

TABLE OF CONTENTS

1. CHAPTER 1: GENERAL INTRODUCTION AND METHODOLOGICAL FRAMEWORK OF THE RESEARCH.....	1
1.1. INTRODUCTION AND BACKGROUND.....	1
1.2. PURPOSE AND SIGNIFICANCE OF THE STUDY.....	2
1.3. MOTIVATION FOR THE RESEARCH.....	5
1.4. SURVEY OF THE LITERATURE.....	7
1.5. PROBLEM STATEMENT AND RESEARCH QUESTIONS.....	8
1.6. AIMS AND OBJECTIVES OF THE RESEARCH.....	10
1.7. RESEARCH DESIGN.....	11
1.7.1. Phenomenology.....	11
1.7.2. Ethnography.....	12
1.7.3. Grounded theory.....	13
1.7.4. Case study.....	14
1.8. RESEARCH METHODS.....	17
1.8.1. Different types of research methods.....	18
1.8.1.1. <i>Quantitative research</i>	18
1.8.1.2. <i>Qualitative research</i>	19
1.8.1.3. <i>Mixed method approach</i>	20
1.8.2. Contrast between quantitative and qualitative.....	21
1.8.2.1. <i>Deductive reasoning</i>	22
1.8.2.2. <i>Inductive reasoning</i>	22
1.8.2.3. <i>Positivism</i>	22
1.8.2.4. <i>Interpretivism</i>	22
1.8.2.5. <i>Objectivism</i>	23
1.8.2.6. <i>Constructionism</i>	23
1.8.3. Population size and sampling.....	24
1.8.4. Data collection technique.....	25
1.8.5. Ethical considerations.....	28
1.9. LIMITATIONS OF THE STUDY.....	28
1.10. CLARIFICATION OF TERMS AND CONCEPTS	29

1.10.1. Public Administration.....	29
1.10.2. Public administration.....	30
1.10.3. Local government.....	30
1.10.4. Municipality.....	30
1.10.5. Municipal council.....	31
1.10.6. Councillor.....	31
1.10.7. Constituency.....	32
1.10.8. Efficiency.....	32
1.10.9. Effectiveness.....	32
1.10.10. Decision-making.....	33
1.10.11. Service delivery.....	33
1.11. PRELIMINARY FRAMEWORK OF THE RESEARCH.....	33
1.12. CONCLUSION.....	35

2. CHAPTER 2: THEORETICAL CONSTRUCTS IN PUBLIC

ADMINISTRATION.....	37
2.1. INTRODUCTION.....	37
2.2. CONCEPTUAL ANALYSIS AND THE ORIGIN OF PUBLIC ADMINISTRATION.....	39
2.2.1. The art or science of Public Administration: a debate on the nature of the discipline.....	41
2.2.2. Locus and focus.....	42
2.2.3. Historical evolution of the discipline.....	43
2.2.4. Paradigms of Public Administration.....	44
2.3. GENERIC FUNCTIONS OF PUBLIC ADMINISTRATION.....	48
2.3.1. Policy-making.....	48
2.3.2. Organising.....	50
2.3.3. Financing.....	51
2.3.4. Staffing.....	52
2.3.5. Determining work procedures.....	53
2.3.6. Control.....	54
2.4. SCOPE OF LOCAL GOVERNMENT IN PUBLIC	

ADMINISTRATION.....	55
2.5. ROLE OF THE STATE.....	56
2.5.1. Regulatory.....	57
2.5.2. Enabling.....	58
2.5.3. Intervention.....	58
2.5.4. Protection.....	59
2.6. HISTORICAL DEVELOPMENT OF LOCAL GOVERNMENT IN SOUTH AFRICA.....	60
2.7. REQUIREMENTS FOR AN EFFECTIVE AND EFFICIENT ADMINISTRATION AND MANAGEMENT OF LOCAL GOVERNMENT.....	63
2.8. THE POLITICAL FUNCTION RELATING TO PUBLIC ADMINISTRATION.....	66
2.8.1. Philosophy of politics.....	66
2.8.2. Political ideologies.....	72
2.8.2.1. <i>Liberalism</i>	73
2.8.2.2. <i>Socialism</i>	74
2.8.2.3. <i>Communism</i>	74
2.8.2.4. <i>Conservatism</i>	76
2.8.2.5. <i>Nationalism</i>	77
2.8.3. Local government election manifestos.....	84
2.8.4. Effect of politics on public policies.....	88
2.8.5. Political/Administrative interface.....	92
2.8.6. Doctrine of separation of powers (<i>Trias-Politica</i>).....	94
2.9. CONCLUSION.....	95
 3. CHAPTER 3: ROLE AND FUNCTIONS OF MUNICIPALITIES AND INTERNATIONAL EXPERIENCE OF LOCAL GOVERNMENT AUTHORITIES.....	 97
3.1. INTRODUCTION.....	97
3.2. DECISION-MAKING, PLANNING AND LEGISLATIVE OVERSIGHT.....	98

3.2.1. Decision-making.....	99
3.2.1.1. <i>Promoting public involvement in decision-making</i>	101
3.2.1.2. <i>Types of decision-making</i>	104
3.2.1.3. <i>Aspects influencing decision-making in organisations</i>	105
3.2.1.4. <i>Models of decision-making</i>	107
3.2.2. Planning.....	109
3.2.2.1. <i>Importance of organisational planning</i>	111
3.2.2.2. <i>Kinds of organisational plans</i>	112
3.2.2.3. <i>Approaches to planning</i>	114
3.2.2.4. <i>Organisational planning process</i>	116
3.2.3. Legislative oversight	118
3.2.3.1. <i>Reasons for legislative oversight</i>	119
3.2.3.2. <i>Mechanisms enabling legislative oversight</i>	120
3.2.3.3. <i>Legislative oversight to foster accountability</i>	122
3.3. INTERNATIONAL EXPERIENCES: TRENDS AND DEVELOPMENTS IN SELECTED COUNTRIES.....	123
3.3.1. International perspective on the role and functions of municipalities.....	128
3.3.2. Regional practices: selected countries.....	129
3.3.2.1. <i>Kingdom of Sweden</i>	129
3.3.2.2. <i>United Republic of Tanzania</i>	130
3.4. CASE STUDY: EXPERIENCE OF LOCAL GOVERNMENT IN THE UNITED KINGDOM.....	133
3.4.1. Municipalities in the United Kingdom.....	135
3.4.2. Composition and functioning of councils in the UK.....	138
3.5. CONCLUSION.....	144
 4. CHAPTER 4: SYSTEM OF LOCAL GOVERNMENT IN SOUTH AFRICA.....	 146
4.1. INTRODUCTION.....	146
4.2. GOVERNMENT SYSTEM IN SOUTH AFRICA.....	147
4.3. BACKGROUND OF SOUTH AFRICAN LOCAL	

GOVERNMENT.....	153
4.3.1. Period leading to the demise of Apartheid local government...	155
4.3.2. New dispensation for local government in post-apartheid South Africa (2000 – 2016).....	160
4.3.3. Enabling environment of local government.....	164
4.3.3.1. <i>Political environment</i>	165
4.3.3.2. <i>Administrative environment</i>	167
4.3.3.3. <i>Socioeconomic environment</i>	168
4.4. POLICIES AND LEGISLATIVE IMPERATIVES CONCERNING LOCAL GOVERNMENT.....	169
4.4.1. Constitution of the Republic of South Africa, 1996.....	170
4.4.2. Organised local government.....	171
4.4.3. White Paper on Local Government.....	172
4.4.4. Intergovernmental relations.....	174
4.4.5. Municipal demarcation.....	176
4.4.6. Municipal finances.....	178
4.4.6.1. <i>Municipal infrastructure grant</i>	182
4.4.7. Traditional leaders.....	184
4.4.8. National Development Plan 2030.....	186
4.5. STRUCTURE AND SYSTEM	188
4.5.1. Objects of local government.....	190
4.5.2. Categories of municipalities.....	192
4.5.3. Types of executive systems of municipalities.....	194
4.5.3.1. <i>Mayoral executive system</i>	196
4.5.3.2. <i>Collective executive system</i>	196
4.5.3.3. <i>Plenary executive system</i>	196
4.5.3.4. <i>Subcouncil participatory system</i>	197
4.5.3.5. <i>Ward participatory system</i>	197
4.5.4. Powers and functions of municipalities.....	199
4.5.5. Election of councillors.....	202
4.5.6. Composition and requirements for membership of municipal council.....	204

4.5.7. Terms of office and dissolution of municipal councils.....	206
4.5.8. Internal procedures for municipal councils.....	207
4.6. STRATEGIES IMPLEMENTED TO ENHANCE SERVICE DELIVERY.....	213
4.6.1. Project Consolidate and <i>Siyenza Manje</i> initiatives (2004 – 2006).....	214
4.6.2. Local Government Turnaround Strategy (2009 – 2014).....	216
4.6.3. Back-to-Basics (2014 – current).....	217
4.6.4. Service provision	218
4.7. CONCLUSION.....	221

5. CHAPTER 5: ANALYSIS AND INTERPRETATION: FACTORS INFLUENCING DECISION-MAKING IN MUNICIPAL COUNCILS...223

5.1. INTRODUCTION.....	223
5.2. BACKGROUND OF GAUTENG PROVINCE.....	224
5.3. METROPOLITAN MUNICIPALITIES.....	227
5.4. GOVERNMENT AND ADMINISTRATION OF SELECTED METROPOLITAN MUNICIPALITIES.....	228
5.4.1. City of Johannesburg.....	229
5.4.2. City of Tshwane.....	233
5.4.3. City of Ekurhuleni.....	237
5.5. FACTORS INFLUENCING DECISIONS OF METROPOLITAN MUNICIPAL COUNCILS IN GAUTENG.....	241
5.5.1. Environment.....	244
5.5.2. Political Ideologies.....	245
5.5.3. Population.....	246
5.5.4. Legislation and decisions of other organs of state.....	250
5.5.5. Types of executive system used.....	252
5.5.6. Resources.....	253
5.6. CONCLUSION.....	255

6. CHAPTER 6: FINDINGS, RECOMMENDATIONS AND	
GENERAL CONCLUSION	256
6.1. INTRODUCTION.....	256
6.2. SUMMARY OF PREVIOUS CHAPTERS.....	256
6.3. FINDINGS AND RECOMMENDATIONS.....	259
6.3.1. Finding 1.....	260
<i>6.3.1.1. Recommendation 1.....</i>	<i>261</i>
6.3.2. Finding 2.....	262
<i>6.3.2.1. Recommendation 2.....</i>	<i>262</i>
6.3.3. Finding 3.....	263
<i>6.3.3.1. Recommendation 3.....</i>	<i>264</i>
6.3.4. Finding 4.....	265
<i>6.3.4.1. Recommendation 4.....</i>	<i>266</i>
6.3.5. Finding 5.....	267
<i>6.3.5.1. Recommendation 5.....</i>	<i>267</i>
6.4. LOGICAL FRAMEWORK FOR ENHANCING DECISION	
MAKING IN MUNICIPAL COUNCILS.....	268
6.5. FURTHER RESEARCH.....	272
6.6. SUMMARY.....	273
7. BIBLIOGRAPHY.....	274

LIST OF FIGURES

Figure 3.1:	Hierarchy of organisational planning.....	114
Figure 3.2:	World urban population (1960–2015).....	126
Figure 3.3:	Urban population in RSA, the UK and the World.....	127
Figure 3.4:	Map of the United Kingdom.....	134
Figure 4.1:	Map of Southern Africa.....	148
Figure 4.2:	Map of provinces of South Africa.....	152
Figure 4.3:	Intergovernmental relations framework.....	161
Figure 5.1:	Map of Gauteng Province with various municipalities.....	225
Figure 5.2:	Population distribution in Gauteng.....	226
Figure 5.3:	Map of the City of Johannesburg Metropolitan Municipality.....	230
Figure 5.4:	Map of the City of Tshwane Metropolitan Municipality.....	234
Figure 5.5:	Map of the City of Ekurhuleni Metropolitan Municipality.....	238
Figure 5.6:	Factors that influence decision-making in municipal councils.....	244
Figure 5.7:	South African population estimates by age and sex (2016).....	247
Figure 5.8:	South African Population estimates by population group and age (2016).....	249
Figure 5.9:	Equitable share of revenue raised nationally applicable to Gauteng Metropolitan municipalities.....	254
Figure 6.1:	Proposed logical framework for decision making in municipal council.....	269

LIST OF TABLES

Table 1.1:	Contrasting characteristics of selected qualitative research designs.....	16
Table 1.2:	Difference between quantitative and qualitative research methods.....	21
Table 1.3:	Strength and weaknesses of selected data collection techniques.....	26
Table 2.1:	Contrasting perspectives of the contemporary political ideologies.....	78
Table 2.2:	Seat allocations in metropolitan municipalities (2011).....	79
Table 2.3:	Seat allocations in metropolitan municipalities (2016).....	80
Table 2.4:	Comparison between the eight metropolitan municipalities.....	91
Table 3.1:	Decision-making process.....	100
Table 3.2:	Description of models of decision-making.....	108
Table 4.1:	Provincial breakdown of municipalities	153
Table 4.2:	Political party governance in selected metropolitan Municipalities (2016 election results).....	166
Table 4.3:	Division of revenue among spheres, provinces and municipalities in the 2014/15 financial year	181
Table 5.1:	Municipalities in Gauteng Province.....	225
Table 5.2:	Division of revenue of metropolitan municipalities in Gauteng 2016/2017.....	253

LIST OF ANNEXURES

Annexure 1: Macro-organisational structure of the City of Tshwane

Annexure 2: Schedule 4 Part B and Schedule 5 Part B of the Constitution of the Republic of South Africa, 1996

LIST OF ABBREVIATIONS AND ACRONYMS

ACDP	African Christian Democratic Party
AIC	African Independent Congress
ANC	African National Congress
APSA	American Political Sciences Association
AsgiSA	Accelerated Shared Growth Initiative of South Africa
CC	Constitutional Court
CoGTA	Ministry of Cooperative Governance and Traditional Affairs
COSATU	Congress of South African Trade Unions
CODESA	Convention for Democratic South Africa
CPI	Consumer Price Index
DA	Democratic Alliance
DBSA	Development Bank of Southern Africa
DCoG	Department of Cooperative Governance
DORA	Division of Revenue Act (passed annually)
DP	Democratic Party
EC	Electoral Commission
EFF	Economic Freedom Fighters
EPWP	Extended Public Works Programme
EU	European Union
FA	Federal Alliance
FBS	Free Basic Services
FFC	Finance and Fiscal Commission
GCR	Gauteng City Region
GDP	Gross Domestic Product
GDS	Growth and Development Strategy
GEAR	Growth Employment and Redistribution
ID	Independent Democrats
IDP	Integrated Development Plan
IEC	Independent Electoral Commission
IFP	Inkatha Freedom Party

IMF	International Monetary Fund
LED	Local Economic Development
LGNF	Local Government Negotiating Forum
LGTA	Local Government Transition Act, 209 of 1993
LGTAS	Local Government Turn-Around Strategy
MDB	Municipal Demarcation Board
MEC	Member of the Executive Council
MIG	Municipal Infrastructure Grant
MFMA	Municipal Finance Management Act, 56 of 2003
MPNF	Multi-Party Negotiating Forum
NA	National Assembly
NCOP	National Council of Provinces
NDLTD	Networked Digital Library of Theses and Dissertations
NDP	National Development Plan 2030
NDR	National Democratic Revolution
NETD	South African National Electronic Theses and Dissertations
NGP	New Growth Path
NNP	New National Party
NP	National Party
NPC	National Planning Commission
PAC	Pan Africanist Congress
RDP	Reconstruction and Development Programme
REC	Regional Executive Committee
RSA	Republic of South Africa
RSCs	Regional Services Councils
SACP	South African Communist Party
SADC	Southern African Development Community
SALGA	South African Local Government Association
SAMWU	South African Municipal Workers Union
SANCO	South African National Civic Organisation
SDBIP	Service Delivery and Budget Implementation Plan
StatsSA	Statistics South Africa

SWOT	Strengths, Weaknesses, Opportunities and Threats
UK	United Kingdom of the Great Britain and Northern Ireland
UNDP	United Nations Development Programme
VF+	<i>Vryheidsfront Plus</i> (Freedom Front Plus)
WTO	World Trade Organisation

CHAPTER 1: GENERAL INTRODUCTION AND METHODOLOGICAL FRAMEWORK OF THE RESEARCH

1.1. INTRODUCTION AND BACKGROUND

Since democratisation in 1994, the paradigm of the socio-political situation in South Africa has shifted from an authoritarian rule to a democratic government. The history of the country indicates that the system of segregation ensured exclusive and undemocratic local government, where representatives in municipalities were imposed upon communities to govern them through legislation. It is indisputable that local government is an important element of a democratic government. Thus, the aspects related to socio-economic development which are expected to be pursued by this sphere of government are imperative and critical to the livelihoods of the community. This is as a result of the local government sphere determining the quality of lives of the people in a specific area of jurisdiction. For a country to flourish as a developmental state, it would be imperative for its government to develop mechanisms that would enable all tiers/spheres of government to:

- effectively coordinate programmes;
- provide support to one another; and,
- encourage the existence and improvement of a developmental local government.

The purpose of this research is to investigate the roles and the responsibilities of municipal councils in ensuring an oversight role of the municipal administration. The role of the local government sphere is to efficiently provide basic and other services to the communities within their jurisdiction, thereby playing a significant role by improving the residents' quality of life. This technically translates into a situation in which failure of the local government to deliver on its mandate could render the entire government ineffective as a result of its interrelatedness with other spheres of government within the framework of intergovernmental relations.

The first chapter of the thesis will provide a general introduction by focussing on the fundamental aspects of the research, including the research design and a methodology section. This chapter is structured in a sequential manner through which sections will follow one another and provide a synopsis of the entire research project. The chapter will begin by explaining the purpose and significance of the research. Furthermore, the chapter will discuss the motivation of the research. This factor is important as it ensures a scientific justification for the rationale for such a study. The chapter will also briefly provide a survey of the relevant literature in an attempt to clearly explain the demarcation of the research project. More importantly, the problem statement will be emphasised and the research question will be posed in order to elucidate the focus area of the research project. The aims and objectives of the study will also be interrogated.

The chapter will discuss different research methodologies and provide a rationale on the most suitable research method chosen. In this section, it will be imperative to also consider population size and sampling as well as some ethical considerations. The research design will be discussed and a justification for the use of a case study design will be elaborated. Furthermore, the limitations of the study will be assessed in order to explain the demarcation of the study and the challenges faced by the research. The chapter will clarify the key terms that are used throughout the thesis, in a bid to avoid any ambiguities or misunderstanding of the important terms and concepts. Lastly, the chapter provides a preliminary framework of the research. This is imperative as it provides a guideline on the topics covered in subsequent chapters of the research.

1.2. PURPOSE AND SIGNIFICANCE OF THE STUDY

Municipalities have, over the years, been characterised by serious difficulties which have led to the autonomy and legitimacy of the local sphere of government being questioned. In 2009 the Ministry of Cooperative

Governance and Traditional Affairs (CoGTA)¹ launched a comprehensive investigation on the rate at which municipalities respond to the service needs and aspirations of communities. This investigation led to a report titled *State of local government in South Africa* issued by Minister Sicelo Shiceka, which focused on inter alia: governance issues, service delivery and infrastructure, financial management and labour matters. Consequently, the report suggested the implementation of a turn-around strategy towards improving efficiency in municipalities. The report identified key priority areas for emphasis in the quest of local government towards addressing some of the developmental challenges facing communities. Amongst others, the challenges identified, include (State of local government in South Africa 2009:4):

- Huge service delivery backlog;
- Poor communication and accountability relationships with communities;
- Corruption and fraud;
- Political and administrative interface;
- Poor financial management;
- Service delivery protests; and
- Inadequate capacity of municipal officials.

Despite these efforts by the government, research conducted, including that by Alexander (2010), confirms that the state of local government in South Africa has further deteriorated and the intervention by CoGTA has had no significant effect on improving the situation. In 2014 the national government, through the CoGTA, launched another initiative, namely the “Back-to-Basics” strategy with the aim of determining the best standards of service delivery

¹ The Ministry of Cooperative Governance and Traditional Affairs (CoGTA) comprises two components. On the one hand it is comprised of the Department of Cooperative Governance (DCoG) which deals mainly with intergovernmental relations, namely issues concerning municipalities and provincial governments in their quest to provide effective and efficient service delivery. On the other hand, the Department of Traditional Affairs (DTA) primarily deals with the promotion of issues related to traditional leadership and practices. For the purpose of this thesis, reference will be made to the Ministry of Cooperative Governance and Traditional Affairs regardless of the origin of the source.

and strategies of addressing the contemporary challenges facing municipalities (Stone & Magubane 2014). The Back-to-Basics initiative (2014), launched by Minister Pravin Gordhan (CoGTA) in September 2014, is similar to its predecessor in that it also highlights important known features as its building blocks, including: good governance, financial management, institutional capacity and infrastructure services (Back-to-basics strategy 2014:10-12; State of local government in South Africa 2009:4). However, the Back-to-Basics initiative is more comprehensive as it also emphasises the aspect of intergovernmental relations. This is seen in Section 3 of *Back-to-Basics: serving communities better* (2014) that discusses, for example, the roles and responsibilities of each sphere of government. The central theme of the initiative as contained in Sections 3.1 and 3.2 of the Back-to-Basics document emphasises the support owed to the local government by the other two spheres, in ensuring efficiency in the governmental system.

The importance of the local government sphere cannot be disputed, especially the role of municipalities in promoting democracy in local communities. Municipalities are at the coalface of service delivery, which is why they are significant in improving the quality of lives of the communities under which they serve. This research investigates the decision-making ability of municipal councils in selected South African metropolitan municipalities. This will be done by assessing the effect that the municipal council has on the service delivery agenda that is expected to be implemented through the municipal administration. This is significant as municipalities in the recent past experienced different forms of civil disobedience which could arguably be attributed to the lack of capability by municipalities to respond adequately to the delivery needs for services from communities. For instance, for the year 2004 there were 10 protests countrywide and the number gradually increased on a year-on-year basis. In comparison with September 2015, the number of protests for the year 2015 was 129 (Municipal IQ 2015). This means that the number of protests increased by 119 in 2015 in comparison with 2004. The research aims to

determine whether municipal councils, as elected bodies, have an effect on the implementation of the policies formulated for the delivery of services by the executive departments of a municipality.

1.3. MOTIVATION FOR THE RESEARCH

Municipalities are crucial in determining the standard of living of the inhabitants of any country. As such, the services rendered by the local government sphere/level are essential to the livelihood of such communities. Service delivery in South Africa faces serious challenges, as citizens resort to protesting against the government in an attempt to solicit the delivery of services from the government, to which they consider themselves entitled in accordance with Section(s) 26; 27 and, to a lesser extent, Section 29 of the Constitution of the Republic of South Africa, 1996. Over the past years, since 2004, there has been an upward trend in the rate of public discontent (Alexander 2010:37; Municipal IQ 2015). This unhappiness arises from the expectation on the part of citizens of government intervention in the socio-economic situation of indigent South Africans. It is widely accepted by society that the apartheid regime created a legacy of an unequal society which unintentionally contributed to other social ills, such as poverty, unemployment and underdevelopment.

In a developmental state, such as South Africa, the local government sphere is faced with critical challenges that pertain to the provision of basic goods and delivery of services. Equally important as a sphere closest to people, the primary mandate of local government through its constituent municipalities is to promote and ensure an environment conducive to development. Hence the purpose of this research will be to investigate the roles and responsibilities of municipal councils in ensuring productivity in the administrative arm of the municipality. Effective and efficient service delivery has the potential to develop a society, thus municipal administration should be held accountable by the municipal council in order to ensure transparency regarding the quality of the services provided. This will create a mechanism for the constant

monitoring of progress and will eventually ensure improvement in the delivery of services.

The Municipal IQ (2015a) states that the metropolitan municipalities in Gauteng accounted for approximately 20% of the service delivery protests that occurred in South Africa. Thus, the primary focus of the research will be the municipalities in Gauteng. Only a single category of municipalities will be relevant to the study. Although a municipal council is a requirement for all categories of municipalities, the study will focus only on metropolitan municipalities, as the structure and composition of metropolitan municipalities differ from those of local and district municipalities. These metropolitan municipalities include:

- City of Tshwane Metropolitan Municipality;
- City of Ekurhuleni Metropolitan Municipality; and
- City of Johannesburg Metropolitan Municipality.

The Province of Gauteng is a complex environment with a heterogeneous population of 13 498 200, which comprised 24% of the total population of South Africa in 2015 (South Africa Yearbook 2015/16:6). Gauteng is the economic centre of South Africa and the continent, with a contribution of over 34% of the country's and 10% of the entire continent's gross domestic product (GDP) (South Africa Yearbook 2011/12: 8). Gauteng Province is South Africa's smallest province in terms of area, of only 18 178 km² and thus a population density of 743 persons per km² and yet it is the centre of knowledge in the country with many institutions of higher learning and research institutes (South Africa Yearbook 2013/14:6). In comparison, the Northern Cape, which is the largest province in South Africa and arguably bigger than Germany, with an area totalling 361 830 km² and the province with the smallest population in South Africa, with almost 1,1 million people i.e. 3,04 persons per km², has no major economic activities taking place (South Africa Yearbook 2011/12:12).

The importance of the proposed research stems from the fact that municipalities are charged with the responsibility of providing services to communities in a sustainable manner as mandated by Section 152(1)(b) of the Constitution, 1996. Thus, the failure to deliver services will impact on the community, especially the indigent, to an extent that the quality of their lives will degenerate. According to the Municipal IQ (2013), Gauteng had a 13% share of the total major service delivery-related protests in South Africa in 2012. In municipalities, legislative and executive authority is vested in the municipal council. The municipal council is a political structure composed of councillors who are ordinarily elected in accordance with Schedule 1 and 2 of the Local Government: Municipal Structures Act, 117 of 1998. Two kinds of councillors can be identified, i.e. ward councillor and proportional-representative councillor. Significantly, this research aims at an investigation to assess the importance of the relationship between the municipal council and municipal administration by specifically referring to the capacity of delivering the required services to communities. In essence, the functionality of a municipality depends on the decisions of elected members, which culminate in council resolutions or by-laws.

1.4. SURVEY OF THE LITERATURE

A comprehensive literature review of the study is provided in the following chapter. Preliminary research was conducted to assess if any research exists that is related to the investigation. This was undertaken through accessing the Networked Digital Library of Theses and Dissertations (NDLTD) and the South African National Electronic Theses and Dissertations (NETD). It was discovered that, prior research of masters' dissertations and/or doctoral theses had been conducted in the field of South African local government efficiency, however, none focused on the evaluation and examination of the decision-making function of metropolitan municipal councils. Although research does exist on the functioning of municipalities, e.g. Patience (2015), Maepa (2014), Sokhela (2006), there is no direct relationship between the proposed topic and the existing research. The only identified study that has a

link with the research is a completed Master's of Business Administration. The focus of that study, done in 2008, was on achieving operational efficiency. However, the study made an assumption that municipalities (local government) are not efficient and no appropriate evidence was produced to justify the argument. In addition, the research was not comprehensive as it focused on only one municipality and made a speculation that if operational efficiency could be achieved in Matjhabeng local municipality in the Free State Province, it would translate to achievability in all 278 municipalities (as in 2008) across the country. This viewpoint has in many ways disregarded the nature, character and complexities of municipalities in other categories. Furthermore, the research was not oriented towards Public Administration, but to Business Administration; hence it omitted to highlight significant aspects that concern the former. Consequently, the above study would not have any bearing whatsoever on this investigation.

Studies in local government and administration could be regarded as a broad sub-discipline of Public Administration. Scholars of the discipline have noted the importance of this sphere of government, hence the aim of this research, which is to mitigate some existing challenges that have a direct effect on the performance of municipalities. It appears that the research has not been undertaken by anyone previously, thus the anticipated findings are targeted at improving the delivery of services and also to create effective and efficient local government structures. Consequently, the research will make a contribution to the body of knowledge of Public Administration and Management, in particular local government and administration studies.

1.5. PROBLEM STATEMENT AND RESEARCH QUESTIONS

It is important to acknowledge local government as one of the spheres of government particularly tasked to provide basic services, such as water, electricity, refuse removal and sanitation. As stipulated in Section 40 of the Constitution, 1996, the three spheres are distinctive, interrelated and interdependent. This means that the local government sphere serves as a

critical point of coordination for the implementation of government policies and programmes. The local sphere of government is constituted of municipalities that are established across the entire territory of the Republic (section 151(1) of the Constitution, 1996). As a component within the three spheres of government, local government is expected to play a central role in achieving the goals of the government as directed by the policies advocated by the national and provincial spheres. According to the White Paper on Local Government (SA 1998:52), local government plays a significant role in that it serves as an extension of the other two spheres.

Municipalities as constituent units of local government are perceived as being ineffective and inefficient in their operations by most of those who participate in protests. These actions of discontent have been termed “service delivery protests” as a result of the nature of the action taken by the participants. During these protests, aggrieved inhabitants accuse municipalities of incompetence, among other things (South African Cities Network 2011:134). The proposed research is significant as it aims to create a model intended at improving efficiency and effectiveness by a municipal council to ensure easy coordination of policies and directives that will result in effective and efficient administration in a municipality.

The success of a municipality depends on the quality of the decisions made by its municipal council and the administrative capacity of the officials implementing the tasks mandated by that council. Thus, it is argued that the efficiency of the municipal administration depends on the efficiency of the municipal council. The efficiency of the municipal administration is a dependent variable and the efficiency of the municipal council an independent variable. Hence, the municipal council influences the municipal administration.

The research investigates the relationship between the municipal council and municipal administration to establish the council's effect on the administration of a municipality. Thus, this research will answer two research questions:

- What role do municipal councils play in ensuring effective and efficient service delivery plans or integrated development plans?
- To what extent are municipal councils significant role players in terms of influencing the implementation of decisions required for the administration of the delivery of services by municipal officials?

1.6. AIMS AND OBJECTIVES OF THE RESEARCH

The aims and objectives of the research are to examine the effectiveness of the local government sphere in South Africa. The legally appropriate execution of government policies and programmes relies on the local sphere of government to successfully implement it, as it is the sphere closest to the people. Thus the principle of subsidiarity applies. This research will focus on the functioning of the metropolitan municipal councils in the province of Gauteng and aims to:

- establish the role that the municipal council plays in ensuring effective and efficient service delivery plans;
- determine the extent to which the municipal council influences the implementation of decisions for effective administration of the delivery of services; and
- develop a framework that enhances the decision-making capability of the municipal council.

Through the proposed framework, the quality of decision-making by municipal councils could be improved. The findings of the research will be valuable as they will provide a solution to the developmental challenges with which municipalities are faced, in particular by addressing the relationship between the municipal council and its administrative component.

1.7. RESEARCH DESIGN

According to Kumar (2014:122), a research design is a detailed plan that explains how different methods and procedures should be applied during a research process to find answers to the research questions as validly, objectively, accurately and economically as possible. The purpose of a research design is to explain the approach that will be utilised in testing the problem statement of the thesis (Hofstee 2006:113). This is important as it will provide the basis essential for the research techniques to be utilised in the research. Hence the research design will provide a guiding framework for selecting the research methods to be adopted and utilised throughout this research work. According to Fouche and Schurink (2011:312), qualitative and quantitative research designs differ significantly, in that, on the one hand, the design of a quantitative research study determines the researcher's choices and actions. On the other hand, the researcher's choices and actions determine the research design or strategy in qualitative research. It is important to discuss the different research approaches which constitute a specific design, in order to provide a structured and systematic research study. The research design is influenced by two distinctive aspects, i.e. whether studies are empirical or non-empirical, which helps to guide the study in choosing the approach that better suits the methods of achieving the objectives of the research (Mouton 2001:144).

For the purposes of this research, four main approaches which are applicable for qualitative research will be discussed. They are phenomenology, ethnography, grounded theory and case study.

1.7.1. Phenomenology

Phenomenology is the research design that assists in studying and reporting the description of the meaning as interpreted by several individuals concerning their lived experienced of a particular phenomenon (Creswell 2007:57). Primarily when utilising a phenomenological design, it is important to focus on a specific common phenomenon and interpret its occurrence in

accordance with how all the participants understand and experience it. For instance, if research that aims at investigating whether people with insomnia make effective municipal managers is conducted, the common phenomenon will be insomnia. Phenomenology in this regard will assist by describing how all the participants of such a research, i.e. insomniac municipal managers, experience such a phenomenon (insomnia) and how it affects their work performance. According to Holstein and Gubrium (1994:263), phenomenology has become a foundation for the qualitative study of reality-constituting practices as it focuses on the ways in which ordinary members of society constitute and reconstitute their worldview of everyday life. Phenomenology is essential when several individuals are investigated in relation to a specific phenomenon, thus the research, on which this thesis is based, focuses on an institution, i.e. the municipal council, and not on individuals in an institution.

1.7.2. Ethnography

Similar to phenomenology, the ethnographic design concerns the research that aims at studying culture, particularly describing and interpreting attitudes, beliefs and values as practised by individuals (Nieuwenhuis & Smit 2012:127). These individuals are members of a specific community in a particular environment. Creswell (2007:68) posits that as a qualitative research design, ethnography assists in determining the shared and learned patterns of the values and behaviours of a culture-sharing group. The ethnographic research design is justified by the need to understand the social, cultural and political structures in place that affect the lives of the participants. Consequently, its significance lies in acquiring enough insight into what to provide as an intervention in order to maximise their potential (Nieuwenhuis & Smit 2012:128).

Therefore, ethnography is useful for understanding specific aspects that relate to the social and cultural traits of a community. Consequently, the problem statement of this research suggests that little information, or even

information that is not meaningful towards the study on a municipal council and its role, will be collated if this design were to be used, as it emphasises the importance of culture above all other aspects, such as the rules, codes and regulations that might guide the actions of a municipal council. As can be seen in Table 1.1, the purpose of the ethnographic research design is to describe the methods of operation of a culture-sharing group; yet a municipal council cannot be described as a culture-sharing group, because it is established and guided by legislation. Municipal councils are not like a typical culture-sharing group, because they require formal codes to regulate the behaviour of individuals.

1.7.3. Grounded theory

Although both phenomenology and ethnography emphasise the experiences of individuals in a particular setting, grounded theory moves beyond the description of such experiences. Creswell (2007:62-63) argues that grounded theory pertains to a research design that aims at generating or discovering a theory in order to help better explain the practice exhibited by the research participants. Grounded theory research design departs from the premise that theory is developed from the data that is gathered from the experiences of the individuals in the activities within which they participate (Nieuwenhuis 2007:77). This means that the theory is derived from the study of the phenomenon it represents, which is discovered, developed and provisionally verified through a systematic collection of data related to such a phenomenon.

It could be argued, therefore, that grounded theory has strong traits of a qualitative research method as it emphasises the generation of theory, thereby promoting inductive reasoning as explained in Table 1.2. Although theory will be developed emanating from this research work, it is necessary to assess the essence of grounded theory in this research project. The aim of the research is to determine the role of municipal councils and their influence in the delivery of services to communities and the extent to which such

councils affect the plans that guide an administration in delivering its mandate. Therefore, as illustrated in Table 1.1, grounded theory would not be the most appropriate research design to adopt in achieving the objectives of this research as it emphasises the generation of theory, rather than the provision of a detailed analysis of cases.

1.7.4. Case study

The research design that will be highlighted and adopted in this thesis is the case study research design. It is significant to elaborate the notion that case study could be construed to have multiple meanings, i.e. the description of a unit of analysis or research design (Nieuwenhuis 2007:75). According to Stake (1994:236), a case study cannot be described as a methodological choice, but rather a choice of the object to be studied. Thus, a case study could be qualitative, quantitative, or a combination of the two. Hence, the case study research design should not be confused with doing the “field-work” as in ethnography and phenomenology (Yin 2014:15). In this section the use of the case study will be articulated.

Case study, as a research design, could be defined as an empirical inquiry that investigates a contemporary phenomenon in-depth and within its real-world context, especially when the boundaries between the phenomenon and the context may not be clearly evident (Yin 2014:16). Merriam (1988:6) contends that a case study is a research design that could be used to investigate a phenomenon systematically. Thus, it provides a plan for assembling, organising and integrating information and this consequently leads to a sequential presentation of research findings. Case study is a research design that explores an issue through one or more cases within a bounded system (Creswell 2007:73).

Therefore, it could be deduced from the above definitions that a case study is a research design that relies on a specific unit of analysis in pursuit of understanding a phenomenon comprehensively within a particular context.

On the one hand, Nieuwenhuis (2007:76) notes that the prominent strength of the case study design is the utilisation of multiple sources and techniques at the disposal of researchers in the data gathering process. On the other hand, Bryman (2012:69-70) suggests that in as much as a case study could be reliable and valid, an individual case cannot be regarded purely as a sample of another, meaning that it might not easily be replicated. For the purpose of this research, the three metropolitan municipal councils in Gauteng, i.e. the municipal councils in the City of Tshwane, City of Ekurhuleni and City of Johannesburg, will serve as the unit of analysis (multiple cases).

Case studies can be narrowed further. Both single and multiple case designs can be identified. As in the name, a single case refers to a case study relating to only one unit of analysis being utilised. In contrast, a multiple case connotes case study research that uses two or more case studies as units of analysis. Yin (2014:64) posits that having more than one case study may be more substantial in examining a phenomenon, as single case studies tend to become vulnerable because the findings will rely on only one unit. This research focuses on multiple case studies, i.e. councils in the three metropolitan municipalities in Gauteng Province. Moreover, single case studies create suspicion of the researcher's ability to conduct empirical research. Hence using a multiple case study approach will emphasise the capability of the researcher to conduct an empirical research study and further provide the researcher with an opportunity to present a variety of findings which could be compared and cross-checked for future improvement.

The most important components of a case study research design are guided by particular characteristics associated with qualitative research designs. In terms of Table 1.1, the identified characteristics are the focus of the research design, the type of problem, the unit of analysis and the format of a written report. Upon closer inspection of Table 1.1, it can be deduced that the focus

of a case study research design is to develop an in-depth description and analysis of a case or multiple cases. Thus, in comparison with phenomenology, ethnography and grounded theory, a case study research design is the only design that emphasises “in-depth description and analysis” which is in line with the primary purpose of this research. Furthermore, it provides an in-depth understanding of cases by studying the event or an activity by more than one individual in order to develop a detailed analysis of cases.

Table 1.1 Contrasting characteristics of selected qualitative research designs

Characteristics	Phenomenology	Ethnography	Grounded theory	Case study
Focus	Understanding the essence of the experience	Describing and interpreting a culture-sharing group	Developing a theory grounded in data from the field	Developing an in-depth description and analysis of a case or multiple cases
Type of problem best suited for design	Needing to describe the essence of a lived phenomenon	Describing, interpreting shared patterns of culture of a group	Grounding a theory in the views of participants	Providing an in-depth understanding of a case or cases
Unit of analysis	Studying several individuals that have shared the experience	Studying the group that shares the same culture	Studying a process, action or interaction involving many individuals	Studying an event, a programme, an activity, more than one individual
Written report	Describing the essence of the experience	Describing how culture-sharing group works	Generating a theory illustrated in a figure	Developing a detailed analysis one or more cases

Source: Adapted from Creswell (2007:78-80)

1.8. RESEARCH METHODS

In any scientific inquiry, researchers rely on information and data in an effort to address a particular problem. Thus, the quest of Public Administration studies is to ensure the efficient and effective provision of public services. Throughout this quest, researchers in the field and responsible officials need to know the number of people to be catered for, the location, and the means to be utilised to deliver services in order to be able to make effective administrative decisions (O'Sullivan, Rassel & Berner 2010:1). Therefore, this study will also follow the same convention of utilising research methods to gather relevant data and information in order to ascertain the subject matter, i.e. to arrive at a specific conclusion. The primary goal of any research project is to develop solutions to a problem. As such, it is imperative for researchers to establish a dialogue and discuss the problem and the methods aimed at solving it. It is critical to note that the problem statement would naturally guide the methods to be adopted in a research project. Therefore, this section will discuss the pragmatic arrangements on how data will be obtained and the methods to be used to successfully complete the research project.

According to Kumar (2005:20), the topical nature of the research determines the kind of method to be utilised. Thus the methodological approach and design are determined by specific qualities of the object or objects of study (Danermark, Ektrom, Jakobsson & Kardsson 2002:150). The discipline of Public Administration falls under the social sciences cluster and as such the discipline has a variety of research methods to utilise. However, according to Neuman (1997:329), the relevance of a qualitative research method in Public Administration could be emphasised as this method presents data in the form of words from documents, observations and transcripts. Hence the discipline mostly utilises non-experimental or quasi-experimental research as opposed to purely experimental research where control is predominantly applied when investigating cause-and-effect relationships. With the usage of non-

experimental research, often referred to as descriptive research, the examination of events and phenomena is conducted in such a manner that does not compromise or manipulate the potential causes of behaviour (Merriam 1988:7). Both experimental and non-experimental research can be undertaken using the qualitative method, quantitative method or mixed method approach, depending on the nature and purpose of the research as shaped by the problem statement. Therefore, the following section will discuss the existing types of research methods and emphasise the method that is applicable to a case study research design.

1.8.1. Different types of research methods

This section explains the different research methods that could be associated with a social science discipline such as Public Administration. It will further be explained how to choose a research method that would be suitable for the proposed research, and highlight its advantages and disadvantages. It is imperative to note that a research question could result in either a quantitative or qualitative response.

1.8.1.1. Quantitative research

Quantitative research refers to a process that is systematic and objective in its use of numerical data from only a selected subgroup of a population in order to generalise the findings to the population that is being studied (Maree & Pietersen 2007:145). Bryman (2012:35) defines quantitative research as a research strategy that emphasises the quantification in the collection and analysis of data. According to Leedy (1993:143), the quantitative method manipulates variables in order to control natural phenomena by constructing hypotheses and testing them against the facts of reality. Therefore, it could be considered that the significance of quantitative research lies in its use of numbers in quantifying the manner in which data is collated in a research project.

Quantitative research methodology is often identified as an approach that mainly applies to the natural sciences. This is because of the positivist nature of the natural science disciplines (Bryman 1984:77). Kumar (2014:14) asserts that the quantitative approach is rooted in the philosophy of rationalism, hence the quantitative research method ordinarily follows inter alia a rigid, structured and predetermined set of procedures to explore, thereby emphasising the validity and reliability of the findings and drawing conclusions that can be generalised. The qualitative research method could as well be applied in the social sciences through a questionnaire, depending on the research question, as an instrument of data collection. Quantitative research methods are not useful for obtaining detailed information about the context in which events or behaviours occur, hence in Public Administration the quantitative method is not favourable as it does not allow flexibility in the type of data obtained from dynamic cases associated with the discipline (O'Sullivan et al. 2010:38-39). In essence, three aspects are pivotal in determining the relevance of using a quantitative research method. They include; rationality of the research, quantifying the research and generalising the research outcomes.

1.8.1.2. Qualitative research

According to Denzin and Lincoln (1994:2), qualitative research can be described as research that assists researchers in studying a subject matter in its natural settings in an effort to make sense of, or interpret, phenomena in terms of the meanings people bring to them. Thus, the qualitative research method is a broad approach to the study of social phenomena (Marshall & Rossman 2006:2). In augmenting the above definition, Nieuwenhuis and Smit (2012:126) describe qualitative research as being concerned with understanding the processes and the socio-cultural contexts which influence various behavioural patterns. O'Sullivan et al. (2010:39) argue that qualitative research produces data that is difficult or impossible to convert to numbers. Bryman (1984:78) postulates that a qualitative research method is deemed to be much more flexible, as compared to a quantitative approach. Thus, a

qualitative approach emphasises the discovery of new and unanticipated findings. This is crucial towards a contribution to the body of knowledge on a specific topic. Therefore, it could be concluded that the purpose of using qualitative methods in a research project is primarily based on the notion of acquiring as much in-depth, detailed data as possible.

A qualitative research method is mostly utilised in order to understand complex situations. This research method is used to answer questions about the complex nature of phenomena, to describe and understand the phenomena under investigation (Fouche & Delport 2011:64). Babbie (2008:25) argues that qualitative research methods are useful in the social sciences as they provide data that is richer in meaning and detail than a quantitative method in which data is essentially numerical.

1.8.1.3. Mixed method approach

In social sciences the use of the mixed method approach is common. This is a practice where qualitative research methods are used in collaboration with the quantitative methods in order to collect, interpret and justify data concerning a complex phenomenon. This type of research method focuses on the collection, analysis and mixture of both the quantitative and qualitative data in a single study or a series of studies (Creswell & Plano-Clark 2007:5). It could be argued that the purpose of the mixed method is to comprehensively analyse data, thereby considering the strengths and weaknesses of both the quantitative and qualitative data with a view to determine a research project that is accurately balanced. Creswell and Miller (2000:126) note triangulation as a popular mixed method approach, where researchers often search for convergence among multiple and different sources of data to form categories in a research project. Bryman (2012:628) acknowledges that for the optimum usage of a mixed method, the methods of data collection should be mutually balanced in order to avoid using them in tandem.

1.8.2. Contrast between quantitative and qualitative

The distinction between qualitative and quantitative research is necessary as it determines the advantages and disadvantages of both research methods by juxtaposing between the two methods. The theoretical disposition of a field of study determines the posturing of the research methods to be adopted. Thus, the perspective within which the two research methods can fundamentally be distinguished, rests upon, the theoretical, epistemological and ontological orientations of a specific discipline. Table 1.2 provides an explanation of the difference between qualitative and quantitative research, in respect of the abovementioned three orientations.

Table 1.2 Difference between quantitative and qualitative research methods

Orientation	Quantitative	Qualitative
Principal orientation to the role of theory in relation to research	Deductive reasoning; testing of theory	Inductive reasoning; generation of theory
Epistemological orientation	Natural science model (Positivism)	Interpretivism
Ontological orientation	Objectivism	Constructionism

Source: Adapted from Bryman (2012:36)

According to Table 1.2, it is obvious that the variables that determine whether quantitative research or qualitative research or even a mixed method approach should be applied, concern the orientation, namely; theoretical, epistemological and ontological. Therefore, Table 1.2 explains the fundamental differences between quantitative and qualitative methods and provides an indication of when to use either qualitative or quantitative research. For the purpose of simplifying Table 1.2, it is imperative to define and explain some concepts that are associated with both research methods.

1.8.2.1. Deductive reasoning

Deductive reasoning concerns the common view about the nature of the relationship between theory and social research. Thus, on the basis of what is known about a particular domain, the researcher identifies a hypothesis that should be subjected to empirical scrutiny (Bryman 2012:24). This relates to the testing of theory to arrive at specific findings or observations about the theory.

1.8.2.2. Inductive reasoning

Inductive reasoning relates to the drawing of generalizable inferences from observations, i.e. the theory is an outcome of the research. Through inductive reasoning, researchers infer the implications of their findings to the theory that is associated with a specific domain (Bryman 2001:9).

1.8.2.3. Positivism

Positivism refers to the argument that there is a reality that requires to be studied, captured and understood or even predicted (Denzin & Lincoln 1994:5). In the context of the social sciences, positivism relates to the combination of deductive logic with precise empirical observations of individual behaviour in order to discover and confirm a set of probabilities that causes a phenomenon under investigation to occur (Neuman 2014:97). Bryman (2012:28) asserts positivism as an epistemological position that advocates the application of the methods of the natural sciences to the study of social reality. Thus, positivism relates to the scientific approach that is logical and rational towards an understanding of human beings and the environment surrounding them. Positivism appreciates the orthodoxy of realism and objectivism.

1.8.2.4. Interpretivism

Interpretivism is a contrasting ideology to positivism. Interpretivism asserts a notion that the subject matter of the social sciences is fundamentally different from that of the natural sciences. The concept relates to the understanding of

a phenomenon and the interpretation of its intended meaning (Nieuwenhuis 2007:59). Thus, interpretivism is based upon the understanding of phenomena through the meanings that people assign. The concept concerns the strategy for acknowledging the differences between people and the objects of the natural sciences in order to allow the researcher to comprehend the subjective meaning of social action (Bryman 2012:30). The aspects of both hermeneutics and phenomenology are inherent within the construct of interpretivism.

1.8.2.5. Objectivism

Objectivism asserts that social phenomena and their meanings have an existence that is independent of social actors. This means that a social entity is considered objective irrespective of external factors (Bryman 2001:17).

1.8.2.6. Constructionism

Constructionism is a paradigm that identifies social actors as imperative elements of developing social phenomena through actions and perceptions. According to Creswell (2007:20), constructionism is concerned with the idea that social actors endeavour to understand the world in which they live and work. Consequently, this makes them develop subjective meanings of their experiences towards a particular phenomenon. Through this perspective, the researcher always presents a specific version of social reality, rather than one that can be regarded as definitive (Bryman 2012:33). This means that social phenomena are not stagnant but in a constant state of revision.

It could be argued that the qualitative research method is more essential to social research than the quantitative method. Social research occurs when the researcher aims at obtaining a thorough understanding of social phenomena. In the case of this research, the researcher strives to understand the relationship between the municipal council and administration in the quest to ensure effective and efficient service delivery. The disposition of this research could be associated with inductive reasoning, i.e. generation

of theory, interpretivism, and constructionism. For the purpose of this study, a qualitative research method is more suitable to achieve the research objectives of the study.

1.8.3. Population size and sampling

The study is targeted at the three metropolitan municipalities in the Gauteng Province of the Republic of South Africa. The target population of the study will be the municipal councils of the City of Johannesburg Metropolitan Municipality, City of Tshwane Metropolitan Municipality and the City of Ekurhuleni Metropolitan Municipality. The research will utilise documentary review as the instruments of data collection. Data will be collected from a review of official documents, e.g. the Integrated Development Plan (IDP), Service Delivery and Budget Implementation Plan (SDBIP), annual reports, council resolutions (minutes of council meetings), Auditor-General's reports and the various related documents. Through non-participant observation in the council meetings and the review of documents, such as council resolutions contained in minutes and registers, the researcher will be able to solicit in-depth data in relation to the functioning of the municipality, i.e. its officials and political structures, in rendering services to their respective communities.

This thesis is an empirical study as it uses the case study research design in addressing the research question. Mouton (2001:104) notes that through non-participant observation, data could be collected in various forms, i.e. observation, self-reporting, and through documentary sources. The instrument to be employed for data collection is a self-report schedule that will include themes highlighted to be acknowledged when attending council and standing committee meetings.

1.8.4. Data collection technique

Both primary and secondary sources for data collection will be used. In terms of collecting data through the primary sources, non-participant observation will be applied in order to draw conclusions from observing and listening to the activities taking place in municipal council meetings. Non-participant observation is described as a method of data collection which regards the researcher as a passive observer in pursuit of an investigation of phenomena (Kumar 2014:174). In this case, the researcher is not actively involved in the activities, but acts passively as an observer. Kumar (2014:173) argues that observation is a key method of data collection as it provides for a purposeful, systematic and selective way of observing and listening to a discussion or debate (phenomenon) as it takes place and could allow for the conditions to be either natural or controlled. Therefore, the non-participant observation in municipal council meetings will be conducted under natural conditions, i.e. the council meeting taking place which is open to ordinary people (public) to observe its proceedings. The researcher intends to observe two council meetings in each metropolitan municipality in the period June 2016 – April 2017. Through these, it is expected that the researcher will be better positioned to observe the processes followed when the executive mayors make recommendations to council to decide on the passing of by-laws, approving a budget and Integrated Development Plans and appointing senior municipal officials.

The rationale for using the secondary sources as a means through which data can be collected rests mostly upon the reliance of the thesis on official documents. Secondary sources refer to the documented research conducted by previous researchers, i.e. census, IDPs, Auditor-General report and studies conducted by municipalities and other stakeholders. Table 1.3 provides an illustration of the strengths and weaknesses of selected data collection techniques. As this thesis will utilise documentary review and non-participant observation, emphasis will be put on both the strengths and weaknesses of the two, i.e. documentation and direct observation.

Table 1.3 Strengths and weaknesses of selected data collection techniques

Technique	Strengths	Weaknesses
Documentation	<ul style="list-style-type: none"> • Stable: can be reviewed repeatedly • Specific: can contain the exact names, references and details of the event • Broad: can cover a long span of time, many events and settings 	<ul style="list-style-type: none"> • Retrievability: can be difficult to find • Biased selectivity: if collection is incomplete • Reporting bias: reflects unknown bias of any given document's author • Access: may be deliberately withheld
interviews	<ul style="list-style-type: none"> • Targeted: focuses directly on case study topics • Insightful: provides explanations and personal views (perceptions, attitudes, meanings) 	<ul style="list-style-type: none"> • Bias due to poorly articulated questions • Response bias • Inaccuracies due to poor recall • Reflexivity: interviewee gives what the interviewer wants to hear
Direct observation	<ul style="list-style-type: none"> • Immediacy: covers actions in real time • Contextual: can cover context of the case 	<ul style="list-style-type: none"> • Time-consuming • Selectivity: broad coverage difficult without a team of observers • Reflexivity: actions may proceed differently because they are being observed • Cost: hours needed by human observers (payment to observers for time spent)
Participant/ non-participant observation	<ul style="list-style-type: none"> • Same as above for direct observation • Insightful into interpersonal behaviour and motives 	<ul style="list-style-type: none"> • Same as above for direct observation • Bias due to participant-observer's manipulation of events

Source: Adapted from Yin (2014:106)

The advantage of using documentation in a case study research design is that, the documentary sources such as the Integrated Development Plan, Auditor-General's reports, Service Delivery and Budget Implementation Plan, the municipal budget and council resolutions tend to be reliable. Such sources are factual, rigid and specific. However, the challenges of documentation can be related to the difficulty of retrieving such documents, access to the documents and reporting bias by the author of such documents. The second technique to be employed in this research is non-participation observation or direct observation. Direct observation enables the researcher to cover the action in real time. It is more reliable than other approaches as the researcher is an observer in the process of determining an understanding of the studied phenomena in a case. Direct observation in council meetings would solicit data that might not necessarily be accessible through documentary sources, but highlighted and discussed only in those sessions being observed.

If this study followed a phenomenological or ethnographic research design, the usage of interviews would have proved to be essential. Interviews would have been more appropriate as they would provide explanations and personal views such as perceptions, attitudes and understanding of the participants. However, the challenge with interviews in case study design is that they promote reflexivity such that the interviewee gives what the interviewer wants to hear and not necessarily the objective reality. The nature of this research would have encountered such reflexivity, because a municipal council is primarily a political institution and councillors may want to be politically correct at all costs. This means that the councillors would in all likelihood provide a biased response to questions asked regarding issues which might have a negative effect on the image of the particular political party.

1.8.5. Ethical considerations

Both positivist and interpretivist researchers face ethical dilemmas when undertaking research. Therefore, necessary precaution needs to be taken into account in order to avoid prejudice regarding the objects of the research. This is crucial as the reliability and validity of the results of any research depend upon the action directed at the objects when undertaking research. Particularly pertaining to research in the social sciences, human beings are mostly utilised as the objects of the study and this brings with it unique ethical challenges (Strydom 2011:113). Thus, it is imperative to obtain informed consent prior to conducting research. For the purpose of this study, human beings will not be utilised as the participants, however, the study will rely on published and unpublished official documents as well as council resolutions passed at municipal council meetings. Therefore, the pursuit of this study does not compromise any person, especially through the manner in which the data is obtained.

1.9. LIMITATIONS OF THE STUDY

Due to the nature of the study, limitations that might occur include, time and resources. The study will require the researcher to attend council meetings in order to successfully observe the processes of council meetings, similarities and differences of how councils conduct their meetings. The time frame within which the proposed empirical research is planned could be limited, as the programmes of the municipal councils could be conducted parallel, i.e. meetings taking place simultaneously. As such it would be critical for the researcher to be flexible and quickly adapt to any sudden changes. The researcher will mostly have to consult the council resolutions, minutes and then relate them to the planning of the respective municipalities and their performance regarding the efficiency and effectiveness of service delivery. Due to limited resources, the study will only focus on the three metropolitan municipalities in Gauteng, however acknowledging that there are eight metropolitan, 44 district and 205 local municipalities in South Africa. Hence the results of the study can only be assumed to be the state of affairs in

municipalities with similar characteristics. The scope of the study will be limited to the current metropolitan municipalities in Gauteng, i.e. Tshwane, Ekurhuleni and Johannesburg. The research has acknowledged the possible changes that could be effected in future relating to re-demarcations of municipalities occurring before municipal elections conducted every five years.

In August 2015 the Municipal Demarcation Board (MDB) proposed the creation of an additional metropolitan municipality in Gauteng. The proposed metropolitan municipality was to be achieved by disestablishing some local municipalities, incorporating others into existing metropolitan municipalities and merging some local municipalities (SA Local Government Research Centre 2015:20). As a result, currently there are feasibility studies being undertaken to determine the possibility of such a change. Notwithstanding the possible future changes, this study focuses on the existing three metropolitan municipalities in Gauteng, i.e. City of Ekurhuleni Metropolitan, City of Johannesburg Metropolitan and the City of Tshwane Metropolitan municipalities as they existed at the stage that this research was conducted.

1.10. CLARIFICATION OF TERMS AND CONCEPTS

Research is founded on specific scholarly terminology and discipline; hence it is imperative to create a bridge in order to allow for a common understanding and comprehension. This section will highlight the terms and concepts that form the basis for the research. This will avoid ambiguities and obscurities regarding the essential characteristics of the phenomena being studied.

1.10.1 Public Administration

The concept public administration is two-fold, i.e. Public Administration as an academic discipline, and public administration as an activity. Public Administration, written with upper case P and A, is an academic discipline within which governmental functions and activities are studied. Public

Administration is aimed at solving particular problems that relate to the ability of government to efficiently achieve its objectives through the maximum utilisation of resources by its officials (Shafritz & Hyde 2007:50).

1.10.2. Public administration

Public administration, written in lower case, refers to an activity that forms a practical base for the study of Public Administration. In essence, public administration is considered to be the activity for which procedures are followed and functions performed to ensure that a particular service is delivered. Fox and Meyer (1995:105) define public administration as the functioning of inter alia the executive branch of government, the public service and officials, which are charged with the task of formulating, implementing, evaluating and modifying government policies. The concept 'administration' originates from the Latin *administrare*, meaning to serve, thus the activity of public administration is concerned with the provision of the required services with the most effective usage of resources.

1.10.3. Local government

The definition of local government has two facets, i.e. the first relating the concept to the authority responsible for local government and the other denoting a geographical area that is occupied by residents who receive (or at least expect to receive) basic and other non-essential services. For the purpose of this research, local government could be referred to as the local sphere of government as constituted in Section 151 of the Constitution, 1996 and is expected to discharge the services outlined in Schedule 4B and 5B of the Constitution, 1996.

1.10.4. Municipality

The *Concise Oxford Dictionary* (1995:895) defines the word "municipality" in two ways, i.e. as a demarcated geographic area, and as the governing body responsible for an area. However, the two descriptions are inextricably linked. As a geographic area, municipality refers to a town or district that has

been demarcated and its size can be measured in terms of the land area it occupies. As a governing body, the concept refers to the social entity (juristic person) that holds the authority to making, implementing and adjudicating law in a specific jurisdiction on the basis of agreement and representation. Municipality could also refer to the employees who sell their service for remuneration to a social entity. For the purpose of this thesis, municipality adopts the meaning of a geographic area. Where reference is made to the governing body or employees, it will be articulated as a municipal council and municipal officials, respectively.

1.10.5. Municipal council

Municipal council refers to a governing body of the municipality with both the executive and legislative authority in an area of jurisdiction. This is an elected body of representatives forming the final decision-making authority of a municipality. Members may be elected directly by the electorate of a municipality or assigned by a political party or association from the party list, according to the number of votes obtained by the party (Thornhill & Cloete 2014:58). A municipal council is naturally a political structure and it consists of a specific number of councillors responsible for the executive and law-making functions of a municipality.

1.10.6. Councillor

According to the *Concise Oxford Dictionary* (1995:304), the word “councillor” refers to an elected member of a council in a municipality. Eligible residents are elected to serve on the municipal council to represent the interest of their constituencies. Their main responsibility is to ensure that the needs and aspirations of their constituencies are properly addressed. In South Africa, municipal councillors are elected in accordance with Schedules 1 and 2 of the Municipal Structures Act, 1998.

1.10.7. Constituency

Constituency is defined as a group of voters in a specific area who elect a representative to a legislative body (*Concise Oxford Dictionary* 1995:286). Therefore, this implies that the representatives in the legislature are elected to represent the interests of the people in the areas from which they were elected. The word constituency is derived from constituent, which according to the *Concise Oxford Dictionary* (1995:286) means a component part of an object. The term is derived from the Latin word, *constituens*, which means to make up or compose an object.

1.10.8. Efficiency

As a reliable measure of performance, operational efficiency utilises a combination of both the technical and economic aspects to focus on input/output, in order to achieve the predetermined objectives with the limited resources available (Balogun 1983:208). Kakumba (2008:24) defines efficiency as an element that relates to achieving maximum output from a given number of resources used. For the purpose of the research, efficiency will be used to refer to a relative measure of the relationship between resource use and results, i.e. input vis-à-vis output. Simply put, it refers to the excellent performance of a task within a stipulated timeframe in the cheapest possible manner.

1.10.9. Effectiveness

Effectiveness could be defined as the extent to which an organisation is successful in producing the desired results or objectives (*Concise Oxford Dictionary* 1995:432). In public administration, the concept *effectiveness* or *organisational effectiveness* denotes an ideal situation where an organisation uses a finite number of resources and is able to achieve the stated objectives as measured by a given set of criteria (Fox & Meyer 1995:41). Thus, the effectiveness of an organisation is determined by the ability to formulate policies and deliver goods and services for which the organisation was created.

1.10.10. Decision-making

According to Shafritz (2004:85), decision-making can be defined as a complex process of selecting the most desirable course of action from among the various alternatives. Thus it involves a conscious activity that analyses information in a bid to provide solutions in order to address a specific phenomenon by discernment.

1.10.11. Service delivery

Service delivery refers to the collective goods and services which the government provides, or is expected to provide, to its inhabitants as regulated by public policies and legislation. Hemson, Carter and Karuri-Sebina (2009:156) define service delivery as the end product of a series of policies and actions involving government plans and budget. For the purpose of this research, the term service delivery will be used to denote the goods and services that the government is expected to provide in ensuring that the sustainable livelihoods of its citizens are maintained.

1.11. PRELIMINARY FRAMEWORK OF THE RESEARCH

The thesis will consist of six chapters divided in a logical format. Chapter one provides a general introduction and background to the study. Beyond that, the chapter will emphasise the research methods and design. More importantly, an explanation of a variety of the available research methods and designs is provided. This is crucial, because research methods are the most important components of research, as they are intended to answer the “how?” question in research. To answer the research question, relevant methods that are to be applied in the research project will be provided. A discussion on aspects such as, target population size, data, documentary sources and sampling which are utilized for the research will be explained in order to create a structured research design. The chapter also provides a structural framework for the thesis to ensure logical arguments throughout the thesis.

Chapter two will provide a literature review of Public Administration as a discipline. This survey will assist in explaining the origin of the discipline and its evolution since its inception. Further to this, the survey of the literature will assess the contribution made by various scholars to the discipline, thereby creating a link between the research topic and the academic discipline. With the literature review chapter, gaps within issues related to the study will be identified. The research will explore how it intends to address such gaps.

Best practice and international experience will be explained and evidence through benchmarking will be provided. In chapter three, a review of literature that concerns municipal excellence in the provision of services will be made. This will provide further evidence of the importance of the contribution to the discipline. In this chapter, the global development and regional trends in the functioning of local government authorities are discussed. The aim is to create a benchmark against which South African municipal councils can be measured. This is important since the challenges, such as urbanisation, faced by local government in South Africa are not unique to the country.

The purpose of chapter four is to provide a review of the subject matter of this research. An investigation into the structure and system, composition and functioning of the metropolitan municipal councils and their relations to the municipal administration in South Africa will be provided through an empirical analysis. The locus of the subject will also be highlighted. The local sphere of government will be investigated and its situational analysis provided. The discussion in this chapter will then highlight the discourse on the importance of promoting an effective system in the quest to provide municipal services.

Chapter five is an analysis and interpretation of the variables that influence decision-making in municipal councils. This chapter follows after the empirical study has been conducted, i.e. the target population has been

observed through non-participant observation and documentary sources have been reviewed. Consequently, the chapter will assess the challenges that confront the local government sphere in its pursuit to provide services to communities in a regular and sustainable manner.

Chapter six will conclude the study. The chapter will provide a brief outline of what the intention of the research was and whether the study succeeded in addressing the research questions, through dialogue and discussion. Recommendations will also be provided. This is crucial as some of the recommendations could lead to suggested further research themes in the sub-discipline of Local Government and Administration. In this chapter, a framework for effective decision-making by the municipal council to give effect to the delivery of services will be proposed.

Therefore the outline of the research will be as follows:

Chapter 1: General introduction and methodological framework of the research

Chapter 2: Theoretical constructs in Public Administration

Chapter 3: Role and functions of municipalities and international experience of local government authorities

Chapter 4: System of local government in South Africa

Chapter 5: Analysis and interpretation: factors influencing decision-making in municipal councils

Chapter 6: Findings, recommendations and general conclusion

1.12. CONCLUSION

The purpose of chapter one was to provide a general overview of the research and thesis. The chapter encapsulated the background to the research and further provided an explanation of the methods explored in pursuit of addressing the research questions. Thus, the fundamental aspects that are associated with social sciences research were explored. This chapter began by providing a description and an explanation of the purpose

and significance of the study. This explained the importance of the quest for such a research study in South Africa. The second aspect that was highlighted in the chapter was the motivation for the research. Through the motivation, it was possible to justify the need for research that focuses on municipal councils in Gauteng. In particular, the emphasis was on providing the rationale for investigating three municipal councils in Gauteng. The preliminary survey of the literature was also highlighted. Furthermore, the third section discussed the problem statement, thereby providing guidance on the choice of the research design and methods from the available alternatives.

Fourthly, the aims and objectives of the research were also deliberated upon, in order to provide some clarity of thought that propelled the need for this study. The research design was also discussed in the fifth section. Throughout this discussion, phenomenology, ethnography, grounded theory and case study research designs, which are deemed to be the main types of qualitative research designs, were elaborated. Furthermore, the choice of the case study as a design that this research adopted was also explained in this section. In the sixth section the different types of research methods were deliberated. In this section, a discussion on the merits and demerits of the qualitative research method, quantitative research method and mixed-method approach were engaged. The seventh section focussed on the challenges that pose limitations to the research. The terminology that is used in the research report was also explained in the subsequent section. This is important as the clarification of key terms helps to demystify some concepts and create a common understanding of the scholarly and some discipline-specific terms. Finally, the chapter discussed the preliminary framework of the research report. This was done by sequentially explaining how the entire report would be composed.

CHAPTER 2: THEORETICAL CONSTRUCTS IN PUBLIC ADMINISTRATION

2.1. INTRODUCTION

The activity of public administration is probably as old as human civilisation itself. Public administration represents a function wherein organised people work together to achieve a predetermined objective. Public administration can be defined as either an academic discipline or a practical activity. In this chapter, the subject matter of public administration will be engaged, thereby developing the body of knowledge of the discipline. The purpose of a literature review is to create a systemic alignment of the discourse in ensuring that a contribution is made in explaining the notion of the identity of public administration. Consequently, the literature review will align with the objectives which this research project intends to achieve. Thus, the subfield or category of local government will be explained.

Hofstee (2006:91) denotes that a literature review is an important section of any research, as it provides a theoretical basis for the research project. Thus, for the purpose of research, it is important to provide a survey of the field of study in order to provide a clear framework to enable the research to align with what has been presented in the discipline. Hence, its imperativeness lies in the notion of it being the mechanism to assist in identifying the gaps in the academic discipline and exploring how those gaps could be addressed. The objective of this literature review is to contribute to the body of knowledge of Public Administration.

Wilson (1887:197) identified three conditions that should be satisfied prior to engaging in any research work. Thus, it is imperative to acknowledge the following conditions before utilising literature in a research work:

- the contribution of scholars as determined by the history of the study;

- ascertaining the subject matter by investigating the discipline; and
- determining the best methods by which to develop the subject matter.

Therefore, the body of knowledge can be expanded through the three abovementioned points, which constitute the process and technicalities of compiling research. The abovementioned three vantage points, when considered, assist the research by developing and establishing new ways of performing functions, thereby expanding the discipline and avoiding the re-discovery and re-invention of research done before.

This chapter will firstly discuss the epistemology of public administration. This will be done through a critical assessment of the foundation of public administration and by explaining the origins of the concept. The second aspect will be the evolution of the discipline. An explanation of the evolution will be made to clarify the historical standing of the discipline by using the different eras since the early signs of the existence of Public Administration. Thirdly, this chapter will create a link between the principles of public administration and local government by discussing the generic functions of public administration. The fourth aspect to be focused upon in this chapter is the linkage between the discipline of Public Administration and its subfield of Local Government and Administration, thereby explaining the scope of local government within the broader discipline. This will be augmented by the articulation of the historical antecedents associated with local government in South Africa. The fifth aspect that will be discussed is the requirements necessary for an effective and efficient administration and management in the local government sphere. The chapter will then focus on the essential role of the state, wherein the different perspectives relating to how the state achieves its objectives are articulated. Lastly, the chapter provides a discussion on the political function relating to public administration. In this

section the philosophy of politics, political ideologies, effects of politics on policies and the doctrine of separation of powers are discussed in detail.

2.2. CONCEPTUAL ANALYSIS AND THE ORIGIN OF PUBLIC ADMINISTRATION

It is imperative to clearly distinguish public administration as an academic discipline and as a practical activity. Therefore, Public Administration, with upper casing will denote a university subject, in which public administration, with lower case, which is regarded as the field of operation, is studied (Botes & Roux 1992:257). Generally, Public Administration as a discipline is believed to have originated in the United States, after Woodrow Wilson wrote an essay entitled *The study of Administration* in 1887 (Henry 2013:36). The discipline of Public Administration could be regarded as an academic field that studies the government functions and processes in order to ensure effective government machinery and execution of policies. Contrary to the belief of the originality of the discipline, Langrod (1961:69-71) argues that the study of Public Administration could have originated in Europe as most American scholars might have omitted to take note of European history and its evolution. He further asserts that the disregard for European history led to the re-invention of what could have possibly been invented elsewhere, in Europe. According to Thornhill (2006:794), since 1855 in Europe, Lorenz von Stein, a professor in Vienna, has been regarded as founder of the science of Public Administration. However, during that period Public Administration was considered to be a form of administrative law, as a result of its links with the actions of the state. On this basis, Von Stein argued that the science of Public Administration (Thornhill 2006:794):

- is an integrating science of several disciplines;
- is an interaction between theory and practice;
- should strive to adopt a scientific method.

Langrod (1961:75) points out that already during the period 1774 to 1817, schools and faculties teaching Public Administration were established and

introduced in higher learning institutes in Germany. In that period, the German and Austrian Cameralists were already studying the routines, including budgetary procedures, administrative technology and the philosophy of initiating the process of administration by the administrative bureaus or chambers that existed then (Langrod 1961:72; Thornhill 2006:794). Meanwhile, in the United States of America, the discipline only became popular between the years 1914–1920, when formal academic training programmes in the discipline were introduced in various American universities (Hanekom 1983:44). In 1914 the American Political Science Association (APSA) persuaded the mayor of New York to approve and present a welcoming address of the first conference on universities as related to public service. This conference was a milestone, since it was the first time ever that academia interfaced with practitioners resulting in the plan to establish professional schools of public administration and investigating the possibility of introducing new degrees as an aid to educate the practitioners and thereby improve the performance of public institutions (Henry 2013:37). However, over the years Public Administration has progressed and the evolution brought in a different dimension of a debate on the status of the discipline, i.e. as either a science or an art within the context of social sciences. As a result, it could be argued that the practical application of the discipline has the elements of both science and the arts, because public administration is guided by principles and requires the creative and innovative experiences of public officials in pursuit of the contribution to their respective organisations.

The study of Public Administration is considered as part of the social sciences cluster, thereby attributing it to the study of human behaviour in relation to the performance of the duties and functions by government departments and agencies, in an effort to provide services to the people (Dahl 1947:4). For any collection of clustered knowledge to qualify as a discipline, there should be a workable theoretical framework which will not only assist to advance the purity of the discipline, but also help advance the

development of the discipline by explaining, describing, exploring and predicting important phenomena associated with the discipline.

2.2.1. The art or science of Public Administration: a debate on the nature of the discipline

The discipline of Public Administration is a complex field of study. It possesses critical elements of scientific and artistic studies. Science is generally known as a branch of study that deals with a body of facts or truths. Fukuyama (2004:189) accentuates public administration as more of an art than a scientific field of study, on the basis that the discipline does not have globally valid rules. Berkley and Rouse (2004:7) profess that public administration shares traits with both the arts and the sciences. This makes it a unique field that could be classified as a craft, as opposed to either a science or an art.

Hodgkinson (1978:4) argues that over time the discipline of Public Administration has been diluted by some elements that signify the management practice. Thus it becomes difficult to classify the discipline of Public Administration as either a science or an art, without having to commence making a distinction between the concepts of administration and management. With the necessary distinction of the two concepts in place, it then becomes easier to establish that Public Management favours the art of applying managerial techniques and Public Administration favours the sciences component. A system of public administration is a combination of all the laws, regulations, practices, relationships, codes and customs that prevail at any time in any jurisdiction in order to fulfil a public policy (White 1955:2). Hence, the process of administration could be considered a dynamic art which acknowledges all the resources present in the quest to achieve a particular goal. Thus, public administration makes provision for the directing, co-ordinating and monitoring the actions of people towards achieving a specific objective. Nonetheless, Kuye (2005:526) notes that the discipline is a combination of both science and art, and should not be dismissed purely as

unscientific art. It can thus be deduced that Public Administration is a field of study with unique characteristics, aimed at solving problems with which the government is confronted. With both the elements of science and art, inherent within the discipline, Public Administration could be applicable to both scientific and artistic analysis.

2.2.2. Locus and focus

According to Pfiffner and Presthus (1967:6), Public Administration can be defined as a field that is mainly concerned with the means for implementing political values. This implies that the discipline exists as an attempt to solve the problems that emanate as a result of political action and processes. The scope of Public Administration is broad as it encompasses various concepts and constructs that can be associated with humanity, law, society and the functioning of the state (Rutgers 2010:2). The concept “locus” addresses the questions of where the study of Public Administration should be located, thus it concerns the question of the institutional place of the discipline, whereas “focus” refers primarily to the main aim of the discipline, addressing the question of what is its specialisation, which is inferred to be the execution of policies in the most efficient way (Thornhill 2014:5).

Both the locus and focus of public administration are undefined in scientific terms in so far as the form or type of public administration is concerned. This lack of clarity creates a crisis of uniqueness of what public administration is really about. The locus highlights the institutional existence of public administration and the focus concentrates on the specialised object of the discipline of Public Administration. The identity crisis of public administration is multifaceted; firstly it comprises an academic crisis and secondly it is complemented by the existential crisis. Through the academic crisis, on the one hand, the study of public administration has been seen to face challenges relating to the controversies over the epistemological status of the discipline, together with the questionable theoretical and methodological approaches employed. On the other hand, the existential crisis primarily

focuses on the challenges that concern the operations in the government, which affect the officials, citizens and Public Administration academics (Raadschelders 1999:284-285).

2.2.3. Historical evolution of the discipline

Public administration should be considered as a combination of theory and practice in an attempt to develop a comprehensive understanding of the functioning of the government in relation to the people it governs (Henry 1995:21). Hence the foundation within which public administration exists will greatly benefit the discussion in tracing the evolution of the discipline. It will be crucial that, prior to an explanation of its evolution, the discussion first elaborates the basic tenets that constitute the activity of public administration. Therefore, the activity of public administration could be argued to be as old as humanity itself. With time, the practice of public administration was shaped by political thought and ideology as this activity was then considered to be political.

The quest to trace the discipline of Public Administration identifies the epochs that classify the discourse into different paradigms, dating from the 1900s to the present, with the discipline changing in form from time to time, depending on the views of the academics of the day. The different paradigms reflect the journey within which the discipline progressed. Thus, Henry (2013:37-47) recognises the different paradigms as follows:

- Paradigm 1: Politics/Administration dichotomy (1900–1926);
- Paradigm 2: Principles of Public Administration (1927–1937);
- Paradigm 3: Public Administration as Political Science (1950–1970);
- Paradigm 4: Public Administration as Management (1950–1970);
- Paradigm 5: Public Administration as Public Administration (1970–present); and,
- Paradigm 6: Shift towards governance (1990–present).

In each paradigm, different scholars contributed to the shaping of the field of study through the introduction of new knowledge and information in pursuit of uniquely identifying the discipline as a stand-alone field of study and not a subfield of another discipline. According to Henry (2013:36), the discipline of Public Administration has significantly developed as an academic and professional field through the succession of the abovementioned paradigms.

2.2.4. Paradigms of Public Administration

After Woodrow Wilson authored his seminal article in 1887, a significant rise in the interest of the discipline was witnessed throughout the world, and particularly in the United States, hence the development of the paradigms. Paradigm 1 practically aimed at untangling some substantial issues on the discipline. It focused on the separation, or what is commonly referred to as the dichotomy, of Public Administration and Politics. This was a salient point of contention in the article by Wilson (1887:210), where it was argued that “administration lies outside the proper sphere of politics”, thus administrative questions are not necessarily political questions. This point is imperative in trying to avoid confusion between the administrative activity and a political activity. On the one hand, politics concerns the development of policies and expressions of the state’s will, while on the other hand, administration relates to the effective execution of these policies (Goodnow 1992:25). Towards the end of the cycle of this paradigm in 1926, Leonard D. White (1955) published a book titled *Introduction to the study of Public Administration*, which is arguably the first book with the aim of promoting Public Administration as a separate and unique subject field, thereby intensifying the debate on the dichotomy issue (Henry 2013:38). Through the promulgation of this proposed separation, it was understood that politics should not intrude on the affairs of the administration. As a result, both politicians and administrators hold their positions for different reasons, advancing different agendas, with administrators mainly focusing on executing the public policies efficiently.

The significance of Paradigm 2 was primarily to highlight the principles of Public Administration. The key proponents in this paradigm include among others: William F. Willoughby, Henri Fayol, Frederick W. Taylor, Luther Gulick and Lyndall Urwick (Henry 2013: 38-41). Largely, the proponents of this paradigm argued that for maximum efficiency to exist in government, it is significant for public administrators to learn and apply the scientific principles of administration. This was emphasised in Willoughby's seminal work titled *Principles of Public Administration*, published in 1927. The imperativeness of this paradigm was exhibited by the rise of popularity of Public Administration studies across the United States, during the period wherein universities that offered Public Administration courses multiplied in number, signifying popularity in terms of need (Henry 2013:38).

Through the published work of Gulick and Urwick in 1937, imperative principles were identified, which needed to be applied in an organisation in order to promote efficiency in its management. However, Gulick and Urwick omitted to comprehensively discuss the method and approach of the implementation of their identified principles of administration, thus favouring the *focus* of the discipline over the *locus* (Henry 2013:39). This means that the principles concentrated only on how to achieve efficiency and disregarded the debate on the location within which they should be applied. This paradigm also witnessed the critique of the principles. The main advocate was Herbert Simon, who in 1946 dismissed the scientific principles as the "proverbs of administration" arguing that the fatal defect of the administrative principles is that for almost every principle one can find that an equally reasonable and accepted contradictory principle exists thereby rendering the whole notion of principles doubtful and unscientific (Henry 2013:40).

In the period 1950 to 1970 Public Administration observed once more a rise in an attempt to strengthen the interface with Political Science. The manifestation of Paradigm 3 was however difficult, as some advocates for a

unique discipline had certain reservations about this absorption of convenience (Henry 2013: 41). They argued that the discipline of Public Administration could not simply evaporate at the expense of finding solace in the broader discipline of Political Science. Throughout the confusion during this period, some dissidents searched for an alternative in trying to determine the *locus* of Public Administration. Paradigm 4 developed as a result, where the discipline could now be regarded as a management science. According to Cameron and Milne (2009:381), this period introduced the New Public Administration Initiative in the United States, where younger scholars tried to argue in favour of the irrelevance of Public Administration, arguing that it was out of touch with critical issues and problems. This resulted in the first Minnowbrook Conference in 1968, where it was resolved that Public Administration did not respond to the circumstances of society adequately, hence it had to change in form and shape. Minnowbrook 1 set the tone for subsequent Minnowbrook conferences (2 and 3) where the distinct nature of Public Administration was explored and expanded.

From the 1970s (Paradigm 5), Public Administration regained its dominance as a discipline independent of the fields of Law, Political Science and Management. These were fields commonly believed to form its underlying foundation (Henry 2013:44). More importantly, Paradigm 5 identifies the necessity for the coexistence of Public Administration with Political Science, thereby pointing out the significance of the interface between the political and administrative activities. Since the beginning of the 20th century, the phenomenon of globalisation has been pre-eminent which has a powerful influence on the discipline of Public Administration. With globalisation, came the notion of governance, a prominent theme for Paradigm 6, which is regarded as the intrinsic function of public administration (Raadschelders 1999:288). According to Thornhill (2006:804), the concept of governance was introduced late in Public Administration and it serves as an indication of a significant new development in the practice of public administration and by implication also in the discipline. Paradigm 6 saw the introduction of the

global economy, technology and communication as elements that would promote governance (Henry 2013:47). Such a development translates that governments need to devise means through which they could continue to provide for the society in a collaborative manner despite the changes and challenges that are brought by an introduction of such elements.

With reference to South Africa, this paradigm (6) of public administration was inevitably important as the political landscape was about to transform in order to create an inclusive and open society. Thus, the need arose to organise a consultative forum with all the relevant stakeholders to discuss the future of public administration in South Africa (Cameron & Milne 2009:385). During the period (1990s), the existence of the New Public Administration Initiative and New Public Management were elevated, hence their significance on influencing both Mount Grace consultation forums. Mount Grace 1, which was held in the early 1990s and Mount Grace 2, held in early 2000 (Thornhill 2014:17-18), were a South African version of the American Minnowbrook conferences. Through the first Mount Grace forum, it was argued that the initiative would capture the spirit of transition by adequately responding to societal challenges and consequently make a meaningful contribution to the discipline (Thornhill 2014:17). With all these paradigms, a consistently common element that could be observed throughout the development of Public Administration has been the quest to develop an academic discipline that would aim at promoting maximum efficiency in all the operations of the government.

This global evolution of public administration had an influence on how public administration is practised in South Africa. JJN Cloete, published his seminal work titled *Sentrale, provinsiale en munisipale instellings van Suid-Afrika*, in 1964, which is arguably the first scholarly book on the discipline of Public Administration in South Africa. Thus he is regarded as the father of Public Administration in this part of the world (Thornhill 2012:v). Public administration in South Africa was of little consequence as a result of the

legacy created by the colonial status quo, until the late 19th century, hence Cloete (1988:102) maintains that the demand for a sophisticated public administration came to effect and increased rapidly after the Second World War (1939–1945). This need arose when administrative systems were in place within the established public institutions in South Africa.

2.3. GENERIC FUNCTIONS OF PUBLIC ADMINISTRATION

The generic functions serve as an important tool towards understanding both the discipline and practice of public administration. Cloete (1986:2) divided administration into six main generic functions, namely (i) policy-making, (ii) organising, (iii) financing, (iv) staffing (personnel provision and utilisation), (v) determining work procedures, and (vi) control. This structure makes administration a multifaceted function with the purpose to achieve a stated objective. These administrative functions are referred to as generic because they are performed by all organs of the state and public institutions (Thornhill 2012:88). Thus, they can be utilised in any public institution as a result of their standard, general and common applicability and will provide a logical and rational guideline for understanding the contents of public administration. These generic functions should be distinguished from functional activities or line functions, which explain the execution of an activity under any circumstance. Therefore, it could be argued that generic functions precede the existence of functional activities in an organisation. Each generic function would be mentioned in the discussion, but emphasis would be placed on policy-making in a municipal environment. It is important to note that these generic functions are cross-cutting, meaning that each one serves as the foundation for the existence of the other.

2.3.1. Policy-making

The conceptualisation of public administration is centred on the concept of attaining a common objective. A basic tenet of public administration is that all the activities should be aimed specifically towards achieving a set of goals (Cloete 1986:56). This means that all public institutions should demarcate

clear objectives that will be set and be made known publicly so that all interested parties can establish what is intended, how to achieve those objectives, who will take action and render account of the results obtained in achieving the objectives, what resources are necessary and when to take action. A policy can be defined as a statement of intent or the publication of a goal to be pursued (De Coning 2006:3; Hanekom 1987:7). Therefore, a public policy refers to a combination of the decisions, commitments and actions directed towards achieving a particular objective or outcome which is deemed to be in the public interest (Luke 2000:43).

Attaining an objective requires that decisions are taken prior to the policy being made, thereby culminating in a policy as the end product of a decision-making process. Brynard (2006:166) argues that the output of a decision-making process, i.e. the choice made between alternative possibilities, is a policy and not a decision. Policy-making is a discerning activity in that decisions, such as identifying the problem, determining alternatives and the implementation of the preferred option, are made in the process (Park 2000:39). One of the two primary roles of a municipal council is policy-making through its capacity as a legislative authority in accordance with Section 151(2) of the Constitution of the Republic of South Africa, 1996. Thus, the discussion of the thesis will emphasise this generic function as it appears to be the most relevant for the purpose of this study. According to Thornhill and Cloete (2014:84), policy-making is always the first and the most basic function to be undertaken for the establishment of a public institution and the specification of its activities, particularly in municipalities. The function of policy-making is a process which includes stages ranging from initiation to evaluation in an institution. Therefore, for a policy to be regarded as public policy, the government should promulgate it for the specific purpose of addressing a particular problem. The precondition of a public policy-making process in municipalities involves the following policy levels (Minaar 2010:19; Thornhill 2012:6):

- i. Legislative policy-making (political policy)

- ii. Governmental policy-making
- iii. Executive policy-making
- iv. Administrative policy-making.

According to the above identification, for a policy-making process to be complete, it is imperative to note that a public policy is in most cases, initiated by the political parties, wherein a policy is formulated by the political party comprising its interpretation of the needs, aspirations and expectations of the people. Subsequently, a governing party's policy will influence the policy direction of the municipality (government policy); therefore it becomes the executive policy through the governing structures (executive mayor and mayoral committee where this type is applicable) and finally the administrative policy at departmental level.

2.3.2. Organising

Administration requires the co-operation of two or more individuals in achieving an objective, thus becoming necessary for the function of organising (Cloete 1986:78). The function of organising can be defined as a process of identifying the work to be undertaken, dividing it into parts or units, assigning these parts to specific departments and then coordinating the individual effort within the limited available resources to accomplish the organisational objectives (Baird, Post & Mahon 1990:10). According to Rosenbloom and Kravchuk (2005:141), the activity of organising in public administration is crucial as it synchronises the human activities when providing services. The function of organising consists of the coordination of groups of individuals in a bid to create a logical pattern in order to ensure the achievement of the predetermined objectives. Thus, groups of individuals have differing responsibilities towards achieving the objective. Organising is a complex process that involves more than simply arranging individuals and groups in a particular order so that the broader goals are achieved. By contrast, organising assigns specific functions to each individual in the structure (Thornhill 2012:167). Furthermore, an intricate network is created

by the behaviour of every individual which cannot be entirely regulated merely by assigning to an individual in a group a specific function or by laying down formal procedures for performing a function.

According to Denhardt and Denhardt (2009:164), the process of organising involves activities that are significant in dividing the organisation according to departments and specialities, thus creating a hierarchical structure that operates on the basis of the unity of command, span of control, determination of goals, division of work and delegation (Botes 1994:88). In South African local government, organising is significant in both the administrative and the political components of municipalities. With the focus of this thesis being on municipal councils, organising is an imperative element in the operations of such councils and their executive structures with lines of communication and levels of authority, without which, councils will not achieve their objectives efficiently and effectively.

2.3.3. Financing

Financing as a generic function, serves as a bloodline of any organisation, be it public or private. Without money, no public action such as policy-making and appointing personnel can take place (Thornhill 2012:191). Every administrative action undertaken by employees has either a direct or indirect financial implication. It is impossible for any public institution to operate without finances (Van Dijk 2003:40). The government generates money from the public through various means including, taxes, tariffs, loans, fees and levies in pursuance of service delivery. Financial administration has evolved over time, from activities that confine it to record-keeping, control and theft prevention, to more meaningful activities that include financial and fiscal policy analysis, financial policy impact studies, forecasting and fiscal impact estimation (Mikesell 2000:348).

Although the meaning of public money could in some cases be considered vague, Fourie (2014:274) affirms the concept as money that is regarded as

having been solicited from the people by imposing a tax on them in pursuit of obtaining goods and services that contribute to the general welfare. Members of the public should benefit from the use of these public funds. When utilising public finances, government should ensure maximum efficiency in the quest of obtaining the greatest possible benefits, i.e. there should be value for money. However, the regulation of this finance that is kept in trust on behalf of the public, could prove to be challenging, hence the imperativeness of adopting legislation inter alia: Public Finance Management Act, 1 of 1999; Local Government: Municipal Finance Management Act, 56 of 2003; and the Division of Revenue Act (passed annually), to regulate the activities of collecting, usage and control of public finances.

2.3.4 Staffing

Staffing is concerned with activities related to personnel provision and utilisation. This is the function that is associated with the recruitment, selection, training, appraising, developing and utilisation of employees in a workplace to perform specific duties and functions (Dessler 1985:197). Some contemporary scholars, such as Condrey (2005:38), apply a paradigm shift in relation to the understanding of the concept. They use the term public human resource administration instead of staffing, arguing that staffing is but one of the features of public human resource management, thereby arguing that a holistic view will aid one to better understand this complex organisational function. Without a structured human resource administration, public institutions will not be able to employ and retain public servants and consequently will be unable to deliver public services.

Public human resource administration is considered important on the basis that it ensures that appropriate individuals are appointed, properly trained, suitably utilised, and managed, according to the aim of achieving the objectives of the organisation efficiently (Lussier 2006:260). Public human resource administration is an imperative function which plays a meaningful role in municipalities and is a critical aspect of any public sector institution.

Municipalities spend most of their budget, approximately 26% of the total budget, on human resources (StatsSA 2014:4). The focus of this research is on municipalities. Members of the municipal council are elected to their positions and therefore are not public (municipal) officials. This research will refer to the appointed officials as prerequisites for achieving the goals set by council. The focus will, however, be on how the municipal council as legislative authority determines the policy by serving as the input for the municipal officials to administer and manage the executive actions.

2.3.5 Determining work procedures

The importance of determining work procedures lies in the requirement that for an organisational objective to be attained in any institution, individuals who may have different viewpoints on how to embark upon the commencement of work will have to co-operate. Consequently, the purpose of this function is to ensure effectiveness and efficiency by determining the most cost-effective methods of performing specific tasks. Thornhill (2012:253) argues that the development of work procedures will result in efficient work performance because a function will be performed in the shortest time, using the minimum amount of labour and at the lowest cost. It is critical for officials in executive institutions to rationalise the work procedures continually and consider particular circumstances when reviewing procedures, in order to ensure their relevance and ultimately to regulate how specific tasks are performed (Thornhill 2012:256).

The primary focus of this research is to investigate the role of municipal councils in determining policies that will allow municipal officials to perform administrative functions in order to achieve the efficient delivery of services (objective). Therefore, municipal councils make policies that regulate service delivery in the local government sphere. The transition from policy to action in terms of how services are to be obtained will also be discussed in the research. Policies may even prescribe the procedures required to achieve the goals of council, for instance policies that prescribe the process to be

followed in terms of determining the roadworthiness of vehicles and building requirements.

2.3.6 Control

Control is a function of administration concerned with the comparison of actual versus planned performance and the development and implementation of procedures to correct inadequate performance (Shafritz 2004:186). Hence control in a public institution serves the purpose of ensuring that account is given in public for everything the authorities do or neglect to do. Botes (1994:177) claims that the concept “control” is derived from the French words “contra” and “rotules” which mean checking a result by comparing an outcome against a set standard. Thus, control activities are always measured against a specific set or standard.

The implementation of the control function is dependent upon three prerequisites, i.e. establishment of standards, availability of information indicating possible deviations and corrective action to remedy the shortfall between what has been achieved against the set standard (Donnelly, Gibson & Ivancevich 1981:141). Through the control function, a platform in public administration is obtained to ensure that citizens receive clarity in terms of the activities that the government pursues, i.e. whether these activities are in their best interest. Control over a government activity is part of the unique nature of public administration and should be implemented to ensure effective and efficient rendering of services (Van Dijk 2003:43). For the purposes of this study, control will manifest itself in two ways. Firstly, because members of municipal councils are elected it is imperative for them to regularly monitor the results obtained through their policies, that is, their expected performance against the goals that officials have achieved. Secondly, control ensures oversight of the extent to which the administrative arm of the municipality is able to implement the policies that were adopted by the municipal council.

As in other academic fields of study, Public Administration, has a variety of sub-disciplines, including, Public Policy; Public Finance; Organisational Studies; and Local Government and Administration. As such the research project makes a comprehensive inquiry into the sub-discipline of Local Government and Administration.

2.4. SCOPE OF LOCAL GOVERNMENT IN PUBLIC ADMINISTRATION

According to Amtaika (2013:6), the origin of local government can be traced back to the Ancient Greek city states, in their pursuance of the promotion of democracy. This originates from the notion that the local sphere of government operates within reach of communities, i.e. it serves as an important instrument to meet the needs and concerns of the people within a particular area. Local government can be defined as an infra-sovereign geographical unit contained within a sovereign state or province, with basic units such as municipalities (Humes & Martin 1969:27). This means that municipalities as geographical units possess the mandate and the authority to perform particular functions in specific areas appropriately demarcated within a particular state, province or region.

A municipality is an institution that has prescribed legislative authority and operates within a clearly demarcated geographical area within a state (Havenga 2002:54). Therefore, it can be deduced that the concept of a municipality can connote both a jurisdictional area and an institution or entity governed by specific legal rules. Consequently, local government can be defined as the second or third level or sphere of government that is deliberately created to bring government close to the people (Reddy 1999:9). Thornhill (2008:492) views the local sphere of government as the first point of contact between an individual and a governmental institution. Local government is the sphere of government created to improve the quality of lives of the people through effective and efficient delivery of services, directly influencing their lives on a daily basis. This definition explicates the idea that local government is at the coalface of service delivery, i.e. through

municipalities the *raison d'être* of the local government sphere is to provide sustainable goods and services to the people living within their specific areas of jurisdiction.

As a government close to the people, local government is crucial to the promotion of local democracy, and ought to ensure effective and efficient provision of services to local communities. This signifies its importance in public administration and management. According to Humes and Martin (1969:28), the characteristics of local government include

- a defined area
- a population
- a continuing organisation
- authority to undertake and power to carry out public activities
- ability to make decisions and enter into contracts
- ability to collect revenue and determine a budget.

The study of local government and administration could mean the scientific inquiry of the above characteristics to improve the management and administration of service provision for their communities.

2.5. ROLE OF THE STATE

Prior to discussing the role of the state, it is imperative to distinguish between the concepts of “government” and “state”. On the one hand, the state can be defined as a nation or territory considered as an organised political community under one government (*Concise Oxford English Dictionary* 2011:1409). Whereas, on the other hand, the government is referred to as the system by which a state or community is administered (*Concise Oxford English Dictionary* 2011:616). Therefore, the government is considered to be the mechanism through which the state achieves its objectives. It can thus be deduced that a government could not practicably exist without a state, but a state could exist without a properly functioning government. Hence the term, “failed states”, because the state continues to exist, but services are not

provided as expected by society. The most important features that constitute a state include: sovereignty, the government, a population and a territory (Heywood 2007:91). Accordingly, Theletsane (2014:42) posits that the state has authority inherent in itself, whereas the government obtains its powers and authority from the legal framework of the state. For instance, the functioning of the government of the Republic of South Africa is guided by the existing pieces of legislation, with the Constitution, 1996 as the supreme law (Section 2 of the Constitution of the Republic of South Africa, 1996). The purpose of this discussion is to elaborate on the role of the state, thus the distinction between the two concepts is imperative in order to avoid ambiguity in the subsequent discussion.

The role of the state is multi-dimensional. This implies that the state is required to fulfil a variety of responsibilities. Depending on the form of a state, i.e. minimal states, developmental states, social democratic states, collectivised states or totalitarian states, a specific role could be prioritised over others. The duty of a state is to regulate public affairs, intervene in economic activities of the public, enable the empowerment of its population, and afford protection to its population (Heywood 2007:99-102). Municipalities, as the constituent elements of local government, are involved in managing and administering the affairs of the communities within specified and prescribed boundaries. In essence, municipalities are also involved in the regulatory, enabling, intervening and protective role, owing to the fact that through its municipal council, the municipality has the legislative authority to make decisions to that effect and provides executive direction. This fact verifies that municipalities can make public policies and enforce them.

2.5.1. Regulatory

According to Hughes (2003:72), through the government, the state plays a regulatory role by putting in place the necessary legal framework and/or the set of rules in order to enforce and oversee the activities involved in the public and private lives of its population. This implies that a state uses its

coercive power to regulate particular activities in the quest to achieve the goals, objectives and needs of the people. For instance, a municipality ordinarily effects its regulatory functioning through the enforcement of by-laws. Consequently, municipalities enforce their legislative authority to ensure that residents comply with the predetermined standards as set out. For instance, the municipality will enforce a policy on revenue collection for services provided to its residents.

2.5.2. Enabling

The enabling role resonates with the idea of minimising the reliance by society on the government. The key feature of an enabling government is the empowerment of its people. In order for the government to promote the enabling function, it has to create an environment that is conducive to the purposes of promoting human capital development, so that the population does not rely entirely on the government for the sustenance of their livelihoods. Empowering individuals within the municipality through the Extended Public Works Programme and other initiatives is intended to empower underprivileged individuals (Department of Public Works EPWP Report 2009:15; Department of Public Works 2015:2).

2.5.3. Intervention

The interventionist role of the state is inextricably linked to the enabling role. Through the state's intervention in economic activities it becomes clear that the consequence of such will be to enable the empowerment of the people. Municipalities are obliged to render services with the view of improving the quality of lives of the communities, thereby ensuring adequate development within the living space of individuals. However, in an emerging economy like South Africa, where poverty levels are high, at 55,5%² it becomes imperative for the government to ensure that the wellbeing of its people is not

² According to Statistics South Africa (StatsSA), poverty is calculated using the upper-bound poverty line (UBPL) of R992 per person per month considering the 2015 prices. This translates to an estimated 30,4 million (out of approximately 55,5 million) South Africans who lived below the poverty level in 2015.

compromised and no one is excluded from the basic services provided by municipalities (SA n.d. 8; StatsSA 2017b:14). Thus, municipalities are mandated to establish a social safety net, through the provision of the Free Basic Service programme, where a capped quantity of water and electricity are provided to those individuals deemed to be indigent in accordance with the specific municipal indigent policy (SA n.d. 9). In this instance, municipalities intervene by providing services without any expectation of collection of rates from these impoverished individuals. This is done to maintain a minimum standard of services for the indigent. However, a council has to introduce rates and taxes on the rest of the municipal community to raise sufficient revenue to cover the inability to collect revenue from the indigent. The eight metropolitan municipalities constitute approximately 31,97% of the indigent population (South African Cities Network 2016).

2.5.4. Protection

The greatness of any government is measured by how it treats and protects the most vulnerable members of society. The protective role of the state is preceded by the regulatory role, as laws, regulations and policies have to be established before measures of protecting the individuals are implemented. For instance, prior to any forced removal of illegal squatters in an area, the burden rests upon the municipality to find an alternative place for them to reside. The landmark case of *South Africa and others vs. Grootboom* has set a precedent in this regard. In its judgement, the Constitutional Court (established by Justice Yacoob) has ruled that people should not be evicted until the government has provided an adequate housing alternative for them (Constitutional Court of South Africa Case: CCT11/00). The important element of the protective role of the state concerns the protection of human dignity. The government does this by sustainably providing the necessary services to communities in an equitable manner. This is intended to improve the quality of lives of people, irrespective of their social background or class in accordance with Bill of Rights, i.e. Chapter 2 of the Constitution, 1996.

The abovementioned roles of the state, i.e. regulatory, enabling, intervention and protection are intertwined and related. Thus, the state through its necessary structures of government has to ensure that it adequately addresses these roles in order to ensure the development of communities. Developmental local government in its very nature strives to create communities that exist within the environment that are conducive to growth and development (White Paper on Local Government 1998:44-45). Hence the goal of developmental local government is to charge municipalities with an indirect responsibility to address the challenges relating to poverty, unemployment and inequality. Therefore, through the prescripts enshrined in Section 41 of the Constitution, 1996, that concern intergovernmental relations, municipalities have to engage communities on how best to solve the abovementioned challenges (Section 152(1)(e) of the Constitution, 1996).

2.6. HISTORICAL DEVELOPMENT OF LOCAL GOVERNMENT IN SOUTH AFRICA

In 1652 the board of directors of the Dutch East India Company authorised the establishment of a refreshment station at the Cape of Good Hope for ships travelling between Europe and the Far East. Consequently, this station developed into a colony of “free burghers” whose demands for municipal services and desire to govern the territory, laid the foundation for the management and administration of local government in South Africa (Humes & Martin 1969:289). In the 18th century in the Cape region there emerged the necessity for an authority and the appointment of magistrates and councillors to undertake specific functions related to safety, law and order in the areas outside of the Cape Peninsula, such as Stellenbosch, Graaff Reinet and later Swellendam in order to cater for all the simple and limited public needs of such small communities (Fourie 1992:212). Although Beaufort West was the first area to obtain a municipal council in 1837 in the Cape colony (Thornhill & Cloete 2014:9), the election of councillors was endorsed only in the 19th century after legislation was passed in 1867 (Craythorne 2003:10).

Before democratisation in 1994, the apartheid regime had left an imprint on South Africa's human settlement and municipal institutions. With the policy of separate development in existence, citizens were required by legislation to geographically arrange their settlements in terms of their racial groups. The spatial segregation was put into effect by the Group Areas Act, 41 of 1950 (which was repealed in 1991) which restricted the permanent presence of black people in urban areas through a pass system (White Paper on Local Government 1998:22). As a result, locations and areas were designed in a manner that people of different races (in some instances ethnicities) did not mix, and that they interacted as little as possible. For instance, in particular, townships which were established on the periphery of an urban area were designated for black people. Furthermore, the legislation required that areas be demarcated according to ethnicity. This meant that each ethnic group would settle in their respective section in a township. Consequently, the Group Areas Act, 1950 led to the enactment of the Black Local Authorities Act, 102 of 1982 (which was repealed in 1994) which created a two-fold local government system, where the white urban municipalities existed parallel to the black municipalities. This spatial separation was enforced to limit the extent to which the affluent white municipalities would bear the burden of compensating the disadvantaged black municipalities through the provision of services, as municipalities were expected to generate their own revenue (White Paper on Local Government 1998:22). Most black municipalities could not generate revenue through property rates, as a result of the socioeconomic challenges facing blacks at the time as well as the fact that in most cases the inhabitants did not own property. The situation was exacerbated by the apartheid legislation that prevented retail and industrial development in black areas, thus limiting the tax base of black municipalities. The establishment of the Marais Commission of Inquiry in the late 1950s in the former Transvaal investigated the measures that could be taken to improve the effectiveness and efficiency of municipalities where white people resided. Subsequently, from 1960 onwards, the findings of the commission, which aimed at making local government more efficient, were introduced in

some white municipalities across the country (Craythorne 2003:10; Humes & Martin 1969:290).

In the 1980s the South African government introduced Regional Services Councils (RSCs) through the Regional Services Councils Act, 109 of 1985. These RSCs were established and designed to obtain joint decision-making by the representatives of institutions within a specific regional jurisdiction. The establishment of the RSCs was not meaningful in improving the delivery of services. However, a positive aspect was that the Regional Services Councils Act, 109 of 1985 provided a second source of income for local government (Craythorne 2003:11). In terms of Section 12(1) of the Regional Services Councils Act, 109 of 1985, the council generates income by imposing levies on employers based on their salary budgets, deemed to employ employees within its regions and enterprises that operate in its regions. Thus, council could transfer money from affluent areas to under-resourced black areas, in order to ensure that operations continue uninterrupted. These RSCs were disbanded with the introduction of the new system of local government and the levy paid by employers was abolished. In the system that came about as a consequence of democratisation in 1994, the district municipal councils effectively replaced RSCs in that they became responsible for the bulk service, which was mainly a responsibility of the Regional Services Councils (White Paper on Local Government 1998:29). However, district municipalities do not have access to any significant source of revenue of their own.

Throughout the transitional processes in South Africa, local government has been identified as one of the three spheres of government in accordance with Section 40 of the Constitution of the Republic of South Africa, 1996. The Constitution, 1996 is the supreme law of the country. Thus, it recognises the legitimacy and the existence of an inclusive and a seamless municipal system. Subsequently, legislation and policies were passed, inter alia the White Paper on Local Government, 1998; Local Government: Municipal

Demarcation Act, 27 of 1998; Local Government: Municipal Structures Act, 117 of 1998; Local Government: Municipal Electoral Act, 27 of 2000; Local Government: Municipal Systems Act, 32 of 2000; Local Government: Municipal Finance Management Act, 56 of 2003 and the Local Government: Municipal Property Rates Act, 6 of 2004. This legislation intensified the significance and relevance of developing and retaining a capable and a developmental system of local government. The current dispensation of local government was finalised in 2001, after the local government elections were held in December 2000.

2.7. REQUIREMENTS FOR AN EFFECTIVE AND EFFICIENT ADMINISTRATION AND MANAGEMENT OF LOCAL GOVERNMENT

Public administration operates within different types of environments, i.e. political, social, economic, technological and international. It is important for officials responsible for service provision to be cognisant of the dynamics as influenced by the different environments in attaining effective and efficient operations. Public officials should be accountable for the actions and decisions they make as they act for the benefit of the community they serve. Within this framework, efficiency evolves as a key requirement for the successful implementation of service delivery. Dahl (1947:2) opines that the doctrine of efficiency is an important principle in the discourse, because efficiency serves as a foundation for the discipline of Public Administration and Management. The research will assess to what extent the municipal council bears responsibility for the achievement of the local government objectives as set out in the Constitution, 1996. According to Section 152 of the Constitution, 1996, municipalities through their councils are expected to

- provide democratic and accountable government for local communities;
- ensure the provision of services to communities in a sustainable manner;
- promote social and economic development;

- promote safe and healthy environment; and
- encourage the involvement of communities and community organisations in matters of local government.

Municipal councils play a prominent role in the development and progression of the communities for which municipalities render their services. Thus, municipal councils should create adequate mechanisms that allow for effective policy coordination with the municipal administration to stimulate improvement of the delivery of services in such municipalities. Hence effective and efficient service delivery is a prerequisite for the improvement of the quality of lives.

Section 195 of the Constitution, 1996, makes provision for the principles that guide all spheres of government, organs of the state and public enterprises in their quest to provide an effective and efficient public administration. The principles that are applicable to the governing of municipalities, in terms of Section 195(1), are

- promotion and maintenance of a high standard of professional ethics;
- efficient, economic and effective use of resources;
- development-oriented public administration;
- impartial, fair and equitable provision of services;
- responding to people's needs and promotion of public participation in policy-making;
- providing accountable public administration;
- fostering transparency by providing the public with timely, accessible and accurate information;
- promotion of good human resource management and career development practices that maximise human potential; and,
- ensuring a public administration that is broadly representative of South African people.

Municipalities have a responsibility to ensure that these constitutional principles are promoted and upheld at all times. The essence of the abovementioned principles in municipalities is to ensure that goods and services are provided in the most efficient and objective manner, without any political interference interrupting the delivery of these services.

According to Botes and Roux (1992a:289-290), the concept efficiency in public administration is utilised specifically to emphasise the public's interest in the quality of public services. Thus, it is used to highlight the most effective way of achieving an objective with the most economical use of the available funds. Efficiency refers to a relative measure of the relationship between resource use and results, i.e. input vis-à-vis output. Consequently, it relates to the criterion according to which an alternative is recommended if it results in a higher ratio of effectiveness to cost (Fox & Meyer 1995:42). Van der Waldt (2007:112) accentuates the relationship between efficiency and productivity in the definition of the concept. Furthermore, it is argued that efficiency is regarded as a measure concerned with cost per unit of output. It could therefore be deduced that the notion of efficiency in public administration is related to two equally important concepts, namely effectiveness and economy. Balogun (1983:212) emphasises performance in the explanation of efficiency. Hence it is argued that the concept could be used as a measure that prioritises the value of services when making an administrative decision. This means that the efficiency relates to the value espoused in a service. Thus the delivery of basic services should be implemented with the notion of value for money and public interest. Therefore, for the specific purpose of this discussion, a municipality is considered to be efficient if it demonstrates how well (effective) it uses the available and sometimes, limited resources (economical) to achieve a desired objective. In summary, efficiency relates to performing a task excellently within a stipulated timeframe in the cheapest possible manner.

Thornhill (1995:6) contends that the success of any local government action is determined by the perceptions of the community of the quality of the services rendered by the officials acting on the instructions of the municipal council. Thus, it is imperative for the municipal council to ensure oversight on the progress by the appointed officials. In a representative democracy elected representatives are expected to pursue and promote the mandate given by the electorate. As such, the local government sphere suits the requirements desirable for a democratic system to flourish. The system of municipal government emanated as a result of strengthening the relative autonomy that the local government sphere enjoys in cooperative government as one of the three spheres involved in intergovernmental relations. However, its success or failure will depend on the conduct of councillors in ensuring that the administration of a municipality is performed efficiently and effectively.

2.8. POLITICAL FUNCTION RELATING TO PUBLIC ADMINISTRATION

The study aims to probe the functioning of municipal councils and their ability to determine developmental policies that facilitate service delivery in municipalities. Therefore, emphasising the different environments within which the municipality operates becomes imperative as this provides an unavoidable link with other phenomena, such as interpretation of statutes and political thought, without whose contribution the municipal administration could become ineffective. The municipality has two entities which contribute to its operations, namely the political entity and the administrative entity. The following section will focus on the mainstream political views which play an important role, because municipal councils operate within a political milieu.

2.8.1. Philosophy of politics

One of the most prominent points made by Wilson (1887:209-210) was that of the separation of administration from politics. As explained in Paradigm 1, the introduction of the debate created a dichotomy that public administrators brought efficiency to the execution of policies made by the elected politicians

and furthered the argument for a professional public administration (Henry 2013:37). Nevertheless, a lack of cooperation between the appointed officials and elected politicians could have a detrimental effect on the efficiency and effectiveness of a municipality. This is arguably as a result of the notion that some politicians may perceive themselves as being superior to the public administrators in administrative matters. Political theories will be dissected to analyse the functioning of politicians in municipal councils. However, before one could commence with the analysis, it is imperative to consider the concept “politics” and its origin.

The origin of the study of the political community can be credited to have been championed by three prominent Greek philosophers in ancient times. The three philosophers are Socrates, Plato and Aristotle. The history of political philosophy identifies Socrates (469 BC–399 BC) as the pioneer of turning the focus of philosophy from only the study of nature to become an exclusive study of human beings and their affairs, thus denoting the foundation of the Western tradition of political thought (Rosen 2003:41). This implies that Socrates was particularly interested in investigating the relationship between the governors and those under their rule, especially in determining whether the authorities are capacitated to meet and address the needs of the inhabitants. In recent times, municipalities, as a basic unit of the government, are responsible for addressing the needs of the people. However, no evidence suggests that Socrates wrote about human beings and their beliefs on a political community and aspirations. Plato, a Greek philosopher who became Socrates’ follower, made interpretations regarding the actions undertaken by Socrates. This culminated in the development of political thought that created a nexus between philosophy and a political community by analysing the trial and death of Socrates. Therefore, the emergence of the rational theory of morality came into being, where the method of question and answer which unites knowledge and virtue was utilised. Through this method, various conversations were established that

attempted to link knowledge and virtue and led to the following propositions (Rosen 2003:44):

- virtue is knowledge, i.e. if one knows what is right, one shall perform the right actions;
- no one does wrong voluntarily, meaning that if the right actions are based on knowledge, then wrong acts should emerge from ignorance rather than from a will which intends evil;
- the unity of virtue, that is, all virtues are equal and should be addressed as such.

These three propositions are interrelated and interconnected in analysing a political community because they emerge from the belief that virtue is knowledge. Thus, political leaders in communities, in the form of municipal councillors, should possess this virtue. It is anticipated that the most virtuous among the members of a community are expected to assume the role of providing the political leadership within that specific community. This often is as a result of the perception the community has about an individual's knowledge regarding their immediate environment. Thus, the perception is that for leaders to occupy a public office, they will have to possess a specific level of knowledge in order to be able to deliver on their official mandate.

Plato (427 BC–347 BC) became prominent immediately after the death of his idol, Socrates, in 399 BC. Socrates is the principal figure and major influence of Plato's ethical and philosophical dialogues (Heywood 2007:12). In a quest to understand the existence of the universal moral order, Plato had various questions on issues including inter alia relativism, subjectivism, objectivity, democracy and justice (Plato 380 BC). These issues became the basis of Plato's theoretical dialogues titled "The Republic" (Roberts & Sutch 2004:24-26). In modern communities the concepts of objectivity, democracy and justice are imperative as most collective organised communities apply the rule of law, where guidelines, such as policies, legislation and constitutions are developed to assist in maintaining law and order within the community.

For instance, Section 2 of the Constitution, 1996 states that the Constitution (1996) is the supreme law of the Republic; law or conduct inconsistent with it is invalid, and obligations imposed by it must be fulfilled. Consequently, Plato believed that the comprehension of such issues would make philosophers have a better understanding of the functioning of society within its immediate environment.

Plato advocated the idea of philosopher-kings, which is primarily driven by the belief that specific individuals in positions of political authority ought to unite the authority they possess with their philosophical knowledge derived from mathematics and dialectic (Reeve 2003:56). Thus, the interpretation of political authority for Plato was not based not only on the agreement between the governors and the governed, whether coercive or consensual, but also on the possession of both knowledge and virtue. Plato believed that what he termed philosopher-kings, should be in command of the two traits for a successful rule. Throughout evolution, a practice was then developed to determine the eligibility of those who should qualify to become governors in communities. For example, in South Africa, every citizen who is qualified to vote for a municipal council is eligible to be a member of that council except for the following persons (Section 158(1) of the Constitution, 1996):

- anyone appointed by the municipality and receives remuneration for their services;
- anyone in the service of the state in any sphere of government and receives remuneration for their services;
- anyone disqualified from voting for the National Assembly due to being un-rehabilitated insolvents;
- anyone disqualified from voting for the National Assembly due to being declared to be of unsound mind by a court of the Republic; and
- anyone disqualified from voting for the National Assembly due to being convicted of an offence and sentenced to more than 12 months imprisonment without the option of a fine.

The third philosopher, Aristotle (384 BC–322 BC), a student of Plato, expanded on the ideas and arguments of both Socrates and Plato. Aristotle's interests ranged over various issues in pursuit of the knowledge of human beings and nature. Aristotle compiled treatises with issues ranging from physics, metaphysics, astronomy, meteorology, biology, ethics and politics (Heywood 2007:7). For the purposes of this study, the interest in Aristotle is in relation to his best known political work entitled *Politics*, in which he investigates the rationale for the existence of an ideal constitution. This is believed to have had an influence on how modern communities are organised. For instance, Aristotle believed that an ideal constitution would lead to communities co-existing peacefully and in harmony with their governors, since the protocol of social engagement would have been outlined in the constitution. Hence both the communities and their governors would know what was expected of them. The ideology driven by Aristotle argued that politics is natural and essential to the happiness of human beings, thus, a human being is by nature a political animal. Therefore, human beings create and live in city-states which subsequently become a natural setting (Roberts & Sutch 2004:52). The Greek city-states are the equivalent of a modern municipality.

Aristotle's premise focuses on the fundamental question: Who should rule? This question had been posed earlier by Plato and sought to clarify the notion of an ideal community. In addressing the question it is important to highlight the particular structure of the government system and individuals within a community, whose interests are promoted by a specific reign (Burns 2003:81). In this line of thought, Aristotle posits that the government in city-states can be either in the hands of one, the few or the many, which will subsequently lead to it promoting a common interest or the interests of private individuals who are in charge of the rule. Therefore, Aristotle refutes the idea of the existence of human beings without the city states and argues that nature does not allow for such a setting and if it happens, the human

beings without a city-state are either a poor specimen or super-human (Roberts & Sutch 2003:52). City-states became popular when the surrounding empires generated comparatively little wealth from an agricultural economy or were too badly governed to allow wealth to be created (Pick 2011:37). Thus, city-states began to provide the opportunity for significant wealth creation. However, this posed the challenge for city states as it became increasingly important for them to increase their ability to defend their autonomy. Consequently, nation states were formed with the aim of providing legitimacy to their territories. Their formation is attributed to the fact that populations became increasingly aware of their nationality and favoured the idea that the ruler is held accountable to the nation and not to themselves or to some religious authority (Pick 2011:37).

The works of the three Greek philosophers were mainly characterised by the desire to analyse society, in order to create a better understanding of human behaviour in a political environment, where often the actions of human beings are under political authority. This resonates with the purpose of the study which pursues an investigation on the ability, or lack thereof, of municipal councils to assign tasks and duties to the officials responsible for providing services in the most effective and efficient way in municipalities.

The term politics can be identified as both an academic subject and an activity, often differentiated through the usage of an upper and lower case letter “p” (Heywood 2007:4). The purpose of this thesis is not to discuss the concept of politics, but to highlight and explain the defining features of the concept “politics” as an activity. The activity of politics, similar to public administration, occurs when two or more people interact. Isaak (1985:25) recognises the concept of politics as an activity that is associated with the usage of power to reconcile conflicts over the distribution of goods and values through various institutions of the government. Heywood (2007:4) defines the concept politics as the activity through which people make, preserve and amend the general rules under which they live. As soon as

people begin to live together in groups there is a need to create ways to regulate such emerging communities. Thus institutions are created to develop, enforce and monitor the common regulations that apply to their society (Ball & Peters 2005:3). For example, after the “free-burghers”, referred to earlier in this chapter, settled in an area known as Stellenbosch, the authorities established a jury with the intention of addressing the quarrels and disputes of the residents on local matters (Thornhill & Cloete 2014:8). Therefore, it could be deduced that to be political is to be involved in an activity that requires cooperation amongst members of the community in determining shared standards, morals and values as well as the institutions that will legitimise and regulate their behaviours.

2.8.2. Political ideologies

Roberts and Sutch (2004:2) argue that political ideologies are imperative in exploring the nature and characteristics of political decision-making in the public realm with the view to assisting societies to understand the reasons for the past decisions and enabling improvement in future decisions. The term “ideology” was invented by Destutt de Tracy, a French philosopher in 1796, to refer to the science of the ideas intended to explore the origins of conscious thought and ideas (Heywood 2007:44). Throughout the evolution of political ideologies, the writing of Karl Marx in his seminal work, *The communist manifesto*, which he co-authored with Friedrich Engels in 1848, ascribed “ideology” to the ideas of the “ruling class”. Essentially these were perceived as the ideas utilised to perpetuate exploitation in a class system.

In municipalities, the municipal council is primarily political in its very nature. This is owing to the notion that a municipal council comprises individuals who are inherently political, possessing different ideologies. The individuals are voted for in order to become councillors who eventually serve a specific term of office and represent the interests of their specific constituencies within the municipal council. Municipalities operate in societies and are extensively or moderately influenced by the different political ideologies that exist within a

socio-political system. Among others, the political ideologies that apply in the case of municipal councils are (i) liberalism, (ii) socialism, (iii) communism, (iv) conservatism, and (v) nationalism. These ideologies are utilised to explain and understand the contextual aspect and social construct of the municipal councils in South Africa (Moyo 1992:37). A brief explanation of these ideologies is made below in order to comprehend the major contending viewpoints.

2.8.2.1. Liberalism

According to Heywood (2012:24), the term liberalism could be used to denote an ideology that is committed to the individual and the desire to construct a society in which the people have the ability to satisfy their interests and achieve fulfilment. Liberal ideology regards human beings as individuals who have the ability to reason and enjoy their individual rights and freedom (Tansey 1995:92-93). Thus, liberals support the notion of setting structures in place in order to avoid a situation where the individual's rights and freedom are compromised. Therefore, a tendency to support mechanisms such as the constitution; the separation of powers between the executive, legislature and judiciary; the protection of individual rights through the bill of rights takes precedence within the ideology in a bid to constrain the government to respect the interests of the governed (Festenstein & Kenny 2005:52).

Liberalism can be divided into two sub-classifications, i.e. classical and modern liberalism, as illustrated in Table 2.1. Classical liberalism is characterised by the belief of minimum possible intervention of the state on individuals. Thus state intervention should be limited to only the maintenance of domestic order and personal security. Modern liberalism argues that maximum intervention is required, where the state helps people in developing themselves (Heywood 2012:24). Among others, the crucial elements, as depicted in Table 2.1 that signify this ideology include individualism, freedom, constitutionalism, tolerance and consensus.

2.8.2.2. *Socialism*

The ideology of socialism has historically been defined by its opposition to the notion of capitalism to provide for a more humane and socially worthwhile alternative (Heywood 2012:97). The essence of socialism is based on the belief that human beings are social creatures united by a common humanity. This ideology acknowledges the imperativeness of cooperation by individuals within an organisation in order to achieve a collective objective. Goeghegan (2014:73) asserts that the advocates of this ideology have viewed capitalism as a fundamentally unequal economic system, arguing that the concentration of wealth and power are possessed by the minority, thus subjecting the majority to absolute or relative poverty and impotence. Karl Marx (1818–1883) was a prominent advocate of this doctrine, whose ideas initiated the abolition of a capitalist economic system in Russia and replacing it with a socialist society established on the principle of common ownership. Heywood (2007:53) proposes that the socialist movement in the 20th century was divided into two factions, that is, on the one hand, there were revolutionary socialists, who regarded themselves as communists because of their commitment towards Marxism as an ideology. On the other hand, there were reformist socialists, who embraced social democracy through their interest in constitutional politics. This rivalry within the socialist movement divided the ideology into the two classifications as depicted in Table 2.1. The core elements of socialism include inter alia, community, social equality, social class, common ownership and fraternity.

2.8.2.3. *Communism*

Communism can be described as a system of a social organisation in which all property is commonly owned by the community (*Concise Oxford dictionary* 2011:290). Communism could be attributed to the extreme practice of the ideology of socialism, influenced by the writings of Karl Marx, where wealth is communally owned thereby developing a classless society. According to Brown (2013:366), Karl Marx and Friedrich Engels are universally considered as the main founders of the ideology of communism. In their pioneering work,

The communist manifesto (1848), Marx and Engels postulate that the history of mankind has always been the history of class struggles; contests concerning exploitation and power contests between the ruling class and the oppressed, thus arguing for the emancipation of communities, thereby abolishing the social classes that exist within communities (Brown 2013:368). It could be considered that the only difference between communism and socialism, apart from the extremity of the degree of the ideology in its pursuit to counter inequality, is that with communism the focus is on the distribution of wealth to achieve a classless society, whereas the focus of socialism is on the production of goods and services to the benefit of the working class (Almond 1983:130). Hence it could be argued that the distinct feature that differentiates communism from socialism is the pursuit to achieve a classless society for communism and the provision of structural support to the vulnerable working class in the case of socialism.

This ideology limits individual freedom as it espouses the determination of a criterion that defines and promotes the notion of public interest. With a scarcity of resources, such as the services that municipalities ought to provide to residents, it becomes virtually impossible for municipalities to adopt a strict communist approach in their governmental approach. However, as highlighted in Table 2.1, the crucial elements of communism, namely ability and need, reflect on particular welfare policies, such as the indigent policy, where the identified residents are not expected to pay for the so-called municipal services (water, electricity, refuse removal and sanitation) as a result of their inability to pay for such. The socio-political structure of the economy in South Africa does not allow for a municipality to adopt pure communism. This is because the system embraces liberalism where individuals are given freedom to choose their associations and such freedoms are protected and guaranteed by the Constitution, 1996.

2.8.2.4. *Conservatism*

Defining conservatism proves to be challenging because the construct enjoys a paradoxical status as a political ideology. Thus, its standing as an ideology is questionable. Its proponents regard it as a traditionally based construct, rather than a rationally developed system of belief. Its critics suggest that conservatism is not an ideology but a value-based notion that is influenced by the benefits of accepting the status quo (Festenstein & Kenny 2005:119). The concept of conservatism can be understood to be an ideological articulation of a reactionary tendency to defend social privilege, thus conservatism is intertwined in the process of managing change (Andreasson 2014:48). Conservatism is characterised by the desire to safeguard some ideological positions, reflected in the resistance to, or at least a suspicion of, change. These ideological positions form the foundation of conservatism, and they include amongst others; support for tradition, a belief in human imperfection and the attempt to uphold the organic structure of society (Heywood 2012:65).

Eccleshall (1994:60) postulates that the advocates of conservatism are mostly sceptical about the ambitious arrangements that are targeted to be used by the authorities for improving living conditions. Therefore, conservatives would opt for practical and realistic solutions to problems. In this light, it could be inferred that conservatism is a reactive ideology because it serves as the opposite of utopian ideologies, i.e. liberalism and socialism, which often provide society with solutions that might not necessarily be practical or realistic. For instance, the determination of rates and tariffs by a municipal council should consider the disparity between rich and poor, in order to avoid a situation where the majority of residents are unable to pay such rates. If conservatism were to be applied, it would entrench values and social privilege afforded to specific sections of society by the apartheid regime. Conservatism cannot be sustained in municipal councils in South Africa, because the developmental local government approach adopted in

2000 embraces diversity and inclusivity over the protection and defence of social privilege.

2.8.2.5. Nationalism

The concept “nation” is derived from the Latin word *nasci*, which means to be born. Thus, its usage in the form of *natio* refers to a group of people united by birth or birthplace (Vincent 2013:452). As a political doctrine, nationalism refers to an ideology where a group of people regard themselves as a natural political community which has the desire to establish or maintain statehood through civic consciousness (Heywood 2007:110). According to Rejai (1991:24), nationalism concerns the sense of belonging to a nation together with a collective desire and action to achieve and enhance the status, power and well-being of that nation. As illustrated in Table 2.1, the imperative elements that complete this ideology are the creation of an organic community, self-determination, and higher levels of identity politics. Significantly, this group of people should possess the belief that they share similar traits, regardless of the truth of the matter. Thus, it could be deduced that the ideology of nationalism is ideally applicable in communities which identify themselves as a homogeneous group. For instance, in the period 1920s to 1930s the German people came to believe that they were members of a super race, the Aryans (Rejai 1991:24). This sense of belonging and identity of the group, defines the very core element of nationalism, since those in the group believe that they belong together because they have something in common. Accordingly, it could be argued that in the Apartheid South Africa, when the Group Areas Act of 1950 was passed, the legislation perpetuated the belief of nationalism because supporters of the National Party considered themselves as a group with common characteristics. For example, these were people of the same European origin, following the same religion and speaking mainly the Afrikaans language.

Table 2.1 Contrasting perspectives of the contemporary political ideologies

Ideology	Crucial elements of the ideology	Classification of the ideology
Liberalism	<ul style="list-style-type: none"> • Individualism • Freedom • Reason • Equality • Toleration • Consent • Constitutionalism 	<ul style="list-style-type: none"> • Classical liberalism • Modern liberalism
Conservatism	<ul style="list-style-type: none"> • Tradition • Pragmatism • Human imperfection • Organic community • Hierarchy • Authority • Property 	<ul style="list-style-type: none"> • Paternalistic conservatism • The new right
Socialism	<ul style="list-style-type: none"> • Community • Fraternity • Social equality • Needs • Social class • Common ownership 	<ul style="list-style-type: none"> • Marxism • Social democracy
Communism	<ul style="list-style-type: none"> • Ability • Needs • Common ownership • Classless society 	<ul style="list-style-type: none"> • Classical Marxism • Orthodox communism
Nationalism	<ul style="list-style-type: none"> • The nation • Organic community • Self-determination • Identity politics 	<ul style="list-style-type: none"> • Liberal nationalism • Conservative nationalism • Expansionist nationalism • Anti-colonial nationalism

Source: Adapted from Heywood (2012:45-60)

The above contemporary ideologies, namely, liberalism, socialism, conservatism, communism and nationalism are important in politics, because they influence the activities of political parties and subsequently determine the outcome of policies governing the communities. Thus, a political party should subscribe to any, or a combination, of the mainstream contemporary ideologies, which will consequently guide the actions of that specific party. Ideologies in the political spectrum are the main determinants of whether the society would prefer through the elections one political party over the other. Thus, explaining the notion that political parties exist for different reasons and that their significance as perceived by the communities, will differ due to the preference of one ideology over the other. Municipal councils are composed of politicians, who in most cases, come from different political parties with different visions of how to contribute to efforts to improve the lives of people. According to the Electoral Commission (EC), commonly referred to as the Independent Electoral Commission (IEC), established in terms of Section 3(1) of the Electoral Commission Act, 51 of 1996 and sections 190 and 191 of the Constitution, 1996, the results for the 2011 local government elections in South Africa, metropolitan municipalities were constituted as illustrated in Table 2.2.

Table 2.2 Seat allocations in metropolitan municipalities (2011)

Metropolitan municipality	Seat allocation		
	African National Congress (ANC)	Democratic Alliance (DA)	Other political parties + independent candidates
Buffalo City	70,01%	20,48%	9,51% shared by 7 other parties
Cape Town	32,80%	60,92%	6,28% shared by 32 other parties
Johannesburg	58,56%	34,62%	6,82% shared by 20 other parties

Tshwane	55,32%	38,65%	6,03% shared by 17 other parties
Ekurhuleni	61,63%	30,29%	8,08% shared by 22 other parties
eThekweni	61,07%	21,02%	17,91% shared by 17 other parties
Mangaung	66,27%	27,11%	6,62% shared by 9 other parties
Nelson Mandela Bay	51,91%	40,13%	7,96% shared by 12 other parties

Source: Adapted from Electoral Commission (2016)

In terms of the 2016 local government elections in South Africa, the Electoral Commission reports that municipal councils are constituted as depicted in Table 2.3.

Table 2.3 Seat allocations in metropolitan municipalities (2016)

Metropolitan municipality	Seat allocation			
	African National Congress (ANC)	Democratic Alliance (DA)	Economic Freedom Fighters (EFF)	Other political parties + independent candidates
Buffalo City	58,74%	23,4%	7,97%	9,89% shared by 9 other parties
Cape Town	24,12%	66,61%	3,17%	6,1% shared by 33 other parties
Johannesburg	44,55%	38,37%	11,09%	5,99% shared by 23 other parties
Tshwane	41,25%	43,15%	11,63%	3,97% shared by 17 other parties

				parties
Ekurhuleni	48,64%	34,15%	11,23%	6,47% shared by 22 other parties
eThekweni	56,01%	26,92%	3,44%	13,63% shared by 25 other parties
Mangaung	56,52%	25,96%	8,66%	8,86% shared by 12 other parties
Nelson Mandela Bay	40,92%	46,71%	5,12%	7,25% shared by 16 other parties

Source: Adapted from Electoral Commission (2016)

As illustrated in Table 2.3 showing the results of the 2016 local government elections in South Africa, it is clear that political power has shifted from the dominant African National Congress (ANC) to other parties and coalitions. Other than losing some metropolitan municipalities, the ANC has observed a significant decrease in their support as compared to the results of the 2011 local government elections. In the 2016 elections, the Economic Freedom Fighters (EFF) became a significant factor (king-maker) in determining victory for some political parties, particularly the Democratic Alliance (DA). This is due to the fact that there was no party that obtained an outright majority in some of the metropolitan municipalities, namely; City of Johannesburg, City of Tshwane, City of Ekurhuleni and the Nelson Mandela Bay Metropolitan Municipality (Electoral Commission 2016). Thus, the DA had to rely on the support of the EFF and other smaller parties in some instances, in ensuring that they obtain a majority of seats through a coalition government. Although the EFF had not entered into a formal coalition government with any party, it supported the mayoral candidates of the DA in most metropolitan municipalities. In the case of Ekurhuleni Metropolitan Municipality, the ANC obtained the majority of seats after it entered into a coalition agreement with some smaller parties such as the Pan Africanist Congress (PAC) and the African Independent Congress (AIC). For example, in the City of Tshwane

the DA with 43,15% of seats, obtained a majority after it entered into an agreement with the EFF (11,63%) and other smaller parties such as Vryheidsfront Plus (VF+). Furthermore, in the City of Johannesburg and Nelson Mandela Bay Metropolitan municipalities the DA obtained a majority of seats through an agreement for a coalition government with the EFF and other smaller parties.

In essence, some municipalities are governed through a coalition agreement between the concerned political parties. This is a recurring phenomenon in local government politics in South Africa since the implementation of this dispensation of local government in 2000. In the previous local government elections of 2006, the DA obtained a majority of seats of the municipal council in the City of Cape Town Metropolitan Municipality through a coalition agreement with the now defunct Independent Democrats (ID). The ID was then led by Patricia de Lille and it became obsolete after it was incorporated into the DA in 2014 in preparation for the elections that year (Phakathi 2014).

From the above it can be deduced that each municipal council could be regarded as an ideological battleground, constituted of different political parties, especially in the multiparty democratic system that South African municipalities enjoy. As demonstrated, municipalities vary in terms of the number of political parties that would register to contest elections from time to time, with 200 political parties contesting the 2016 local government elections throughout the 257 municipalities (after the 2016 elections) in South Africa (Electoral Commission 2016a). The ANC identifies itself as a broad church. This implies that it is a political party catering for multiple ideologies. However, the ANC subscribes to the philosophy of Marxism and Leninism mainly as the instruments to analyse communities in particular and society in general (ANC 1997). Consequently, it appears to be more socialist in political orientation. Kuye and Cedras (2011:73) assert that the relationship between the ANC, the South African Communist Party (SACP) and the Congress of South African Trade Unions (COSATU), created an alliance pact. This is built

on the foundation that is inextricably associated with a common history and ideological persuasion which has been articulated as the National Democratic Revolution (NDR). The DA appears to be a liberal political party because of its policy of promotion of a free-market within a democratic environment. According to the federal constitution of the DA (2015:9), the party prioritises citizens' rights to private ownership and aims at guaranteeing the principle of maximum participation in the free market economy. Thus, it is presumed that the policies made in a municipal council dominated by the DA could be different from those made in ANC-dominated municipal councils, in terms of their ideological approach and orientation.

The thesis will consider only the 2016 election manifesto of some major political parties in South Africa. The determination of the significance of the political parties is established, based on the 2014 provincial and national government election results. These political parties are the ANC, DA and EFF. The EFF was not represented in any municipality because the party was established only in 2013 and did not contest the local government elections held in 2011. It should be borne in mind that the total number of political parties registered to contest the 2016 local government elections is 723 and this excludes independent candidates. It would be a cumbersome process and a futile activity to attempt to solicit the political manifestos of all political organisations, including registered independent candidates, for the purpose of this thesis. This is due to the fact that some political organisations only exist in specific areas and regions and not in others and their influence, if any, is limited to such areas. For instance, within the metropolitan municipalities in Gauteng Province, such political parties include but are not limited to:

- Ekurhuleni Community Movement, Umhlaba Uhlange Peoples United Nations, and the Palmridge Community Forum in the Ekurhuleni Metropolitan municipality;

- Alternative African Alliance, Operation Khanyisa Movement, Thembisa Concerned Residents Association in the City of Johannesburg Metropolitan municipality; and
- African Mandate Congress in the Tshwane Metropolitan municipality (Electoral Commission 2016).

The political party manifestos of the three major political parties, namely ANC, DA and EFF will be considered due to the influence these political parties have in the broad South African political landscape. This is illustrated by their performance in the previous national and provincial government elections held in 2014. The outcome of the allocation of seats in the National Assembly as a result of the 2014 elections indicates that the ANC has the majority of seats with 62,15% of seats allocated, followed by the DA with 22,23% of seats allocated and the EFF obtained 6,35% of seats. The remaining 9,27% of seats were allocated to 25 political parties that participated in the 2014 elections and met the threshold requirement for seat allocation (Electoral Commission 2016). The following section briefly provides a summary of the 2016 local government election manifestos of the three major political parties in accordance with the 2014 election outcome.

2.8.3. Local government election manifestos

The concept manifesto is derived from the Latin word *manifestus* which means “obvious”, the word, then, later became an Italian word *manifestare* meaning “to make public” (*Concise Oxford dictionary* 2011:869). Therefore, for the purpose of this thesis, the word manifesto is understood to imply an obvious public declaration of policy and aims by a person or an organisation with the intention of persuading potential voters to elect them to power in exchange for delivering on a mandate given by the masses prior to elections.

The ANC is a political party formed in 1912 as a national liberation movement. The intention of the ANC since its inception in 1912 has been to spearhead the struggle for fundamental political, social and economic

change. In 1994 the ANC was voted into office through the watershed elections that ushered in a democratic dispensation to South Africa. Ever since then, the ANC has been the governing party chosen by the majority of South Africans in subsequent elections, 1999, 2004, 2009 national and provincial elections; local government elections in 2000, 2006 and 2011, where it dominated most municipalities (ANC 2016).

According to the 2016 local government elections manifesto, the ANC intends to consolidate its power base in municipalities in order to ensure a responsive developmental local government that is embedded in the principle of inclusivity in communities. For the municipal council's term (2016-2021) the ANC commits to:

- build on achievements made in delivering basic services to the people;
- improve access to municipal services and reduce outsourcing in municipalities;
- further improve public participation and accountability of councillors;
- enhance the capacity of the local sphere of government to deliver on its mandate;
- develop and strengthen local economies, create jobs and promote job placements, especially for the youth;
- intensify the combat against fraud and corruption in local government and social fabric crimes in communities;
- promote education as the apex priority in local communities;
- improve health in urban and rural communities;
- assist municipalities to adapt to the changing climatic conditions; and
- promote nation-building and socially cohesive communities.

Thus, in the municipalities under the ANC in the municipal council's term of office commencing in August 2016 it is expected that the municipalities would

deliver on the commitments made in their manifesto. Therefore, their successes and failures should be measured in terms of the key issues as identified in the manifesto as priorities.

The DA finds its origin in the Democratic Party (DP) that was established in 1989 after a number of political parties, including the Independent Party, National Democratic Movement, and Progressive Federal Party merged to form one political organisation. After democratisation, the DP reached an agreement with the Federal Alliance (FA) and the New National Party (NNP) to form the DA in the year 2000. Arguably, the DA has seen a constant increase of its political base in the country since its inception; in particular, it has been making some inroads in townships such as Soweto in the City of Johannesburg and Soshanguve in the City of Tshwane, claiming their share of the vote within specific constituencies. The DA is a political party that is guided by its vision of “one nation with one future” underpinned by freedom, fairness and opportunity for all. The DA claims to be the most diverse political party that represents the aspirations of a new generation of South Africans (DA 2016).

In terms of the 2016-2021 municipal council’s terms of office, the local government election manifesto of the DA states that the party makes a commitment to prioritise the following:

- creating more opportunities and jobs;
- making local government responsive;
- providing better service delivery;
- preventing corruption;
- providing meaningful redress; and
- ensuring safer communities.

As the official opposition party in the country, the DA is also in the majority in the provincial government of the Western Cape Province. The DA dominates most municipalities within that province. In terms of realising the

commitments made in their manifesto, it can be deduced that the DA has a better understanding of how the government functions as compared to the EFF as the latter does not have the experience of governing a municipality or a province. It is therefore expected of the DA to address the abovementioned priorities in the municipalities where they obtain the majority of votes.

The EFF could be described as a radical and militant movement that brings together revolutionary, fearless, radical and militant activists, inter alia, guided by the principle of pursuing the struggle for economic emancipation (EFF 2016). The EFF was founded in 2013 after its main founder and leader, Julius Malema, was expelled from the ANC and from its Youth League structure due to ill-discipline. Since its inception the EFF has posed a threat to the governing ANC due to its ability to mobilise masses of people. Within a short space of time the EFF has managed to create a support base across some communities through its radical economic policies. The 2016 local government elections are the first municipal elections contested by the EFF. This implies that since its inception in 2013, the EFF has contested only the 2014 national and provincial government elections, hence their 6,35% share of seats obtained in parliament.

The election manifesto of the EFF makes a commitment that the party will address the following key priorities, should they obtain a majority in municipal councils. The EFF promises to:

- build municipal capacity with the intention of abolishing the outsourcing of services (tender system);
- create sustainable employment for residents of a particular municipality;
- provide quality basic services such as water, sanitation, health care, electricity and clean communities for all;
- provide an accessible environment conducive to education, skills and training;

- build and maintain quality and safe infrastructure for all through labour absorptive and efficient methods;
- stimulate local activity and participation through localisation of economic activities; and
- guarantee safety and security for all.

Therefore, in the event that the EFF dominates a municipal council, it would be necessary for the party to consider implementing the key priorities listed above. Because the EFF does not have experience in government of any of the three spheres prior to 2016, their dominance in a municipal council could mean that public administration is new to them and their term of office would probably be characterised by a learning curve requiring translating the manifesto into executable functions.

A political party election manifesto is ordinarily developed from the founding values and the political ideology of a political party. A manifesto serves as a precursor to the public policies that it intends to implement, once a political party has assumed office. Hence it is a strategic instrument that indicates the political direction of an organisation.

2.8.4. Effect of politics on public policies

Public policies are mechanisms utilised by government to address the desires and achieve the particular aspirations of members of society. As discussed earlier in this chapter, the first and most significant stage of public policy-making is legislative or political policy-making. According to Anderson (1997:51), the demand for a public policy stems from the problems and conflicts in the environment which are passed through a political system to the officials for implementation. Thus, politics and public policies interface in solving or preventing societal problems. It could be assumed that ideologies shape the political discourse of a political party and in turn the political party determines public policy. Policy-making is a process that involves elected politicians, appointed officials, and representatives of pressure or interest

groups. Accordingly, politicians are primarily responsible for making the value choices which form the premise for the detailed-decision processes carried out by officials (Hill 1997:109). This implies that the political principals establish a “wish-list” and officials have the responsibility to rationalise and develop a framework to achieve those wishes in a project format. Therefore, it could be argued that political ideologies are instrumental in the public policy-making process.

Once again, the discussion of politics influencing policies will reinforce the notion of the politics-administration dichotomy. As emphasised earlier in the chapter, the proponents of the politics-administration dichotomy firmly believe that political interference in administration erodes the opportunity for administrative efficiency. Thus, some elements of the policy-making activity of the government ought to be separated from the administrative function (Shafritz 2004:226). However, as explained in the next section, it would be impossible to wholly separate politics from administration, because public policy, by its very nature, originates from the political party in charge of the government. As a result, some scholars such as Goodnow (2003:24) argue that the separation is pragmatic as the distinction is clear between political and administrative functions. Politics and administration are distinct from each other; the former is regarded as the expression of the will of the state and the latter as the execution of that will. This implies that through politicians, the government’s policies will be made known to the people, whereas the role of the administration will be to implement those policies and render services. However, this viewpoint has been challenged. Shafritz (2004:227) acknowledges that scholars such as Paul Appleby disputed the possibility of the existence of an a-political government and argues that political involvement in administration acted as a check on the arbitrary exercise of bureaucratic power. This implies that politics, in a way, will always affect how the administration operates.

Due to unemployment, which is estimated to be at 26,7% for quarter one of 2016 in South Africa, there are households or residents that are unable to access or pay for the basic services offered by municipalities (StatsSA 2016:xiii). These households are referred to as indigent and are entitled to a capped quantity, i.e. in terms of the national policy the minimum that a municipality could provide is 50 kilowatt hours of electricity, per household per month and 6 000 litres of water, per household per month in accordance with the Free Basic Services (FBS) policy framework of CoGTA (SA n.d. 30). Each municipality has to develop its own indigent policy that has to benchmark against the national policy framework. For instance, the Mangaung Metropolitan municipality provides free 10 000 litres of water, per indigent household per month and not the prescribed minimum of 6 000 litres (Mangaung 2016:11). In contrast, the City of Tshwane provides registered indigents with 12 000 litres of water per household per month and 100 kilowatt hours of electricity per household per month (Tshwane 2016:58). This indicates that municipalities could deviate from the original prescribed minimum as set by the Ministry of Cooperative Governance and Traditional Affairs. The establishment of such a policy is naturally dependent upon the specific political values and priorities of a particular municipality.

The City of Johannesburg Metropolitan Municipality has a population of over 4,9 million and 2,63 % of its population are indigent. For the financial year 2015/2016, the Johannesburg municipality has allocated over R800 million for the relief of 129 946 registered indigents (City of Johannesburg 2016:39; The Local Government Handbook 2016; SA Cities Network 2016:11). The City of Cape Town Metropolitan Municipality has a population of over 4 million and 6,28% of its population are poor. The City of Cape Town has allocated over R1,9 billion for the assistance of 251 328 registered indigent residents (City of Cape Town 2016:47; SA Cities Network 2016:13) as illustrated in Table 2.4.

Table 2.4 Comparison between the eight metropolitan municipalities

Metropolitan municipalities	Population (million)	Indigent population (%)	Total cost of free basic services for 2015/2016 (R'000)
Johannesburg	4,949	2,63	895 193
Cape Town	4,005	6,28	1 984 824
Tshwane	3,275	2,74	1 865 148
eThekweni	3,702	1,86	1 494 154
Ekurhuleni	3,379	1,02	1 454 094
Nelson Mandela Bay	1,263	6,82	282 718
Buffalo City	0,835	6,49	302 412
Mangaung	0,788	4,13	131 777
Total	22,196	31,97	8 410 320

Source: information adapted from City of Johannesburg (2016); City of Cape Town (2016); South African Cities Network (2016); City of Tshwane (2016); The Local Government Handbook (2016)

As alluded to earlier in this chapter, the municipal council of the City of Johannesburg is dominated by the ANC which appears to be more of a socialist political party. The Municipal Council of the City of Cape Town is dominated by the DA which possesses some liberal principles. Thus, in accordance with Table 2.4 it could be argued that the party political principles influence how the government operates. With the promotion of private individuals as the core of the ideology of liberalism, the City of Cape Town deems it necessary to provide more relief, in Rand value than the ANC-led Johannesburg municipality. From the statistics contained in Table 2.4, it could be deduced that indigent people in Cape Town are allocated about R7 897,35 per household per annum, as compared to R6 888,96 per household per annum that is allocated for the indigent in the City of

Johannesburg. However, the amount allocated for the indigent is not conclusive since the population in relation to the indigent of the two cities differs. Therefore, political ideology has either a positive or a negative effect on how public policies are shaped in the municipality. For instance, after the 2016 local government elections the DA obtained a majority of seats in the City of Johannesburg through a coalition agreement as previously explained. Immediately after assuming office, the DA mayoral candidate, Executive Mayor Herman Mashaba, announced that the bicycle lane project that had been undertaken by the previous administration led by former Executive Mayor Parks Tau would be abolished. The reason for this was that the City of Johannesburg, being governed by a liberal DA, decided to reprioritise its resources and the bicycle lane project was no longer considered a priority function justifying the allocation of resources. Thus the dynamics within the coalition agreement with the EFF, which identifies itself with the poor and the marginalised, could possibly have played a role in this decision by the Executive Mayor.

2.8.5. Political/Administrative interface

Human beings are social creatures involved in political activities in their daily lives. Thus, participation in political activities, whether directly or indirectly, is an integral part of a human being's existence. Politics is significant, since it concerns the attachment of values to the available facts to determine the relative importance of requests by a specific community for a particular service (Thornhill 2005:178). Therefore, the role of politicians, i.e. a political entity in municipalities, is to ensure accountability by overseeing the executive actions of the appointed officials/bureaucrats acting on their behalf. Administration could be explained as an enabling function to give effect to political decisions or policies. This implies that administration concerns the implementation of political decisions or policies by bureaucrats in a technical and non-partisan way (Cameron 2003:55).

The origin of the debate over the importance of politics in administrative processes dates back to the early days of Public Administration. Woodrow Wilson and other scholars alike were instrumental in their efforts to define public administration outside of the realm of politics. Scholars that subscribed to Paradigm 1 as identified by Henry (2013:37), as already alluded to, argued that the significance of distinguishing politics and administration was meant to “strengthen and redirect the legislative function while protecting the administration from political interference” (Cameron 2003:56). However, Dwight Waldo argued differently. Through the introduction of the term administrative politics, a compelling argument was made that a clear distinction cannot be made between public administration and politics, since politics gives effect to policy and that is the responsibility of politicians and administrators jointly.

For the purposes of this thesis, the politics/administrative interface, refers to a complementarity model where an appreciation of the coexistence of politicians and administrators is observed in pursuit of common objectives for public interest. Thus, it is implied that for a policy to ultimately address what it had initially intended, the good relationship between a politician and an administrator is essential. This relationship should be that of trust, clarity of thought and common understanding. The politics/administration interface in municipalities is more complicated than that of the other two spheres of government. This is as a result of the complex arrangement of the municipal government system. In municipalities, most community members identify with the municipal councillor as the face of the government. In cases of their desired needs and services, members of the community would directly liaise with their councillor who, often, would in turn directly liaise with the manager concerned, thereby neglecting the proper channels to raise issues.

According to Mafunisa (2003:88), when there is no distinction between politics and administration, it becomes difficult to distinguish between a governing political party and the state. This therefore creates an infiltration of

political loyalists into administration through their deployment in senior posts. This is called “cadre deployment” (Van Onselen 2014). The phenomenon of “cadre deployment” in government is not entirely new in South Africa. In apartheid South Africa, a tendency existed to recruit members of the Afrikaner Broederbond into senior government positions in secrecy. Although the Afrikaner Broederbond was not an official political party that contested the elections, it did however play an influential role on how the National Party operated through officials loyal to the movement (Levy 2015:25-29).

Shortly after the 1994 elections in South Africa, the ANC instituted the Cadre Policy and Development strategy, which aimed at formalising a guideline for the appointment of individuals to strategic positions within the organs of the state, including similar appointments in the three spheres of government. This policy was aimed at ensuring the appointment of individuals who are in alignment with the party’s political policies and programmes (ANC 1997). Without the proper facilitation of this interface, the appointed officials become politicised and dysfunctional. Cameron (2010:678) maintains that the politicisation of the administration can include attempts of controlling the functioning of government through nepotistic systems of recruitment, where family members and allies are rewarded with employment in return for their loyalty. Such recruitment practices are not based on merit. They are influenced by individuals who have access to the political network. It can thus be deduced that the political/administrative interface is a grey area in public administration that has a potential to either derail or ensure effective municipal government and administration depending on its application in the system.

2.8.6. Doctrine of separation of powers (*Trias-Politica*)

Trias-politica, referred to as the doctrine of separation of powers, concerns the establishment of checks and balances of power in the functioning of the government. The doctrine of separation of power infers that government has a responsibility to ensure that all branches of the government serve their

purpose without one dominating the others. Montesquieu (1689–1775) was the main proponent of the debate on the separation of powers, arguing for the necessity and significance of dividing government power, utilising this doctrine to avoid tyranny (Dunning 1905:413). The doctrine of separation of powers is necessitated by the need to put in place the appropriate checks and balances in order to ensure that each branch of the government is constrained only to perform the functions they are assigned, i.e. a legislature to make laws, an executive to implement the law, and a judiciary to interpret the law.

Montesquieu believed that this doctrine of separation of powers would consequently facilitate transparency and accountability in the interest of society (Kawade 2003:223). The separation of powers will also address the question of *quis custodiet ipsos custodes?* (direct translation from Latin for Who guards the guardians? as stated by Decimus Junius Juvenalis). In the context of South Africa, legislation prescribes that the municipal council should act as both the legislative and executive authority of a municipality. This means that a municipal council is vested with the powers to make and further implement the law. Therefore, the application of the doctrine of the separation of powers in the municipality would be futile, because of the single existing powerful structure that has the potential to disregard the principles of checks and balances. Some aspects relating to the necessity of the doctrine of separation of powers in South African municipalities will be discussed in chapter three of this thesis.

2.9. CONCLUSION

This chapter has explained and articulated the theoretical disposition of the discipline of Public Administration. This was done to determine the relevance of the subject under investigation, viz. whether municipal councils are effective in their functioning. Therefore, this chapter was conceived as a result of the three existing preconditions set, i.e. to determine the contribution of scholars, ascertain the subject under investigation and determine the most

suitable method to investigate the subject. The significance of the literature review is that gaps in a particular field of study can be identified and addressed, thus making a contribution to the body of knowledge.

Public administration was discussed both as an academic discipline and a practical activity. This required a critical assessment of the foundation of public administration and its origin. The chapter also addressed the evolution of the discipline of Public Administration, thereby explaining the historical standing of the discipline. This is important as the existence of thoughts on the subject in different eras created paradigms through which Public Administration was significantly influenced as a discipline over time. In this section reference was made to a discussion on the development of the discipline in South Africa and also explained the influence of the generic functions of public administration and their application in municipalities.

The chapter also explained the linkage between local government and public administration through discussion of the historical development of local government in South Africa. The chapter also highlighted the necessary requirements for an effective and an efficient administration and management in local government. Therefore, attaining efficiency in local government would translate into the improvement of the living conditions and quality of lives of the people. Lastly, the chapter emphasised the nexus of the political function and public administration. Furthermore, the various political ideologies were explored in a quest to determine the significance of politics influencing public policies in a society within which public administration operates. The chapter also discussed the phenomenon of the politics/administration interface as well as the doctrine of separation of powers to determine the role these play in improving the efficiency and effectiveness in municipalities.

CHAPTER 3: ROLE AND FUNCTIONS OF MUNICIPALITIES AND INTERNATIONAL EXPERIENCE OF LOCAL GOVERNMENT AUTHORITIES

3.1. INTRODUCTION

Municipalities usually provide a platform for governments to directly engage with the citizens at the grassroots level. This implies that the electorate are able to engage with the government daily through an opportunity created as a result of the delivery of services provided to a specific community. The importance of the existence of a municipality is undisputable. Thus, municipalities are significant for the continuous improvement and development of the sustainable livelihoods of individuals within communities.

This research focuses on inter alia, the three functions of a typical municipality, namely; decision-making, planning and legislative oversight. This chapter will explore the constructs associated with the roles and responsibilities of municipalities globally. A contextual approach to the understanding of the functions relating to decision-making, planning and legislative oversight will be discussed. Through an exploration of the functions of a municipality, it would be prudent to consider the application of these concepts in order to derive a similar meaning to that of some institutions of international repute such as the International Monetary Fund (IMF), the World Bank and United Nations Development Programme (UNDP).

Importantly, this chapter will make a comparison of how municipalities in some selected countries operate, specifically focusing on the three abovementioned issues. This is important, since it will allow for a determination of patterns and trends in the functioning of municipalities and where applicable, municipalities will take lessons from the best performing counterparts in relation to how they make decisions, plan and ensure legislative oversight. A case study of the United Kingdom of Great Britain

and Northern Ireland (UK)³ will be utilised to measure against the case of municipalities in South Africa. Particularly the case studies that will be considered include selected municipalities in England, Wales, Northern Ireland, and Scotland.

3.2. DECISION-MAKING, PLANNING AND LEGISLATIVE OVERSIGHT

The primary existence of governments is to ensure that the societal well-being of the people within its state's territory is achieved through service delivery (Du Toit 2002:62). Thus, governments administer to provide the services a society requires in order to improve or maintain living conditions. In most states, governments are divided into two, sometimes three tiers/levels/spheres of governments with direct and clear delineation of power, roles, functions and responsibilities. This division is necessitated by the desire to provide services to society in a manner that is effective and efficient. Hence each tier/level/sphere of government is required to make provision for the delivery of specific services. For instance, the most commonly desired services such as the need for defence and police would be a responsibility of the national or central government, whereas services that might be specific, e.g. provision of water and electricity, are mostly devolved or delegated to the local government tier/level/sphere. Apart from the abovementioned divisions, in most states that are classified as democratic, governments comprise specialised branches with integrated functions such as the legislative authority, executive authority and judicial authority, thus promoting the doctrine of separation of powers as discussed in the previous chapter. This model provides for a system that emboldens the branches of government to institute checks and balances among one another and provide measures to enforce accountability for actions taken.

³ The literature consulted makes reference to the names 'British', 'Britain' or 'the UK' which are purported to be United Kingdom of Great Britain and Northern Ireland. The United Kingdom is a unitary state with England, Scotland, Wales and Northern Ireland as constituent units. These constituent units are often referred to as countries or political units of the UK in other literature. For the purposes of this thesis, the concept constituent units will be used throughout. This thesis makes use of the names; the UK, the United Kingdom and the United Kingdom of Great Britain and Northern Ireland interchangeably to refer to this unitary state (UK) which is identified by the United Nations as a sovereign state.

A municipality⁴ as an organ of a particular state has the responsibility to provide services to its constituent communities. For services to be delivered by any organ of state, imperative elements should at all times be in existence to ensure that appropriate mechanisms are established to achieve the delivery of services in an effective and efficient manner. Amongst others, the functions of a municipal council include planning, decision-making and legislative oversight. Thus, it could be argued that for the municipality to provide services effectively to communities, its municipal council should be assigned with the required fiduciary powers and functions. These functions and powers include inter alia decision-making, planning and legislative oversight.

3.2.1. Decision-making

Decision-making is an important phenomenon that is all-encompassing in both the work environment and private lives of individuals (Brynard 1997:120). According to Simon (1997:3) and Starling (2005:274), decision-making could also be referred to as a process of consciously selecting one course of action from various alternatives, making it an integral part of the planning process. This implies that decision-making is an activity in which a choice is made of the preferred action from two or more alternatives. To achieve an objective by decision-making, it is important that the person engaging in the activity possess the ability to (Brynard 1997:122)

- discern;
- inspire creativity and have experience; and
- analyse both qualitatively and quantitatively.

Within the work context, decision-making is often a group exercise. Hale and Whitlam (1997:104) suggest that decision-making in groups is complex, since

⁴ For the purpose of this chapter the concept, municipality, will bear reference to the most basic unit of local government that has both the executive and legislative authority vested in it. It is acknowledged that in other countries municipalities are referred to by other names such as local governments, local government area, borough, cities or metropolitan areas. Thus to avoid confusion, the term municipality will be used throughout this chapter.

the process has to contend with the challenges of data processing and behavioural attitudes of individuals. It is believed that working in groups determines the synergy required in order to achieve the organisational objectives. Thus, the output that is achieved in a team effort should be greater than the sum of the parts. This translates to mean that the quality of decisions made by a group is expected to be greater than that of individuals added together. For instance, if the municipal council embarks on a decision-making process to determine which organisation to contract to provide services on its behalf, members of the council, together as a team, will have to share knowledge and experience in order to engage in (i) problem identification, (ii) developing alternatives, (iii) analysing the alternatives, and (iv) choosing the most suitable alternative. Within the above context a typical and rational decision-making process by the municipal council would be as follows in Table 3.1.

Table 3.1 Decision-making process

1. Problem identification	Identify the problem i.e. need for outsourcing/service provision
2. Develop alternatives	Gather facts: Identify the organisations that provide a needed/specialised service; e.g. distinguish between cleaning services, security services and waste removal services
3. Analyse alternatives	Assess the modalities of how services should be rendered; in terms of the identified organisations (waste removal services) determine which one meets the criteria in terms of expenses, employment equity requirements, service standards and track record in terms of the testimonies from previous clients
4. Select most suitable alternative	Determine which organisation meets all the predetermined standards identified by the municipal council and appoint the organisation that will most effectively provide the needed service

Source: Author

This means that the quality of the choice of the most suitable alternative (output) should be greater than a combination of the choices of different individuals on possible alternatives (outputs). Thus, through a team effort a municipal council should be able to make a decision that is rational, on which basis a service provider should be appointed.

3.2.1.1. Promoting public involvement in decision-making

A variety of sources suggest that decisions are often made to address a specific problem (Brynard 1997:122; Doyle 2002:337; Starling 2005:274). Thus, decision making is considered a central phenomenon in public policy studies (Kraft & Furlong 2013:207). This section addresses the reasons for promoting public involvement in decision-making specifically in the context of municipal service delivery. Public administration has evolved significantly from the days of the archaic city-state of Athens to contemporary society with complex and growing demands by the public. Thus the manner that is used to regulate society is often negatively affected. Governments apply different approaches towards governing communities within their boundaries. Even though the concept of direct democracy was modelled around the administration of the ancient city-state of Greece, e.g. Athens, however, direct participation by all the citizens was not pragmatic and achievable. This is because only male citizens, who could have totalled approximately 25% of the total population of Athens, could participate in the affairs that concern them. Therefore, the feasibility of direct participation in a contemporary state is virtually impossible, as a result of the rapidly growing population, multifaceted and dynamic challenges that exist, which could be attributed to modernisation.

For a democratic state it is important to involve the public, either as individuals or groups in decision-making processes. Their involvement could be through direct or indirect participation. Such an inclusion would assist in ensuring that the following requirements are derived and enhance the quality of decisions made. The critical prerequisites include ensuring:

- improved channels of communication;
- improved programme implementation;
- deriving more value for money while providing services;
- protection against opposition of decisions made; and
- increased influence in the budget process.

Public involvement is an important component of decision-making in municipalities. Thus the quality of a decision made by the municipality can be enhanced by members of the community through their active involvement in municipal planning initiatives. Through the input of ordinary citizens in the development of decisions, ambiguity can be cleared in terms of the needs as required by these citizens. This maximises the ease of the ultimate implementation of decisions made. Madumo (2014:142) argues that such an involvement of the public will improve the quality of the decisions and ensure that ambiguity is cleared in terms of the required needs and services. Thus, the effective cooperation of the municipality (council and administration) and the public could create the synergy to maximise the provision of high-quality public services. Therefore, it could be asserted that the involvement of communities in decision-making implies that even unpopular decisions would be supported by the community by default. The rationale for this could be that community members would accept responsibility for such decisions, regardless of whether all the decisions are in their favour or not. As such, the process of public participation would develop a sense of ownership among both the municipal council/official and the members of the public affected. For example, even if policies provide unexpected results upon implementation, community members would take the responsibility to improve them rather than rejecting them (Madumo 2014:142-143).

A case in point is that of Phiri residents in Soweto, an area in the City of Johannesburg metropolitan municipality. In 2004 the City of Johannesburg, introduced the Operation *Gcina'manzi* initiative to reduce wastage and unaccounted water usage. Consequently, this initiative involved the

introduction of prepaid meters wherein the municipality applied its Free Basic Services policy, i.e. providing restricted access to water (e.g. 6 Kilolitres) to indigent households. Initially, the residents rejected the installation of the prepaid water meters, arguing that it was against the constitutional right of access to sufficient water. A year after the project's implementation, the majority of residents had accepted the prepaid water meters and were satisfied with the prepaid meter system. This was despite the fact that some of the residents had legally challenged the implementation of this project through the courts. The Constitutional Court ruled that what constitutes "sufficient water" is a matter best addressed by the government and as such the national government has adopted the regulations which stipulate that a basic water supply constitutes 6 kilolitres per household per month, upon which the City of Johannesburg's Free Basic Services policy is based (Constitutional Court 2009).

If the members of the community have doubt regarding the reliability of politicians and the political process, the consequence has a potential to affect the rapport between the government and its citizens (Dalton 2004:12). Once a decision is made through a consultative process by incorporating the concerns of the people affected, the implementation tends to be easier. Public participation will create a forum for both the municipal council/officials and the communities to appreciate the opportunity available, to express their needs, expectations and responsibilities in a cordial atmosphere (Madumo 2014:143). As a result, this will create the likelihood of community members accepting a policy or legislation to which they have significantly contributed throughout the process of its establishment (Creighton 2005:19). Uncertainty regarding the required services by the community could lead to the municipal council investing money in activities in which communities are not interested. For example, in May 2014, the community of Diepkloof, Soweto protested against the installation of prepaid water meters in their area, arguing that they had not been consulted by the City of Johannesburg (SA Local Government Research Centre 2014:32). Instead, public participation would be

instrumental in ensuring that direct contact between the members of the community and their municipal council is maintained. Throughout the process of public participation, an opportunity to synthesise the conflicting views from the two parties is created. Hence the municipal officials and councillors cooperate with community members in order to ensure a long term commitment. Illegal dumping is a common problem in Mamelodi, an area within the City of Tshwane Metropolitan Municipality. The ward committees in the affected wards have, on the recommendation of the municipal council, attempted to organise a public participation platform through workshops to educate the residents on the environmental by-laws. This was done to ensure that the communities understand the advantages and disadvantages of maintaining a healthy and sustainable environment and in tandem do not contravene any law (Madumo 2011:105).

3.2.1.2. Types of decision-making

Different types of decision-making exist. These can be distinguished on the basis of the cognitive ability of the decision makers. For the purpose of this research, the types of decision-making that can be identified include impulsive, intuitive, programmed and un-programmed decision-making types. These types are not mutually exclusive as one kind of decision-making is perceived to supplement the other, for instance, impulsive decision-making and intuitive decision-making as well as programmed decision-making and un-programmed decision-making. The impulsive type can be referred to as irrational decision-making, where the process of making decisions is haphazard and without any discretion and value judgement. The intuitive type relates to decision-making where the process commands rationality and decisions are mostly based on the experience and instinctive knowledge of the decision-maker and not on the facts and scientific evidence provided (Brynard 1997:123-124). Thus, as political structures, municipal councils could be susceptible to make decisions that are either intuitive or impulsive depending on the different political values and morals that could dictate the behavioural conduct of the councillors as a collective. For example, in the

case of the South African Municipal Workers Union (SAMWU) and Vuyile Patrick Nqaba against Merafong City Local Municipality, Nhlanhla Mabaso and MEC: Local Government in Gauteng, the court found the municipal council's decision to appoint a municipal manager to be biased and irrational. As such the Labour Court ordered that the decision to appoint a municipal manager be declared null and void and should be reviewed as it breached the Municipal Systems Act, 2000 (Labour Court Judgement Case number: J1021/12 2013).

Municipal councils often make habitual decisions which have an effect on service delivery. This implies that decisions in municipalities are sometimes made repeatedly. Such decision-making is guided by the organisational objectives, standards, procedures, methods and policy. Such repetitive decisions are referred to as programmed decisions. Un-programmed decision-making relates to the decisions made for a specific purpose depending on the circumstances. These are the decisions that require maximum creativity and greater discretion (Brynard 1997:124-125). For instance, this type of decision-making is necessitated by the desire to achieve a specific organisational objective such as reducing crime in the city centre or revitalizing business in the city centre.

3.2.1.3. Aspects influencing decision-making in organisations

The operations of modern organisations are dynamic. This makes the decision-making process complicated and an imperative component of management. Clifford (1976:51) opines that decision-making is critical in an organisation, because it concerns the future of an organisation. It also involves taking significant risks. Decision-making is a process that relies on the different aspects within a specific environment. These aspects include, inter alia, personality of the decision-maker, perceptions and attitudes of the recipients, political power, and time constraints. Since decision-making is a process that depends on human beings, it is bound to be influenced by the personal value system of a person involved in such a process. Thus every

decision made is based on the morality and virtues of the communities and influenced by the perceptions, attitudes, and prejudices held by the decision-makers (Doyle 2002:356). For instance, after the 2016 South African local government elections, no political party obtained the majority of votes to enable the formation of a government in the City of Tshwane Metropolitan Municipality, thus the EFF, which is perceived to be a radical and militant political party, supported the liberal DA by voting for its councillors in order to form the government of the municipality. As a result, the DA gained the majority through the votes of the EFF and other small political parties. Upon assumption of office, the DA-governed municipality announced that the municipality would retain the Caledonian soccer stadium as it is an integral part of the heritage of Pretoria. The previous municipal council, dominated by the ANC, had decided to demolish the stadium with a view to revamping the area to create a state-of-the-art recreational facility (Pather 2016). This demonstrates the preferences and values attached to a decision by the decision-makers. Perception is important because the manner in which decision-makers observe a particular problem will influence how they will react to it. This affects the critical components of the decision-making process, i.e. discernment and discretion which relates to Stage 1 (problem identification) and Stage 4 (choice of the most suitable alternative) as indicated in Table 3.1.

According to Riemer, Simon and Romance (2006:320), the process of decision-making in a political environment is complex. It often addresses a particular interest, instead of satisfying the needs of the people through the best possible decision. A municipal council is primarily political in its nature, thus the influence of political power on the decision-makers could be dominant in such a way that the process of decision-making merely becomes a formality to address political problems. This was clearly illustrated in the court case pursued by Vuyo Mlokoti against the Amathole District Municipality and Mlamli Zenzile. In this case the High Court found that the appointment of Mlamli Zenzile as the municipal manager by the municipal

council was politically influenced by the ANC Regional Executive Committee (REC) through its caucus. This is despite the fact that Vuyo Mlokoti was scored the highest by the interviewing panel and Mlamli Zenzile was the second best. As such the municipal council ratified a decision of the caucus by appointing Mlamli Zenzile. The High Court found this decision to be inappropriate and reviewed it by appointing Vuyo Mlokoti to the position of the municipal manager of the Amathole District Municipality (Eastern Cape High Court Judgement Case number: 1428/2008 2008).

Time is a scarce resource. Therefore, decision-makers should utilise it efficiently and effectively in their pursuit of problem solving. A municipal council is voted in for a period of time, thus their next re-election often depends on the outcomes achieved during their term of office. Municipal councillors secure public office by virtue of the vote which is granted in respect of the policy position or 'manifestos' that are presented to the voters during the election period (Copus 2014:170). Therefore, municipal councils may tend to make decisions which will have an impact within that period of time. The abovementioned factors are crucial for an understanding of the complexity of the decision-making process within the context of a municipality.

3.2.1.4. Models of decision-making

Since decision-making is largely dictated by human behaviour and the environment within which a decision is to be made, it therefore becomes imperative to highlight the different approaches that could be utilised to achieve effective decision-making in a political milieu. Accordingly, the different models that could be applied in achieving effective decision-making in municipal councils could include the following approaches, as identified by Riemer, Simon and Romance (2006:318):

- rational actor model;
- political actor model;
- organisational actor model;

- elitist actor model; and,
- idiosyncratic actor model.

These models do not exist exclusively in isolation. Although the models indicate important differing factors, some characteristics might appear to exist in more than one model. Table 3.2 provides a brief description of the models, highlighting the significant characteristics of each one.

Table 3.2 Description of models of decision-making

Models of decision-making	Significant characteristics
Rational actor model	Accurate problem identification, factual assessment of key factors causing the problem, considering political realities, cost-benefit analysis
Political actor model	Power struggles, bargaining, conflict, cooperation, consensus and appreciation of diverse; <ul style="list-style-type: none"> • values • purposes and goals • interests • perceptions
Organisational actor model	Protection and promotion of organisational interests, standard operating procedures
Elitist actor model	Influential people, protection of self-interest and power
Idiosyncratic actor model	Personality

Adapted from Brynard 1997:137-140; Riemer, Simon and Romance 2006:319-331;

The models explained in Table 3.2 relate to the position of decision-makers in relation to their immediate environment. Thus, this means that the model exists as a result of the identified characteristics that align with traits of a particular decision-maker in a specific work context. For instance, the political actor model depends on the existence of power struggles influencing the

decision-maker; the ability of the decision-maker to bargain; the ability to resolve conflicts; co-operation with others in achieving objectives and the appreciation of diverse values, purposes, interests and goals by the decision-maker. A municipal council comprises individuals and it operates in a highly politicised environment within the municipality, where most if not all the political-actor model characteristics could be observed. Two variables are significant for the purposes of this thesis, namely; rationality and political consideration. Thus, the thesis establishes whether the role players in a municipal council, when executing their duties, primarily consider rationality or political consideration, especially when making decisions.

3.2.2. Planning

According to the *Concise Oxford dictionary* (2011:1096), the term “planning” denotes a decision made in advance as preparation for an anticipated event. In essence, this refers to a process of involving all stakeholders in the activity of deciding what to do, how to do it, when to do it, and who has to do it. The concept planning in the local government environment could be construed to refer to the ability of municipalities to avoid chaos by bringing order to future endeavours in pursuit of service provision within the demarcated area of a municipality. Thus, municipal planning could be seen as a preparation made in advance to ensure that municipal objectives are achieved, especially the decisions relating to the provision of basic and other municipal services in accordance with the residents’ expectations. In most countries, the term municipal planning is used interchangeably with town or urban and regional planning, which means the intentional arrangement or management of a municipality’s spatial environment on the earth’s surface with a view to create and maintain social order (Forbes 2011:2). For the purpose of this thesis it is argued that municipal councils play an important role in facilitating a platform for the co-ordination of an integrated development planning process. This implies that a municipal council is not directly responsible for planning, but rather utilises the outcomes of the planning process to establish its decisions.

According to Smit, Cronje, Brevis and Vrba (2013:130), planning as one of the core functions of management refers to a process that formulates strategies and goals in order to allow for a clear articulation of the method to be utilised to achieve such goals. Simon, Smithburg and Thompson (1950:423) regard planning as an activity that concerns itself with proposals for the future. This means planning is a process where alternative proposals are evaluated and necessary methods are applied to achieve such proposals. Planning could also be described as the basic management function that encompasses the purposeful consideration and visualisation of the goals the organisation or components of an organisation should achieve in order to succeed, within a particular timeframe despite the uncertainty of the future (Kroon & Van Zyl 1990:111). Thus, the planning process involves a creation of particular goals with the sole purpose of achieving them so that the organisation can succeed in fulfilling its mandate. Donnelly, Gibson and Ivancevich (1981:65) assert that these goals must be stated in terminology that is understandable and acceptable to those who are tasked with achieving them. This implies that the planning process ought to involve all the relevant stakeholders responsible for achieving a specific objective. Therefore, Kroon and Van Zyl (1990:112) describe planning as:

- action-oriented and a thought process;
- a prospective process;
- a systematic process;
- a goal and objective-oriented process;
- a process that identifies the activities to be executed;
- a process that encourages effective utilisation of organisational resources; and
- a process that encapsulates decision-making as an activity for effective problem solving.

Accordingly, it is deduced that plans, that is, a structured outline to achieve goals, are as a consequence of the planning process. Subsequently, decision-making is an integral activity in the planning process, as the plans

aim to fulfil the organisational mandate effectively and with minimum possible risk. Planning is an important management function, as the plans prepare the organisation to make decisions that will most effectively lead to the appropriate functioning of the institution.

3.2.2.1. Importance of organisational planning

The *raison d'être* of organisational planning is to enable effective and efficient achievement of organisational objectives. Thus, planning serves as an essential element of management, moreover as management in the public arena. Organisations exist to serve a specific purpose which is why they should plan in order to avoid unnecessary pitfalls and to maximise the opportunity for their goal attainment. In the context of local government, municipalities exist for a variety of reasons, however, their broad intention is to serve their constituents and regulate the environment in which they operate. For planning to take place, it is imperative that sufficient information is readily available in order to avoid possible interruption in pursuit of organisational objectives. Planning occurs in all organisations and across all levels of an organisation. As a result, the most significant characteristics of planning in the organisation, according to Dessler (1985:30-31), Kroon and Van Zyl (1990:113) and Smit et al. (2013:133) are that planning

- provides direction;
- assists in identifying and solving problems in a systematic manner, thus compelling organisations rather to be proactive than reactive;
- reduces uncertainty and eliminates confusion, thus assisting in revealing future opportunities and threats;
- improves performance of an organisation to attain the goals and objectives in line with the vision of an organisation;
- facilitates control, thus it is essential when monitoring the progress of an organisation with the view to measure performance i.e. obtaining results against the stated objectives and standards; and
- enables a coordinated action, thus avoiding duplication and increasing synergy towards obtaining organisational mandate.

It could be argued that planning in the context of local government takes place in the administrative component of a municipality to prepare for the quantity and quality of services to be provided. In order for the municipal council to take charge of the responsibility to provide such services, it has to depend on the municipal administration which has the necessary information on the demographics, finances and the human capital available to render such a service. Therefore, it is deduced that the characteristics of planning have to be applied by the municipal officials, particularly senior officials, in their quest to plan effectively, thereby providing solutions to the challenges that confront the municipality. With this data, political office bearers have to add the political goals and infuse them into the realities provided by the officials involved in the planning.

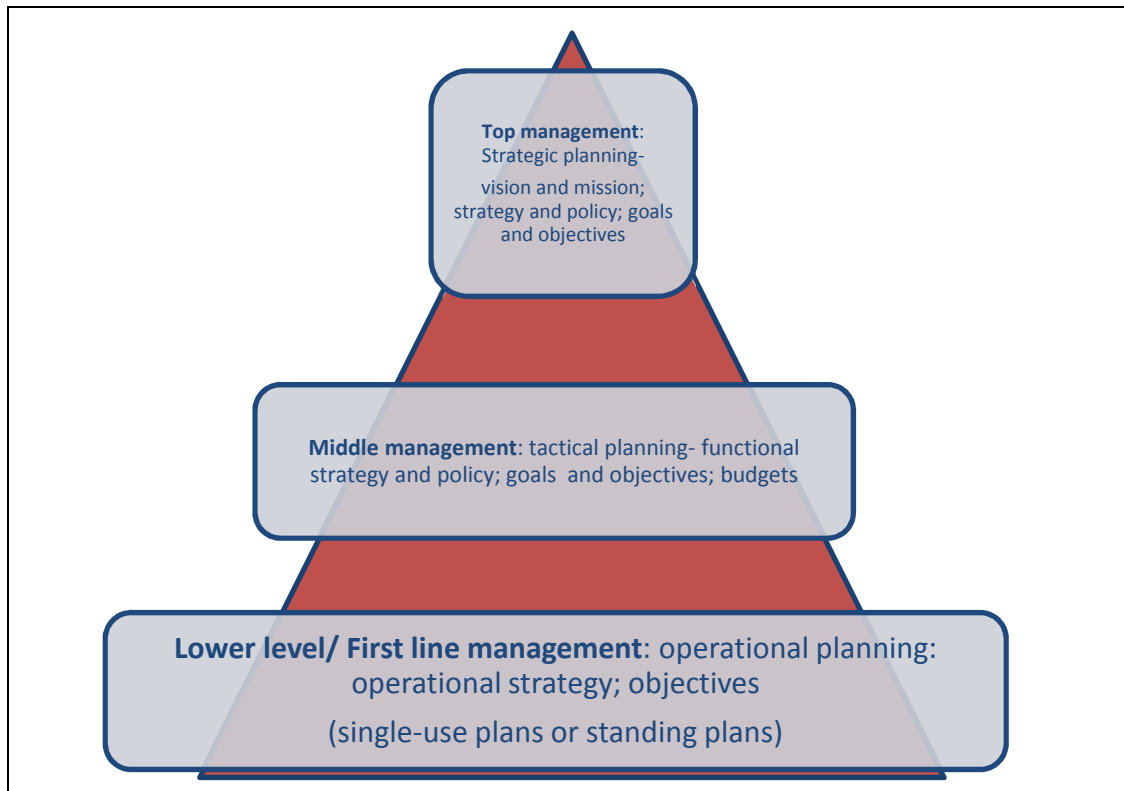
3.2.2.2. Kinds of organisational plans

Paterson (2009:8) contends that planning is not confined to any exclusive discipline in either the natural or social sciences. Thus, various academic disciplines contribute towards developing the theory of planning. Planning theory relates to the concept of improving the environment for the benefit of people within a particular frame of reference by promoting a constant interaction between planning procedures and outcomes (Fainstein 2012:169). Tewdwr-Jones (2002:26) proposes that the development of the theory of planning addresses three pertinent aspects, aims, procedure and social criticism thereby answering the following questions, i.e. What should planning try to achieve? What should be done? How should planning be utilised to obtain accountability? Taking into consideration the above questions, it becomes necessary to distinguish organisational plans from other kinds of plans ranging from development plans, economic plans and regional plans. Despite the differences between the abovementioned plans, it is imperative to note that they appear to be similar in nature, as they all aim to create an enabling environment to achieve specific goals. For the purpose of this study, the discussion on the different kinds of plans should be limited

to organisational plans containing strategic plans, tactical plans and operational plans. The subsequent discussion will make a distinction among the different organisational plans.

The existence of the different kinds of plans in organisations depends on the various aspects of an organisation, such as organisational hierarchy and timeframes (Smit et al. 2013:135). For instance, strategic plans are crafted at the strategic level of an organisation i.e. by senior management, to focus on the entire organisation. In the case of municipalities in South Africa, the formulation of a strategic plan will be the responsibility of the municipal manager with the assistance of senior officials in management posts of the municipality. Strategic plans are long-term plans designed to enable a holistic alignment of the organisation in respect of the changing external environment (Smit et al. 2013:134). Both tactical and operational plans are short term and commonly guide the activities that have to be performed in an organisation on a weekly, monthly and quarterly basis. In terms of the scope and hierarchy of organisational plans, a strategic plan provides comprehensive information for the tactical plan. The tactical plan in turn provides a framework for the operational plan (Kroon & Van Zyl 1990:118). Figure 3.1 describes the planning responsibilities of each management echelon and further elaborates the necessary planning tasks of each management level. For instance, it is clear that only a few of the people in the organisation are assigned the responsibility to develop the strategic vision of an organisation, thereby creating a strategic plan. Thereafter, the middle management echelon will utilise the broader strategic plan to clarify their sectional, departmental or functional responsibilities in consideration of the available resources. Lastly, lower level management will initiate an operational plan to achieve organisational objectives. The widespread lower-level management across different sections and departments in an organisation is responsible for producing the intended results as envisioned in both the strategic and tactical plans.

Figure 3.1: Hierarchy of organisational planning



Source: Adapted from Kroon and Van Zyl (1990:115); Smit et al. (2013:135).

3.2.2.3. Approaches to planning

Various approaches to effective planning exist. These are the approaches that could be followed by an organisation to plan to achieve its goals and objectives. One, or a combination of the following approaches, could be followed by municipal officials (Kroon & Van Zyl 1990:127):

- top-down approach;
- bottom-up approach; and
- contingency planning.

The top-down approach refers to the planning that is initiated by the top echelons guided by the strategic vision and mission of an organisation and cascaded down to the lower levels. This approach seldom considers the needs of the employees during the formulation stage of an organisational plan. For example, in a municipality the top-down approach would apply in a scenario where the executive committee or executive mayor provides

planning guidelines to the respective officials in a specific municipality. The bottom-up approach denotes a planning approach that is initiated at the lower levels of an organisation. This implies that participation of all employees, particularly those at the lower echelons of an organisation, or even community members, would be significant e.g. through ward committees as they would be guiding how planning should be done. An example of this approach to planning in municipalities will be how the Integrated Development Plan is prepared.

A municipal council with the assistance of its municipal manager and other senior managers has to firstly identify the needs of the people, coordinate them and plan on how to realise those needs. In essence this suggests that planning is initiated by the communities, i.e. “end-users” of the municipal services and then passed on to the municipal council for ratification. The municipal council has to align the plan with the human capital, financial and other resources. However, the coordination of the different plans from different sections of the organisation/ community might prove to be challenging as they will not be within a guided framework. Since the local government environment is dynamic and volatile, it is necessary to also utilise a contingency planning approach when the need arises for unexpected situations, as in the case of the extreme drought in the Western Cape, requiring water conservation by the City of Cape Town municipal council.

Contingency planning requires flexibility because it is helpful when adapting to the original plan in response to the unstable environment. The necessity of contingency plans in municipalities is mostly acknowledged if a municipality should experience a natural or human-related disaster. In such a case, it often becomes virtually impossible to change the order of priority of the needs of the inhabitants as outlined in the IDP for the immediate relief from the situation. Thus, a disaster fund is planned for and funds allocated separately through a contingency planning approach or by the re-allocation of the funds from other projects.

3.2.2.4. Organisational planning process

The previous sections have discussed different kinds of organisational plans together with the timeframes required for each type. This section will address the different steps of the planning process. The process of planning is methodical, that is, it follows a systematic routine of tasks. Therefore, a set framework that serves as steps of the planning process exists to achieve effective organisational planning. These organisational planning process steps are established to be utilised for either uncomplicated or complex planning scenarios. The steps of the organisational planning process, in a sequential order, include (Smit, et al. 2013:139-142):

- identifying changes that necessitate planning;
- establishing goals;
- determining assumptions and biases;
- developing various courses of action;
- evaluating various courses of action;
- selecting a course of action;
- formulating plans; and
- determining a budget.

It could be argued that in order for a municipality to guarantee effective and efficient organisational planning, senior officials should ensure that they align their planning framework in accordance with the above steps and regularly advise municipal councillors on the possible alternatives. This is because the municipal council is not directly responsible for planning as the councillors consider the proposals and decide on the possible alternative. For example, if a municipality is faced with the challenge of potable water provision, the first step would be to interrogate the root-causes of the lack of potable water. Then the goal of providing potable water to a specific number of households should be determined. In the process assumptions and associated risks should be acknowledged. Then the methods of the actual delivery of potable

water should be assessed from which the most effective alternative is selected for implementation, taking the financial limitations into consideration.

Prior to any planning scenario arising, it is important for the municipal council to first determine the need for planning, that is, by identifying the existing situation that necessitates planning. These changes are often created as a result of the external pressure exerted by the volatile political environment within which municipal councils operate. The process of goal formulation is necessary in a municipal council, as the council itself has a limited timeframe within which to perform its duties. This is due to the fact that a municipal council is elected for a specified period of time and it should be responsive in addressing the people's needs. These goals should be specific, measurable, attainable, relevant and flexible. After goals have been determined, it is imperative for a municipal council to establish assumptions or terms of reference in order to facilitate the necessary development of the various courses of action.

The evaluation of courses of action and a selection of a course of action thereof will occur. This is important because it will assist in assessing whether municipal councils are still on course and also what should be done in order to afford the planning process the opportunity to sufficiently address what it intends to do, thereby ensuring the achievement of the predetermined goals. Since the execution of a plan depends on the human beings (employees) and other essential resources, it thus becomes necessary to formulate a budget. Therefore, it becomes imperative to establish whether the municipal officials acknowledge the political expediency or the rationality of a decision during the planning process.

In the South African local government sphere, the master plan of each municipality becomes its Integrated Development Plan. This is a five-year plan which provides a detailed and pragmatic strategy of the municipal council to address the needs of the communities whose territory they take

responsibility. The Integrated Development Plan (IDP) will be discussed in chapter four of this thesis.

3.2.3. Legislative oversight

Legislative oversight is prevalent mostly in a Westminster political system. South Africa espouses the Westminster political system because of its colonial history and the relationship the country shared with Britain. The South African Legislative Sector (2012:4) defines legislative oversight as a proactive interaction that should be initiated by the legislature with the executive branch of government and its administrative component. This interaction is intended at encouraging compliance by the executive with the constitutional obligations on the delivery of the agreed objectives which will enable the achievement of government priorities. Furthermore, the Parliament of the Republic of South Africa (2009) defines legislative oversight in the South African perspective as being a process that entails the formal and informal, watchful, strategic and structured scrutiny exercised by legislatures in respect of the implementation of laws, the implementation of the budget and the stringent compliance of statutes and the Constitution, 1996.

According to Schwartz (1957:19), legislative oversight, as a concept, refers to the functioning of the legislature to exercise continuous watchfulness over the execution of the laws. This suggests that the duty of the legislature is to provide continuous oversight over the executive to implement the laws and where necessary render account for the actions taken. Ordinarily, the duties entailed in the processes of legislative oversight involve scrutinising the implementation of the laws by the legislative component over the executive branch of the government. This is important as it promotes accountability by utilising a system of checks and balances. Legislative oversight becomes more effective when the roles and responsibilities of each branch of the government is articulate. Thus, powers are suitably apportioned in accordance with the institutional arrangement that may exist within a specific

country (The World Bank 2002). In the context of the intergovernmental relations framework, each one of the branches of government is responsible to execute the mandate which that branch is constitutionally entitled to address (cf. Schedule 4 and 5 of the Constitution, 1996). For instance, the legislature should only focus on law-making and allow the executive to implement those laws and the courts to adjudicate, thereby promoting the doctrine of separation of powers as discussed in chapter two.

3.2.3.1. Reasons for legislative oversight

According to the Parliament of the Republic of South Africa (2009), the principle of oversight is imperative for any government. It is mainly in the interest of the public since it assists in:

- detecting and preventing the abuse of power, illegal and unconstitutional conduct by the government;
- holding the government accountable regarding the usage of public money;
- monitoring the public policies of the government to observe whether the government complies with the predetermined objectives;
- improving openness and transparency in the government; and
- enhancing the government's ability to provide services, thus, promoting public trust in the government.

Section 151(2) of the Constitution, 1996 asserts that the municipal council has a dual role, i.e. the authority to make and to execute the laws. Thus, legislative oversight is also an imperative aspect in municipal government. However, in municipalities it appears to be difficult for the municipal council to enforce legislative oversight. This is due to the fact that the municipal council acts as both the legislative authority and the executive authority. The implication of this is that the municipal council may not be able to play a meaningful role in maintaining adequate checks and balances. Hence the municipal council could be confronted with conflicting roles. It appears to be a player and a referee simultaneously. The following section will discuss the

mechanisms that could be utilised to achieve legislative oversight, thereby safeguarding the interests of the people.

3.2.3.2. Mechanisms enabling legislative oversight

Different systems of government necessitate the appropriate mechanisms utilised to ensure legislative oversight. For instance, a constitutional democracy such as South Africa, will adopt different mechanisms for legislative oversight as compared to a monarchy such as that of Lesotho or an illiberal democracy as in North Korea. According to Pelizzo and Stapenhurst (2004:2), the mechanisms that ensure legislative oversight can be categorised on the basis of two criteria, the first one being whether the oversight mechanism is to be employed before (*ex ante*) or after (*ex post*) the implementation of a government policy. The second criterion concerns whether the oversight mechanism is exercised internally or externally to the legislature. In most constitutional democracies, the tools of legislative oversight are prescribed within the legislation, often within the constitution itself.

In the case of the Republic of South Africa, Chapter 9 of the Constitution, 1996 among other related legislation, makes provision for the establishment of the state institutions that promote constitutional democracy. Particular Chapter 9 institutions act as watchdog bodies. The scope of authority for these specific institutions is to investigate allegations and issues on any organ of the state including any wrongdoing in municipalities, e.g. Public Protector and Auditor-General. Thus, as mechanisms for legislative oversight in municipalities, these two institutions are established to ensure *ex post* that the implementation of government policies were efficient. For example, the Auditor-General in determining the financial audit outcomes in municipalities assesses whether municipalities comply with legislation and other government policies and regulations on an annual basis. According to Section 165 of the Local Government: Municipal Finance Management Act, 56 of 2003, each municipality must establish an internal audit unit. The

purpose of such an internal audit unit is to prepare a risk-based audit plan and an internal audit programme for each financial year on behalf of a specific municipality. Thus, as an internal structure of the municipality, constituted by municipal officials, the audit unit has to advise the accounting officer and report to the audit committee on the implementation of the internal audit plan and other financial- and fiscal-related matters. In instances where the municipality does not have the capacity to develop its internal audit unit and the municipal council has determined its feasibility and cost-effectiveness, the municipality may outsource such services from external organisations (Section 165(3) of the Municipal Finance Management Act, 56 of 2003).

Furthermore, Section 166 of the Local Government: Municipal Finance Management Act, 56 of 2003 states that each municipality and each municipal entity must establish an audit committee with the purpose of advising the municipal council, political office-bearers the accounting officer, and management officials of the municipality and board of directors of a municipal entity. The audit committee should advise the abovementioned authorities on matters relating to inter alia, compliance with relevant legislation, internal financial control, performance management and effective governance. An audit committee must consist of at least three persons with the appropriate experience, appointed by the council, of whom the majority may not be in the employ of the municipality. Thus, no councillor may be a member of an audit committee (Sections 166(4) and 166(5) of the Municipal Finance Management Act, 56 of 2003).

As a result, municipalities could have their own internal structures through internal audit units and external structures through audit committees to ensure legislative oversight. These structures could play an instrumental role in legislative oversight.

A municipal council as an institution is vested with legislative authority to ensure regular oversight of the executive, particularly over the issues concerning the achievement of the mandate of a municipality. The municipal council has to confirm on a regular basis if the executive of the municipality addresses service delivery issues in line with the approved budget and the IDP. Other examples of mechanisms for legislative oversight are: committee hearing; hearing in a plenary sitting; commission of enquiry; questions; interpellations; and the ombudsman (Public Protector in South Africa) (Pellizo & Stapenhurst 2004:8). All these mechanisms have to be established through the legislature, otherwise it would be difficult for them to act if the executive operates outside the realm of the legislature. For instance, the Public Protector in South Africa can investigate any municipality's conduct to establish whether it is in line with the legislation in giving effect to policies. The Public Protector is accountable to the legislature, i.e. National Assembly. For example, in December 2014 the Public Protector released a report on the investigation into alleged maladministration by the City of Johannesburg Metropolitan Municipality relating to the city's failure to comply with its by-laws and the Constitution, 1996 regarding buildings that had been hijacked by illegal occupants. The findings of the report were that the actions of the City of Johannesburg Metropolitan Municipality constituted maladministration, since it failed to apply enforcement of its by-laws and remedial actions were proposed by the Public Protector (Public Protector 2014:51). The powers of the Public Protector are prescribed in the Public Protector Act, 23 of 1994 (as amended). As a result, the Public Protector could be considered as a mechanism for legislative oversight.

3.2.3.3. Legislative oversight to foster accountability

One of the consequences of legislative oversight is that it enables accountability in government. Accountability can be defined as a social relationship where an actor, whether an individual or organ of the state, is obliged to explain and justify their conduct to some authorised entity, whether a committee or an agency (Parliament of the Republic of South Africa 2009).

Thus, accountability is a distinctive feature of a democratic government, requiring that those in positions of authority are answerable for their actions, decisions and use of public money, amongst others, to those that elected them into such office. Consequently, accountability concerns the practice of giving an explanation of how assigned responsibilities are carried out.

The abovementioned functions of a municipality are imperative for service delivery within municipalities. Thus, it is argued that for effective and efficient delivery of municipal services to be realised, it is significant that the councillors and officials within municipalities understand their roles, powers and limits in executing such functions. The subsequent section in this chapter will discuss the trends and developments that occur in selected countries in relation to the configuration of municipalities and link that with the powers, roles and responsibility of councils, which are carried out in municipalities. In particular, a linkage between the functions, i.e. decision-making, planning and legislative oversight, and selected issues of concern that characterise urban metropolitan municipalities is provided. The selected issues of concern include the population and migration and how these have an effect on the effectiveness and efficiency of the provision of the municipal services.

3.3. INTERNATIONAL EXPERIENCES: TRENDS AND DEVELOPMENTS IN SELECTED COUNTRIES

The growth in the importance and scope of transnational public organisations such as the World Bank, International Monetary Fund and various other organisations operating under the auspices of the United Nations have brought a new dynamic towards how governments within countries manage their public affairs (Chandler 2000:7). For instance, the World Bank would provide an underdeveloped country with a donation on the precondition that particular governmental principles apply, thereby limiting the ability of choice and compromising the sovereignty of a state. Thus, the implication on local government is that decisions and municipal planning have to be made in consideration of the conditions determined by and in favour of the policies of

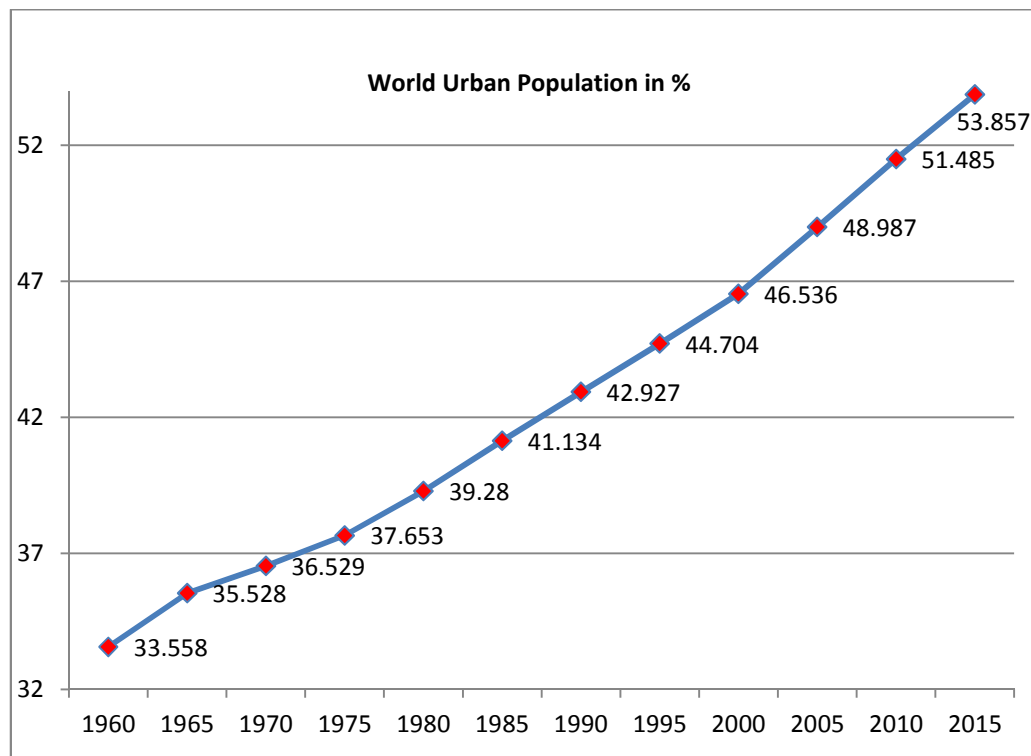
the donors. However, the world has become a global society and the challenges facing governments, including municipalities, go beyond state borders and therefore have become issues of commonality amongst countries (Ijeoma 2009:82). Thus, it becomes important to find a balance between the regulation of states, transnational and international public organisations and respect for the existence of sovereign states to mitigate some of the global challenges.

Globalisation advocates the connectivity among countries as promoted by the World Trade Organisation's (WTO) efforts to achieve a free trade zone within its area of operation. Through this approach it endeavours to develop that entire world as a single market area (Ijeoma 2009:81-82). In 2015 the European Union (EU) faced a complex challenge of the immigration of refugees. According to Metcalfe-Hough (2015:2), the flow of refugees into EU countries has increased rapidly since 2015. This has an effect on decision-making and planning by municipal councillors. The flow of refugees into the EU countries can be attributed to conflicts, violence and crises experienced in countries closer to the region such as Syria, Afghanistan, Eritrea and Iraq. Consequently, the governments of EU countries affected, particularly municipalities have to plan their provision of services in accordance with the number of both citizens and migrants living within their territory. As a result of political instability in some regions in Africa, the inflow of refugees to relatively stable countries could be assumed to be high. Thus, countries like South Africa, which is perceived to be economically and politically stable, may experience a greater influx of migrants from neighbouring countries where individuals seek economic opportunities. Thus, the migrants are likely to seek residence in metropolitan municipalities, since such municipalities provide a greater freedom of economic opportunities as compared to local municipalities. Similar to municipalities in the European Union member states, metropolitan municipalities should be flexible to policy change in order to accommodate sudden and unexpected inflow of people into an area without necessarily interrupting the provision of services.

The significance of local government in some developed countries is aligned to the process of industrialisation which was characterised by a significant movement of people from rural to urban areas (Stoker 1991:1). Gross and Hambleton (2007:3) argue that the global shift to the “knowledge economy” has made some cities the national economic drivers of their countries. This implies that as more people migrate to the cities to seek better economic opportunities, an imbalance is created within their physical environment and its governing structures. This imbalance is accompanied by problems associated with overcrowding, maintaining law and order, and health. Public administration in the past century had seen countries being characterised by a notable growth in urbanisation, particularly between the years 1960 and 2015 as indicated in Figure 3.2. Urbanisation could be defined as a process of movement of people from the rural to urban areas. According to UN-Habitat (2013:15), the trend in Europe is that of a movement away from rural areas as well as significant depopulation of smaller cities in favour of the metropolitan areas. The national urbanisation levels in Europe continue to increase regardless of the national decline in the total urban population.

The number of the world’s urban residents is growing by almost 60 million every year, thus suggesting that the urban population will almost double by 2050. Gross and Hambleton (2007:5) posit that such an urban population growth is spectacular, because it will have a significant effect in the areas that have not been greatly urbanised in the past. This implies that the countries that are still in the process of development will probably experience the greatest urban growth. This could be attributed to the fact that developed countries such as the UK have reached their saturation point in terms of urbanisation as shown in Figure 3.3. This implies that they are almost 100% urbanised. For instance, in 1960 about 33,6% of the world population were urban dwellers and this urban population has since increased to 48,99% in 2005 and ultimately to 53,9% in 2015 (The World Bank 2016).

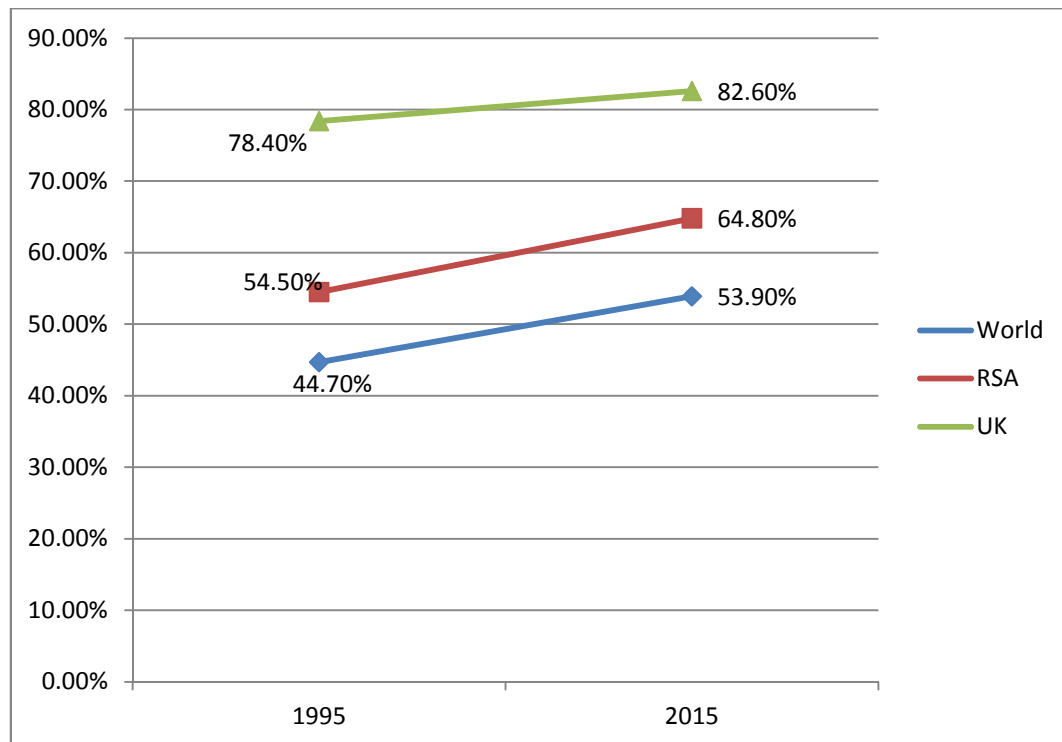
Figure 3.2: World urban population (1960-2015)



Source: Adapted from The World Bank (2016)

In the UK the urban population has grown rapidly in a period of 20 years from 78,4% in 1995 to 82,6% in 2015. Compared to the UK, the South African urban population has grown from 54,5% in 1995 to 64,8% in 2015. Figure 3.3 provides a graphical presentation of the growth of urban dwellers in South Africa and the UK against the global average. On the graph, a positive correlation can be observed among the three variables, implying that in all instances the urban population has experienced an increase in the 20-year period, between 1995 and 2015. Thus it is suggested that a relatively underdeveloped South Africa has experienced a 10,3% growth rate in the 20-year period, whereas the United Kingdom has experienced a growth rate of 4,2% of urban dwellers. The urban population growth in South Africa of 10,3% on a 20-year cycle since 1995 is higher than the world average urban population of 9,2% in the same timeframe (The World Bank 2016).

Figure 3.3: Urban population in RSA, the UK and the world



Source: Adapted from The World Bank (2016)

Since urbanisation is increasing in both the developed and developing African countries, the proportion of the world's urban population is expected to increase by about 10% from 47% in 2000 to about 57% in 2050 (African Development Bank 2012). The trend experienced in the developing regions, particularly in African countries, has been that of high urban growth since the early 1990s where an urban growth of 3,5% was experienced. It is expected to continue until the year 2050 (African Development Bank 2012). Consequently, urbanisation brings with it a myriad of challenges which ends up being a primary responsibility of the local government authority, i.e. municipalities. For instance, rapid urbanisation will translate to high population density in a concentrated metropolitan area. This will mean that municipalities will grapple with challenges associated inter alia with; planning, decision-making, the economy and the provision of basic and other related municipal services.

According to the International Monetary Fund (IMF) (2007), the consequences of urbanisation will create a precarious situation. This could pose challenges in relation to the quality of the livelihoods of populations within those cities. This is dependent on how urbanisation is managed. If the rate of service provision is consistent with the rate of migration, it is expected that urbanisation will propel higher economic growth and a general improved quality of life for the population. This implies that municipalities have to be responsive to the demand of the delivery of services. Thus, urbanisation will have an effect on how the decision-making, planning and legislative oversight of municipalities is adapted to meet the challenges related to urbanisation. The challenge that could face an unresponsive municipality, in respect of addressing urbanisation, would cause an impediment to growth and development due to informal settlements and slums developing in an area. The consequence of this would give rise to other challenges such as (IMF 2007):

- lack of potable water
- lack of proper sanitation
- lack of adequate living spaces
- pollution.

3.3.1. International perspective on the role and functions of municipalities

The policy for the establishment of municipalities differs from country to country. This is dependent on the various attributes that exist in different countries. Thus, the role and functions of municipalities in each country are determined by legislation pertaining to the duties and responsibilities of a municipality. In principle, most municipalities are established to bridge a gap between the governors and the governed, i.e. the government and its people. Therefore, the duties and responsibilities of a municipality bring the government closer to the people and provide communal goods and services to improve the quality of life of the people served by a specific municipality. It

is important to discuss the role of local government in a comparative approach, so that municipalities in the one part of the world, i.e. South Africa, could be made aware of the advantages of practices in selected other parts of the world, i.e. England, Wales or Scotland or vice versa (Batley 1991:210). This assists in improving practice by learning lessons from other systems with constitutional provisions which reveal related characteristics.

3.3.2. Regional practices: selected countries

This section explains the purpose, role and functions of local government authorities in selected countries. The selection was done in terms of the relevance of such areas as well as the closeness of similarity of the system of local government with that of South Africa. A brief explanation is thus provided on how local government structures are created as well as determining how each country utilises local government in its operations. The selected countries are unitary states and a similarity pattern should be determined in order to observe how their system of local government is structured and what functions it performs.

3.3.2.1. Kingdom of Sweden

Sweden is a Scandinavian country in Northern Europe. The Kingdom of Sweden has an estimated population of 9,8 Million people (in 2015) scattered over the 21 counties throughout the 450 295 km² land area size of the country (The World Bank 2016b). The governmental system of Sweden is constituted of three levels, that is, national, regional and local levels. Chapter 1, section 1 of the Swedish Local Government Act of 1992 states that Sweden is divided into municipalities and county councils which aim at promoting the principles of democracy and local self-government. Counties in Sweden refer to structures divided to ensure effective regional government administration. Each county encompasses several municipalities. Similar to the South African arrangement, the Kingdom of Sweden also applies the wall-to-wall municipal system where municipalities cover the entire territory of the country. There are 290 Swedish municipalities. They are responsible for

the provision of a variety of services including childcare and pre-school, primary and secondary schools, health and environmental services, social services, sanitation, urban planning and emergency services among others. Each municipality has an elected assembly which is commonly referred to as the municipal council. The municipal council is responsible for making decisions on municipal matters. Most importantly, the municipal council appoints the municipal executive board which leads and coordinates the activities of the municipality. Local self-government is an important feature that promotes a decentralised system of government in Sweden. This implies that the decision-making function is also decentralised to the municipal council. Thus, the municipal council possesses powers to make decisions, whereas the central government can only develop guidelines outlining the broad national interests. The tendency to decentralise the Swedish government system could be attributed to the reaction against overregulation since the 1940s (Feltenius 2007:460). Similar to the case of South African intergovernmental relations, the Swedish central government can only intervene in the affairs of municipalities if the municipal council acts in a manner that is contrary to the national interests. This implies that the municipalities are recognised as distinctive organs of the government.

3.3.2.2. United Republic of Tanzania

The United Republic of Tanzania is located on the east coast of Africa along the great lakes of the African Rift Valley system in the central part of the continent and the Indian Ocean with an estimated population of 50 million inhabitants spread across the 945 000km² land area (SADC 2016; Tanzania 2016). Tanzania as an independent country was founded in 1964 with Julius Nyerere as its president. Initially the country was officially known as the United Republic of Tanganyika and Zanzibar which later the same year (1964) changed its name to the United Republic of Tanzania (Tanzania 2016). Tanzania has a long history of European colonialism where Zanzibar was initially occupied by the Portuguese in the 16th century. Tanganyika was colonised by Germany in the 19th century, through the acquisition of a

territory on the mainland, which was later under British authority (Tanzania 2016). In terms of Sections 1 and 2 of the Constitution of the United Republic of Tanzania, 1977, Tanzania is one state and is a sovereign United Republic, with its territory covering the whole of the area of mainland Tanzania and Zanzibar. Local government authorities are established through Section 145(1) of the Constitution of Tanzania, 1977. The legislation makes provision for local government authorities to be established in each region, district, urban area, and village in Tanzania. Section 146(1) of the Constitution of Tanzania, 1977 makes provision for the function of local government authorities to transfer authority to the people by ensuring that communities are afforded an opportunity to participate in the planning and implementation of the development programmes within their respective areas and generally throughout the country.

According to Mzee (2008:13), local government in Tanzania is divided into two main units, namely the district authority, responsible for the rural areas, and urban authorities which are responsible for the urban areas of Tanzania. The Tanzanian Local Government (Urban Authorities) Act, 8 of 1982 makes provision for the establishment of local government authorities in urban areas. The Act establishes the different urban authorities, e.g. city councils, municipal councils, town councils and ward development councils. The city council is the equivalent of a metropolitan municipality (Category A) in South Africa, since an urban area has to meet specific requirements, such as population, to be declared as one (Mzee 2008:22).

The urban authorities possess powers and functions that aim at ensuring an effective and an efficient delivery of services within local communities. For instance, the powers and functions of town and municipal councils inter alia include (Local Government (Urban Authorities) Act, 8 of 1982):

- provision of health services;
- provision of primary education;
- control of solid waste management;

- promotion of trade within its area; and
- promotion of development of the informal sector.

Local governments are constituted differently in the different regions and/or countries mentioned above. This is due to the notion that the different levels (spheres) of government exist for a specific reason, purpose and principle, i.e. to serve the population. The level of development also plays a significant role in how the government would organise itself. For example, in Sweden municipal authorities are assigned the powers to collect taxes to generate their own revenue, whereas that may not necessarily be possible with Tanzania and South Africa. This could be attributed to the manner in which governments are structured. Governments of South Africa and Tanzania are centralised in their operations, particularly on the fiscal allocations, whereas in the Swedish case the government is decentralised. South Africa and Tanzania have a relatively lower GDP per capita in comparison with Sweden. The GDP per capita of Tanzania in 2015 was at \$864 855 and for South Africa in 2015 at \$5 691 687 compared to the Kingdom of Sweden's GDP per capita in 2015 at \$50 272 942 (World Bank 2016c). This shows that Sweden is highly developed in relation to the two African countries.

Thus, it could be argued that local government authorities exist for the same purpose and principle, that is to provide the indispensable services to the population to improve the quality of their livelihoods. Furthermore, an observation is made of the similarity of the services that the municipality in each of the abovementioned countries is expected to provide to their respective communities. These are necessitated by the need for such a service by the people in a specific municipality. For instance, the role a municipal council should play in promoting and regulating informal trade in a municipality is a priority in Tanzania. Sweden could prioritise the role of a municipal council in ensuring social services. This is not similar to the case in Tanzania because the needs differ and Sweden may not even have a noticeable informal sector operating within its municipalities. It is argued that

Sweden does not prioritise the regulation of informal trade by municipalities, because the structure of its economy is formal.

3.4. CASE STUDY: EXPERIENCE OF LOCAL GOVERNMENT IN THE UNITED KINGDOM⁵

Great Britain is a union within Europe, that comprises three constituent units, namely England, Scotland and Wales, while the name, United Kingdom, extends Great Britain to include Northern Ireland (Kingdom 2000:25). The United Kingdom of Great Britain and Northern Ireland, as it is officially called, is a unitary state with an estimated population of 65,14 million people, in 2015, dispersed over the four constituent units (The World Bank 2016a). The geographical depiction of the UK with its four constituent units is located on an estimated 243 610km² land as illustrated in Figure 3.4. As can be seen from the map in Figure 3.4, the UK is located between the Atlantic Ocean and the North Sea with England, Scotland and Wales on the mainland and Northern Ireland on the periphery, i.e. located in the northern part of Ireland. The UK is a constitutional monarchy and a parliamentary democracy. The head of state is the reigning monarch and the head of government is the Prime Minister who is the leader of the political party that has a majority in the House of Commons (House of Commons 2015:7-8).

⁵ For the purpose of this thesis the United Kingdom of Great Britain and Northern Ireland refers to a country with four constituent units including England, Scotland, Wales and Northern Ireland.

Figure 3.4: Map of the United Kingdom



Source: <http://media.maps.com/magellan/Images/unitedkingdomrap.gif>

The UK has a complex territorial arrangement; its local government system characterises significant variations from one constituent unit to the other. This is as a result of the disproportionate evolution caused by the actions of the separate reforms of local government in England, Wales and Scotland from 1974 to the 1980s (Bauby & Similie 2013). Thus, the constituent units within the UK have a few similarities and major differences, particularly concerning their functioning in terms of the services that their local government authorities are entitled to provide to the local communities. For instance, in some constituent units, such as England and Wales, the provision of primary and secondary education is a fundamental competence and a responsibility of the local authority. In contrast, the local government authority in Northern Ireland is not responsible for the provision of primary and secondary

education to communities. Another characteristic is the variation in the functioning of the systems of local government regarding the intergovernmental relations arrangements between the different constituent units. For instance, in Wales, Scotland and Northern Ireland the intergovernmental relations framework is somewhat flexible and not strictly regulated compared to how local authorities function in the case of England, where stringent policies exist to regulate how local authorities should relate with other organs of the state (Wilson & Game 1994:120). This arrangement of local government authorities in Wales, Scotland and Northern Ireland could be attributed to the relatively smaller size of their governmental network, in comparison with England.

Local government in the UK provides a wide range of services, such as education, roads maintenance, street lighting, waste collection, recycling and community safety, either directly through municipalities or by commissioning services from external organisations and stakeholders (Local Government Association 2012:4). Thus, most services provided by the respective councils are mandatory, implying that the councils are required by law to provide such services. However, the councils also have the discretion to provide other secondary services, such as the initiation of the local economic regeneration projects (Local Government Association 2011:2-3). These are services that a municipal council may choose to provide, but they are not obliged to do so.

3.4.1. Municipalities in the United Kingdom

Since municipal arrangements in the UK are complex, this section discusses the different components of municipalities within the constituent units. The first constituent unit to be discussed is England with its municipalities, followed by Scotland, then Wales and lastly Northern Ireland. The structure of local government in some parts of the UK consists of two tiers, i.e. county and district. However, in some constituent units, in some parts of England, particularly metropolitan areas operate under a single tier structure (Local Government Association 2011:8). The functions of county councils

includes inter alia: managing schools, providing social services, public transportation, maintenance of roads and highways and waste disposal. District councils cover a relatively smaller area compared to a county council and are responsible for, amongst others; housing, local planning, refuse collection and recycling and maintenance of leisure facilities (Local Government Association 2011:8). Despite these being a responsibility of local government authorities, in the recent past new organisations have been created to carry out some of these functions in England. This is primarily due to the lack of capacity to deliver by local government authorities in England due to the increasing demand for services by the growing local communities. Accordingly, the perceived lack of capacity creates a discordant and fragmented system for the delivery of services to communities (Steward 2014:847). In this case, different organisations would provide a common service, in a different way to the various communities, e.g. road maintenance. According to the Local Government Association (2011:9) five types of local authority could be established in England, namely;

- county councils
- district councils
- unitary authorities
- metropolitan districts
- London boroughs.

In essence the county councils ordinarily have authority over specific areas within the county and provide most of the services in their areas of jurisdiction. There are 27 county councils in England. The 201 district councils cover a relatively smaller area within a county. A district council comprises town and parish councils. Unitary authorities and metropolitan districts are similar in structure, since they are one level of local government with a responsibility for the provision of all the services within an area of their jurisdiction. Sometimes they are both referred to as metropolitan borough or city council. There are 33 boroughs in London with each borough being a unitary authority. All 33 boroughs make up the Greater London Authority

which performs the government functions in the region of London. The Greater London Authority is responsible for amongst others: police, fire, strategic planning and transport (Local Government Association 2011:9).

The local government authorities in other constituent units including Wales, Scotland and Northern Ireland share some similarities with England since they derive their powers from a similar legislative framework and guidelines. This implies that the legislation overlaps in other constituent units. For instance, one section of the UK Local Government Act of 2000 may be applicable to England and Wales and exclude Scotland and Northern Ireland. This brings about the complexity of the legislative arrangements in the constituent member countries of the United Kingdom. The structure of the Welsh local government comprises 22 councils which are unitary authorities (Local Government Association 2011:11). Unitary authorities are established to provide all the local government services to the local communities in Wales.

Local government in Scotland comprises 32 unitary local authorities responsible for the provision of various services similar to those provided by local authorities in England (Local Government Association 2011:11). The local authorities have powers and duties vested in them in terms of the Local Government (Scotland) Act of 1973 and the Planning etc. (Scotland) Act of 2006. These duties and powers are the mandatory duties and regulatory powers. However, it is common practice in the Scottish local government to utilise external organisations to provide local services on behalf of the local authorities. The Scottish local government encourages and promotes partnership, where the legislation to some extent directs the local authorities to deliver some services in an integrated approach through community planning (Scotland 2016a).

Within Northern Ireland, the local government comprises 11 councils assigned the responsibility to provide local day-to-day services to the

communities falling within their areas of jurisdiction (Northern Ireland 2016). Local councils in Northern Ireland are responsible for the provision of services including inter alia; waste collection and disposal, civic amenity provision, maintenance of cemeteries, street cleaning, health and safety, environmental protection and registration of births, deaths and marriages (Northern Ireland 2016). Since 2015 local authorities in Northern Ireland are vested with the authority to plan. Previously, local councils did not have the authority to create and implement a developmental plan and were only consulted on issues related to planning applicable to a specific local authority (Northern Ireland 2016). It is clear that the government has realised bottom-up planning should be implemented instead of trying to enforce national planning which could result in resistance by communities.

3.4.2. Composition and functioning of councils in the UK

The variables have been identified and will assist in explaining the functioning of a municipal council in the UK as measured against the practice in South Africa. As stated earlier in this chapter, decision-making, planning, and legislative oversight are the imperative functions of a municipal council. These determine the success of a municipality in achieving its mandate. For the purpose of this thesis, the three variables will be considered as the main functions of the unit of analysis, i.e. a municipal council.

In the UK the various councils within the local government realm are composed of councillors who are often referred to as members, voted into office by the electorate during local elections. These councils contain other sub-structures within them. For instance, in some municipalities in England, Wales and Scotland the structure of the municipal council would consist of the full council, its committees, the appointed cabinet (executive) and a leader or the elected mayor. Each has a different role to play in municipal government and administration. A full council includes all the elected councillors. It is a structure that is vested with the responsibility of debating policy issues and making decisions on matters serving in council.

Since councillors are elected to the local council to represent their local areas, it is necessary that they either live or work in that specific ward. The requirements of a person pursuing candidacy to become a local councillor in accordance with the UK Electoral Commission (2016:2-3) should be that the person:

- is at least 18 years of age;
- is a British citizen, an eligible commonwealth citizen, or citizen of any member state of the European Union (at the time of voting); and
- qualifies in at least one of the four criteria:
 - is registered as a local government voter within the local authority area in which the candidate wishes to stand;
 - has occupied land or premises as an owner or tenant in the local authority area for a period of more than 12 months prior to the opening of nomination of candidates;
 - as candidate has lived within the local authority for 12 months prior to the day of nomination;
 - as candidate the main or only place of employment should be within the local authority area where the candidate wishes to stand and the premises of the employer should have been in that area for more than 12 months prior to nomination and elections.

Despite the requirements, the UK Electoral Commission has a number of restrictions for persons not eligible to be elected to the local council. These include individuals employed by the local authority, individuals who are subjected to a bankruptcy restriction order, and persons sentenced for a term of imprisonment of three months or more without the option of a fine. These disqualifications have been developed to ensure that potential candidates with questionable integrity do not qualify to occupy a position of authority in the local council.

Three other types of council structures can be found within the local government system in the UK, particularly within England and Wales in terms of Section 11 of the Local Government Act of 2000. These types are a combination of the substructures of the councils listed above. They include, namely:

- Leader and cabinet executive;
- Executive mayor and cabinet executive, and
- Committee system.

The leader and cabinet executive and the executive mayor and cabinet systems function in the same manner, except for the difference regarding the executive mayor and cabinet system; the mayor may not necessarily be from the political party that has the majority of seats on the council (Friends of the Earth 2002:6). Each local authority adopts legislation that determines issues relating to the operation, decision-making and procedures followed to ensure effective, efficient and accountable government to the local communities (Friends of the Earth 2002:5). This implies that decision-making remains a responsibility of the executive councillors and could be achieved through debating, voting and evidence-based research done or commissioned by the councillors.

In the UK local councils have the responsibility to make decisions that concern municipal government and administration required for the delivery of goods and services within their area. The decision-making function is exercised through a framework known as the “Forward Plan”. This emphasises the significance of decision-making as a key component for the functioning of local government authorities. Thus, such decision-making powers are vested in a political structure that carries the mandate honouring the principle of local democracy.

Although chapter four of this thesis will discuss the functioning of the South African local government system, it is imperative to provide a comparison of

the composition of the municipal council in this chapter. Thus, in contrast with UK local government, the South African legislation makes provision for the establishment of five types of executive systems. The different types of executive systems as provided for by section 7 of the Local Government: Municipal Structures Act, 117 of 1998, include

- collective executive system
- mayoral executive system
- plenary executive system
- subcouncil participatory system
- ward participatory system.

These systems can be established in municipalities as per the requirements of a specific category of municipality. Essentially these executive systems determine how a municipal authority should be politically structured. For example, in a mayoral executive system, the system allows for the exercising of the executive authority through an executive mayor in whom the executive leadership of the municipality is vested and who is assisted by a mayoral committee. This implies that one of the councillors will have to be elected from among the municipal council members to act as the executive mayor, in whom the executive leadership of the municipality is vested. The mayoral committee is composed of elected councillors from within the municipal council to serve at the pleasure of the executive mayor. Section 151(2) of the Constitution of the Republic of South Africa, 1996 alludes to the fact that a municipal council is a decision-making authority of a municipality. Furthermore, this provision asserts that a municipal council is vested with both the legislative and executive authority of a municipality. Thus, the municipal council has the authority to make decisions concerning when, how and what services should be provided to communities. The municipal council is also responsible to oversee the actions of officials by performing the executive function.

Planning ensures a proper coordination and detailed framework of how to go about addressing specific issues affecting the local community by their municipal authority. This implies that a local government authority requires a framework to guide its actions. In the UK the local government authority is required to develop a programme of work indicating the key decisions to be made within a specified period of time. It is argued that planning influences the outcome of the decisions made, therefore it becomes imperative for the local authority to engage in the planning activity for effective implementation of decisions. The UK local government authority utilises the Forward Plan as a framework to inform their decision-making. A Forward Plan entails the key decisions due to be made by the executive authority in the next four months (Local Government Association 2011:15). It is a four-month developmental framework guiding the local authority on what the needs and aspirations of the local communities are. In South Africa, municipal planning is guided by the Integrated Development Plan which serves a similar purpose of involving the community in significant decision-making of local affairs, but for a period of five years. According to Cheshire East Council (2016), the information that reflects on the Forward Plan indicates the following:

- i. expected date when a decision will be made;
- ii. identity of the responsible office-bearer/official/decision-maker;
- iii. list of reports and background research to be considered by the office-bearer/official/decision-maker;
- iv. proposed date, time and venue for public consultations; and
- v. responsible office where representation can be made by the local community in terms of the proposed decision.

A developmental plan such as the Integrated Development Plan and the Forward Plan are imperative for effective delivery of services to local communities, thereby improving the quality of lives of the inhabitants. It is argued that with the limited financial resources that most local government authorities' experience, they should prioritise the planning process because this guides and influences a municipality's budget. This is a prerequisite

because the availability of funds as contained in the municipal budget determines the implementation of the service delivery projects. It is further noted that the Forward Plan as utilised in local government in the UK is concise and short-term as compared to the South African Integrated Development Plan. This could be attributed to the fact that a Forward Plan is only valid for four months whereas the IDP applies in municipalities for a period of five years with reviews for re-prioritisation through the Service Delivery and Budget Implementation Plan (SDBIP) done every 12 months. Thus, the planning process in the local government authority in the UK significantly promotes the principle of local democracy through community participation.

Decision-making and planning are subject to accountability to local communities. Local government authorities have to develop mechanisms to promote accountability owed to the electorates, thereby promoting democratic values. Section 21 of the Local Government Act of 2000 of the UK makes provision for the establishment of overview and scrutiny committees. These committees are made up of the councillors who are not members of the municipal executive (cabinet). The committees are responsible for maintaining transparency and accountability within a local authority. Thus, in terms of Section 21(2) the executive arrangements by a local authority enable the overview and scrutiny committee to:

- review or scrutinise decisions made, or other action taken, in connection with the discharge of any functions which are a responsibility of the executive;
- write reports or make recommendations to the executive with respect to the discharge of any functions which are a responsibility of the executive;
- review or scrutinise decisions made, or other action taken, in connection with the discharge of any functions which are not the responsibility of the executive;

- write reports or make recommendations to the executive with respect to the discharge of any functions which are not the responsibility of the executive; and
- write reports or make recommendations to the executive on matters which affect the authority's area or the inhabitants of that area.

It can be deduced that the overview and scrutiny committees are important role-players in local authority decision making. Legislation implies that the roles of these committees are two-fold, i.e. to ensure oversight and support local authorities. Thus, the overview and scrutiny committees create an effective system of accountability. It is noteworthy that the overview and scrutiny committee provides the much-needed proof to the public in terms of safeguarding the public interest. The utilisation of these committees goes a long way in ensuring public trust and consequently the local government system obtaining legitimacy through the confidence that the public has in these local government authorities.

3.5. CONCLUSION

Local government is an important platform utilised by countries to ensure the constant interaction between the government and its electorate. This is important since the formulation of public policies depends on the input and contribution by the population through different mechanisms of public and citizen participation. This chapter discussed the critical roles and functions of municipalities, often referred to as the local government authorities. The chapter emphasised the importance of local government possessing powers to make decisions, the ability to ensure organisational planning and the authority to ensure legislative oversight through committees, thereby improving and maintaining accountability and transparency within the government that is closest to the people.

A contextual approach towards understanding the roles and functions of the municipalities was applied; this enriches the discourse on the three key

functions, which are namely; decision making, planning and legislative oversight. Through the discussion, the above-mentioned functions were discussed and it was determined that no organisations established in the public interest could properly operate without applying these key functions.

The second part of the chapter focussed on local government trends and developments in selected countries. The purpose of this discussion was to explain the importance of learning from the selected countries since each municipality operates within a country which in turn operates globally. Essentially, this implies that the external environment, i.e. other countries and international organisations, are influential on how the domestic environment, i.e. municipalities and local authorities operate. Then an investigation into the practices that are observed internationally was made. Through this exercise, it was observed that local government structures differ substantially among countries yet despite this factor, they have all been established to achieve similar objectives, such as providing services to the population to improve the quality of the standard of their lives. This exercise was achieved by making a comparative analysis of local government structures in the Sweden and Tanzania.

Lastly, the chapter discussed the experience of local government in the UK through the usage of specific case studies on the local authorities in England, Wales, Scotland and Northern Ireland. It could be concluded that local authorities are the creations of the states in which they operate. They are developed in accordance with the historical developments of the governmental system and are continuously adapted to meet changing social, political and physical conditions. The degree and rate of urbanisation play important roles in the development of the structures and the functions performed.

CHAPTER 4: SYSTEM OF LOCAL GOVERNMENT IN SOUTH AFRICA

4.1. INTRODUCTION

The legislative environment within which local government operates in South Africa is strictly regulated. This implies that there are policies and pieces of legislation that have been developed to ensure that municipalities perform effectively and efficiently in realising the aspirations of their inhabitants. With the three spheres, intergovernmental relations require municipalities to take responsibility for particular functions required for the promotion of the political, social and economic development of the country. Despite its history of colonialism and oppression, the local sphere of government has to be empowered to make decisions and execute specific functions to provide basic and other municipal-related services to all inhabitants within specified municipal jurisdictions. This suggests that municipalities also have a role to play in addressing the inequalities that were created by the Apartheid regime. One such intervention to remedy the inequalities within local communities is through the indigent policy which is institutionalised by the national government and adopted with variations by municipalities in accordance with their particular capabilities and physical environment.

Chapter three addressed the role and functions of municipalities, with particular reference to the UK. This chapter serves as one of the pillars of this thesis since it focuses on the environment, structure and system of local government in South Africa. This is imperative because it will assist in addressing the problem statement and the research questions of the study. Chapter four will firstly discuss the government system in South Africa. The purpose of this discussion is to explain the intergovernmental relations framework of the South African system, thereby locating the local sphere of government within the three spheres of government system. The second aspect to be focused on is the discussion on the background of the South African local government. This discussion has three components, namely,

(i) Apartheid local government, (ii) local government in a democratic dispensation, and (iii) different types of environments that affect local government. The role and functioning of municipalities in South Africa is regulated by legislation and policies of the government. Thus, the third component will concern municipal functioning. Fourthly, the systems and structure of local government will be examined. This focus clarifies the background to the establishment of municipalities in South Africa. Through this investigation, issues that concern the composition, objectives, and different types of executive systems of municipalities will be discussed. This chapter will be concluded by the final section that focuses on the strategies to enhance efficiency and effectiveness in the provision of services by municipalities in South Africa. This investigation will determine the effectiveness of such strategies, in an effort to achieve a developmental system of local government in South Africa.

4.2. GOVERNMENT SYSTEM IN SOUTH AFRICA

As in most states in Africa, South Africa has a history of colonialism and oppression. Democracy in South Africa came into effect in 1994, after countless struggles of the people and the efforts of the Convention for Democratic South Africa (CODESA) negotiations which were initiated in the late 1980s (Madumo 2012:85). The Republic of South Africa occupies the southernmost tip of the African continent, with a land surface area of 1 219 602 km² and a population estimated at 56,5 million inhabitants in 2017 (StatsSA 2017a). South Africa shares common boundaries with Namibia, Botswana, Zimbabwe, Mozambique and Swaziland, while the Kingdom of Lesotho is landlocked by its territory as indicated on the map in Figure 4.1 (South Africa Yearbook 2013/14:1-2).

Figure 4.1: Map of Southern Africa



Source: Google Map (2016)

South Africa is a unitary state with federal characteristics, which is embedded with the principles of a constitutional democracy (Malan 2014:54). This implies that the authority of the state is derived from a constitution and is concentrated in the central/ national sphere of government. The government of the Republic of South Africa is constituted as three spheres of government and the powers of the state are conferred in accordance with the three arms or branches of government, namely legislative, executive and the judiciary. Accordingly, the legislature possesses the legislative authority, meaning that it has the law-making powers. Thus, the legislative authority in the national sphere in South Africa is vested in Parliament which is composed of two chambers, namely, the National Assembly (NA) and the National Council of Provinces (NCOP) in terms of Section 44 of the Constitution, 1996. In the provincial sphere, the legislative authority is vested in the provincial legislature. In the local government sphere, municipal councils possess the legislative (and executive) authority in accordance with Section 43(b) and Section 43(c) of the Constitution, 1996 respectively. Interrogation of the functioning of the municipal council will be done in this chapter, as the legislative authority of the local government sphere is of interest in this research and will be discussed in detail in subsequent sections.

The executive authority of the Republic of South Africa is vested in the President (Section 85 of the Constitution 1996), who is the head of State and head of the national executive as prescribed by Section 83 of the Constitution. In the provincial sphere of government, Section 125 of the Constitution determines that the executive authority of each of the nine provinces is vested in the Premier of that specific province. In the local government sphere the executive authority is vested in the municipal council. This is somewhat different to the assignment of the executive authority in both the national and provincial spheres.

The judicial authority of the Republic of South Africa is vested in the various courts that have been established by legislation (section 165 of the Constitution 1996), implying that there is one system of the judiciary to determine and adjudicate laws in all three spheres of government. However, various courts exist, namely: the Constitutional Court (CC), the Supreme Court of Appeal (SCA), the High Court of South Africa (HC), the Magistrates' Court (MC) and any other courts established in terms of Section 166 of the Constitution, 1996. Chapter 9 of the Constitution makes provision for the establishment of institutions that support and promote a constitutional democracy. These institutions are independent and subject to only the Constitution and the law. They must be impartial and exercise their powers and perform their functions without fear, favour or prejudice (Section 181 of the Constitution 1996). These constitutional institutions include

- Public Protector
- South African Human Rights Commission
- Commission for the Promotion and Protection of the Rights of Cultural, Religious and Linguistic Communities
- Commission for Gender Equality
- Auditor-General
- Electoral Commission.

The above institutions are accountable to the National Assembly and must report on their activities and performance of their functions to the National Assembly at least once a year. No organ of the state may interfere with the exercise of the functions of any of the state institutions supporting the constitutional democracy. Any one of these state institutions may launch an investigation against any organ of the state, including any other institution that supports democracy. For instance, in January 2016 the uThukela District Municipal Council in KwaZulu-Natal Province was alleged to have awarded bursaries to 16 young girls on the basis of them maintaining their virginity status. As a bursary condition, the students had to be regularly tested for their virginity throughout the duration of studies (Merten 2016). The two chapter 9 institutions, namely the South African Human Rights Commission and the Commission for Gender Equality, launched an investigation to ascertain the veracity of these allegations. Both institutions supporting constitutional democracy found that the practice of awarding bursaries on the basis of virginity was performed as an attempt to promote cultural and traditional practices, despite such actions being unconstitutional in terms of Section 12 concerning security of person (Constitution 1996). As a result, the uThukela district council was advised to withdraw its practice of awarding bursaries associated with practices where people's human dignity (Section 10 of the Constitution 1996) and other fundamental rights are violated.

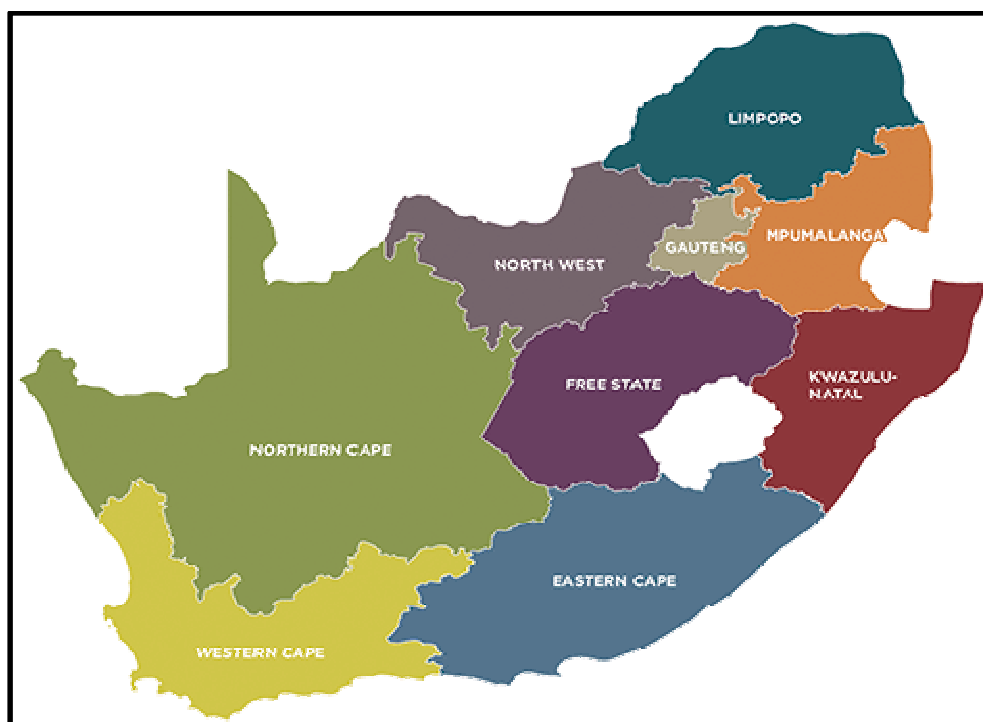
A chapter 9 institution may launch an investigation against another public institution. An example of such an incident was when the Office of the Public Protector investigated allegations of maladministration and corruption in the procurement of the Riverside Office Park in Centurion in Gauteng Province to accommodate the headquarters of the Electoral Commission (Pillay 2013). The Public Protector found that the R320 million lease agreement was irregular and had violated the Electoral Commissions' procurement policy; hence disciplinary action had to be taken. The Public Protector recommended that action be taken against Advocate Tlakula, the Chief Electoral Officer of the Electoral Commission, for "her role in the procurement of the Riverside Office Park building in light of the undisclosed and

unmanaged conflict of interest and her contravention of the procurement laws” (Public Protector 2013:218).

The Constitution of the Republic of South Africa, 1996, which is the supreme law of the country, recognises the national, provincial and local spheres of government [Section 40(1)]. These spheres are distinctive, interrelated and interdependent, thereby creating a system where each sphere is identified as unique and as a sphere existing within its own right. The nine provinces within the borders of the South African territory were established in terms of Section 103 of the Constitution. The nine provinces are depicted on the map in Figure 4.2 and they are, namely:

- Eastern Cape
- Free State
- Gauteng
- KwaZulu-Natal
- Limpopo
- Mpumalanga
- Northern Cape
- North West
- Western Cape.

Figure 4.2: Map of provinces of South Africa



Source: The Local Government Handbook (2016)

Municipalities as the basic units of the local government structure are established within the geographical space of each one of the nine provinces in the country. Figure 4.2 is a map of the geographical location of the nine provinces that constitute the Republic of South Africa. Chapter 7 of the Constitution, 1996, provides a framework for the establishment of democratic local government. Local government (in 2017) comprises 257 municipalities that have been established for the entire territory of the Republic [Section 151(1)]. The provincial breakdown of the number of municipalities existing in each province is illustrated in Table 4.1.

Table 4.1 Provincial breakdown of municipalities

Province	Number of Metropolitan municipalities	Number of District municipalities	Number of Local municipalities	Total
Eastern Cape	2	6	31	39
Free State	1	4	18	23
Gauteng	3	2	6	11
KwaZulu-Natal	1	10	43	54
Limpopo	0	5	22	27
Mpumalanga	0	3	17	20
Northern Cape	0	5	26	31
North West	0	4	18	22
Western Cape	1	5	24	30
Total	8	44	205	257

Source: Adapted from Electoral Commission (2016) and The Local Government Handbook (2016)

4.3. BACKGROUND OF SOUTH AFRICAN LOCAL GOVERNMENT

The study of local government denotes that local government in South Africa can be traced back to over 350 years ago (Craythorne 2006:1). However, it would be futile to investigate and discuss its evolution since existence, because there have been significant changes in the system and the system of local government then and now is significantly different. Thus, the relevant stages in the historical development of local government in South Africa will be discussed. In particular, it is imperative for the discussion to focus on the influence of colonisers in the period leading up to the end of the 17th century. This is important owing to the notion that the current system of local government derives from the arrival of colonisers and the influences that they had on the indigenous inhabitants of South Africa.

Since the 1652 occupation of the Cape of Good Hope by Dutch settlers, local government in South Africa has experienced significant changes (Thornhill & Cloete 2014:3). Initially, the Dutch settlers governed the colony on a centralised basis until the system of *landdrosten* and *heemraden* was

established. The term *landdrost* denoted a magistrate responsible for an area entrusted to him, whereas the *heemraden* referred to a group of citizens appointed by the governor. Therefore, this governing structure formed a council known as the *College of Landdrost and Heemraden* which could be equated to the present-day municipal council within the local government structure, although the members were not elected (Thornhill & Cloete 2014:8). It is significant to note that the *College of Landdrost and Heemraden* did not perform municipal functions. They dealt with disputes, water rights and acted on behalf of the political council. The *College of Landdrost and Heemraden* system was later adopted and implemented in the Boer Republics, when the *Boer Trekkers* moved inland and away from the Cape Colony after the British usurped power to take control of the Cape Colony from the Dutch in 1806. Craythorne (2006:9) posits that the system remained in place and was implemented in some parts of the various Boer Republics until the conquests by the British over a period of nearly a century.

In 1836 the Cape Colony, which was under the authority of the British, developed an ordinance to regulate the collection of local tax with the purpose of financing local services. This was followed by the ordinance passed in 1840 which aimed at creating an elected board in Cape Town and subsequently passing yet other legislation which administered the election of councillors. A breakthrough was obtained in 1854 when the Natal Colony passed a local government ordinance that was primarily derived from the local government laws of England at the time. At that stage, the Natal Colony had more effective local government laws in comparison to its neighbouring Cape Colony because through its legislation it provided inter alia that (Craythorne 2006:9):

- representatives should be elected by voters whose names appear on a voters' roll;
- municipal council could decide on the rates levied on property that is valued;
- towns be constituted as corporate bodies;

- auditors should be appointed;
- a town clerk and other senior officials could be appointed and not elected in a public meeting; and
- a committee system was to be introduced.

Although decades passed since the initial introduction of these issues which were resolved in the 1854 ordinance of the Natal Colony, the current system of local government still resembles these issues and they feature prominently in the various pieces of local government legislation. The comprehensive framework of local government legislation expands on these important issues and how they should be addressed within municipalities. For instance, Section 158 of the Constitution, 1996 outlines the requirements for a citizen to be nominated as municipal councillor, whereas Section 54A of the Municipal Systems Act, 2000 regulates the requirements for the appointment of a municipal manager by the municipal council. This clearly illustrates the notion that the current system of local government derives from the influences of the colonisers and their systems. It is argued that one cannot simply study South African local government without appreciating its historical antecedents. The following sections will provide a reflection of the evolution of the local government system that occurred in different areas of South Africa.

4.3.1. Period leading to the demise of the Apartheid local government

Koma (2014:32) asserts that the Apartheid regime was not the beginning of geographic, institutional and social separation in the local sphere of government, because segregation was already a policy by the time Apartheid was institutionalised in 1948. It should be borne in mind that through colonialism, segregation was intensified. It is significant to note that during the period 1907–1908, the two former Boer republics were permitted to form a “White-only” self-government. This was done despite promises made to the contrary and, as a result, the interests of the Black communities were sacrificed in the interest of “White nation-building” despite the white language

divide, i.e. the English-speaking versus Afrikaans-speaking people (Republic of South Africa 2016). In 1908 the need arose to establish a customs and tariff union in South Africa as a result of the development of railway lines across the colonies. Thus the legislative authorities of the different colonies were requested to assent to the proposal of holding a National Convention in order to consider the necessary steps of establishing the South African Union. One of the mandates of the National Convention was to consider and report on the most desirable form of South African Union and to prepare a draft constitution. This eventually led to the four main colonies merging to establish an independent territory called the Union of South Africa in 1910 (Walton 1912:26-27).

The Natives (Urban Areas) Act, 1923 was enacted to entrench urban segregation by controlling the mobility of Blacks by means of the pass laws. The pass laws were designed to force Blacks into intensive labour and to keep them there under conditions and at wage levels that suited White employers, and to deny them any bargaining power (Republic of South Africa 2016). Through this, the principles embedding the philosophy of the Apartheid doctrine were created. The Black Administration Act, 1927 and the Black (Urban Areas) Act, 1945 intensified the segregation by creating a system where human settlement within the local sphere of government was regulated on the basis of race and ethnicity (De Visser 2005:58).

In 1948 Apartheid was institutionalised through various pieces of legislation passed over a period of more than 40 years on the basis of the principles of the policy of separate development. Key among the legislation that had a decisive impact on the local government structure and its operations was the Group Areas Act, 41 of 1950. This law, which is now repealed, instituted stringent residential segregation and compulsory relocation of Blacks to the townships, that is, areas specifically demarcated for only Black communities (Koma 2014:32). This implies that the Apartheid regime resolved to ensure influx control in urban areas, thereby limiting the extent of coexistence

between the communities of different racial compositions. During the 1960s, the government established the Coloured and Indian management committees, with the sole purpose of developing settlements in rural areas in the Cape and Natal provinces. These management committees/local affairs committees were as a result of the realisation that neither the Coloureds nor the Indians disposed of any national states within which they could obtain political rights, thus remaining in the broader South African community (De Beer & Lourens 1995:22-23).

A milestone was reached when a Constitution was enacted in 1983 (Act 110 of 1983). This Constitution (Act 110 of 1983) aimed at bringing about political reform, despite the existing government policy of Apartheid. For instance, the 1983 Constitution advanced separate development by making a distinction between the different population groups and further classifying the matters concerned as either “own affairs” or “general affairs”. The powers and functions to make a determination of who should belong in a specific population group were solely vested in the State President in terms of Section 16 of the 1983 Constitution. The 1983 Constitution resulted in further legislation being passed in an attempt to promote the interests of the different population groups. Firstly, in 1983, the Promotion of Local Government Affairs Act, 91 of 1983 was passed with the view to establish a Council for the Co-ordination of Local Government Affairs. The role of this Council was to make recommendations on issues affecting local government affairs in all local authorities, as the Council comprised representation from White, Indian, Coloured and Black local government associations (Craythorne 2006:10). However, the structure was perceived as being ineffective, because it lacked powers to make enforceable decisions.

Secondly, the enactment of the Regional Services Councils Act, 109 of 1985 advanced the coordination of decision-making by representatives of the different local government structures. This implies that the Regional Services Councils provided the necessary platform for the different representatives to

meet and agree on matters of common interest (Craythorne 2006:10). As discussed in chapter two of this thesis, the Regional Services Councils provided the local government sphere (it was referred to as the local government level then) with a much-needed second source of income. Influences, such as economic sanctions exerted on South Africa from external actors in the late 1980s, resulted in the government responding in the best way it knows how, causing the political turmoil that transpired. The turmoil had the potential to collapse the Apartheid local government system, since the White municipalities were experiencing financial pressure by organised consumers, service and rent boycotts (White Paper on Local Government 1998:25). This necessitated negotiations in pursuit of an inclusive local government system.

Among other methods, the government passed the Interim Measures for Local Government Act, 128 of 1991 to create a forum that would allow for local communities to organise themselves and negotiate from a range of options to address and propel the future trajectory of local government in South Africa. Amongst the issues discussed in the forum was an interim arrangement relating to the amalgamation of local authorities where the various resources would be shared and the establishment of organisations that would provide joint services in the local authorities (Craythorne 2006:10). Some of the representatives were concerned by the legal constraints that separated Black residents from the municipal tax base and believed that the issue had to be addressed nationally through the Local Government Negotiating Forum (LGNF). This campaign was popularised by the “One city, one tax base” slogan (White Paper on Local Government 1998:25). Consequently, the LGNF was established. De Beer and Lourens (1995:116) assert that a committee was created to adopt an agreement, to which the terms of reference of the LGNF were set out. Central to the agreement was the issue of membership of the LGNF.

The LGNF consisted of 50 members, although consideration could be given to extend the membership. Twenty-five (50%) were representatives of the “statutory” local government institutions, that is organisations entrusted with local government and the central and provincial government. The other 25 (50%) were representatives of the “non-statutory” bodies and organisations which have an interest in local government affairs (De Beer & Lourens 1995:116). The statutory representatives referred to delegates drawn from the different organs of the state, such as the central government’s Department of Local Government, Department of Local Government in the four provinces, the Major Cities Association and the United Municipal Executive (representing councillors from white municipalities). The non-statutory representatives referred to structures that existed outside of government and were primarily dominated by the South African National Civic Organisation (SANCO) (Cameron 1999:84; Cloete 1995:4). Delegates that were considered to be from non-statutory bodies represented predominantly communities that were marginalised and disenfranchised. The participation of political parties such as the ANC and the National Party (NP) on the LGNF is not clear. In fact, Cameron (1999:84) argues that the notable exclusion of political parties was as a result of the notion that the intended Multi-Party Negotiating Forum (MPNF), where political parties had representation, focused on the Constitution and not on the concerns of local government. The LGNF pioneered a new epoch of a local government system, which was characterised by the transition consisting of three phases, namely; pre-interim phase, interim phase and final phase (Craythorne 2006:11).

The three phases signified the local government democratisation process. In particular, Chapter 10 of the Interim Constitution Act, 200 of 1993 and the Local Government Transition Act, 209 of 1993 as amended (LGTA), formalised the characterisation of the democratic transition. The pre-interim phase commenced with the passing of the LGTA and was effective until the local government elections that were held in 1995 in most parts of the

country and in 1996 in the Western Cape and KwaZulu-Natal provinces (Cameron 1999:85). This phase prescribed the establishment of local forums with the intention to negotiate the appointment of temporary municipal councils, which would govern until the municipal elections (White Paper on Local Government 1998:26). The second phase was the interim phase which commenced on the day after the transitional municipal councils were elected and was to conclude after the final model of a democratic local government had been designed, legislated and established (Cloete 1995:6). The timeframe for this phase was expected to last for a period of between three and five years. The final phase was characterised by the implementation of the final constitutional model for a democratic local government system. The important aspect of this phase was the finalisation of the Constitution of the Republic of South Africa, 1996 which developed as a result of the decision of a Constitutional Assembly and to a great extent the MPNF. Consequently, the final phase ushered in a new dispensation for local government in a post-apartheid South Africa.

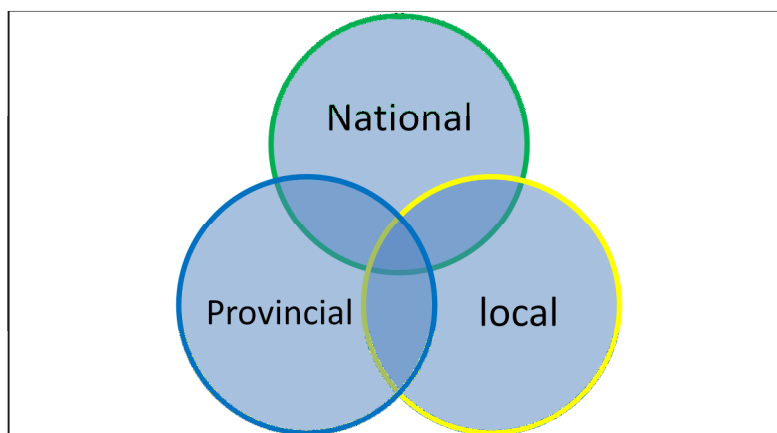
4.3.2 New dispensation for local government in post-apartheid South Africa (2000-2016)

After the enactment of the introductory post-apartheid legislation, the structure, functioning and system of local government appeared to be more coordinated. This historic moment signified a local government that was based in the principles of equality, democracy and justice, in which representatives on municipal councils are elected into office by popular vote. The terms of reference of a post-apartheid local government dispensation is entrenched in the Constitution, 1996. Local government, as highlighted in the Constitution, is one of the spheres of government. The deliberate usage of the term “sphere” highlights the important role that local government has been charged with by the Constitution. The concepts “levels” and “tiers” of government, which were used prior to 1996, denote a specific order in the hierarchy. Thus, in order to address the intergovernmental relations power dynamics, the term spheres of government is used to refer to a system where

each of the spheres exists in its own right and authority and can make binding decisions applicable to the sphere concerned in accordance with Section 41 of the Constitution, 1996.

It is often argued that the national sphere of government is more important than the provincial and the local spheres. However, this misconception is caused by the privilege the national sphere of government maintains, in collecting and distributing the national revenue, in terms of the Division of Revenue Act which is passed annually. Therefore, the funding allocation and distribution to the provincial and local spheres are done by the national sphere of government. Furthermore, Section 44(1)(a) of the Constitution, 1996 provides the national sphere of government the privilege to possess powers to amend the Constitution and pass legislation on any matter within a functional area listed in Schedules 4 and 5 of the Constitution through its Parliament. Section 100 concerns the intervention of the national sphere in provincial administration and Section 139 highlights the provincial intervention in local government (Constitution 1996). These provisions assign the different spheres the powers to facilitate effective and efficient intergovernmental relations as depicted in Figure 4.3. As a result, these provisions create an assumption that the national government sphere is superior to the other spheres (Madumo 2012b:43).

Figure 4.3: Intergovernmental relations framework



Source: Author

Local government, as the sphere of government closest to the people, is responsible for providing basic and other services specified in Schedules 4B and 5B of the Constitution and other legislation, e.g. the Housing Act, Act 107 of 1997, National Water Act, Act 36 of 1998 and the National Environmental Management Act, Act 107 of 1998. The local government sphere comprises municipalities as the basic units. According to Section 151(3) of the Constitution, 1996, a municipality has the right to govern, on its own initiative, the local affairs of its community subject to national and provincial legislation. This implies that each of the municipalities established within the territory of the country has a legitimate right to self-government, however should not be inconsistent with the national and provincial legislation as provided in the Constitution, 1996. Therefore, the national or a provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions (Section 151 (4) of the Constitution 1996). It is deduced that the status of a municipality has been confirmed by the Constitution to be a self-governing authority with the powers to legislate and ensure the successful execution of such legislation by the municipal council through its administrative component.

Despite this, if an organ of the state fails to fulfil its obligations, the onus rests on another organ of state to ensure that services are provided. For instance, according to Section 44 of the Constitution, 1996 the national legislative authority is vested in Parliament. It may intervene, by passing legislation that concerns a matter falling within a functional area listed in Schedule 5 of the Constitution, if another sphere of government fails to fulfil its executive obligations as set out in the Constitution. Furthermore, should a provincial government fail to fulfil an executive obligation, in terms of the legislation, the national executive may intervene by taking appropriate steps to ensure fulfilment of that obligation (Section 100 of the Constitution 1996).

With particular reference to the ability of the local government sphere, Section 139 determines the procedure that is followed when a municipality cannot or does not fulfil an executive obligation in terms of the Constitution, 1996. The provincial executive may intervene to ensure the fulfilment of that obligation. Section 139 (1) of the Constitution states that provincial intervention in local government is warranted if a municipality cannot or does not fulfil an executive obligation in terms of the legislation; the relevant provincial executive may intervene by ensuring the fulfilment of that obligation. Such an intervention could be realised through the provincial executive:

- issuing a directive to the municipal council, describing the extent of the failure to fulfil its obligations and stating procedures required to meet its obligations;
- assuming responsibility for the relevant obligation in that municipality; and
- dissolving the municipal council and appointing an administrator until a newly elected municipal council has been declared elected.

These actions by the provincial executive ensure that interruption of the delivery of services is kept to a minimum or even avoid disruption at all, thereby maintaining the national or minimum standards of service rendering.

Prior to the local government elections in 2011, there were 283 municipalities that were later reduced to 278 municipalities in 2011 and subsequently further reduced to 257 municipalities after the August 2016 local government elections, as illustrated in Table 4.1. Through a demarcation process, the number of municipalities changed from one election to the next election. Zybrands (2011:135) argues that the municipal elections held in 1995, 2000 and 2006 signify the implementation of the transitional phase of transforming local government. This is clearly illustrated by the changing legislation with an intention to dismantle the legacies of the Apartheid regime and to legitimise local government as the sphere that has to satisfy the needs of all

its inhabitants. Municipalities are responsible for the provision of the basic and other related services to the communities falling within their respective areas of jurisdiction.

4.3.3. Enabling environment of local government

The environment within which municipalities exist and function is dynamic. Thus each municipality should create favourable circumstances or conditions that will enable it to promote a satisfactory quality of life for each local community (Gildenhuys 1997:2). Since the development of urbanized communities, the local government environment has been affected. This implies that the manner in which goods and services were provided by municipalities for their inhabitants 100 years ago may not be as effective as it was then, due to the limited range of functions provided and the relatively small size of the population served. Various influences are at play including the ever-changing population demographics and climatic conditions. With fast-paced change comes the need for flexibility to cope with the growing demand to satisfy the needs of the sophisticated twenty-first-century inhabitants. These inhabitants are characterised by competitiveness for resources and the absorption of these resources in modern government (Jordaan 2013:76). Therefore, the political and social environment will be shaped by the role a contemporary municipality plays.

The implication of the physical environmental changes on municipalities is the need to adapt to the change. For instance, in August 2016 the Department of Water and Sanitation promulgated a notice in the Government Gazette that intended to ensure limited water usage in municipalities supplied by the Vaal River integrated water system. The general water shortage in South Africa is believed to have been caused by the drought that intensified towards the end of 2015. Thus, municipalities such as the City of Tshwane, City of Johannesburg and City of Ekurhuleni metropolitan municipalities, which depend on the Vaal River integrated water system, are expected to impose water restriction measures to the consumers. For example, in the

City of Tshwane, water restrictions were imposed in September 2016 in an effort to reduce water usage by at least 15%. Thus consumers were restricted from irrigating gardens with a hosepipe or sprinkler between specific times, washing vehicles with hosepipes and filling swimming pools. Concomitantly, interventions such as scheduled restricted water supply were implemented by the municipality (City of Tshwane 2016).

The current drought in South Africa emphasises the notion that the physical environment, in particular, is continuously changing, thus it becomes imperative for municipalities to develop strategies on how to adapt their policies and executive actions to meet the demands of the changes. This could be achieved only if the factors that influence environmental change are known. For the purpose of this research, the different types of environments that have a potential to influence specific decisions of municipalities have been identified. These include inter alia political environment, administrative environment and the socioeconomic environment. The unit of analysis for this thesis is municipal councils, so the various types of environments within which they operate will be explained.

4.3.3.1. Political environment

Municipal councils by their very nature are political entities. This suggests that they are founded on the basis of political principles. Municipal government is significantly dependent on the policies developed within the political environment in order for them to function. As mentioned in chapter two of this thesis, the administration of municipalities operating under the auspices of municipal councils is influenced by various political viewpoints. In many respects, a municipal council is dependent on politics. Councils' composition depends on elections, in most cases members are elected from the list of a political party. This could affect the decision-making and policy discussions through voting according to political party affiliation.

A political environment is dynamic, meaning that it changes from time to time depending on the political circumstances at the time. For instance, after the local government elections of 2016 in South Africa, the EFF used the number of seats they obtained in the City of Tshwane, City of Johannesburg and Nelson Mandela Bay metropolitan municipalities to support the interests of the DA without them entering into a formal coalition. This was illustrated by the support the EFF afforded the mayoral candidates that the DA had nominated. Table 4.2 illustrates the political party dominance in municipal councils in some metropolitan municipalities.

Table 4.2 Political party governance in selected metropolitan municipalities (2016 election results)

Municipality	Total seats	ANC	DA	EFF	Other	Political party governing the municipality
Tshwane	214	89	93	25	7	DA (with the support of coalition partners and the EFF)
Johannesburg	270	121	104	30	15	DA (with the support of coalition partners and the EFF)
Ekurhuleni	224	109	77	25	13	ANC (with the support of the African Independent Congress)
Nelson Mandela Bay	120	50	57	6	7	DA (with the support of coalition partners and the EFF)

Source: Adapted from SA Local Government Research Centre (2016:3)

Table 4.2 illustrates that the ANC has the majority of seats on the municipal council in the Johannesburg Metropolitan municipality, with 121 seats. However, through the support of the EFF, which has 30 seats, and other political parties, the DA is in control of the municipal council, since it has 104 seats. In total the DA received the support of over 135 seats to form its municipal government. This phenomenon is often referred to as a minority

government, implying that with the necessary collaboration and partnership of a multi-party cooperation, a government is formed.

4.3.3.2. Administrative environment

The administrative environment within the context of municipalities refers to the milieu where an interface exists between the senior municipal officials and the political office-bearers. Essentially, this is the environment where politics and administration interact. A municipal council, being the highest decision-making structure in a municipality, is inept without the assistance and guidance of the senior managers within the administrative component of the municipality (Thornhill 2005:181). For example, if a municipal council resolves to build and provide a specific number of houses for their indigent inhabitants, it will be the municipal officials within the different directorates and units, e.g. departments of Housing and Human Settlement, Financial Services, Health, Community and Social Development, Utility Services in the case of the City of Tshwane (Annexure 1), who will be privy to the specific details on how the municipal council could realise its objective. This implies that managers and officials will know the details that pertain to the population demographics, number of indigent people, the cost of building and the timeframe to achieve this objective.

The administrative environment is guided by laws and regulations. Thus, individuals will possess the authority to perform specific functions and be accountable for their actions. Section 61 of the Municipal Finance Management Act, 56 of 2003 provides for a municipal manager as the accounting officer of a municipality with fiduciary responsibilities. The purpose of these responsibilities is to protect the use of municipal resources by municipal officials by ensuring that they are accountable for their actions. Political principals often take action against municipal managers as a result of allegations of financial misconduct in municipalities. For example, in December 2016 the suspended municipal manager of Dr Beyers Naude local municipality, in the Eastern Cape Province was convicted of fraud and theft

by the Oudtshoorn Regional Court. This was after he was found to have abused his power to facilitate illegal supply chain management contracts and used public funds for personal and political agendas, thereby resulting in fruitless and wasteful expenditure (SA Local Government Research Centre 2017:40).

The effect of politicians taking action against accounting officers contributes to increased vacancies and the longer period of a vacancy in municipalities, thereby ultimately causing interruptions in the process of delivering services. In the financial period 2014/2015 the average length of stay in office for municipal managers in municipalities across South Africa was 3,5 years instead of the regulated 5 years (Auditor-General 2015:54). Some of the reasons for this short stay in office could be attributed to the challenges encountered in attracting qualified candidates, especially in rural municipalities and municipal managers resigning due to political pressure (Auditor-General 2015:54).

4.3.3.3. Socioeconomic environment

According to Mohr and Fourie (2008:4), the concept of economics concerns the choices that people have to make in their daily lives. As such, the socioeconomic environment in the context of local government pertains to the milieu in which decision-making is prioritised in order for municipalities to address the basic needs of the people. The socioeconomic environment assists in rationalising characteristics such as scarcity, choice, and opportunity cost, measured against the needs, demand and supply. This implies that with any decision made, it is imperative to consider these abovementioned aspects. For instance, the municipal council will have to consider these aspects in its pursuit to determine the quantity and quality of services to be provided to its inhabitants. As such the nexus between the social and the economic climate has an effect on the types and nature of decisions that the municipal council could make. For example, council of the City of Tshwane had to make a decision on whether it should provide WiFi

hotspots which would cost R100 million for the financial year 2016/2017, free to its residents or to embark on a water and sanitation project in order to enhance access to potable water to residents within the city which would cost R383,5 million for the financial year 2016/2017 (City of Tshwane 2016a:17-22). In this regard, the social features such as population and urbanisation would play a significant role towards municipal decision making.

These different kinds of environments interface with each other, as one may have a direct or indirect influence on the other (Theletsane 2014:52). For instance, the political environment interacts with the realm of the administrative and socio-economic environment. Consequently, these different types of environments are interrelated within the context of local government. They cannot be isolated or rigidly defined.

4.4. POLICIES AND LEGISLATIVE IMPERATIVES CONCERNING LOCAL GOVERNMENT

According to Hogwood and Gunn (1984:24), for a policy to be regarded as a public policy it must have been generated or at least processed within the framework of governmental procedures, influences and organisations. The government is a crucial role player in policy-making stages including agenda setting, policy evaluation and review. Local government, through municipalities as one of the three spheres of government in South Africa, is guided by specific policies and a legislative framework that envisage efficient and effective delivery of services to communities. This is important, because municipalities are the direct providers of such basic services. They have a responsibility to respond to the needs of their immediate communities. Selected policies and legislation relevant to the functioning of local government will be discussed. The discourse will be limited to the extent of their relevance to this study, which is how the legislation affects the subject matter of this discussion, i.e. municipal councils.

4.4.1 Constitution of the Republic of South Africa, 1996

When the Constitution, 1996 was assented to in December 1996 by President Mandela, it was erroneously allocated an act number, i.e. Act 108 of 1996, which was not supposed to be the case (Van Heerden 2007:40). The reason for the notion of not allocating an act number to this specific piece of legislation was two-fold; firstly because the Constitution, 1996 was the product of the Constitutional Assembly and not of Parliament, and secondly the Constitution was the supreme law of the Republic, therefore its status was elevated and had to be distinguished from other legislation passed by Parliament. However, the mistake of allocating an act number to the Constitution, 1996 was rectified nine years later, after Parliament adopted the Citation of Constitutional Laws Act, 5 of 2005 (Van Heerden 2007:40). The Constitution of the Republic of South Africa, 1996 is the supreme law of the Republic; law and conduct inconsistent with it is invalid, and obligations imposed by it must be fulfilled (Section 2 of the Constitution, 1996). Therefore, all legislation, including municipal by-laws, should be consistent with the values espoused in the Constitution, 1996. Thus, through Section 40 (1) of the Constitution, 1996 the foundation on which the three spheres of government ought to co-exist alongside each other and co-operate with one another is highlighted and explained.

Significant to the discussion, Section 40(1) of the Constitution, 1996 elucidates the importance of how each sphere of government is to be recognised, thus acknowledging that each sphere exists exclusively within its own right. The Constitution, 1996 further elevates the significance of the existence and operations of the local government in South Africa. Chapter 7 (Sections 151-164) of the Constitution, 1996 deals with matters related to the founding, operations and framework of local government. As a result, the Constitution, 1996 set a tone for the further deliberation of the local government discourse in South Africa post 1994. This means that all other local government legislation that followed, was primarily based upon the principles underlying Chapter 7 of the Constitution, 1996. For example

various sections within Chapter 7 of the Constitution, 1996 address local government issues, i.e. section 152 focuses on the objects of local government, section 155 highlights the establishment of municipalities, and section 157 elaborates the composition and election of municipal councils.

4.4.2. Organised local government

Section 163 of the Constitution, 1996, requires an Act of Parliament to be passed in order to provide for the recognition of the national and provincial organisations representing municipalities. This resulted in the establishment of the Organised Local Government Act, 52 of 1997. The Constitution, 1996 serves as the foundational basis for the establishment of this legislation. The Organised Local Government Act, 52 of 1997:

- provides for the recognition of national and provincial organisations representing the different categories of municipalities;
- determines procedures by which local government may designate representatives to participate in the National Council of Provinces (NCOP) as provided for in Section 67 of the Constitution, 1996; and,
- determines the procedures by which local government may nominate persons to the Financial and Fiscal Commission as required in Section 221(1)(c) of the Constitution, 1996.

As a result of this legislation, the South African Local Government Association (SALGA) is recognised as a national organisation representing the majority of the provincial local government associations. SALGA is a unitary body with membership of 257 municipalities, with the responsibility to interface with Parliament, the Executive (cabinet) and provincial legislatures on matters concerning local government. The objectives of SALGA are to, inter alia (SALGA 1997:7):

- a. represent, promote and protect interests of local government;
- b. transform local government to enable it to fulfil its developmental role;
- c. enhance the role and status of municipalities;
- d. perform its role as an employer body; and,

- e. develop capacity within municipalities.

From the above, it can be concluded that the Organised Local Government Act, 52 of 1997 has a direct bearing on the operations of municipalities through the respective councils, as it identifies SALGA as a representative structure of municipalities across the country in different fora on issues pertaining to the advancement of local government. The South African Local Government Association may designate part-time delegates to represent the different categories of municipalities in the National Council of Provinces, in accordance with Section 67 of the Constitution, 1996. These representatives may participate in the proceedings of the National Council of Provinces, but may not vote.

4.4.3. White Paper on Local Government

The White Paper on Local Government, 1998 is a policy that serves as a cornerstone of the current dispensation of local government in South Africa. This policy provides a guideline for the transformation of local government from pre-1994 towards achieving an inclusive and democratic local government. Being consistent with the constitutional principles, local government has been granted a distinctive status as an independent yet interrelated sphere. It no longer operates under delegated authority from national and provincial government, as had been the case before the passing of the Local Government Transition Act, 209 of 1993 (repealed). The purpose of this policy was to promote a developmental local government system. It ensures a system of local government that is committed to working together with all relevant stakeholders, including communities, to create a sustainable human settlement which provides for a decent quality of life, socially and economically (White Paper on Local Government 1998:14).

Throughout the transformation of the local government system, it is significant to acknowledge that the local sphere of government is charged with a developmental mandate of satisfying the needs of the people,

including the challenges created by the arrangements of the past regime. The achievement of a developmental local government is dependent upon four characteristics, namely (White Paper on Local Government 1998:46):

- maximising social development and economic growth;
- integrating and co-ordinating;
- democratising development; and,
- leading and learning.

Municipalities should exercise their powers and functions in a manner which maximises their impact on social development and economic growth. Municipalities should also have the ability to integrate and coordinate activities in order to ensure proper alignment between public and private investment within a municipal area. Through their councils, municipalities should ensure the promotion of local democracy. This is important, particularly in establishing developmental planning, to allow all stakeholders, specifically the marginalised and excluded groups, to participate in such community processes, thereby democratising development. Ultimately, municipalities should build social capital by providing the community with leadership and vision, as well as the commitment to empower the marginalised and excluded groups within the community (White Paper on Local Government 1998:15).

Apart from developmental local government, the White Paper on Local Government (1998) deals with aspects that aim at improving the functioning of municipalities. These aspects include promoting co-operative government, improving municipal institutional systems, political systems and administrative systems and, most importantly, the initiation of municipal transformation (White Paper on Local Government 1998:16-21). Consequently, the policy has shaped the nature, structure and system of the current local government in South Africa. It is relevant to the debate as it aids in understanding the intention of the vision of the transformed local government.

4.4.4. Intergovernmental relations

The origins of the intergovernmental relations within the South African context could be traced back to Section 41(2) (a) of the Constitution, 1996. This section requires that the three spheres of government must establish, through an Act of Parliament, structures and institutions to promote and facilitate intergovernmental relations to promote the principles of cooperative government when conducting their day-to-day operations. Different pieces of legislation were passed by Parliament to give effect to this. The Intergovernmental Fiscal Relations Act, 97 of 1997 and the Intergovernmental Relations Framework Act, 13 of 2005 were enacted to enable the promotion of co-operation between the three spheres of government. The Intergovernmental Fiscal Relations Act, 1997 aims to:

- promote cooperation among the three spheres of government on fiscal, budgetary and financial matters; and,
- prescribe a process for the determination of an equitable sharing and allocation of the revenue raised nationally.

This legislation is relevant because it ought to provide a framework that guides how the national, provincial and local spheres of government establish appropriate mechanisms for revenue sharing to provide services effectively and efficiently. In a bid to investigate the efficiency of the municipalities, the equitable allocation of finances in relation to the services rendered by municipalities should be considered. Section 5 of the Intergovernmental Fiscal Relations Act, 1997 establishes the Local Government Budget Forum which creates a platform for consultation between the national government, provincial government and municipal councils, through the organised local government structure i.e. the South African Local Government Association. Section 6 of the Intergovernmental Fiscal Relations Act, 1997 states that consultation held in the Budget Forum could be on any matter that pertains to:

- fiscal, budgetary or financial matter affecting the local sphere of government;
- proposed legislation or policy which has a financial implication for municipalities; and
- matters concerning the financial management, monitoring of the finances of local government.

The Budget Forum has an impact on the financial decision-making by a municipal council. Thus, an act or policy that concerns financial matters can only be passed after consultation with the relevant stakeholders in the Budget Forum. The effect of such a legislation or policy will imply decision-making by municipal councils. Section 8 of the Intergovernmental Fiscal Relations Act, 1997 provides the process to be followed in revenue sharing.

The Intergovernmental Relations Framework Act, 13 of 2005 provides a guideline for the national, provincial and local spheres of government to promote and facilitate intergovernmental relations according to the prescripts of the Constitution, 1996. Section 28 of the Intergovernmental Relations Framework Act, 2005 determines the establishment of inter-municipality forums, to promote and facilitate intra-governmental relations between two or more municipalities. Such a forum should be established through an agreement between the municipalities concerned. The agreement should provide details on the composition, role and functions of the forum in pursuit of addressing matters of common interest. The municipal councils of the respective municipalities will determine what constitutes a matter of common interest, in pursuit of fostering intra-governmental relations for effective functioning to provide services. This implies that a council may be faced with an issue demanding a resolution which concerns other municipalities. In such cases its decision will have to take the views/policies of the related municipalities into account. The legislation further makes provision for the mechanisms and procedures to facilitate settlements that emanate from the intergovernmental and intra-governmental relations disputes.

Municipal councils do not exist in isolation since they are interdependent with other municipal structures and the different spheres of government for their effective functioning and decision-making. For instance, policies and legislation made in municipalities by a specific council cannot be inconsistent with the provisions of legislation promulgated by other spheres and particularly the Constitution, 1996. Thus, the principles of cooperative government are significant for creating an enabling environment for municipal councils to effectively function.

4.4.5. Municipal demarcation

Section 151 of the Constitution, 1996 states that the local sphere of government consists of municipalities that must be established for the entire territory of the Republic. Thus, the wall-to-wall municipal boundary system aims to ensure that the entire land area of the country is serviced by a municipality. The legislation that enables the achievement of this responsibility is the Local Government: Municipal Demarcation Act, 27 of 1998. The Municipal Demarcation Act, 1998 makes provision for the criteria and procedures for the determination of municipal boundaries by the Municipal Demarcation Board (MDB). Furthermore, the MDB determines the categories of municipalities as identified in Section 155 of the Constitution, 1996. The original Section 4 of the Municipal Structures Act, 1998 was in conflict with section 155(3)(c) of the Constitution, 1996 regarding the role of determining whether an area should have a single Category A municipality or municipalities of both Category C and Category B. Prior to its amendment, Section 4 of the Municipal Structures Act, 1998 stated that the Minister of local government should be responsible for such a determination whereas Section 155(3)(c) of the Constitution, 1996, states that criteria and procedures for the determination of municipal boundaries should be established by an independent authority, i.e. the MDB. Since the Constitution, 1996 is the supreme law of the Republic, an amendment was necessary to give an independent authority the responsibility of making such

determinations. This amendment was brought about by Section 1 of the Local Government: Municipal Structures Amendment Act, 58 of 1999.

The MDB determines and re-determines the demarcation of municipalities and the limitation and delimitation of ward boundaries. In 2015 the Minister of Cooperative Governance and Traditional Affairs requested the MDB to consider the determination and re-determination of boundaries of 34 cases which affected about 90 municipalities across the country (Municipal Demarcation Board 2015:2). The re-determination resulted in the disestablishment, the merger and incorporation of municipalities, reducing the number of municipalities from 278 pre-2016 local government elections to 257 after elections, as indicated in Table 4.1. However, the reduction of the number of municipalities was not necessarily informed by the investigation of all 34 cases brought to the attention of the MDB. Thus, through a re-determination of a municipal boundary, the area of jurisdiction of a municipal council also changes. This implies that there could either be more or less wards from the original number prior to a change of municipal boundary. This has an effect on the determination of the size of a council because the number of councillors is primarily drawn from the wards present in a municipality. This could have a dual effect on decision-making in council as its composition has changed. It also implies that properties may have to be readjusted due to different values being allocated.

Furthermore, a change in municipal boundaries, particularly those which involve a merger or an incorporation of two or more municipalities, will have an implication on the planning and decision-making by municipal councils. For example, in 2011 the City of Tshwane was merged with Metsweding District Municipality where some parts of Kungwini Local Municipality and Nokeng tsa Taamane Local Municipality were affected. Through this merger, the Financial and Fiscal Commission (2016) found that the demarcation exercise was costly and affected the financial sustainability of the relevant municipalities. This is due to the need to integrate and consolidate council's

service delivery programmes and the determination of tariffs, fees and taxes which are primarily a function of a municipal council (Finance and Fiscal Commission 2016:11).

4.4.6. Municipal finances

A municipality as an entity requires money to obtain the services of personnel and acquire equipment with which it provides services (Thornhill & Cloete 2014:100). A municipality obtains its revenue from various streams of income, for example, through property rates and taxes, levies and fines, service charges and grants from national sphere. A municipality will not be able to incur expenditure if it is unable to generate sufficient income. To address this, legislation has been effected to enable municipalities to ensure proper mechanisms for the collection, safekeeping and spending of public money. For the purpose of this research, only three pieces of legislation will be emphasised.

The first piece of legislation is the Local Government: Municipal Finance Management Act, 56 of 2003. The Act provides for the collection, usage and control of public money by municipalities and their respective entities. The purpose of this legal instrument is to ensure a comprehensive and sustainable management of the financial affairs of municipalities and other institutions in the local sphere of government. The National Treasury lays down norms and standards applicable to the local sphere of government. This financial control structure guides municipalities and promotes effective financial administration and management.

According to Section 16 of the Municipal Finance Management Act, 2003, the council of a municipality must, for each financial year, approve an annual budget for the municipality before the start of that financial year. Furthermore, when the approved budget is implemented and there is a necessity for an adjustment, the municipal manager should prepare and submit to the mayor

the adjustment budget for consideration and tabling in the municipal council (section 69[2] of the Municipal Finance Management Act, 2003).

In terms of Section 11(4)(a) of the Municipal Finance Management Act, 2003, the municipal manager is responsible for tabling a consolidated report to the municipal council of all the withdrawals made during each quarter, except in circumstances where the expenditure is appropriated in terms of an approved budget. This implies that a municipal council is the custodian of public money and aims at promoting sound financial systems in a municipality, thereby diminishing unauthorised, irregular and wasteful expenditure. Section 32 of the Municipal Finance Management Act, 2003 requires any political office-bearer and senior municipal officer to be held liable for unauthorised or irregular expenditure. This serves as a financial control mechanism to mitigate abuse and wastage of financial resources in municipalities. Therefore, when money is being allocated for projects, services, salaries and wages, caution should be taken in its usage and the application of the legislation should be considered because these are to a large extent the key determinants of council's decision-making.

The Local Government: Municipal Property Rates Act, 6 of 2004 is the second municipal finance legislation relevant to the topic of finance. The Municipal Property Rates Act, 2004 inter alia, guides and controls the powers of a municipality to impose rates on a property and to exclude particular properties from rating. This legislation further makes provision for municipalities to implement a transparent and fair system of exemptions, reductions and rebates through their various rating policies. This can be achieved through the implementation of the municipal rates policy adopted by the municipal council. The municipal rates policy should give effect to the levying of rates on rateable property within the jurisdiction of a specific municipality in accordance with the Municipal Property Rates Act, 2004. Since most of the revenue generated by municipalities is through property rates collection, municipalities with low collection rates tend to limit the

municipal council in exercising a conscious choice among the available alternatives. This is due to the notion that the decisions of such a council will be limited by the availability of financial resources and consequently the limited variety of choices (available alternatives). Therefore, the municipal council's decision-making efforts are compromised, thereby affecting the quality and quantity of service delivery to local communities.

The third Act to be discussed is the Division of Revenue Act (DORA) which is passed annually. DORA provides for the determination of an equitable division of revenue that has been raised nationally among the three spheres of government. This legislation allows for the allocation of money to municipalities from the national government's share of that revenue. This implies that the revenue collected is deposited into the national revenue fund and through DORA the national government distributes funds to national, provincial and local spheres of government.

Municipalities depend to some extent on the equitable share allocated by the national and provincial spheres of government for their sustenance. Thus, municipal councils have to ensure the alignment of their expenditure which is often incurred through their respective Integrated Development Plans, to their income which is determined by DORA. It could be deduced that municipal finances affect decision-making by municipal councils and subsequently it has an effect on the extent and quality of the services rendered by municipalities. For instance, if the income generated in a specific municipality is inadequate, the respective municipal council will have to take this into consideration when prioritising the delivery of services.

DORA is restrictive in nature, like any other legislation. Its equitable division of the local government share among municipalities will greatly affect a council's ability to effect decisions in a municipality. For example, in the 2014/15 financial year, the City of Tshwane was allocated R1,37 billion, City of Johannesburg R2,53 billion and City of Ekurhuleni R2,04 billion, as

indicated in Table 4.3. The metropolitan municipalities in Gauteng accounted for R5,95 billion. This implies that the equitable share of the metropolitan municipalities is 8,67% of the total equitable share of the Gauteng Province and 13,38% of the total amount allocated to the local government sphere. Decisions of the respective metropolitan municipalities in respect of the operational activities of the municipalities are dependent on the availability of funds. Hence no municipal council could plan to deliver services that would cost more than the amount allocated to them in a financial year plus their own revenue from rates, taxes, tariffs and fines. The percentage of revenue from DORA in relation to own revenue differs. This is done according to the revenue base of a municipality. For example, a district municipality (Category C) is almost totally dependent on the division of revenue allocations and grants. Metropolitan municipalities have a huge revenue base and their funding amounts to approximately 30% of their total finances. This allows such councils more flexibility in decision-making.

Table 4.3 Division of revenue among spheres, provinces and municipalities in the 2014/15 financial year

Spheres of government	2014/15 allocation R'000	Percentage share (% of total allocated to spheres of government)
National	735 604 179	64,38%
Provincial	362 468 075	31,72%
Local	44 490 145	3,90%
Total Spheres	1 142 562 394	100%
Province	2014/15 allocation R'000	Percentage share (% total allocated to provinces)
Gauteng	68 672 720	18,95%
Municipality	2014/15 allocation R'000	Percentage share (% total allocated to metropolitan municipalities in Gauteng)

Ekurhuleni	2 042 951	34,32%
City of Johannesburg	2 534 723	42,58%
City of Tshwane	1 375 518	23,10%
Total of metropolitan municipalities in Gauteng	5 953 192	100%
		(8,67% total allocated to Gauteng Province)
		(13,38% total allocated to the local sphere)

Source: Adapted from Schedule 1; Schedule 2 and Schedule 3 of the Division of Revenue Act, 10 of 2014

4.4.6.1. Municipal infrastructure grant

The Municipal Infrastructure Grant (MIG) is a conditional fund allocated under the DORA on an annual basis. The MIG funding is provided to municipalities in addition to the equitable division of local government share among municipalities as a means to enable access to the basic level of infrastructure services in municipalities in accordance with, for example, Section 8(1)(b) of the Division of Revenue Act, 3 of 2016 passed for the 2016/17 financial year. The purpose of this fund is to ensure the development of infrastructure within municipalities by allocating grants which are accompanied by special conditions that concern the establishment, development and maintenance of infrastructure, in order to provide services sustainably, especially to poor communities.

The allocation is based on a formula depending on the type of infrastructure required by a municipality. For instance, in the 2016/2017 financial year the amount of R14,91 billion has been allocated for the purposes of providing capital finance for eradicating basic municipal infrastructure backlogs in underprivileged communities (Schedule 5 Part B of the Division of Revenue Act, 2016). Municipalities that mostly benefit from the MIG fund are category B and category C municipalities, as a result of their need for an accelerated development of infrastructure. Thus, municipalities through their integrated

development planning processes identify the basic infrastructure needs and priorities that should be addressed.

In essence, this implies that a municipality cannot utilise the financial resources intended for a specific infrastructural project for any other project. For instance, if a municipal council through its IDP processes identifies a specific need, e.g. expansion of road, within their municipality and requests the MIG fund to address such, the conditions attached to the grant will not allow the funding to be utilised for any purpose, other than expanding the road in that municipality. In the 2014/15 financial year audit, 67 of the 272 municipalities that received conditional grants had failed to comply with the conditions determined through DORA. This implies that 25% of municipalities failed to comply with the legislation. Thus, 46 (16,9%) municipalities were not evaluated by the Auditor-General, 26 (9,6%) municipalities utilised the allocations for purposes not originally intended for, and 17 (6,3%) municipalities retained the unspent conditional allocations without the approval of the National Treasury (Auditor-General 2015:43).

A municipality may require the funding of multiple infrastructural projects simultaneously. For example, for the financial year 2015/2016 the Category B (local) municipalities in Gauteng Province were allocated R457 million for the purposes of infrastructural development (Schedule 5B of the Division of Revenue Act, 2016). Therefore, the MIG is used to accelerate developmental local government in South Africa. Thus, the allocation and utilisation of the MIG is limited to the delivery of a specific service. Hence, the MIG fund constrains the municipal council to a specific outcome, due to the conditions set, thereby compromising the alternatives throughout the decision-making process from which the most desirable outcome could emanate. This implies that the range of policy decisions that the municipal council could adopt are narrowed by the conditions agreed to in the terms of reference of this grant. This limitation may affect decisions regarding infrastructure financing and this could have an effect on the provision and maintenance of services.

4.4.7. Traditional leaders

Since the local government sphere interfaces with communities, it is necessary to regulate the practices of traditional leaders in a constitutional dispensation. The Traditional Leadership and Governance Framework Act, 41 of 2003, was enacted to regulate the extent and the relationship between the traditional authority and the municipal council. The purpose of the legislation was to develop a national framework that would define the place and role of traditional leaders within the system of democratic and constitutional governance. This was done to restore the integrity and legitimacy of the institution of traditional leaders through constitutional imperatives and customary law and practices. The Traditional Leadership and Governance Framework Act, 2003 addresses issues of governance in communities, including aspects such as:

- recognition of traditional communities;
- establishment and recognition of traditional councils;
- a statutory framework that guides the leadership processes of a traditional institution; and,
- functions and roles of traditional leaders.

There are some communities within municipalities in South Africa that have been established in an area in which both a traditional institution and a municipality with constitutional and democratic values co-exist. Therefore, it becomes difficult in such areas as the basis for the two systems is founded simultaneously on traditional practices and on contemporary governmental systems. Consequently, this legislation provides a synergy between the two systems, where traditional institutions and leaders are recognised in a democratic and constitutional setting, thereby ensuring service provision to the communities.

One of the principles provided for in Section 152(1)(e) of the Constitution, 1996 states that the local sphere of government has to encourage the

involvement of communities and community organisations in matters of local government. This implies that a municipal council should develop mechanisms that will enable community participation to take place. Section 81(3) of the Municipal Structures Act, 1998 acknowledges the pivotal role that traditional authorities play in municipal decision-making. It states that before a municipal council takes a decision on any matter directly affecting the area of a traditional authority, the council must provide the leader of that authority the opportunity to express a view on that matter. This implies that inputs and opinions of traditional leaders, on behalf of their respective communities could be obtained by the municipality to foster an inclusive and participatory democracy.

Despite the notion of traditional leaders possessing ex-officio status on municipal councils in areas with traditional authorities without voting rights, they play a role in creating an enabling environment for community participation that will assist the municipal council in making decisions in the local communities which are under the traditional authority's jurisdiction. For instance, local communities under a traditional authority are likely to participate in the municipal budget and integrated development planning if such an activity is endorsed by their respective traditional leaders. The Member of the Provincial Executive Council responsible for the portfolio of local government in Gauteng issued a proclamation in January 2013 that the two traditional leaders, i.e. Kgosi Kgomotso Cornelius Kekana of Amandebele-Ba-Lebele and Ikosi Mkhambi Petrus Mahlangu of Amandebele Ndzundza Sokhulumu be recognised in the City of Tshwane. These two traditional leaders represent their authorities and are recognised by the City of Tshwane to participate in the proceedings of the municipal council (City of Tshwane Council Resolution 2013:3). The Amandebele-Ba-Lebele clan are predominantly from Hammanskraal, an area north of Pretoria and the Amandebele Ndzundza Sokhulumu are based in an area called Sokhulumu near Bronkhorstpruit in the north-east of Pretoria. Although traditional authorities are recognised, their contributions are limited. This implies

council's decisions could only be marginally influenced by traditional leaders in council.

4.4.8. National Development Plan 2030

In 2011 the South African government established the National Planning Commission as the supreme institution establishing a national developmental plan that is aimed at addressing the socioeconomic challenges facing communities in the country. Amongst others, the role of the state is to guarantee the continued survival and promotion of the general well-being of its citizens (Botes & Roux 1992a:261). Thus, the objective of the National Development Plan 2030 (NDP) is to provide a vision that intends to reduce poverty and inequality by the year 2030 through various interventions (National Planning Commission 2011:2). The NDP proposes that the creation of a capable and developmental state by promoting professionalism of the public service should be a priority. Thus, the NDP acknowledges that in order to overcome the challenges facing communities, the role that local government plays as one of the spheres of government should be strengthened. This can be achieved through inter alia (National Planning Commission 2011:365-366):

- stabilising the political-administrative interface;
- promoting public service and local government as careers of choice;
- and,
- improving relations among the three spheres of government.

The NDP has the potential to influence methods of operation in the local sphere of government. However, the purpose of the discussion will not be to investigate the effect the NDP has on local government. It is required to acknowledge it as one of the measures put in place to capacitate government structures, such as municipalities to contribute to the Plan's implementation. Municipalities have to promote a developmental local government which will in turn propel the common national development imperatives. Through the National Planning Commission (NPC), the South African government aims at

addressing the specific developmental challenges facing communities in the country and the NDP is the vehicle through which such developmental objectives could be achieved. Municipal councils should acknowledge and consider the challenges identified within the national discourse and mechanisms that could be utilised to address such, especially when setting out their Integrated Development Plans and also their long-term vision plan for the municipality. The development agenda of municipalities is narrowed by such initiatives and the ability of councillors to initiate decisions in a municipal council therefore becomes focussed towards a particular paradigm. For instance, the involvement of communities in ensuring a safe environment is identified as a critical element in the NDP (National Planning Commission 2011:404). Therefore, a municipal council would have to consider this aspect when making decisions on the strategies to be used to foster a safe and healthy environment as mandated by Section 152(1)(d) of the Constitution, 1996.

The abovementioned pieces of legislation and public policies were promulgated as measures to ensure effective delivery of services by municipalities. A policy can only address a particular issue or alternatively ethically and morally safeguard against a deviation from acceptable conduct. For the purpose of this discussion, the policies and legislation highlighted have a bearing on the delivery of services by a municipality. These policies prove that local government in South Africa operates in a legally clear environment. This suggests that whenever legislation is developed, consideration is given to a particular phenomenon in a holistic way. Legislation regulates the functioning of the different components of a municipality, to achieve the synergy for effective and efficient delivery of public goods and services. The policies and legislation serve as restrictive instruments and generally circumscribe the authority of municipal councils. It can be argued that the capacity of a municipal council to effect a particular decision in a specific matter, resulting in the provision of services, is significantly dependent on the council's ability as prescribed by legislation.

Thus the public policy outcomes and by-laws developed by municipal councils are largely determined by the conditions set in the abovementioned legislation. However, a council still has the authority to decide on the relative importance it will attach to the functions it is authorised to implement in terms of the policies when adopting resolutions or by-laws to govern and administer the municipality.

4.5. STRUCTURE AND SYSTEM

As discussed in the previous sections, local government structure has taken many forms in South Africa during its existence. This has ranged from municipalities with limited self-governing authority to municipal councils that operate within a constitutional dispensation. The current structure of local government embraces inclusivity and has been developed over a period of time. It is being reformed through the usage of legislative instruments in order to ensure the culmination of an effective developmental local government. The concepts “structure” and “system” are inextricably linked. In the context of this study, structure refers to the formation and composition of the basic units of local government known as municipalities. For example, the local government structure consists of a municipal council and its municipal officials performing a variety of functions. System refers to the functioning and operation of those structures in an interactive manner, i.e. operations and functions of both the municipal council and municipal officials. This implies that the existence of the system of local government is dependent on the existence of the municipality’s structure.

The importance of this distinction is signified by how the municipal government operates. For instance, its importance assists in addressing the interrelationship of the structures. This interaction occurs where the two structures interface. For example, after the municipal council has resolved to pass a piece of legislation, i.e. by-law, the enforcement of such legislation is executed directly by the officials on the instruction of the municipal council. Prior to discussing the operation and functioning of the municipalities, two

acts of Parliament are highlighted, which are interrelated and augment the provisions made by the Constitution, 1996 in Chapter 7. These are Local Government: Municipal Structures Act, 117 of 1998 and Local Government: Municipal System Act, 32 of 2000.

Firstly, the Local Government: Municipal Structures Act, 117 of 1998 has been enacted to augment the provisions and requirements made by Chapter 7 of the Constitution, 1996. The purpose of the Municipal Structures Act, 1998 is to address, inter alia, the (Section 2; Section 3 and Section 7):

- establishment of municipalities in accordance with the requirements relating to categories and types of municipalities;
- establishment of the criteria for determining the category of municipality to be established in an area; and
- definition of the types of municipality that may be established within each category.

The primary focus of this research is the councils within metropolitan municipalities. Accordingly, this legislation specifically relevant to metros will dominate the discussion in the following chapters. This aids the discourse in terms of providing the background to the establishment of municipalities, the distinction between the three categories of municipalities, and the powers and functions of each executive type that municipalities could establish. Thus, the Municipal Structures Act, 1998 provides for the regulation of structural aspects such as the composition and membership of municipal councils.

The second legislation is the Local Government: Municipal Systems Act, 32 of 2000. This is the overarching legislation that addresses the municipal *modus operandi*, i.e. the operation and functioning of a municipality. The Municipal Systems Act, 2000 addresses, amongst others (Section 9, Section 23, Section 38, Section 51 and Section 73):

- core principles, mechanisms and processes that are necessary to enable municipalities to improve local communities;
- definition of the legal extent and duties of a municipality;
- exercise of municipal powers and functions in ensuring community participation;
- ensuring a developmental local government by establishing an enabling framework that promotes the core processes in a municipality, namely; planning, performance management, resource mobilisation and organisational change; and
- establishing a framework for municipal service provision and the importance of providing services through municipal entities.

According to Section 25 of the Municipal Systems Act, 2000, each municipal council must adopt a single, inclusive and strategic plan that regulates the development of the municipality. This plan forms a policy framework and provides the basis on which the municipality is able to provide services in line with the approved annual budget. It can be deduced that the existence of the Municipal Systems Act, 2000 is to provide for a system that would ensure the proper operation of a municipality. The Municipal Structures Act, 1998 is thus a frame (skeleton) and the Municipal Systems Act, 2000 is the operational part (body). The functionality of one depends on the other. The Municipal Systems Act, 2000 places emphasis on the regulation of systemic elements such as inter alia the rights and duties of municipal councils, processes and mechanisms that enable community participation and integrated development planning. This Act provides the system within which a council takes decisions by adopting resolutions or passing by-laws resulting in policies.

4.5.1. Objects of local government

The Constitution, 1996 mandates the local government sphere to govern on its own initiative the local government affairs of its community subject to the national and provincial legislation as directed (Section 151[3]). Thus, through

the various municipal councils, the local government sphere should solve problems or prevent them from occurring and address matters that are of concern to local government. According to Section 152 of the Constitution, 1996, the local sphere of government exists to:

- promote democratic and accountable government for local communities;
- ensure the provision of services to communities in a sustainable manner;
- promote social and economic development;
- promote a safe and healthy environment; and
- encourage the involvement of communities and community organisations in the matters of local government.

These objects of local government provide a systemic outline of the responsibilities of municipalities. By promoting democratic and accountable government, it is implied that through legislation and other regulated means, municipalities should hold regular elections and create an environment that embraces democratic principles and values. Originally, local government was established in terms of the philosophy of providing collective goods and services that residents would ordinarily find difficult, impractical, or impossible to provide for themselves. Thus, municipalities provide collective services such as water, electricity, refuse removal, sanitation and other municipal-related services sustainably in accordance with their resources obtained from own sources or collected through the DORA.

It is essential for municipalities to promote socioeconomic development. This implies that municipalities as societal structures should facilitate a platform that allows all citizens to develop socially and economically. Municipalities do this through their Local Economic Development (LED), Expanded Public Works Programme (EPWP) and other strategies intended to ensure the empowerment of residents (Khumalo & Thakhathi 2012:49). Municipalities, through their councils, should assure the safety of residents and promote an

environment conducive to development within their areas of jurisdiction. As a measure to enhance community interest and participation, councillors have to encourage the involvement of their communities in matters of local government. By so doing, municipal councils would in effect be promoting local democracy and accountability on the part of councillors and senior officials in positions of authority.

4.5.2. Categories of municipalities

South African local government identifies three distinct categories of municipalities which have to be established. The categories of municipalities are namely (Section 155 of the Constitution, 1996):

- Category A: a municipality that has exclusive municipal executive and legislative authority in its area;
- Category B: a municipality that shares its municipal executive and legislative authority in its area with a category C municipality within whose area it falls; and
- Category C: a municipality that has municipal executive and legislative authority in an area that includes more than one municipality (called district municipalities).

The determination of each category of municipality depends on the qualities and characteristics of an area. In terms of Section 155(2), national legislation must define the different types of executive systems that may be established within each category of municipality. Furthermore, national legislation should also determine when an area should have a single category A municipality, or when an area should consist of category B and category C municipalities. The significance of the distinction between these three categories is embedded in the power entrusted to municipal councils by law to administer functions within their specific area of jurisdiction. Since municipal councils are vested with both legislative and executive authority, the establishment of any category of municipality (e.g. category A, B or C) is determined on the basis of whether an area is entitled to have an exclusive responsibility in the case

of category A or share responsibilities, in the case of category B and category C (cf. Section 84 of the Municipal Structures Act, 1998).

Category A municipalities are commonly known as metropolitan municipalities. Section 2 of the Municipal Structures Act, 1998, states that for a municipality to be classified as metropolitan, its area should comply with the following characteristics:

- a. conurbation featuring:
 - i. areas of high population density;
 - ii. an intense movement of people, goods and services among areas within the municipality;
 - iii. extensive development;
 - iv. multiple business districts and industrial areas.
- b. centre of economic activity with a complex and diverse economy;
- c. single area for which an integrated development planning is desirable; and
- d. one having strong interdependent social and economic linkages among the constituent units.

It is implied that an area that does not comply with these requirements should be classified as category B (local) and/or category C (district) municipalities. Only particular urban areas complying with the criteria could be defined as Category A. There are eight category A municipalities in South Africa, namely (SA Yearbook 2015/16: 231):

- 1 Buffalo City
- 2 City of Cape Town
- 3 City of Ekurhuleni
- 4 City of Johannesburg
- 5 City of Tshwane
- 6 eThekweni
- 7 Mangaung
- 8 Nelson Mandela Bay.

According to Thornhill and Cloete (2014:21), category B municipalities are local municipalities that are mainly urbanised areas and category C are district municipalities established to provide particular services in rural and urban areas, as prescribed in Section 84 of the Municipal Structures Act, 1998. An example of a district municipality is Dr Kenneth Kaunda District Municipality in the North West province. This district municipality comprises Tlokwe/Ventersdorp, City of Matlosana and Maquassi Hills local municipalities. There are instances where an area falls within a category C (district) municipality and it is not viable for the establishment of a category B municipality; such areas are declared district management areas in terms of Section 3 of the Local Government: Municipal Structures Amendment Act, 58 of 1999.

District management areas are mostly established in and around large areas with low population density, consisting mainly of the national parks, semi-deserts, heritage sites and nature reserves. For example, the area within the Kruger National Park situated in some parts of Mpumalanga and Limpopo provinces and Kgalagadi Transfrontier Park in the Northern Cape Province are declared district management areas. For the purposes of this thesis, attention is only afforded to category A municipalities since the study is based on selected metropolitan municipal councils.

4.5.3. Types of executive systems of municipalities

Apart from the three categories of municipalities, Section 7 of the Municipal Structures Act, 1998 makes provision for the establishment of different types of executive systems of municipal government. The types of the executive systems are

- collective executive system
- mayoral executive system
- plenary executive system
- subcouncil participatory system
- ward participatory system.

Furthermore, Section 8 of the Municipal Structures Act, 1998 provides for the different combinations of the types of the executive systems that could be utilised exclusively in Category A municipalities. The types of executive system applicable to Category A entail a municipality with a:

- collective executive system;
- collective executive system combined with a subcouncil participatory system;
- collective executive system combined with a ward participatory system;
- collective executive system combined with both a subcouncil and ward participatory system;
- mayoral executive system;
- mayoral executive system combined with a subcouncil participatory system;
- mayoral executive system combined with a ward participatory system; and
- mayoral executive system combined with both a subcouncil and ward participatory system.

In Gauteng Province, the three metropolitan municipalities are permitted to utilise any combination of the executive systems type applicable to Category A municipalities in accordance with Section 2 of the Gauteng Types of Municipality Act, 3 of 2000. Thus the provincial legislation is not restrictive in terms of which combination of the type of executive system is to be used by metropolitan municipalities. In the Western Cape the Provincial Notice 479 of 2000 is more specific in determining what executive system type the Cape Town Metropolitan Municipality should utilise.

Unlike in other categories of municipality, the plenary executive system is not applicable and cannot be utilised in metropolitan municipalities. The plenary executive system is ideal for municipalities with fewer members of the municipal council in which case the council goes into committee when

required. Some executive systems make provision for a structure to be formed in order to supplement the capacity of a municipal council in pursuit of effective municipal government. Most metropolitan municipalities in South Africa utilise the mayoral executive system with a combination of either a subcouncil participatory system and/or a ward participatory system. Only one metropolitan municipality, i.e. eThekweni Metropolitan municipality in KwaZulu-Natal, utilises the collective executive system in combination with the ward participatory.

4.5.3.1. Mayoral executive system

The mayoral executive system, allows for the exercise of executive authority through an executive mayor in whom the political executive leadership of the municipality is vested. With this type, the executive mayor is assisted by a mayoral committee.

4.5.3.2. Collective executive system

The collective executive system, allows for the exercise of an executive authority through an executive committee chaired by a mayor in which the political executive leadership of the municipality is collectively vested (Section 7 of the Municipal Structures Act, 1998).

4.5.3.3. Plenary executive system

The plenary executive system is mostly applied in municipalities that have a relatively small number of municipal councillors. Section 7(c) of the Municipal Structures Act, 1998 states: "The plenary executive system limits the exercising of an executive authority to the municipal council itself". An example of a municipality that utilises a plenary executive system is the Kgetlengrivier local municipality in the Bojanala District, North West province. This is a category B municipality with six wards and 12 municipal councillors (Kgetlengrivier 2016).

4.5.3.4. Subcouncil participatory system

The subcouncil participatory system allows for delegated powers to be exercised by subcouncils established for geographic areas of the municipality. Thus, subcouncils comprise a region determined by a particular number of wards. For example, subcouncil 9 of the City of Cape Town is made up of six wards [ward(s) 18, 87, 89, 90, 91 and 116] located in the north-western section of Khayelitsha, bordered by Mitchells Plain and Philippi. Membership of the subcouncils is composed of both ward councillors and proportional representative councillors of the wards in that subcouncil. Residents from any of the wards in a specific subcouncil can request permission to address that subcouncil meeting on any matter, thereby encouraging democratic participation in local government affairs. Through the delegated powers of the municipal council, subcouncils could be delegated the authority to make decisions on particular matters concerning the specific area in which it operates. On other issues subcouncils could make recommendations requiring a municipal council resolution.

4.5.3.5. Ward participatory system

The ward participatory system allows for matters of local concern to be assigned to wards to be dealt with by committees consisting of the inhabitants of a ward (Section 7 of the Municipal Structures Act, 1998). These committees are known as ward committees. The White Paper on Local Government (1998:115) defines a ward committee as an area-based committee, whose boundaries coincide with ward boundaries. This committee comprises the inhabitants of a ward elected in accordance with Section 73(2) of the Municipal Structures Act, 117 of 1998.

The purpose of the establishment of a ward committee is to enhance local democracy through community participation. Thus, a municipal council could delegate specific issues to be addressed by the ward committee. As such, a ward committee mostly makes recommendations to the municipal council, through its chairperson, i.e. ward councillor. It does not have powers to make

enforceable decisions on municipal issues. The subcouncil and ward participatory systems cannot exist without being combined with either the mayoral executive system or a collective executive system. Thus, they are utilised to augment and enhance participation to promote local democracy. This is an important requirement for the adoption of the Integrated Development Plan (IDP) and the budget of a municipality.

Therefore, both the subcouncil and ward participatory system are significant communication conduits between the municipal council and the inhabitants of a municipality on local government matters. According to Section 6 of the Provincial Notice 479 of 2000, the City of Cape Town utilises a mayoral executive system combined with both a subcouncil and a ward participatory system. Thus it is the only metropolitan municipality with such a combination of different types of executive systems. In the case of subcouncils, local democracy is strengthened as it allows geographic areas within a municipality to promote matters of concern to an area. This allows for areas with homogeneous groups or political affiliations to attend to issues according to their priorities. Such priorities may differ from those in other geographic areas, e.g. Khayelitsha in Cape Town may differ from those of the subcouncil for Sea Point.

The different types could have different effects on decision-making in council. The mayoral executive type allows the executive mayor to appoint and dismiss members of the mayoral committee. These members serve at the pleasure of the executive mayor and it would be easier for the executive mayor to enforce personal value considerations on the committee to promote policies he/she favours. In the case of the executive committee, the decision is vested in the committee which is elected for the term of office of council. Such members take a collective decision with the mayor as its chairperson, but cannot be dismissed if their views differ from those of the mayor. This type could promote a more democratic type of government.

4.5.4. Powers and functions of municipalities

Section 156 of the Constitution, 1996 assigns a municipality executive authority in respect of, and has the right to administer the local government matters listed in Part B of Schedule 4 and Part B of Schedule 5 (attached as Annexure 2) of the Constitution, 1996 as well as any other matter assigned to it by national or provincial legislation. Section 229 of the Constitution, 1996 makes provision for municipal fiscal powers and functions, by empowering a municipal council to impose rates on property and surcharges on fees for services provided. These functions and powers of municipalities have to be implemented by the municipal councils, through an instruction to the service departments within the municipality on how to dispense services to communities.

Furthermore, Section 229 of the Constitution, 1996 makes provision for the enactment of the Municipal Fiscal Powers and Functions Act, 12 of 2007. This legislation determines a framework for the authorisation of taxes, levies and duties that municipal councils may impose in line with the principles of the Constitution, 1996. This should be determined in accordance with relevant legislation, i.e. the Municipal Finance Management Act, 56 of 2003. For example, in March 2017 the National Treasury released guidelines designed to direct municipal councils on adjusting their electricity tariff for the 2017/18 financial year. Through the Treasury Circular (MFMA Circular no. 86), the national government sphere determined a specific limit of 6.4% which is determined by considering the Consumer Price Index (CPI) that municipal councils should not exceed when determining the tariff increase of the various municipalities in South Africa. This implies that the alternatives that a municipal council could consider to make decisions are limited. This precondition has a negative effect on the ability of a council to raise revenue from communities as any possible levy could be limited by the Treasury's limits. However, it should be remembered that Treasury guidelines are taken in accordance with the economic factors and the possible total tax burden of all South Africa's inhabitants.

The functions in Part B of Schedule 4 of the Constitution, 1996 (as indicated in Annexure 2) refers to the local government matters falling within the functional areas of concurrent national and provincial legislative competence. Part B of Schedule 5 of the Constitution, 1996 relates to local government matters that fall within the functional areas of exclusive provincial legislative competence. Thus, it could be argued that a municipality may make and administer by-laws for the effective administration of such matters contained in Schedule 4B and Schedule 5B. Local government matters contained in the two schedules concern the basic and other municipal-related services which the municipal councils should resolve to dispense to municipal communities. These services include, amongst others, the provision of water, electricity, refuse removal and sanitation. Municipal councils are restricted in developing and implementing public policies on matters that concern the functional areas within which municipalities have a jurisdiction. A municipal council has the authority to take decisions on functional areas stated in Schedule 4B and Schedule 5B. On matters of concurrent competence of national and provincial governments, municipalities could be assigned a specific function agreement to perform and this can be done through legislation.

Section 156(4) of the Constitution, 1996 prescribes that the national government and provincial governments must assign to a municipality, by agreement and subject to any conditions, the administration of a matter listed in Part A of Schedule 4 or Part A of Schedule 5 which necessarily relates to local government. This can only be done if the said matter would most effectively be administered locally and the municipality has the capacity to administer it (Section 156 (4) of the Constitution, 1996).

Section 9 of the Municipal System Act, 2000, states that a cabinet member or a deputy minister or a provincial member of the executive council (MEC) may assign a specific function or power by way of legislation to municipalities or

any category of municipalities. However, prior to the introduction of such legislation, in the case of national sphere, a cabinet member or deputy minister must consult with the Finance and Fiscal Commission (FFC) (established by Financial and Fiscal Commission Act 99 of 1997) on the financial implication of the draft legislation. Furthermore, consultations have to be made with the minister responsible for local government (CoGTA), the minister of finance, and organised local government, i.e. South African Local Government Association, on matters related to finance and capacity constraints.

In the provincial sphere of government, the MEC, prior to assigning functions and powers to municipalities, must consult with the FFC, the MEC responsible for local government in that province, and the MEC for finance and organised local government in that province (Section 9 of the Municipal System Act, 2000). This will have an effect on the functioning and the decision-making ability of a municipal council. For example, prior to the enactment of the Spatial Planning and Land Use Management Act, 16 of 2013, municipal councils determined land use and development in accordance with their municipal policies. However, Section 35 of the Spatial Planning and Land Use Management Act, 16 of 2013 asserts that a municipality should establish a municipal planning tribunal for the purposes of determining land use and development applications within its municipal area. Therefore, the decision-making ability of a municipal council is assigned to this tribunal.

With the growing demand for complex services in local government, the national and provincial government assign particular functions to municipalities to perform. In performing such functions, some municipal councils resolve to establish municipal entities in accordance with Section 86B of the Municipal Systems Act, 2000. These entities are established to assist municipalities with service rendering (cf. paragraph 4.6.4). Nemec and Merickova (2013:2) argue that utilisation of entities in local government is

beneficial as they tend to improve the cost-effectiveness and quality of services rendered. For instance, in metropolitan municipalities the municipal councils are now establishing entities with the sole purpose of addressing housing backlogs which is a challenge in such areas. Although this is essentially a function of concurrent national and provincial government competence, it is often assigned to metropolitan municipalities. An example of these housing entities include: Ekurhuleni Development Company; Housing Company Tshwane; and Metro Housing in eThekweni municipality (SALGA 2015:58).

4.5.5. Election of councillors

A municipal council comprises representatives elected from ward constituencies (where this system applies) within which they reside. Members of the municipal council are elected in accordance with the electoral system prescribed by national legislation and the number of councillors is determined by the Member of the Executive Council (MEC) for local government in the province concerned (Section 18[3] of the Municipal Structures Act, 1998).

Two variations of the municipal electoral system can be distinguished, i.e. proportional representation and ward representation as outlined in Section 157 of the Constitution, 1996. The proportional representation method refers to a system in which members of the municipal council are elected from a list of party candidates compiled in a party's order of preference based on the municipality's segment of the national common voters roll. Ward representation requires that a person be elected as representative of a specific demarcated municipal ward by virtue of him/her residing in the ward concerned. Through a combination of the proportional representation and ward system, municipalities must utilise these variations of the electoral system to compose their municipal councils.

In metropolitan and local municipalities a combined system of both proportional and ward system is applied, whereas in district municipalities it would be impossible to apply the ward system since a district municipality does not have an original electoral constituency. Essentially, district municipalities do not have ward councillors. For example, Bojanala Platinum District Municipality comprises five local (category B) municipalities, namely: Rustenburg (45 wards), Madibeng (41 wards), Moretele (26 wards), Kgetlengrivier (six wards) and Moses Kotane (34 wards) with each ward having a ward councillor. This implies that Bojanala Platinum District Municipality does not have wards, but the local municipalities comprising it as a category C municipality has a total of 152 wards. Consequently, a formula for proportional representation is applicable in establishing municipal councils in category C municipalities in accordance with Part 1 of Schedule 2 of the Municipal Structures Act, 1998.

Councillors are elected in accordance with the Local Government: Municipal Electoral Act, 27 of 2000. This is done by establishing the framework for the preparation of the elections and responsibilities of the employees concerned to ensure free and fair elections in the local sphere of government. This legislation serves as a tool to guide the local government election processes. It provides for the administration of the Electoral Commission Act, 51 of 1996 which is the basic electoral legislation for South Africa. Once candidates are voted into office in accordance with Section(s) 13 and 17 of the Municipal Electoral Act, 2000 they become councillors and members of municipal councils. According to Section 19 of the Municipal Structures Act, 1998, a municipal council must strive within its capacity to achieve the objectives of local government as prescribed by Section 152 of the Constitution, 1996.

Municipal councils have a responsibility to develop mechanisms to consult the community and community organisations in performing their functions and exercising their powers. Such mechanisms will enable the municipal council to identify the needs and challenges of communities. This can be

achieved through inter alia mayoral *izimbizo*; ward committee meetings; and community outreach programmes which should be in line with the prescribed legislation, i.e. sections 16, 17 and 18 of the Municipal Systems Act, 2000. Section 19(2) of the Municipal Structures Act, 1998 highlights the responsibilities of municipal councils towards achieving a developmental local government. Such mechanisms should be developed to enable municipal councils to realise their objectives. They should also annually review:

- needs of the community;
- priorities to meet those needs;
- processes for involving the community;
- organisational and delivery mechanisms for meeting the needs of the community; and
- overall performance in achieving the local government objectives as set out in Section 152 of the Constitution, 1996.

The municipal council should engage with the community regularly and throughout its term of office. Such a practice is important because through such dialogue, the municipal council is able to explain how planning is performed and the cost involved, measured against the available human resources to perform the task of a specific project needed by the community. The needs of the community can be incorporated into the planning of the municipality, thereby averting dissatisfaction being exemplified through “service delivery protests” against municipal councils.

4.5.6. Composition and requirements for membership of municipal council

As municipal councils comprises councillors who are elected to office to serve as representatives of their communities, the requirements for eligibility allowing them to contest elections in order to serve in a municipal council should be considered. Section 158 of the Constitution, 1996 states that every citizen who is qualified to vote for a municipal council is eligible to be a

member of that council. This provision serves as the only requirement necessary for individuals to hold public office. However, there are specific exemptions that potential candidates have to comply with in order to be eligible for election as a councillor. The restrictions to participate in elections and hold public office applies to anyone who is:

- appointed by, or is in the service of, a municipality and receives remuneration for that appointment or service;
- appointed by, or is in the service of, the state in another sphere, and receives remuneration for that appointment or service;
- disqualified from voting for the National Assembly;
- disqualified as a result of being un-rehabilitated insolvent, declared to be of unsound mind by a court of law or been convicted of an offence and sentenced to more than 12 months without the option of a fine;
- a member of the National Assembly, a delegate to the National Council of Provinces or a member of a provincial legislature; and
- a member of another municipal council, unless if this member represents that municipal council in another council of a different category.

The justification for these exemptions could be found in the argument concerning the prevention of conflict of interests. These exemptions could also contribute to the independence of councillors when passing resolutions without bias.

Therefore, similar to the case study of municipalities in the United Kingdom, as discussed in chapter three, a particular criterion is applied for candidates to become members of municipal councils in South Africa. With such eligibility criteria it is intended that in some instances the system of local government through its municipal councils will foster professionalism and avoid conflict of interest within its members. To some extent such criteria minimise the risk of allowing individuals who do not meet the credentials

required for holding a position of authority. For instance, in the 2016 local government elections, the Electoral Commission, after verification disqualified 8 350 candidates and allowed 61 014 candidates to contest elections. Of the 8 350 disqualified, 85% of the candidates had failed to follow the Electoral Commission procedures for nomination and election and 15% were not registered voters in the municipality in which they wanted to contest elections (Electoral Commission 2016a).

4.5.7. Terms of office and dissolution of municipal councils

Municipal elections in South Africa take place every five years thus determining the term of office of municipal councillors. In terms of Section 159 of the Constitution, 1996 a municipal council remains competent to perform its functions from the time it is dissolved or its term expires, until the newly elected council has been declared elected. However, this excludes the municipal councils that have been dissolved following an intervention in terms of Section 139 of the Constitution, 1996. This will ensure that there is always a council ensuring continuity in the governance of the municipality. In case a crisis occurs there is always a council to take decisions. The first meeting of a municipal council has to be called by the municipal manager of a specific municipality and in the absence of the municipal manager, any person designated by the MEC of local government in that particular province. This meeting has to be called within a period of 14 days after the council has been declared elected (Section 29 of the Municipal Structures Act, 117 of 1998). However, a term of office of a municipal council could be effected by dissolution in terms of Section 139(1)(c) of the Constitution, 1996.

A municipal council could be dissolved if the concerned council fails to effectively implement its constitutional obligations. Section 139 of the Constitution, 1996 states that when a municipality cannot or does not fulfil an executive obligation in terms of the Constitution, 1996 or legislation, the relevant provincial executive may intervene by taking any appropriate steps to ensure fulfilment of that obligation. One such appropriate step is the dissolution of the municipal council and appointment of an administrator until

a newly elected municipal council has been declared elected (Section 139[1][c] of the Constitution, 1996). For example, the Ngaka Modiri Molema District Municipality in the North West Province was placed under the authority of an administrator in terms of Section 139(1)(c) of the Constitution, 1996. The basic tenets that warranted this action by the Provincial Executive Council could be attributed to the challenges related to governance, administration and service delivery (Parliamentary Monitoring Group 2014). This implies that the municipal council was dissolved and an administrator was appointed to exercise executive functions and powers within the municipality.

It is argued that through such an intervention, where an administrator is appointed, communities cannot hold the executive of the municipality to account, since an administrator does not represent the electorate. This arrangement compromises a key principle of democracy, i.e. representation of the community. Therefore, should a municipal council be dissolved in terms of legislation or when its term expires, an election must be held within 90 days of the date that the council was dissolved or its term expired.

4.5.8. Internal procedures for municipal councils

Section 4(1)(b) of the Municipal Systems Act, 32 of 2000, makes provision for the municipal council to exercise the municipality's executive and legislative authority without improper interference. However, Section 11 of Schedule 1 of the Municipal Systems Act, 2000 provides for councillor to intervene in the affairs of administration, but only if mandated by the municipal council to do so. Such an intervention could allow for influence on policy-making, finance and public accountability by municipal managers and senior officials thereby affecting their functioning and the performance of their responsibilities.

The municipal council is responsible for financing the affairs of the municipality through charging fees for services and by imposing surcharges on fees and rates on property (Section 4 of the Municipal Systems Act, 32 of 2000). The operations and functioning of a municipal council are regulated by

legislation. This implies that legislation prescribes what the objectives of a municipal council are and furthermore provides the guidance on how to achieve them.

Municipal councils have a responsibility to develop their own standing rules and orders for the purposes of conducting meetings of the municipal council. The standing rules and orders could also be extended to the conduct of meetings of the committees of the municipal council which are established in accordance with Section 79 of the Municipal Structures Act, 117 of 1998. For instance, in January 2010 the City of Tshwane Metropolitan Municipality enacted the Rules and Orders by-law that addresses in detail how meetings of the municipal council and some of its committees should be conducted. The municipal council is the highest decision-making structure in a municipality and the conduct of the councillors to make decisions has to be virtuous at all times and comply with the general requirements for orderly conduct and democratic principles.

Consequently, the standing rules and orders prescribe how meetings should be conducted. For instance, the by-law for the City of Tshwane Metropolitan municipality elaborates on matters pertaining to councillors' actions in a municipal council meeting. Such rules and orders guide the councillors in decision-making, for example:

- Councillors should be notified of the council meeting and the circulation of the agenda to be done prior to the council meetings;
- Councillors are permitted to only speak in a municipal council meeting once recognised by the speaker of the municipal council;
- Councillors should follow a particular procedure in asking questions during council meetings;
- Councillors present in a meeting must sign the attendance register;
- A councillor should make a proposal on a matter and be seconded by another councillor(s) prior to any council decision made;
- A councillor may speak only once on a specific topic; and

- Councillors' casting of votes and methods of voting to resolve matters in a municipal council.

These rules provide for meetings to be conducted in a manner that allows for ethical conduct and for members to act responsibly. This creates a formal structure of engagement in a municipal council, thereby allowing an environment that is conducive to making rationally defensible decisions by way of resolutions. A municipal council should consider the business judgement rule as established by King 2 Report (2002:70) on corporate governance in pursuit of making rationally defensible decisions. It refers to protecting decision-makers against being held accountable for decisions made, no matter how unwise they turn out to have been, if such decisions were made on an informed basis, in good faith, without conflict of interest and if the decision was the most suitable (rational) at the time. The purpose of the rules and orders is to ensure that the council operates as a legitimate structure, empowered to make rationally defensible decisions.

Section 160 of the Constitution, 1996 makes provision for the internal procedures within municipal councils. This legal prescript provides a directive by dealing with issues that concern the functioning of a municipal council and the extent of the powers of municipal councils as a decision-making authority of the municipality (Bekink 2006:243). This provision could be applied together with the standing rules and orders of council in a particular municipality, thereby highlighting the matters that confront the municipal council in its pursuit to effectively achieve its day-to-day objectives.

A resolution refers to a decision made and recorded by council on a specific matter, for example, adopting the Integrated Development Plan or approving the budget. Thus, Section 160(1)(a) of the Constitution, 1996 makes provision for such a procedure. A by-law is a statute of the municipality which is passed to ensure enforcement within a specific area of jurisdiction. For instance, the Public Participation by-law of the City of Tshwane is a by-law

enacted to regulate public participation processes and related matters within the City of Tshwane. Both resolutions and by-laws have a similar legal status within a municipality. However, a resolution can be adopted to pass a by-law. Resolutions are mostly adopted to address issues that are short-term requiring frequent adjustments, whereas by-laws are passed and promulgated for long-term use by both the municipality and its residents. By-laws are usually adopted when litigation could ensue, i.e. when someone could be taken to court for not complying with a by-law and could then be liable to some sanction, e.g. fine (for the infringement of a traffic by-law or not complying with building prescriptions).

In terms of Section 160(2) of the Constitution, 1996 read together with Section 59 of the Municipal Systems Act, 117 of 2000, a municipal council is not permitted to delegate some of its functions, namely:

- passing by-laws
- approving budgets
- imposing rates and other taxes, levies and duties
- raising loans
- power to set tariffs
- power to decide to enter into a service delivery agreement
- power to approve or amend the municipality's Integrated Development Plan.

This implies that a duly constituted municipal council cannot delegate to any committee or other political structures, including political office-bearers, councillors or staff members of the municipality, these abovementioned functions, since they have a financial implication and could result in burdening the community. Most of these functions require the exercise of democracy within the council by voting and providing account for such decisions to the relevant communities.

Components of a municipality should provide councillors with relevant information and expertise, which will enable them to exercise their powers and achieve their objectives. Therefore, prior to a vote being taken on any matter in the municipal council, a majority of councillors should be present (Section 160[3] of the Constitution, 1996). Furthermore, Section 30(2) of the Municipal Structures Act, 117 of 1998 proclaims that matters concerning the passing of by-laws, the approval of budgets, the imposition of rates and taxes, as well as levies and duties and the raising of loans, should be determined by a decision taken by a municipal council with a supporting vote of a majority of the councillors in council. This implies that a majority of the designated number of councillors in a particular municipality should vote in favour of the issue under discussion. For example, the City of Tshwane municipal council consist of 214 municipal councillors. Thus, for the purposes of inter alia the approval of its budget or the passing of by-laws at least 108 councillors should vote in support of such an item. If no quorum is mustered, the council will not be able to pass resolutions which would be a failure in the governing function. For instance, 206 councillors were present in a council meeting and 180 of them voted in favour of the approval of the budget for the 2017/18 financial year in the City of Tshwane. This implies that 84% of the total number (214) of councillors in the City of Tshwane voted in support of the approval of the budget (Mailovich 2017).

All other matters before a municipal council are decided by a simple majority of the votes cast. The principle of 50% + 1% of the majority of the votes cast will apply. For instance, a simple majority will apply where 108 councillors of the City of Tshwane are present for a council meeting and at least 55 of the 108 vote in favour of an item, despite the total number of councillors (214) on the municipal council. Section 30(5) of the Municipal Structures Act, 117 of 1998, states that a municipal council should request the executive mayor, executive committee or the mayor to submit to it a report and recommendation on any of the following matters prior to it taking decisions. The matters include the functions as stated in Section 160(2) of the

Constitution, 1996, i.e. the approval or an amendment of the Integrated Development Plan and the appointment and conditions of service of the municipal manager and a head of a department of the municipality. In these cases, the executive committee/mayor or executive mayor has to decide and for ratification recommend to the municipal council that a specific decision has been made. For instance, in January 2017, the executive mayor of City of Tshwane metropolitan municipality, nominated a candidate for the position of municipal manager and further recommended to the municipal council that the candidate be appointed. The council approved the appointment of the municipal manager (SA Local Government Research Centre 2017a:28-29).

In practice, the executive mayor will take the initiative of looking for a suitable and qualified candidate to be appointed as a municipal manager. However, the decision-making power of the council in this regard is limited to the conditions set in section 54A of the Municipal Systems Act, 2000 and the relevant regulations. For candidates to be appointed to senior management positions, including that of municipal manager, in municipalities, the respective council has to use the Local Government: Competency Framework for Senior Managers to determine the suitability of candidates. As such, the specific competencies that are considered for the appointment of a municipal manager are as follows:

- Strategic direction and leadership
- People management
- Programme and project management
- Financial management
- Change leadership
- Governance leadership
- Moral competence
- Planning and organising
- Analysis and innovation
- Knowledge and information management
- Communication

- Results and quality focus.

This competency framework is instrumental for guiding the municipal council to rationally determine the appointment of a suitable candidate. Thus, in applying this competency framework, municipal councils could eliminate cadre deployment and promote professionalism.

4.6. STRATEGIES IMPLEMENTED TO ENHANCE SERVICE DELIVERY

With the history of South Africa that is associated with inequitable service delivery, the efforts made by the government to address some inadequacies that exist within the local government system should be acknowledged. The legacies of the apartheid system, such as the pattern of spatial development, are still apparent in the democratic local government system, hence the need to accelerate democratic development within the local government environment. In order to achieve a developmental local government, municipalities should continuously engage in initiatives that deliberately aim at improving the living conditions of residents, thereby enhancing the quality of lives in accordance with Section 3 of the Spatial Planning and Land Use Management Act, 16 of 2013.

Since 1994, the South African government has been committed to the implementation of strategies to accelerate development. In doing so, various policies have been adopted ranging from the Reconstruction and Development Programme (RDP), the Growth Employment and Redistribution (GEAR), Accelerated Shared Growth Initiative of South Africa (AsgiSA), the New Growth Path (NGP) and the National Development Plan (NDP). Thus, with an intentional focus on municipalities, the strategies identified emanated from these policies including, Project Consolidate, *Siyenza Manje*, Municipal Infrastructure Grant (MIG), Local Government Turn-Around Strategy (LGTAS) and the current Back-to-Basics strategy. These strategies were developed with the aim of building the capacity of municipalities and enabling particularly the various councils to adequately respond to the needs of the communities they serve. This is achievable through ensuring concerted

decisions and policies by municipal councils to improve their administrative capacity.

4.6.1. Project Consolidate and *Siyenza Manje* initiatives (2004-2006)

Project Consolidate was a strategy initiated by the national government in 2004 to assist in strengthening municipalities' efforts to deliver services effectively and efficiently. This was a two-year project (2004-2006) to assist municipalities that did not have the expertise to achieve their service delivery mandate as prescribed by the Constitution, 1996. This project proposed the deployment of experts to the local sphere of government to enhance the delivery of services, thereby developing the capacity of municipalities to sustainably meet their mandate. Ndevu (2015:79) argues that this strategy was as a result of a national intervention in redressing the failure of provincial and national departments in fulfilling their constitutional obligation of supporting municipalities to discharge their responsibilities.

To further augment the Project Consolidate initiative, the Development Bank of Southern Africa (DBSA) initiated the strategy of *Siyenza Manje* in 2006. The development of the *Siyenza Manje* initiative was similar to Project Consolidate. The word *Siyenza Manje* loosely translated implies, "We are doing it now" (DBSA 2008). The aim of *Siyenza Manje* was to ensure the provision of capacity support to municipalities in enabling the implementation of programmes and projects to enhance service delivery within the local government sphere (DBSA 2009:24). Through this project, the DBSA employed technical experts in the fields of engineering, project management, finance and planning and deployed them to low-capacity municipalities on a full-time basis with the view of providing support to such municipalities (DBSA 2009:24). During the 2007/2008 financial year, 197 qualified experts were recruited and deployed in various municipalities across the country (DBSA 2008).

Although the two initiatives are now dormant, they played a critical role in assisting municipal councils to make informed decisions on their service delivery plans. For instance, the service delivery facilitator would be deployed to assist a municipality with its financial management. Therefore, the service delivery facilitators would assist municipal councils to prioritise the needs of the community and advise the council prior to the adoption of a municipal budget. In Gauteng Province, the City of Johannesburg was the only metropolitan municipality that had been identified as one of the 136 priority municipalities for the intervention. Powell (2012:18) argues that Project Consolidate and *Siyenza Manje* initiatives were not a success, especially in metropolitan municipalities, because the interventions did little to improve the financial performance of municipalities, which is arguably a significant indicator of a sustainable municipality. Furthermore, through these initiatives, senior administrators and councils of some municipalities expected the facilitators to execute all the tasks on their behalf and did not view them as interventions that aimed at building capacity among the key decision-makers (Powell 2012:18).

It could be argued that because Project Consolidate was an initiative of the national government, it tended to ensure that the national sphere of government provided directives on how a particular mandate should be achieved in municipalities, without paying attention to the context within which municipalities exist. For example, it imposed a common approach through which free basic services should be provided by municipalities to indigent communities, disregarding the capabilities of different municipalities. As such it is maintained that Project Consolidate, despite its noble intentions, compromised the quality of decision-making in municipalities as municipal officials, and sometimes councillors, depended on the “technical experts” without duly considering the social contract entered into between the councillors and their respective constituents.

4.6.2. Local Government Turnaround Strategy (2009-2014)

In December 2009 the Cabinet adopted the Local Government Turnaround Strategy. The Local Government Turnaround Strategy (LGTAS) was implemented for the period 2009 to 2014 to restore good performance in municipalities by addressing specific factors that undermine their very existence. The strategy was intended to improve the performance of municipalities by ensuring that both the political office-bearers and municipal officials have the requisite skills to perform their respective functions (CoGTA 2009:4). Amongst others, the strategy was aimed at developing the capacity of key role players in municipalities thereby ensuring that duties are executed with civic pride through being (CoGTA 2009:4):

- responsive to the needs of communities;
- accountable for the actions taken; and
- effective and efficient in executing the required functions.

As an intervention strategy, the LGTAS identifies the objectives which serve as the benchmark against which municipalities should measure their performance. This assists in classifying municipalities according to their capacity to deliver on their constitutional mandate. Furthermore, challenges and the level of intervention and support needed from national government, provincial government and other stakeholders would be identified and provided as and when necessary (CoGTA 2009:6). Primarily, the purpose of the turnaround strategy was to ensure that municipal councils are supported and have a strengthened capacity to achieve their constitutional obligation, thereby ensuring the delivery of services to communities. The Local Government Turn-Around Strategy advocates for a new municipal governance regime, where municipal councils are expected to be responsive to the needs of the communities by assessing their strengths and weaknesses and further identify and manage the appropriate interventions (CoGTA 2009:11).

It could be argued that the LGTAS was a timeous intervention because when it was implemented it identified key thematic areas i.e. accountability, responsiveness, efficiency and effectiveness, that would assist in addressing particular challenges facing municipalities. These challenges concern service delivery, spatial conditions, governance, financial management, local economic development and labour relations within municipalities (CoGTA 2009:17-18). With reference to service delivery, for example, the function of a municipality to provide essential services, such as water, electricity, refuse removal, sanitation and roads in municipalities would be enhanced by considering the four thematic areas. The governance theme focused on how political interference affects administrative officials from performing their functions efficiently. Although the success measures of LGTAS cannot be clearly quantified, it is important to acknowledge that it established a foundation for the Back-to-Basics strategy that was established in 2014.

4.6.3. Back-to-Basics (2014–current)

The Back-to-Basics strategy was instituted in 2014. Its adoption was a result of the summit convened by the President to discuss pertinent matters affecting municipalities. The Back-to-Basics strategy serves as an intervention that is aimed at enhancing the delivery of services by municipalities. This strategy is a continuation of the Local Government Turn-Around Strategy and other municipal strategies that preceded it.

The primary purpose of the Back-to-Basics strategy is to serve as a catalyst that would enable the facilitation of a developmental local government by ensuring that municipalities adequately address the challenges that threaten the livelihoods of people. The Back-to-Basics strategy focuses on the four basic services that are a primary responsibility of the municipality. These basic services are namely: (i) water provided at home, (ii) toilet at home (adequate sanitation), (iii) electricity at home, and (iv) weekly removal of refuse (CoGTA 2014:4). These municipal services serve as indicators to measure the performance of municipalities. The Back-to-Basics strategy is

targeted at improving various key performance areas, including the provision of basic services, governance within municipalities, public participation, financial management in municipalities, and institutional capacity of municipalities to render services efficiently and effectively. With these pillars addressed, it is implied that the performance and sustainability of municipalities would improve (CoGTA 2014:9).

Through its good governance practice, the Back-to-Basics approach emphasises the need and significance of municipal councils meeting at least once a quarter as required by legislation. Meeting regularly is important, especially to allow for the oversight of the tasks delegated to committees and members of the council in order to finalise decisions. The Back-to-Basics approach serves as a guideline to capacitate municipalities on the best practices that would lead to municipal councils functioning in the most effective way. The approach promotes democratic participation for decision-making in local government. Municipal councillors are expected to liaise and consult with their constituents, who will in turn influence the policies and decisions of the municipality, according to the needs and aspirations of the communities. Such a public engagement will enhance the ability of the municipal council to establish meaningful and well-considered decisions.

4.6.4. Service provision

Section 73(1)(c) of the Municipal Systems Act, 2000 asserts that a municipality has a duty to ensure that all members of the local community have access to at least the minimum level of basic municipal services. Thus the provision of municipal services in accordance with Section 73(2) of the Municipal Systems Act, 2000 has to be:

- equitable and accessible;
- conducive to the prudent, economic, efficient and effective use of available resources;
- financially and environmentally sustainable; and
- reviewed with intent to upgrade and extend the improvement.

This implies that a municipal council as the legislative and executive authority of a municipality has the duty to ensure that municipal services are regularly provided within its financial capacity. For municipalities to effect service provision, it is necessary for municipal councils to adopt and implement a tariff policy on the levying of fees for the services provided, by either the municipality itself or through service providers in accordance with the service delivery agreements (Section 74 of the Municipal Systems Act, 2000). A council has the prerogative to increase delivery of a specific service, e.g. water to formal housing projects and limit the service regarding informal settlements. This implies that council takes a value decision of the relative importance of one service compared to another.

Various mechanisms could be explored by a municipality to ensure the delivery of services to their communities. Section 76 of the Municipal Systems Act, 2000 makes provision for the establishment of both internal and external mechanisms for service delivery. With regard to internal mechanisms, the municipality may provide services through:

- a department or other administrative unit within its administration;
- any business unit devised by the municipality, provided it operates within the parameters of the municipal administration; and
- any other component of its administration.

Service provision by utilising an external mechanism could be achieved through a service delivery agreement entered into with (Section 76[b] of the Municipal Systems Act, 2000):

- a municipal entity
- another municipality
- an organ of the state
- a non-governmental organisation or community based organisation
- any other institution.

The local government dispensation that was introduced in 2000 amalgamated local areas in order to establish relatively large metropolitan municipalities. With this came the challenge of providing services to relatively larger areas than before the dispensation came into effect. Thus, most metropolitan municipalities face the challenge of providing adequate services in an effective and efficient manner, especially during the transition period (SALGA 2015:57). At the time, most metropolitan municipalities decided to exploit the internal mechanism for service provision, except for the City of Johannesburg which decided to establish 15 municipal entities to assist the municipality in the delivery of efficient and effective services (SALGA 2015:57). The municipal entities that the City of Johannesburg metropolitan municipality established include inter alia, City Power for provision of electricity, Johannesburg Water for provision of water, Pikitup for refuse collection and waste management on behalf of the municipality.

However, in January 2017 the municipal council of the City of Johannesburg proposed a study to investigate the feasibility of re-incorporating some of the municipal entities into the mainstream municipal departments (City of Johannesburg 2017). This was a result of the challenges that emanated from the discontent of the municipal council on the operations of these municipal entities, including the view that these entities lacked direct accountability to local communities; hence the municipality is unable to monitor their functioning (SALGA 2015:58-59). The municipal entities in the City of Johannesburg are governed by the Boards of Directors through the Companies Act, 71 of 2008. This implies that the entities consider themselves as being independent of the municipal council, despite the essential services that they were established to provide on behalf of the municipality.

The Executive Mayor of the City of Johannesburg asserts that the decision to reintegrate the municipal entities into the departments was informed by an investigation into the governance of the structure of the entities. For example,

the City of Johannesburg commissioned a feasibility study in January 2017, through which the municipal council could determine whether the reintegration of some of the municipal entities into the departments would improve the delivery of services or not. Hence, the council argued that their decision to reintegrate was proven to be best practice, because service rendering is a responsibility of a council and not of the Board of Directors of such entities. Thus, the decision was taken in consideration of the council's effort to foster public accountability for the provision of services to communities.

Section 78 of the Municipal Systems Act, 2000 provides for the circumstances to consider when a municipal council has to decide on mechanisms to provide services. This implies the procedure that gives effect to the decision of the municipal council on whether to utilise either an internal or an external mechanism. For instance, factors such as costs and benefits, the municipality's capacity to render a service, and the opinions of organised labour within the municipality should be considered prior to the municipal council making a decision on which mechanism is appropriate for the delivery of services in a particular municipality. In the case of City of Johannesburg, the cost and benefits were considered prior to the municipal council deciding on the reintegration of the entities. The decision of the municipal council considered factors highlighted above, which are consistent with the requirements of Section 78 of the Municipal Systems Act, 2000. It could be deduced that the municipal council has a direct influence on the provision of services within a particular municipality or an area within a municipality.

4.7. CONCLUSION

This chapter explained the system of local government with a specific focus on metropolitan municipalities in South Africa. The chapter explored the historical origins of the establishment and development of local government in South Africa. This is essential since it assists in determining specific

patterns of development within communities and in analysing the functioning of municipalities.

The chapter discussed the government system in South Africa, thereby locating the local government sphere within the three spheres of government framework. Through the discussion, it was argued that each sphere plays an important role in terms of the functions that each is competent to provide, as outlined in the Constitution, 1996. A discussion on the background of local government was imperative in highlighting the reform that has taken place over time. This was achieved in two ways, by discussing the system of local government under the apartheid system and elaborating the characteristics of this system in a democratic dispensation.

Another aspect that was explored was the investigation into the role that the political, social and physical environment plays in influencing the functioning and operations of a municipality. Thereafter, the legislation and policies that regulate local government were discussed. This was done to understand the conditions under which municipalities exist. An examination of local government systems and structures was made to understand the constitutional mandate of the local sphere of government. Lastly, the chapter encapsulated the importance of efficiency and effectiveness in local government by explaining the strategies implemented to improve performance in municipalities. The implementation of these strategies was sparked by the changing environment, whereby municipalities are finding it ever more challenging to perform their constitutional obligations.

CHAPTER 5: ANALYSIS AND INTERPRETATION: FACTORS INFLUENCING DECISION-MAKING IN MUNICIPAL COUNCILS

5.1. INTRODUCTION

The purpose of the study was to evaluate the effect municipal councils have on the service delivery agenda that is expected to be implemented by the municipalities in South Africa. The objectives of the study emanated from this purpose. It could be argued that the successful execution of government policies and programmes relies on the efficiency of the local government sphere, as it is the sphere closest to the people where most resources required on a daily basis are delivered. This chapter focuses on the analysis and interpretation of the research findings. This is done to address the questions, aims and objectives of the research.

Firstly, the chapter will discuss the background of Gauteng Province. This discussion will assist in laying a foundation for the contextualisation of the case studies, i.e. metropolitan municipalities in Gauteng. Through this, the environmental, social, economic and political conditions will be discussed, thereby, exploring the effects that such variables have on decision-making. Secondly, the chapter will highlight the significance, reasons and existence of metropolitan municipalities, particularly in a developmental state such as South Africa. This is imperative, since the case study of this research is metropolitan municipalities. Thirdly, the chapter will discuss the variables that influence the decision-making of metropolitan municipal councils, with emphasis on the metropolitan councils in Gauteng. These elements give effect to a conceptualised framework for enhancing decision-making by a municipal council. The framework contributes to the body of knowledge concerning decision-making by a political structure and will be discussed in detail in chapter six of the thesis. Thus, the framework would enable logical decision-making within local government, where competing community needs exist to allow the municipal council to determine priorities.

5.2. BACKGROUND OF GAUTENG PROVINCE

Gauteng is the most productive and populous province in the country, with 13 498 200 people residing within its borders, despite being the smallest in terms of land area (StatsSA 2016a:2; SA Yearbook 2015/16:161). Gauteng is the economic centre of South Africa, since it accounts for about 34% of the total GDP of the country (South Africa Yearbook 2015/16:6). Gauteng includes the broader Gauteng City Region (GCR) network. The notion of the GCR network is centred on the integration of cities, towns and urban nodes which create the economic capital of South Africa. Although the epicentre of the city region network is located in Gauteng Province, the towns and cities outside the boundaries of the province are also role players and contribute to the economic development of Gauteng (Gauteng City Region Observatory 2017). For example, the towns that are relevant to the maintenance of the GCR network include: Rustenburg, Potchefstroom and Klerksdorp in North West Province, Sasolburg in Free State Province and eMalahleni, Middleburg and Secunda in Mpumalanga Province.

Gauteng accounts for 24,1% of the total population in the country, thereby indicating a population density of approximately 743 persons per km². This indicates that Gauteng has a bigger population than any other individual province in South Africa, despite its relatively small land surface area. The implication is that its municipalities should be particularly responsive to matters that concern the delivery of services to communities. With these unique characteristics, it should be acknowledged that municipalities within Gauteng could prove to be indicative of the challenges that exist in other densely populated metropolitan municipalities across the country. A one-size-fits-all approach would not work, since municipalities differ in size and capability. However, metropolitan municipalities in Gauteng could be a model for other metropolitan municipalities on specific issues that relate to population dynamics and comprehensive municipal service rendering.

Figure 5.1: Map of Gauteng Province with various municipalities



Source: The Local Government Handbook (2016)

Gauteng Province comprises three metropolitan municipalities, namely City of Ekurhuleni, City of Johannesburg and the City of Tshwane and two district municipalities, namely; Sedibeng and West Rand (as indicated on the map in Figure 5.1). The two district municipalities are further divided into six local municipalities as depicted in Table 5.1

Table 5.1 Municipalities in Gauteng Province

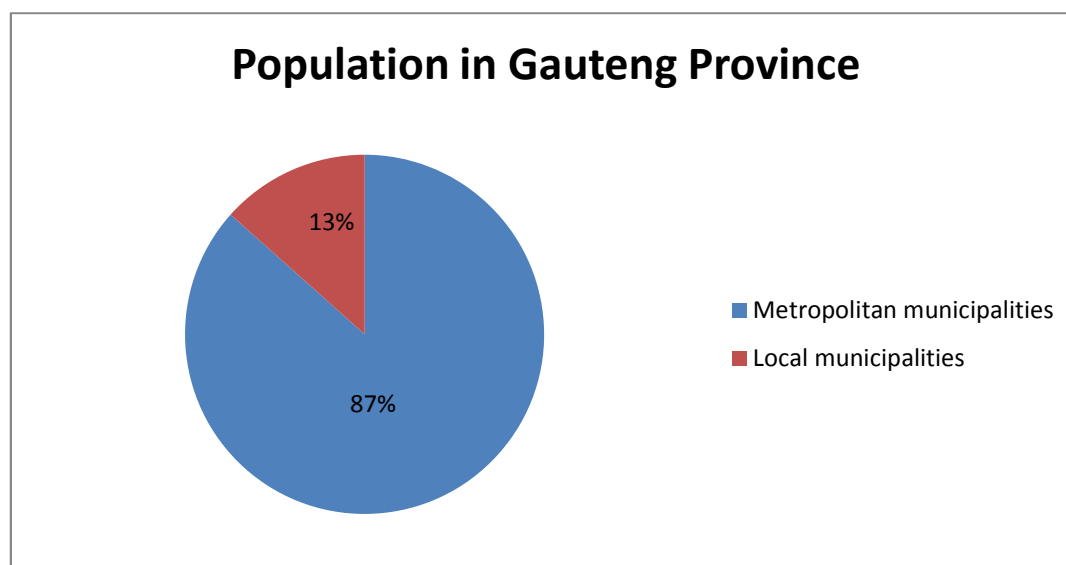
Municipality	Category	Executive system type	Estimated population (2016)	Estimated land area (km ²)
Tshwane	Category A (metropolitan)	Mayoral Executive	3 275 152	6 368
Johannesburg	Category A (metropolitan)	Mayoral Executive	4 949 347	1 645

Ekurhuleni	Category A (metropolitan)	Mayoral Executive	3 379 104	1 975
Sedibeng	Category C (district)	Mayoral Executive	957 582	4 173
• Emfuleni	Category B (local)	Mayoral Executive	733 445	966
• Lesedi	Category B (local)	Mayoral Executive	112 472	1 484
• Midvaal	Category B (local)	Mayoral Executive	111 612	1 722
West Rand	Category C (district)	Mayoral Executive	838 594	4 087
• Merafong	Category B (local)	Mayoral Executive	188 843	1 631
• Mogale City	Category B (local)	Mayoral Executive	383 864	1 342
• Rand West City	Category B (local)	Mayoral Executive	265 887	1 115

Source: Adapted from the Local Government Handbook (2016); Statistics South Africa (2017)

A depiction of the municipalities in Gauteng is provided in Table 5.1, where the different categories of municipality, together with their estimated population and land area surface, are explained. From Figure 5.2 it can be deduced that the majority, i.e. 87% of the population in Gauteng Province reside in the three metropolitan municipalities.

Figure 5.2: Population distribution in Gauteng



Source: Author

In the period 2011–2016, Gauteng Province experienced a net in-migration of 585 210 persons. This implies that the number of people coming into Gauteng (in-migrants) greatly exceeded the number of people leaving the province (out-migrants). For example, during the same period the rate of in-migrants was 1 216 258 persons and the rate of out-migrants was 631 048 persons. Hence, the figures indicate a positive provincial net-migration of more than half a million people, which is the highest in the country (StatsSA 2016a:14).

5.3. METROPOLITAN MUNICIPALITIES

A metropolitan area could be considered as a central area that consists of a large population, with communities that have a high degree of economic and social integration within its centre (Cameron 1999:18). The White Paper on Local Government (1998:106) defines a metropolitan area as a large urban settlement with high population density, complex and diversified economy, and a high degree of functional integration across a large geographic area. This implies that a metropolitan area is urbanised and characterised by the intense movement of people, who happen to be in the centre of the economic and social activities taking place within an area, i.e. they live and work within that area. Hence metropolitan municipalities propel urban growth which could create challenges in regulating the provision of goods and services within these urbanised communities. The problems that could be associated with *metropolisation*⁶ include poverty, infrastructural deficiencies, backlogs and lack of adequate service provision (Reddy 2008:45). Lefèvre (1998:10) argues that the main *raison d'être* of metropolitan governments is based on the notion of making an urban institutional system correspond to the economic and social development of cities. This implies that a metropolitan government is the product of the growth and development of the economy of an urban settlement. Thus, metropolitan areas are constituted as a result of a

⁶ Process of creating an area into a metropolitan centre which leads to high population and economic growth

highly concentrated population with a vibrant economy and the potential to ensure a local government structure that will provide specific services in a more efficient and effective manner.

When the concept of a metropolitan government was first introduced in South Africa, it started as a two-tier system where the metropolitan area consisted of several local authorities beneath it (Thornhill 1991:10). For example, Greater Pretoria Municipality was established as a metropolitan area, with various other local authorities, including inter alia Atteridgeville, Eersterust, Mamelodi, Laudium and Centurion. However, since 2000 the metropolitan government model has been reconfigured as a single-tier governing structure for an area with exclusive executive and legislative authority established to govern. This implies a single governing structure that commands authority in a specific area. An example is the City of Tshwane Metropolitan municipality, which has the legislative and executive authority to govern within its area of jurisdiction. Compelling reasons for the establishment of metropolitan governments within the South African local sphere of government were advanced by the White Paper on Local Government (1998:107-109). These reasons include the argument that a metropolitan government will: (i) create a basis for equitable and socially just metropolitan government; (ii) promote strategic land use planning, and coordinated public investment in the physical and social infrastructure; (iii) develop a city-wide framework for economic and social development, and (iv) enhance the economic competitiveness and wellbeing of the city.

5.4. GOVERNMENT AND ADMINISTRATION OF SELECTED METROPOLITAN MUNICIPALITIES

Through a purposive sampling technique, the three metropolitan municipalities in the Gauteng Province were selected. The reason for this selection is that the metropolitan municipalities in Gauteng generally represent characteristics, i.e. populations, economy, and physical nature of all the metropolitan municipalities in South Africa. An estimated 21% of the

population resides in the three metropolitan municipalities in Gauteng. That is approximately 11,6 million people out of the total estimated population size of 56,5 million people in South Africa. This makes the sample representative of characteristics of the study population, i.e. metropolitan municipal councils (Kumar 2014:229). However, through a case study design, which is utilised in this research, it cannot be claimed that generalisations can be made to the population beyond the cases similar to the one studied (Kumar 2014:155). This implies that through a case study, the generalisations determined could be applicable to the municipal councils of the other five metropolitan municipalities and not necessarily to councils of local and district municipalities. Therefore, purposive sampling assists the research with the selection of cases which could provide adequate data, thereby providing the information required to discuss the decision-making and governing roles of a council. Municipalities utilise an Integrated Development Plan to guide their planning and facilitation of services to communities. Thus, an IDP would contain a detailed list of the needs of the communities as categories in wards within a specific municipality. Through these IDP's municipalities are able to plan and ensure that the necessary resources are in place to ensure effective and efficient delivery of services (City of Ekurhuleni 2015/2016; City of Johannesburg 2015/2016; City of Tshwane 2015/2016). In the following section the background of each case will be discussed. This assists in determining the similarities and differences in the functioning of each municipal council in order to make a conscious choice among the alternatives provided. Consequently, an examination is made of the different secondary records, together with data gathering through observations.

5.4.1. City of Johannesburg

The City of Johannesburg metropolitan municipality was established in 2000 when the current local government dispensation was introduced. The municipality is positioned around the town of Johannesburg, which is arguably the most advanced commercial city in Africa and the centre of South African and regional economy (The Local Government Handbook

2016). Johannesburg as a town, was founded in 1886 with the intention of servicing the needs of the workers on the gold mines (which had been developed earlier in 1884) on the Witwatersrand (South African History Online 2017). As depicted on the map of the municipality in Figure 5.3, the City of Johannesburg is composed of a number of areas e.g. Diepsloot, Sandton, Johannesburg, Soweto and Lenasia.

Figure 5.3: Map of the City of Johannesburg Metropolitan Municipality



Source: The Local Government Handbook (2016)

The City of Johannesburg Metropolitan Municipality consists of diverse economic sectors such as finance and business, community services, manufacturing and trade, which collectively contribute approximately 82% of

the GDP of the municipality (The Local Government Handbook 2016). This metropolitan municipality is the most populous Category A municipality in South Africa with a population density of 3009 persons per km². A variety of people of different ethnicities comprise its population. This social composition requires a complex decision-making process, because both the variables i.e. population and heterogeneity affect the quality and diversity of decisions directly or indirectly. In the 2016/2017 financial year the City of Johannesburg was allocated R3,18 billion from the National Revenue Fund and R1,776 billion as an urban settlement development grant to assist the municipality in accelerating the provision of formal housing. Furthermore, the City of Johannesburg received a grant worth R64,7 million for promoting an integrated city development (Schedule 3 and Schedule 4 part B of the Division of Revenue Act, 3 of 2016). According to the Auditor-General (2015:117), the City of Johannesburg has obtained an audit opinion that is unqualified with findings for the two consecutive financial years (2013/2014-2014/2015). This implies a clean audit outcome, however, with findings being raised on either reporting on predetermined objectives or non-compliance with the legislation or both these aspects.

The IDP of the City of Johannesburg is aligned with the 2040 Growth and Development Strategy (GDS) of the city. This implies that its IDP will be structured in such a way that it attains the developmental imperatives as outlined in the 2040 GDS. Thus, in the 2015/2016 IDP review the City of Johannesburg aims at providing the service needs of communities with an estimated budget of R52.1billion, which could further be split into R9.8billion as capital budget and R42.3billion as operational budget (City of Johannesburg 2015/2016: 110-112).

The City of Johannesburg is urbanised with over 80% of its houses being formal dwellings, most of which are provided with all essential services from the municipality. For instance, in the 2015/2016 financial year, 89% of the dwellings had access to a flush toilet (sanitation), 85% of dwellings had

access to weekly solid waste removal, 60,3% had access to piped water inside the dwelling and 91% of the dwellings had access to electricity (The Local Government Handbook 2016). As a result, the municipal council still faces various challenges of achieving 100% service provision for all the essential services it provides through its departments and entities. Consequently, the growth of the population and in-migration into the municipality creates an expectation that the City of Johannesburg will have double of its current population in a period of 22 years. This implies that the population density will increase by 50% in the year 2039 (South African Cities Network 2017:48).

The Council of the City of Johannesburg Metropolitan Municipality comprises 270 councillors representing various constituencies within the jurisdiction of the municipality. Out of the 270 councillors, 135 represent the wards that have been demarcated within the municipality and 135 councillors are proportional representatives emanating from political party lists (City of Johannesburg 2017a). As discussed in both chapter two and chapter four of this thesis, the political party dominance by the DA-led coalition in the City of Johannesburg was obtained through an arrangement after the August 2016 local government elections. The significant role-players in the municipality include the ANC, DA and EFF. The allocation of seats in accordance with the votes obtained is illustrated in Table 4.2 in chapter four.

The City of Johannesburg Metropolitan Municipality utilises the mayoral executive system combined with the ward participatory system (City of Johannesburg 2017a). In a mayoral executive system the executive leadership of the municipality is vested in the executive mayor, where he/she is assisted by the mayoral committee. In the City of Johannesburg, the mayoral committee comprises of 10 members of whom eight are DA councillors, two councillors from the Inkatha Freedom Party (IFP) (City of Johannesburg 2017b; Electoral Commission 2016). All these Members of the Mayoral Committee (MMC) serve at the pleasure of the executive mayor

of the City of Johannesburg. Thus decision-making often is initiated by the MMC for recommendations to the full council of the municipality. However, since the municipality also utilises the ward participatory system, in other instances communities should be consulted prior to finalising decisions, i.e. approving the budget and the Integrated Development Plan. The municipality has been divided into wards which have been clustered to form regions, which have a slight resemblance to the sub-council participatory system as explained in chapter four. The only differentiator in the case of the regions is that no power is delegated to the region, unlike in sub-councils and such regions exist to facilitate administrative efficiency and effectiveness in the delivery of services. Thus, for this purpose the decision-making function of the municipality is centralised in the municipal council.

5.4.2. City of Tshwane

The City of Tshwane Metropolitan Municipality is situated in the northern parts of Gauteng Province. The municipality was established in 2000 through the integration of various municipalities and councils that had previously served the Greater Pretoria and surrounding areas i.e. Centurion, Atteridgeville, Eersterust, Mamelodi, Laudium and Pretoria (City of Tshwane 2017). In May 2011, the City of Tshwane incorporated Nokeng tsa Teamane Local Municipality (Cullinan) and Kungwini Local Municipality (Bronkhorstspuit) which were part of the erstwhile Metsweding District Municipality to form the largest metropolitan municipality (6 368km²) in South Africa (The Local Government Handbook 2016). The City of Tshwane hosts Pretoria, which is the administrative seat of the Government, and has numerous embassies within its area of jurisdiction. Pretoria has the second-largest number of embassies in the world after Washington DC in the United States of America (The Local Government Handbook 2016). In terms of Figure 5.4, the City of Tshwane is made up of a number of areas, e.g. Hammanskraal, Atteridgeville, Mamelodi, Centurion, Eersterust, Pretoria, Bronkhorstspuit and Cullinan.

Figure 5.4: Map of the City of Tshwane Metropolitan Municipality



Source: The Local Government Handbook (2016)

Like the City of Johannesburg, the City of Tshwane Metropolitan Municipality has diverse economic sectors that contribute to its GDP. These sectors include community services, finance, transport, trade and manufacturing which collectively contribute 91% of the GDP of the Municipality (The Local Government Handbook 2016). The City of Tshwane has an estimated population of 3 275 152 and 6 368 km² of land area size, as indicated in Table 5.1. This implies that the population density in the City of Tshwane is 514 persons per km². However, most of the areas to the north-eastern parts of the municipality are agricultural areas with a lower population density than in the urbanised areas. In the City of Tshwane, the expected doubling time for the urban population is to be achieved in 2040. This infers that the population within the municipality will be over 7 million within the next 22.6

years' time due to population growth and urban migration (South African Cities Network 2017:48).

The City of Tshwane was allocated R1,86 billion by the National Treasury in the 2016/2017 financial year through the Division of Revenue Act, 3 of 2016. An additional funding of R1,54 billion was supplemented to the City of Tshwane to address the human settlement infrastructure through the urban settlement development initiative. A further R42,7 million was allocated to the municipality for the promotion of integrated city development (Schedule 3 and Schedule 4 part B of the Division of Revenue Act, 3 of 2016). Similar to Johannesburg, the City of Tshwane has obtained an audit opinion that is unqualified with findings for the two consecutive financial years, i.e. 2013/2014-2014/2015 (Auditor-General 2015:117). This implies that the City of Tshwane had a clean audit outcome, however, with findings being raised on either reporting on predetermined objectives or non-compliance with the legislation or both these aspects. These findings are crucial as they identify issues that need corrective action for future improvement. For instance, some of the issues identified include, the officials lacking adequate capacity to perform administrative functions, perpetual fruitless expenditure and corruption in the supply chain management processes of the municipality. Thus, in order to address these shortcomings, it may be necessary to consider enhancing capacity of the officials and imposing strict compliance mechanisms. In the 2015/2016 IDP review, the City of Tshwane allocated an amount of R25.5 billion as an operating budget for the provision of services (City of Tshwane 2015/2016: 177). This implies that the operations budget will enable the municipality to function as an entity in rendering services to its communities. The City of Tshwane IDP is aligned to the Tshwane Vision 2055, which serves as a long term plan of the municipality.

The City of Tshwane Metropolitan municipality is an urban municipality with 83% of the houses being formal dwellings. According to the Local Government Handbook (2016), the municipality ensures the provision of

essential services such as water, sanitation, refuse removal and electricity to its communities. In 2016 approximately 77% of the dwellings in the municipality had access to sanitation, *i.e.* flush toilet; 79% of the dwellings had access to weekly solid waste removal; 62% had access to potable (piped water) inside the dwelling; and 92% of the dwellings had access to electricity (The Local Government Handbook 2016). Since the incorporation of Nokeng tsa Taemane and Kungwini (Metsweding District) in 2011, the City of Tshwane might have been prevented from its mission of attaining 100% in all services provided by the municipality. This could be attributed to the fact that the areas incorporated are semi-rural with relatively less infrastructure than in the existing urbanised areas. This has a detrimental effect on the municipality's quest of providing services equitably to all its inhabitants. The incorporation also compelled the former municipal council to incorporate the new areas' budget deficit and levels of service delivery.

Since the August 2016 local government elections, the municipal council of the City of Tshwane has comprised 214 councillors, of whom 107 are proportional representatives obtained through party lists of the different political parties; the remaining 107 are ward councillors. The political control of the Tshwane municipal council has been won by the DA with the assistance of the EFF and other coalition partners. Table 4.2, as discussed in chapter four, illustrates the seat allocation of the City of Tshwane Metropolitan municipal council. Thus, it is clear that the major political participants in the council of the municipality are the ANC, DA and the EFF. The mayoral executive system is utilised by the City of Tshwane metropolitan municipality in combination with the ward participatory system (City of Tshwane 2017). In the City of Tshwane Metropolitan Municipality, the mayoral committee comprises of 10 members of whom eight are DA councillors, one councillor from the African Christian Democratic Party (ACDP) and one councillor from the VF+ (City of Tshwane 2017a; Electoral Commission 2016). A similar arrangement to that of Johannesburg is also applied in Tshwane, where the wards of the municipality are clustered into

regions for administrative purposes. In the case of Tshwane, seven regions have been established to cater for the diverse sub-community requirements and to assist in facilitating community participation in order to guide the council in its decision-making function on matters relating to the approval of the municipal budget and IDP. This is done to facilitate effective service delivery within the municipality.

5.4.3. City of Ekurhuleni

The City of Ekurhuleni Metropolitan Municipality is located in the eastern region of the Gauteng Province. The City of Ekurhuleni was established by amalgamating the nine towns which were in the erstwhile East Rand region with Khayalami Metropolitan Council and the Eastern Gauteng Regional Services Council to form a metropolitan municipality in 2000 (The Local Government Handbook 2016). The Municipality hosts O.R. Tambo International Airport and Germiston train station, which are arguably the biggest airport in Africa and the biggest rail network in South Africa, respectively. The municipality could be considered a hub for South African logistics and transportation sectors.

The City of Ekurhuleni aims to become the first aerotropolis in Africa (City of Ekurhuleni 2015:9). Aerotropolis is a concept used to define a city that is built around an airport, thereby generating its economy through connecting time-sensitive suppliers, manufacturers, distributors and business people to distant customers clients and marketplaces (South African Cities Network 2016a:330). Essentially, this is a city whose economy is built around the core business of an airport. As illustrated in Figure 5.5, the City of Ekurhuleni consists of areas such as Alberton, Bedfordview, Benoni, Brakpan, Germiston, Kempton Park, Katlehong, Kwa-Thema, Olifantsfontein, Nigel, Tembisa and Vosloorus.

Figure 5.5: Map of the City of Ekurhuleni Metropolitan Municipality



Source: The Local Government Handbook (2016)

The composition of the economy of the City of Ekurhuleni Metropolitan Municipality is similar to that of the City of Johannesburg and City of Tshwane, as it is also generated from various economic sectors. The manufacturing, finance and business services, community services, trade and transport industries, jointly contribute 90% of the municipality's GDP (The Local Government Handbook 2016). The City of Ekurhuleni Metropolitan Municipality has an estimated population of 3 379 104 persons with a land area size of 1 975 km². This implies that the population density of the municipality is 1 711 persons per km². The population density of Ekurhuleni is the second largest in Gauteng, with most inhabitants residing in areas such as Benoni, Deveyton Boksburg and Kempton Park. According to

Schedule 3 of the Division of Revenue Act, 2016, the City of Ekurhuleni was allocated R2,38 billion for the 2016/2017 financial year. A further R1,776 billion was allocated as a grant to assist the municipality in promoting urban settlement development and R38,08 million was allocated for the promotion of integrated city development (Schedule 4B of the Division of Revenue Act, 3 of 2016). The City of Ekurhuleni Metropolitan Municipality obtained an unqualified audit opinion with no findings for the period 2013/2014 and 2014/2015 financial years. This implies a clean audit outcome for two consecutive years, where the municipality's financial statements are free from material misstatements and there are no material findings relating to the reporting on performance and non-compliance with legislation (Auditor-General 2015:114).

The City of Ekurhuleni Metropolitan Municipality's IDP is guided by the Growth and Development Strategy 2055. This implies that the establishment of the integrated development planning process in the municipality has to consider the development imperatives and outcomes determined in the long term vision of Ekurhuleni. According to the Ekurhuleni IDP review for 2015/2016 the municipality has allocated an amount exceeding R2 billion to address the provision of basic services in order to ensure that infrastructure and service needs of communities are met by the municipality (City of Ekurhuleni 2015/2016).

The City of Ekurhuleni Metropolitan Municipality is predominantly urbanised with 80% of the dwellings being formalised. The municipality is responsible for the provision of essential services such as water, electricity, sanitation and refuse removal. In the financial year 2015/2016 approximately 85% of dwellings in the City of Ekurhuleni Metropolitan Municipality had access to sanitation, 85% of the dwellings had access to weekly solid waste removal, 57% of the dwellings had access to piped water inside the dwelling and 85% of the dwellings had access to electricity (The Local Government Handbook 2016). The South African Cities Network (2017:48) forecasts that the urban

population growth of the City of Ekurhuleni will be significant as a result of the population growth and the in-migration into the municipality. Thus, it is expected that in 28.3 years' time, the City of Ekurhuleni will experience double the size of its population, i.e. there will be approximately 8 million people residing in Ekurhuleni by the year 2045/2046 (South African Cities Network 2017:48).

The 2016 local government elections resulted in the City of Ekurhuleni coming under the political control of the ANC with the support of the African Independent Congress and other coalition partners as discussed in Table 4.2 in chapter four of this thesis. The municipal council of City of Ekurhuleni comprises 224 councillors of whom 112 are elected as ward representatives and 112 are proportional representatives. The major political parties in the Ekurhuleni Municipality are: the ANC, DA and EFF. The African Independent Congress is a significant role player for the ANC to obtain political dominance in the municipality. The City of Ekurhuleni is the only metropolitan municipality in Gauteng where the ANC managed to muster a majority to govern after the 2016 local government elections through a coalition agreement. The council of the City of Ekurhuleni utilises the mayoral executive system combined with the ward participatory system. This implies that the political leadership of the municipality is vested in an executive mayor, who is assisted by the mayoral committee. The mayoral committee of Ekurhuleni Metropolitan Municipality comprises of 10 members of whom are councillors representing the ANC (City of Ekurhuleni 2017; Electoral Commission 2016). All these Members of the Mayoral Committee (MMC) serve at the pleasure of the executive mayor of the City of Ekurhuleni. Thus decision-making often is initiated by the Executive Mayor together with the MMC's for recommendations to the full council of the municipality. The ward committees established within the municipality play an advisory role to council and they are represented through their chairpersons, i.e. ward councillors. The municipality also utilises the ward participatory system,

which implies that the communities should be consulted prior to the approval of the budget and the Integrated Development Plan.

The decision-making process of the municipal councils in the three metropolitan municipalities follows the same pattern as mandated by the legislation. For example, the process of making decisions in a council is regulated by procedures such as following standing orders, debating and discussing motions that are raised and ultimately resolving on a particular issue. Thus, a municipal council meeting would approve the decisions made through political party caucuses, which are structures that exist outside of the municipal council. Only in specific cases as required by the legislation, the three metropolitan municipal councils in Gauteng have to consult their respective communities prior to finalising decisions on specific matters, i.e. approving rates and taxes, municipal budgets and Integrated Development Plan.

5.5. FACTORS INFLUENCING DECISIONS OF METROPOLITAN MUNICIPAL COUNCILS IN GAUTENG

A municipal council is a microcosm of the communities in its area of jurisdiction. This implies that a municipal council does not operate in isolation. Thus, the effectiveness and efficiency of the functioning of a municipal council will depend on the values and standards set by the community. As defined in chapter three of this thesis, decision-making is a process that involves a conscious selection of a particular course of action from amongst the available alternatives. Different variables will influence the process of choosing the most suitable alternative among a variety of choices. This implies that the most appropriate alternative will be the outcome of the assessed problem and the different variables that surround the problem. For example, if the most suitable alternative decision is designated as D , the problem is designated as P and different variables are signified by F_1 ; F_2 ; F_3 and F_n depending on how many exist for a particular problem. Assuming that

the values held by the decision-makers is V and the administrative capacity of the decision-making authority is AC, the following formula could be considered:

$$D = \frac{P + (F_1 + F_2 + F_3 + F_n)}{V + AC}$$

From the above formula, it can be deduced that a public administration environment depends on a plethora of variables for it to be able to facilitate effective and efficient service delivery. These variables are considered against the values and the administrative capacity of the decision-makers. This implies that as the numerators $[P + (F_1 + F_2 + F_3 + F_n)]$ these variables may differ depending on the nature and context of a particular problem within a municipal council, whereas the denominators $(V + AC)$ signify the common elements that should be considered when a decision is made at all the times. In the case of a municipal council, variables identified are significant contributors to the decision-making process by the municipal council. These variables include:

- environment (political, social, economic and physical);
- political ideologies;
- resources;
- population/ demographics;
- type of executive system used by municipality; and
- legislation and decisions of other organs of the state.

These variables are interrelated and in some instances they are inextricably linked. For instance, the type of the executive system used in a specific municipality depends on the legislation, the kind of environment and the population size in the area. Thus, the choice of the most suitable alternative decision will be dependent on the abovementioned variables. For example, if the municipal council of the City of Tshwane aims to introduce a policy for the

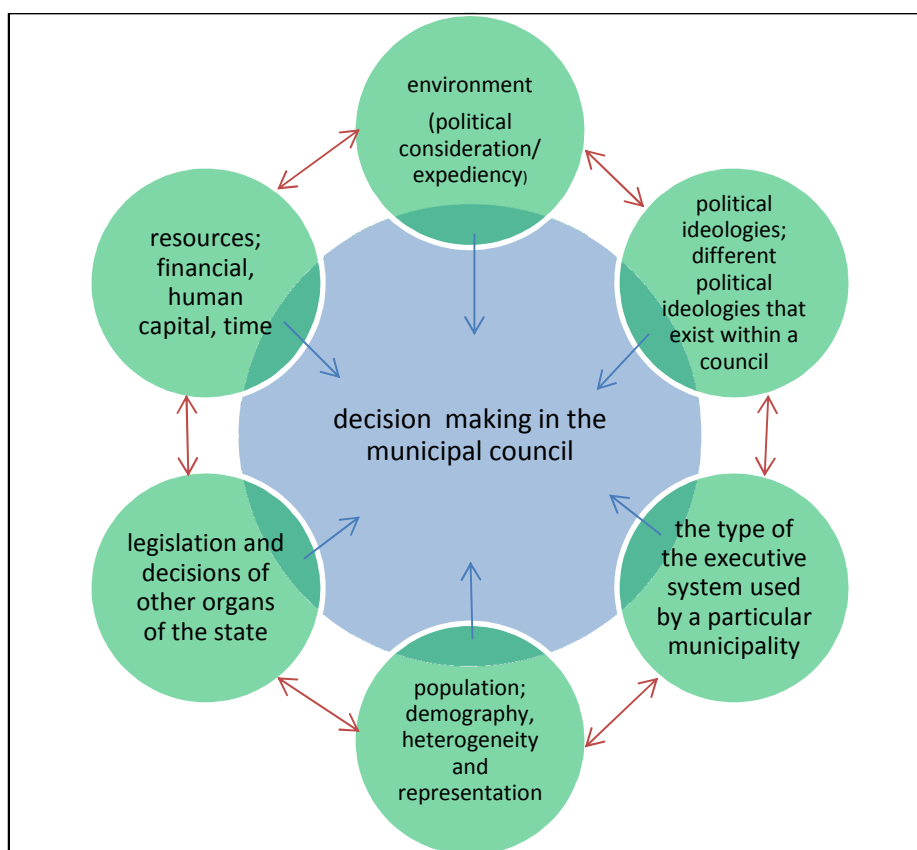
provision of services to indigent households, the formula could be demonstrated as follows:

$D = P$ (people being unable to pay for the services) + (**F_1** environment (when and how to introduce the policy) + **F_2** political ideologies in council (socialist or capitalist orientation) + **F_3** resources (availability of grants/funding/personnel to address the problem) + **F_4** population/demographics (how many households needs assistance/ how will the rich subsidise the poor?) + **F_5** executive system used (responsibility- executive mayor or speaker or ward councillors and how long will it take to approve the policy) + **F_6** legislation and decisions of other organs of the state (what does the national FBS policy indicate? Is there any court judgement on the matter?) + **F_n** other variables \div (Values + Administrative Capacity of the municipal council)

$$D = \frac{P + (F_1 + F_2 + F_3 + F_n)}{V + AC}$$

As illustrated in Figure 5.6, the kinds of decisions that municipal councils make are dependent on the influence of the different variables as indicated. These variables affect the different functions of the municipal council, i.e. decision-making, planning and legislative oversight. This implies that variables have the potential to influence planning, which is ordinarily mainly done by the appointed officials, most of whom are in managerial posts and have the legislative oversight that is to be exercised on the executive of a particular municipality.

Figure 5.6: Factors that influence decision-making in municipal councils



Source: Author

5.5.1. Environment

Chapter four of this thesis discussed the different kinds of environment that enable the local government sphere to optimally achieve its objectives. Thus, the environment in which a municipality exists is a significant determinant for enabling it to promote a satisfactory quality of life among local communities. The four kinds of environments are, namely; political environment, administrative environment, socio-economic environment and physical environment.

The manner in which the environment influences decisions of the municipal council will be dependent on the nature and character of the local communities to which the municipality provides services. This implies that through party political representation on the municipal council, which is partly

based on the system of constituencies, representation will be based on partisan interest. Therefore, when decisions are made, consideration of the political sensitivity could be prioritised. For example, when the DA coalition government of the City of Johannesburg took over the municipality after the 2016 local elections, the council decided to abolish the bicycle lane project and instead deviated the funding to a housing project (Manyathela 2016).

In 2014 the ANC-dominated municipal council of Tshwane decided to demolish the Caledonian soccer stadium with the view of revamping the area to create a state-of-the-art recreational facility. After the local government elections in 2016, the DA-led council proposed that the area where the stadium was situated would be redeveloped, thereby rejuvenating the stadium instead of demolishing it. The Executive Mayor of Tshwane argued that the stadium was a heritage site as it had been the home ground of Arcadia Shepherds soccer club since 1903 (Pather 2016). In both examples, it could be argued that the decisions made by the respective municipal councils were considered on the basis of the specific political values of the governing party in council who is supposed to represent the values of the community in the area of the municipality.

Political values give effect to the political environment within which municipalities operate. Thus, the diversity of ideas within communities will create conditions that are suitable for public policy-making within the municipality. This will create a mutual understanding of communal challenges and clarify the way forward in addressing common challenges. The administrative environment is symbolised by laws and regulations, creating a relationship between the municipal council and its administrative system and organisational structures for providing essential services.

5.5.2. Political ideologies

Decision-making in the public realm will often be influenced and affected by the political ideologies existing within that milieu. As elaborated in chapter

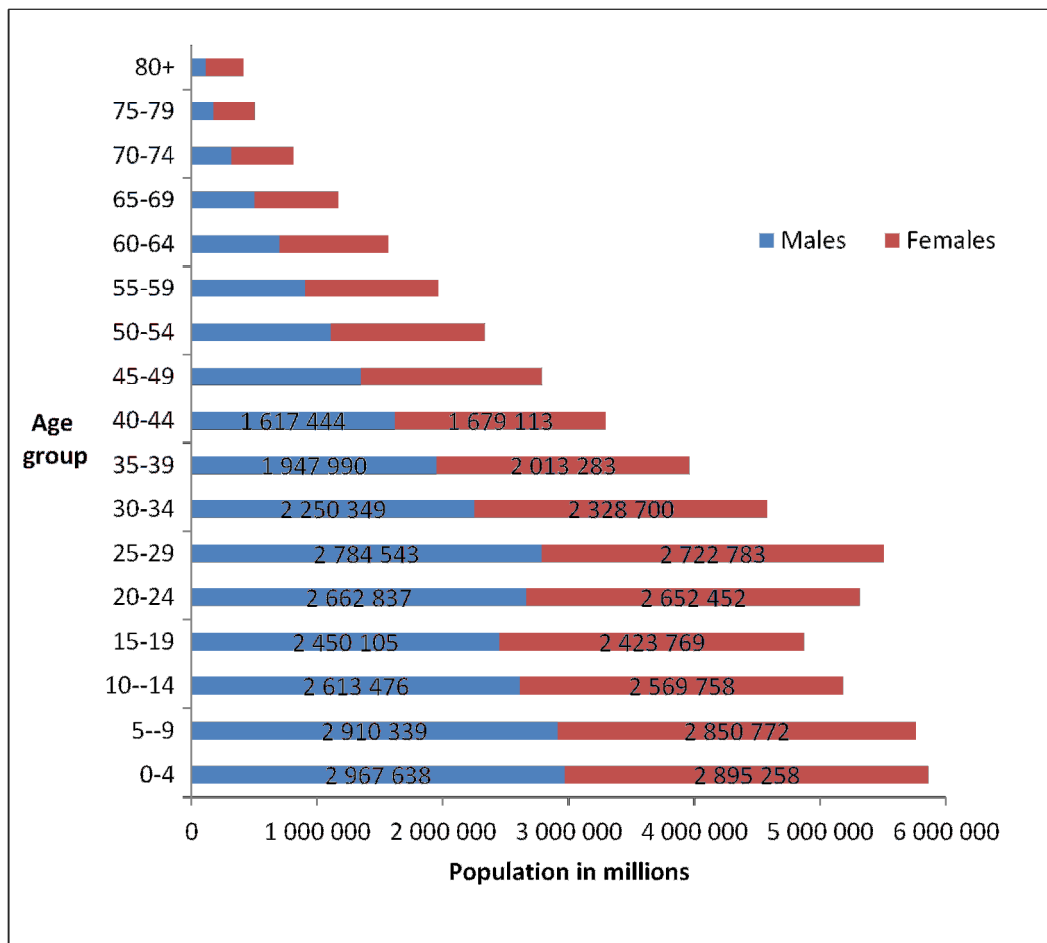
two, political ideologies are instrumental in assisting communities to understand the reasons for past decisions and enabling improvement in future decisions. Political party representatives are a microcosm of the communities they live in. Thus, municipalities function in communities and are influenced by the different political ideologies that exist within a socio-political system. There are different political ideologies that guide the vantage point of decision-making in municipal councils. They include conservatism, liberalism, socialism, communism and nationalism.

Through the assessment of the different political party manifestos leading up to the 2016 local government elections in South Africa, as shown in chapter two, it was illustrated that political ideologies are an imperative element in public policy-making. As the process of policy-making requires a high degree of discernment, decision-making informs the process of policy-making. The existence of various political ideologies in a municipal council is important, because it broadens the prospects of problem solving. This implies that a problem will be considered from different vantage points and points of view.

5.5.3. Population

The number of the world's urban population is growing by almost 60 million people per annum. This implies that the urban population may double in 30 years' time. The propelling force to this growth will be facilitated by underdeveloped countries and countries that are still in their developmental process. The South African urban population grew by approximately 10,3% in 20 years, i.e. 1995–2015 (The World Bank 2016). Thus, municipalities should be prepared to facilitate the provision of essential services to the growing number of households in both a quantitative and qualitative manner. What makes decision-making a cumbersome process, considering the population, is the phenomenon of heterogeneity and democratic representation requiring attention in accordance with different values and viewpoints.

Figure 5.7: South African population estimates by age and sex (2016)



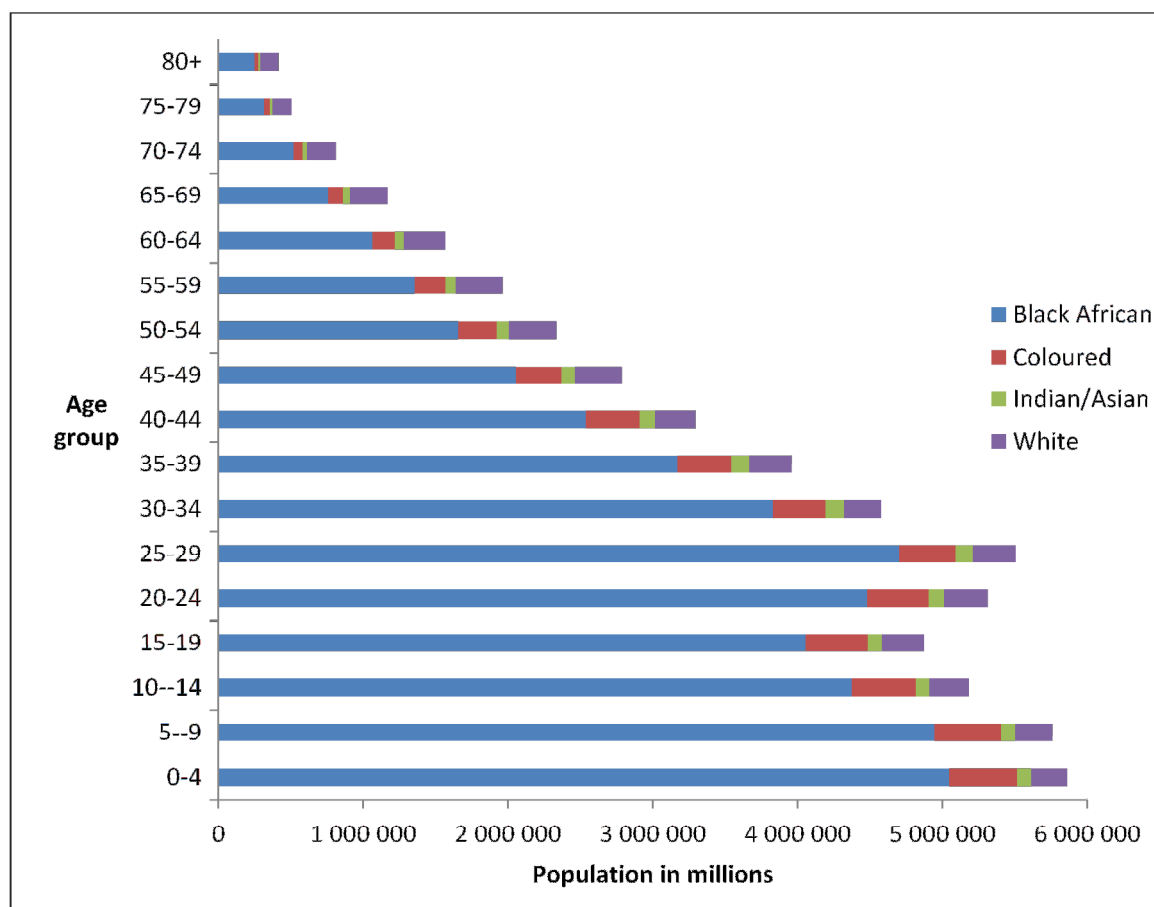
Source: Adapted from Statistics South Africa (2016:9)

Figure 5.7 illustrates the population demographics of South Africa, particularly focusing on age and sex. Thus, it is clearly indicated that the population of South Africa is mostly youthful with more females than males. However, in the age categories of 0–4; 5–9; 10–14; 15–19; 20–24; and 25–29 the number of males dominates the number of females as can be seen in the diagram. It can be deduced that there is a pattern of a youth bulge, i.e. a population that has a great disparity between the youth and its elderly citizens. Youth in the ages of 0–34 years constitutes 66,33% of the total population in South Africa. Despite the phenomenon of youth bulge, it is a positive aspect because it indicates a country's efforts to achieve a zero infant mortality. However, if the phenomenon is not considered in

government planning, it has the potential of being catastrophic. It could mean that municipalities will be confronted with severe challenges of service provision if not taken into consideration. Thus, the municipal councils' decision-making should regard future implications by taking into account the number of young people who will grow in the next two or three decades to become adults who will require services such as housing, electricity, water, sanitation and refuse management from the various municipalities within which they will be residing.

Heterogeneity refers to the state of a municipality being diverse in character or nature. As illustrated in Table 2.4 in chapter two, the eight metropolitan municipalities in South Africa account for approximately 22,19 million people, of whom an estimated 11,6 million are based in the three metropolitan municipalities in Gauteng Province. With such numbers of people, it becomes difficult for the metropolitan municipalities to make rationally defensible decisions on the priority of the respective services to be rendered. For instance, the metropolitan municipalities in Gauteng have a high population density, this implies that there could be more people requiring services than the municipality may be able to provide. The three metropolitan municipalities in Gauteng Province, collectively, have approximately 253 943 registered indigent households, depending on the municipality for the provision of free basic services. Thus, the phenomenon of heterogeneity is an important factor to be considered, when making decisions in council, because the demographic make-up will guide decision-makers to apply rationality in the process. For example, Figure 5.8 illustrates the South African population as spread across the different population groups and age groups. The graph identifies the four population groups in South Africa which are measured against age. This implies that, for decisions to be considered, the demographic make-up of the country should be analysed. This will assist especially in making decisions that aid forecasting and planning.

Figure 5.8: South African Population estimates by population group and age (2016)



Source: adapted from Statistics South Africa (2016:9)

Municipalities have a responsibility to promote development and achieve the developmental needs of the communities within which they serve (Thornhill & Madumo 2011:130). Such developmental goals could be met through enhancing initiatives that propel local democracy thereby assisting in promoting a more effective and efficient local government system. Within the municipal environment, two factors are required for increasing local democracy; they are consultation and participation. The two factors refer to the involvement of communities as stakeholders in the process of making decisions and enacting policies, thereby ultimately solving communal problems. The processes of public participation and consultation are often prolonged processes which sometimes align with the bureaucratic structure

of municipalities (Madumo 2014:140). Thus, participation and consultation are often a hindrance to effective decision-making. This is as a result of endeavouring to determine an adequate level of participation from the community concerned before a decision can be finalised. A municipal council requires an input from communities before it exercises its authority by adopting the municipal budget and the Integrated Development Plan (Section 152(1)(e) of the Constitution, 1996).

Obtaining a sufficient consultation with communities could prove to be complex and time-consuming, thereby influencing the ability to make a decision. For example, in August 2015, the Municipal Demarcation Board announced its intention to investigate the possibility of creating an additional metropolitan municipality in Gauteng Province by merging the local municipalities within the West Rand District Municipality (Municipal Demarcation Board 2015a). Unfortunately, the Municipal Demarcation Board could not proceed with its plans of creating an additional metropolitan municipality before the 2016 local government elections, because it had not allowed for adequate consultation with communities within the affected municipalities and the process proved to be cumbersome. Thus, prior to the Board making its decision, it had to ensure adequate public participation within the affected communities in order to deliberate on matters concerning municipal boundaries.

5.5.4. Legislation and decisions of other organs of state

Municipal councils operate within the broader society. In fact, a council is a structure of a municipality regulated by different pieces of legislation, such as Constitution, 1996, Municipal Structures Act, 117 of 1998, Municipal Systems Act, 32 of 2000. Their functioning will be dependent upon inter alia, the rule of law, the original *raison d'être* of their existence and the socio-political environment within which they exist. For example, Section 151(2) of the Constitution, 1996 provides for the establishment of the municipal council in whom the executive and legislative authority are vested. In this way, the

legislation provides guidance that a municipal council is the highest decision-making entity in a municipality. However, decisions of other organs of the state, such as the national and provincial spheres, the courts and any institution supporting constitutional democracy, could affect and influence the decision of the municipal council. For example, the precedence that was set by the Constitutional Court on the eviction of illegal squatters as detailed in the *South Africa and others vs. Grootboom* case, as discussed in Chapter 2. In this case the Constitutional Court ruled that people could not be evicted unless the government had provided adequate housing alternative for them, as this is a fundamental constitutional right (Constitutional Court of South Africa Case: CCT11/00)

Chapter three provides two other examples that emphasise the possibility that organs of the state have the ability to influence and affect the decisions that the municipal council makes. The first is a Labour Court judgement. The court case was that of the *South African Municipal Workers Union and Vuyile Patrick Nqaba vs. Merafong City Local Municipality, Nhlanhla Mabaso and MEC: Local Government in Gauteng*. In this case the Court found the municipal council's decision to appoint a municipal manager to be biased and irrational (Labour Court Judgement Case number: J1021/12 2013). The municipal council had to respect the decision of the Court, thus being influenced to take another decision from that originally intended.

The High Court judgement of the case of *Vuyo Mlokoti against Amathole District Municipality and Mlamli Zenzile* bears reference. In this case the Court found that the proposed appointment of the municipal manager (Mlami Zenzile) by the municipal council to have been politically influenced by the Regional Executive Committee of the ANC through its caucus (Eastern Cape High Court Judgement Case number: 1428/2008 2008). The municipal council disregarded the performance of Vuyo Mlokoti in the interviews, despite scoring the highest points and ratified the decision made in the ANC caucus. Therefore, the Court found this decision to be inappropriate and

reviewed it by appointing Vuyo Mlokoti to the position of municipal manager of the Amathole District Municipality. Consequently, the municipality had to abide by the Court's decision, thus affecting municipal council's decision. However, this intervention ensures a rational action (De Visser 2010:95).

5.5.5. Type of executive system used

Chapter four discussed the different types of executive systems applicable in South African municipalities, in accordance with Section 7 of the Municipal Structures Act, 117 of 1998. Five different types of executive systems exist (cf. paragraph 4.5.3). Depending on the nature and characteristics of a particular municipality, one or a combination of these could be utilised.

The legislation gives effect to the establishment of the type of executive system to be used in a municipality. Depending on the type of executive system used, the ultimate decision of the municipal council could be affected. For instance, the City of Ekurhuleni Metropolitan Municipality uses the mayoral executive system combined with the ward participatory system (City of Ekurhuleni 2007:2). This implies that prior to some key decisions being made, such as the adoption of the Integrated Development Plan or approval of the municipal budget, local communities should be afforded an opportunity to make an input on such issues. Afterwards, the issues could be discussed by the mayoral committee, making recommendations prior to ratification by the municipal council.

In the case of a collective executive system, political parties are proportionally represented, implying that the council elected members of the executive committee from among its members and delegated particular responsibility to this committee. Thus, the value consideration of the executive to make decisions could be broadly representative in a collective executive system as opposed to the mayoral executive system (Bekink 2006:128-129). For example, members of the executive committee would have to provide an input to the municipal budget prior to the mayor

recommending it to council for approval. Therefore, there is a likelihood of issues proposed by the executive committee in a collective executive system to the council being adopted without being referred for further consultation.

5.5.6. Resources

Key resources, such as human capital, equipment, time and, most importantly, finances are a necessity for municipal services to be rendered. A municipality requires money to obtain the services of the personnel and equipment to provide services. A municipal council is subject to various pieces of legislation to ensure the enforcement of revenue collection from numerous streams of income in order to provide such services (Section 4(1)(c) of the Municipal Systems Act, 32 of 2000). Thus, for a municipal council to make a specific decision relating to the delivery of services, it should firstly establish if the municipality has adequate resources to provide that service. For example, in the 2016/2017 financial year, the metropolitan municipalities in Gauteng were allocated a collective equitable share of the revenue raised nationally by the government, worth R7,43 billion, for them to augment their own revenue as indicated in Table 5.2 (Division of Revenue Act, 3 of 2016).

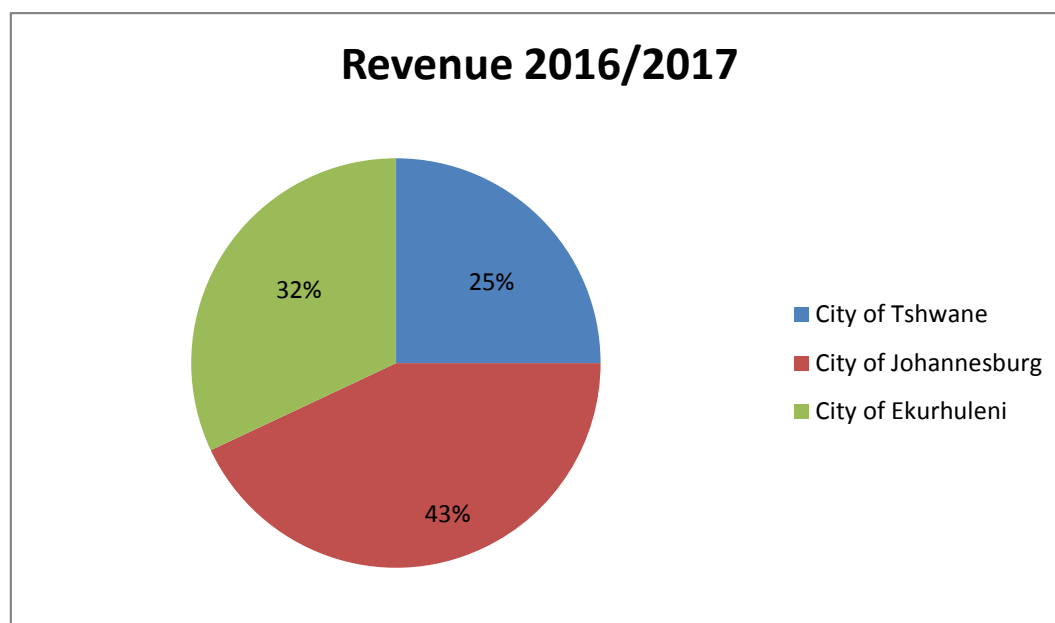
Table 5.2 Division of revenue of metropolitan municipalities in Gauteng 2016/2017

Municipality	Revenue from national government ('000)
Tshwane	1 864 838
Johannesburg	3 182 318
Ekurhuleni	2 381 367
Total	7 428 523

Source: Adapted from Division of Revenue Act, 3 of 2016

Figure 5.9 illustrates the breakdown of equitable share in percentages among individual municipalities, namely; City of Tshwane, City of Johannesburg, and City of Ekurhuleni.

Figure 5.9: Equitable share of revenue raised nationally applicable to Gauteng Metropolitan Municipalities



Source: Adapted from Division of Revenue Act, 3 of 2016

Additionally, the municipality has to raise some of its revenue from the services it renders through property rates and taxes as well as levies and fines. Thus, the council should always act with caution when making decisions that have a financial implication in order to avoid a negative evaluation by the Auditor-General, which effectively implies failure to perform their governing function as required by the Municipal Finance Management Act, 56 of 2003. Consequently, the decision-making ability of the municipal council could be constrained by the limited availability or even scarcity of the some resources.

5.6. CONCLUSION

The aim of chapter five was to assess the findings of the study, thereby establishing the various key variables that influence decision-making in metropolitan municipal councils in South Africa. These variables serve as the backbone of the logical framework for decision-making which will be submitted in the following chapter. This framework serves as a contribution that this study makes to the body of knowledge. Chapter five discussed the background of the Gauteng Province. Through this, the study explored the environment, demographics and socio-economic aspects as imperative elements that provide the context of the nature and character of municipal councils under investigation. Furthermore, the chapter discussed the notion of establishing metropolitan municipalities and the aspect of urbanisation these municipalities bring within a developmental state such as South Africa. Essentially, the key variables that influence decision-making by municipal councils were identified and explained through a matrix, since some of these variables are interrelated and inextricably linked. The following chapter will elaborate further on the proposed logical framework for decision-making in a municipal council. It will do so by further expanding on the identified six variables that influence municipal decision-making.

CHAPTER 6: FINDINGS, RECOMMENDATIONS AND GENERAL CONCLUSION

6.1. INTRODUCTION

Since 2000, the South African government has emphasised the importance of the local sphere of government and the role municipalities play to accelerate the developmental imperatives of the country. Metropolitan municipalities have become synonymous with urbanisation and development; hence they formed the foundation of this study. In order for development to succeed, systems and processes have to be developed to enable the creation of an environment that is conducive to the favourable and efficient functioning of municipalities. The processes followed for decision-making have an effect on the quality and quantity of the services provided.

The study focussed on various aspects in pursuit of creating an understanding on the importance of the quality of decisions and their implications for communities within metropolitan municipalities. Consequently, aspects such as legislative oversight, planning, population, environment, structure and system of local government influencing a council's decisions were elaborated throughout the thesis.

6.2. SUMMARY OF PREVIOUS CHAPTERS

The thesis is divided into six chapters which are logically structured. Throughout these six chapters, the study provided a description, explanation and prediction of the subject matter, wherein a contribution to the discipline of Public Administration was made. Throughout the different segments, the study addressed its research objectives and answered pertinent questions from which the study originates.

Chapter one provided a general introduction and background to the study. This was done by focussing on the basic aspects that constitute an academic

research project, including emphasising the need for research design and research methods. Thus, the purpose, significance and motivation of the study were elucidated, thereby exploring the reasons for the study. In Chapter one the study identified the problem requiring research. The two research questions, which are essential in enabling the demarcation of the research, were identified. The study focussed on the three metropolitan municipal councils in the Gauteng Province of the Republic of South Africa. The study focussed on decision-making by a municipal council and its effects on service delivery by the officials of the municipality. The study endeavoured to respond to two fundamental questions i.e.

- What role do municipal councils play in ensuring effective and efficient service delivery plans or integrated development plans?
- To what extent are municipal councils significant role players in terms of influencing the implementation of decisions required for the administration of the delivery of services by municipal officials?

Furthermore, the study elaborated on other aspects of research, such as target population size, sampling and some ethical considerations. Chapter one concluded by clarifying terminology and concepts that are frequently used and instrumental in this research work.

Chapter two discussed the theoretical constructs in the discipline of Public Administration. Through this chapter, the study located its subject matter in the discipline of Public Administration, thereby contributing to the existing body of knowledge. This chapter briefly discussed the origin and basis of the discipline of Public Administration and emphasised the development of local government as a subfield of Public Administration. To answer the research questions posed, chapter two advanced the discourse on the political, economic, social and physical environments within which municipal councils function. Hence it elaborated on the different roles of the government and the political function relating to the practice of public administration, particularly

the political ideologies concerned in the selected metropolitan municipal councils.

In chapter three, the study concentrated on the role and functions of municipalities. This chapter discussed local government at an international level by making a comparison of the functioning of local government of South Africa with related characteristics of metropolitan municipalities in the UK. The three distinct roles and functions of municipal authorities, i.e. decision-making, planning, and legislative oversight were discussed. Furthermore, chapter three discussed the global trends and developments relating to the basic functions of municipal councils in various countries. The purpose was to highlight the similarities in the roles inhabitants expect a municipality to play. The experience of local government in the UK was discussed, thereby developing practices in their functioning, from which South African municipal councils could draw lessons.

The system of South African local government was discussed in chapter four. This was done by highlighting the different pieces of legislation that give effect to the establishment and functioning of municipalities. Furthermore, it discussed the types of environment within which the municipal council of a particular municipality is bound to find itself. This must be taken into account as it creates the preconditions for the optimal functioning of a municipality. The structure of the South African local government was explained, where issues such as the composition and requirements for establishing municipal councils were discussed. This section also addressed the objects of local government, the different categories of South African municipalities, the different types of executive systems of municipalities, and powers and functions of municipalities amongst others. The last section of chapter four explained the necessary strategies that were implemented by the South African government as a means to enhance service delivery in municipalities.

Chapter five provided an analysis and interpretation of data. The chapter focussed on the various aspects that concern decision-making in the metropolitan municipalities in the Gauteng Province. Furthermore, the factors influencing decision-making within metropolitan municipalities were identified and their extent explained through a council decision-making matrix. Thus a decision equation is proposed. This will enable decision-makers to consider the essential factors that have the potential to influence a decision in a municipal council. Subsequently, this gives effect to the proposed logical framework for enhancing decision-making in municipal councils. This framework is proposed and elaborated in chapter six.

Chapter six of the thesis provides a summary of the study in a synopsis of the previous chapters. This synopsis is necessary as it serves as a guideline on which the structure of the thesis is based. This chapter outlines the findings of the study and makes recommendations to address the identified challenges. Furthermore, chapter six provides a logical framework for enhancing decision-making in municipal councils. This is the contribution that the study makes to the body of knowledge concerning local government. Throughout the research, the discoveries made are summarised in this section. The study makes suggestions for further research, because it also makes a contribution to the literature of a specific discipline. Through the suggestions for further research, the gaps within the literature are identifiable to guide future research. Chapter six serves as a general conclusion where a summary of the research project is provided to explain how the objectives of the research were achieved.

6.3. FINDINGS AND RECOMMENDATIONS

The research project endeavoured to address three main objectives. Thus, the study explored the extent to which selected metropolitan municipal councils have an effect on the provision of services by municipalities. The research objectives of the study were to:

- establish the role that the municipal council plays in ensuring effective and efficient service delivery plans;
- determine the extent to which the municipal council influences the implementation of decisions for effective administration of the delivery of services; and
- develop a framework that enhances the decision-making capability of the municipal council.

Furthermore, the research findings are stated and the recommendations to the identified challenges are proposed. Consequently, numerous findings have been established by the study and are elaborated in the following sections.

6.3.1. Finding 1: Various committees of the municipal council are crucial entities where discussions are held to inform the decisions taken by the municipal council

In terms of Section 151(2) of the Constitution, 1996 the executive and legislative authority of a municipality is vested in its municipal council. This implies that the municipal council has powers to make by-laws and adopt resolutions and subsequently enforce them within a particular area of jurisdiction. Thus, the structure of the municipal council makes it difficult for the full council to intensively deliberate and discuss the different policy positions resulting in different pieces of legislation. This is due to the unavailability of sufficient time needed to perform such functions with diligence. As a result, committees are established to assist the municipal council to perform this function. Committees serve as the discussion forums on specific issues resulting in matters being recommended to the full council for approval and the ratification of decisions. These committees are not composed by all members of the municipal council and discussions taking place within them could be a privilege for members representing parties in them. Thus for municipal councils to effectively execute their functions, it is essential to ensure that they have adequate human capital to perform such

functions. The legislative functioning of the municipal council is dependent on the outcome and discussions of the various committees established by the municipal council in accordance with Section(s) 33; 79 and 80 of the Municipal Structures Act, 117 of 1998.

The functioning of committees is determined by the municipal council through the delegation of functions and powers. Therefore, various committees could be empowered to deal with different issues and make recommendations to the municipal council. The municipal council could approve, reject, or refer the recommendation back for reconsideration.

6.3.1.1. Recommendation 1

All members of the municipal council should adhere to the decisions made by the municipal council. This implies that once a decision has been made, i.e. resolution adopted, it is a council decision to be honoured by all members even if they voted against it. Therefore, the establishment of committees is necessary to accelerate the decision-making process of the municipal council.

It is recommended that a specific municipal council devise a strategy to guide discussions taking place in the various committees. This would provide an opportunity for all members of council to keep abreast of the discussions taking place in the committees. Consequently, this would ensure efficiency in the decision-making processes of council. Legislation requires council to meet at least once per quarter. However, the council could have more sittings for various purposes; therefore, issues can only be approved in council meetings. Decision-making is a cumbersome process and should the full council reject the recommendation made by the various committees, it may take some time for the committee to reconsider a particular decision and recommend it to council.

6.3.2. Finding 2: No clear separation of powers exists in municipalities making it difficult to hold the executive authority accountable for implementing service delivery plans

Since both the executive and legislative authorities in a local sphere of government are vested in the municipal council, it is difficult to acknowledge the separation of powers in municipal government. As elaborated in Section 2.8.6, the doctrine of separation of powers, concerns the establishment of checks and balances in the functioning of government. The separation of powers infers that every branch of the government should be limited to exercising the authority that it has the powers to exercise, i.e. the legislature to make laws, the executive to implement the law, and the judiciary to interpret the law.

The purpose of the need for the separation of powers is that no branch of government should be all-powerful, thus the need to divide and constrain government power to allow different branches to perform the functions they are assigned. By utilising this doctrine, government could avoid undue influence in its decision-making and the possible tyranny and dictatorship of its leaders. The municipal council is responsible for making by-laws and overseeing the execution of its decisions. Hence it possesses dual authority without the necessary checks and balances in place. This makes it difficult for law-makers to hold the executive committee/executive mayor and mayoral committee to account. This occurs mainly due to the notion that a municipal council has conflated powers, i.e. legislative and executive authority, thus rendering the political functioning of the municipal council inept in enforcing the oversight responsibility.

6.3.2.1. Recommendation 2

The doctrine of separation of powers is a significant pillar of a democratic government. It enables the government to function as a unit. It allows all its branches to complement each other in attaining the common objectives of the government, i.e. to govern in an orderly fashion in safeguarding the

common interests of citizens. Since the decisions that the municipal council makes concern the public, all representatives, particularly the executive mayors and their members of the mayoral committees in the three metropolitan municipalities, should ensure that the most suitable decision is made that will benefit the public's interest.

The study recommends that the national government, through the Ministry of Cooperative Governance and Traditional Affairs (CoGTA), and the South African Local Government Association (SALGA) as the only recognised organised local government, investigate the possibility of developing a mechanism that would enforce the principle of separation of powers in all municipalities in South Africa. It is imperative to develop such a guideline, as it could create a clear demarcation of the responsibilities of municipal councillors, i.e. as lawmakers and executive responsible for the governing function. This exercise could even be extended to an amendment of some legislation to give effect to a municipal council that has clearly separated the legislative from the executive powers of its political office-bearers. This is to ensure that members of the executive are held accountable for their actions by the lawmakers.

6.3.3. Finding 3: Consideration of a combination of variables creates an environment conducive to effective decision-making

Often when a problem arises, the first step to solve it would be to identify its nature and extent in order to employ the necessary measures to address it. In doing so, one has to ensure that the factors associated with such a problem are adequately interrogated. The concept decision-making has been described as a process that involves the conscious selection of a particular course of action over the other available courses of action. Thus, its process involves four stages, namely, problem identification, developing alternatives, analysing alternatives, and choosing the most suitable alternative. To choose the most appropriate alternative, a combination of variables exists and ought to be considered in the decision-making process. This would ensure that the

decision that will be made would have sufficiently examined the nature and extent of the existing problem and its associated variables. For instance, the decision-making process has to consider variables discussed in Section 5.5. These variables are, namely: the environment; political ideologies; resources; population/demographics; the type of executive system used by a municipality; and the legislation and decisions of other organs of the state. These variables are considered against the values of the decision-makers and the administrative capacity of the employees. Hence, municipal councils as decision-making authority in local government, have the responsibility to create an enabling environment to develop and maintain an administrative and managerial capacity that is conducive to effective decision-making processes.

6.3.3.1. Recommendation 3

The decision-making process is a process integral to effective government. Decisions taken in an organisation determine the future of such an organisation. In municipalities, decisions are made to address specific problems or prevent problems from developing, thereby achieving the broader objectives of the local government sphere, which is to ensure the provision of services to communities in the most economical, effective and efficient manner. Since a municipal council is the highest decision-making authority of a municipality, then decisions made by councils have a rippling effect on the quality of life of the residents within a specific area of jurisdiction. If rationally defensible decisions are considered, *ceterus paribus*, the quality of life of residents would significantly improve. Thus, municipal councils should consider this phenomenon when making decisions on behalf of the community and sub-communities residing within the jurisdiction of the municipality. Consequently, communities should not be subjected to the negative effects of decisions made by council without due consideration of the business judgement rule.

Therefore, this study suggests that municipal councils consider the proposed decision formula as discussed in chapter five. The decision formula infers that the determination of the most appropriate alternative (a decision) is dependent on numerous variables measured over the values held by the decision-makers and administrative capacity of the decision-making authority. Thus, it is recommended that the following formula be utilised by municipal councils in pursuit of ensuring a decision-making process that is economical, effective and efficient. The formula to be considered is restated as follows:

$$D = \frac{P + (F_1 + F_2 + F_3 + F_n)}{V + AC}$$

The formula could be used as a checklist, to ensure that all the essential elements, including the problem, variables, values, and administrative capacity are considered when making decisions in a municipal council.

6.3.4. Finding 4: Political expediency is a critical factor in decision-making

In all three metropolitan municipalities in the Gauteng Province, the municipal councils mustered their governing power through coalition governments. The political function relating to public administration was extensively discussed in chapter two. It elaborated the alignment of different political ideologies and how they affect decision-making in municipal councils. After the local government elections on 3 August 2016, the results led to some municipal councils being unable to form a government due to the inability of contesting political parties to obtain an overall majority of votes to do so. Therefore, political parties aligned with each other by agreeing on specific terms to form a governing authority in municipalities despite the differences in their ideological orientation. The study found that some decisions made by specific councils in metropolitan municipalities in Gauteng were politically convenient for the purposes of strengthening the coalition relations of particular political

parties. For instance, this includes the decision to reprioritise the allocation of resources in the City of Johannesburg by abolishing the bicycle lane project and instead deviating funds to a housing project.

6.3.4.1. Recommendation 4

The future of local government politics could be extremely reliant on the coalition agreement in South Africa. For the first time since the commencement of the current dispensation of local government in 2000, four of the eight metropolitan municipalities had to form their governments through coalition agreements. Consequently, this phenomenon is important and requires political parties to have the necessary ability to engage with their counterparts when negotiating a power-sharing agreement. Decision-making is a function of the municipal council, not a function of political parties within the council, hence all political parties within the council should take ownership of the decisions made by that municipal council. However, this might not necessarily be pragmatic since it is virtually impossible to separate politics from the functions of a municipal council. It is imperative for councils to also act in accordance with the relevant legislation and within the limits of its various policies. For example, the High Court case of Vuyo Mlokoti against the Amathole District Municipality and Mlamli Zenzile bears reference, where a decision was originally made outside the scope of a municipal council for the purposes of advancing a particular political agenda.

Municipal councillors serving in a council should always perceive themselves as community representatives, irrespective of their political affiliation and/or ideology. The decisions they make should be of public interest and not for a specific partisan group. In order to achieve this goal, the logical framework for enhancing the decision-making of municipal councils is proposed. This framework is illustrated in Figure 6.1 and further discussed in Section 6.4 of the study.

6.3.5. Finding 5: Municipal councils are significant role players in facilitating municipal service delivery plans

According to Section 23 of the Municipal Systems Act, 32 of 2000, municipal planning must be developmentally oriented. This implies that a municipality has to plan with the intention to ensure sustainable development of its municipal areas. Thus, its planning has to prescribe the democratic principles in pursuit of accelerating the delivery of services to improve the quality of life of people. A municipal council should ensure public participation which will facilitate the Integrated Development Plan and inform a budget to achieve service provision within the legal restrictions. Therefore, a council is responsible for a policy framework that gives effect to the integrated development planning process. Once the policy framework is in place, the municipal officials would determine the resources required as well as the administrative and managerial capacity needed to ensure effective implementation. Therefore, the planning process is cross-cutting because it requires effective cooperation between the councillors and municipal officials for it to be successful.

6.3.5.1. Recommendation 5

The municipal council should strive to bridge the divide between its executive authority and senior officials in a bid to ensure an effective municipal planning process. There should be a concordant relationship between councillors and officials. This should emanate from the cooperation fostered in their day-to-day activities to achieve the developmental objectives of their respective roles. It is recommended that the municipal council, as the highest decision-making authority, should establish formal guidelines on facilitating its relations with the municipal officials in managerial posts. This suggestion is to ensure that members of the municipal council do not act *ultra vires* when performing their duties. Through such an approach, the municipal council would be strengthening its overarching role of ensuring that services are provided to communities effectively and efficiently.

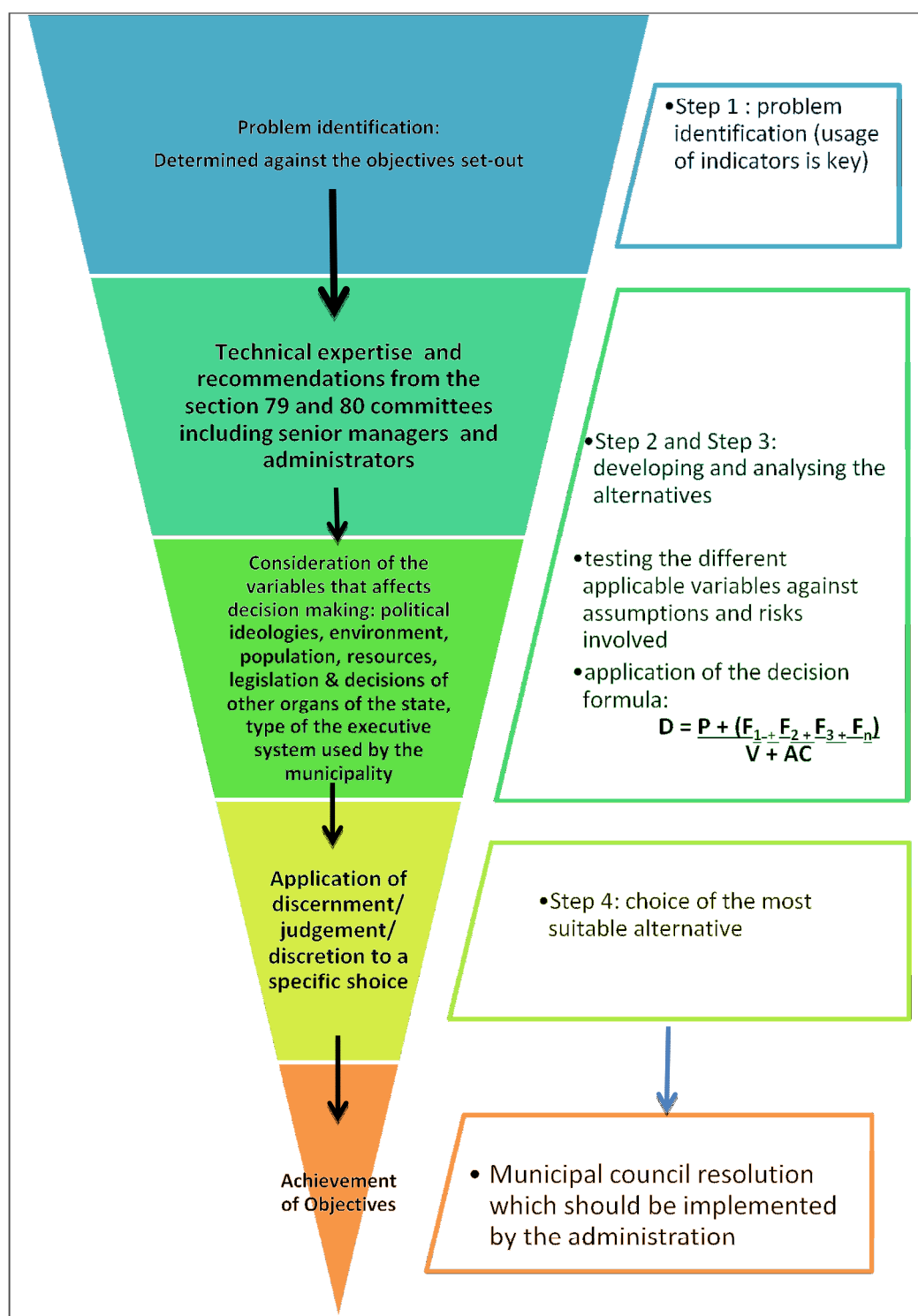
6.4. LOGICAL FRAMEWORK FOR ENHANCING DECISION-MAKING IN MUNICIPAL COUNCILS

A logical framework is predominantly utilised in the realm of business management and non-governmental organisations. It refers to a framework that serves as a planning mechanism that aims at guiding all the necessary activities to be undertaken in order to achieve specific objectives. Thus, a logical framework is a prerequisite, since it has the potential to collate various aspects into an holistic portrayal for interpretation.

Figure 6.1 illustrates the proposed logical framework for enhancing the decision-making capability of the municipal council. As indicated, the decision-making framework is a four-step process which originates from problem identification and evolves into a resolution sanctioned by the municipal council. The first step of the decision-making process involves problem or situational identification. This requires a municipal council to indicate the desire to effect a particular decision in addressing or preventing a specific problem.

For example, a municipal council might want to eradicate the illegal connection of electricity. This problem, the illegal connection of electricity, would be measured against an ideal situation and the reasons for the illegal connection. In this instance, the council would consider issues (indicators) causing the problem e.g. affordability, criminality or civil disobedience. This assists in assessing the extent of the deviation while analysing the problem. Therefore, having understood the causes of the problem, the council will have to proceed to Step 2.

Figure 6.1: Proposed logical framework for decision-making in municipal council



Source: Author

Step 2 and Step 3 of the logical framework are inextricably linked. Step 2 focuses on developing the various alternatives that may exist to solve a particular problem within a municipality. For instance, in the illegal connection of electricity as in the example, the different alternatives that could be established to curb this could include: intensifying regular monitoring and evaluation of electricity usage by installing prepaid meters; providing capped electricity through the free-basic-services initiative to indigent households; imposing a by-law/policy that deals with illegal connection; and educating residents on the dangers of illegal connection and/or importance of paying for services rendered by the municipality. Through these alternatives one that is suitable would have to be chosen as it might address the challenge of illegal connections.

Since discussions informing council decisions take place in committees, it is required that the various committees of a particular council possess the necessary expertise and exercise it to make informed and sound judgements in the development of the various courses of action. Decision-making in the municipality is primarily a function of the committees of the municipal council. Consequently, it is important that the various committees of a particular council possess the necessary expertise and exercise it to make informed and sound decisions in Step 2.

Step 3 of the framework analyses the different alternatives with a view to prioritise one that adequately addresses the challenge. Through Step 3, mechanisms such as cost and benefit analysis and analysis of the strengths, weaknesses, opportunities and threats (SWOT analysis) of each alternative could be employed to determine the best alternative. Through this, alternative decisions could be tested against the different variables that influence the decision-making capabilities of the municipal council. Thus, the different variables that could possibly influence council decisions should be considered. The variables include: political ideologies; environment; resources; legislation; and decisions of other organs of the state; and type of

executive system used. Furthermore, the decision-making formula should be applied when considering the different variables that affect decision-making in the municipal council.

Step 4 of the decision-making framework involves a process of applying discretion to choose the most suitable alternative among different alternatives. This step ensures a preparation for the decision-makers to exercise their judgement to achieve the predetermined objectives by decision-makers, i.e. municipal council. As a result, this could be determined by the municipal council's resolutions that are developed and the subsequent implementation thereof by municipal officials.

Municipal councils in metropolitan municipalities are responsible for performing three main functions. Firstly, a council is responsible for the decision-making function. A council is empowered to make decisions that concern the exercise of all the powers and the performance of all the functions of the municipality. Hence it is regarded as the highest decision-making authority of a municipality. The second function of the council is to ensure municipal planning. The council is responsible for giving effect to the framework necessary for the facilitation of an integrated development planning. This implies that the individual councillors play a role in guiding the progress of an Integrated Development Plan to give effect to service delivery. Thirdly, a council is responsible for ensuring legislative oversight. This is a necessary principle that enables local democracy to flourish, because it establishes a mechanism of checks and balances to facilitate accountability for actions taken by the council. Therefore, the research explored the roles and functions of the municipal council in order to explain how they facilitate service delivery in an effective and efficient manner. Thus, the research objective of establishing the role that the council plays in ensuring effective and efficient service delivery plans has been attained.

A municipal council is primarily a political terrain, i.e. it comprises councillors aligned to a specific political ideology. As a result, the decisions that are made in council are to an extent political in their nature and character. A decision is the result of a process of choosing the most suitable alternative among a variety of choices. Thus the municipal council has to make rationally defensible decisions in the given circumstances. Therefore, factors influencing decision-making e.g. environment, political ideology, population and resources, have to be considered by the council in order to arrive at a rationally defensible decision. This will be beneficial and give effect to the effective administrative system of delivering services. Therefore, a municipal council is significantly influential in the implementation of decisions for the effective delivery of municipal services. The research objective aimed at determining the extent to which a municipal council influences decisions that give effect to service delivery was attained. The third research objective was achieved by establishing a decision-making formula and a logical framework that assist in enhancing decision-making in municipalities. This framework considers all the necessary aspects that concern decision-making in metropolitan municipal councils.

6.5. FURTHER RESEARCH

The local sphere of government plays an important role in enhancing the quality of life of people by promoting development. Thus, conducting research in this subject-matter is critical for Public Administration scholars, particularly those from developing countries. The research conducted was aimed at understanding the functioning of metropolitan municipal councils. Despite its original intent, the research had unpremeditated discoveries relating to the subject matter under discussion. Thus, it is significant for the study to make specific recommendations for further research for knowledge generation and contribution. This study suggests that further research be conducted to explore the impact of decisions made by municipal councils in ensuring the acceleration of service delivery in communities. This could be achieved by measuring the long-term effects of such decisions through a

longitudinal study. Furthermore, an examination of the different pieces of legislation could be undertaken to determine the efficiency and effectiveness of how such legislation empowers elected municipal councillors to make effective decisions.

6.6. SUMMARY

Municipalities are instrumental participants in facilitating the national development imperatives for countries. Thus, the significance of local government studies is aimed at understanding the different aspects that have the potential to overcome some of the developmental challenges identified by different communities. Research is a key element to assist in understanding the relationship between a government and its people. This thesis, entitled “An evaluation of metropolitan municipal councils in Gauteng, South Africa,” has addressed key issues relating to the implementation of decisions by councils to effect service delivery in selected municipalities. Consequently, two key questions were identified and objectives that should be addressed, which were subsequently discussed. Thus, it could be deduced that municipal councils are instrumental in ensuring economical, effective and efficient service provision to communities. This stems from the notion that municipal councils possess the legislative and executive powers which make them the highest political decision-making authority of a municipality. Hence, decisions made by a municipal council, which are referred to as council resolutions or by-laws, contribute by directing the municipal officials on crafting the service delivery plans of a particular municipality.

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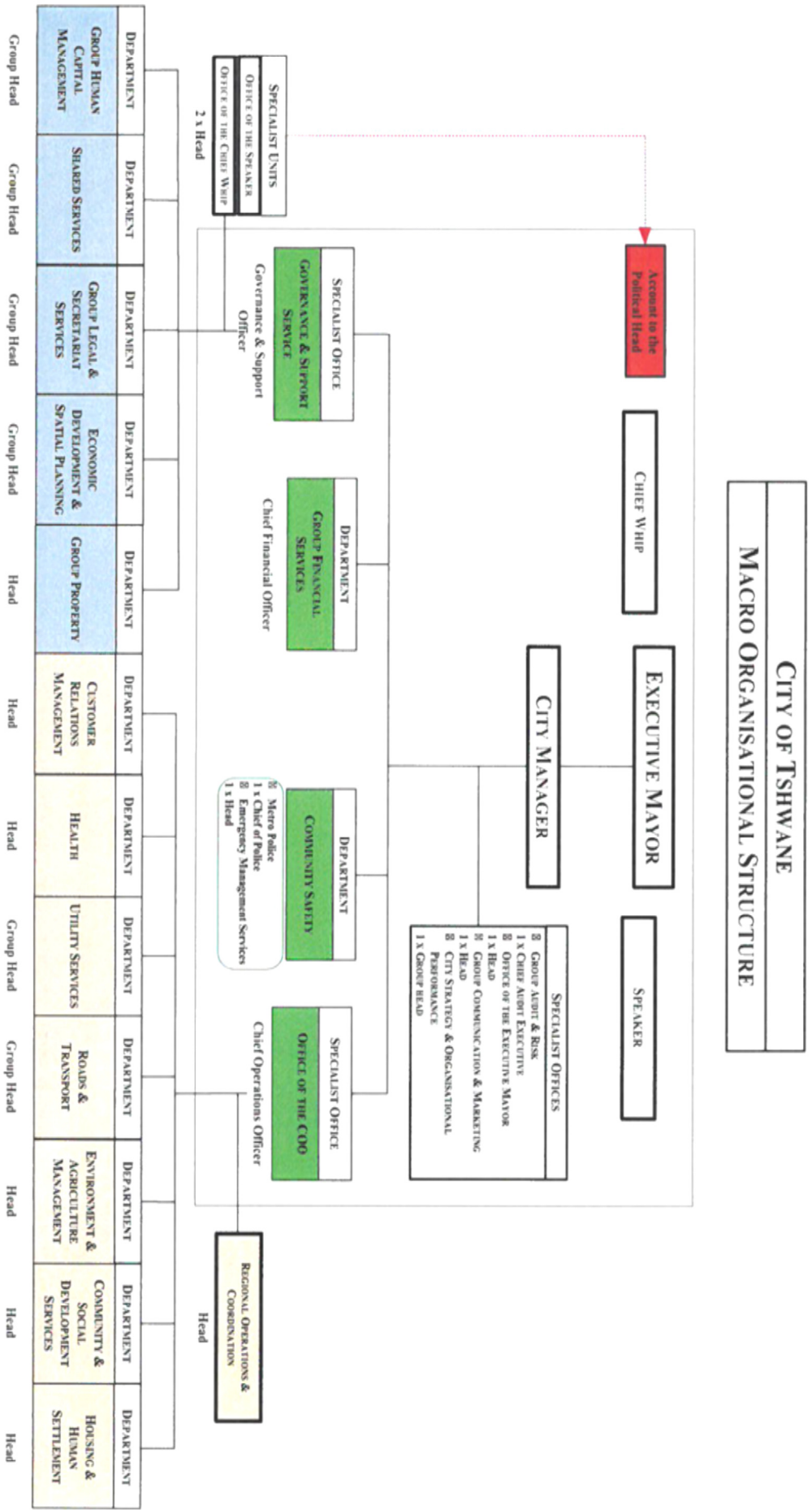
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Annexure 2

Schedule 4 Part B (Constitution of the Republic of South Africa, 1996)

- Air pollution
- Building regulations
- Child care facilities
- Electricity and gas reticulation
- Fire-fighting services
- Local tourism
- Municipal airports
- Municipal planning
- Municipal health services
- Municipal public transport
- Municipal public works only in respect of the needs of municipalities in the discharge of their responsibilities to administer functions specifically assigned to them under the Constitution, 1996 or any other law
- Pontoons, ferries, jetties, piers and harbours, excluding the regulation of international and national shipping and matters related thereto
- Stormwater management systems in built-up areas
- Trading regulations
- Water and sanitation services limited to potable water supply systems and domestic waste-water and sewage disposal systems

Schedule 5 Part B (Constitution of the Republic of South Africa, 1996)

- Beaches and amusement facilities
- Billboards and display of advertisements in public places
- Cemeteries, funeral parlours and crematoria
- Cleansing
- Control of public nuisances
- Control of undertakings that sell liquor to public
- Facilities for the accommodation, care and burial of animals
- Fencing and fences
- Licensing and control of undertakings that sell food to the public
- Licensing of dogs
- Local amenities

- Local sport facilities
- Markets
- Municipal abattoirs
- Municipal parks and recreation
- Municipal roads
- Noise pollution
- Pounds
- Public places
- Refuse removal, refuse dumps and solid waste disposal
- Street lighting
- Street trading
- Traffic and parking

