of readers. The succeeding section of the dissertation (chapter four) will delve into greater detail on data analysis towards answering the research questions adequately and in an unbiased manner.

CHAPTER FOUR

DATA ANALYSIS AND INTERPRETATION

4.0 INTRODUCTION

The study sought to assess the role played by cooperative government and intergovernmental relations (IGR) in promoting effective and efficient service delivery in the Amathole district municipality. The study took a triangulated mixed-method design which was conducted through a case study survey. The study is categorised into five episodes. Chapter one is the preamble of the study which introduced the study by covering the background of the study, research questions and problem statement. Chapter two covered a holistic review literature on IGR and cooperative government within the bounds of local government, chapter three presented the research blue-print under the research design and methodology. The researcher employed both primary and secondary sources of data in the study methodology this included, *inter alia*, questionnaires, documents and interviews.

The current chapter provides an in-depth analysis of the data gathered in the research using the data collection instruments outlined in the preceding chapter. Levine (1997: 2) defines data analysis as a body of methods that help to describe facts, detect patterns, develop explanations, and test hypotheses. It is used in all of the sciences. It is used in business, in administration, and in policy. Data analysis is cardinal to the attainment of research objectives since analysis makes the findings readable and understandable by

all relevant stakeholders due to the interpretation and meanings attached to the facts and figures gathered in the target population. Data analysis will also take the shape of an exercise to concurrent presentation and interpretation.

While Cloete (2007: 512) mentions that a quantitative research approach focuses on objectively observable, measurable and calculable phenomena and employs mainly a narrow range of technical statistical and mathematical approaches and techniques to gather and process research data, De Vos *et al* (2005: 333) assert that data analysis is the process of bringing order, structure and meaning to mass collected data, which is further expounded by Higson-Smith (2002: 137) who writes that the data analysis process allows the researcher to generalise the findings from the sample used in the research, to the larger population which the researcher is interested in. In this regard therefore, the goal of this chapter is to analyse, interpret and give understandable meaning to the data.

The deduction and interpretations of the data are going to be based on the sample of seventy respondents which were randomly selected as showed in table 3.1 in chapter three. The members of this sample comprised of those individuals from the ADM and its local municipalities, which included, *inter alia*:

- Officials from the municipal managers' offices
- Intergovernmental practitioners from the municipalities;
- Representatives from Non-Governmental Organisations (NGOs);
- Representatives of Community Based Organisations (CBOs); and

- Residents of Amathole district and its local municipalities.

4.1 QUANTITATIVE DATA ANALYSIS

According to Babbie (2010:422), quantitative data analysis is the numerical representation and manipulation of observations for the purpose of describing and exploring phenomena that those observations reflect. For such data to be available it should initially be collected, therefore the researcher initially collected quantitative data**.** The researcher used quantitative data analysis to analysis data collected using the questionnaire as a primary source of data. The overall analysis was done using the statistical data analysis software called the Statistical Package of Social Sciences (SPSS). Prior to the commencement of the entire data analysis process, the researcher used content analysis, which allows for the raw data can be analysed by the facilitation of various themes through thematic coding (Holliday, 2001: 100).

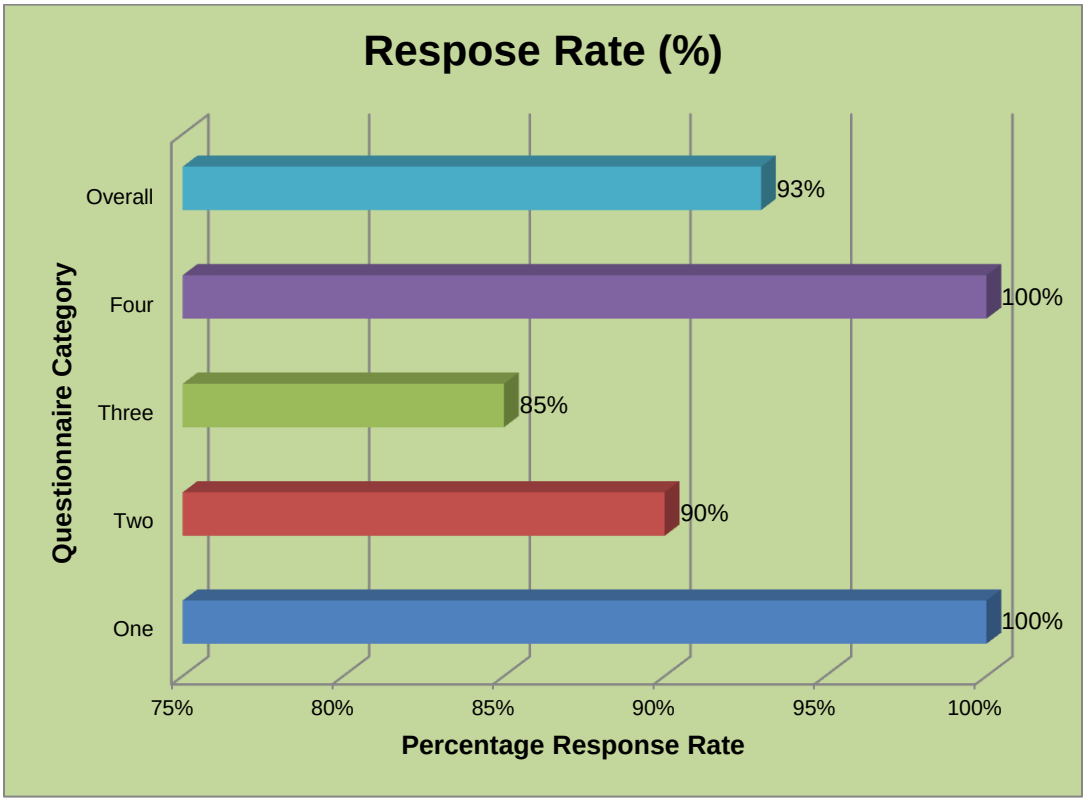
Thus raw data was coded and categorised in order to see their patterns and interrelatedness to prepare it to be fed into the Statistical Package for Social Sciences (SPSS) analysis system. The SPSS program performed a variety quantitative data analysis and presentation functions, including statistical analysis and graphical presentation of the data. These allowed for both descriptive and figurative (numerical) presentation of data to be done. A further sequential analysis also followed, this time through the Microsoft Excel Spreadsheet Processing software. Interpretation and presentation were concurrently conducted and the researcher used various graphs and

pictograms to present the data into meaningful and simplified form. These included, *inter alia*, figures, pie charts, bar graphs and tabulation.

4.1.1 Response rate on data collection instruments

The sample size as alluded to in table 3.2 in chapter three comprised of 70 respondents in total. Thus the researcher distributed the questionnaires to the selected individual members of the representative sample and managed to get back a significant number of these, hence from the distributed sample size number; there were a total of sixty-five retuned questionnaires. Numerically the response rate was a massive ninety-three percent. Usually an empirical study whose response rate is above fifty-percent is considered to be valid and reliable. In terms of ranking the four questionnaire categories had response rates of 100% (questionnaire one and four), ninety-percent (questionnaire two) and lastly eighty-five percent for questionnaire three. Overally this response rate was quite encouraging and the researcher proceeded with data analysis since the data gathered was from diverse views and insights. Figure 4.1 presents the graphical layout of the response rate on questionnaires utilised in the study.

Figure 4.1: Response rates on data collection instruments



Source: Field Study (2012)

4.2 DEMOGRAPHIC PROFILES OF RESPONDENTS

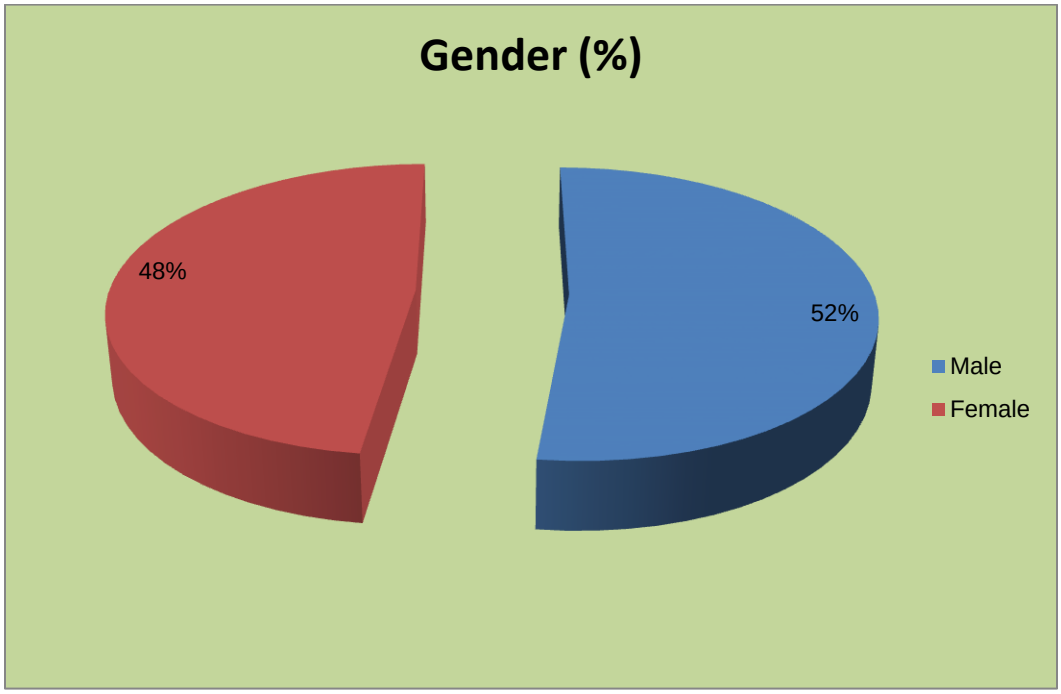
The researcher saw it prudent to present and analyse the demographic profiles of the respondents which were used in the study. These demographic details are covered in the categories of gender, age group, marital status, educational qualifications, ethnic group and the monthly incomes in South African Rands (ZAR). Demographic profiles are covered in this section of the data analysis chapter.

4.2.1 Gender distribution

Data gathered in the study was indicative of a fair distribution across the gender divide. There was not much of a gender disparity between male and female in the sample, which was representative of the target population. From all the questionnaires, interviews and secondary documents consulted by the researcher, gender representation is quite good in the district of Amathole. Numerically therefore, there were 34 male respondents and 31 female research participants based on the 65 questionnaires which were filled and returned.

This distribution is all-inclusive on all the four questionnaires used by the researcher. Hence male was represented with a 52% whereas the female side of the gender spectrum had a 48% share of the sample. In this regard therefore, gender representation is quite good and this also shows that the municipality is incorporating affirmative action which seeks to emancipate and empower the Historically Disadvantaged Individuals (HDIs), inter alia, women, people with disability, Asians and the youths. It was also seen that women were occupying senior management positions which were historically dominated by males. For example one respondent indicated that she was a senior internal auditor with a monthly income bracket of over R20 000. The distribution of gender is presented in figure 4.2.

Figure 4.2: Distribution according to gender



Source: Field Study, 2012

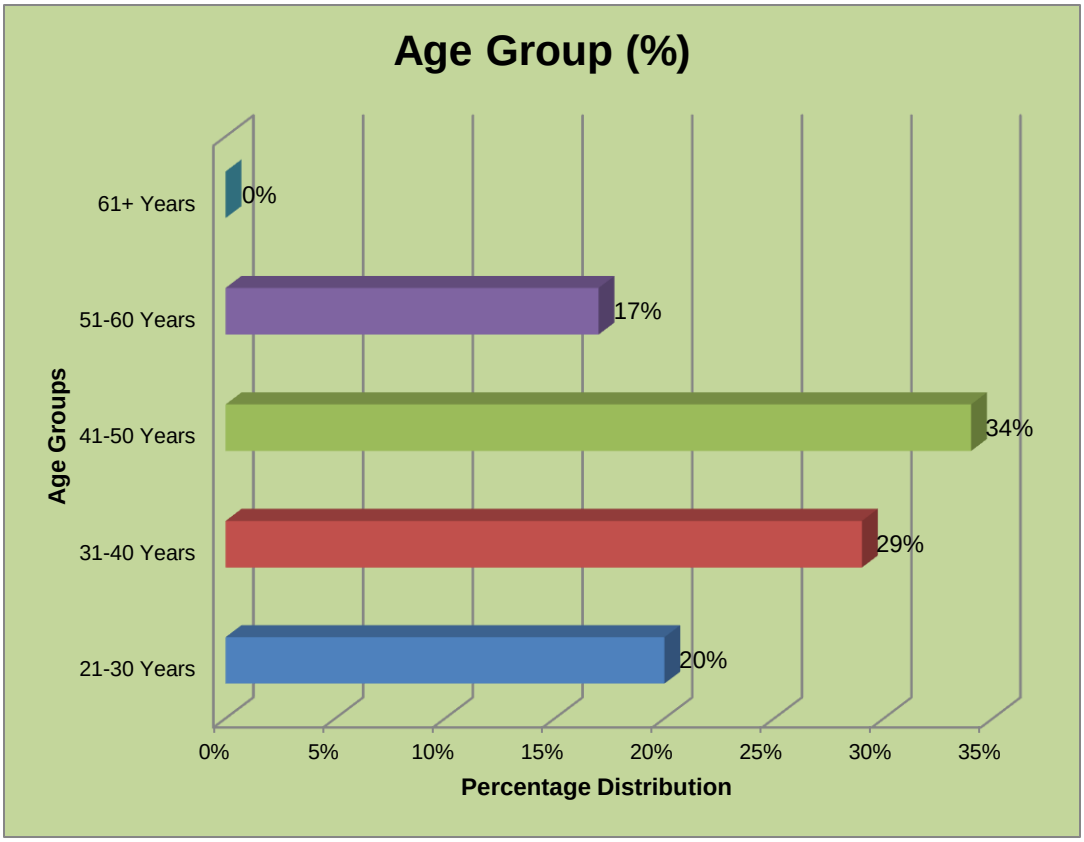
4.2.2 Age group distribution

The study area was characterised by a medium aged workforce. This was because a majority of the respondents indicated that there were in the middle age groups of 31-40 years as well as the 41-50 years. These two age groups were the highest ranked, the 41-50 years age group having twenty-two respondents (34%) while the 31-40 years age group had nineteen respondents (29%). The other age group which had the third-highest respondents was the 21-30 years age group, which had a total of thirteen respondents (20%). The last age group which had little representation was the 51-60 years age group (0%), which had eleven respondents (17), maybe these respondents

included those targeted by questionnaire number one, the one designed for residents of ADM. There were no respondents from the 61+ age group.

This trend of age group distribution shows that the municipalities within the district of Amathole have got an economically active workforce and also there are youths employed showing and affirmative action strategy at work and effective. Figure 4.3 presents this distribution.

Figure 4.3: Distribution according to age group



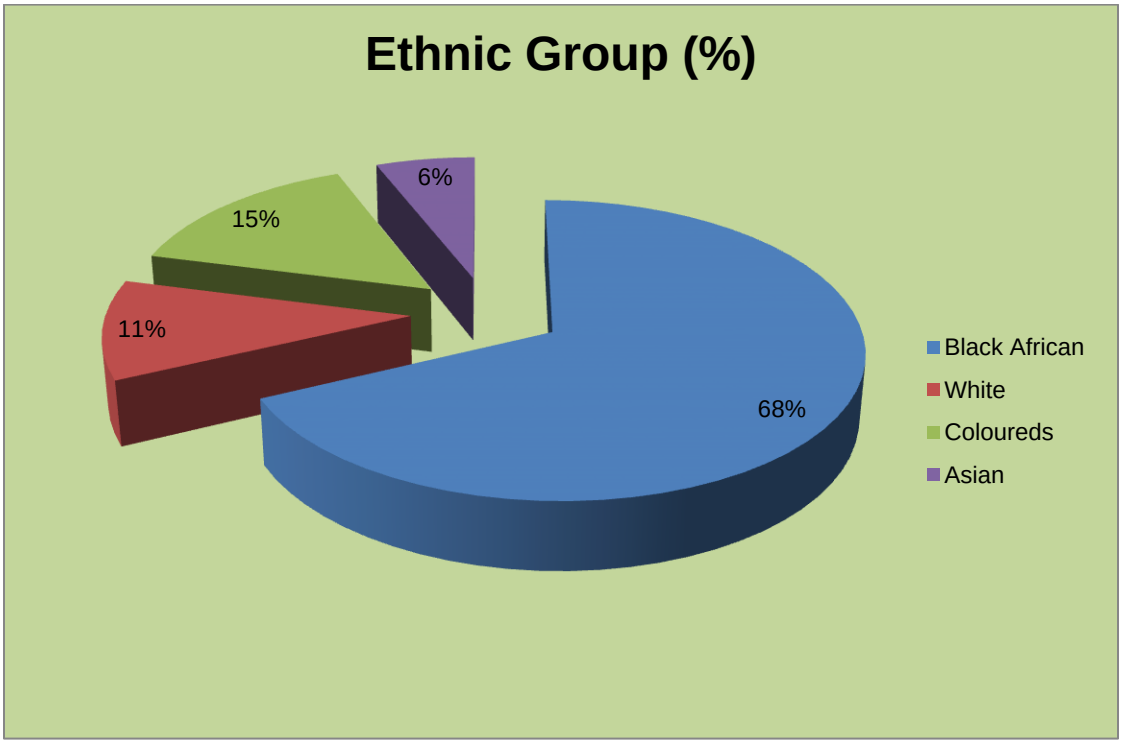
Source: Field Study (2012)

4.2.3 Ethnic group distribution

The Amathole District municipality (including all the seven local municipalities under its jurisdiction) is predominantly a black African community. This is evident with the figures outlined in the background to the study of chapter one, that 97.6% of the inhabitants of this municipality are blacks. The remaining fraction is shared amongst the other racial groups, which are, whites (0.9%); coloureds (1.4%) and Asians (0.1%). Data gathered in the study also tallies with this distribution, since on the 65 questionnaires which were filled and returned to the researcher, a total of 44 were completed by those with the ethnic orientation of Black African (68%); coloureds were the second highest ethnic group in terms of representation in the sample, there were 10 coloureds (15%) followed by the white ethnic group, which had 7 respondents (11%) and lastly there were 4 participants who indicated that there were from the Asian racial category (6%). There was not a single respondent who did not disclose their ethnic group.

This distribution shows a broad representation of the South African racial pie, and This is in line with the basic values and principles governing public administration is South Africa as outlined in chapter 10 of the Constitution of the Republic of South Africa (1996) section 195 (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation. The distribution according to the ethnicity of respondents is presented in figure 4.4.

Figure 4.4: Distribution according to ethnic group



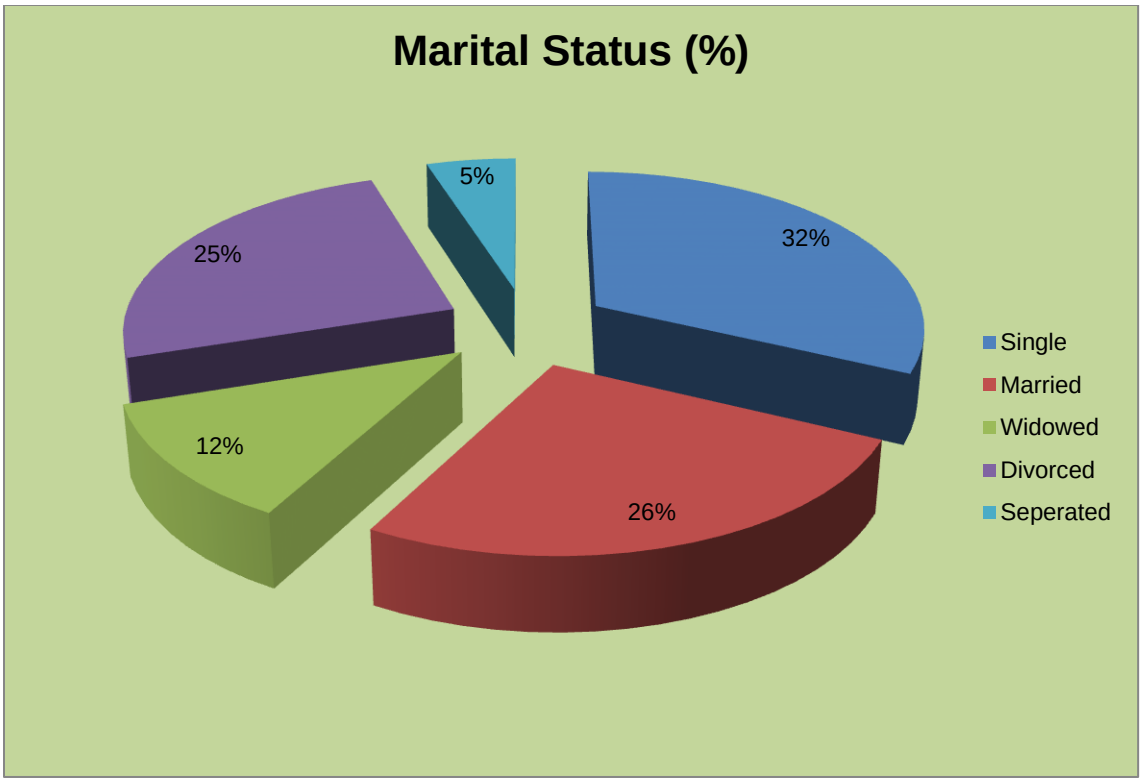
Source: Field Study (2012)

4.2.4 Marital status distribution

There was an almost equal distribution amongst the respondents on the demographic issue of marital status for the single, married and divorced categories. The figures show that there were 21 respondents who indicated that they were single (32%). This was followed by the married category, which had a total of 17 respondents (26%). Respondents who indicated that they were divorced took a 25% share of the sample since they were 16 in total. The third ranked category was that of the widowed respondents which had a total of 8 respondents (12%) and lastly, there were just 3 respondents (5%) who indicated that they had separated from their partners. From this data, it is quite evident that the single category is the most dominant category of

respondents both from those employed within the ADM district as well as the residents residing within the municipality's juridical area. Figure 4.5 presents this distribution based on the marital statuses of the respondents in the study.

Figure 4.5: Distribution according to marital status



Source: Field Study (2012)

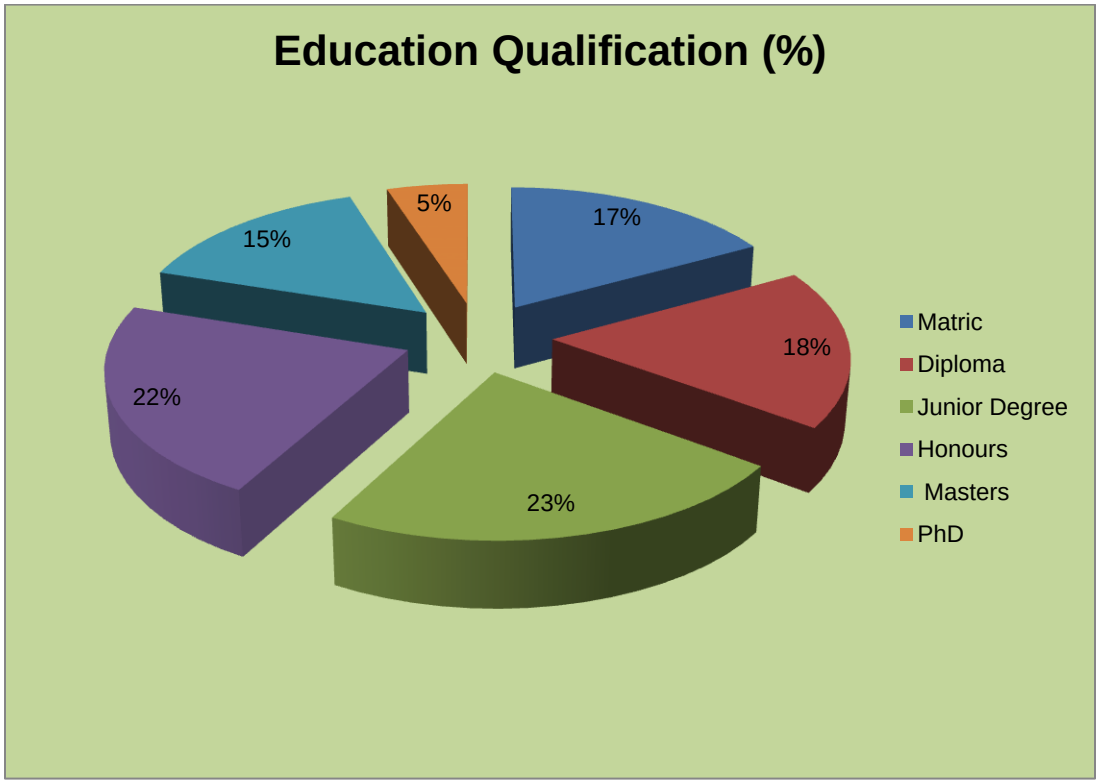
4.2.5 Educational qualification distribution

The municipality (ADM) has got a very educationally rich workforce; this is evident from the figures who indicated that they had a formal qualification. In fact, the majority of the employees showed that they had a junior three year degree. A sum of 15 respondents (23%) indicated that they had a junior degree. Secondly there were those who indicated

that they had an honours qualification, this category had a total of 14 respondents (22%). These with honours were mainly those employed across the municipalities in ADM. Third ranked were respondents who indicated that they had a post-matric diploma; there were 12 in total (18%). Forth ranked were respondents who indicated that they had a Master's degree, the category which had a total of 10 participants (15%) in the study. The fifth-ranked group was that of matric, it had a sum of 11 respondents (17%).

Those who had matriculation occupied the lower level of the municipal organogram and also included the members of the community (residents) who were included in the sample in order to gauge on their understanding of the role of IGR in improving service delivery in the communities which they live and raise their families. Lastly, there were only 3 respondents (5%) who had a PhD; this accounted for those who were responsible for the chief policy making portfolios of the municipality. This distribution trend in terms of academic qualifications shows that the employees and officials in ADM are quite educated, the municipality is recruiting and retaining valuable human capital and it is complying with the obligations set in the Employment Equity Act (N$^{o.}$ 55 of 1998) and the Skills Development Act (N$^{o.}$ 97 of 1998). Figure 4.6 shows the distribution according to educational qualification level.

Figure 4.6: Distribution according to highest educational qualifications



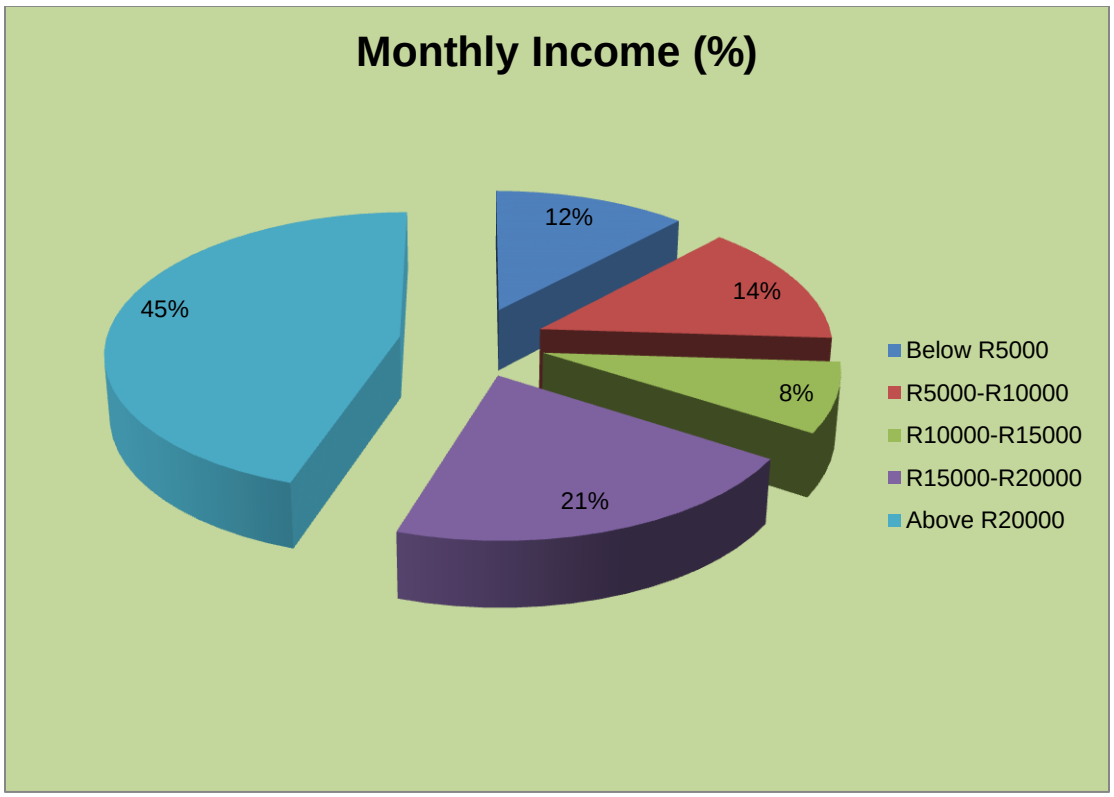
Source: Field Study (2012)

4.2.6 Monthly income distribution

The sample data shows a good pay structure for the employees and officials of the Amathole District Municipality. However there were also other respondents who participated in the study who indicated that they were earning below the poverty line. Hence this is a strong indication than there is also poverty and strife in the municipality especially on the part of low level employees and the community members. Advisably, the municipality has to further press ahead with its Local Economic Development (LED) which include the use of income generating initiatives and cooperative to economically capacitate the poorest of the poor; a majority of whom are domiciled in the rural local

municipalities such as Nkonkobe, Ngqushwa and Amahlathi. Data gathered in the study shows that the municipal employees are well paid; a total of 29 respondents (45%) fell in the R20000 and above monthly income. Whereas the next ranked group was that of employees earning between R15000 and R20000, which accounted for 14 respondents (21%). Next on the rankings was the R5000-R10000 which had a total of 9 respondents (14%). It was followed by the R5000 and below category, which had a sum of 8 respondents (12%) and the least-ranked group was the R10000-R15000 which had a mere 5 respondents (8%). This distribution is graphically presented in figure 4.7.

Figure 4.7: Distribution according to monthly income



Source: Field Study (2012)

4.3 THE ROLE PLAYED BY INTERGOVERNMENTAL RELATIONS ON SERVICE DELIVERY IN AMATHOLE DISTRICT MUNICIPALITY

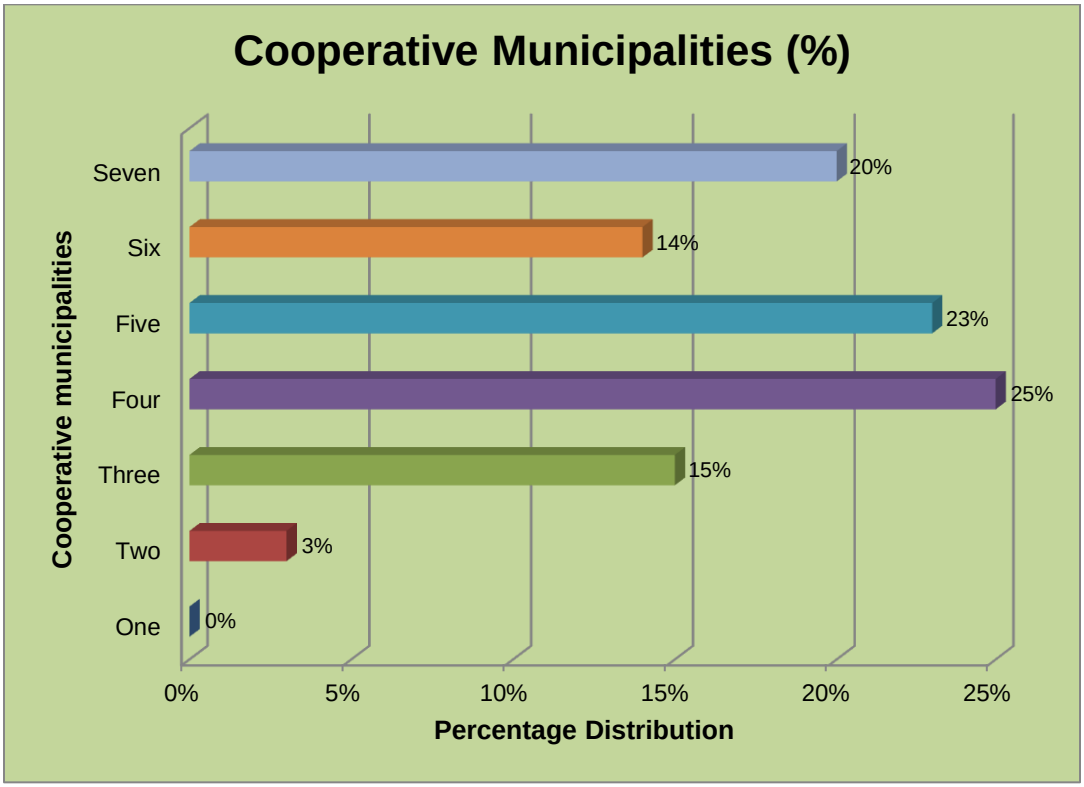
The questionnaires which are distributed sought to solicit data from the 70 respondents as outlined in the research design and methodology section of chapter three. These four categories of questionnaires had both open-ended and close ended questions. Open-ended questions refer to those questionnaire items which have ample and additional space were the respondents will be at liberty to provide as many information as they might wish. Whereas for the close-ended questions, respondents have limited response patterns since they will only be able to answer a question as brief and summarily as possible. This section of this data analysis chapter deals with the various questionnaire item for both close and open-ended questions aimed at assessing the role played by cooperative government and IGR in promoting effective service delivery.

4.3.1 The number of local municipalities actively cooperating with ADM in IGR

There were varying views from the various respondents on the number of municipalities which were in close cooperation with Amathole District Municipality in terms of the embracement of the principles of cooperative government as well as IGR. However, the data gathered showed the trends of cooperation by an average of the seven municipalities in Amathole District. Data shows that only three out of the seven local municipalities in ADM are cooperating fully with their sister (category C) municipality. These were Amahlathi, Nxuba and Mbhashe local municipalities. The remaining four had problems in participating in IGR due to them having various administrative and institutional problems. The municipalities which were seen to be uncooperative were

Nkonkobe, Ngqushwa, Mnquma and Great Kei Local Municipalities. Data shows that 16 respondents (25%) indicated that four municipalities were cooperative. Followed by those 5 cooperative municipalities (23%), followed by that of seven municipalities (20%), then three municipalities (15%); six municipalities (14%) and lastly two municipalities (3%). Hence ADM need to improve on this area of cooperation. Figure 4.8 shows this distribution.

Figure 4.8: Distribution according to the number of cooperative local municipalities



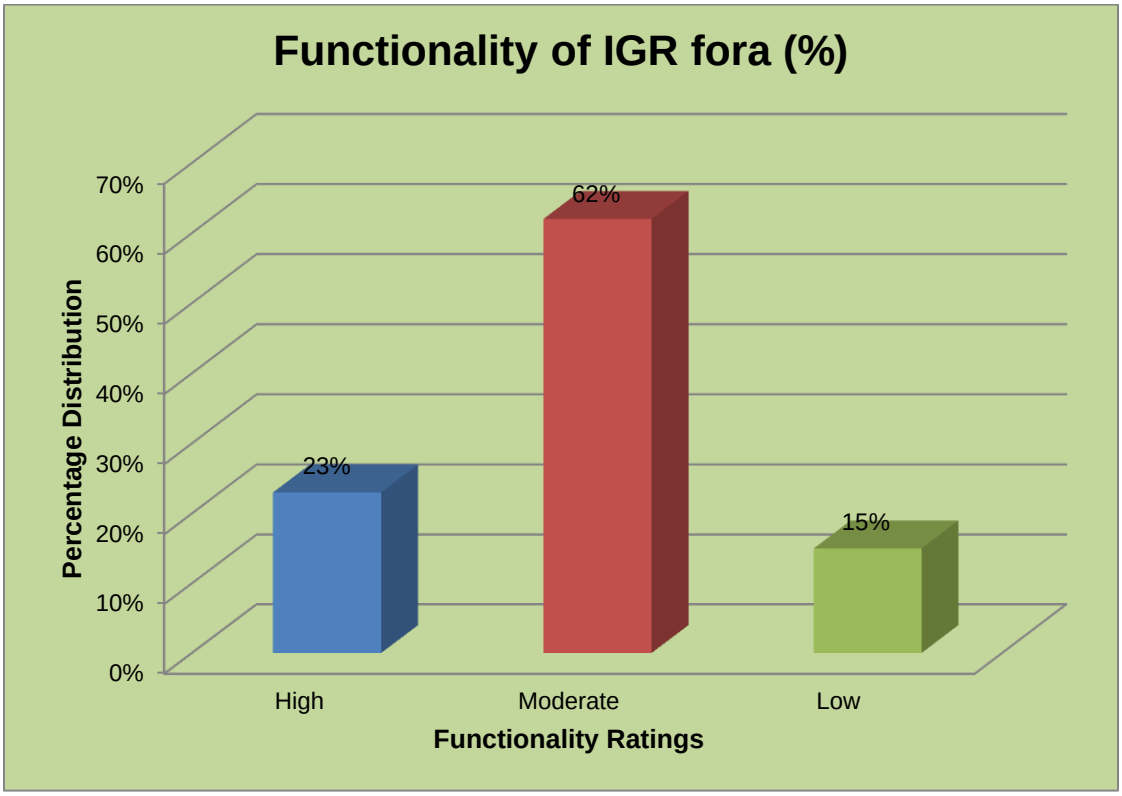
Source: Field Study (2012)

4.3.2 The functionality of IGR forums in Amathole District Municipality

The study sought to investigate the aspect on whether the existing IGR forum are fully functional since they are the ones who have got the sole responsibility to promote cooperative government both on the local government sphere, provincial and national levels. There was a general consensus that the IGR forums in ADM were in existence but moderately functional. The reasons attributed to the average functionality level were the lack of coordination on the highest levels and lack of political will on the side of those in higher spheres (provincial and national) of government to fully support the cause of local government.

Data gathered in the study, after analysis, showed that 23% (15 respondents) indicated that IGR forums were functional. These are those respondents who were at the helm of power in those moderately-functional forums like the District Mayor's Forum (DIMAFO). A majority of respondents showed that IGR forums were moderately functioning, a total of 40 participants (62%). Lastly 10 respondents (15%) indicated that IGR forum functionality was very low. These respondents raised concerns for a need to overhaul the whole system of IGR especially at local government since the existing forums were dysfunctional. Figure 4.9 shows this distribution based on sample data.

Figure 4.9: Distribution according to the functionality of IGR



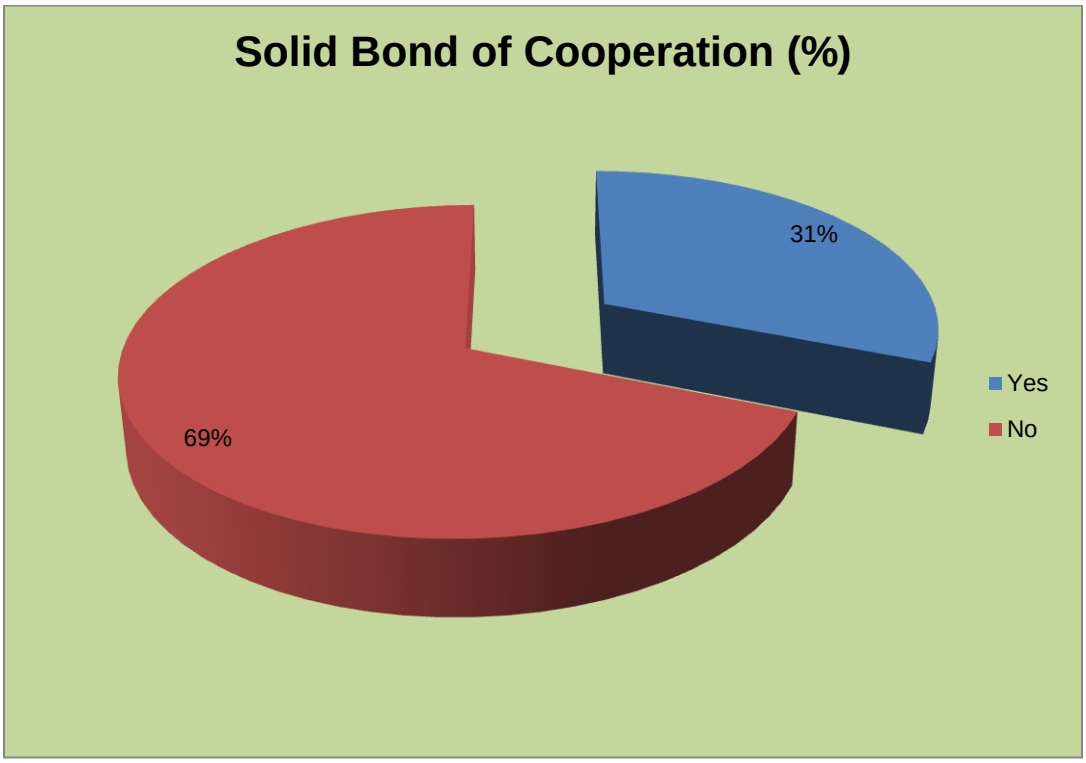
Source: Field Study (2012)

4.3.3 The existence of a solid bond of cooperation between ADM, its local municipalities and the provincial and national governments

Cooperative bonds across the spheres of government are very weak and it is a cause of great concern. Based on the gathered data in this study, 45 respondents (69%) indicated that there was not a strong and vivid cooperative bond amongst ADM, its local municipalities and the other two spheres of government. Hence the remaining 20 respondents (31%) showed positivism on the system of cooperative government. Some of the reasons which respondents voiced their opinions on with regard to the lack of cooperative government were that; there was a poor model of the implementation of the

municipality's Integrated Development Plan (IDP), the whole system of government was plagued with an ill of fragmented political interests, reduced or lack of participation in IGR by various sector departments across the spheres of government, non-attendance of crucial meeting and sometimes national and provincial government delegates junior inexperienced staff to attendance crucial IGR meetings. The other portion of respondents indicated that cooperation was there and meetings are being attended by the required delegates and progress reports are being filled as stipulated by the binding pieces of legislation.

Figure 4.10: Distribution according to cooperation between ADM, its local municipalities, provincial and national government

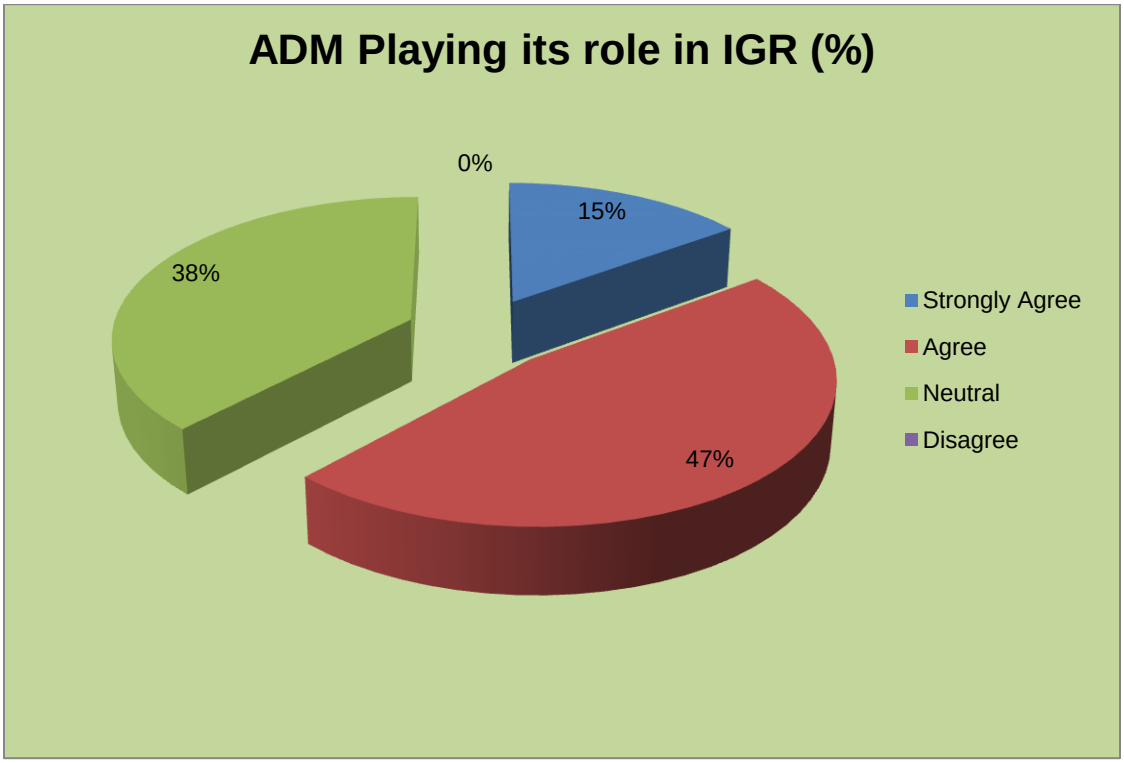


Source: Field Study (2012)

4.3.4 The ADM is playing its role in fostering cooperative government and IGR

As a district municipality situated in one of the poverty hotpots in South Africa, ADM is thriving in striving to cooperate with all other relevant stakeholders in order to meet the socio-economic needs of its communities while improving the quality their quality of life. The study found out that ADM is played its mandated role in cooperative government and IGR. However the other stakeholders such as provincial and national sector departments are found wanting in terms of cooperation. A sum of 30 respondents (47%) expressed that they agreed to the fact of Amathole played its part in cooperation and IGR, 10 respondents (15%) strongly agreed to the fact of the district municipality playing its part. And 25 respondents (38%) expressed neutrality, they saw cooperation as a group effort and Amathole was yet to achieve this by pooling stakeholders, resources together and collectively marshal a way forwards cooperatively. Therefore, there are gaps, grey areas and loopholes which need to be mopped and covered in the issues of cooperation and IGR on the local sphere of government. No respondents indicated that they disagreed with the fact of ADM playing its part in IGR. Figure 4.11 shows the distribution based on whether ADM is playing its role in fostering cooperation within the district.

Figure 4.11: Distribution according to the fostering of cooperative government for effective service delivery



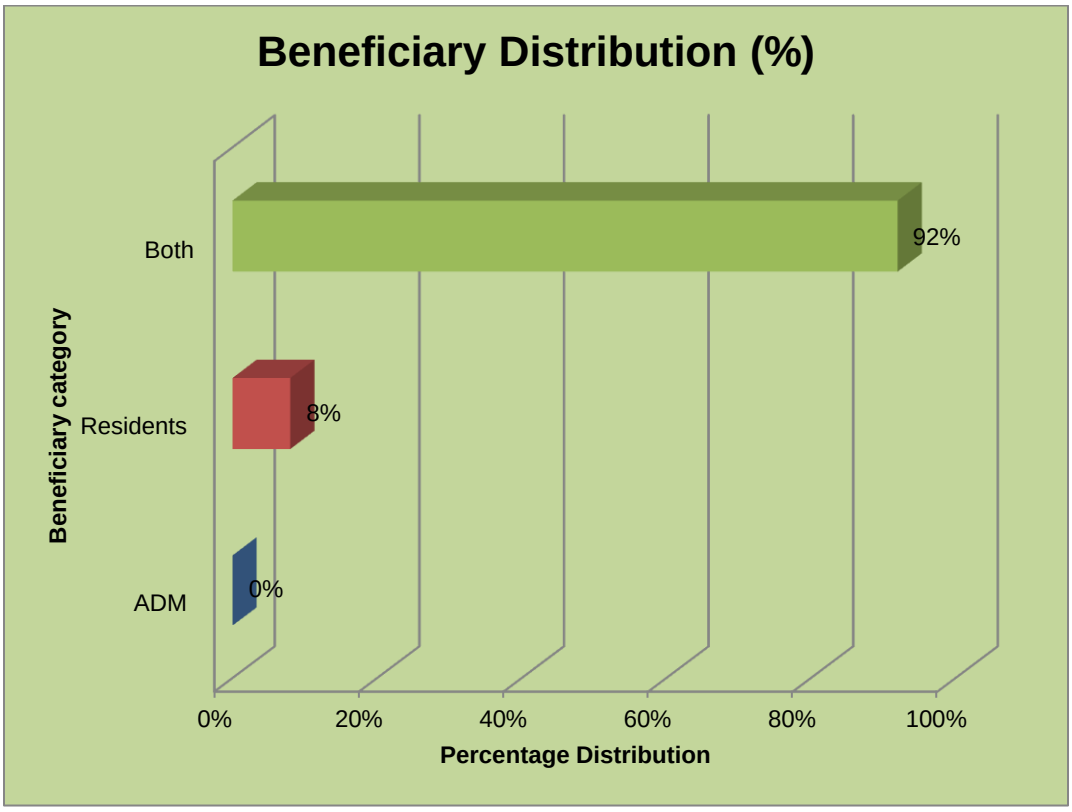
Source: Field Study (2012)

4.3.5 The category of stakeholders which has derived maximum benefits from organised IGR mechanism

The contribution of IGR and cooperative has been great on both the municipality (including its local municipalities) and the residents. This is substantiated by the data utilised in the study which indicates a general consensus on the beneficiation of the two main stakeholders, *viz*, ADM and its residents. ADM has benefited through improve coordination and integration of its policies, an enjoyment of economies of scale and an improved and service delivery model. The inhabitants of the Amathole have benefited

from the system of organised IGR and cooperation through improved access to quantity and quality of services, a more responsive but both proactive and reactive accountable local government and in the long-run, the quality of lives have significantly be improved as compared to the standard of living which prevailed during the discriminatory days of apartheid. From the sixty-five respondents, 5 of them (8%) indicated that the cooperative government arrangements are benefiting residents only. And 92% (60 respondents) indicated that it benefited both the municipality and its residents. Figure 4.12 shows this distribution.

Figure 4.12 Distribution according to the stakeholders who derive the maximum benefit from the system of organised IGR mechanisms



Source: Field Study (2012)

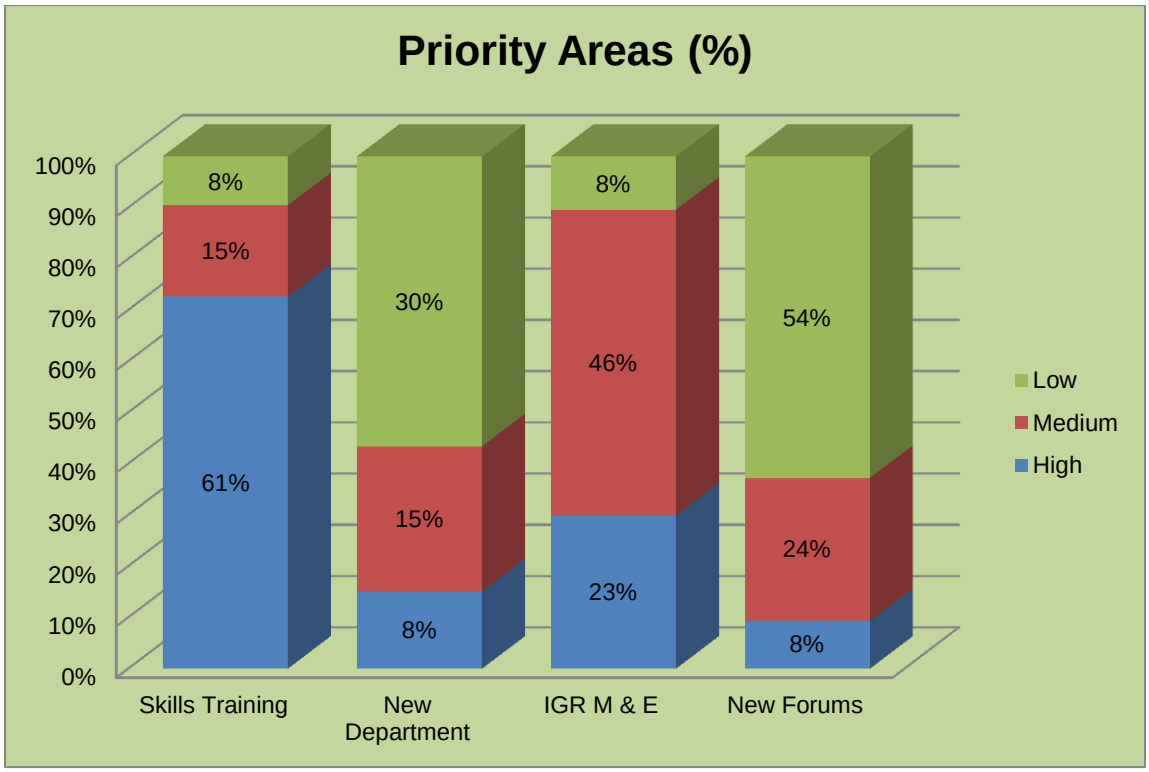
4.3.6 Urgency of IGR matters which need addressing to improve on the functionality of IGR for improved service rendering

Respondents in the study provided ratings based on rating scale of between high, medium and low in terms of the priority areas which need some urgent and considerable attention if IGR and cooperative government are to be improved in order for the promotion of effective service delivery in local government. As shown in figure 4.13, of the 65 respondents utilised in the study, 40 rated skills training as high priority (61%), 5 respondents (8%) indicated that the establishment of a new national IGR department, whereas 15 respondents (23%) indicated that monitoring and evaluation was an urgent need and the remaining 5 participants (8%) rated the establishment of other new IGR forums as of high importance.

In the medium rating category, the priority area which had the majority view of that of the establishment of a monitoring and evaluation unit specifically targeting IGR, this area had 30 respondents (46%). This was followed by the area of the establishment of new fresh IGR forums; it had a total of 15 respondents (24%). There were 15 respondents each (15%) for the medium category addressing the priority areas of skills training and the establishment of a new national department which should cater for IGR. The last category is that of the lowly ranked priority areas, respondents rated the establishment of new IGR forums as low, this had 35 respondents (54%), it was followed by that of the new department which had a sum of 20 respondents (30%) and lastly very few respondents showed that they didn't see skills training as a top priority area, this had a total of 5 respondents (8%). This data is indicative of the there is a

great need for the establishment of a monitoring and evaluation directorate targeting IGR in the entire nation. Equally important is the issues of skills training and development as a solution to the inexperienced and incapacitated current IGR practitioners. There is also a need for a new IGR department and the establishment of other comprehensive IGR forums. As suggestion made by the various respondents, from all four categories of questionnaires used in data collection, Amathole District Municipality should take cognisance of the ratings and recommendations made by the various stakeholder groups used in this study. These recommendations can be a stepping stone into a more effective service delivery model in local government. Figure 4.13 shows this distribution.

Figure 4.13: Distribution according to urgency of matters related to IGR



Source: Field Study (2012)

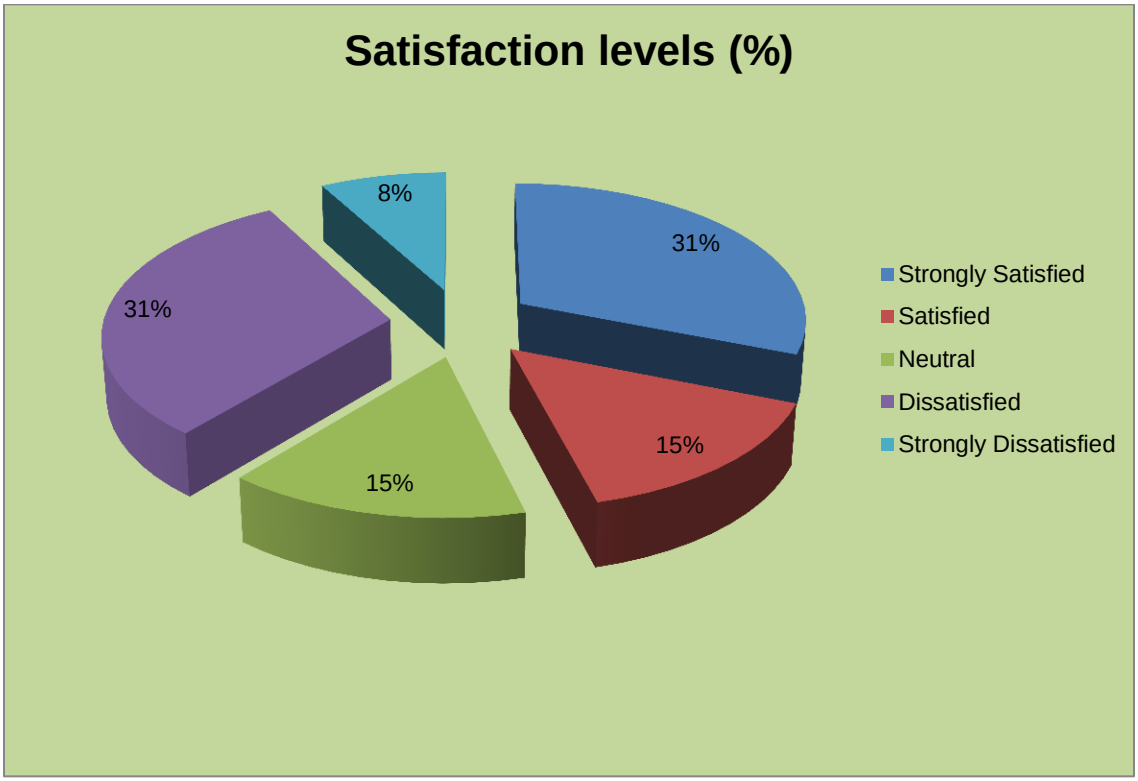
4.3.7 Opinions of residents on their satisfaction with the services rendered by their municipality

Figure 4.14 illustrates the distribution according to the residents' satisfaction levels on the services rendered by the municipality. The data gathered in the study indicates that there is a great level of dissatisfaction with the matter in which ADM is delivering its services. However there were considerable number of respondents who showed appreciation on the levels of service rendered by their district and local municipalities. As shown in figure 4.14, the strongly satisfied and dissatisfied category of the rating scale had 20 respondents (31%) each. There was also a 15% (10 respondents) share of those who indicated that there were satisfied with the service delivery model of their municipality.

The satisfies segment of the sample are those employees of the municipality who were also resident in the district of Amathole; who, by the virtue of them being both officials of the municipality and residents concurrently, acknowledged the huge mountain of service delivery backlogs characterising the municipality but appreciated the manner in which their municipality was addressing and redressing these backlogs. Those who expressed a large scale of dissatisfaction were the members of the community who were not into formal employment as well as the members of NGOs and CBOs who were well versed with the situation on the ground in terms of poverty and poverty alleviation strategies adopted by ADM. Data also indicates that there were 5 respondents (8%) who showed their frustration at the snail-pace at which the entire district was delivering its services. There were other 10 participants who indicated that there were neutral (15%), this is

attributed to the transformation which the district has been undergoing lately. Hence this should act as a feedback mechanism which informs ADM and its local municipalities about the need to greatly transform service delivery by re-thinking the models which it is applying in rendering service into, maybe a more comprehensive, coherent and effective model. Figure 4.14 shows the distribution according to the satisfaction levels of residents with services rendered by their municipality.

Figure 4.14: Distribution on the satisfaction of residents with the services rendered by the municipality



Source: Field Study (2012)

4.4 QUALITATIVE DATA ANALYSIS

The *raison d'être* of a qualitative research study is to produce findings on feelings, perceptions, attitudes and values (De Vos *et al*, 2002: 432). Also Babbie and Mouton (2005) in Cloete (2007: 513) broadly refer to qualitative data analysis as all forms of analysis of data that was gathered using qualitative techniques, regardless of the paradigm used to govern the research. Qualitative data analysis can start at an early stage of the research as alluded to by Cloete (2007: 513) that, in qualitative research, data analysis is a continuous processing, comparison and assessment procedure that starts when the researcher begins to collect literature on the subject or gets into the field to gather empirical data.

Generally, qualitative data analysis is usually linked to qualitative research methods used in social research include observations, in-depth interviews, focus groups and the analysis of personal documents. These methods are designed to help researchers understand the meanings people assign to social phenomena and to elucidate the mental processes underlying behaviours. Qualitative research refers to an approach to the study of the world which seeks to describe and analyse the behaviour of humans from the point of view of those being studied (Webb & Auriacombe, 2006: 597). Qualitative data normally consists of narrative descriptions, explanations and/or predictions of processes, outcomes and impacts of events, developments, and thought and behaviour patterns, related to a specific issue under consideration. This section of data analysis focuses on the narrative feelings and perceptions of the respondents on

items of the questionnaires as well as the informal interviews which were conducted by the researcher.

4.4.1 Amathole District embracing the principles of cooperative government

The study found out that Amathole district municipality has got functional IGR forums which are tools through which intergovernmental cooperation is fostered and nurtured towards the achievement of the principles of cooperative government as set in the Constitution of the Republic of South Africa (1996). This findings led to the achievement of first research objective from chapter one, which sought to assess the existence and functionality of IGR structures promoting cooperative government in ADM. There were many forums as indicated by the respondents; these were, *inter alia*, the District Mayors' Forum (DIMAFO), the District Water Forum, the Engineering Forum, the Finance Forum, the Communications Forum, The District Health Forum (DHF) and the District Tourism Forum. Although these forums exist, some of them were dormant and dysfunctional.

Data gathered is indicative of the fact that ADM is indeed embracing cooperative government principles since there was a synergy between ADM and the provincial and national departments. IGR and cooperative government is being promoted through the conduction of IDP roadshows which are meant for public participation in service delivery, then the findings and feedback gathered in these roadshows are then itemised for discussion in the various IGR forums. There is also a Municipal Managers' Forum and a Municipal Support Unit which seeks to develop the capacities of the local

municipalities in ADM for effective service rendering. The municipality has also established a technical IGR forum which seeks to engage sector departments as well the national government on matters of local government concern. Therefore, also more still needs to be done in terms of cooperation and collaboration, evidence from research data shows that ADM is upholding and promoting cooperative government.

4.4.2 The infrastructural development projects which can be credited to cooperation between national, provincial and local government

There were numerous projects which aimed at the development of infrastructure in the district of Amathole. These included those municipal projects funded by the Municipal Income Grant (MIG) and the Expanded Public works Programme (EPWP) which has projects running all the districts of the Eastern Cape Province. The projects which have been credited to the cooperation of the three spheres of government and the cooperation between ADM and its local municipalities under the MIG were pin-pointed as the tarring of residential streets in the towns of Alice and Fort Beaufort located within the Nkonkobe Local Municipality.

Various developmental projects credited to the EPWP in collaboration with the local municipalities and the local economic development (LED) agencies such as the Nkonkobe Local Economic Development Agency (NEDA) have led to an improved new-look ADM. Considering the levels of poverty and unemployment characterising ADM, this EPWP has created jobs and reduced poverty levels significantly. Another infrastructural project which the study found to be cordially linked to IGR cooperation

was the construction of a road leading to Bowa Falls in the Mnquma local municipality. Considering the fact of the Bowa Falls being a major tourist attraction in ADM, the constructed road can ensure that the municipality reap positive benefits through increased inflow of tourist to the area because of ease of access.

The construction of the iKhamanga chalets in the Great Kei local municipality along the wild coast is another massive projects brought about by cooperative government. Also, the hosting of an ADM investor conference from 25-26 April 2012 at the Mpekweni Beach Resort in Ngqushwa local municipality was made possible by the sound cooperation between ADM and its local municipalities as well as the provincial government of the Eastern Cape. Furthermore, water and sanitation project is also operations in Mnquma and Mbhashe local municipalities as a result of cooperative government. Lastly, data also credits the refurbishment of the Mthontsi Game lodge in the Nkonkobe local municipality to intergovernmental cooperation. In this regard therefore, IGR and cooperation has brought about more good than harm and it should continue to be promoted sustainably.

4.4.3 The challenges facing the system of IGR and cooperative government in Amathole District Municipality

Findings based on the research data utilised in this study indicate that cooperative government and IGR are plagued with a web of challenges; these range from the structural design of the forums to the lack of political will on the side of those in the political positions. Respondents raised so many concerns as the obstacles inhibiting the

IGR system to catalyse effective service delivery. Firstly, the government's planning cycle was lambasted for being fragmented and disorderly due to the various and divergent planning cycles in use by the various government departments and public entities. In some instances, the planning cycle of the municipality would start at a time when that of the province and the national government had started already, hence incapacitating local government due to a failure for it to be integrated and synergised into the entire planning cycle.

Secondly, political infighting and factionalism has often led to forums and meeting turning into battlegrounds for members to raise their political muscles against the other, hence no concrete resolutions are adopted and the public suffers consequently. There is no binding statute which controls and limits the extent of politicisation of the public entities and this means that municipalities and public entities have become political institutions which are gradually diverging from their mandate of service delivery aimed at socio-economic transformation of the republic.

Thirdly, local municipalities are not actively partaking in IGR and hence those forums which have local municipalities represented have been dormant, dysfunctional and ineffective. Fourthly, political representative who are delegated to go and represent local government in provincial IGR forums such as the Premier's Coordinating Forum (PCF) are attending in bad faith and hence do not further the interest of municipalities; the same also applies to delegates representing provinces and local government in national IGR fora. These representatives usually abuse these responsibilities by

pursuing their political agenda rather than the interests of local government and the people.

Fourthly, sector forums and departments are not positively feeding into the local government system, oftentimes attendance of meeting by provincial and national government representative at local government forums is by junior and inexperienced delegates who will not be in a position to make resolutions. Fifthly, the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) is a 'toothless bulldog' which merely exists in theory and practically non-existent and also have a lot of loopholes and grey areas which need rectification if it had to promote cooperative government; above all this Act fail to integrate local government into the system of IGR.

Sixthly, IGR is fragmented and the three spheres of government are acting in isolation, selfishly and promoting individualism; the notion of 'oneness in separation' is not being promoted and nurtured. The characteristics of autonomy accorded to the three spheres of government in Chapter three of the Constitution (1996) is being misinterpreted as a promotion of selfishness. Lastly there is no legal provision of punitive measures being taken by the law against the culprits who disobey cooperative government and IGR; neither the Constitution nor the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) have a clause criminalising the deliberate sabotaging of IGR by individuals or public entities. Hence individuals, sector departments and municipalities do as they please because no one which calls them to account and justify such socio-economically damaging acts. The researcher therefore recommends that all relevant stakeholders

cooperative collaborate to remove these obstacles and aim towards a more effective service delivery model.

4.4.4 Suggested solutions towards overcoming the challenges confronting the IGR system in Amathole District Municipality

The South African public has a huge mountain to climb in terms of re-moulding and re-designing the current system of IGR and the upholding of the principles of cooperative government. Nonetheless, there structures and mechanisms for IGR and cooperative government are in existence, some a little functional but the majority are dysfunctional. Findings of this study show that there is an urgent need to revise and overhauling the only existing piece of legislation, the Intergovernmental Relations Framework Act (No. 13 of 2005) because its current state has been found wanting oftentimes. Above all, the Act needs to empower and incorporate local municipalities into the system of IGR, it also needs to include a clause for punitive action being taken by the responsible authorities in the event of an individual or department/entity failing to cooperate and promote IGR. This is because ADM has no legal grounds to take action of anyone who does not act in good faith in promoting cooperation.

Cadre deployment has also impacted on the stalling of IGR due to unskilled and inexperienced 'comrades' being elevated into positions which require professional officials to make key decisions and allocate resources for IGR; therefore cadre deployment needs to be regulated to ensure that those appointed and recruited are skilled and competent. Fragmented IGR structures need to be harmonised so as to

ensure that the integrated and coordinated functioning of public entities is promoted and sustainably maintained. Such harmonised structures should then be equipped with competent IGR practitioners who are constantly capacitated with whichever resources they might require for them to function effectively. Local government has oftentimes be turned into a battleground for a clash of interest between politicians and officials, such conflicts need to be minimised that the relations between these two sides need to be regulated through the formation of a 'politics and administrative interface'. Politicians should also be willing to cooperate with administrators for smooth hassle-free service delivery to happen; there should be commitment on both sides and political will on the part of politicians.

Additionally, in a bid to address challenges confronting IGR in local government is the integration of the communities through the establishment of local grassroots IGR forums which might need to copy the model of ward committees as forums for public participation. Reporting relations across IGR structures and the three spheres of government need to be formalised and legislated in order for all relevant stakeholders to utilise feedback for making sound and strategic IGR decisions. Monitoring and evaluation is key to the effective functioning of any projects/ programme in the public sector, this also includes IGR and cooperative government; the study acknowledged the need for establishing an IGR monitoring and evaluation centre, maybe through a new national department, this centre would have an oversight role across the entire system of government. The monitoring and evaluation can also be tasked to the Government Wide Monitoring and Evaluation System (GWMES) under the minister of

monitoring and evaluation in The Presidency. Human capital has always been the pivot of the functionality and productivity of any organisation and this is made possible by the skills and competencies which the employers are equipped with.

IGR practitioners need to be trained and development constantly and consistently in a sustainable manner, hence ADM and the provincial and national government should make efforts to train and develop in the field of IGR since the skills on how to promote cooperative government are scarce especially in the local municipalities. For IGR to be a cooperative group effort, resource mobilisation and allocation should be synergised across the spheres of government to ensure that there will be a common purpose and service delivery model. Lastly, the National Planning Commission who take an oversight role in ensuring that it provides guidance in the planning across the spheres of government, it should also ensure that the planning cycles are harmonised to ensure an integrated approach to service delivery.

4.5 CONCLUDING REMARKS

Cooperative government and IGR are the cornerstones to the effective delivery of services in the Republic of South Africa. Service rendering is not tasked to municipalities alone, but it is a cooperative group effort where the local government entities has to collaborate with citizens and groups to find sustainable ways of meeting their socio-economic and material need while improving the quality of their lives. This study sought to assess the role played by IGR and cooperative government in promoting this service delivery, and it utilised the case study of Amathole District

Municipality in the Eastern Cape Province. Data analysis was done using the statistical analysis software of SPSS and was concurrently presented and interpreted. A plethora of deductions and findings have been made in this chapter, these include, *inter alia*:

- ADM and its local municipalities are having a workforces which is broadly representative of the South African people, with all the racial groups proportionally represented; and there is a great deal of emancipation of the Historically Disadvantaged Individuals (HDIs) which are women, the youth, people with disabilities and those of Asian origin;
- There are IGR forums in existence in the municipalities; these are aimed at promoting the constitutional principles of cooperative government;
- Although these structures are in existence, most of them are dormant and dysfunctional and as a results cooperation is proving to be very complicated and problematic;
- Monitoring and evaluation of IGR is an urgent need since some persistent problems keep on inhibiting cooperation amongst the various stakeholders and service delivery consequently suffers;
- Local municipalities in the Amathole District are not actively participating in IGR issues and this had been blamed on the lack of a well-defined piece of legislation which spells-out the role of local municipalities in IGR;
- The Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) need revision, review and overhauling because it lacks some necessary clauses such as that of punitive action being taken by the authorities in the case of failure to cooperate;

- There is lack of political will on the side of politicians, they are failing to commit to IGR cooperation and municipalities have oftentimes be turned into political battlegrounds for clashing political interests;
- There are various infrastructural development projects which have been credited to the IGR and cooperation in ADM, *viz*, the construction of the road to the Bowa falls in Mnquma local municipality, the tarring of streets in Nkonkobe local municipality and the successful of holing of an Investor Expo from 25-26 April 2012 at the Mpekweni Beach Resort in Ngqushwa local municipality;
- In order to improve on their functionality, there are calls for the harmonisation of IGR structures as well as the need for synergised planning cycles of the entire system of government to help pool and allocate resources smoothly;
- Cooperation has proven to be difficult in IGR forums which include delegates who represent provincial and national government because these have developed a tendency of sending junior inexperienced delegates who do not make merely decisions or resolutions; and
- Huge service delivery backlogs still exist in the district, almost 18 years after independence; there is a greater fraction of communities without access to clean drinking water, proper sanitation and reliable road networks. Hence the municipalities, the Eastern Cape Province and national government still have a huge mountain to climb, by cooperating to improve the quality of lives of the citizens.

These factual findings were sound, valid and reliable since they made a great contribution towards the achievement of all the research objectives as outlined in the preliminary sections of the study. The findings established that there are IGR forums working towards promoting cooperative service delivery in ADM (research objective one), a web on challenges exist and are confronting the functionality of IGR in the district of Amathole (research objective two) and there were various suggested solutions aimed towards minimising the effects of these challenges on service delivery (research objective three). The next chapter is the last sections of the research and sums-up the study by giving the conclusions and implementable recommendations aimed at achieving a maximum utilisation of IGR and cooperative government for effective service delivery.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.0 INTRODUCTION

Public service delivery is governed to a greater extent by constitutional principles aimed towards the improvement of the quality of life for all citizens. The supreme law of the land (Constitution of the Republic of South Africa, 1996) establishes the three distinctive, interrelated and interdependent spheres of government which should mutually cooperate towards the promotion of sustainable socio-economic development. Interactions and relations amongst these three levels of government are referred to as intergovernmental relations (IGR), which are aimed at promoting cooperative government. This empirical study sought to assess the role played by IGR and cooperative government in the promotion of sustainable service delivery. Structurally the study is arranged in five chapters. Chapter one was the introductory chapter, the second chapter reviewed literature, chapter three covered the research designs and the preceding chapter focused on the holistic analysis of data.

The goal of this chapter is to provide the conclusion of the study and recommendations in line with of the research topic and the objectives of the study. Accordingly the chapter will first present the chronological summary of all the chapters, and then proceed to delve into the recommendations. This chapter is the final chapter of the study and it is where proof on the achievement of the research objectives, answering of research

questions or the proving/disproving of the hypothesis is done. Hence, it is in this chapter that the researcher will factually prove that the study was able to achieve its objectives in their entirety. And such proof is based on the findings on the data analysed in chapter four. The recommendations are from two angles, the ones aimed at improving the impact of IGR and cooperative government and those that are linked to the mapping-out of what can be the potential areas of future research.

5.1 GENERAL FINDINGS OF THE STUDY

The study consists of five chapters, and the researcher saw it prudent to present the chapter-by-chapter summary of the study chronologically.

Chapter was is the introductory section of the study and provides a general orientation of the study. The chapter pre-empts the study through the provision of an introduction and background of the research, the statement of the research problem, research questions and research objectives, the limitations of the study, the delimitation of the study, the motivation and rationale of the study, the definition of key concepts and terms as well as the preliminary framework of the study. As the first chapter in the study, chapter one played a very significant role towards the achievement of the aims of the study. Mainly due to its ability to articulate and structure the study thereby giving it direction and the empirical basis to carry-out the research.

Service delivery is a cooperative group effort and it is being crippled by the failure of the three spheres of government (National, provincial and local) to cooperative collaborate

with one another and collectively and promote socio-economic sustainable development. The chapter established that there is not enough cooperation across the system of government and hence the study sought to bridge that gap by exploring what can be done in order to promote cooperative government for sustainable socio-economic development especially at local government level. Therefore the objectives of the study were to establish the existence of IGR forums as tools for promoting cooperative government for effective service rendering in ADM, explore the challenges faced in IGR and cooperative government and lastly to recommend strategies to overcome such challenges and improve service delivery.

The chapter also had a glimpse on the limitations of the study, those factors which affected the conclusions and deductions made by the researcher in the study, which were, *inter alia*, time limitations, sampling limitations and the limitations of the inability of the researcher to limit subjectivity and biasness on the side of the respondents in the study, who were built across a representative sample of 70 participants. However, the researcher ensured that the effects of these, did not negatively impact on the validity and reliability of the findings. Lastly the study provided an expansive definitional framework of concepts and terms related to IGR, covering P(p)ublic A(a)dministration both a field of study and as an activity. It was established that the goal of public administration was to deliver services and ultimately improve the quality of lives of the citizens, especially given the backlogs and disparities harboured on the population by the previous segregatory system of apartheid.

Chapter two provide a comprehensive review of literature related to IGR and cooperative government in local government. It focused on the rationale and relevance of literature review, the compositional structure of government in South Africa (that is, national, provincial and local), the principles of cooperative government, evolutional process of the IGR system in South Africa, the definitional perspective of IGR and cooperative government and the global perspectives on IGR (with examples from Canada, Switzerland, Australia and the United States of America). Also covered in chapter two were the various governmental model associated with IGR (these are federalism, decentralisation and unitarism), a distinction between federalism and unitarism, the theoretical approaches adopted in the study of IGR (which are the bureaucratic, legal and democratic approaches), the legislative framework of IGR and cooperative government in South Africa and the synopsis of the South African IGR system.

Key conclusions of chapter two was that reviewing literature helps the researcher to identify gaps in information and literature in order to uniquely focus the study into a more valid and valuable area of empirical study. The chapter also established the constitutional mandate placed on the three spheres of government to cooperate mutual with each other as set out in chapter three of the RSA Constitution (1996). Although these spheres of government enjoy autonomy and distinctiveness, this should not be a loophole or excuse for failure to cooperate since they are also intertwined and dependant with one another. Hence they should uphold the notion of ‘oneness in separation’. Local government, as the grassroots government, has to be capacitated by

national and provincial government to exercise its powers and functions with ease of ability and sustainability.

IGR in South Africa is supported by the Intergovernmental Relations Framework Act (N$^{o.}$ 13 of 2005) but the system is still revolving and more needs to be done to ensure that mutual cooperation is translated into effective service delivery. If the problems of cooperation and mutuality do not get addressed both proactively and remedially, the citizens are going to consequently suffer due to a stall in the system of government and delivery of public goods and services. South Africa's decentralised system of government should also take lessons from tried and tested effective IGR system like the American Federal system, the federal parliamentary democracy of Canada and the Swiss federal canton system which are well designed, well monitored and evaluated with minimal or no glitches in the area of cooperative government.

Furthermore, the chapter established a plethora of legislation and policy documents guiding best practices of IGR and cooperative government in South Africa, these include the Constitution (1996) and the IGRFA (N$^{o.}$ 13 of 2005) although more needs to be done in the existing legal framework to ensure that IGR is fully implemented, monitored in an all-stakeholder inclusive fashion. Monitoring and evaluation of IGR and cooperative government needs to be instilled and sustained since the current IGR forums are operating haphazardly.

Chapter three's focus was on the roadmap of the study-the research design and methodology utilised in the study. The researcher chose a triangulated mixed-method research paradigm as the blue-print through which the study objectives were achieved. Chapter three covered the research design and methodology, principal differences between research design and methodology, the discussion of the adopted case study survey approach, the quantitative and qualitative research paradigms, the scope of the study, the study area and its units, target population, sample and sampling procedure, data collection techniques, validity and reliability as well as the ethical consideration which were observed in the study. This chapter was of great value towards the attainment of the research objectives, because in delved into the nitty-gritty of the study, detailed on how the sample was selected, how the valuable data was gathered and how it was consequently analysed.

The study used a triangulated mixed-method study due to its ability to increase and improve on the validity and reliability of the findings of the study. Both quantitative and qualitative research paradigms were utilised since the weaknesses of one approach are covered by the strengths of the other. Data was gathered from a total of 70 respondents randomly selected using judgmental and snow-ball sampling designs. The questionnaires were having items with both open-ended and close-ended questions and the researcher used four categories of questionnaires (see annexure C) spread accordingly onto the entire sample. This representative sample comprised of municipal management (across ADM and its seven local municipalities), IGR practitioners selected from the entire Amathole district, members of NGOs and CBOs, SALGA

representatives and residents of the municipalities in Amathole. The data was statistically analysed through the SPSS software and it was concurrently presented and interpreted for ease of understanding. The detailed analysis of the research data, the interpretation and the linking of research findings to the research objectives was covered in chapter four of this study.

Chapter four analysed the research data which had been gathered using the research design and plan presented in chapter three. This chapter analysed data both quantitatively and qualitatively in order to give depth and meaning to the data. The chapter analysed the demographic profile of respondents based on age group, gender, marital status, educational qualifications, monthly income and ethnicity. Furthermore, the chapter analysed data based on the entire questionnaire items, *inter alia*:

- structural design on the district in terms of IGR;
- number of local municipalities fully cooperating with ADM in terms of IGR;
- The role played by the district municipality in promoting IGR and cooperative government;
- challenges confronting the current system of IGR in the ADM;
- suggested solutions on how best to minimise the effects of the identified challenges;
- perceptions on whether the residents/citizens of the municipality are reaping maximum benefits from the system of organised local government (IGR);
- functionality of the existing IGR forums in the district;

- Priority areas which needed urgent attention in line with the improvement of cooperative government and IGR at local, provincial and national level;
- Satisfaction levels of residents on the manner and level at which their municipalities are delivery services; and
- Infrastructural projects which can directly be credited to the cooperation in ADM and the Eastern Cape province at large;

This chapter is the closing section of the study and it provides the, chapter conclusions, general findings of the study, recommendations on how to improve IGR and cooperation for sustainable service delivery and recommendations on areas of future research.

5.1.1 Summary of Findings

The study investigated the contribution made by IGR and cooperative government in promoting sustainable socio-economic development through effective delivery of services by the public entities, such as municipalities. This section summaries the general findings of the study with a specific emphasis on the ability of the findings to answer the research questions or achieve the aims of the study as spelled-out in chapter one. The following are the main findings of the study.

i. There are structures and forums promoting IGR and cooperative government within the Amathole District and its local municipalities

The study exclusively reviewed the existence of IGR structures and arrangements in Amathole district municipality. These include local government forums, those at

provincial level but with local government representation as well as others involving the national government. Therefore, all the spheres of government are theoretically acknowledging the need for cooperative collaboration amongst one another so as to sustainably meet the needs of the citizens, and above all, improve the quality of their lives. Such a finding was valuable since it led to the achievement of the first research objective which sought to establish if there were IGR forums and structures promoting cooperative government in the district of Amathole.

ii. The IGR structures in ADM are not fully operational with some dysfunctional

Although IGR forums are in place across the entire district of Amathole, there are problems with their functionality. The study found out that most local government IGR structures have fallen dormant for quite a long time. Logistical arrangements for their functionality and survival have been crippled by the lack of a binding legal framework spelling out how local municipalities are going to be synergised in the system of IGR at district municipality level. The only functional forum was the DIMAFO which happened to be incorporating three local municipalities in ADM. Such functionality levels were inhibiting on the provision of water, sanitation and some LED projects in the uncooperative municipalities, and as a result some communities in the low lying areas of municipalities such as Mbhashe did not have access to clean tapped drinking water.

iii. Only three out of seven local municipalities are cooperating with ADM on IGR

Amathole district municipality has got a total of seven local municipalities under its jurisdiction. Out of this much, it was reviewed through the study that only three local municipalities are cooperating with ADM in terms of having functional IGR fora, participating fully in cross-cutting projects and programmes and fostering a good cooperative environment between them and their district municipality. The cooperative municipalities were established as Amahlathi, Nxuba and Mbhashe local municipalities. The remaining four local municipalities were seen to be dormant towards IGR and were confronted with a complex situation which made them fail to even grasp the practice of IGR and cooperation with other municipalities, the provincial and even national government. The study also established that the less cooperative municipalities were Nkonkobe, Great Kei, Ngqushwa and Mnquma local municipalities. Consequently therefore, the less cooperative municipalities oftentimes found themselves trapped within a complex environment where there are huge service delivery backlogs and limited resources to eradicate those backlogs on the other hand.

iv. There is lack of political will towards IGR on the side of politicians as political factionism is causing decision making and service delivery to stall in the municipalities

Amathole district municipality has not been spared from being turned into a political battlefield for factionism. There is also no unanimous consensus on how politicians and administrators can relate to one another. In some instances politicians are taking over

the administrative duties of their administrative counterparts leading to interpersonal conflict. Political interests are always not universal and the existence of varying interests has often led to clashes between the divergent sides of the political divide.

In municipal councils or even IGR meetings meant to marshal cooperative government, no concrete resolution can be reached since valuable time and resources are wasted on meeting which delegates will never reach consensus and compromise. As a result service delivery models are never synergised and hence become so fragmented and individualistic in nature. Such politically related clashes were credited to a greater extent, to the ANC's cadre deployment strategy which has often favoured unprofessional cadres over experienced professional administrators who are impartial and can take municipalities forward.

The political-administrative interface is proving to be unachievable in the majority of municipalities in the district of Amathole. Lack of political will, has been highlighted as one of the many challenges inhibiting the achievement of intergovernmental cooperation in local government and such a findings enabled the achievement of the second research objective, which south to explore the challenges confronting IGR and cooperative government in ADM.

v. Fragmented and disintegrated planning cycles across the entire system of government are making cooperation difficult

Planning cycles of the entire system of government have been lambasted for being fragmented and disintegrated, a situation which makes service delivery to be difficult. These planning cycles are not synergised and it is making the integration of the budgets and development plans difficult. For example, while the national budget cycle begins on April 1st each year, the municipal IDPs begin on January the 1st, hence this disintegrated model will make is difficult for the entire system of government to function as a single whole. On the district level, although the ADM IDP has got the same planning cycle with those of its local municipalities, most local municipalities in the district are still grappling with challenges of drafting state-of-the art IDPs. This obstacle is being worsened by the scarcity of skills in the South African labour market at large. Fragmented planning cycles are also complicating the pooling of resources as well as the design of public sector policy programmes.

vi. The Intergovernmental Relations Framework Act (No. 13 of 2005) needs revision and reviewing

Legislation governing IGR and cooperative government in South Africa is limited and the only binding piece of legislation is the Intergovernmental Relations Framework Act (No. 13 of 2005). This Act needs instant review since it's only having a superficial approach towards IGR and the entire practice of cooperation. The study revealed that there should be punitive clauses in the Act to criminalise the failure to cooperate since some entities and officials are overlooking cooperation simply because they cannot be

called to account or pay heavily for their selfish and uncooperative behaviour. Also the Act lacks a direct plan on how local municipalities are to partake in IGR at all the three spheres of government. As a result they neglect whatever contribution they might have to make simply because they do not see a directly binding clause in the legislation.

A revision of the Act should also lead to the capacitation of IGR practitioners through financial support, skills training and development, as well as the harmonisation of some of the IGR forums which seem to the conflicting at present. For example a MinMEC and the PCC are all national government level forums which serve almost the same purpose; hence there should be a harmonisation of the forums and maybe an establishment of new forums especially at the grassroots level.

vii. The National Planning Commission should take a leading role in overseeing the entire public sector planning process

The National Planning Commission (NPC) is a new initiative of the South African government. The commission is chaired by the Minister in The Presidency for National Planning (currently Mr Trevor A. Manuel, 2012); the NPC is responsible for developing a long term vision and strategic plan for South Africa. The process of developing a strategic plan is an all-stakeholder inclusive discussion and engagement programme which cuts-across the entire country and also provides opportunities for members of public to come forward with ideas and suggestions. After which, the plan will be considered by Cabinet. Also, the NPC advises on cross-cutting issues that impact on South Africa's long term socio-economic development. The study found out that the

NPC can only be the one body which can take an oversight role in the entire public sector planning in order to structure synergised operational plans for the spheres of government and public entities. The merits of synergised developmental plans are that it, inter alia, improves of the pooling of resources and enables monitoring and evaluation to be carried out with little or no difficulty.

viii. There still exist huge service delivery backlogs in the municipalities, almost two decades after the dawn of freedom

The study also established that municipalities in ADM, the Eastern Cape Province and South African at large still have a huge mountain to climb in terms of service delivery. There still exist huge service delivery backlogs in most municipalities and more has to be done since the citizens are gradually getting frustrated at the snail-pace at which their government is delivering services. Basic services are beyond the reach of many, some of them yet to experience the gains of independence through accountable and democratic service rendering. Communities do not have access to:

- Water;
- Sanitation;
- Road infrastructure;
- Housing;
- Primary healthcare services , e.g. clinics;
- Community safety;
- Electricity; and
- Solid waste management.

The lack of basic infrastructural needs in most communities has often led to public unrest in the form of service delivery backlogs. Some community members strongly felt that there is not much of consultation happening within their local municipalities and as a result services are not being tailor-made to suite the specific needs of the residents. The study also revealed the missing link between the citizens and their government, a gap which need bridging through the establishment of more IGR and consultation forums in the local municipalities.

ix. IGR and cooperation are not being monitored and controlled

Monitoring and evaluation is key to the effective functioning of any projects/ programme in the public sector, this also includes IGR and cooperative government; the study acknowledged the need for establishing an IGR monitoring and evaluation centre, maybe through a new national department, this centre would have an oversight role across the entire system of government. The monitoring and evaluation can also be tasked to the Government Wide Monitoring and Evaluation System (GWMES) under the minister of monitoring and evaluation in The Presidency.

This finding fulfilled the third research objective, which sought to recommend strategies and mechanisms to improve cooperative government and IGR in ADM and the public sector at large. Such a logistical arrangement would ensure that programmes and activities of all forums are kept on track, and in the case of variances encountered, these can be addressed and redressed timeously before they negatively impact of the IGR and effectiveness of the system of governance. The study explored and exposed

the lack of an integrated system of IGR and cooperation which has led to some IGR forums falling dormant and inactive, hence crippling the promotion of cooperative government and service delivery.

5.3 RECOMMENDATIONS

The study adopted a case study approach to assess the role played by cooperative government and intergovernmental relations on the promotion of effective service delivery at local government. Accordingly, the third research objective aimed to recommend strategies and mechanisms which can be adopted by the relevant stakeholders identified in the significance section of chapter one, in order to improve IGR and cooperative government. This section covers the recommendations on how IGR and cooperative government can be improved and also recommendation on areas of future research.

5.3.1 Recommendations on the role of IGR and cooperative government in promoting effective service delivery

In a nutshell, based on the findings presented in the study, the following recommendations are suggested for consideration for adoption as mechanisms and strategies aimed at improving IGR and intergovernmental cooperation both at local, provincial and national government level.

- IGR practitioners need skills training and capacitation, especially at the local spheres of government. The municipality should also consider improving the

skills and proficiencies of its IGR human capital just like they value training and development of their financial management, engineering and human resource management staff. This would ensure that practitioners are well-versed with IGR and thus perform their duties professionally and effectively as possible.

- There is a great need for the role ambiguity and vagueness of responsibility assigned to the different IGR forums to enable them to function smoothly with limited or no glitches. For example, the roles and responsibilities of the President's Coordinating Committee (PCC) remain shallows and sometimes ambiguous, thereby incapacitating the forum's ability to model and make concrete and cross-cutting decisions on the utilisation of cooperative and IGR for sustainable delivery of services to the populace. Hence all IGR forums (regardless of whether they are situated at the national, provincial or local level of government) should be well structured; responsibilities and duties clearly spelt-out and are empowered to make implementable resolutions.
- IGR need monitoring and evaluation. Just like any other public sector programme of action, monitoring and evaluation in urgently needed in the field of IGR to ensure that projects and programmes are kept on the right path, and tracked to enable the elimination of obstacles in due course thereby guarding against wastage of resources such as time and finances.
- Political office bearers should not interfere with administrators on matters which are administrative in nature. Enforcement of the politics-administrative interface through are well-drafted policy document would limit interference and promote

the achievement of one common goal of sustainable socio-economic development in the local government sphere.

- Cadre deployment should be governed by an Act of parliament and should give preference to skills, qualifications and expertise. A policy document or Act of parliament would guard against the abuse of this favourable strategy of the ANC but those in positions of authority. Appointments of IGR practitioners and should thus be based on expertise, skills and competencies.
- The IGRFA (N$^{o.}$ 13 of 2005) should be amended to include punitive clauses for this disobeying IGR as well as empowering local municipalities to actively partake in IGR. As the only piece of legislation binding in terms of IGR, this Act has been criticised for being a 'barking toothless bulldog' by politicians and official alike. Hence amendments should be effected to capacitate the Act, and include clauses of punitive action aimed towards those sabotaging IGR, as well as a full incorporation of local municipalities in IGR.
- Sector departments need to fully commit to IGR and cooperative government; this includes the utilisation of IGR as a planning tool. National and provincial departments have been criticised by local government for their failure to fully dedicate themselves towards IGR and intergovernmental cooperation. There are calls for these to actively partake in IGR in good faith to avoid sabotaging local government activities. This is in line with section 154 of the Constitution (1996) which mandates national and provincial government to support the cause of municipalities.

- Regulations should be put in place for benchmarks to avoid provincial and national governments to send junior inexperienced staff to attend IGR forum meetings. Another area where provincial and national governments are found wanting. There should be policies to legislate benchmarks of who can be delegated to an IGR forum in order to have a quality representation which can make decisions and agree on resolution to take IGR forward.
- Community participation in IGR should be promoted to ensure that community needs are tailor-made to suit the needs of the citizens. Ward committees should be the starting point for IGR at local government. Currently there is minimal utilisation of ward committees for IGR in ADM due to the lack of specifications on how local municipalities should take part in IGR. Hence such stipulations should be put in place so as to enable the generation of valuable feedback on IGR through the ward committees led by councillors.
- The National Planning Commission (NPC) should take an oversight role in guiding and supervising planning in the entire South African public sector. Such an initiative of incorporating the NPC into the planning process of the system of the government would synergise planning and promote the best planning practise brought about by those guiding the entire process.
- Planning cycles for all public entities need to be synergised in order to help in the pooling of resources and collective collaboration in service delivery. Hence, the National Spatial Development Strategy (NSDS), Provincial Growth and Development Programme (PGDP) and the Municipal Integrated Development Planning (MIDP) should be synergised and cooperatively support one another,

and the planning cycles should start and end at the same time. Such a plan would ensure the pooling of resources and management of policy programmes is easier and more efficient and effective.

- IGR and cooperative government require a full and active participation of local government; and the government should ensure that the MinMECs which are chaired by the Department of Local Government and Traditional Affairs (LGTA) are empowered to deal with cross-sectional issues of government efficiency. Such an arrangement would ensure that local government is empowered and emancipated into the 'whole government system' and eliminate the exclusion of the local sphere of government in the vital matters of effective service delivery. Local government will benefit from such cross-cutting mechanisms since this can provide costing, expenditure and budgeting related feedback for the smooth-functioning of the municipalities.
- Constitutional principles of cooperative government should be upheld and promoted by all spheres of government. Specific emphasis should be on the on section 41(1) of the Constitution (1996) which exclusively promote intergovernmental relations peace by stating that, "…*an organ of state involved in an intergovernmental dispute must make every reasonable effort to settle the dispute by means of mechanisms and procedures provided for that purpose, and must exhaust all other remedies before it approaches a court to resolve the dispute*." Therefore, the three spheres of government should embrace harmony and mutual respect as the pillars for cooperative government for effective service rendering.

- ADM should prioritise urgent matters in its service delivery model to give preference to providing the basic services to the people before pursuing peripheral services which can be seen as luxuries by the citizens. Service delivery should take a bottom-up approach which aims at tailor-making service to the expectations of communities. Such a people-driven model will significantly help eradicate the disparities in services access which currently characterise the district of Amathole.
- IGR forum agenda should be collectively set by all the relevant stakeholders within a specific sector or sphere of government. Items which need the attention of IGR forums should be set based on the views of all the stakeholders involved in that forum. This would ensure that the forums move-away from being just mere talk shows into effective forums which make, adopt and utilise resolutions to map the way forward for cooperative government and IGR for sustainable promotion of socio-economic development through service delivery.

5.3.2 Recommendations on areas of future study

While this study focussed on assessing the role of Intergovernmental Relations and cooperative government in promoting effective service delivery for sustainable socio-economic development at local government (the case study was on the Amathole District Municipality). Future researchers can widen the focus of their studies by venturing into one of the following areas:

- Assessing the role of IGR and cooperative government in service delivery at the provincial sphere of government;

- Assessing the role of IGR and cooperative government in service delivery at the national sphere of government in South Africa; or
- Investigating the contribution of extra-governmental relations or international relations in promoting the socio-economic development of South Africa with a special emphasis on public service delivery.

5.4 CONCLUDING REMARKS

The Constitution of the Republic of South Africa (1996) institutes the three spheres of government which are characterised by autonomy, interrelatedness and interdependence. Mutual relationships amongst these three are termed intergovernmental relations and each spheres in obliged to partake in these IGR as a way for promoting cooperative government as stipulated in chapter three of the Constitution (1996). The study adopted a case study approach to assess the role played by IGR and cooperative government in promoting service delivery for sustainable socio-economic development at local government level. The area of study was the ADM and its seven local municipalities. The findings of the study indicate that IGR is being practised in the district although more still needs to be done as discussed in the preceding sections of this chapter. In a nutshell, IGR and cooperative government can, *mutatis mutandis*, play a significant role in promoting effective service delivery and ultimately sustainable socio-economic development at local, provincial and national government in South Africa.

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ANNEXURE A: REQUISITION LETTER

University of Fort Hare
DEPARTMENT OF PUBLIC ADMINISTRATION
Office of the Chair & Head of Department:
Professor Edwin Ijeoma
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Professor of Policy & Public Sector Economics

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University of Fort Hare
Together in Excellence

17 September 2012

TO WHOM IT MAY CONCERN

RE: REQUEST FOR PERMISSION TO CONDUCT AN ACADEMIC RESEARCH

PROGRAMME	:	**MASTER OF ADMINISTRATION (M.ADMIN)**
NAME	:	**Mr M.HAUROVI**
STUDENT NUMBER	:	**200706147**

The above named is a registered student of the university of Fort Hare. As part of the requirements for completing his MPA degree, the student is expected to conduct a research and submit its findings accordingly.

We hereby request you to allow the student conduct a research in your institution and to interact with relevant selected office-bearers and officials. We have instructed the student to observe professionalism and ethical considerations by maintaining anonymity of the participants concerned. The student has also been advice to maintain strict confidentiality in his interactions with respondents.

Once the research is completed, it may be availed to your institution on request. We hope that the findings of the research will benefit your institution in particular and South Africa in general.

Please extend every assistance he stands in need.

Regards

EOC Ijeoma

Department of Public Administration
Excellence in Public Administration & Community Service
www.ufh.ac.za

ANNEXURE B: PERMISSION LETTER

AMATHOLE DISTRICT MUNICIPALITY

40 Cambridge Street • East London • South Africa • 5201
PO Box 320 • East London • 5200
Tel: +27 (0) 43 701 4000 • fax: +27 (0) 43 742 0337

Date:	Person Dealing With Matter:	Reference:
05 October 2012	**Ms N. Kanzi**	**2/1**

University of Fort Hare
Office of the Chair and HOD
Department of Public Administration
P.O. Box X1153
KING WILLIAMS TOWN
5600

Attention: Mr Maxwell Haurovi

REQUEST FOR PERMISSION TO CONDUCT AN ACADEMIC RESEARCH RESEARCH AS PART OF THE MASTER OF ADMINISTRATION QUALIFICATION: MR MAXWELL HAUROVI

Receipt of your letter dated 17 September 2012 is acknowledged.

Permission is hereby granted to Maxwell Haurovi to undertake academic research on "***The Role of cooperative government and Intergovernmental Relations in promoting effective service delivery. The case of Amathole District Municipality***" at Amathole District Municipality. The municipality hopes to obtain valuable information that will assist in addressing shortcomings in the area of intergovernmental relations. It would therefore be appreciated if the research results can be made available to the municipality.

Yours faithfully

Noluvuyo Kanzi
Oct 5 2012 2:57 PM

C. Magwangqana
MUNICIPAL MANAGER

All correspondence to be addressed to the Municipal Manager

Amathole
place of opportunities...

ANNEXURE C: QUESTIONNAIRES

University of Fort Hare
Together in Excellence

FACULTY OF MANAGEMENT AND COMMERCE

SCHOOL OF PUBLIC MANAGEMENT AND DEVELOPMENT

DEPARTMENT OF PUBLIC ADMINISTRATION

My name is Maxwell Haurovi a student currently registered and studying towards a Master of Administration (Public Administration) degree in the Department of Public Administration at the University of Fort Hare. As part of the requirements of this programme, I am engaged in a research study of Performance Management, entitled, **"The Role of Cooperative Government and Intergovernmental Relations in Promoting Effective Service Delivery. A Case Study of Amathole District Municipality"**

I therefore kindly request your cooperation in completing this questionnaire. Your contribution to this academic endeavour will be greatly appreciated since it will provide a stepping-stone towards the realisation the objectives of this research by the researcher.

Please be advised that the information and/or data which you will provide in this questionnaire will **ONLY** be used for academic purposes. Your ethical right to

anonymity, privacy and confidentiality is much guaranteed since you not expected to reveal your names or any personal information which might identify you as a respondent in this study. Please answer all questions as clearly and honestly as you can.

QUESTIONNAIRE ONE: MUNICIPAL OFFICIALS

Section A: Biographical Information

Please tick with the letter **X** in the appropriate box

1.1 Gender

Male		Female	

1.2 Age Group

21-30		31-40		41-50		51-60		61+	

1.3 To which ethnic origin group do you most closely belong?

Black African		White		Coloured		Asian		Prefer Not to Say	

1.4 Marital Status

Single		Married		Widowed		Divorced		Separated	

1.5 Highest Qualification Obtained

Matric		Diploma		Junior Degree		Honours		Masters		PhD	

1.6 Monthly income

Below R5000		R5000-R10000		R10000-R15000		R15000-R20000		Above R20000	

1.7 Job Position

(Please specify your job title)

.....

Section B: Amathole District Municipality Officials

1. STRUCTURE OF THE AMATHOLE DISTRICT MUNICIPALITY

1.1 How is Amathole District Municipality structurally designed (in terms of division/directories, etc?

.....

.....

.....

.....

1.2 How many municipalities are under the jurisdiction of ADM?

1.3 Of the municipalities named above, how many are delivery services effectively and efficiently to the people?

1.4 How many IGR forums are incorporating all municipalities in ADM?

2. COOPERATIVE GOVERNMENT IN AMATHOLE DISTRICT MUNICIPALITY

2.1 How is ADM embracing the principles of cooperative government as mandated by chapter three of the constitution of the Republic of South Africa?

.....

.....

.....

2.2 In your own opinion, is there a solid, vivid and sustainable bond of cooperation amongst ADM, the Eastern Cape Province and the national government?

Yes		No	

2.2.1 If your answer to 2.2 is yes, can you please explain?

.....

.....

.....

2.2.2 If your answer to 2.2, is no, can you please explain why not?

.....

.....

.....

2.3 Do you think in your opinion, that ADM is fulfilling its role in fostering cooperative government for effective service delivery in South Africa?

Strongly Agree		Agree		Neutral		Disagree		Strongly Disagree	

2.3.1 Can you give reasons for your answer to 2.3 above?

.....

.....

.....

2.4 Which infrastructural or developmental projects and programmes can you credit to cooperation throughout the system of government, that is national, provincial and ADM.

i. .....

ii. .....

iii. .....

2.5 What overall comment can you make about the status *quo* (present state) and future of cooperative government in ADM in relation to the improvement of sustainable service delivery?

.....

.....

.....

3. INTERGOVERNMENTAL RELATIONS AND SERVICE DELIVERY IN AMATHOLE DISTRICT MUNICIPALITY

3.1 How many IGR forums does the municipality have?

3.2 How often does each of these forums hold meetings?

.....

.....

3.3 Can you indicate your opinion on the effectiveness of the IGR system in ADM in line with the need to improve service rendering?

Strongly Agree		Agree		Neutral		Disagree		Strongly Disagree	

3.3.1 Can you give reasons for your answer in 3.3 ?

.....

.....

.....

3.4 What can you pin-point to be the main obstacles to the functionality of IGR forums and the subsequent effectiveness of the system of intergovernmental relations?

.....

.....

.....

3.5 Advisably, what measures or mechanisms can ADM adopt to minimise the effects of the obstacles you have identified in 3.4 above?

.....

.....

3.6 Which of the following forums do you think has been the chief contributor to the development of the Amathole District area?

National IGR forums such as the President's Coordinating Committee (PCC)	
Provincial IGR forums such as the Premier's Coordinating Forum (PCF) and the NCOPs	
District and Local Government IGR forums such as the District Mayors' Forum (DIMAFO)	

3.6.1 Can you give reasons to your answer to 3.6 ?

.....

.....

.....

3.7 Are there any incidences of insubordination occurring between ADM, its local municipalities in terms of active participation in IGR matters of mutual interest which work towards promoting development in the district?

.....

.....

.....

.....

3.8 Which of the following categories of stakeholders, in your own opinion, do you think has derived the maximum benefit from the system of organised IGR on the local government level?

Amathole District Municipality Administration	
The Residents of Amathole District Municipality	
Both Amathole District Municipality and its residents	

3.8.1 Can you please justify your answer to 3.8 above?

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.....

3.9 Against each of the following mechanisms, can you rate them on a scale of 1 to 5 the relative importance and urgency of each item. The figure 1 being the lowest in importance and 5 showing high importance.

IGR members skills training	
Establishment of a national department specifically responsible for IGR and cooperation	
Installing IGR monitoring and evaluation structures throughout the entire system of government	

3.9.1 Can you give reasons for the ratings which you allocated in 3.9 above?

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4.0 GENERAL COMMENT

4.1 Do you have any other comment which you would like to make in relation to the use of cooperative government and intergovernmental relation to improve on sustainable service delivery in Amathole District Municipality and South Africa at large?

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QUESTIONNAIRE TWO: INTERGOVERNMENTAL RELATIONS PRACTITIONERS

Section A: Biographical Information

Please tick with the letter **X** in the appropriate box

1.1 Gender

Male		Female	

1.2 Age Group

21-30		31-40		41-50		51-60		61+	

1.3 To which ethnic origin group do you most closely belong?

Black African		White		Coloured		Asian		Prefer Not to Say	

1.4 Marital Status

Single		Married		Widowed		Divorced		Separated	

1.5 Highest Qualification Obtained

Matric		Diploma		Junior Degree		Honours		Masters		PhD	

1.6 Monthly Income

Below R5000		R5000-R10000		R10000-R15000		R15000-R20000		Above R20000	

1.7 Job Position

(Please specify your job title)

.....

Section B: IGR and cooperative government

1.0 IGR in Amathole District Municipality

1.1 How many functional IGR forums does ADM have at the present moment?

1.2 Of these, how many do you think are very effective in improving service rendering in the entire district?

1.3 Do you think, in your own opinion that IGR has brought more good than harm to the effective delivery of services in ADM?

Yes		No	

1.3.1 Can you give reasons for your answer to 1.3 above?

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1.4 Do think the current system of IGR in ADM needs redesigning in order for it to improve on its functionality. Give reasons for your answer.

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1.5 In your opinion, how do you see the current IGR system in relation to the need for improved services?

Extremely Effective		Effective		Neutral		Ineffective		Extremely Ineffective	

1.5.1 Can you give reasons for your answer to 1.5 above?

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2.0 Challenges Facing the IGR System In ADM

2.1 What can you pin-point as the main challenges to the current system of IGR in Amathole District Municipality?

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2.2 As a piece of advice, what strategies and tools can the municipality adopt in order to minimise the effects of the challenges you have identified above on service delivery?

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2.3 In the challenges identified, are they affecting the entire municipality or some municipalities within ADM feel the effect more than others? Can you discuss your answer in this regard?

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2.4 What the national government, provincial and municipal administrations doing in order to overcome the challenges to the current system of IGR?

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3.0 IGR and Service Delivery in Amathole District Municipality

3.1 In your own opinion, do you see any vivid and solid linkage between IGR and service delivery in ADM?

Yes		No	

3.1.1 If your answer to 3.1 is yes, can you discuss please. If the answer is no, why not-discuss.

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3.2 Are the residents of ADM reaping maximum benefits from the manner in which IGR is being controlled and implemented by the municipality. Discuss.

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3.3 Overall, what do you see as the missing link in the relationship between the current regime of IGR in ADM and public service delivery?

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3.4 Which areas do you think can help transform IGR for effective service delivery?

i. .....

ii. .....

iii. .....

iv. .....

4.0 General Comment

4.1 Do you have any other comment on cooperative government and IGR in ADM?

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QUESTIONNAIRE THREE: SALGA REPRESENTATIVES

Section A: Biographical Information

Please Tick With the letter **X** in the appropriate box

1.1 Gender

Male		Female	

1.2 Age Group

21-30		31-40		41-50		51-60		61+	

1.3 To which ethnic origin group do you most closely belong?

Black African		White		Coloured		Asian		Prefer Not to Say	

1.4 Marital Status

Single		Married		Widowed		Divorced		Separated	

1.5 Highest Qualification Obtained

Matric		Diploma		Junior Degree		Honours		Masters		PhD	

1.6 Monthly Income

Below R5000		R5000-R10000		R10000-R15000		R15000-R20000		Above R20000	

1.7 Job Position

(Please specify your job title)

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Section B: SALGA representatives

1.0 Cooperative Government and IGR in Amathole District Municipality

1.1 How many IGR forums is SALGA in active affiliate?

1.2 In your own opinion, do you think that the current system of IGR is tailor-made to catalyse the sustainable delivery of services in municipalities?

Yes		No	

1.2.1 If your answer to 1.2 above is yes, can you please explain your answer. If your answer is No, can you discuss why not?

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1.3 Is there an even and equal contribution of all the three spheres of government in the conduct of IGR relations with regard to Amathole District Municipality?

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2.0 Challenges faced by ADM in fostering cooperative government and IGR

2.1 In your opinion, what can you pick as the main challenges to the functionality of IGR in the district of Amathole?

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2.2 What tools and strategies can ADM use to avert and solve the challenges which are threatening the functionality of IGR in Amathole District Municipality?

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2.3 What is your opinion of the effectiveness of the current IGR system in ADM towards effective service delivery?

Very Effective		Effective		Neutral		Ineffective		Very Ineffective	

2.3.1 Can you give reasons for your answer to 2.3 above?

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2.4 Which aspects of the current IGR system in ADM, needs transformation in order to catalyse service delivery?

i. .....

ii. .....

iii. .....

iv. .....

v. .....

3.0 General Comment

3.1 Do you have any other comment which you would like to make with the regard of the utilisation of cooperative government and intergovernmental relations in improving on the delivery of services in Amathole District Municipality and South Africa at large?

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QUESTIONNAIRE FOUR: COMMUNITY BASED ORGANISATIONS (CBOS) AND RESIDENTS

Section A: Biographical Information

Please tick with the letter **X** in the appropriate box

1.1 Gender

Male		Female	

1.2 Age Group

21-30		31-40		41-50		51-60		61+	

1.3 To which ethnic origin group do you most closely belong?

Black African		White		Coloured		Asian		Prefer Not to Say	

1.4 Marital Status

Single		Married		Widowed		Divorced		Separated	

1.5 Highest Qualification Obtained

Matric		Diploma		Junior Degree		Honours		Masters		PhD	

1.6 Monthly Income

Below R5000		R5000-R10000		R10000-R15000		R15000-R20000		Above R20000	

1.7 Job Position

(Please specify your job title)

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SECTION B: CBOs AND AMATHOLE DISTRICT MUNICIPALITY RESIDENTS

1.0 Cooperative Government and intergovernmental relations in ADM

1.1 Do you think, in your own opinion that there is significant intergovernmental cooperation within and across the municipality?

Yes		No	

1.1.1 Can you give reasons for you answer to 1.1 above?

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1.2 As a CBO or resident in Amathole District Municipality, have you been able to benefit to the utilisation of IGR and cooperative government principles in your area? Can you discuss your answer?

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2.0 Effectiveness of IGR in catalysing service delivery in ADM

2.1 How do you rate your satisfaction with the current regime of IGR in ADM in relation to its effectiveness in service delivery outcome achievement?

Highly Effective		Effective		Neutral		Ineffective		Highly Ineffective	

2.1.1 Can you explain your answer to 2.1 above?

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2.2 In the manner in which service delivery is being done in your area, do you think that as communities are you getting the best possible standard of services? Please explain.

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2.3 What do you think needs to be changed in order to improve on the effectiveness of IGR in aiding in service delivery?

i. .....

ii. .....

iii. .....

3.0 Challenges faced by the municipality in ensuring that IGR are effective in promoting service delivery

3.1 Which sort of challenges do you view as the main obstacles to the smooth functioning of the IGR structures and an overall promotion of a cooperative government culture, Can you discuss them in detail?

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3.2 Advisably, what can you recommend to be the solution to the problems which you have identified in 3.1 above?

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3.3 In the table which follows, can you rank on the priority or urgency of some of the common problems crippling local government today which need to be addressed to promote effective and efficient service delivery? A rank of high indicates that the urgency is imperative; medium shows reasonable and low shows the least importance and urgency.

CHALLENGE	PRIORITY		
	High	Medium	Low
Skills Training and development.			
Financing of IGR initiatives.			
Establishment of IGR monitoring and evaluation mechanism.			

Establishment of IGR budgets across all spheres of government.			
Establishment of more IGR forums on the local government level to promote community participation in government matters.			

4.0 General Comment

4.1 Do you have any other comment which you would like to make in relation to service delivery in the wake of IGR and cooperative government being utilised as catalyst by your municipality.

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END OF QUESTIONNAIRE

Thank You for Your Cooperation

ANNEXURE D: INTERVIEW GUIDES

University of Fort Hare
Together in Excellence

FACULTY OF MANAGEMENT AND COMMERCE

SCHOOL OF PUBLIC MANAGEMENT AND DEVELOPMENT

DEPARTMENT OF PUBLIC ADMINISTRATION

My name is Maxwell Haurovi a student currently registered and studying towards a Master of Administration (Public Administration) degree in the Department of Public Administration at the University of Fort Hare. As part of the requirements of this programme, I am engaged in a research study of Performance Management, entitled, **"The Role of Cooperative Government and Intergovernmental Relations in Promoting Effective Service Delivery. A Case Study of Amathole District Municipality"**

I therefore kindly request your cooperation in responding to the interview questions. Your contribution to this academic endeavour will be greatly appreciated since it will provide a stepping-stone towards the realisation the objectives of this research by the researcher.

Please be advised that the information and/or data which you will provide in this interview will **ONLY** be used for academic purposes. Your ethical right to anonymity, privacy and confidentiality is much guaranteed since you not expected to reveal your names or any personal information which might identify you as a respondent in this study.

Please answer all questions as honestly as you can.

Informal Interview Items:

i. Is Amathole District Municipality cooperatively working with the national and provincial administrations?
ii. Are the current IGR fully functional across all municipalities?
iii. What functionality problems are the IGR forums constantly facing in the current era?
iv. Do you think the principles of cooperative government are being upheld progressively by the municipality?
v. Is there any IGR stakeholder whom who feel that is contributing to cooperative government in bad faith, and hence crippling service delivery?
vi. Is there a need for the provision of skills through training in order to equip those involved in the IGR structures with the requisite skills for efficiency and effectiveness in their respective fields?
vii. Is Amathole District Municipality ensuring that all its local municipalities as well as the Metropolitan municipality activities partake in IGR activities in order to work towards an impartial and even service delivery?

viii. Do some of the IGR forums have Community Based Organisations (CBOs) represented in them; this might also include Non-Governmental Organisations (NGOs)?

ix. Which modifications would you prefer to be done to the current model of cooperative government and IGR to improve on the effectiveness and efficiency of local government in Amathole District Municipality and the Republic of South Africa at large?

x. Is there any other comment which you would like to make in respect of the maximum utilisation of IGR to achieve the goals of cooperative government for improved service delivery?