

**INTERGOVERNMENTAL RELATIONS: DELIVERY OF POTABLE WATER TO POOR
COMMUNITIES IN DIEPSLOOT OF GAUTENG PROVINCE**

by

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DEDICATION

THE STUDY IS DEDICATED TO THE FOLLOWING INDIVIDUALS WHO CONTRIBUTED DAILY TO MY EXISTENTIAL BEING:

- My mother, Seonyatseng Constance Pietersen;
- My wife, Mabinang H Pietersen;
- My late maternal grandfather, Joseph K Sekobotsane;
- My late maternal grandmother, Louisa Sekobotsane;
- My late father in law, Maitse Mokhere; and
- My late mother in law, Motshidisi Mokhere.

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To my fellow spiritual brothers and sisters, thank you for your prayers. May all the glory be to God.

DECLARATION

STUDENT NUMBER: 32862628

I declare that a thesis on INTERGOVERNMENTAL RELATIONS IN SOUTH AFRICA: DELIVERY OF POTABLE WATER TO POOR COMMUNITIES IN DIEPSLOOT OF GAUTENG PROVINCE is my own work and sources used to complete have been duly acknowledged by means of complete references.

SIGNATURE

DATE

ABSTRACT

In 1994, South Africa adopted intergovernmental relations (IGR) to facilitate service delivery. Sections 40-41 of the *Constitution of the Republic of South Africa, 1996*, link service delivery with normative aspects of IGR, which include cooperation, transparency, accountability, mutual support, and coherence. A coherent implementation of IGR was subsequently emphasised by the *Intergovernmental Relations Framework Act 13 of 2005*. However, South Africa continues to experience service delivery challenges, especially in marginalised and poor communities in the current and former informal settlements. The selected Diepsloot was established as an informal settlement in 1995 and has been under an *in situ* upgrade programme.

The study's focus was on the provision of potable water in the City of Johannesburg with specific reference to Diepsloot. A case study approach was used to assess lived experiences among the actors within the intergovernmental context of cooperative government. A qualitative methodology was utilised to source data about intergovernmental interactions among actors from the public institutions by means of semi-structured interviews and documentary analysis. Lastly, a focus group was utilised for members of the ward committees in Diepsloot.

The study concluded that IGR system is not used adequately to support Diepsloot to access potable water in accordance with an established standard. In essence, the IGR system lacks an integrated approach to reverse a legacy of informality. To facilitate an IGR improvement, the study's recommendations were three-fold: (i) provision of integrated support to the City of Johannesburg for Diepsloot despite erroneous assumption that metropolitan municipalities are self-sufficient, (ii) standardisation of potable water provision in Diepsloot by means of integrating IGR institutional responses, and (iii) institutionalisation of IGR engagements with other cities. To this end, the study proposed a model of integrated intergovernmental support to improve potable water provision and, by extension, other related services in Diepsloot.

KEYWORDS

- Intergovernmental relations
- Cooperative government
- Service delivery
- Informal settlement
- Metropolitan municipality
- Ward committees
- Local government
- Provincial government
- Potable water
- Forms of government

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CHAPTER ONE

GENERAL OVERVIEW AND SCOPE OF THE STUDY

1.1 INTRODUCTION

The advent of constitutional democracy in 1994 led to increased hope for markedly improved public services from South Africans (Thornhill, 2005:575). Ordinarily, policy considerations should be utilised to create systems to ensure a delivery of services. Sections 40 and 41 of the *Constitution of the Republic of South Africa, 1996* (hereafter referred to as the *1996 Constitution*) provides for the establishment of an intergovernmental relations (IGR) system for the government of South Africa to deliver public services coherently, transparently and effectively. The *Intergovernmental Relations Framework Act 13 of 2005* emphasises the same objective of ensuring coherence in service delivery.

The need to improve service delivery is in response to a backlog of basic services, resulting from past discriminatory policies which included spatial separation (Jakoet-Salie, Taylor & Raga, and 2016:120). During the period of colonial and apartheid discrimination, residential areas for Black, Indian and Coloured people were subjected to poor basic services (Jürgens, Donaldson, Rule & Bähr 2013:256; Nealer & Raga, 2008:301; Levy & Tapscott, 2001:3). After twenty-two years of implementing the Constitution, it is imperative to investigate whether the intergovernmental mechanisms have had any impact on service delivery.

Chapter one presents a *raison d'être* of this case study on the intergovernmental relations system in Gauteng and its relevance to service delivery in the City of Johannesburg (CoJ). It provides an overview of IGR within the contexts of intergovernmental structures, potable water delivery and informal settlement. In addition, chapter one provides a background, rationale, problem statement, research questions, objectives and methodology of the study. In conclusion, the structure of the ensuing chapters is outlined.

1.2 BACKGROUND AND RATIONALE FOR THE STUDY

Since the beginning of its sovereignty as a nation state in 1910, South Africa adopted multi-level governance that required intergovernmental relations (Venter, 2011b:3; Cameron, 2004:268). Before the democratic government of 1994, relations between the central, provincial and local tiers of government were hierarchical. As such, the majority of power was assigned to central government. The democratic dispensation established three levels of government at national, provincial and local levels in 1994 in accordance with the constitutional principles stipulated on schedule 4 (XVI) of the *Constitution of the Republic of South Africa, Act 200 of 1993*, otherwise known as the interim constitution. The certification process of the 1996 Constitution required adherence to the constitutional principles hence the adoption of the three levels of government (Constitutional Court, 2014: Online). Informed by section 40 of the 1996 Constitution, the terminology changed from 'levels of government' to 'spheres of government'.

Craythorne (2006:14-15) explains that the spheres of government are 'distinctive' because they are separate from one another; they are 'interdependent' because they should not act impulsively in relation to one another; and they are 'interrelated' as a reminder that they belong to one sovereign country. More importantly, the three spheres are expected to support one another to deliver services, as stated on section 41(1) and in particular, the provincial sphere should support local government, according to section 155 (6) of the Constitution. A concerted effort to support local government is imperative because in the current IGR system, it is assigned with new developmental functions in addition to providing basic services. Thornhill (2015:82) emphasises that the new powers assigned to local government are broader than the previously assigned basic services. These assigned powers, which are meaningful, confirm that local government is a distinct sphere (William, 2006:200).

The intergovernmental development system was gradually developed through legislation, systems and processes from 1996 as the constitutional principles alone were inadequate

to effect appropriate application of IGR and cooperative government (Nzimakwe & Ntshakala, 2015:826; Besdzik & Holtzhausen, 2011:124). To complement the constitutional influence on the IGR framework, South Africa developed national policies, mainly in the form of white papers, to enhance intergovernmental mechanisms and cooperative government. A white paper is a governmental policy statement that is published as an official declaration of intent regarding a specific issue (Reddy & Govender, 2014:158). The White Paper on the Transformation of Public Service, 1995, recognised the importance of sub-national spheres, by stating that public services would be rendered at provincial and local jurisdictions. In chapter 11, the White Paper also recognises the IGR coordination and collaboration as conducive for the implementation of Reconstruction and Development Programme (RDP). The RDP was the first national policy of a new democratic South Africa that endorsed a notion of developmental planning within local government (William, 2006:200).

With its intentions to reverse the legacy of apartheid, the redistributive RDP's basic tenets were to increase the delivery of basic services such as water, housing, electricity and education (Maserumule, 2010:18-19; Naidoo, 2006:11). Thus, all these pioneering policies in the early 1990s were aligned to a quest to implement IGR and cooperative governance.

IGR in South Africa takes place within a context of South Africa as a unitary state. A unitary state consists of government with authority concentrated at national level, whereas sub-national levels have less authority (Kahn, Madue & Kalima, 2016:30). South Africa is also considered to have some federal features (Kahn *et al.*, 2016: 31; Van der Waldt, 2007:17; Haysom, 2001:43) which may require some IGR models which are applicable to federalism.

In a federal government, there is relative power sharing between central government and other federal states, for example, the power to declare war is not shared in the federal country of the United States (Chandler, 2000:10). It is likely that the allocated powers and elected governments at provincial and local government spheres justify an argument of

existing federal features in a unitary government of South Africa. Section 1 of the 1996 *Constitution* which declares South Africa a one sovereign state is arguably conducive for a unitary state. Furthermore, section 41(1) (a) justifies IGR and cooperative government as mechanisms to ensure that the nation state of South Africa is indivisible.

According to Kahn *et al.* (2016:30-31), a unitary state has the propensity to centralise power and authority. The South African IGR system has to balance a complex network of constitutionally strong decentralisation issues within the context of a unitary state. A democratic South Africa was designed as a decentralised state (Steytler, 2005: iii); a phenomenon which is part of an IGR context. Thus, the institutional mechanisms of South Africa must involve decentralisation as a vehicle for sharing power and functions between the spheres (Malan, 2014: 61). To support collaborative initiatives, the current National Development Plan (NDP) states that government spheres must collaborate, as they cannot succeed on their own (South Africa: National Development Plan, 2012:431). This highlights the fact that service delivery should occur within the context of balancing the increasing need for decentralisation with centralisation to be conducive for a unitary state of South Africa.

To ensure successful intergovernmental engagements, all actors and institutions should show a commitment to the norms and principles of coordination, collaboration, mutual trust and support (Mathebula, 2011:840; Malan, 2008:78). Ostrom (2011:12) clarifies that the term 'actor' can refer to a single individual or a group. Chapter 13 of the NDP states that, to create a successful, capable developmental state, interdepartmental coordination should be improved by working together effectively in a non-hierarchical approach (Republic of South Africa, National Development Plan, 2012:410). The required cooperation levels among the IGR institutions and structures have been inadequate, which has led to poor relations and inadequate collaborations (Nzimakwe, *et al.* 2015: 825; Republic of South Africa, National Development Plan, 2012:431). A positive outcome of service delivery is likely to be affected when institutions fail to coordinate services and collaborate effectively.

South Africa is characterised by inequality (Van der Berg, 2015: 330; Republic of South Africa, National Development Plan, 2012:25-26). These levels of poverty could be contributing significantly to the formation and existence of poor informal settlements, especially in the urbanised metropolitan cities. The great need for services, such as housing, leads to an increase in the formation and growth of informal settlements due to rapid urbanisation (Campbell, 2016:13). The City of Johannesburg (CoJ) is characterised by informal settlements due to migration of people from other provinces and neighbouring countries.

Diepsloot began as an informal settlement in mid 1990s (Harber, 2011:9-17) and it is currently located in region A of the CoJ. It was selected as a study subject due to its context of being an informal settlement under an upgrade programme. As a residential area, Diepsloot experiences typical problems of unequal access to basic services, crime, violence and unemployment (World Bank Report, 2013:3). Unlike some informal settlements where residents need to be relocated to another identified area, Diepsloot is under an *in situ* upgrading programme in line with the *Joburg 2040 Growth and Development Strategy* (World Bank Study Report, 2013:147).

The IGR system is intended to be a governance mechanism for the entire country, including poor communities. Informal settlements are part of the poor communities. According to Campbell (2016:12-13), South Africa has experienced a growing number of informal settlements. The issue of potable water is investigated within the context of IGR. Aigbavboa and Thwala (2009:235) state that the marginalised and poor communities in the informal settlements are likely to experience poor basic services. Informal settlements are deprived of infrastructure, hence a need to improve conditions (Sisulu, 2004, cited in Richards, O'Leary and Mutsonziwa, 2006:376). As such, the research is needed to investigate the extent to which IGR and cooperative government enhances water delivery within the context of poor communities.

The policies, including the constitution of a democratic government of South Africa are geared towards improved service delivery for all South Africans in comparison to the

discriminatory colonial and apartheid regimes. However, there is still an uneven delivery of public services in South African townships (Campbell, 2016:10-12; Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy, 2014:18). Booysen (2009) in Alexander (2010:29) argues that in the democratic South Africa there is inadequate service provision in poor areas but the situation is not revealed appropriately through statistical analyses. The findings of the South Africa's Community Survey of 2016 demonstrate that there has been progress in delivering basic services but it is still imperative to monitor progress to ensure a sustainable access as required by the NDP (Statistics South Africa, Community Survey 2016:56). Jakoet-Salie *et al.* (2016:119) concur that the current local government sphere has not succeeded in delivering on its mandate despite two decades of its existence.

Gilder (2015:585) points out that the IGR plays an indispensable role in addressing socio-economic challenges. There is a sense that the appropriate implementation of IGR could be a relevant vehicle to bolster service delivery. Du Plessis (2012:19) confirms that institutional mechanisms have been established with a view to ensure that services reach the entire population of South Africa, including the previously disadvantaged people. To this end, the NDP Vision 2030 asserts that the IGR structures should effectively enhance integrated service provision (Republic of South Africa, National Development Plan, 2012:430).

A local government sphere in South Africa is responsible for providing the most basic services to communities, as per section 152(1) (b) of the *1996 Constitution*. IGR institutional arrangements usually involve all spheres of government. However, the repercussions of poorly rendered services are, by design, experienced at a local government level, which is responsible for most basic services (Mbazira, 2013:25; Maserumule, 2010:32). As a metropolitan municipality, the CoJ is legally linked with the Gauteng Province and national structures to deliver services that require IGR mechanisms. Moreover, Hanyane and Naidoo (2015:241) described local government as the closest sphere to communities. Hence, this study followed the institutional arrangements pertaining to community participation through ward committees. IGR

structures were examined for their collaboration with other public institutions in assisting with provision of potable water to the Diepsloot community.

1.3 MOTIVATION FOR THE STUDY

This study is of academic value in that intergovernmental relations play a constitutionally important role in service delivery. The constitutional principles of transparency, coherence, support and accountability in section 41(1) (c) illustrate that IGR is focused on ensuring that all citizens, irrespective of social class, have access to services. In order to manage inevitable conflicts, the IGR system includes embedded dispute resolution mechanisms to address power relations among the spheres (Reddy, Haque & De Vries, 2008:1; Powell, 2001:255). Furthermore, the study would need to assess the supportive nature of the relationship.

As this study investigates IGR in the context of service delivery, it could help contribute to improve IGR, as required by the NDP. Undeniably, the NDP needs effective IGR structures to enhance integrated service provision (Republic of South Africa, NDP, 2012: 430). Moreover, Pieterse, Parnell, Swilling and Van Donk (2008:9) argue that intergovernmental cooperation could help enhance public service delivery.

According to Kahn *et al.* (2011:6-7) there are four approaches to studying IGR, namely the:

- (i) constitutional or legal approach that is premised on the importance of legislative imperatives;
- (ii) democratic approach that reiterates the autonomy of the sub-national spheres of government;
- (iii) financial approach that encompasses the financial management elements in the relationship; and
- (iv) normative or operational approach that entails using pertinent norms to regulate behaviour, attitudes and practices.

This study includes all of the above study approaches of IGR unequally, as the constitutional and normative approaches are emphasised the most. In this study, both the constitutional and normative approaches are used to investigate and analyse the implications of IGR on service delivery. The financial and the democratic approaches are investigated in terms of their possible influence on continuing IGR relationships.

This study undertakes IGR in a broader sense by including the communities. Intergovernmental relations system is classified into intergovernmental relations (governmental relations between national and sub-national levels); intra-governmental relations (relations within a particular organisation); and extra-governmental relations (relations between government and public institutions to enhance public value and welfare) (Kahn *et al.* 2011:11-16). Involving the Diepsloot community in the study added an element of extra-governmental relations that have the potential to broaden the understanding of IGR in practice, and its relevance to performing public administration.

Service delivery plays an important role within the South African context. Since 1994, successive democratic governments have emphasised its importance by implementing action programmes. McLennan (2009:21) emphasises that due to past discriminatory practices in South Africa, service delivery is not just a function of government but also a matter of redress for previous human rights violations. The values and principles that should inform public administrators when delivering services are highlighted in section 195 of the Constitution. The list constitutional values and principles include factors such as strong professional ethics, fair service provision, proper response to people's needs and accountability.

These principles and values of public administration compelled this study to investigate service delivery within the marginalised and poor communities of Diepsloot. Diepsloot is among marginalised and underserved residential communities in the City of Johannesburg (The City of Johannesburg, Integrated Development Plan, 2016/21:94). Given the depth of service delivery challenges in marginalised communities, it is necessary to investigate the effectiveness and efficiency of IGR within this context.

Thornhill (2015:81) argues that public institutions' reason for existence is service delivery. Government created public institutional arrangements and other subsidiary structures to provide services (Shaidi, Taylor & Raga, 2014:102; Thornhill, 2012:314). The established public institutions *viz-á-viz* the National Department of Water and Sanitation, Gauteng Province's Department of Cooperative Governance and Traditional Affairs, the local government's City of Johannesburg and its ward committees are researched to assess their IGR mechanisms and experiences on providing water delivery. Therefore, the study researches whether public institutions adhere to principles of IGR while providing basic services.

Potable water is selected among a number of basic services. In chapter 2, section 27(1) (b), the Bill of Rights of the *1996 Constitution* states that water is a basic need for all communities. Hence, cooperation among all public institutions rendering the service is a required standard of IGR and allocated institutional functions. The emerging challenges of water scarcity and conservation need to be managed through IGR related collaborative means.

A high demand for water is linked to the ever-increasing urban population (Hedden, 2016:2 & Tempelhoff, 2015:104-106), as experienced in metropolitan municipalities such as the CoJ. To this end, citizens have been encouraged to save water because of drought and the usual water-scarcity (Media Release, Ministry of Water and Sanitation, 2016:08). When commodities such as water are scarce and rationed, the poor and vulnerable communities often bear the brunt. According to Nealer *et al.* (2008:302), municipalities need multiple functions and actors with varied levels of competencies to deliver potable water to residents of a dynamic environment like a metropolitan area. The embedded dynamism and flexibility provided in IGR approaches could contribute to sustainable management and delivery of water for citizens.

According to Geldenhuys (2005:56), the distinct features of IGR are complex and involve multiple officials and institutions. Moreover, chapter 3 of the *1996 Constitution* places IGR

in the context of cooperative government. By explanation, IGR refers to regularised interactions among governments whereas cooperative government is a philosophy on which the values are premised (Mathebula, 2011:839). Malan (2008:82) reiterates that the system of IGR in cooperative government experiences challenges related to tensions among the role-players within the three spheres of government. Importantly, the author highlights that all spheres have the responsibility to cooperate with regard to providing social services, as the functions are concurrent. Political and administrative tensions among the role-players in the three spheres of government can impede service delivery. Thus, to facilitate cooperative governance, role-players should be committed to working together. More importantly, on the basis of commitment to productive relations, IGR is a practical instrument for cooperative government.

Overall, the IGR system and concomitant processes should contribute to public value. The concept of public value postulates that public administration can create and add value (Colon & Guérin-Schneider, 2015:266) by making a difference in the lives of people through service provision. This theoretical position implies that Public Administration as a discipline has been evolving from its late 20th century trajectory of New Public Management (NPM) to Public Value (Bryson, Crosby & Bloomberg, 2015:2). The scope and agenda of service delivery is informed by community needs but not by the powerful public officials and politicians. In contrast to public value, the NPM is an approach that advocates for application of management models and techniques of private sector in the public sector (Gumede, 2011:167 & Peters, 2010:39). The NPM advocates treating people as customers, instead of as citizens (Méndez, 2010:162). In doing so, NPM is in contradiction to public value theories, which postulate that citizens should be considered as important stakeholders.

In the South African context, section 195(1) of the *1996 Constitution* stipulates the values and principles of public administration that need to be practiced, which include transparency, fairness and equity. More importantly, the concept of public value could be a suitable framework for providing basic services to marginalised and poor communities.

A public value paradigm could be significant for ensuring that services are rendered equitably, irrespective of the socio-economic status of the community.

From 2005, South Africa experienced community protests, which were ostensibly about dissatisfaction with lack of services. As a result, they were popularly labelled 'service delivery protests' (Jakoet-Salie *et al.* 2016:119; Shaidi *et al.* 2014:105; Booysen, 2009:105). Service delivery protests could be indicative of poor intergovernmental mechanisms and cooperative governance as well as inadequate public participation. The ward committee system of South Africa, as established by the *Municipal Structures Act 117 of 1998*, provides for public participation (Thornhill & Madumo, 2011:130). Governance through IGR must involve the communities, which could help to elevate the notion of public participation to a noticeable level of importance.

Ward committees at municipal level form part of South Africa's public participation model (Mayekiso, Taylor & Maphazi, 2013:193). The RDP intended to ensure an active citizenship in South Africa by encouraging public participation (Deegan, 2002:46). Similarly, section 41(1) of the *1996 Constitution* positions the IGR as a process that require public involvement through transparency and accountability. As such, the study intends to find out how, and to what extent, the South African IGR system accommodates vulnerable communities.

1.4 PROBLEM STATEMENT

Local government is assigned with the role of delivering basic services to communities (Klingenhöfer, Erasmus & Mayo, 2015:365; Nealer, 2007:156). In section 155(1) of the *1996 Constitution*, municipalities are categorised into single-tiered A or two-tiered B and C. Category C municipalities are known as metropolitan municipalities (hereafter called metros). Metros are automatically allocated with the authority to render basic services, whereas district and local municipalities are assigned powers progressively owing to

whether they are adequately capacitated and prepared to provide the services (Siddle & Koelble, 2012:152).

The provincial and national spheres should support all municipalities to render their services effectively to all areas including the informal settlements. Within the IGR context, support refers to plans and actions to facilitate adequate performance through another sphere. To this end, the *1996 Constitution* provides for national government to support provinces through section 125(3). The national and provincial spheres must support municipalities through section 154(1) by strengthening their capacity; and for provinces to support municipalities through section 155(6) by means of establishing municipalities, monitoring and promotion of local economic development.

It is important to support metros because of their mandatory role of providing basic services, especially in challenging residential areas like informal settlements. Booysen (2009) in Alexander (2010:29) points out that service delivery protests are triggered by competencies of the national sphere like unemployment, housing and land. Like other metros, the CoJ experiences problems with the existence of informal settlements. Appropriate planning and infrastructure development is affected by increased densification within existing informal settlements due to more shacks (makeshift corrugated iron houses) being built close to one another (*City of Johannesburg: Integrated Development Plan, 2012/16:22*). According to the Gauteng Local Government and Housing Department's records for 2013, there were approximately 552 informal settlements in the province (Bloom, 2015:128). The CoJ identified 189 informal settlements within its jurisdiction, which includes Diepsloot (Joburg 2040 Growth and Development Strategy: 2011:46). Currently, there are 235 confirmed informal settlements in Johannesburg (Diepsloot Public Meeting Presentation, 31 March 2016).

To test the efficacy of IGR on service delivery, the best environment should exhibit complex, multi-faceted needs, such as an informal settlement. Informal settlements add to complexities that metropolitan municipalities have to manage, as these areas are characterised by poor people who have insecure land tenure, sub-standard housing and

insufficient basic services like improved water (Lekonyane & Disoloane, 2013:64; Steytler, 2004:213; Huchzermeyer & Karam, 2006:vii). In a practical sense, upgrading informal settlements require efforts from all intergovernmental institutions. As such, the onus should not rest solely on metropolitan municipalities.

In reality, informal settlements are a manifestation of a failure of integrated policy within the public sector (Huchzermeyer, Karam, Stemela, Siliga & Frazenburg, 2006:19). Like all Black townships, informal settlements are products of poor spatial planning, since they exist at the periphery of the cities (Jürgens *et al.* 2013:256). The multi-faceted service delivery challenges of informal settlements require a comprehensive approach. Hence, Groenewald, Huchzermeyer, Kornienko, Tredoux, Rubin & Raposo (2013:107) infer that challenges relating to informal settlement do not only encompass housing. Undeniably, problems and opportunities presented by the informal settlements require improved intergovernmental approaches.

There is an ever-increasing demand for water as a basic need and this compels government to improve management mechanisms, which should include IGR. It is a constitutional requirement for people to be provided with potable water, as per section 27 (1) (b) of the *1996 Constitution*. Hence, public institutional arrangements must be mobilised to ensure equitable distribution of water to the residents including those who reside in the informal settlements (National Water Resource Strategy 2:2013: iii).

The NDP envisages South Africa with an improved differentiated intergovernmental system that entails avoiding assigning powers to all municipalities in a 'one size fits all approach' (Republic of South Africa, National Development Plan, Vision 2030: 2012:432). Thus, differentiation implies that functions must be allocated to municipalities according to their administrative and financial capacity. The NDP recognises that allocating general functions through municipal categories are already differentiated, as illustrated by specific functions and powers for category single-tiered A and two-tiered B and C municipalities, as stipulated in section 155(1) of the *1996 Constitution* (Republic of South Africa, NDP:

432). The NDP states that district and local municipalities should receive the necessary support, while metropolitan municipalities should be more independent as they have better resources (Republic of South Africa, National Development Plan, Vision 2030:2012:432).

It is therefore postulated that the CoJ should be supported adequately through IGR to render services, more specifically potable water, to the poor communities of Diepsloot. Moving from the expectation that the CoJ is responsible for water in the informal settlement of Diepsloot, there was also a need to investigate whether this expectation was fulfilled and whether the IGR made any required contribution. With regard to the above background, the essence of the problem statement for this study is as follows:

Is intergovernmental relations system (IGR) at the City of Johannesburg utilised to provide potable water to the poor communities of Diepsloot?

1.5 RESEARCH QUESTIONS

To be able to direct the study to respond to the above-mentioned problem statement, research questions are necessary. Research questions are crucial for a research design and process because they guide the study to address a problem statement and ensure that the aim and objectives are met (Maxwell, 2013:73; Rule & John, 2011:72 and Fouché, Delport & Schurink, 2011:302). The research questions to guide this case study on intergovernmental system are as follows:

- How important are the features of intergovernmental relations in different forms of governments to South African IGR system?
- How does the South African intergovernmental relations framework in the Gauteng Province, contribute to delivery of potable water to Diepsloot in the City of Johannesburg?

- How do the ward committees of Diepsloot experience potable water delivery through intergovernmental relations?

The above-mentioned research questions are intended to provide a thorough analysis of this case of IGR and water delivery in Diepsloot. The descriptive questions are pertinent for a thorough analysis of this case study. This is in line with Yin (2012:49), who stated that descriptive questions could lead to a thoroughly revealing description of life experiences.

1.6 AIM AND OBJECTIVES OF THE STUDY

The aim of the study is to investigate and analyse the intergovernmental relations system in relation to service delivery with specific reference to Gauteng Province, CoJ and Diepsloot. To achieve this, the following objectives were adopted:

- To explore the features of intergovernmental relations in different forms of governments to South African IGR system.
- To investigate the intergovernmental relations in the City of Johannesburg, in providing potable water to Diepsloot.
- To examine how the ward committees of Diepsloot experience delivery of potable water through intergovernmental relations.

1.7 METHODOLOGY AND METHODS

This section discusses a synopsis of the study's research design. To this end, a comprehensive presentation of the philosophy, methodology, methods, data collection and analysis of this study will be discussed in chapter five of this study. According to Natalier (2013:26), a research design is a first necessary step and provides a plan for the entire research process. The research design consists of the methodology, methods and philosophical paradigm. This study is a descriptive investigation on the intergovernmental

relations and service delivery in the Gauteng Province of South Africa. A qualitative methodology is applied together with related methods of semi-structured interviews, a focus group and documentary analysis. A qualitative approach is necessary for investigating a phenomenon within its social context (Welman, Kruger and Mitchell, 2005:188). In terms of the qualitative approach, a case study is used to investigate public institutions' use of IGR to deliver potable water to the residents of Diepsloot in the CoJ.

Mouton, Auriacombe and Lutabingwa (2006:579) mention that sampling is concerned with questions such as the target population, sampling frame and techniques to select individuals or events to participate. Purposive sampling, which forms part of non-probability sampling, was selected for this study. Purposive sampling is conducive for a qualitative study, as it maximises data that can be sourced by deliberately targeting appropriate participants in somewhat extreme situations (Terreblanche & Durrheim, 2006:50). Purposive sampling was used to select the relevant IGR institutions and the wards in Diepsloot to source primary data. In addition to purposive sampling, a snowball sampling was utilised. Snowball sampling is employed in situations where participants needed to refer the researcher to other pertinent participants (Harding, 2013:18). Furthermore (Luton, 2010:39) confirms that snowball sampling is pertinent for purposive sampling as both target required participants.

A secondary data was derived from documents on all three spheres of government, including documents about policy from the national sphere. Specifically, the consulted documents were the relevant official documents about IGR, cooperative government and water management. Academic journals about issues that are under study were read and analysed and the evidence of the consulted documents is reviewed thoroughly in the literature study. The research reports on state agencies and international agencies such as the United Nations (UN). All the required documents were available publicly. Therefore, there was never a need to request for permission to access restricted documents.

1.8 LITERATURE REVIEW

To achieve the above-mentioned study objective, a range of literature was consulted. A literature review refers to an elaborate and organised process of utilising pertinent literature to complete a research project (Majam & Theron, 2006:603). This body of literature included concepts, theories and practices of IGR in South Africa, as well as other selected related countries of Brazil and India. In addition to a theoretical background of IGR, a literature review of the study included policy documents on IGR and service delivery of the South African government from 1910 to date. Furthermore, a discussion is undertaken on service delivery in the context of poor communities in places with a legacy of informal settlement, with specific reference to Diepsloot.

1.9 THE ETHICAL DIMENSION OF THE STUDY

Ethical considerations involve matters of confidentiality, informed consent, honesty, anonymity and an assurance that a research process is harmless to participants (Johnson 2014:13; Harding 2013:36; Ryen, 2007:219-222). The researcher took heed of University of South Africa's (UNISA) ethical code regarding research. As such, informed consent was obtained and all other ethical considerations with regard to the research process and problem statement were followed.

The ethical approach included requesting the Gauteng Department of Cooperative Governance and Traditional Affairs (CoGTA) and CoJ for permission to participate willingly in the research process. As the study focuses on institutions and people, the ethical considerations acknowledge constitutional rights, organisational rules and regulations, as well as self-interests. More importantly, according to Rule, *et al.* (2011:107) the incorporated research ethics assist with dependability and conformability of the study.

1.10 DEMARCATION OF THE STUDY

Regarding the demarcation of the research, this study is limited to the role of intergovernmental relations in service delivery, with specific reference to providing potable water to the communities of Diepsloot in the City of Johannesburg (CoJ) of the Gauteng Province. Although the study focuses on IGR in the Gauteng Province of South Africa, it does not exclude any reference to applications of IGR on service delivery in other parts of the country and the world because IGR policy is a national imperative and international phenomenon. To illustrate, the international version of IGR is called interstate relations or international relations (Kahn *et al.* 2011:12).

1.10.1 Geographical limitation

Gauteng Province was selected out of the nine provinces of the country (See Figure 1.1)

Figure 1.1: Map of South Africa and neighbouring countries



Source: Google (2015: Online)

1.10.2 Basic services

Basic services fall within the ambit of socio-economic rights, which include sufficient water, housing, education, healthcare and social security (Van Der Berg, 2015:331). The study focused on intergovernmental relations in the Gauteng Province, with reference to water delivery in Diepsloot communities of the CoJ. In a quest to investigate how intergovernmental mechanisms affect service delivery, only potable water was selected due to the fact that it plays a central role in all citizens' lives. Revealed experiences about other basic services like electricity, food gardens, housing and roads during the data collection process could be used to enrich the description of a case.

1.10.3 Ward committees

The study investigated the ward committees to examine residents' experiences of these representative structures. Notably, the research objective was not to determine whether the ward committees of Diepsloot were effective or not. Rather, the study intended to find out how they related with government departments and how community concerns regarding potable water delivery are handled. The *Municipal Structures Act 117 of 1998* established ward committees to strengthen democracy (Thornhill *et al.*, 2011:130) and to assist government to apply citizen-oriented management mechanisms (Raga & Taylor: 2005:246).

1.10.4 Time frame of the study

The time frame of the study is between 1994 and August 2016 but the literature review reflects on levels of governance in South Africa from 1910. The local government elections on the 3rd of August 2016 signified the end of a political tenure of local government that commenced after the elections of 2011. Most importantly, the 2016 local government elections also signified the end of the concerned ward committees' tenure. During this general period of 1910 to 2016, the intergovernmental system evolved in different dimensions that the study captures descriptively.

1.10.5 Access to documents

Access to documents may be hampered by their level of official restriction. This ranges from no restriction to a classification of top secret (Chikane, 2012:8). However, during this study, there was no need to access any restricted document. Although a thorough document search was conducted, it was possible to miss some important documents. However, that was mitigated by ensuring that there was a document for each imperative policy matter, as defined by a research question.

1.11 CLARIFICATION OF CONCEPTS

1.11.1 Public Administration and public administration

The origin of Public Administration as a study is attributable to a seminal paper written by Woodrow Wilson in 1887, titled 'The Study of Public Administration', as it identified the need to study this subject (Thornhill, 2014:6; McCandless & Guy, 2013: 357-358). When referring to a discipline, the established practice is to write the first alphabetic letters of the concept in upper case, *i.e.* Public Administration (Thornhill, 2014:4). On the other hand, with public administration, the first two alphabetic letters are written in lower case to denote the execution of lawful functions through policymaking, institutions, people and resources, and thus serving the public's interests (Denhardt & Denhardt, 2015:2; Thornhill, 2014:4). Moreover, the interdisciplinary nature of Public Administration implies that it derives its other theories from other disciplines like political science and philosophy (Frederickson, Smith, Larimer & Licari, 2016:7).

1.11.2 Government and governance

According to Venter (2011a:83-84) government refers to entities that are responsible for ruling the state, with the state being a combination of all bodies of separate powers, which include legislature, executive and judiciary. Therefore, the state includes government, which runs the state on daily basis with some vested authority. The author mentions that in South Africa, the President forms a government immediately after the national elections by appointing cabinet and provincial premiers.

On the other hand, governance was popularised in the 1980s (Thornhill, 2015:84). During this time, donor agencies began outlining certain conditions for granting development aid, which often involved adopting principles of decentralisation (Siddle *et al.* 2012:32). Lately, governance forms part of the parlance about ruling styles of governments (Cloete, 2006: 92). Hence Siddle *et al.* (2012:32-33) state that it is characterised by openness participation, accountability, effectiveness and coherence in the way in which governments operate.

1.11.3 Public functions

State institutions at all levels of government execute public functions, such as energy, security and protection, economic and redistribution to benefit citizens (Venter, 2011a:85).

1.11.4 Democracy

This political system of democracy originated in Greece, with the Greek words *demos* denoting people and *kratos* meaning power (Van der Waldt, 2007:25). Fox and Meyer (1995) in (Malan, 2014:55) say that democracy refers to when decision making is shared among members of society but complexity of modern society leads decision making by means of representatives of the population.

1.11.5 Cooperative government and Intergovernmental relations

Cooperative government refers to a philosophy and values of government exemplified by national unity, peace, coordination and communication (Malan, 2014:56-57; Mathebula, 2011:840). Intergovernmental relations are the means to provide institutional arrangements, processes, and systems for implementation of cooperative government. (Malan, 2014:56-57).

1.11.6 Institutions

In the public sector, institutions refer to public organisations that possess the state authority and carry their functions according to established norms, customs and values (Frederickson *et al.* 2016:73).

1.11.7 Bureaucracy

Venter (2011a:84) says that bureaucracy refers to governance that is controlled by public officials (bureaucrats). Furthermore, it is associated with a hierarchical, top-down structure, as well as the lack of necessary urgency. The author adds that bureaucracy can produce career public servants who are professional and non-partisan (Venter, 2011a:84).

1.11.8 Municipalities

Municipalities are community structures demarcated to meet decentralisation purposes and they are subdivided into wards, which are led by ward councillors (Van der Waldt, 2007:37). The municipal administration is a structure of a council (Craythorne, 2006:117).

1.11.9 Service delivery

Service delivery to the public implies providing services, as defined in the public policies including the powers and functions allocated to the spheres of government in South Africa (Kanyane, 2010:78).

1.11.10 Integrated development plans

Integrated development plans (IDPs) are planning tools for services at local government level. Through this instrument, strategic priorities, programmes and projects are captured for implementation (Harrison, 2008:321).

1.11.11 Potable water

Potable water is drinking water, which all people irrespective of their social backgrounds, must have access to as part of their basic human needs (Meissner, 2014:5; Olowu, 2008:78).

1.11.12 Informal settlements

A result of urbanisation, informal settlements are unintended living conditions predominantly in developing countries. They are characterised by poor housing, insecure land tenure and poor service from public institutions (Shafik & Khedr, 2015:141; Lekonyane *et al.*, 2013:61).

1.11.13 Developmental state

This term refers to a type of a government that undertakes to intervene directly in accelerating socio-economic development without leaving the same process to the private sector markets (Tshiyoyo, 2014:128; Naidoo, 2006:109).

1.12 STRUCTURE OF THE STUDY

Chapter one provides a general overview and introduction to this study of intergovernmental relations and service delivery with a specific focus on poor communities of Diepsloot. The background, rationale and motivation for the study are undertaken to clarify the academic need for a study on IGR in the context of provision of a basic service need of potable water. In this chapter, the problem statement introduces the main purpose of the study. Furthermore, chapter one also briefly introduces the study's research design. It concludes by clarifying concepts and outlining the chapters of the entire thesis.

Chapter two presents a review of relevant literature on the subject. The chapter commences by stating the purpose of conducting a literature review. Various pertinent IGR theories and concepts are discussed to present the relevance of the study within Public Administration. Following approaches of studying IGR as stated on chapter one, this chapter presents the normative aspects of IGR to introduce the need for service delivery. In addition to providing a model of service delivery, the basic service of supplying potable water is analysed.

Chapter three contains information about the global approaches to IGR. This chapter analyses the IGR policy framework and features of Brazil, India and South Africa to investigate intergovernmental policy implementation internationally, with a specific focus on potable water delivery. A global perspective is undertaken to strengthen an understanding of the extent to which IGR is conceptualised and implemented in other countries and in relation to South Africa.

Chapter four presents the institutional arrangements of the study, namely public organisations and IGR structures that deal with IGR and potable water policy implementation. The chapter leads to institutional arrangements by analysing IGR framework and theoretical dispositions of service delivery in South Africa and the Gauteng Province. To this end, the provincial and local governmental institutions that form part of

the study on IGR and water delivery in Gauteng, are described in accordance with the normative and constitutional requirements of IGR. In addition to discussing the IGR institutional arrangements in the Gauteng Province and CoJ, this chapter also analyses the national policies of IGR.

Chapter five contains the research methodology of the study with regard to the philosophical methodology, quantitative and qualitative methods, research techniques, data collection, analysis of data and interpretation thereof. The chapter concludes by stating the necessity and application of ethical undertakings.

Chapter six presents the analysis of data and interpretation thereof. A data analysis process is outlined and followed to analyse data and interpret it according to the thematic categories. In doing so, four sets of data from the Gauteng CoGTA, CoJ, Office of the Speaker (CoJ) and ward committees of Diepsloot are analysed and interpreted against the research objectives.

Chapter seven presents the findings, recommendations and conclusions of the study. In the process of the presentation of findings, the research question is reviewed to determine if it has been answered.

CHAPTER TWO

LITERATURE REVIEW: CONCEPTUAL FRAMEWORK OF INTERGOVERNMENTAL RELATIONS

2.1 INTRODUCTION

Chapter one provided an overview for the study of the intergovernmental relations in South Africa with reference to the delivery of potable water to Diepsloot. The chapter clarified the problem statement and identified a research question. Furthermore, the aim and the objective of the study were presented in chapter one. It was also clarified in chapter one that the thesis is based on a case study of intergovernmental relations and its relevance for delivery of potable water in the poor communities of the CoJ in Gauteng Province.

Chapter two reviews literature on the conceptual framework and practices of IGR. To establish a theoretical and conceptual foundation of the study, the purpose of the literature review is discussed in this chapter. Linked with the theoretical disposition are the concepts, terminology and practices that are related to IGR and cooperative government. A theoretical disposition on basic public service of potable water is presented. To realise this objective of reviewing literature, chapter two analyses various literary sources in the form of published books, accredited journal articles, press releases, government publications and legislation.

2.2 LITERATURE REVIEW: INTERGOVERNMENTAL RELATIONS

The literature review provides guidance on the current matters of IGR and service delivery. The systematic analysis of literature provides a deeper understanding of the phenomenon under study (Frederickson *et al.*, 2016:5-6; Majam & Theron, 2006:604). In particular, prior knowledge derived from literature review provides the researcher with an

opportunity to familiarise him/herself with previously conducted research (Natalier, 2013:11; Athanasou, Mpofu, Gitchele & Elias, 2012:50).

Neuman (2006:112) identifies six types of literature, namely a:

- context review: a review based on a larger body of knowledge;
- historical review: a review based on matters which occurred over time;
- integrative review: a review that incorporates agreements and disagreements;
- methodological review: a review of methodological strengths and weaknesses;
- self-study review: a review in which the author's familiarity of the subject is demonstrated; and
- theoretical review: a review that compares theories and concepts.

Other than methodological and self-study reviews, the study used the context, historical and integrative reviews. A context review for IGR and service delivery is pertinent, since they should be understood within the contexts of public policies and public responses. A historical review is suitable for understanding the origins and developments of IGR and service delivery over time. A theoretical review helps one understand the phenomena of IGR and service delivery from the conceptual perspective. Lastly, through an integrative review, all negative and positive discourses on IGR and service delivery need to be brought together for any better understanding and conclusions to be reached.

2.3 PUBLIC ADMINISTRATION

Public Administration (two letters of each word in capital letters) refers to the discipline when public administration is studied, but public administration (in lowercase letters) focuses on the state machinery of policy-making and administration (Venter, 2011a:84). Its origins can be traced back to Woodrow Wilson's essay in 1887, which advocated for the study of Public Administration as a discipline (McCandless *et al.*, 2013:357-358 & Dhameja, 2003:2). According to Thornhill (2014:9) the theory of Public Administration is concerned with matters such as governmental institutions' objectives, policies, structures, accountability and governance. However, one should bear in mind that Public

Administration is eclectic in nature, as it borrows from various other disciplines such as political science and sociology (Zürn; Wälti & Enderlein, 2010:1; Thoenig, 2007:88, Miller and Fox. 2007:4), thus rendering the discipline multidisciplinary and interdisciplinary in nature (Raadschelders, 2011:125).

Theoretical concepts are organised logically to lead to a conclusion about a certain aspect of life (Fox, *et al.*: 2007:29). The theoretical conceptualisation refers to theories, concepts, frameworks, models and approaches. A theory is a set of interrelated propositions, concepts and definitions that present a systematic point of view of specifying relationship between variables with a view to predicting and explaining phenomena (Welman *et al.*, 2005:22). Ostrom (2009) in (Emerson & Nabatchi, 2015:25) indicates that a framework refers to a set of variables for configuration of a phenomenon, whereas models provide fewer variables and relationships of a phenomenon. Ostrom (2011:8) differentiates further that frameworks are general and used to compare a number of theories. The author continues to state that theories are more specific with intention to answer a particular framework's question whereas, models are derived from theoretical assumptions to be able to predict possibilities arising from their application.

Thornhill and Van Dijk (2010:102) argue that the reason for using terminology, such as approach, or school or movement, is to emphasise that some theories do not qualify to be called theories. After all, Frederickson (1999) in Frederickson *et al.* (2016:235) state that the hegemony of Public Administration theory ended a half century ago. Consequently, in this chapter, the researcher will use the wording of concepts, theories and approaches interchangeably to accommodate the broadness of the theoretical background of IGR and service delivery of the study.

2.4 INTERGOVERNMENTAL RELATIONS: THEORIES, CONCEPTS AND APPROACHES

IGR policy falls within the domain of the Public Administration discipline and is a function of public administration. Thus, IGR is characterised by issues of government, governance and public institutions, which fit into the domain of P(ublic) A(dministration).

It is generally acceptable for research to be associated with a particular theory to guide the methodology of the study (Fox & Bayat, 2007:28; Scholtz & Tietjie. 2002:12). Maxwell (2013:49) says that a prior theory in research is not only a framework for, but also a statement about the phenomena under study. In this regard, the theoretical background of IGR and service delivery, which will be discussed in this chapter, have provided a guiding framework for the study. In addition to being guided by a theoretical framework to gain a better understanding of IGR, the emergent data could be used to improve the discipline or the practice of public administration. Various concepts, theories, and approaches linked with the IGR phenomenon are discussed in this section below.

2.4.1 Institutional theories

Institutional theories emanate from theory of organisations, but they are distinct from each other (Frederickson, *et al.* 2016:67). Modern organisation theory is mainly concerned with private sector firms, as it draws lessons and practices from privately owned organisations (Frederickson *et al.* 2016:73; Daft, 2007:6). In this regard, organisation theories are limited. Hence, institutional theories had to fill a vacuum by accommodating public institutions. Organisation theories may also be unsuited for the multi-layered nature of organisations, since in the context of the public sector, they were more conducive to a hierarchical bureaucratic organisation.

Old and new institutionalism differ in that the former applied formal rules but the latter uses the behavioural nature within institutions (Olsen, 2007:2). Finer (1954), Duverger (1959) and Johnson (1973), in Sørensen and Torfing (2007b:27), state that old

institutionalism theorised on the formal, political institutions of government. In addition, Rhodes (1995) and Peters (1999), in Sørensen *et al.* (2007b:27), argue that new institutionalism is broader, as it includes both political and less formal institutions. New Institutionalism was coined by March and Olsen in 1984 and they postulated that institutions determining political policy and public administration should be driven by actions (Thoenig, 2007:89-92). March and Olsen (2006), in Olsen (2010:22), explain that institutionalism regards institutions as a collection of adopted rules and established practices in structures that interact with the environment meaningfully and constantly. It can be deduced that modern public institutions are characterised by formal and informal rules while interacting within their environment.

From an interdisciplinary perspective informed by political science and economics, there is institutional analysis and development (IAD) framework. Through IAD, the significant institutional variables like actors, resources, and processes are identified for a conceptual analysis of institutions (Ostrom, 2011:9-11). In addition, there is organisational research programme informed by organisation theory. Sociology yielded new institutional theory (NIT) (Heikkila & Isett, 2004:4). Institutionalism subscribes to a political notion that institutions do matter (Sørensen *et al.* 2007b:27).

There are various versions of new institutional theories or institutionalism, namely,

- (i) Economic and Rational Choice Theory takes an individualistic angle, as it entails a relationship based on the institutional rules and individual actors;
- (ii) Historical Institutionalism is concerned with implications of the incentives and other institutional developments such as self-perpetuation over time; and
- (iii) Sociological Neo-institutional Theory focuses on institutions and social life. Thus, it caters for symbolic matters of culture and institutional rules, among other things (Bartley, Anderson, Jagger & Van Laershoven, 2008:163-164):

New institutionalism recognises that there can be conflicts within, and among, institutions. Firstly, an acknowledgement of interactions among multiple institutions in governance implies that neo-institutional theories accommodate IGR. Secondly, Olsen (2010:33)

states that tension within, and between, institutions can affect organisational coherence because of competing norms, resources and behaviour logics.

However, it is possible to foster reconciliation within institutions. In addition, Olsen (2010:23) states that institutionalisation can increase clarity about rules, increase consensus and shared conceptions. Public institutions within the spheres of government may exhibit these reconciliatory characteristics – even within inter-institutional contexts. According to Olsen (2010:34), closely coupled institutions (those designed for inter-institutional operation) are likely to collaborate and cooperate better within intergovernmental contexts.

On the other hand, IGR within the public sector involves public institutions. In line with this, Olsen (2010:23) says that institutionalisation within the public sector is a process and a manifestation of organisational arrangements. It can be concluded that institutional arrangements within the public sector do not exist for profit making but according to Reddy *et al.* (2014:163) it is to provide the public with protection, wellness, quality of life and cultural practices. However, institutions can also be discontinued through deinstitutionalisation when, for example, there are challenges with rules, identities, purpose and power play (Olsen, 2010:23-24) and they can also be reinstitutionalised (Olsen, 2010:41).

Frederickson, *et al.* (2016:67) critiques that 'institutionalism' is not a formal theory but a language of assumptions. Dhameja (2003:3) concurs by using the term institutional approaches. In summary, this study and other studies of this nature recognise that policy at political level influences structural and institutional arrangements within public administration. Interestingly, institutions are not static. According to March and Olsen (2008:5), they are influenced by a dynamic environment of institutional relations which are based on negotiated authority and power. Therefore, it should not matter that institutionalism may not be referred to as a formal theory, since it also regarded as a relevant approach.

Frederickson *et al.* (2016:70) argues that institutional theory benefits networks, coupling of institutions, interdependence and fragmentations. As public administration is increasingly multi-layered with multiple actors, there are also an increased examples of networked and collaborative institutional arrangements. Therefore, the next section discusses the network theories as influenced by institutionalism.

2.4.2 Network theories

Network theory concerns formal and informal interaction of people and organisations that operate with some semblance of interdependence (Emerson *et al.*, 2015:21). It leads to networked government that is characterised by coordination between multiple levels of government, non-profit organisations and for-profit organisations (Goldsmith & Eggers, 2004:45). The involvement of private companies is significant, as it illustrates that networks reach beyond the confines of bureaucracy.

Goldsmith *et al.* (2004:10) presents the following network trends:

- (i) Third party government: Using private firms and non-profit organisations.
- (ii) Joined-up government: Using multiple actors in multi-layered governments and agencies to provide integrated services.
- (iii) Digital revolution: Using technology to enhance collaboration with external actors.
- (iv) Consumer demands: To customise service delivery through the private sector to meet citizens' increasing service demands from citizens.

Peters (2010:40) states that network theories influence network governance. The third sector of Non-Governmental Organisations and Community Based Organisations (CBO), which occupy a scope of civil society, form part of network governance (Khan, 2003:113). Provan and Milward (2001), in Emerson *et al.* (2015:21), argue that the performance of networks influence the collaboration in multi-organisational networks. Thus, non-governmental organisations (NGOs) and community-based organisations (CBOs) are given an opportunity to form part of institutional arrangements and by extension,

governance. More importantly, O'Toole (1997), in Frederickson *et al.* (2016:57), states that networks are inevitable because many mandates in public administration require actors to manage the process within a multi-layered context. The foregoing indicate that networks are advantageous to governance.

O'Toole (1997), in Frederickson, *et al.* (2016:57), deems networks necessary because they can bring a myriad of skills from within and outside of government. Good interpersonal relationships, through participating in the networks, can contribute to growing legitimacy in communities (Emerson *et al.*, 2015:21).

There are more salient points about some advantages of networks. Agranoff (2012:521) argues that managers continue to conduct their functions within hierarchies, thus, it is difficult for networks to replace hierarchies. It could be a question of old habits of traditional public administration dying hard. However, Hill and Lynn Jr (2005), in Frederickson *et al.* (2016:77), argue that the goal should not be to replace hierarchies with networked governance but networks should exist to augment governance in a hierarchical system. There is caution that if any government does not conduct its traditional functions, there is a risk of hollowing out the state. The concept of a 'hollow state' refers to situations where government does not provide services directly to the public in a sense that it is preoccupied by managing networks (Frederickson, 2016: 57 & Terry, 2006:110).

In networked environments, it might be difficult to facilitate accountability due to poor alignment of goals among various actors (Goldsmith *et al.*, 2004). In contrast, Stoker (2006:53) mentions that, although networked governance may result in poor accountability, it can provide opportunities for learning and shared ownership. Terry (2006: 527) advises that, although networks are beneficial, they also have collaborative costs. Goldsmith *et al* (2004:40-45) could have been concerned with collaborative costs when stating that networks could add an extra layer of complexity to communication, accountability, responsibility and coordination.

Institutional theories are relevant within the IGR paradigm because they refer to aspects such as public versus private structures, coordinating service provision and actors that function within political and social environment (Heikkila *et al.*, 2004:3). The IGR systems and frameworks are characterised by institutional arrangements. As such, its conceptual underpinnings are found in the institutional theory. Raadschelders (2011:201) considers IGR to be part of (neo)-institutional analysis within a sociological context through social stratification and in the political science context as it forms part of political systems. Lowndes (2002), in March and Olsen (2008:14), says that network institutionalism contributes to further knowledge about the intra- and inter-institutional relations.

2.4.3 Collaborative governance theory

A collaborative governance theory is also pertinent for institutional arrangements of IGR. Powell and DiMaggio (2012), March and Olsen (1983), North (1991 and Ostrom (1990) are the proponents of collaborative governance, which they presented as part of new institutionalism (Emerson *et al.*, 2015:20). Ostrom (2009), in Emerson *et al.* (2015:21), states that a collaborative governance is informed by systems context. The system context of collaborative governance is multifaceted with embedded conditions of services, policy imperatives and power relations, together with the externally based drivers, pressures, enablers, constraints and lobbies, which are referred to as collaborative governance regimes (Emerson *et al.*, 2015:27). In this regard, collaborative governance regimes are understandable because the context of IGR is based on various environmental situations and socio-economic backgrounds.

2.4.4 Public value theory

Bryson *et al.* (2015:5-12) reports three approaches to public value by Mark Moore (2014, 2013), Bozeman (2007) and Timo Meynhardt (2009). Mark Moore (1995) theorised that public managers can create public value by ensuring that public interventions benefit citizens economically and socially (Stoker, 2006:47).

More significantly, public value theory advocates for the involvement of stakeholders and government officials (Stoker, 2006:47) in the spirit of ensuring that public institutions are at the centre of delivery to guarantee value to the public. According to Stoker (2006:46-47), the theory of public value is in contrast to New Public Management (NPM) as the former accommodates politics in public administration to attract societal involvement and to rely less on markets. Like traditional public administration, public value theory requires that government institutions be involved directly with the public and to provide public institutions with sound institutional arrangements (Alford & Hughes, 2008:132). Romzek (2000), Bloomfield (2006), Brown and Potoski (2006), as well as Lowery (1998), in Powell and De Vries (2011:107), state that the use of the private sector by NPM increases costs and jeopardises accountability to public services.

In later years, Moore (2013, 2014) expanded the public value theory to include institutions and processes of democracy (Bryson, *et al.* 2015:5). On the other hand, Bozeman (2007) posits that all stakeholders in a democracy contest public value, which makes consensus difficult. Furthermore, public value can fail if both the markets and the public sector fail to provide services (Bryson, *et al.* 2015:6). Meynhardt (2009) in Bryson, *et al.*, (2015:12) provides an approach of public value theory, which originates from how individuals and communities benefit from a psychological and philosophical perspective.

Critics state that the concept of public value has different meanings and it can even lend itself to ambiguity (Chanut, Chomienne & Desmarias, 2015:222). By definition, it can be a moral approach within organisations, it can be concrete as value of a particular product and it can also be the public's contribution to advancing the common good (Colon, *et al.*, 2015: 267). Moreover, Cremson and Ginsberg (2002), in Bryson, *et al.*, (2015:6), critique public value theory for asserting that public managers can influence public value, thereby equating it with reduction of democracy.

The above-mentioned literature shows that intergovernmental mechanisms are complex and require practical applications. As advanced by Moore (1995), in Alford, *et al.* (2008:132), public value is pragmatic because it requires public managers to ensure

service delivery that advances public value. Colon, *et al.* (2015:265) call for a need for P(p)ublic A(a)dministration to have a paradigm shift from NPM to public value. NPM excluded the public, whereas public value incorporates negotiated governance with the public. This centrality of stakeholder involvement at all levels of government spheres and community confirm the relevance of public value on matters within any form of network governance.

Considering the above descriptive analysis of the conceptual framework, the public value theories are relevant to an IGR study, as intergovernmental mechanisms are established and maintained for the sake of providing services to the public coherently and fairly. In South Africa, section 195(1) of the *1996 Constitution* lists the values and principles for serving the public, namely, high professional ethics, fair service provision, proper response to public needs, accountability and development-oriented public administration. Thus, a theoretical framework of public value is pertinent for South Africa's three spheres of government, as well as community structures and stakeholders within all sectors of society.

2.4.5 Concept of multi-level governance

In 1993, Gary Marks, a political scientist, introduced a concept of multi-level governance (MLG) (Saito-Jensen, 2015:2). Type I consists of few jurisdictions wherein authority is shared, normally within a nation state whereas Type II MLG governance is based on a flexible arrangement in which independent jurisdictions interact for specific tasks and is common in transnational arrangements (Hooghe & Marks, 2010:17-25). Hooghe and Marks (2003), in Raadschelders, Vigoda-Gadot & Kisner (2015:127), postulate that Type I MLG is suitable for unitary states with a small amount of jurisdictions and levels. Conversely, Type II MLG is appropriate for more inter-jurisdictional levels and federalism. Limited powers are shared with lower levels of government in a unitary state (MLG Type I) whereas in federal states (Type II) power is predominantly shared (Raadschelders, *et*

al., (2015:102). In this regard, a distinguishing factor between MLG Type I and II is based on sharing of powers between jurisdictions.

The concept of MLG was developed after that of IGR – the former was introduced in 1993 (Saito-Jensen, 2015:2), whereas according to Snider (1995, cited in Kahn *et al.*, 2011:5) the latter was used in print in the 1930s. Raadschelders *et al.* (2015:127) defines MLG as local (municipal), central (national) and intergovernmental relations, as well as country-to-country relations including multinational organisations. Notably, MLG is presented as an umbrella concept for any government that has multi-layered government and governance. It is also presented as a potential overarching concept for IGR and networks.

A number of assertions illustrate the application of MLG. MLG needs effective IGR (Murray, 2001:66) and it accommodates civil society as part of governance (Scholte, 2010:382). MLG is associated with a philosophical move from ‘government’ to ‘governance’ (Smith, 2007:377; Klijn, 2003:304). However, Peters and Pierre (2004:82) cautions that the concept of multi-level governance does not refer to IGR in the context of public institutions only, as it also involves non-public actors such as civil society. Therefore, multi-level governance is expansive and broad.

2.4.6 Concept of governance networks

Governance networks can take many different empirical forms, depending on the political, institutional and discursive context in which they emerge. They might be dominated by loose and informal context; be tight and formal or be characterised by Intra- or inter-organisational relationships. Some governance networks may be preoccupied with the formulation of policy, whereas others are preoccupied with policy implementation. Importantly, many governance networks attest to contemporary forms of governance (Sørensen & Torfing, 2007a:11).

2.4.7 Public participation

The term 'public participation' is used interchangeably with others which are citizen or public engagement and community participation because it lacks one unified definition (Hafer & Ran, 2016:208). It could be that literature and practice of involving the public view community and public participation as synonymous in conceptualisation and application.

Kumar (2002), in Theron (2005:113), helps shed light on the lack of a unified definition of participation. The author states that the meaning of public participation differs from one context to the other. In this study, the concepts will also be used synonymously to refer to communities forming part of public processes on water delivery through IGR. With regard to its importance to the study, public participation is a crucial point of interaction between government and the public with regard to service delivery.

Numerous theoretical ideas inform public participation. A policy framework can be a fundamental source for, and an enabler, of public participation. In the case of South Africa chapter 7 of the *1996 Constitution* and the *Municipal Structures Act No 117 of 1998* provides for consultation with the public in the local sphere in particular. Specifically, section 195 of the *1996 Constitution* provides for the public to participate in policy-making and implementation as part of value-laden and principled public administration.

Human involvement and interaction seem to be central to theories of public participation. In line with this, Lane (1995), in Hofisi (2014:1129), states that public members have a fundamental right to participate in their governance affairs. De Beers (2000), in Theron (2006:117), distinguishes between two participatory forms namely (i) involvement that implies a weak form of public participation that is based on top-down decision-making and co-option, among other means, and (ii) empowerment, which is a strong form of

public participation based on bottom-up processes and building local capacity. Conclusively, public participation appeals to issues of people and their own governance.

Kellerman (1997), in Hofisi (2014:1130), states that public participation should involve structures and processes to avoid being implemented in a spontaneous manner. Through the *Municipal Structures Act No 117 of 1998*, South Africa established ward committees to represent the public on community matters and, as reiterated by Gumede (2011:179), to guarantee that their needs are considered during policy-making and implementation. Phago (2004), in Phago (2008:247), emphasises that ward committees are not the only means to ensure public participation, other means, such as community forums, can also be implemented. The structural arrangements for public participation are advantageous as they make the process systematic rather than *ad hoc* in implementation.

South Africa has implemented *Izimbizos*, which are community meetings convened to engage with the public (Gumede, 2011:178). During these *Izimbizos*, public needs are sourced and public officials who often accompany public representatives take note of these needs. Unlike a relatively spontaneous *Izimbizo* process, it entails the planned governance system of integrated planning through IDPs. Notably, these strategic tools help municipalities plan in an integrated manner for a five-year-period (Mayekiso, *et al.*, 2013:192). IDPs are reviewed annually and all relevant stakeholders and the communities are involved to ensure integrated planning and service delivery (Mello & Maserumule, 2010:289). Gumede (2011:179) states that IDPs help municipalities meet their developmental mandate. Undeniably, community involvement is an indication of the importance of public participation in South Africa's IGR because its necessity is confirmed by section 57 1 (b) of the *1996 Constitution*.

The above literature emphasises the importance of public participation in theory and practice. Cloete and Meyer (2006:114) explain community participation as involving the community members in activities that will benefit both them and their neighbours. Public participation links with the mandate of government. In line with this, Mhone and Edigheji (2003), in Van der Waldt (2007:27), state that voters, end users, citizens and organised

partners play a role in public participation. It is against this background that this study involves the experiences of community representatives who form part of Diepsloot's ward committees, as well as institutional officials as actors who play a role in the public platforms of IGR.

2.4.8 Globalisation

In the twenty-first century, globalisation influences public administration, but it is not a new phenomenon. Knowledge produced through theories and practices has been disseminated internationally for more than a century in public administration (Valsan, 2011:70).

Through globalisation, internationalised knowledge has directed the organisation of public service and its functions across the world (Valsan, 2011:70). Globalisation is advantageous when trying to solve international problems through regional and international bodies. These challenges include alleviating poverty, underdevelopment, human rights, refugee migration and global warming (Ijeoma, 2008:101).

Another advantage of globalisation is its ability to help promote democracy (Bhagwati, 2006:93). Through democracy, regional and international exposure, developing countries are able to advance by learning from other countries' approaches on governance and institutional arrangements or by innovating home-grown solutions. An intergovernmental mechanism of organising governance has resulted in knowledge that was spread from country to country.

Globalisation is obviously not without developmental problems. Gangopadhyay and Nath (2006:68) acknowledge that, although globalisation has contributed to economic growth in some developing countries, at regional levels, governments are indebted due to privatisation. According Lane (2005:12), globalisation influences the management of global procurement contracts. This challenge of service provision within the sub-national levels of government could be an indication of the negative implications of globalisation.

For example, the negative impact can be experienced where municipalities' exorbitant debt hampers service delivery.

Valsan (2011:71) says that the market economic approach of globalisation has a negative impact, as it requires cost-recovery and in some instances, profit-making. When municipalities experience the negative implications of globalisation, services could be affected by input costs associated with expensive procuring. Subsequently, it could be difficult to pass the cost recovery to the residents in poor communities. Overall, it can be difficult and impossible to provide the poor communities with free and highly subsidised services.

The public sector is an agent of globalisation since governments create a legal environment that is conducive for large business to operate and succeed in countries (Ijeoma, 2007:25). Governments, including those of developing countries, are active agents in the globalisation process. Thus, globalisation-influenced policies are a deliberate move. To this end, Thorsten Benner and his associates, in Durant (2006:181) argue that in the context of globalisation, public administration need strategies that are learned from other countries. This includes timely decision-making within the various time-zones of the world, pertinent competencies and rule-bound institutions.

Globalisation creates an administrative burden on the public sector. Institutions within national, provincial and local governments have to take heed of international requirements and subsequent commitments, which include financial responsibilities (Thornhill, 2007:19). For example, globalisation practices could influence the outsourcing of services for water management and any other basic services. As such, it is necessary to analyse the service delivery environment.

2.4.9 Governments and governance

The IGR relationships occur in the confines of government and governance. 'Within this context, 'government' refers to a formal body with rules and regulations and a relative

mandate to rule the citizens socially, economically and politically, whereas governance is process of government (Hughes, 2010:90-95; Pal, 2003:168). Functions that are executed by the intergovernmental institutions are within the parameters of government and governance. However, institutions that are outside formal parameters should also be considered for IGR and cooperative government to succeed.

Theorising about governance has led to a considerable amount of conceptualisation, which adds important words and actions to the lexicon. The implementation of governance includes an interactive governance-based theoretical framework that introduced the notions of shared ideas, operations by agreed instruments and operationalising ideas through implementation (Kooiman, 2010:80). Institutional plans inform the development of strategies, programmes and projects. To implement strategies and maintain the institutions, actors, leaders, employees and the citizenry have to form part of the process. It is therefore expected that multiple actors would use ideas and systems to establish effective and efficient relationships.

Frederickson, *et al.* (2016:236) views governance as an enabler of inter-institutional relations with less jurisdictional borders in a disarticulated state. Thornhill (2015:84) states that, although the term governance has been used widely since the late 1980s, it still lacks a concrete definition. However, it requires actors from the public sector who are willing to perform while being creative and sensitive to the politics of government.

Governance is linked to an inter-jurisdictional approaches of joined-up- government and IGR. Joined-up-government is when governments use governance mechanisms that transcend the orthodox boundaries of old public administration by, for instance, engaging with civil society institutions and groups to find solutions for service delivery (Sokhela, 2014:106). This implies that IGR, joined-up-government, multi-level governance and networks are part of the interjurisdictional approaches.

The concept of 'good governance' – effectively meaning an addition of an adjective 'good' in front of governance, as defined above – was coined by the donor agencies like the

World Bank in the 1980s, denoting the attachment of conditions such as decentralisation for the granting of an aid (Siddle *et al.*, 2012:19; Osborne, 2010:6). Good governance provides an opportunity for actors in the institutions to be conscious of normative issues of government. Essentially, it is the 'how aspect' of governing. Mhone, *et al.*, (2003:3) highlights three aspects of good governance, namely rule based, transparent and accountable government, consultative participatory government and sustainable development. Good governance is also relevant for IGR, as Meyer (2014:30) says it concerns the managerial and administrative capacity of institutions whether formal or informal.

Although Lynn (2010:114) critiques the theoretical concepts around the public governance as being merely analytic and not orthodox, they benefit policy-making among all the stakeholders and public employees. Clearly, when public administrators take heed of governing appropriately, it has a positive impact on the implementation of services. Although it is analytical and not a 'pure' theory, good governance can help create a system of accountable democratic governance. When the public demands services, they imply good governance as it is linked with quality, timeous and relevant goods and so forth.

2.4.10 Decentralisation

Decentralisation refers to a transfer of powers and authority from central level of governance to sub-national levels to meet a principle of responsiveness (Malan, 2014:61). As a policy agenda, decentralisation was adopted in the 1980s to improve localised democracy by effective public participation (Reddy & Govender, 2013:79-80). Implementation of decentralisation implies a reversal of centralisation (Mathebula, 2004:850). In this regard, Malan (2014:54) says centralisation is when power and authority are located at a central government level. Conversely, decentralisation is characterised by institutional arrangements (Bartley *et al.* 2008:164), hence, powers and authority are shared equitably between various jurisdictions levels. Other factors that can influence the design of decentralisation include the colonial legacy when previously

colonised countries continue some colonial masters' approaches like imported models of economy and government (Siddle *et al.*, 2012:43-44).

Reddy (2010), in Reddy *et al.* (2013:80), mentions the following five forms of decentralisation:

- Deconcentration refers to a transfer of defined and limited administrative powers, authority and functions within the same institution.
- Delegation is when specific administrative power, authority and functions are transferred to another jurisdiction, for example from a provincial to a local government. Through delegation, central government holds the concerned sub-national sphere accountable (Siddle *et al.*, 2012:23).
- Devolution refers to a complete and comprehensive transfer of power, authority and functions to sub-national authorities.
- Privatisation/divestment refers to complete transfer of a particular government service to private sector and non-profit governmental institutions.
- Assignment is when powers and functions are transferred to local government in accordance with section 156 of the *1996 Constitution*.

Siddle *et al.* (2012:20-22) mention decentralisation as is conducted for administrative, fiscal and political purposes. The success or failure of decentralisation is dependent upon the institutional arrangements including power relations and a distribution of the power among all actors including the civil society (Brannstrom, 2004:12; Mishra, 2003:189). Decentralisation could also fail as a result of poor funding and other resources for sub-national levels, poor political leadership and lack of social capital (Siddle, *et al.* 2012:11).

Decentralisation plays an integral part of any IGR, as the functions are by nature delegated to sub-national levels. Peters (2010:39) uses the term, a decentred state, to refer to a state that operates in a decentralised manner. A decentred state can facilitate

service delivery if the qualities of flexibility, effectiveness, innovation, public participation and accountability are taken into cognisance.

A description of a good state for IGR is an enabling or active state. An enabling state renders services through a variety of organisations to ensure access, whereas an active state intervenes proactively to improve the conditions of citizens (Page & Wright, 2007:3-4). Within a facilitative state, service delivery initiatives could be undertaken and the public would feel and act in an empowered manner. Decentralisation is the best governance approach to adopt for public interest (Valsan, 2011:75).

The aforementioned theoretical concepts and approaches highlight that public administration is made of conceptual frameworks, which includes IGR. It is advantageous for research and development work when concepts are empirically applicable. Thornhill *et al.* (2010: 108) confirm that Public Administration consists of disparate theories, as opposed to a unified theory. As public administration exists in a dynamic social world, it is suitable to steer clear of one unified theory. Multiple approaches, concepts and theories allow for generating knowledge within various dynamic contexts like intergovernmental situations.

Thus, all three theories or approaches of institutional theories, public value and public participation are necessary. However, institutional theories are predominantly usable since IGR is accommodated with its institutional, procedural and systematic nature. On the other hand, public value and public participation theories contribute to the processes and outcomes of how institutions form part of governance and service delivery. The emergent data of this study was used to critique and extend theoretical framework through a proposed model on IGR. Moreover, public value and public participation theoretical positions are less applicable because they only address the normative part of the study. Conversely, institutional theories cover both the structural and normative or philosophical dispositions. The next subsection focuses on the origins, concepts and models of IGR.

2.5 INTERGOVERNMENTAL RELATIONS: ORIGINS AND MODELS

Literature reveals that the concept of IGR is characterised by the theories of institutions, networks, collaboration and public participation. This section intends to gain more insight into the concept of IGR by analysing other relevant conceptual frameworks that inform the features and models of IGR. This section begins by summarising a history of IGR to help gain a deeper understanding of how it was conceptualised as a phenomenon. This historical review of IGR is undertaken through an analysis of timing and developments around its conceptualisation and practice.

2.5.1 Intergovernmental relations: origins

The concept of Intergovernmental relations implies a set of relationships either between or within the multiple levels of government, which interact hierarchically or horizontally (Besdziek, *et al.*, 2011:125). IGR is applied in all federal systems and other forms of government (Trench, 2006:226). It is therefore compelling to know its origin to gain a better understanding.

There is no definitive knowledge about the origin of the concept of IGR. However, in the 1960s William Anderson stated that that IGR originates in the United States of America (USA) in relation to its form of federalism (Wright, 2012:283). Furthermore, the author argued that experts and role-players should aim to gain a better understanding of IGR, which led to its popular usage. In fact, Anderson is recognised for linking legal issues with the intergovernmental relations (Agranoff & Radin, 2014:2; Kahn *et al.*, 2011:4). Also, Snider (1995), cited in Kahn *et al.* (2011:5), states that in the 1930s, Clyde F. Snider, used the concept of IGR in an article on country and township government. This implies that a concept of IGR predates the 1960s, when Anderson popularised it.

Federalism is a context of IGR, but it is applied in some other forms of government (Wright, 2012:283). As the term IGR has been used since the 1930s, it coincided with the period of intensified developments regarding the concept of 'cooperative government'.

Notably, the first recorded federal governments – the United States (US) in 1789; Switzerland in 1848, Canada in 1867 and Australia in 1901 – had intergovernmental political and administrative interactions which predate the 1930s as a popularised period for ‘cooperative government’ (Watts, 2006:204-205).

In the 1930s, increased functions within federal governments led to more overlapping of roles and different interpretations. This created the need to manage issues of coordination, interdependency and competition. As a result, these developments led to an accentuated focus on ‘cooperative federalism’ (Watts, 2006:206-207). According to Wright (1982), cited in Kahn, *et al.* (2011:4), IGR was used during the US Great Depression of the 1930s as part of the New Deal policy to manage the concomitant socio-economic challenges of a federal government.

The Great Depression was a financial and economic crisis that was precipitated by the crash of the markets in 1929. Among conspicuous challenges of lack of basic resources, the great depression brought about challenges to the rule of law in democracy (Berg-Schlosser, 2012:47).

The existence of IGR in all forms of governments (Trench, 2006:226) indicates that it is a global phenomenon. Kahn, *et al.* (2011:5) confirm IGR as a universally applicable system, the authors state that it is concerned with cooperation and coordination among actors within vertical (between and across higher and lower levels) and horizontal (between and across equal levels) engagements.

In addition to the operational definitions, it is important to note that the interaction occurs within a political system. Watts (2001:22) and Malan (2005:227) concur by saying that IGR policies should also consider the political priorities of a democratic South Africa. This inclusive perspective of politics in public administration considers that politics have introduced positive aspects such as a democratic mandate and policy imperatives. Instead of perpetuating a negative perception of politics there is a need to align political and administrative roles appropriately to further public interest. It is fair to criticise

politicians for the fact that they interfere with administration (Pal, 2003:171) and focusing on short-term goals (Thoenig, 2007:93). However, this does not mean that role of politics should be diminished, because, if politicians do not play their part, a gap will exist in the networked governance context, as well as broad-based democracy. It is a gap that cannot be filled by actors who do not have a popular mandate, for instance, provided by elections.

IGR also can be applied in various forms within one jurisdiction. Communities and international institutions' involvement with a country's IGR matters illustrate a combination of inter-governmental, extra-governmental and international relations. Notably, Governmental relations have been expanded to include all key public and state role-players.

Due to this multi-stakeholder application, Mathebula (2011:838) states that IGR is concerned with interactions of all necessary institutions. More importantly, the conceptualisation of IGR fulfils the previously missing critical part of the separation of power doctrine to address the hierarchical functions of government. Prior to this, the traditional horizontal version of Legislature, Executive and Judiciary was inadequate (Kahn, *et al.* 2011:3; Rosenbloom & McCurdy, 2006:3).

IGR helps facilitate purposeful institutional arrangements. In this regard, IGR attests that institutions do matter – especially within a service delivery paradigm (Ahrens, 2011:4; Sørensen, *et al.* 2007:27). Public institutions have some semblance of independence (Olsen, 2007:3). This independence of public institutions reflects that they can outlive short-term periods of politicians. It could also imply relatively uninterrupted services to the public.

The IGR system is sustained by the conditions of cooperation and mutual respect to attain democratic accountability (Watts, 2001:39; Malan, 2004:100). The network element in IGR helps to incorporate informal elements into usual formal governmental structures (Agranoff *et al.*, 2014:14). To this end, IGR is applicable in any environment of multi-level government and governance, irrespective of whether it is a federal or a unitary state.

2.5.2 Intergovernmental relations: models

IGR models can assist actors within all spheres of government to implement policies and programmes. In 1978, Deil Wright developed the following three models for IGR:

- i. Coordinate authority model: Illustrates a separation between levels or spheres of governments;
- ii. Inclusive authority model: Accentuates hierarchical IGR because national sphere is dominant; and
- iii. Overlapping authority model: Each sphere has limited authority since jurisdictions encroach into each other, which could result in bargaining (Agranoff *et al.*, 2014:2).

IGR models that are suitable for a unitary state include the (i) agency model, which depict a situation of centralised power at national level. The (ii) stewardship model is about relations between national and sub-national spheres, while the (iii) power-dependency model is concerned with bargaining for power and authority among the spheres. The (iv) partnership model implies that all spheres are equal (Kahn *et al.*, 2011:34-37) Lastly, the (v) Marxist model or Dual State model emphasises that the higher sphere uses the sub-national sphere (in this case local government) in an exploitative manner to meet individualistic capitalist-centred interests.

Kahn *et al.* (2011.39-43) present models of federalism, as developed by Michael McGuire and Robert Agranoff in 2001. The (i) top-down model accept more authority and power to the central (federal) government as it should develop manage national minimum standards, (ii) the donor-recipient model is premised on bargaining among the actors, such as per jurisdiction and per programme. (iii) The jurisdiction-based model focuses on highly administrative governance systems. Thus, local actors are interested in the extent to which the agreement will serve local-level institutions. (iv)The network model is a collaborative engagement among various actors without any authority over each other.

The different types of models discussed above illustrate that IGR is not implemented uniformly globally, probably even nationally. Importantly, IGR depends on the characteristics of each country (Trench, 2006:230; Watts, 2001:28-29). According to Watts (2006:207) models are multi-lateral or bilateral. In addition, there are horizontal relations at similar levels. The models are usable in the South African context but none of the models is appropriate for a single country on its own.

According to Kahn *et al.* (2016:44-45), overlapping and stewardship models are the most suitable within South Africa's democratic, constitutionally focused context. As a unitary state, the country's legislative directives such as the constitution helps ensure that all spheres share functions. In certain cases, overlapping responsibilities need to be managed. Taking on a stewardship function, the national sphere is dominant with exclusive functions.

In an IGR system where there are disbursed grants and higher spheres hold more power, it is possible for power-dependency models to come into play. In a political situation where a different political party to the national one governs a sub-national sphere, a bargaining situation of power dependency could arise.

Regarding IGR in South Africa, this study notes three models which have been proposed for integration of services. Firstly, Tapscott (2004:208-209) proposes an asymmetrical model. It is proposed that powers and functions are devolved to a municipality progressively on condition that they attain improved administrative capacity to execute the concerned functions. This withdrawal of powers targets municipalities according to their recorded past performance. Decisions to withhold the powers for a minimum period of 10 years should be done in consultation with the organised local government as represented by the South African Local Government Association (SALGA). A task team comprising of officials from a provincial sphere shall execute the functions but officials from the national sphere should participate if provinces themselves lack capacity. The purpose would be to provide services and to progressively transfer skills to the municipal employees.

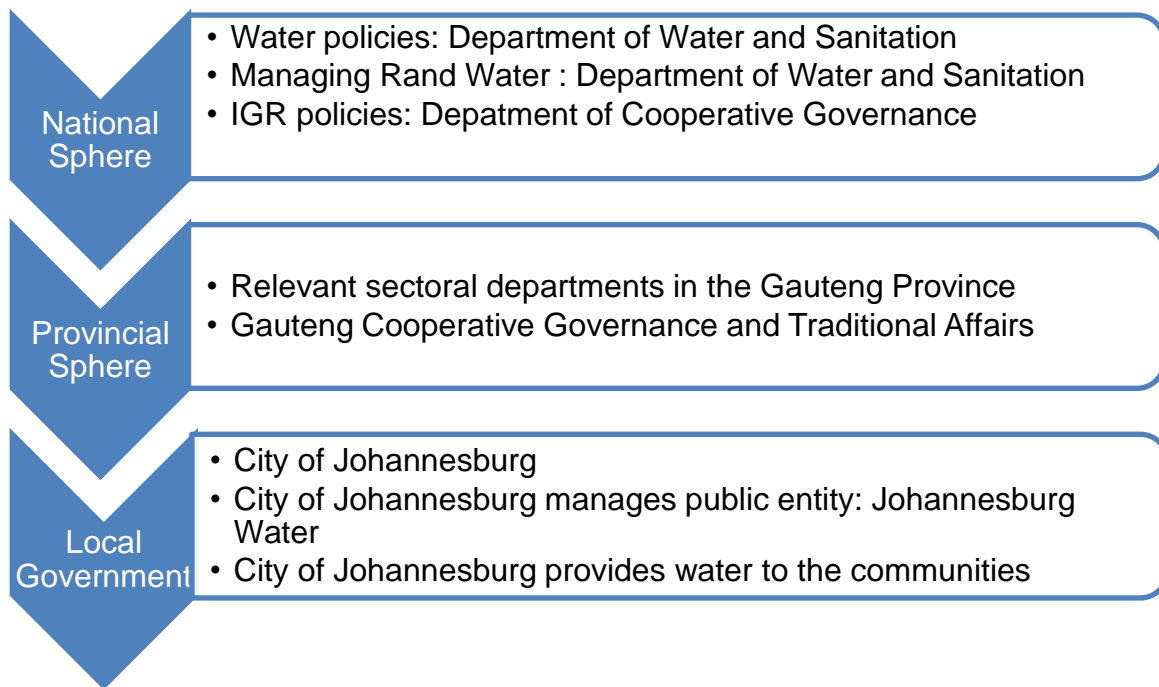
Secondly, the NDP envisages South Africa with an improved differentiated intergovernmental system that will entail avoiding assigning powers to all municipalities in a 'one size fits all' approach (Republic of South Africa; National Development Plan: Vision 2030:2012:432). The NDP needs improvement of a differentiated model since it recognises that section 155(1) of the *1996 Constitution* provides for a differentiated approach by allocating general functions through different categories of municipalities as single-tiered A, and two-tiered B and C municipalities. However, Section 155 (3) (c) makes provisions for assigning powers differently to category B and C municipalities, but not to category A. The NDP model emphasises on section 155 (3) (c) hence its position that district and local municipalities should be supported. In doing so, the NDP model postulates that metropolitan municipalities are self-sufficient on the basis of being comparatively well-resourced.

Thirdly, the current local government strategy of Back to Basics also proposes a differentiated municipalities for a dedicated assistance (Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy, 2014:7-8). It focuses on supporting municipalities according to the categories of their state of performance. Priority 1 refers to the dysfunctional municipalities who are unable to provide basic services. Priority 2 are functional but not performing well in critical areas. Priority 3 municipalities perform well and should be provided with greater autonomy and resources to continue (see section 4.4.1).

The Tapscott (2004), NDP (2012) and Back to Basics (2014) are proposed models for differentiation of IGR in the context of IGR which lacks integration. These models attempt to contribute to an improvement of IGR. Kahn, *et al.* (2016:171) concur that the spheres of government do not conduct an integrated planning with negative consequences for service delivery. The current approach of IGR in South Africa is characterised by distrust and conflicts (Republic of South Africa, NDP, 2012:431); with likely consequences of poor collaboration. Figure 2.1 illustrates that IGR is focused on single services and less on integrating similar services for impactful delivery, in line with the NDP (2012:56) stating a need for resolving of weaknesses in coordination. Furthermore, figure 2.1 depicts a culture of relative hierarchy in the South African system of IGR for water as national

sphere leads policy, provinces monitor implementation and local government implements with less consideration of other services since the departments concerned could have planned singularly. Coetzee (2010:85) confirms that IGR lacks coordinated efforts for good governance. However, the hierarchy is also moderated by interdependence, interrelatedness and distinctiveness of the spheres in that there are efforts to collaborate and coordinate functions (Republic of South Africa, NDP, 2012:431).

Figure 2.1: Current IGR approaches for potable water delivery



Source: Researcher

Trench (2006:253) argues that it is difficult to theorise IGR because it is normally interpreted within the context of specific systems. This study is comfortable with this peculiarity of IGR because it also implies that there are similarities with other systems. What matters is not the specific nature of IGR, but the broad conceptual aspects such as collaboration, cooperation, multi-levelness and network capabilities that are prevalent but comparable throughout all systems. In this study, IGR is considered a conceptual

framework within institutional theories, as opposed to one unified theory. The pertinent concepts relating to IGR have been discussed above, as they illustrate the broadness and contextual nature of IGR. Concepts such as MLG and networks help bolster IGR's applicability within various contexts. This is an indication that IGR is conceptually strong in that it can be applied through models. The history of IGR is particularly reflective, as it is applicable in all forms of governments, despite having started within a federal setting. Consequently, the models are of value, as they are also pertinent for specific forms of government.

2.6 SERVICE DELIVERY THEORIES AND ITS MODELS

Theories on public service delivery are guided by the provision of public good. According to Fox and Meyer (1995:118) service delivery concerns public goods provided by government in a tangible and intangible form. However, Koppel (2011) in (Frederickson, *et al.*, 2016:243) says that public administration should debunk a myth that public services are only provided by government since there are other role players. Besley and Ghatak (2007:127-139) postulate that the responsibility to render public services belongs to government which can employ many means of delivery. It can discharge its responsibility through non-profit organisations and private providers. This implies that government operates with a myriad of actors in relationships inclusive of politicians, citizens and public servants. Most importantly, services which are provided should be of value to the public and government must be accountable. To ensure success, a commitment to functions should also be well funded and resourced.

A model refers to a tangible description that acts as a representation of a system, theory or phenomenon (Mayekiso *et al.*, 2013:187). The author continues to state that the term model is derived from the French *modele* and Italian *modello*, both of which mean 'inform' or 'measure', respectively. Models are more specific in relation to frameworks and theories. Notably, frameworks present general related variables about a phenomenon, while theories interpret frameworks with explanations, diagnoses and predictions of a phenomenon (Emerson, *et al.* 2015:25).

Roux and Nyamukachi (2005:697-703) suggest a generic service delivery model for improving municipal services. In summary, the model consists of five phases, namely:

- i. Establishing a vision;
- ii. Conducting and environmental analysis;
- iii. Analysing delivery options;
- iv. Choice, communication and implementation; and
- v. Controlling, monitoring and evaluating strategies for change.

It is therefore common in Public Administration to develop models to assist with implementation of public services. This generic model by Roux *et al.* (2005:697-703) illustrates that a service delivery model could include a service or services required, policy imperatives, public participation, service options, as well as monitoring and evaluation.

Service delivery models are informed primarily by public needs. Public institutions provide services on condition that they are required by society (Thornhill, 2012:134). Carlson and Schwarz (1995), in Denhardt, *et al.* (2015:62-63), list the following aspects that define public sector service quality:

- Convenience: Measuring the accessibility of government services to the public.
- Security: Measuring the extent to which government services are provided in such a way that the residents feel safe.
- Reliability: Measuring the degree to which services to the public is provided according to agreed standards.
- Personal attention: Measuring how public institutions respond and engage the citizens to address the real needs.
- Fairness: Measuring an equitable service provision.
- Fiscal responsibility: Measuring the extent to which public funds are utilised responsibly.

- Citizen influence: Measuring the extent to which the public participates in service provision matters.

Forms of service delivery are presented through models, when necessary. In addition to direct service to the public, as traditionally offered by government institutions, there are alternative forms of service delivery, namely:

- Pure privatisation: When services are rendered by private sector, mostly for a nominal fee;
- Public private partnerships (PPPs): Government contracts an external organisation to provide a defined service;
- Concession: Government contracts a private company for a longer period to manage state-owned asset, eg. building a freeway road;
- Outsourcing: When services are offered contractually to private institution to render services for a shorter period than with privatisation; and
- Public entities: They are created as part of the public sector to provide specific services for as long they are required (Thornhill, 2015:88-93).

Kanyane (2010: 91) adds that an alternative version of the shared service delivery model has been used in South Africa, e.g. multi-purpose communities (MPCCs), which accommodate mobile shared public service as a one-stop shop of public services within a particular community.

Models clarify theoretical frameworks (Ostrom, 2011:8). In this regard, models could also be important to clarify the complex theoretical framework of institutionalism, which entail myriad of conceptual theories. Fredrickson (2016:68) regards institutional theories as the “big tent theory of institutions”, as they consist of influences from structural theory, organisation design theory, democratic control, bureaucracy theory and institutionalism. As rendering services is intertwined with institutions, service delivery models are likely to reflect structural arrangements. The IGR models are discussed in section 2.5 of this chapter.

2.7 CONCEPTUALISING POTABLE WATER DELIVERY

As this study focuses on water as a basic public service, it is necessary to conceptualise it within the context of this thesis. Water, like food and air, is a basic human need (Moeti & Khalo, 2008:220). As a result, governments at all development levels must concern themselves with matters of potable water. According to Dolnicar and Harlimann (2010:49), supplying water is a fundamental function of government, as it is a commodity that supports life, society, environment and the economy.

Water policy in the world is based on national and international arrangements. The institutions within nations provide a regulatory framework which is then practiced with regulative policies of transnational institutions (Morgan, 2011:4-5). It is for this reason that water management tend to involve contracting of international institutions. Water scarcity challenges governments to utilise IGR to improve governance mechanisms (Morgan, 2011:38). Furthermore, these governance mechanisms guard against people being deprived of this basic commodity.

Governments were expected to meet citizens' need to access basic services, such drinking water by complying with the Millennium Development Goals (MDGs) for the twenty-first century (Vyas-Doorgapersad, 2013:6). MDGs were an overarching development framework based on a broad vision for promoting global development and reducing poverty by 2015 (Qwabe, 2013:22; Banerjee & Morella, 2011:2). Part of eradicating extreme hunger and poverty is delivering potable water. The *Millennium Development Report of 2011* states that the target of halving people without access to water was achieved by 2010, five years prior to the target date of 2014.

Access to potable water still remains important, despite the fact that the MDGs have been relatively met in South Africa. The United Nations Conference on Sustainable Development in 2012 established a working group to lead discussions and consultations on the Sustainable Development Goals (SDGs) to guide the participating countries beyond the MDGs from 2014. The SDGs were adopted at a United Nations Summit held

on 25-27 September 2015 (United Nations: 2017: Online). Goal 6 of SDGs states that sustainable water and sanitation must be made available (Osborn, Cuttler & Ullah, 2015:3-6). Notably, an agenda for potable water has shifted from access to sustainable water provision.

Various institutional mechanisms and processes are used in many countries to deliver potable water to citizens, one of which is through privatisation. According to McDonald and Ruiters (2005:15), privatisation takes place when the service, along with the assets and operations, are sold to a private company. To reach the community comprehensively, privatisation of water is achieved when water provision is contractually handed over to a private concern (Moeti *et al.* 2008:222-223). The consequences of employing commercialisation of water are mixed as they include provision of quality water but at a cost to the communities. The costs to the communities are in the form of disconnections, limitations, and unaffordable tariffs (McDonald, *et al.*, 2005: 65-67).

2.8 CONCLUSION

Chapter two's literature review confirms that intergovernmental relations is global in conceptualisation and application. Explicitly and implicitly, IGR is found in theories, models and approaches that have evolved over different epochs of public administration as a discipline and practice. Intergovernmental mechanisms are in the institutional theories. On normative aspects of IGR, MLG and networks; the relevant theoretical concepts are public value, public participation theories and other related concepts such as cooperation, collaboration and governance. The next chapter focuses on the international approaches to IGR with specific reference to South Africa, Brazil and India.

CHAPTER THREE

COMPARATIVE APPROACHES IN THE IMPLEMENTATION OF INTERGOVERNMENTAL RELATIONS.

3.1 INTRODUCTION

Chapter two presented a literature review on theoretical and conceptual background of IGR. Its link to theories, public participation and public value attests that IGR is a phenomenon that can be tested and applied. Most importantly, IGR includes models and other related concepts for application within public administration. Hence, a conceptual framework through literature includes governance, decentralisation, MLG and collaboration. The concept of service delivery was introduced through common concepts and a generic model. Lastly, a conceptualisation of the importance of potable water as a basic need was presented.

This chapter three focuses on the manner in which Brazil, India and South Africa implement IGR policies in relation to service delivery, with specific examples of potable water. The three countries are selected from the BRICS (Brazil, Russia, India, China and South Africa) countries. The chapter discusses each country, except China, Russia and India, to extrapolate IGR and service delivery matters. The chapter concludes by comparing the relevant emergent issues on IGR from the selected countries.

3.2 RATIONALE FOR COMPARATIVE IGR

Institutional frameworks assist with the identification of structural arrangements across various jurisdictions (Ostrom, 2011:9). Local government is also influenced by globalisation in that cities have to manage rapid urbanisation, declining revenue and social ills like corruption (Gangopadhyay, *et al.*, 2006:68). By comparing local government in different institutional arrangements can enrich learning on IGR between cities. Thus, local government institutions should learn from one another.

South Africa is a member of BRICS, a collaborative international body named after the constitutive countries, but formed originally by the Federative Republic of Brazil, Russian Federation, Republic of India, and People's Republic of China. (Van der Merwe, 2011, cited in Laidi, 2012:632). The investment bank Goldman Sachs coined the acronym, BRIC, in 2001 with reference to Brazil, Russia, India and China's position within the international business community (Cheru, 2011:48). South Africa joined in April 2011 (Kahn, 2011:493) and the acronym changed to BRICS. The aforementioned indicate that BRICS countries collaborate due to their common socio-economic interests. In particular, South Africa became part of BRICS to (i) strengthen political and economic relations, (ii) advance the regional and a general African agenda, (iii) pursue the influence of a global governance agenda and (iv) enhance inter-BRICS cooperation (Zuma, 2013:18-19).

3.3. INTERGOVERNMENTAL RELATIONS IN BRAZIL, INDIA AND SOUTH AFRICA

This section analyses Brazil, India and South Africa. In particular, the legislative background of the three countries and the extent to which it influences IGR in each of them. This section ends with a comparison of issues with regard to IGR and service delivery, especially potable water.

3.3.1 South Africa

Section 40 of the *1996 Constitution* established the three spheres of government, with a qualification that they were to be distinctive, interdependent and interrelated. Radin (2007:365) states that, before the democratic era commenced in 1994, the focus was predominantly on vertical relationships. Currently, the emphasis is on both dimensions. It does illustrate that contemporary IGR in South Africa does concern itself with dimensions of vertical and horizontal relationships, albeit with some degree of inequality. In line with this, Kahn *et al.* (2011:12) indicate that the national sphere has more power than the lower spheres. In contrast, Malan (2014: 56-57) asserts that the principles of co-operative government recognise the interdependence of the spheres in South Africa. According to

the author, this institutional arrangement focuses on partnership and the related values of cooperation, coordination and conflict avoidance. As such, any IGR would need to incorporate the values of cooperative government into its operations. Thus, it is notable that South Africa applies horizontal and vertical relations in terms of policy interaction between the national and sub-national departments.

The nature of the South African IGR is characterised by constitutionality and the three spheres of government at national, provincial and local levels. In South Africa, the *1996 Constitution* is the supreme law of the country and it establishes South Africa as a unitary state (Watts, 2001:22-23; Siddle *et al.*, 2012:69-70; Van der Waladt, 2007:17). Certain schools of thought elsewhere in this thesis, argue that South Africa has a hybrid system of unitary and federal features. The fact is that South Africa has demarcated boundaries and functions of the sub-national spheres as in federal systems (Kahn *et al.*, 2011: 38; Van der Waladt, 2007:17; Haysom, 2001:43), but is also a unitary state with a constitutional democracy (Reddy & Govender: 2013:79).

South Africa performs well regarding the target to improve access to potable water (Banerjee *et al.*, 2011:191; Kahn *et al.*, 2001:116; Smith & Morris, 2008:432). In 1994, South Africa only had a 60% success rate in terms of accessibility to potable water but by 2012, 95% of households had access to water infrastructure at a Reconstruction and Development Programme (RDP) standard or higher (Republic of South Africa, Development Indicators Report of 2012:35). Despite this recorded progress, there are still challenges such as the fact that only 58% of the population have access to safe drinking water in Southern Africa (Banerjee *et al.* 2011:2). Although this regional average is lower than South Africa's rate, it should be noted that the 95% access is an average indicator for the entire country. As such, a thorough investigation is needed of specific areas, such as the informal settlements with poor and vulnerable communities (Hernandez & Lopez, 2011:93), to determine the state of water access.

By the end of the MDGs in 2015, South Africa had achieved the goal of halving the number of people who do not have access to potable water, by increasing access to

90.8% from 61.8% in 1994 (Republic of South Africa, Statistics South Africa, 2015:xxix). South Africa's high level of potable water access can be attributed to government's policy choices, strategic direction and allocation of resources (Republic of South Africa, Statistics South Africa, 2015:103). Part of the policy choices could include ensuring a successful implementation of services like potable water in poor communities through IGR.

3.3.2 India

Maheshwari, 2003:42, 129 says that India commenced a process of drawing up a Constitution when the country attained freedom from British colonial rule in 1947 and the process was completed in 1950. The author confirms that the Indian Constitution is dedicated to facilitating a sovereign, democratic republic committed to justice, liberty, equality, and fraternity among people.

The country's Constitution exhibits a federal character with a distinct unitary bias (Commonwealth Secretariat, 2004:15). This paradoxical federal form of government, which also showcases a unitary character, provides an interesting contrast because South Africa is a unitary country with federal characteristics, as stated above. The drafting committee of the Constitution assured members that India is a federal state, as it fulfils the requirements of a federal system. For example, the Constitution partitions the legislative and executive authority between the centre and the units (Chauhan, 2010:37). Chakrabarty and Pandey (2008:37) reiterate that the drafting committee of the Constitution said that India is circumstantially unitary and federal because it may be the former on matters of war declaration but federal on other policy directives.

It is of importance that India emerged from the colonial British rule on 15 August 1947 to become a united, peaceful country (Maheshwari, 2003:42; Chakrabarty, *et al.* 2008:37) Notably, the country's British colonial background is another similarity with South Africa. India had to consider these issues of colonial fragmentation to arrive at the decision to ensure unity, multi-level governance and formation of seven union territories

(Commonwealth Secretariat, 2004:15). The Indian government is made up of 28 states (Heller, 2009:133) and seven union territories (Commonwealth Secretariat, 2004:8).

Although the Indian Constitution is the oldest, its IGR system is effectively as evolving as the one of South Africa. India enacted the 73rd and the 74th Amendment Acts in 1992 and enforced in 1993. According to Chauhan (2010:44), these amendments have given statutory recognition to a three-tier system of governance: Centre (Union government), State level (State Government) and Local level (Local government)". The amendments were concerned with raising the status of the elected bodies and setting up of district planning committees (Commonwealth Secretariat, 2004:158). The specific implication for the *73rd Constitutional Amendment Act, 1992* is to strengthen the popular local institutions, called Panchayat Raj Institutions (PRIs) (Mishra, 2003:183). PRIs focus on self-government of the people in rural India (Chakrabarty *et al.*, 2008:269). The 74th Amendment of the Constitution, on the other hand, is geared towards empowering the Urban Local Bodies, which are municipalities with more administrative and financial powers (Johnson, 2003, cited in Pahwa & Beland: 2013:3).

A further subdivision of local government into ULBs and PRIs could be an indication of an assurance that local government addresses needs contextually. Local government in India existed even during the colonial times; the 1992 constitutional amendment simply elevated it to a tier of government with functions and resources (Commonwealth Secretariat, 2004:158). By instituting the 74th Amendment, India committed itself to decentralisation (Sarker, 2014:105).

In terms of planning and implementation, a spirit of cooperation is enshrined in the Indian Constitution. It provides for all tiers of government to conduct respective functions in integrated manner and consideration of assigned functions.

The Indian Constitution provides for a division of functions and financial resources between the central and state governments and lays down the mechanism for the

devolution of federal resources to states. The Commonwealth Secretariat (2004:8) outlines the following constitutional provisions:

- Both regulatory and developmental administration falls in the sphere of the state. This includes areas such as police, law and order, agriculture, education, housing and basic services, industries, health, forests and fisheries.
- There is a concurrent list that contains areas such as economic and social planning and labour, where the central and state governments jointly frame and implement policies.

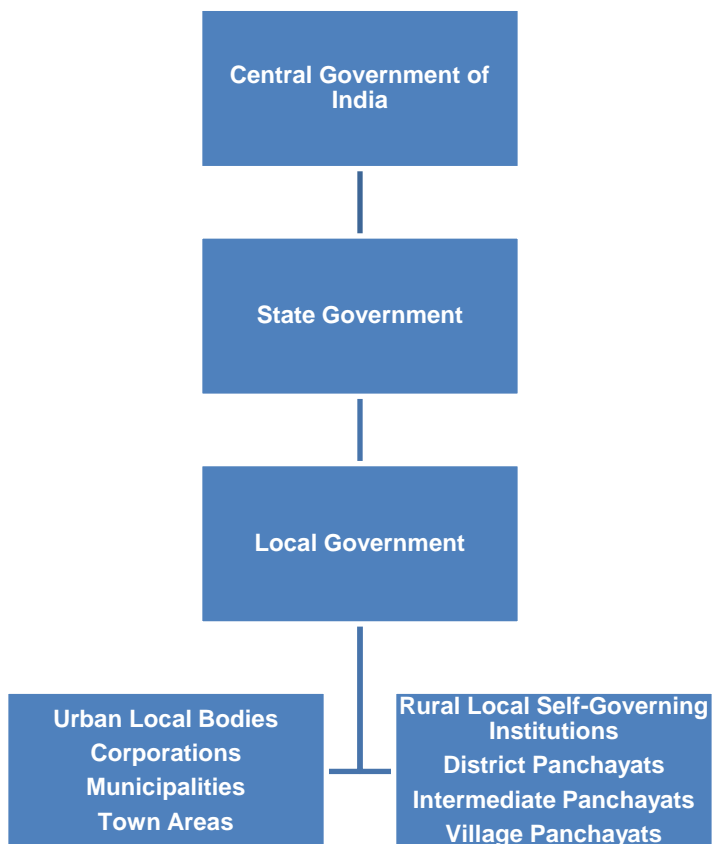
According to the Commonwealth Secretariat (2004:157), negotiation and co-operation is the central idea of co-operative federalism. India uses an “Inter-state Council where matters of mutual interest can be discussed and decided by central and state governments”. Structural arrangements such as this Inter-state Council are important to establish and maintain relations because they provide a formal and legal platform to thrash out governance and service delivery issues.

All public institutions are important for the citizens. However, some play a special role, as they provide character to the country and its form of governance like democracy. These institutions become embedded in the constitution, for they are supposed to espouse values of integrity, objectivity, independence and freedom from political tempers (Maheshwari, 2003:49). Institutions such as the Comptroller and Auditor General of India are important for IGR, as they contribute to cooperation (Chakrabarty *et al.*, 2008: 58). They are similar to South Africa’s institutions, as enshrined on chapter 9 of the *1996 Constitution*. Radin (2007:368) outlines institution instruments as including formal roles and relationships, patterns of authority and leadership. Thus, institutions assist with confirming a form of government, IGR system and co-operative government that a country could have adopted.

To locate a context of IGR within the framework of the government of India, a simulated structure of government is worth a brief examination. The origin of a sense of political

integration and administrative unification was adopted during British colonial rule since 1835, which culminated in the adoption of a Westminster-type government with the rule of law. Thus, Parliamentary democracy and the administrative systems are a British legacy (Maheshwari, 2003:25). Unlike in South Africa where the phrase ‘spheres of government’ is used (Levy, *et al.*, 2001:5); in India ‘tiers’ of government is used to refer to levels (Pal, 2003:1830; Commonwealth Secretariat, 2004:9). Figure 3.1, portrays the set-up of a government of India with reference to an implicit IGR system. It does portray a hierarchical arrangement within the IGR system.

Figure 3.1: The government of India



Source: Adapted from Commonwealth Secretariat, 2004 : 8-15

India boasts one considerable success on implementation of decentralisation through the state of Kerala. It is the state of Kerala which is acclaimed for its decentralised democratic

process (Sarker, 2014:105; Heller, 2009:144). The enabling constitutional reform of 1993, led to an enactment of a state law in Kerala called Panchayat Raj Act of 1994. Through this act a participative decentralisation approach was implemented and it is evidenced by functional local governments with clear roles and responsibilities (Sarker, 2014:110). Another enabling factor for decentralisation to be successful in Kerala of India is an engaged civil society (Sarker, 2014:115).

There are identified shortcomings in the Indian Constitution regarding the decentralised IGR system. Literature reveals that decentralisation has not occurred, as was envisaged by the Indian Constitution. Clearly, a political rhetoric on decentralisation is prevalent. However, the devolution process has not yet come full circle. This can be seen in on the uneven distribution of functional autonomy and organisational effectiveness among local bodies. Also, there was resistance in some states to transfer power to the local bodies (Commonwealth Secretariat, 2004:160).

Empowerment of local communities is required, but this is not always the case on the ground, such as discriminatory division in castes, class, political lines and produce tensions at local level (Pal, 2003:172). Although Indian Kerala state is successful in decentralising democracy, it has been affected negatively by poor involvement of women and people in the lower caste (Babu, 2014, cited in Sarker, 2014:116). India's quintessential problems, such as caste system and class divisions, could have an impact on service delivery. Any negative discrimination is against the spirit of democracy. When discriminatory practices affect democratic processes, it implies that the IGR governance system would be applied unfairly.

The hierarchical nature of the IGR system is implicitly fraught with subtle abuse of power and the situation can be worsened by social problems. However, the power to change and overcome societal problems lies with the government machinery. To effect that change there is a need for strong political support, however, Pal (2003:171) alludes to a lack of will to decentralise services to local government. On the contrary, there is an acknowledgement that constitutional amendments of the early 1990s led to devolution of

powers to both rural and urban parts of the local government tier. It is exemplified by enhanced roles of local government to manage and deliver drinking water (Federations Publication, 2009:22).

According to Mishra (2003:186), the problem of decentralised governance is related to poor co-ordination. Top administration's overpowering control of the lower echelons is evident when politicians interfere on the daily running of administration across all tiers of government, creating a burden for the administration agencies and concomitant delay in implementation (Pal 2003:171). Power has not yet been devolved adequately to lower local government in India with negative implications for social policy (Pahwa, *et al.*, 2013:3). Coordination is an instrument of IGR and particularly decentralisation. As such, it should be conducted efficiently and effectively to plan and carry out operations with embedded mechanisms to resolve blockages.

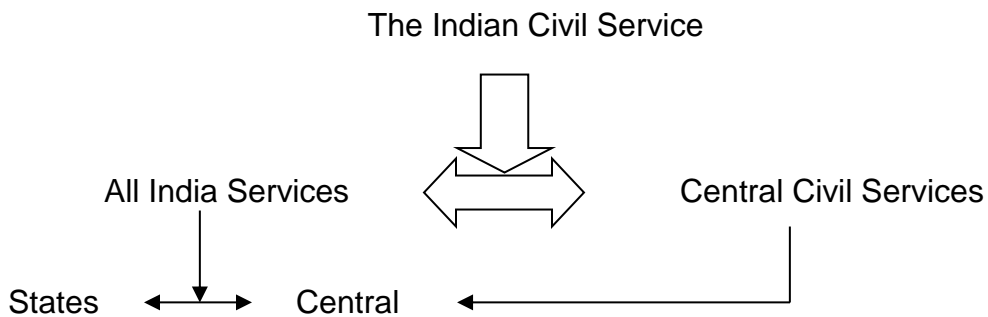
Poorly implemented decentralisation is also caused by a political set-up, which is characterised by uneven power relations and political patronage. The hierarchical structure of governance and IGR can lend itself to a political power play. This is the case in the Indian system, where there is less decentralised power to all levels, especially local government. Although states conducted local government elections regularly, as per the law, they have failed to devolve significant responsibilities including resources to local levels (Heller, 2013:54). The states or provinces in India still rely on central government, as a result, the powers of local government are equally diminished (Pahwa, *et al.*, 2013:3). Heller (2013:54) concludes that decentralisation was affected by corruption in India, as manifested by a gate-keeping behaviour by some actors at local government to retard the decentralisation process.

The Indian Administrative Service (IAS), which succeeded the Indian Civil Service (ICS) of the colonial era, fulfils this role (Chakrabarty *et al.*, 2008:259). To understand civil service, it is necessary to start at a political level, where government comprises of the minister, the secretary, the executive head. Notably, union government secretariat carries out proclaimed national policies and therefore power is transferred increasingly to the

central government (Maheshwari, 2003:55). Public administration is the policy implementation arm and anchor of government. India, like all countries, cannot operate without the civil servants.

The public service is generally divided into civil and defence services. The Indian Civil Service includes the All India Services (AIS) and the Central Civil Service. The AIS are under the control of both the central and the state governments whereas, the Central Civil Services are only under the federal government’s control at central level, as illustrated in figure 3.2 (Commonwealth Secretariat, 2004:9-13; Maheshwari 2003:109-114). The authors imply that the state and central governments of India have public services and the state governments utilise their services for themselves and local levels.

Figure 3.2: The administrative arrangements of India



Source: Adapted from: Commonwealth Secretariat (2004:9-13); Maheshwari 2003:109-114)

The public administrators of India are not innocent in a reported underperformance of decentralisation mechanisms. It is referred to as a ‘steel frame bureaucracy’ with a failure to inspire cooperation of citizens and lacking development attitude (Mishra, 2003:182). The current challenges that include poverty, illiteracy, unbalanced regional development and lack of basic necessities, such as electricity, roads and water; are attributed partly to the betrayal by the rigid bureaucracy with its regulation-minded approach, corruption and politicisation of services (Chakrabarty *et al.*, 2008:73). Clearly, when public administration performs poorly, chances of successful service delivery become minimal. In line with this,

Davidson (2012:277) states that poor public services are a function of a lethargic bureaucracy and corruption.

With reference to India, Heller (2013:54), says that a top-down approach by state officials have failed to promote sustainable development through IGR because they monopolised the policy-making and implementation space. As India operates with tiers of government, it is hierarchical with the central and state government sharing more power equitably at the expense of local government. Heller (2013:54) supports the above view of hierarchy by stating that only the provincial level experiences democracy and relative power to implement. Furthermore, the author states that any devolution of power by the *73rd and 74th Constitutional Amendments*, which gave new powers to local government and *gram sabhas* (village assemblies), have not made an impact. Notably, the amendments empower only the states to determine details of implementation. Consequentially, financially resources have also not been provided adequately to the local tier, especially the PRIs (Mishra, 2003:186).

Valsan (2011:75) expresses his disappointment that democratic decentralisation took fifty years to be introduced in developing countries like India. However, he notes that there is some improvement, since it helps lighten the government system's load. Thus, the constitutional amendments that have been made since 1993 are not insignificant, as it helps to commit to a trajectory of continuous improvements. The problem is that the public needs services to be delivered timely. Therefore, public administration cannot afford to experiment with implementation models for decades, as it has been the case with India.

When corruption and lethargy are problems in the public service, one should question normative managerial issues, such as ethical considerations through codes of conduct. Maheshwara (2003:125) refers to the code of conduct for Indian civil servants with an intention to engender professionalisation of public service by prohibiting active participation in politics, corrupt activities, outlawing part-time employment and declaration of personal assets.

Fox (2004:78) warns that even well-designed ethics programmes do not guarantee desired outcomes. The disturbing fact is that, although India has an elaborate drawn code of ethics for its public officials, unethical conduct is often accepted and even rewarded (Maheshwari, 2003:128). The practical implementation of codes of conduct is the only guarantee for improving professional behaviour thereby, reducing corruption and poor performance. Importantly, implementation of ethical policy framework is as necessary as its adoption.

Problems of corruption, bureaucratic slow implementation and resistance to decentralise services in India (Mishra, 2003:182 and Heller, 2013:54) can be overcome by a willingness to implement and appropriate usage of IGR. *The 73^d and 74th Constitutional Amendments* have improved consciousness and the ability to implement decentralisation through effective coordination of services. To facilitate the proper implementation of the constitutional amendments' objectives, there should be a focus on decentralisation and coordination. More importantly, professional strategies should be implemented to counter the intentions to manipulate the system politically. In line with the aforementioned, Heller (2013:54) states that powerbrokers in local settings influence the provincial leaders negatively against decentralisation.

Another challenge in water management is the bureaucracy. Chakrabarty *et al.* (2008:73) confirm that that water delivery is a challenge due to a poor public administration. According to the *Federations Publication* (2009:11), "15 of the 28 states have had internal water disputes over water projects despite an emphasis by the India's National Water Policy on integrated basin-based planning". It was also disconcerting that although the Indian federation managed to solve some disputes over water, certain states have ignored the arbitration rulings and even the courts' decisions (Federations publication, 2009:11:24). This situation, along with a stand-off between states and national tiers of government, is an indication of poor dispute resolution on IGR matters.

Privatisation of services has also introduced a challenge of perceptions on expensiveness of services. According to Arora (2011:82-86), India introduced wide-ranging changes that

accommodated the private sector and the market in general, which led to user-charges and cost recovery mechanisms. The inequality in developing countries such as India contributes to an inability to pay for services. Although this challenge of paying for public services is not unique to India, all levels of government should be conscious about the social effects of introducing user charges to ensure understanding and acceptance by the public.

A target of achieving access to drinking water in India was achieved in rural areas and by 2013 urban access to water was 87.12% (Government of India, Social Statistics Division, 2015:21). Interestingly, the institutional arrangements are credited to better planning and the implementation of policies and programmes by national and sub-national levels of government (Government of India, Social Statistics Division, 2015:11). Water is the responsibility of states or provinces in India, while the national sphere provides technical and financial support (Government of India, Social Statistics Division, 2015:34). In addition, national government is responsible for policy on poverty (Government of India, Social Statistics Division, 2015:17). Despite the poor state of power for sub-national tiers, there is a need to ensure that states and cities are strengthened and empowered (Government of India, Social Statistics Division, 2015:143-144).

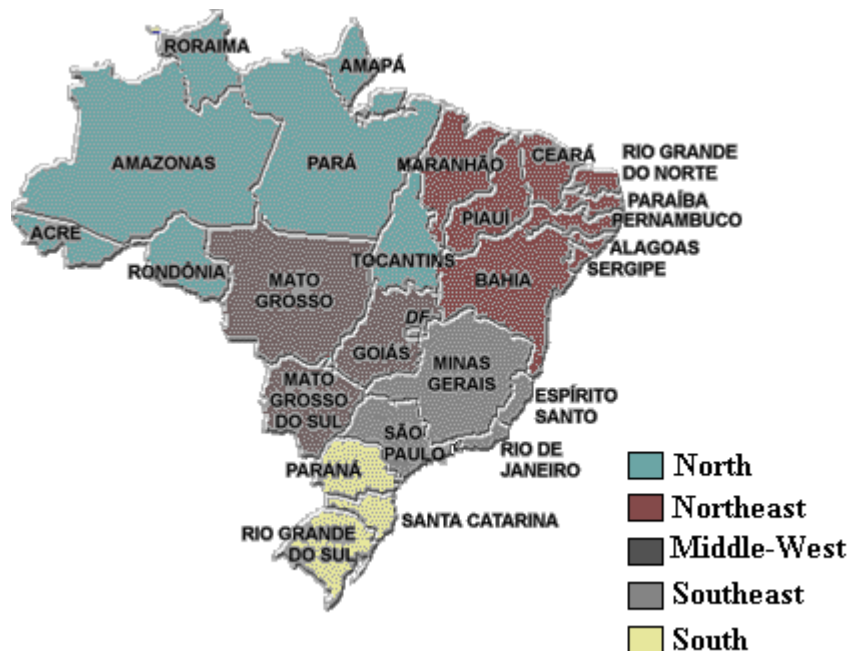
3.3.3 Brazil

In the Federative Republic of Brazil, the different spheres are called central, state and municipal governments and the country is considered the most decentralised federative country among the federal countries (Afonso, 2004:133). Federalism did not begin with a democratic system, as adopted in 1985 after military regimes, rather, the country has undertaken various federal arrangements, even under the dictatorial regimes (Power & Taylor, 2011:1). It could be concluded that the Brazilian federalism was not adopted in response to ethnic, religious nor linguistic divisions (Formiga-Johnsson & Kemper, 2008:4). Souza (2005a:1 and 2005b:1) confirms that federalism was introduced to Brazil in 1889 and formally legitimised in the *1891 Constitution*.

The period of 1964 to 1985 was characterised by military regimes in Brazil. These regimes ruled the country by rigid centralisation, political suppression and an emphasis on economic growth with the exclusion of social development (Collins, Araujo & Barbosa, 2000:115). This grim period of bad politics and poor public administration was followed by a quest for democracy and activities geared towards its realisation. Following a re-democratisation process that began in 1985, the *1988 Constitution* was adopted in Brazil (Souza 2005a:4). It became the main symbol of democratic and civilian rule, while signalling the end of unelected military regimes.

Prior to the democratisation of Brazil, a federation was created with 20 provinces established by a unitary state. Currently it comprises of 26 states, plus a federal district called Brasília and 5 565 municipalities within five regions (Gomes & Falcão-Martins, 2012:73). Figure 3.3 depicts the structure of Brazil, including its regions and states. Geographically, the country is situated in South America in the southern hemisphere.

Figure 3.3: Federal States of Brazil



Source: Federative Republic of Brazil, 2016 :Online

As the *1988 Constitution* ensured that Brazil continued to be a federal government, it guaranteed democracy and the powers of all levels of government. Although the sub-national levels of government have relative autonomy, the Brazilian central government continues to exercise more power in policy formulation (Wilson, 2006:1). The *1988 Constitution*, supported by the federal government, guarantees the independence of municipalities (Wilson, 2006:1-3; Steytler, 2005:2). However, they are not yet fully autonomous from the states (Wilson, 2006:1-13). This signifies that the IGR system is as evolving as the South African one in terms of building relations and devolution of functions to the sub-national levels, especially to municipalities. In Brazil, local government struggles to assert its autonomy and capability. This is similar to the state of Indian local government, which was only allocated constitutional powers in the early 1990s.

In the late 1980s, embarking on decentralising initiatives became a contemporary approach. This was especially the case in developing countries, as it was seen as a means to combat corruption by reducing the power of central governments (Collins *et al.* 2000:205). The above trajectory of choice on decentralisation could be perceived as primarily a voluntary internal choice to move away from the negativity of centralisation and its undemocratic governance. Furthermore, Malan (2000:64) says that in Brazil, IGR is based on inequality among the states and regions in terms of resources.

Like South Africa and India, globalisation had a negative effect on Brazil, since they were persuaded into neo-liberal approaches by the World Bank which included decentralisation (Harris, 2005:306; Brannstrom, 2004:205; Siddle *et al.*, 2012:19; Osborne, 2010:6; Pal, 2003:169-170). A neoliberal approach concerns the results of commodification of water through commercialisation and privatisation, thus contradicting a notion of water as a fundamental right (McDonald, *et al.*, 2005:20-21; Morgan, 2011:3).

Historically, decentralisation processes have been undertaken during different periods of government in Brazil. Table 3.1 below indicates the history of centralisation and decentralisation approaches in Brazil, but more importantly, to illustrate that decentralisation predates the democratic era.

Table 3.1: History of centralisation and decentralisation in Brazil

The Moving Pendulum – Centralization and Decentralization Cycles in the Brazilian Federation	
1891 – 1930	In the first four republican decades, the Brazilian federation was highly decentralised. A weak federal government was accompanied by strong independent states, with power to regulate and tax domestic and foreign trade.
1930 – 1945	Getúlio Vargas' dictatorship led to an increasing concentration of powers in federal hands to construct a more integrated domestic market and set the basis for industrialisation.
1946 – 1964	Democratisation following the end of World War II and moved the pendulum back towards decentralisation. Sub national autonomy was seen as necessary to support great responsibilities and a stable democracy. However, concentration of manufacturing production in the southeast aggravated regional disparities and increased political rivalries. Fiscal incentives for investments in the Northeast were granted aiming at reversing the trend towards regional concentration.
1964 – 1968	The advent of the military regimen after the 1964 coup shifted the pendulum back to centralisation. To that end, the Tax Reform of the mid-1960s played a key role. Tax powers of the federal government were reinforced, allowing for an increase in the overall tax burden to finance infrastructure modernisation and accelerate the pace of development. As in the previous centralisation round, states were not deprived of their autonomy to tax. Indeed, they were assigned the power to apply a broad basis value added tax in substitution for the existing turnover tax. At the same time, a revenue sharing mechanism was instituted to enhance revenues of those that had a narrow tax basis.

1968 – 1980	Democratisation led to a new move towards decentralisation. Federal autonomy benefited from a decision to give the states the sole privilege of taxing oil, telecommunication and electric energy, thus enlarging their tax basis. Furthermore, a significant increase in federal revenues shared with states and local governments benefited less developed states and small municipalities. Power of local governments was ratified as municipalities acquired the status of members of the federation.
1980 – 2002	Opposite forces provoked an unclear outcome. Macro-economic demands for fiscal adjustment and policy coordination led an increase in federal government's share in total tax collections and great control over sub-national debts. Conversely, calls for efficiency and accountability in public policies fuelled the decentralisation drive in public spending. Pressures from globalisation and regional integration make it difficult to find a way to reconcile these two opposite forces.

Source: Serra & Afonso, Afonso; Varsano; Oliveira; Rodriguez; Silva & Costa, Camargo in Rezende and Afonso (2002:10).

In its attempt to improve transparency and to modernise management; the Brazilian government has formulated dynamic social policies and sharing mechanisms with the sub-national governments, particularly in education, health and social assistance (Afonso, 2004:133). Brannstrom (2004:205) concurs that Brazil transferred authority to the sub-national levels of government. Subsequently, the provision of water services was decentralised by using single-issue groups who advocated for water rights and access. This approach of using community-based stakeholders was hailed as a strong municipal consortia (Brannstrom, 2004:206).

For IGR to function effectively, institutional arrangements should operate appropriately. Notably, IGR structures, including community structures, can ensure successes. The Council of Cities was established in 2004 as a consultative structure of the Brazilian Ministry of Cities (Fortes & Cobbett, 2010:20).

As part of following the trends by multi-national companies like the World Bank, Brazil adopted policies and strategies such as Integrated Water Resource Management (IWRM). This management initiative advocated for an integrated water usage and management together with land and other resources to achieve equitable socio-economic goals (Loris, 2008:4-5). The adoption of the national Water Act in 1997, confirmed that Brazil entered a new water services management era that focuses on inclusivity. This new approach was preceded by the adoption of like-minded water legislations in the state of São Paulo in the early 1990s, followed by Ceará state in 1992 and later several other states (Formiga-Johnnson, *et al.*, 2008: 2).

A total of 20% of the world's freshwater flows through the Amazon River basin alone, making Brazil a water-rich country (Davidson, 2012:15). The availability of freshwater in Brazil should make it possible to deliver potable water to the citizens. Hence, the challenges are based on policy and managerial management of water provision. The availability of freshwater resources and regulatory environment seems adequate to allow actors at all levels of government to implement policies to deliver water services, especially drinking water.

Brazil experiences challenges in the decentralised model of water provision, as is the case in most countries – especially the developing ones. Decentralisation of services from the central to the lower levels of government is good for citizen participation and providing better services. However, in practice, decentralised programmes are used for political patronage and material resources to local officials, groups and communities as a *quid pro quo* for their support of the government (Harris, 2005:307). This patronage and bribery for public services attest to prevalence of corruption, which is especially prevalent within local government (Davidson, 2012:277). According to Power *et al.*, (2011:1), corruption is endemic to all levels of government. Another challenge is the heavy-handed, lethargic bureaucracy (Davidson, 2012:280, 308), which implies that public administration does not serve the citizens appropriately.

In general, Robinson (2007:1) states that policy initiatives on decentralisation are often based on strengthening local government. However, as the author states, it fails to consider the conditions that are conducive to improving service delivery. Corrupt activities within local government may exist if they are fully appraised and planned. Brazil withheld decentralisation of water services to Ceará state due to high incidents of poverty, regional disparities and limited capacities of the users to pay for water. The situation was worsened by the fact that local communities had exclusive ownership of a certain river basins (Formiga-Johnsson *et al.* 2008:17).

Water tariff schemes were implemented as part of management reforms. However, water tariffs are not collected successfully, as they are regarded as being unaffordable (Shaffer, Brenner & Yamin, 2005:68 & Brannstrom, 2004:207). The fact that communities view water as unaffordable, is in contrast to the MDGs whereby public administrations should be facilitating accessibility and affordability of basic services. According to Korzeniewicz and Smith (1996:2), market mechanisms such as privatisation displaced the government role in regulating coordination, production and distribution of resources, which has led to a deteriorating social equity. Shaffer *et al.* (2005:68) concur, by stating that although privatisation promises savings and efficiency, those promises are illusionary as long as they lead to high bills. Despite the abovementioned decentralisation challenges, the United Nations Development Programme (UNDP) Report of 2010 confirms that in Latin American countries, including Brazil, 94% of people have access to potable water.

The Brazilian IGR system is considered successful in the case of fiscal decentralisation. A participatory budget process has been implemented successfully in Porto Alegre and other municipalities. This success is attributed to a political commitment at municipal level (Baiocchi, 2001, in Robinson, 2007:1; Heller, 2013:55). In addition, Heller (2013:55) attributes the success of participatory budgeting in Brazil to the involvement of civil society. Furthermore, the author states that the evolution of institutional infrastructure has ensured that the scope and reach of participation has moved beyond budgetary inputs to budgetary outputs.

In India and South Africa, the decentralisation and IGR systems was instituted partly in response to a need to unite the countries. However, this is not the case in Brazil. According to Souza (2005b:1), federalism was not created in response to social divisions along ethnic or racial lines, among others. Rather, it was driven by a need to protect the intention to address the unequal development of the country (Malan, 2000:76) and local self-government (Steytler, 2005:2).

In addition to fiscal decentralisation, another success for Brazil is multiple-stakeholder involvement in the water management. The French influenced the Brazilian water-shed based management model, which provides space for participation of various stakeholders including private actors and local communities (Warner, 2005:14; Formiga-Johnson & Kemper, 2008:15). However, Warner (2005:14) cautions that, although the Brazilian water law provides for a broad scope for participation, communities and lower levels of government are less involved.

According to Christian, Alicea, and West (2014:74) Brazil has achieved the MDG for potable water. By 2010, Brazil had achieved 98% of access to water, but the slum areas, called *favelas*, still have problems with access (Konrad Adenauer Stiftung, 2012: Online). *Favelas* have evolved as slum-like informal settlements of shacks to urban dwellings with houses of concrete, bricks and reinforced foundations (Cummings, 2015:81).

3.3.4. Intergovernmental relations and service delivery: comparative approaches.

There are also huge disparities in human and economic development in the regional configuration of the these countries, as illustrated by developed states in the south east of Brazil, south and northern regions of India and Gauteng and Western Cape Provinces of South Africa (Cassiolato, Helana & Lastres, 2009:9-10). The shared human conditions could influence institutional arrangements.

Other differences are on the forms of governments. South Africa is a unitary state (Reddy, *et al.*, 2013:79). On the other hand, Brazil and India are federal states, which imply some

unique aspects of the conceptualisation and practice of IGR (Ross-Tonen, 2010:149; Power & Taylor, 2011:1; Chauhan, 2010:37; Maheshwari, 2003:43). Thirdly, the three countries became democracies at different times. India was the first to become a democracy in 1947 (Hooja, 2011:227; Maheshwari, 2003:42), Brazil followed in 1985 (Souza, 2005a:1) and South Africa in 1994 (Van der Waldt, 2007:14; Phutiagae, 2007:132).

South Africa, India and Brazil have similar IGR systems and mechanisms, such as institutional arrangements, as mentioned above. Although IGR is a global phenomenon, Peters and Pierre (2001:131) acknowledge some country-specific characteristics of IGR. Nonetheless, the authors stress that there are similar triggers throughout the world. In line with this, the intensified international trend to decentralise (Padayachee, 2006:8) has influenced the three developing countries discussed in this chapter.

The following IGR features are identified as a summary of universal comparative features that South Africa, Brazil and India exhibit:

- A legislative and policy framework.
- Cooperation, trust and democratic accountability (Watts, 2001:39).
- Institutional arrangements are premised on multi-level governments (Watts, 2001:28-29) and governance, irrespective of whether they are in a predominantly unitary or federal state.
- An approach of decentralisation is to provide powers and functions to sub-national levels as a mechanism to safeguard interests of the public (Valsan, 2011:75); to strengthen local government (Robinson, 2007:1); and to play a developmental role in service delivery (Pieterse, *et al.* 2008:2; Atkinson in Siddle, *et al.*, 2012:5). Decentralisation is also considered a strategy to improve governance (Siddle, *et al.*, 2012:34). However, challenges such as poor support from central and provincial to local levels should be overcome.

Considering the above-mentioned features, South Africa, India and Brazil do exhibit more similarities on IGR. Literature in the above section of this chapter, indicates that constitutionally, all three countries espouse the intentions and purposes of IGR. All three countries have reasonably reached the MDG related to access to drinking water. Notably, IGR is not an end in itself, but it is meant to facilitate service delivery initiatives. In line with this, national levels of government should allocate functions to sub-national levels.

While Brazil's multi-level government is older than its counterparts in South Africa and India are, it is clear that it lacked a democratic dispensation prior to 1988. Hereafter, it began showing signs of being more effective and efficient. India became a democracy in 1948. However, the devolution of constitutional powers to local government in the early 1990s contributed to slow pace of decentralising functions and powers. In the case of South Africa, democratic multi-level government with recognisable constitutional powers to provincial and local government is on track and is almost on par with Brazil and India. All three countries have been less successful with decentralisation because national spheres tend to hold on to centralised top-down approaches (Heller, 2001:135). In India, local government is weak and not existent in other states (Heller, 2009:138).

Heller (2001:131-132) states that globalisation has weakened South Africa, Brazil and India's intentions to implement regulatory redistribution instruments with negative consequences on transformation. Moreover, the three countries struggle with engaging civil society. South Africa has little engagement with organised civil society but the poor, especially the urban poor have been marginalised (Heller, 2009:135). Except in the Kerala state, in India, the civic movements have been sidelined (Heller, 2009:135). Dagnino (1998) in Heller (2009:131) confirms that conditions of inequality in Brazil do affect social participation on governance. A civil society refers to organised social structures of citizens to advance a certain agenda outside the political formations (Scholte, 2010:383).

Each of the countries has its share of challenges relating to IGR and its management. The Indian Federal Structure has concentrated power at federal level at the expense of

lower levels especially local governments (Pahwa, *et al.*,2013:1). Brazil is also experiencing politicisation with regard to appointing officials at federal level. This may lower the morale at other levels and even affect professional service for inter-agency coordination (De Bonis, 2015:6). In India, the local government including the rural *Panchayats* do not have adequate resources (Heller, 2009:133). South Africa has adopted neo-liberal policies that have compromised equity-based policies (Heller, 2001:132-134). Subsequently, South Africa has experiences community protests called service delivery protests since around 2005 (Jakoet-Salie, *et al.*, 2016:119; Akinboade, Mokoena & Kinck, 2013:467) whereas Brazil has experienced protests since 2013 (Staroscky, Lyrio, Lunkes & Cole, 2015:24).

In summary, challenges include poor relations between levels of government, reluctance to devolve functions and resources to subnational levels, the need for local sphere to play a developmental role, poor clarity of roles as well as inadequate funding of functions and increasing corruption. The privatisation of water services and associated costs are examples of market-dominated neo-liberal policies that all countries adopted and implemented. As developing countries, Brazil, India and South Africa have experienced similar challenges relating to IGR that might hamper service delivery.

As stated above, the three countries have achieved accepted level of water delivery, as per the MDGs related to basic services. However, there are still challenges relating to IGR, such as poor governance, incompetent public administration, less than ideal institutional relations and poor support for decentralisation. This implies that that it is of utmost importance to facilitate sustainable provision of potable water in these countries, as required by the current MDGs.

South Africa, India and Brazil have implemented IGR contextually, thus emphasising each country's specific context. Country-specific decentralisation and improved IGR have to be implemented in order to manage challenges exacerbated by poverty and poor governance. Other common challenges are a public sector that is characterised by corruption, political patronage and poorly devolved powers to sub-national levels of

government. When the public administration is not responsive to the public's needs, it could inevitably result in negative service delivery.

According to Moeti *et al.* (2008:222) developing countries experience challenges to public water provision in two ways:

- Balancing the costs of providing water and an affordable tariff for consumers, this is based on a cost-recovery concept. In the context of water provision, refers to consumers having to cover the costs of receiving water.
- Broadening access to safe drinking water while contending with realities posed by the poor urban and rural areas.

All three countries discussed in this chapter have had to institute cost recovery mechanisms to meet demand for increased access potable water. As developing countries, poverty and corrupt public administration hamper ability to achieve top-quality service delivery. To this end, IGR institutions tend to grapple with providing services within a culture of non-payment through boycotts or an inability to pay. In summary, table 3.2 reflects a comparison of South African, Brazilian and Indian IGR features.

Table 3.2: IGR features of South Africa, Brazil and India

IGR feature	South Africa	India	Brazil
Form of government	Unitary state	Federal state	Federal state
System of government	Democratic since 1994	Democratic since 1948	Democratic since 1988
Spheres or tiers	National, provincial and local governments.	Central government, states ULBs and PRIs	federal, states, one federal district and municipalities
Examples of IGR structures	Presidential Coordinating Council	District Planning Committees	National Council of Cities
Strengths of IGR structures	Constitutional powers to all three spheres All levels of government are involved in delivering basic services like water	Constitutional powers and relevant laws Achieving water services by using all levels of government	Constitutional powers and relevant laws Successful fiscal decentralisation Decentralised water services: involving water basin communities
Weakness of IGR	Assigned developmental roles without capacity and resources at local government Corruption.	Failure to devolve significant responsibilities and resources to local levels Corruption and political patronage Overregulated public services	Poor coordination in some instances Less autonomous municipalities relying on states patronage and corruption

Source: Adapted from: Heller (2013:54); Rezende *et. Al.* (2002:10); and Siddle *et al.* (2012:69-70) & Watt, 2001:22-23).

The above table summarise IGR features and the contextual implementation in the three countries and complements the research question in this study about the global existence of IGR. Essentially, IGR is an integral part of any form of government, whether unitary or federal, because decentralisation is applicable in all forms of government.

3.4 CONCLUSION

The cases of Brazil, India and South Africa illustrated that IGR is context based. First, the origins are different and similar yet the goal to decentralise was the same. India and South Africa used IGR to unify the countries after experiencing discriminatory practices like class, ethnic and racial differences. Even for both India and South Africa, the experiences were unique to each country. Brazil's intention was to eradicate unequal development of regions hence the need to devolve power to local areas.

All three countries have central, regional and local levels of government but India and Brazil define themselves as federal states. South Africa puts itself in the context of a unitary state. They all struggle with empowerment of sub-national governments, especially local government. However, there were some successes. In India, the area of Kerala has been exemplary with regard to a successful decentralisation. In Brazil, the state of Ceará is a good example of a fiscal decentralisation. Literature implies that South Africa has assigned powers relatively well to subnational levels but failed to allocate adequate financial and human resources.

All three countries experience corruption which is an impediment to a successful decentralisation and IGR in general. In this regard, water delivery to communities in India, Brazil and South Africa can be affected by corruption and poor devolution of powers and support to subnational levels of government. The IGR institutional arrangements could contribute to an eradication of social ills such as corruption as they encourage adherence to norms and values of proper service delivery.

CHAPTER FOUR

INTERGOVERNMENTAL RELATIONS: INSTITUTIONAL ARRANGEMENTS IN SOUTH AFRICA AND GAUTENG PROVINCE

4.1 INTRODUCTION

Chapter three discussed intergovernmental relations from a comparative perspective. An IGR framework of Brazil, India and South Africa were analysed in the context of IGR, service delivery, particularly potable water. The three countries were selected for an analysis on the basis of their membership of BRICS multinational cooperative structure and practices of both forms of government, namely federal and unitary states. Furthermore, their membership of BRICS implies that they share certain common socio-economic challenges and opportunities, as well as institutional arrangements.

A literature study on the three countries revealed similarities on the IGR approaches but differences based on the form of governments, as Brazil and India are federal states while South Africa is a unitary state. Notably, all three countries apply alternative service delivery models, such as PPPs, which accommodate IGR governance and decentralisation approaches. In fact, intergovernmental relations is a global phenomenon which is also pertinent for a new paradigm of public value. Furthermore, it helps to prove that it would not be successful under a market-oriented NPM and old Weberian administrative paradigm because they do not permit flexible decentralisation and accommodation of all actors in the form of politicians and administrators.

Chapter four deals with the IGR institutional arrangements in South Africa at national, provincial and local levels. The institutions are relevant for IGR and the delivery of potable water. A narrative about a democratically elected government in South Africa, that was elected into power more than 22 years ago, coincides with the successful establishment of public institutions in 1994 (Thornhill 2008:509; Pycroft, 2000:145). These dimensions of institutional arrangements and their normative framework are analysed with regard to

the implications they have on service delivery in South Africa's poor communities. To understand institutional mechanisms holistically, this chapter will commence with a historical background and conclude with current transformational initiatives of this dynamic intergovernmental policy implementation in the context of potable water.

4.2 BRIEF HISTORICAL OVERVIEW: IGR IN SOUTH AFRICA

4.2.1 Origin and evolution of IGR in South Africa

The origin of IGR could be traced back to the establishment of the Union of South Africa in 1910 in accordance with *South African Constitution Act of 1909* with central, provincial and local governments (Tapscott, 2000:120). The powers were enshrined in the constitution, known as the South Africa Act of 1909 (Venter, 2011b:3; Cameron, 2004:268). Due to this unification, South Africa became one sovereign state (Cameron, 2000:159; Tapscott, 2000:120; Levy *et al.*, 2001:3; Craythorne, 2006:1-2; Murray: 2006: 263).

Interestingly, the formation of municipalities dates back to colonial times therefore predating the period of establishment of the Union of South Africa (Cloete & Thornhill, 2005:12-14). The Union of South Africa ushered in a distinctive local government system when the Orange Free State, Transvaal, Natal and Cape Colony formed the Union of South Africa in 31 May 1910 (Cloete & Thornhill, 2005:12-14). These provinces and municipalities with central government confirmed a form of multi-level government, thus implying intergovernmental interactions albeit in the context of governing philosophy of the time.

In the beginning, section 35 of the 1909 Act maintained the right to vote for a restricted number of Black people in the Cape of Good Hope and Natal provinces, as this was the case during the direct British rule (Tapscott, 2000:120; Levy *et al.*, 2001:3; Cloete,1992; Wiechers,1985 in Robson, 2006:136). These rights to Black people in Natal and the Cape

were gradually reduced from the 1930s and completely eradicated in 1959 (Cloete, 1992 in Robson: 2006:136).

Ironically, the new government in 1910 was ostensibly based on unification but it excluded Black people by promulgating the number of discriminatory pieces of legislation. The Native Land Act of 1936 was a precursor to the policy of apartheid in 1948 (Venter, 2011b:6). In addition to land ownership, another effective way of exclusion was through a process of disenfranchisement of Black people. In the Cape Province and to a certain extent, Natal Province, the right to vote was for adult males aged over 21 and who owned property valued at 75 pounds or had an annual income of 50 pounds. This excluded most Black people, as they did not own property and or command the required income. However, in other provinces, the criterion was race (Venter, 2011b:4). In general, Du Toit (2007:17) concludes that the governance system in South Africa before 1994 was based on a restricted integration and coordination.

4.2.2 National government

The supremacy of parliament in 1910 (Craythorne, 2006:2) implies that the governance system was centralised in South Africa. This rendered the national tier of government more powerful than the provinces and municipalities. Parliament remained supreme, despite government changes since 1910. Developments, which included a referendum, saw South Africa leaving the British Empire (implying an indirect British rule) and becoming a Republic on 31 May 1961 (Venter, 2011b:5). Subsequently, South Africa passed the *Republic of South Africa Constitution Act 110 of 1983* to create tri-cameral parliament of the White, Coloured and Indian populations; this occurred in the context of the supremacy of parliament (Craythorne, 2006:1-6; Thornhill, 2005:587). The 1996 Constitution changed the supremacy of parliament by duly replacing it with the supremacy of the constitution (Craythorne, 2006:6).

The levels of governments in a multi-sphere framework in the early twentieth century were called tiers but not spheres, since the former implies hierarchy (Levy *et al.*, 2001:5;

Steytler, 2005:184). South Africa was a three-tiered government with four provinces and municipalities, which also implied that it was a unitary state (Venter, 2011b:4). By implication and practice, the national tier of government and public service would have taken its cue from the supremacy of parliament from 1910. Thus, it operated as a more powerful level than the provincial and local tiers.

With regard to this study, the structures and roles of the National Department of Water and Sanitation, and the National Department of Cooperative Government are analysed as part of the national sphere of government. The national departments are generally ascribed schedule 4 roles but it should be performed concurrently with provinces. In the relevant sections, the expected roles of the departments concerned will be discussed in the context of IGR and service delivery.

4.2.3 Provinces

An establishment of a provincial tier in 1909 was a departure from two-tiered Westminster system of a provincial state and municipalities to a three-tiered system of central government, four provinces and municipalities (Tapscott, 2000:120). In this period, each province included a provincial council as legislature and an executive committee elected from within the councils as government (Venter, 2011b:4; Tapscott, 2000:120). The provinces had the power to promulgate ordinances but on condition that they are aligned with central government's policies. Hence, they were signed into law by a Union-appointed administrator (Venter, 2011b:4; Tapscott, 2000:120). Vosloo, Kotze & Jeppe (1974), in Tapscott (2000:120-121) concur on the matter of political appointments. The authors add that the administrators were partisan, while central government were appointed for a period of five years at a level of deputy minister. By appointing the administrator at a national level during apartheid South Africa, it is an indication of a subordinate provincial power, while administrators' involvement is a blatant presence of party politics in government.

In the process of governing the Union of South Africa, the gradual reduction of the few rights of the Black people in the Cape and Natal was continuing. In 1936, the Black voters in the Cape Province were placed on a separate voters' roll on condition that they elect three Whites to represent them in the House of Assembly and two to represent them in the Provincial Council (Robson, 2006:136). Events on progressive institutionalised discrimination indicated that government proceeded in the same trajectory with a lack of inclusivity, top-down governance approach and systematic disenfranchisement of other citizens. A few reforms were implemented, such as the abolishment of four provincial councils by the Provincial Government Act 69 of 1986. However, these changes did not amend the landscape of centralised relationship because the executive committee with the administrator remained (Robson, 2006:131).

South Africa entered a period of political transformation that affected provincial structures from 1990. Cloete (2006:96-97) characterises the rule of President PW Botha in the 1980s as a stalemate between his government and opposition structures. This led to a change of dramatic nature when National Party under FW De Klerk embarked on a negotiated settlement with liberation movements in the early 1990s.

These political negotiations produced the interim constitution. Section 124(1) of the interim constitution established nine provinces in South Africa. The number of provinces was maintained and is still endorsed by the current *1996 Constitution*. However, a design that includes provinces was a contestable notion during the multi-party negotiations. The ANC preferred a unified system without strong provincial powers. This design was perceived by the ANC as a solution for a deeply fragmented society. On the other hand, the federalists were suspected of protecting White privileges and tribal groups because chief proponents in National Party and Inkatha Freedom Party were suspicious of majority rule of the ANC (Murray, 2006:26; Simeon & Murray, 2001:68-69).

At that stage, the powerlessness of the provincial councils was over since the provinces in a democratic dispensation were given powers and legitimacy, as promulgated on section 103(1) of the *1996 Constitution*. At a political level, the National Council of

Provinces (NCOP) was established by section 42(1) of the *1996 Constitution*. This is the second house of parliament for provincial interests. It is made of ten representatives from the all nine provinces, six of whom are permanent but four are special delegates. These four delegates include the premiers of the provinces, as per section 60(2). However, Besdziek *et al.* (2011:128) observe that NCOP has not been working accordingly and it lacks credibility. If NCOP is not effective, then IGR may be somewhat negatively affected.

In the spirit of the *1996 Constitution*, the provinces are distinct but should be interrelated with other spheres. Provinces cannot make laws that contradict the other spheres since the country is one and sovereign, as stated by section 1 of the *1996 Constitution*. Constitutionally, as per section 139, provinces have authority to take over municipalities within their jurisdiction that do not perform. On the other hand, provinces can be taken over by the national government for similar reasons, as per section 100 of the *1996 Constitution*.

The Gauteng Province and its service delivery performance are singled out as part of the study. The pertinent structures and their roles provide a platform for analysing cooperative government and IGR imperatives. Constitutionally, the provinces are expected to carry out functions that are stipulated under schedule 4, together with the national sphere, and to perform functions of schedule 5(B) with the local government. In particular, provinces have exclusive role-playing on functions, as stipulated under schedule 5(A).

4.2.4 Local government

According to Cloete *et al.*, (2005:1-3) a form of municipal structure was first started during the times of nomadic people. The author stated that when they outgrew their nomadic patterns, they started requiring services from their locally grown authorities. The local government structures existed since 1910, but before 1994, they were in the form of town councils, town boards, divisional councils, village management boards and health committees. Central government, through Parliament and provinces, legislate on local government matters, rendering it a centralised system rather than decentralised one

(Craythorne, 2006:2; Cameron, 2004:207). Without legislative powers, local government could not be perceived as interdependent and distinct tier of government.

Cloete (1992), in Robson (2006:133), states that the established local government authorities before the Union of South Africa were based on a Cape model. These were ushered in by the Cape Municipal Ordinance of 1836 and all local governments had common characteristics like elected councils, a higher-level of government controlling local authorities and paying for goods and services that were delivered. According to Tapscott (2000:121), a conflict-filled relationship existed between provincial and local tiers of government. This was due to political differences about implementing apartheid policies. In practice, local government was reduced to a service agency of basic services for the other powerful tiers of government.

Local government adopted discriminatory practices in line with apartheid policy of separate development since 1948. The Group Areas Act 41 of 1950 established governing bodies at local level for various groups. Furthermore, the act outlined that all local authorities had to be supervised by local authorities under the White population. In addition, in 1971, the Bantu Affairs Administration Act 45 of 1971 removed the supervision of Black local authorities from the provincial councils to the central government (Robson, 2006:133-134).

By adopting the Regional Services Councils Act 109 of 1985, the central government was ensuring that there was an additional layer of local government to render services such as infrastructure (Robson, 2006:134). According to Tapscott (2004:202), regions were meant to thwart political intransigence by local government. It could also be argued that it was meant to ensure a broader collaboration among municipalities and provincial councils on bigger roles. However, any of these responses demonstrated that unlimited power was held and wielded by the central government for the most part of the twentieth century. The local tier had a limited developmental role but an increased role to deliver services (Tapscott, 2004:202).

Prior to the adoption of the *1996 Constitution*, the *Local Government Transition Act 209 of 1993* set in motion a transitional process within local government. Subsequently, racially defined councils were replaced by Transitional Local Councils (Van der Waldt, 2007:14). *The Local Transition Act 209 of 1993* provided for various phases of transition:

- A pre-interim phase (1994-1996): This was a holding phase to the first local elections and was a period characterised by replacing councillors and nominating the new ones according to the new dispensation and legislative requirements (Van der Waldt, 2007:14; Cameron, 2004:207).
- An interim phase (1996-2000): This started within the context of a new *1996 Constitution* and introduced a quasi-federal system in the country with three spheres of government (Cameron, 2004: 206-207). This process ended when the relevant clauses of the new Constitution took effect (Van der Waldt, 2007:14).

Local government continued to be under provincial administrations until the Constitution affirmed its distinctiveness, interdependence and interrelatedness. William (2006:200) states that before 1990, local government did not have constitutional safeguard as it was an extension of a state and part of provincial administration. Cameron (2000:155) equates local government's erstwhile powerless position with a 'Cinderella' situation, which metamorphosed towards a powerful sphere in its own right with constitutional powers and rights. A rationalisation process culminated in 843 municipalities as a result of amalgamation of many former Black local authorities with the former White cities and towns (Cloete, 1995; Cameron, 1996, in Cameron, 2004:207).

Although the implementation of the *1996 Constitution* deracialised local government, IGR persisted in its historical hierarchical form (Cameron, 2004:207). This was most probably due to the fact that local government was not fully on board yet. The final constitution came into partial effect in February 1997 and came into full effect after the elections of the local government held in 2000 (Cameron, 2004: 207; Craythorne, 2006:11).

The first democratic local government elections were held in 1995 but owing to demarcation problems, they were continued in 1996. The constitutional objectives are quite clear that local government was, firstly, to be provided with unprecedented responsibilities and power. Secondly, one of the immediate challenges was municipal boundaries, which could only be resolved during the 2000 local government elections (Craythorne, 2006:11-12).

When the second local government elections were held on 5 December 2000, the local government boundaries differed significantly from that of the first elections (Van der Waldt, 2007:15). It was a significant milestone in the democratisation of the country. Notably, the demarcation process, which occurred from June 2000, concluded in December of the same year. This comprehensive demarcation process ensured that the entire country fell within some form of a local municipality, a phenomenon dubbed 'wall to wall' (Van der Waldt, 2007:15). Simply put, the entire country was divided into municipalities (Murray, 2006:279).

The above depicted history of IGR indicates the institutional development in South Africa. The current IGR system learnt some lessons from its IGR pre-1994 predecessors. The centralised approach of the past has been reversed and replaced by efforts on increased decentralisation. More importantly, the powers that are constitutionally assigned to provinces and municipalities are significant for a decentralised governance and service delivery. Similarly, to ensure the united nature of the country, some powers are still exclusively centralised at a national. This is a clear indication of balancing acts of the current system.

4.3 COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS IN SOUTH AFRICA DURING DEMOCRACY

4.3.1 Policy Framework for Intergovernmental Relations from 1994

4.3.1.1 Interim Constitution and Final Constitution

The onset of democracy in South Africa on 27 April 1994 opened opportunities for transformational initiatives on intergovernmental relations. The intention of the new democratic South Africa was to reverse a centralised governmental structure of the apartheid period by a system of IGR that could enhance reconstruction and development (Malan, 2014:60). Prior to the 1994 national elections, the *1993 Constitution* (interim Constitution), which had a predetermined two-year life span, provided for government with three spheres but it was not explicit about institutional arrangements (De Villiers, 1997:197-199). Section 71 and schedule 4 of the interim constitution provided an opportunity for discussion of the institutional arrangements for intergovernmental relations during the writing of the final constitution after the general elections of 1994. The interim Constitution established a constitutionally protected sphere of government for the first time in South Africa, which came into effect in South Africa in 1994. Importantly, the Local Government Transition Act 209 of 1993 was promulgated to legitimise any new structure (Siddle *et al.* 2012:68).

During these early stages of transformation, government adopted the White Paper on the Transformation of the Public Service (WTPPS) in 1995. This White Paper introduced the ideas on establishing a public service, which is people-centred and characterised by equity, equality and a strong code of ethics. This paper identified eight priorities:

- i. Transforming service delivery to meet basic needs and redress past imbalances;
- ii. Rationalising and restricting to ensure unified, integrated, and leaner public service;

- iii. Institution building and management reform to promote greater accountability and organisational and managerial effectiveness;
- iv. Increasing representativeness through affirmative action (AA);
- v. Improving internal democracy and external accountability;
- vi. Human resource development (HRD) and capacity building;
- vii. Improving employment conditions and labour relations; and
- viii. Promoting a professional service ethos.

The final *1996 Constitution* replaced the interim Constitution. Importantly, the *1996 Constitution* was written according to the *1993 Constitution* (Reddy, 2001:23). Emboldened by some lessons from governance practices since 1994, the *1996 Constitution* confirmed many provisions of the interim Constitution, including the three spheres, nine provinces and municipalities. More importantly, the constitutional right of the local government was maintained, with chapter 7 dedicated to local government. Theoretically, the Constitution provided local government with developmental powers for the first time (Cameron, 2004:208). Those developmental objectives of local government are in sections 151 and 152 of the *1996 Constitution* as follows:

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

For the framers of the *1996 Constitution*, municipalities are closely linked to their communities. As they are at the front line of delivering government services, it offered opportunities to deepen democracy and to promote development (Murray, 2006:278-279). When government does not deliver services, it becomes more evident at the local sphere (Kahn *et al.*, 2011:118). Thus, one of the key aims of the *1996 Constitution* is to

promote service delivery through local government. Hence, this government sphere assigned developmental objectives, rather than a mere basic service delivery platform.

4.3.1.2 Presidential Review Commission

The Presidential Review Commission (PRC) was another initiative to assess South Africa's capacity to manage the establishment of institutional arrangements. According to Mathebula (2004:29), the PRC was established to aid President Nelson Mandela in evaluating government performance during the first three years of democracy. According to Bardill (2000:2), the review process started on 08 March 1996. The terms of reference for the PRC were stated in the *Government Gazette*, No. 17020, (Bardill, 2000:2) and included matters of structures and functions and recommendations of the White Paper on the Transformation of the Public Service (1995).

This PRC report of 1998 found that intergovernmental relations between, and among, the three spheres of government were characterised by weak structures, practices and poor coordination, which affected the implementation of programmes and service delivery (Tapscott, 2000:120). As the PRC was given broad terms of reference, the recommendations were also far-reaching. The following represent some of the interpretations of the PRC's recommendations:

- Effective intergovernmental and interdepartmental mechanisms to promote effective co-ordination of activities should be considered to prevent misuse of scarce resources and optimise service delivery to communities where it is most needed (Cloete (1999), in Minnaar, 2006:181).
- "Organisational structures or agencies responsible for service delivery should be organised to achieve the determined performance targets" (Minnaar, 2006: 181)
- "The Commission endorses the current move towards greater decentralisation, but finds in its investigation, that, in the rush to devolve powers, insufficient attention has been given to the capacity of the province to assume these effectively" (Bardill, 2000:111).

- The establishment of coordinating agency for IGR in the office of the president to oversee structures and to give impetus to the process of intergovernmental coordination (Bardill, 2000:111).

4.3.1.3 Intergovernmental Relations Framework Act

The Intergovernmental Relations Framework Act 13 of 2005 was promulgated to fulfil a constitutional requirement of section 42(1), which stipulates a need for passing an Act of Parliament to this effect. This legislative evolution of IGR from 1994 to 2005 and beyond indicates the importance of continuously tightening of efforts to efficient and effective cooperative government as well as IGR. In particular, the Act sought to establish mechanisms for dispute resolutions on IGR matters, which is important since stand-off among institutions can retard progress in delivering services considerably. The three spheres cannot act arbitrarily against one another. As such, there is a need to recognise each other's interdependence, distinctive character and interrelatedness in one sovereign country (Du Toit, 2007:17; Craythorne, 2006:15-16).

IGR require structures to be implemented. The Intergovernmental Relations Framework Act 13 of 2005 ensures properly established IGR forums. In addition to institutions, structural arrangements had to be created as interaction mechanisms. Reddy (2001), in Venter (2007:85), states that there are more or less 80 formal and informal IGR structures in South Africa. This includes the President's Coordinating Council, which is chaired by the President of the Republic and includes the national minister responsible for local and provincial government, as well as nine provincial premiers. Craythorne (2006:17-19) refers to the following IGR structures:

- The Technical Intergovernmental Committee can be mandated to fulfil IGR purposes and they may even include external role-players, such as consultants (Craythorne, 2006:19).
- The Premier's intergovernmental forum is based at a provincial level to act as a consultative entity. It consists of political actors, such as members of executive

councils (MECs) and mayors. The premier presides over the proceedings (Craythorne, 2006:17).

Institutions require actors who conduct public duties ethically. The structural arrangements of IGR have various actors in other specific structures. According to Venter (2007: 87-90), local-level actors include ward committees, traditional leaders, councillors, the private sector, parastatals, trade unions, political parties, as well as the media and civil society organisations. Besdziek *et al.* (2011: 126) consider the institutional developments as milestones of IGR implementation since 1997. Notable institutional developments include the successful PRC report, the IGF and its replacement by the PCC, as well as the establishment of the Budget Council.

4.3.1.4 Challenges of IGR implementation

The adoption and implementation of IGR has not been without challenges. According to Coetzee (2010:85), chapter 3 of the *1996 Constitution* lacks details regarding cooperative government. As such, it has led to negotiable and more flexible relationships. As cooperative government is crucial, it cannot be based on relationships that are not established and maintained consistently for effective service delivery. The CoGTA's *The State of Local Government Report* (2009:52) concurs with Coetzee, as it highlights the need to "revisit the Intergovernmental Relations Act (2005) to remove the voluntarism in the system, to clarify roles of IGR structures, and to define the responsibilities of the spheres in coordinated development planning". Mathebula (2011:1415) also alludes to the flexibility and informality of the consultation culture in IGR, thus affecting commitment.

More radical than other critics is Thornhill (2011:52), stating that there is no clear policy on IGR – not even in the Intergovernmental Relations Framework, Act 13 of 2005. In contrast to the criticisms of the inadequate practice of IGR above, De Villiers and Sindane (2011) in Malan (2012:116), acknowledge chapter 3 of the *1996 Constitution* details provisions regarding IGR and cooperative government. Malan (2012:116) argues that IGR is no longer an informal but a statutory system establishing mechanisms and forums.

This contention about adequacy of provision, or lack thereof, is not necessarily a bad thing. It may be a reflection of democracy, since the details are not prescribed to the actors. On the other hand, lack of adequate clarity may lead to problems on unified and timely implementation, owing to protracted processes on clarity-seeking mechanisms.

Cooperative government and IGR are premised on partnerships, thus accommodating long consultations among spheres (Malan, 2012:117). In a democratic context, it sometimes takes time to make certain decisions. Although consultation processes may seem to slow some progress, all imperatives of IGR like adequate consultations and planning could be achieved. An appropriate consultation could lead to well-coordinated services ultimately.

An inappropriate allocation of functions to spheres contributes to the poor performance of IGR. Coetzee (2010:98) highlights assessments about poor clarification of roles because different spheres overstep their functions. Thornhill (2011:5) concurs that there is a lack of clear policy guidelines regarding allocation of functions, responsibilities and accountability. While assessing joint programmes linked with preparations for the 2010 Soccer World Cup, the Public Service Commission identified that there was a lack of accountability and poor intergovernmental commitments (PSC 2009:10).

The above observations on functions paint a picture of poor role clarification, which could lead to duplication, wastage of resources and late implementation of projects. One of the recommendations of the PSC Report (PSC 2009:22) is directing the Departments of Public Service and Administration (DPSA) and COGTA to promote intergovernmental collaboration.

What do the allocated functions say about the level of authority held by the various spheres? Are they really equal? According to Coetzee (2010:90) and Thornhill (2011:47), the spheres of government in South Africa are not as equal in the context of distinctiveness, interrelatedness and interdependence, as constitutional imperatives

legislate overriding and overseeing matters favour of the national sphere. Murray (2006:260) concurs that national supremacy is perpetuated by the hierarchical character of the national government to intervene legally in the management of provincial sphere with the same intervention powers between the provincial and local spheres.

South Africa conceived a notion of concurrent powers to accommodate functions that are of interest to all spheres. In addition, it was recognised that when conflict arises on legislative and executive matters, a mechanism will be devised to determine a sphere that will enjoy authority or subordination (Haysom, 2001:47). Perhaps the development of this mechanisms to address arising conflicts could be a cause for unresolved conflicts and delayed implementation.

Concurrent powers create problems. Firstly, the unfunded mandates result from misaligned policy objectives and allocation of resources. Secondly, it is difficult to hold any official, structure or sphere accountable. Lastly, functions are allocated without ensuring that the responsible sphere is the most effective (Kahn *et al.*, 2011:117). A solution for complexities of concurrent powers could be resolved by effective institutions (Murray, 2006:261).

According to sections 44(2); and 100 of the *1996 Constitution*, the national sphere can take over provinces and municipalities temporary. This indicates the embedded inequality of the spheres, which negates the notion of distinctiveness (Thornhill, 2011:47). Also, schedules 4 and 5 of the *1996 Constitution* allocates concurrent functions to the spheres, but it does not provide a clear assignment of responsibilities

Murray (2006:259-261) explains that the matter of concurrency is not an insurmountable challenge, as it helps ensure that spheres do not legislate conflicting laws and guides allocation of responsibilities. In addition, Murray (2006:260) provides the following justification of national supremacy for an efficient government:

- This scheme is intended to ensure that the national sphere can impose national norms and standards, while allowing provinces to respond to their own particular needs.
- Provinces, and not national government, will be responsible for implementing national laws that fall under the broad areas of shared competence. Hence, the primary provincial role in the system is delivering nationally determined policies and programmes.

Madumo (2012:44) concurs that the national priorities are set at a national sphere but provinces and municipalities can determine their implementation approaches. Peters and Pierre (2004:86-88) consider multi-level governance to be based on a consensus of power but mainly influenced by the stronger players (central government); as such, it becomes a type of a Faustian bargain because power is sold in order to achieve more participation.

The passing of *Intergovernmental Relations Framework Act 13 of 2005*, approximately nine years after the adoption of the *1996 Constitution*, attests that the evolution has been slow and could have an implication for problems related to IGR and cooperative government. It has not brought significant changes to the implementation of IGR and cooperative government because it was brought up late or its effect on implementation has not yet had a desired impact. Although it ensures establishment of forums, there is no provision for enforcement of the conditions. Act 13 of 2005, also does not contribute significantly to matters pertaining to integration (Thornhill 2011:52).

An understanding of a conceptual deference between co-operative government and IGR is pertinent for discussing issues in this study. An audit report in 1999 states that, “Cooperative government is about partnerships government as well as the values associated with it (whereas) intergovernmental relations are the means through which the values of co-operative government may be given both institutional and statutory expression and may include executive or legislative functions of government” (Malan, 2012:118). It is clear that cooperative government was deliberately made part of IGR to

accommodate the form of government in South Africa. Recognising that the overlap built into the system demands a high level of intergovernmental coordination, the *1996 Constitution* sets out principles of ‘cooperative government’” in sections 40 and 41 to manage the relationships between the three spheres.

The South Africa IGR system has been at a policy-making trajectory since 1994, while having the pressure to implement. The latest legislation was the *Intergovernmental Relations Framework Act 13 of 2005*, as promulgated at the behest of the *1996 Constitution*. The policy developments have emphasised the constitutional importance of IGR. It is, however, concerning that the same Act 13 is considered to be lacking on matters of integration.

4.3.2 Normative framework of IGR

Chapter 3 section 41(1) of the *1996 Constitution* provides for a principled approach to the intergovernmental and cooperative system in South Africa. This includes (i) preserving peace and national unity; (ii) loyalty to the Constitution, the Republic and its people; (iii) respecting institutions in other spheres; and (iv) exhausting all avenues to resolve disputes before approaching the courts. These constitutional principles, which guided IGR and cooperative government, also led to the normative nature of the system. Cooperation and collaboration are key to the IGR system. Cooperative government require national and provincial spheres to treat local government as an equal partner (Van der Waldt, 2007:17). In turn, cooperation refers to deliberate act of working together formally and informally to achieve common institutional goals (Agranoff, 2012:520).

Since 1994, institutional arrangements in South Africa at political and administrative level have been established (Maserumule, 2010:18; Pycroft, 2000:144-154; Simeon & Murray, 2001:70-75). A democratic approach that operates with less centralisation and more interdependence could help tensions that may exist between the national and sub-national levels of government (Olsen, 2010: 31, Haysom, 2001:59 and Pal, 2003:172). It

is necessary to describe and analyse the institutions and IGR implications to determine whether relations are fraught by tensions or harmonious.

It is clear that the transformational concepts and practices driven by cooperative government and IGR are in essence new norms and values that should be inculcated in the new dispensation. Bardill (2000:104) concurs with the imperatives of change. He emphasises that a consensus emerged to replace the apartheid government's fragmented, corrupt public service system with an equitable one. Ultimately, the new system was geared towards improving the quality and quantity of service delivery to improve the lives of South Africans. Thus, improving public services with democratic means is a normative approach. When transformation follows normative trajectory, it redresses the imbalances of the past, as required by the new democratic dispensation.

4.3.3 IGR and service delivery: public value

Service delivery is arguably the primary reason why public institutions are established and maintained (Thornhill, 2015:81). The traditional service delivery model was characterised by a linear relationship between the organisations and the public, which implied a top-down approach with less public involvement (Peters, 2011:113). This traditional service delivery model would not be successful within the current environment of multi-layered governments and governance. In this regard, there is a need for public institutions to review delivery models as and when required. The contemporary public services require multiple actors and governance networks to provide the environment for it (Klijn, 2010:304).

In South Africa, policy for integrated service delivery is outlined in sections 40 and 41 of the *1996 Constitution*, which provide for IGR and cooperative government. The Intergovernmental Relations Act 13 of 2005 provides for 'implementation protocols' as a tool to involve more actors in provision of public services (Siddle *et al.* 2012:96). Section 35(1) of the *Intergovernmental Relations Framework Act* 13 of 2005 defines the implementation protocols as necessary agreements between state organs that belong to

different spheres or jurisdictions to enter into for an effective coordination of activities concerned.

Traditionally, public institutions have provided services directly to the public using actors within the public sector. The service-delivery environment has become complex and requires innovative means to diversify service provision. The examples of those alternative service-delivery models in PPPs and a Shared Service Delivery Model (Thornhill, 2015:88-93; Kanyane, 2010:91), indicate that alternative service delivery models require multiple actors in multiple settings. The alternative service delivery models indicate that service provision requires multiple actors.

The values and legitimacy of services in public administration enhance democracy (Frederickson, *et al.*, 2016:75). Public services must add value in the lives of the public members. Notably, living standards have to be changed by effective public services. The cooperative governance values in South Africa are a foundation of ensuring a value-based implementation of public services.

In South Africa, the generic service delivery model incorporates *Batho Pele* principles and service delivery improvement plans (Republic of South Africa, White Paper on Transforming Public Service Delivery, 1997). The policy intends to serve the public in a principled manner. The eight principles are consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money. The concept of *Batho Pele* is a South Africa South Sotho word, which implies prioritising the public when services are rendered (Republic of South Africa, White Paper on Transforming Public Service Delivery, 1997). According to this service delivery policy, public institutions should develop service delivery improvement plans to ensure that they plan, monitor, deliver and evaluate accordingly.

Specific to local government, the model of service delivery includes community development workers, who form part of a community development programme. The intention is to unblock service delivery challenges by assisting communities directly at

municipal levels, while interacting with all spheres of government (Disoloane & Lekonyane, 2011:1078).

Peters (2011:144) states that even though contemporary services are complex, the good thing is that they are institutionalised. Thus, IGR provides an institutionalised environment in South Africa in the form of the three spheres of government with constitutional powers and functions, as well as the public institutions with policies. The values and legitimacy of services in public administration enhances democracy (Frederickson, 2016:75). Public services have to change citizens' lives. Within this context, the public sector and its institutions would be considered to have added value. It is a constitutional matter in South Africa to provide value-added public services in that section 151 of the *1996 Constitution* mandates local government to serve the public. In line with this, section 195 of *1996 Constitution* mentions the values and principles of public administration that entail professional ethics, accountability and fair services.

4.3.4 Intergovernmental relations and public participation

Sections 59(1), 72(1)(a) 118(1)(a) of the *1996 Constitution* require National Assembly, National Council of Provinces and provincial legislatures, respectively, to consult the public with regard to any policy that would affect their lives. This is in addition to the values and principles of public administration in section 195 of the *1996 Constitution*, which provides for accountable and responsive government. Similarly, section 152(1) of the *1996 Constitution* provides that local government will be accountable to the local communities. Section 16 of the Systems Act of 2000 stipulates that participatory governance must be promoted by involving the communities and by integrated planning system, budget, performance management and strategic decisions. At a policy level, the *Batho Pele* policy also requires the public to be consulted. Moreover, section 195(1) (e) of the *1996 Constitution* mentions public administration should respond to the needs of the people and that the public must be encouraged to participate.

Public participation takes place within an intergovernmental context. Section 41(2) (a) and (b) provides for an Act of Parliament, which can be used to establish structures and mechanisms for dispute resolution. This legislative framework for participation indicates that public participation is a right that the public should enjoy. In South Africa, public participation mechanisms include ward committee systems. The aforementioned act was fulfilled when the *Intergovernmental Relations Framework Act 13 of 2005* was promulgated. The *Municipal Structures Act 117 of 1998* establishes ward committees that consists of community members who work closely with a politically elected ward councillor. These ward committees do not replace other consultative engagements such as public meetings for IDPs and other local government matters.

4.3.5 IGR and dispute resolution

In anticipation of possible disputes between, and among, intergovernmental institutions, the *1996 Constitution* covers the issues of dispute resolution. Section 41(3) stipulates that the organs of state that are involved in a dispute should use administrative and other procedures before embarking on litigations. Resolved disputes can enable service delivery, since actors would have more time to dedicate to their functions. Section 40(2) of the *Intergovernmental Framework Relations Act 103 of 2005*, states that any agreement between state organs should include dispute resolution mechanisms. The act concurs with the constitution regarding discouraging usage of the courts of law.

4.3.6 IGR: performance monitoring and evaluation

The IGR system needs to be monitored and evaluated for performance. Notably, performance monitoring and evaluation is complex. It includes local government, while the national and provincial spheres of government support the process from a constitutional and legal perspective. Within the local government context, performance management is an inclusive term that measures municipal performance comprehensively (Van der Waldt, 2007:111). In this regard, it is even broader as it should measure how cooperative government is implemented in addition to normal variables like finance,

personnel and statutory performance. However, the practice is to measure the performance of spheres individually. For example, the Auditor-General reports are normally specific to a particular sphere, thus possibly neglecting comprehensive IGR issues.

Section 35(3) (e) of the *Intergovernmental Relations Framework Act* 13 of 2005 mentions the necessity of monitoring and evaluation for an implementation protocol only. The Act is silent on the general monitoring and evaluation but section 47(e) provides for an opportunity for the development of regulations around monitoring and evaluation in the form of a gazette by the minister. Ideally, a monitoring and evaluation system should measure both IGR performance and local government. Edwards (2008:75) finds that cooperative governance is affected by a lack of coordinated information that higher spheres like provinces can use to monitor municipalities. Monitoring and evaluation require proper and timely information (Van der Waldt, 2007:115).

4.4 STRATEGIC REVIEWS FOR INTERGOVERNMENTAL RELATIONS IN SOUTH AFRICA

The policy framework of IGR requires implementation strategies that are reviewed from periodically and when necessary. The service delivery review processes of IGR institutions were undertaken since 1997. This included the PRC report, which noted that review processes would continue during the millennium period. Projects to evaluate service delivery and implement solutions included Project Consolidate, Local Government Turnaround Strategy and Project Consolidate: Local Government Back to Basics Strategy (Republic of South Africa, CoGTA, 2014:4).

This section commences by referring to research reports on structural arrangements and service delivery and concludes with discussions of the strategic interventions. Numerous self-assessments by government and other public institutions provided the baseline information and suggested reforms on IGR.

4.4.1 Assessment reports: IGR and potable water

The report, *Towards a Ten Year Review* (2003:13), acknowledges progress made regarding a legislation framework that had to move the country into a new democratic dispensation. Notably, progress on institutional building is based on democratic values and principles in the spirit of the constitutional state. Notable institutional mechanisms include the National Planning Framework (NPF) to enhance policy decisions and integration. The report continues to concede that local government was not included in the planning process through NPF. However, the gap has been filled by the introduction of the IDPs that helps with interaction between the three spheres. The cluster approach and establishment of forums, such as Forum of South African Directors-General (FOSAD), the PCC and the restructured cabinet committees have contributed to an improved coordination of policy-making and implementation of programmes.

The *Towards a Ten Year Review* report (2003:13), identifies certain weaknesses in the structures and processes. For example, when local government officials write and approve IDPs without consulting communities adequately. These structural and procedural shortcomings lead to “severe service delivery constraints”. Provinces and local spheres of government do not perform equally well; some reflect progress and others wallow in failing programmes and projects. Overall, the first decade of democracy saw great strides in policy formulation. However, according to the *Batho Pele* service delivery philosophy, as introduced by the *White Paper on Transforming Public Service Delivery of 1997*, a lot of work still needs to be done in the area of implementation of programmes and policies.

The *Towards a Fifteen Year Review* (2003) report reiterates that progress has been made with regard to consolidating democracy through institution building and a commitment to good governance. Although progress has been made in terms of coordinating IGR, there still remains room for improvement. This progress in coordination initiatives is seen in basic service delivery. In 1996, 62% of South Africans had access to water. In 2001, the service increased to 74% and to 88% in 2007. Concerning taps in dwellings or on-site,

61% had access in 2001, whereas 70% had access in 2007. In similar vein, the Gauteng City Region Observatory's quality of life survey found that access to piped water by residents of Gauteng has been fluctuating as follows: 82,8% in 2015, 70,7% in 2013, 75% in 2011 and 69,9% in 2009" (Gauteng City Region Observatory of Life Survey, 2015:Online).

In 2004, *Project Consolidate* was launched as a "two-year hands-on intervention in 136 municipalities, especially in relation to specialised areas". The specific objectives of the programme included developmental mandate, mobilising social partners, focusing on the residents and introducing learning between municipalities through benchmarking. Project Consolidate mobilised service delivery facilitators and deployed them with the immediate task of diagnosing the challenges confronting municipalities. In June 2006, the approach was incorporated in the five-year Local Government Strategic Agenda.

In 2014, the democratic government celebrated twenty years of existence, which necessitated an anniversary report about the measurable performance of government. The *Twenty Year Review: South Africa* report (1994-2014:17) recognises good progress that has been made in many areas including integration of cities and towns. Obviously, successes stated in the other epoch-celebrating reports are also acknowledged in the report.

On the other hand, the report captures a number of challenges in relation to IGR and cooperative government that require intervention. Effective coordination is required and to some extent lacking between the different spheres. The provinces and municipalities are expected to implement key government objectives. Notably, national government should provide legislative and policy frameworks to support local and provincial governments (Republic of South Africa, *Twenty Year Review: South Africa*, 1994-2014:22-23).

The Twenty Year Review: South Africa report (1994-2014:24) also refers to challenges relating to the overlapping and concurrent responsibilities between the spheres, which

support a notion of effective coordination. While acknowledging the Intergovernmental Relations Framework Act of 2005 as a good tool to effect IGR and coordination, it not a panacea for resolution of all coordination issues. It recommends that national government should improve management of concurrent functions by setting norms and standards for concurrent functions through either legislation or negotiations. In the case of this study, it will have to be determined whether constitutionally concurrent functions affect the water services.

Nealer (2007:148) states that in 2000, more than 800 municipalities were rationalised to 284 municipalities. Hereafter, the number was reduced to 278 municipalities comprising of 8 metropolitan, 44 districts and 226 local municipalities (Republic of South Africa, 2016: Online). After the 2016 local government elections, the Inter-Ministerial Committee on elections announced that the local municipalities were reduced from 226 to 205. This resulted in a total of 257 municipalities across the country (South African News, 2016: Online). This restructuring of the number of municipalities illustrates that IGR is complex and it needs a continuous review.

It is important to assess how service delivery on basic services has fared in the context of IGR. The standard of one standpipe within 200 meters increased from 60% of households in 1994/95 to over 95% of households in 2011/12. Notably, South Africa achieved the MDG of halving the proportion of the population without access to a basic level of water in 2008 before the target of 2014. With regard to access to water, the *Twenty Year Review: South Africa* report (1994-2014:71) concludes that, “access to water is continuing to increase, but at a slower rate due to other complexities”. The complexities include providing services in informal settlements. Hence, Kunene (2013: Online) says that informal settlements are “the illegal and unplanned occupation of land resulting in dense settlements comprising of communities housed in self-constructed shelters”.

The complexities mentioned by the report may include providing services in informal settlements to address concomitant service backlog. During the apartheid period, the poor areas were neglected on provision of basic services, including potable water, hence

the service backlogs that remain pervasive in local government (Robinson, 2008:76; Roux, *et al.*:2005:688). Ramphela (2008) in Van Heerden (2009:63) refers to the recurring slow pace of delivery as 'backlogs in production'. Thus, service backlogs result from both the uneven delivery of services before democracy in 1994 and the current poor performance in the form of failure to meet planned targets.

The *Twenty Year Review: South Africa* report (1994-2014:20, 71) notes that although the growth of informal settlements has stabilised, there was a rapid increase in the first ten years post democracy. In areas such as informal settlements, there is a concern about the quality of service. According to the report, government services are overstretched in areas of socio-economic pressures. Urban areas such as Johannesburg have high in-migration of poor people in search of employment.

In the appeal case of Irene Grootboom and shelter for evicted people from an informal settlement, the court mentioned that it is necessary for government to know the required level of service and the number of people who would request it (Huchzermeyer *et al.*, 2006:33). Therefore, policymakers cannot ignore the challenges of informal settlements because it is ostensibly difficult keep up with increasing numbers of people and their needs. Huchzermeyer *et al.* (2006:44-46) argue that eradicating informal settlements should not be perceived as only removing shacks but also to reduce poverty considerably. Hence, there is a need to develop informal settlement *in situ* and move residents to other areas when necessary.

The Human Sciences Research Council's (HSRC) report (2014:14-16) on the right to access sufficient water and decent sanitation in South Africa finds that 85% of households have access to Reconstruction and Development Programme (RDP) acceptable levels of water. Acceptable RDP levels refers to access to piped water within a dwelling, outside a dwelling, outside a stand but not for more 200 meters. Thus, no access to piped water is unacceptable (HSRC Report, 2014:38).

This HRSC report concludes that poor-quality infrastructure, the poor management of contracted projects, lack of monitoring and evaluation, as well as corruption and maladministration play a key role. Therefore, it is recommended that multiple institutions should perform complete functions and ensure the necessary collaboration. Institutionally, the HSRC notes that service delivery is the competence of local government but most of which are in poor areas, lack the necessary capacity and skills to further their mandates. Furthermore, the report recommends that provincial and national government employ their oversight and accountability mandates to monitor implementation.

An availability of Municipal Infrastructure Grant (MIG) should alleviate the financial resources required to implement services at municipal level. MIG is a conditional grant to municipalities to assist with eradicating eradication of backlogs on basic services in order to cater for infrastructural developments for poor households. A formula is used to calculate the MIG. Factors such as the number of water and sanitation backlogs in the municipality, the water and sanitation allocation amount and the total number of backlogs in South Africa are taken into account. Drawbacks include poor planning that leads to service delivery targets not being met, as well as MIG funding that is not spent efficiently or not spent at all. Municipalities that fail to spend their grants are likely to receive reduced amounts in the next allocation.

A notion emphasised in the SHRC report (2014:18-32) is recognising potable water as a right rather than a commodity. Similarly, the UN Human Rights Council adopted a resolution that water and sanitation is a human right on 30 September 2010. In situations where water delivery is contracted out to service providers, this notion of a right should be entrenched and applied in the management of contracts. Hence, the report states that basic access to water should be adhered to, irrespective of financial circumstances. Although, municipalities contract out services according to section 80(2) of the Municipal Systems Act 32 of 2000, it is necessary to privatise water services without compromising the needs of the poor because private companies tend to serve only those who can pay for services. The SHRC report (2014:19) recommends using data from the national

census to plan for services properly. It is even more important to use census data to meet needs in informal settlements because of density and increasing number of residents.

The SHRC report (2014:28-30) recognises a Free Basic Services policy, which has committed to a minimum of six kilolitres of water per household per month within a 200-meter-radius of the household. In accordance with the RDP policy, the local government is tasked with supplying 6 000 litres of potable water accessible within 200 meters of the household for free on a monthly basis, or 25 litres per person per day (Mbeki & Phago, 2014:209; Republic of South Africa, White Paper on Reconstruction and Development: 1994).

Accordingly, these basic service standards for potable water standards are referred to as RDP standards. The report states that many of the complaints received by the SHRC were from the informal settlements. The report notes that since the Department of Human Settlement (DoH) is responsible for upgrading of informal settlement is the responsibility of the, and the provision of basic services lies elsewhere, the services are disconnected.

The HRSC report (2014:38) states that access to water in Gauteng according to acceptable RDP levels are at 61% piped water, 27.3% of piped water within stands and 6% of piped water within 200 meters of the stand. In the context of unacceptable RDP levels, 2.8% have piped water more than 200 meters from stand and 1.8% have no access to piped water.

According to this SHRC report (2014:38), significant strides have been made since 1994.

“From Apartheid era...66% of urban household and only 39% of rural households received the levels of service”. “In 1994 ...less than 60% of the population had access to services at all, and nearly 40% had no access at any infrastructure ...in 1994 there were no people with below RDP access, so people either had RDP service levels or nothing at all. With RDP as the standard, communities or households that are waiting to be upgraded should not be left with no formal water

supply at all". This is opposed to current national average of 86% of households and 95% of these households are served at the acceptable level of the RDP. This means that 81% of all households in South Africa are served at this level of RDP.

All of the above-discussed reports, as published by the government of South Africa, reflect the challenges in the IGR and cooperative government. This is a clear indication that the IGR system has to be reconsidered. Furthermore, the capacity of the respective supervisory structures have to be enhanced to enable them to perform their functions, as envisaged in the constitutional structures (Thornhill, 2011:48). To this end, various initiatives, such as Project Consolidate as mentioned above, had to be undertaken to improve the IGR system in South Africa since 1994. Project Consolidate built on foundational transformation initiatives since 1994, as well as the boundary changes leading to the 2000 elections and subsequent developments. All these initiatives are to ensure that the structures, institutions and forums fulfil their constitutional functions.

The IGR in South Africa requires a substantial reform or transformation to make it relevant to the requirements of South Africa today. Numerous challenges and problems have been identified, hence interventions such as Project Consolidate. However, it seems that it was not geared for the challenge of this magnitude. Thornhill (2011:10) says that the state of relationships among institutions has not improved, as manifested in lack of integrated coordinated policy.

Integrated development planning (IDP) is inextricably linked to implementing the developmental mandate. IDP is a concept that originated at the 1992 United Nations Conference in Rio de Janeiro, Brazil, which focused on environmental development. It culminated in a resolution to implement sustainable development at local level (Van Niekerk, 2012:54-55). IDPs ensure that municipalities plan strategically in order to achieve the developmental goals (Madumo, 2012:44; Roux & Van Rooyen, 2002:217). Furthermore, IDPs should reflect a financial plan (Horn & Raga, 2012:77); to ensure that planned activities are funded and budgets are transparent.

In South Africa, Van Niekerk (2012:56) says IDP came into effect with the passing of the Local Government Transition Second Amendment Act, 97 of 1996 (RSA 1996b) and the White Paper on Local Government, 1998, as a means to promote a developmental local government. The effect of the enactment was the introduction of IDP, which guides and informs all management, planning, decision-making and actions on which annual budgets are based in a municipality. One of the key characteristics of IDP is the five-year lifespan that is directly aligned to the term of office for local councillors.

The South African government's commitment to adhering to the above is reflected in the Local Government: Municipal Systems Act 32 of 2000, which describes the content requirements to be followed in the IDP process. Furthermore, it requires each municipality to adopt a single, inclusive plan for the development of the municipal process. On the other hand, the Local Government: Municipal Structures Act 117 of 1998 provides that district municipalities are also responsible for IDPs. As they set out a framework for such planning, multiple municipalities in the districts should be aligned with the IDP framework. Furthermore, each municipal IDP should be aligned with the provincial sector department's policies and programmes.

Measures to enhance performance of municipalities in relation to IDP are outlined in Section 34 of the Local Government: Municipal Systems Act 32 of 2000. These measures include that all municipalities should have to monitor, evaluate, review and report on their performance against indicators and targets set in their municipal IDP. Performance management must assist municipalities in making immediate and appropriate changes to the delivery and management of resources, identify blockages and guide future planning on development objectives and resources (Van Niekerk, 2012:57).

The HSRC report (2014:58-59) also found widespread municipal corruption and abuse of political office and job status for personal gain. The formal municipal accountability system also emerged as being ineffective and inaccessible to most citizens. The Local Government Turnaround Strategy (LGTAS) was approved by cabinet in December 2009.

The LGTA is a country-wide intervention, with strong emphasis on improving performance, monitoring, governance and accountability.

The LGTAS also concluded that previous interventions, such as Project Consolidate and the five-year Strategic Local Government Agenda, failed to improve the overall performance of all municipalities. Notably, most municipalities continue to receive poor audit reports, thus gaining a reputation for poor service delivery, ineffectiveness, incompetence and high levels of corruption. Successful implementation of the LGTAS requires not only political ownership, effective management and leadership, but also commitment to turn around the financial affairs of each municipality (SHRC Report: 2014:62).

According to Murray (2006:279), there was tension between the vision of local government as an equal partner with the national and provincial spheres. As a result, the level of support that new municipalities need is not forthcoming. The increasing body of national legislation governing local government reflects this. However, the clearest acknowledgment of the weakness of many municipalities is a 2003 constitutional amendment that gives provinces and the national government (should they fail), drastic powers to intervene in failing municipalities. In line with this provincial or national government can take over their budgets, and if necessary, dissolve their councils through section 139 of the *1996 Constitution*.

Municipal institutions are not equal, as metropolitan municipalities have considerable capacity and strong infrastructure. To a large extent, smaller municipalities have been unable to fulfil their constitutional functions (Murray, 2006:279). Thus, practically, mainly metropolitan municipalities are able to fulfil their developmental roles. Local government should implement its developmental roles, as stipulated on section 152 of the *1996 Constitution*, as it will help indicate which municipalities are delivering basic need and more. In South Africa, IDP planning within local government needs to be compatible with planning at the provincial and national level (Klingenhöfer *et al.* 2015: 366). The aforementioned will help facilitate a necessary integration. Du Plessis (2012:19-20)

recommends an integrated approach to service delivery, as it can help reduce service delivery protests on single issues.

After the general elections of 2009, the Department of Provincial and Local Government was renamed the Department of Cooperative Government and Traditional Affairs (CoGTA). After restructuring, CoGTA conducted an assessment that culminated in the *State of Local Government Report* (2009). The report acknowledged all previous assessments and interventions, such as the five-year strategic agenda (LGSA) and Project Consolidate. The national and provincial assessments were conducted to identify the causes of 'distress' in most municipalities in South Africa and to subsequently create the National Turn-around Strategy for Local Government. The *State of Local Government Report* (2009) concludes that previous interventions had met their achievements, but they were unable to solve deeper capacity-related challenges.

According to *The State of Local Government Report* (2009:53), priorities included huge service delivery challenges, problems with the political-administrative interface, corruption and fraud, as well as poor communication with communities. The report then concluded that problems around the planning, service delivery and infrastructure include poor cooperative governance; poor implementation of the IGRF Act; ineffective functioning of the cluster system; poor community/civil society engagement and mobilisation; and uneven and inadequate implementation of government programmes.

CoGTA recently adopted a strategic policy called the *Back to Basics Strategy: Serving Our Communities Better*. According to this strategy, the identified problems include a slow response to service delivery issues, corruption, poor skills and a collapse of infrastructure for basic services (Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy: 2014:5). The four priorities identified to improve service delivery include (Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy: 2014:7-8):

- Enforcing policies and legislation to assist dysfunctional municipalities to perform basic functions;
- Building of strong and administrative systems and processes for relatively functional municipalities. This includes engaging with the communities and ward committees in particular;
- Incentivisation of municipalities that are performing well by increasing their flexibility and control over their resources and grants; and
- Responsiveness to corruption and fraud by means of zero-tolerance approach.

The Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy (2014) recognises the role of intergovernmental relations by declaring the importance of collaboration and role clarification. CoGTA would lead the national and provincial programmes to support local government, especially by ensuring alignment of policies and frameworks such as local spatial development framework. To improve the performance of municipalities, the Back to Basics Strategy suggests a differentiated approach (Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy, 2014:7-8). This includes:

- Priority 1: Dysfunctional municipalities. An emphasis will be on implementing polices and providing basic services.
- Priority 2: Functional municipalities that are not performing in critical areas. These municipalities will be supported to reach a functional level.
- Priority 3: Well-performing municipalities could receive incentives to continue to perform better.
- Priority 4: A generic focus on combating corruption and fraud in all municipalities.

The strategies that have been undertaken indicate that IGR polices are being reviewed continuously to ensure that they achieve their goals. Within the context of service delivery backlogs, the complications are also based on institutional capacities. All spheres of government should consider these self-assessment reports during their planning and

implementation processes. The reports provide a good basis on which to operate, as they add to baseline information and the valuable research outputs in general.

Accordingly, service delivery improvement initiatives have included institutional mechanisms to bolster access to services and customer relations (Du Plessis, 2012:19). The notable studies and related reform initiatives are informed by the *1996 Constitution* and the quest to ensure that the IGR system works as effectively and efficiently as envisaged in the document. The biggest measure of a performance of the IGR system should be service delivery, as per section 41(c) of the *1996 Constitution*, which requires coherent implementation. According to Akinboade *et al.* (2013:460) a key measure of good governance is the quality and availability of essential public services, such as safe water and sanitation because they enhance development. Moreover, public services are the cornerstone of a social contract between governments and citizens. Howe (2012:346-354) postulates that national government and its institutions are instruments that are responsible for meeting fundamental human needs – especially of the most vulnerable people.

4.5 BASIC SERVICE DELIVERY OF POTABLE WATER

The aforementioned service delivery issues illustrate that the notion of service delivery is central in the establishment of multi-level governance. The local government institutions are in close proximity to the citizens as they are located within the communities, or nearby. MacKay (2003), in Earle, Goldin and Kgomo (2005:9), confirm that water service delivery was prioritised in White Communities, as opposed to Black settlements. Thus, in IGR structures are formed and increasingly decentralised to help serve people with basic services, such as water.

In general, the provision of basic services is improving in South Africa (Akinboade *et al.*, 2013:459) when compared to the baseline period before 1994. The delivery of water services has reached the MDG level of halving the population without access to potable water by 2015, which was achieved in 2008 (20 Year Report, 2014:71). Similarly, the

acceptable levels of RDP have also been reached (HSRC Report, 2014:14). Despite these high statistical indications of access, some areas in South Africa still experience problems with access to basic services. Hence, there is a need to continue the monitoring roles to ensure that municipalities implement at local level (Statistics SA, 2016:56; Local Government Back to Basics Strategy, 2014:18).

The reports failed to mention the specific areas that have problems with access to basic services. The presidency's *Twenty Year Review* report (2014:20) states that quality of service is concerning in the economically depressed areas. The depressed areas could include some informal settlements. Embarking on service delivery protests is an indication of dissatisfaction by the communities about the delivery of basic municipal services especially in informal settlements (Akinboade *et al.*, 2013:467).

The current Back to Basic Strategy concurs with the *Twenty-year Report* on matters related to poor delivery of services in some marginalised communities. South Africans experience inequitable service delivery, as there are some areas without basic services (Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy: 2014:18). The Back to Basics Strategy states that progress has been made in service delivery, especially basic services like water and housing. However, some municipalities still have to be assisted to achieve their mandates. Informal settlements characterised by a lack of housing security (Aigbavboa *et al.*, 2010:234- 235) experience interlinked challenges relating to poor infrastructure for potable water and poor services. Some informal settlements are found in the relatively well-off metropolitan areas like Diepsloot, the settlement under study.

In South Africa, all three spheres of government have varied responsibilities to provide water services. However, local government is tasked with the direct delivery to the public. Chapter Four of the National Water Act declares national sphere of government to be responsible for water services policy and monitoring of the implementation thereof. The national Department of Water and Sanitation (DWS) is responsible for policy, institutional

mechanisms and monitoring, whereas the provinces and municipalities are tasked with implementation thereof (Hagg & Emmett, 2003:68).

According to Smith and Morris (2008:423-425), national government in South Africa encourages municipalities to outsource essential services through corporatisation and privatisation. The former refers to setting up of municipal entity as a form of partnership, while the city is a sole shareholder, such as Johannesburg Water SOC Ltd (Johannesburg Water). Established as a public entity on 21 November 2000, it started providing water and sanitation as a municipal entity to Johannesburg residents on 1 January 2001 (Joburg Water, 2016: Online).

This establishment of Johannesburg Water represents a corporatisation model and not privatisation, as the CoJ remains the main shareholder (Smith, 2006 in Smith *et al.* 2008:425). According to Harvey (2004) in Smith *et al.*, 2008:423), Johannesburg Water contracted a private company, Suez Lyonnas, to deliver water. At national level, South Africa entered into the first public-private partnership for years between Rand Water and the Harrismith Municipality in the Free State province (Smith & Fakir, 2003, in Smith *et al.* 2008:423).

A partnership with Rand Water continued in a democratic South Africa. Rand Water is an organ of state that reports to the national DWS. It is tasked to provide bulk water to the Gauteng Province, among others and it considers all related municipalities as stakeholders (Rand Water, 2017: Online). In the CoJ, the public utility is Johannesburg Water and it is responsible for creating, as well as maintenance of water infrastructure and water service delivery. Overall, the CoJs responsible for selling water services to residents, managing customer accounts and protection of protecting a revenue base. This implies that Johannesburg Water is owned by the CoJ, and they both have to provide customer services (Johannesburg Water, 2016: Online).

Joburg Water prides itself on providing water to 94.01% of informal settlements after increased access to 6 290 households were reached by transported drinking water

(Joburg Water, 2016: Online). To ensure water quality, the supplied water must meet the national SANS 241 standard. In line with this, a microbiological quality test is conducted for the presence of *Escherichia coli* (*E.coli*); each sample needs to be 99% free of *E.Coli* and turbidity, which relates to water clarity (Joburg: Online). Within this quality assurance context, DWS also conducts a Blue Drop assessments to determine the quality of drinking water (Republic of South Africa, DWS, 2016: Online).

When a state of basic water delivery is poor, it may be an indicator of poor delivery of higher-level developmental services. It is good that South Africa in general has improved water delivery, when compared to the period of apartheid. However, it is disconcerting that some areas still experience poor delivery of potable water. It is also important that institutions are in place to provide a particular service, as is the case with departmental institutions and agencies such as Rand Water at national level (Rand Water) and Johannesburg Water at local government level. The next section discusses the institutional arrangements on potable water delivery.

4.6 INSTITUTIONS OF IGR AND POTABLE WATER

Developmental role of local government does not exist in a vacuum, as it is also in tandem with the developmental aspirations of South Africa as a whole. At its National General Council in 2005, the ANC committed to creating a developmental state for a fundamental transformation of South African economy (Kuye & Ajam, 2012:51). Subsequently, the government adopted a National Development Plan: Vision 2030 with chapter thirteen committing to building a capable developmental state with improved intergovernmental coordination and strengthened local government (Republic of South Africa: National Development Plan, Vision 2030:2012:410). With regard to developmental policies, Maserumule (2012:194) argues that the institutional attributes are part of the definition of a developmental state in addition to independence and goal-driven policy.

Institutional mechanisms are central to service delivery challenges within democratic South Africa. Constitutional imperatives are about ensuring that needs of the citizens are considered first and all endeavours are made to meet the needs. As IGR is made up of institutions, it is important to describe their functions and their relevance to service delivery. This section discusses institutional mechanisms in Gauteng Province within the ambit of IGR and cooperative government. The official actors of IGR are in the public sector and public service. In South Africa, the public service and public sector are different. The public service consists of officials who are employed at national and provincial spheres of government, whereas the public sector denotes employees of all spheres, including the local government sphere (Venter, 2011a:82-83).

4.6.1 Institutions at the national sphere

In this study, the national sphere of government is made up of the DWS and the CoGTA. Their allocated functions are at policy-making levels and are likely to have concurrent functions with other spheres. The NDP Vision (2030) recommends that IGR needs to be clarified and differentiated to be able to address regional issues proactively (Republic of South Africa, NDP, 2012:432).

CoGTA is driven by strategies of building IGR governance to enhance service delivery, implementation of IGR programmes, as well as monitoring and evaluation. CoGTA conducts assessments to investigate performance of local government and provinces. This includes the *State of Local Government Report* (2009) and previous reports on interventions, such as Project Consolidate (2006). The department has to be aware of challenges to be able to implement programmes and projects. The national department conducts such studies and interventions in collaboration with provinces. Hence, the *State of Local Government Report* is derived from provincial reports to illustrate that the assessments were conducted throughout the country. This approach of combined assessments illustrates cooperative government and good IGR.

At national level, CoGTA monitors the implementation of these local governments' related acts, such as the Intergovernmental Relations Framework Act 13 of 2005, Municipal Property Rates Act 6 of 2004, Local Government Municipal Systems Act 32 of 2000 and Municipal Structures Act 117 of 1998. Active support is also imperative from the national level of government. This has brought about the municipal infrastructure grant transfers, which supplement municipal capital budgets to eradicate the infrastructural backlog on delivery of basic services (CoGTA, 2016:Online).

Like CoGTA, the national DWS is tasked with a function of national competence. Therefore, its institutional arrangements should accommodate IGR matters. DWS is responsible for setting national norms and standards, as mandated by the Water Affairs Act 36 of 1998. In turn, provincial government monitors and support the local government, which plays a role in the actual delivery to the public (SHRC report, 2014:16). Meanwhile, CoGTA applies its mandate from chapters three and seven of the *1996 Constitution* to develop policy and legislation about provinces and to support and monitor the implementation at local level (SHRC report, 2014:27).

As a national department, DWS plays a central role on the institutional arrangements. The According to the *Government Gazette* (no 36798, 30/08/2013), the Department of Water Affairs (before it was renamed the Department of Water and Sanitation), is seen as the department responsible for water sector policy, support and regulation. The NDP Vision 2030 has also upped the ante by declaring water to be one of the elements of a decent standard of living. In particular, the NDP intends to (i) ensure that all South Africans have access to running water in their homes; (ii) to manage climate change circumstances to avoid losing potable water; (iii) to reduce the costs of water purification; and (iv) to source water from neighbouring countries, as South Africa is a water-scarce country (Republic of South Africa, NDP, Vision 2030: 2012:32-34).

The department is responsible for various policy guidelines, which include National Water Policy for South Africa of 1997, Water Service Act, 108 of 1997 and National Water Resource Strategy 2 of 2013. These laws and strategies were preceded by the White

Paper on National Water Policy for South Africa (1997). This White Paper was written during the heightened policy-making period of the first five years of democracy. The White Paper states clearly that although water is a national function constitutionally, cooperative governance is required to cater for related matters of the environment and pollution control. The White Paper also notes that national and provincial governments have a duty to ensure support to the local governmental institutions.

The Water Services Act 108 of 1997 enables the national department to ensure the right to access water and to set the norms and standards on water services. The Water Services Act: Interpretative Guide for Sanitation (Republic of South Africa, Department of Water and Sanitation, 2016:Online) states that chapter 3 of the Water Service Act, 1997 is about water services authorities, otherwise known as local governments. Contractually, these authorities may outsource their services to outside body or local structures, but they remain responsible to end-users.

The National Water Resource Strategy 2 of 2013 is guided by the objectives of ensuring development, eliminating poverty, creating jobs and facilitating the sustainable use of water. In summary, The DWS, through the National Water Resource Strategy and other policies, is responsible for the allocation of water within the country. By constructing major dams and inter-basin transfer schemes, it is responsible for ensuring that sufficient water is stored to supply all consumers during periods of drought (Johannesburg Municipality, 2016:Online).

The public institutions that are involved in potable water matters, are also concerned with the associated IGR matters. The *Guidelines on Practical Application of IGR Framework Act 13 of 2005* states that the Minister of Water and Sanitation is responsible for providing leadership on IGR matters, while working with the PCC at national level, the Premier's Coordinating Forum (PCF) at the provincial level and the Municipal IGR Forums (MIRs). All of the above are operationalised at managerial strategic and technical levels, which include national and regional managers. Clearly, the guidelines accept the Act as a

strengthening aspect of the existing IGR mechanisms to ensure predictability and uniformity in implementation throughout all spheres of government.

According to the *Guidelines on Practical Application of the Intergovernmental Relations Framework Act 13 of 2005*, the water are public entities, whose relations with other government institutions are mostly regulated by the Water Services Act 108 of 1997 and by means of contracts. As such, water boards are service providers that must operate within the IGR framework. In addition, they should be encouraged to also participate in relevant IGR structures at provincial and national level. Rand Water is a water board that serves the Gauteng Province under the auspices of the national DWS.

All spheres of government should relate well to manage a service provider, such as Rand Water. In terms of application, Rand Water purchases water from DWS at an abstraction point in the Vaal Dam, purifies it and then pumps it to Johannesburg. The COJ purchases water from Rand Water and distributes it to the final consumers; as it is responsible for managing consumer demand (City of Johannesburg, 2016:Online).

The Rand Water Board was established on 08 May 1903, but it has continued to be an organ of state, working with the DWS in a democratic government. This is because of their expertise in providing bulk water to municipalities sustainably (Rand Water, 2017: Online). In summary, the DWS manages water supply, while the Johannesburg Metro manages the consumption. (Johannesburg Water: 2016: Online). Over the years, the DWS has responded to a growing demand for water by creating inter basin scheme from Thukela and Lesotho Highlands Project. (Johannesburg Water, 2016: Online). This relationship with regard to managing supply and demand is an indication of cooperation between national and local spheres.

The DWS conducts Blue Drop tests to fulfil its quality assurance, monitoring and evaluation role. Furthermore, it manages intervention for improving services. This includes the Blue Drop certification programme to incentivise water authorities when managing the risks related to quality of potable water (Republic of South Africa, Department of Water, 2016: Online).

4.6.2 Institutions at the provincial sphere of Gauteng

Gauteng is an industrialised region with more metropolitan municipalities than any other province in South Africa. Prior to the democratic dispensation in South Africa, Gauteng was called Transvaal Province and immediately after the elections on 27 April 1994, it was renamed Pretoria-Witwatersrand-Vereeniging provisionally and later named Gauteng in December 1994 (Aigbavboa *et al.*, 2010:238). According to national census of 2011, Gauteng Province has 12 272 263 residents, which is an increase from 9 178 873 people in 2001. The latest population in Gauteng is 13 399 724 (Statistics South Africa: 2016: Online). Gauteng is one of the most industrialised provinces and according to Aigbavboa, *et al.* (2010:239) it is the economic hub of South Africa.

At a provincial level, Gauteng Cooperative Governance and Traditional Affairs CoGTA (Gauteng CoGTA, 2016: Online) is crucial structure for IGR. The Gauteng province includes municipalities most of which are declared metropolitan areas (see figure 4.1 below):

Figure 4.1: Map of Gauteng Province



Source: Republic of South Africa, CoGTA (2016:Online)

The Gauteng CoGTA is a provincial structure of the CoGTA and falls under one ministry. Its vision is for sustainable and viable local government, traditional councils and communities. The provincial department coordinates the effective functioning of the local sphere and promotes integrated development planning and deepening of democracy. All these intended actions by the department are aimed at improving service delivery to communities of Gauteng (Gauteng CoGTA, 2016: Online).

4.6.3 Institutions at the local sphere

4.6.3.1 Municipal structures

As local government has a strong developmental agenda, it is regarded as the government that is closest to communities. Local government itself is not homogeneous. It was meant to have various forms to cater for specific needs of the communities or

simply to accommodate a certain required governance. Consequently, in the new dispensation, it was decided that formation of metropolitan areas would be of value. Cameron (2000:156) contends that metropolitan municipalities are important for three reasons. Firstly, they meet the government's intentions of reorganisation; secondly, the scale of government in the form of budget size; and thirdly, the need for economic competitiveness within the context of greater globalisation.

To ascertain the demarcation of metropolitan municipalities, legislative and policy guidelines had to be in place. The South Africa's *Interim Constitution of 1993* included categories of metropolitan municipalities, while the *1996 Constitution* created specific categories with the concept of a metropolitan government. The White Paper on Local Government (1998) highlight the following reasons for establishing metropolitan cities: Metropolitan governments:

- create basis for equitable metropolitan governance;
- promote strategic land use planning and coordinated public investment in physical and social infrastructure.
- can develop a city-wide framework for socio-economic development and also enhance the economic competitiveness.

Cameron (2000:160-163) states other characteristics of metropolitan municipalities or megacities. In their establishment, two options are applicable. Option 1 provides for metropolitan governments with ward committees, whereas Option 2 is about metropolitan structures. In the case of a mayoral system, it provides for an executive mayor to be assisted by a mayoral committee. A council elects the mayor indirectly. Furthermore, certain types of municipalities may form metropolitan sub-councils. Notably, these councils consist of councillors who represent the wards included in the sub-council area, as well as additional councillors as determined by the metropolitan council.

Thornhill (2005:92) clarifies that metropolitan municipalities can only be created as Category A. To illustrate, there are three categories of municipalities in South Africa as

made possible by Section 155(2) of the 1996 Constitution and later was later fleshed out by the Municipal Structures Act of 1998. These categories are defined in table 4.1.

Table 4.1: Municipal Categories in South Africa

Types of Category A municipalities		Types of Category B municipalities		Types of Category C municipalities	
Define	Exclusive municipal executive and legislative authority. Example: Metropolitan City of Johannesburg	Define	Shares executive and legislative authority with the Category C municipalities. Local council within a district. Example: Midvaal Local Municipality	Define	Municipality that incorporates more than one municipality (forming a district). Sedibeng Example: District Municipality
Types:		Types:		Types:	
Collective executive system		Collective executive system		Collective executive system	
Collective executive system combined with a sub-council participatory system		Collective executive system combined with a ward system		Mayoral executive system	
Collective executive system combined with a ward participatory system		Collective executive system combined with a mayoral executive system		Plenary executive system	
Mayoral executive system		Mayoral executive system combined with a ward participatory system			
Mayoral executive system with a sub-council participatory system		Mayoral executive system			
Mayoral executive system combined with a ward participatory system		Mayoral executive system combined with a ward participatory system			
Mayoral executive system combined with both a sub-council and a ward participatory system		Plenary executive system			

Content adapted from Craythorne (2006:56-58)

Other types of municipalities may establish ward committees with expressed purpose to enhance public participation in local government. If a metro chooses to have ward committees, it must establish them within each municipal ward (Cloete & Thornhill, 2005:97; Cameron, 2000:163). According to section 73(2) of the Municipal Structures Act 117 of 1998, a ward committee consists of the councillor representing the ward in the council. A councillor should be the chairperson of the committee, and not have more than 10 community-based elected members. Van der Waldt (2007:37) clarifies that ward committees advise ward councillors.

Although a framework of the South Africa IGR is advanced particularly at policy level, the local government sphere seems to be the most critiqued as failing to deliver services. Siddle *et al.* (2012:10) mentions the following local government weaknesses; poor institutional design, lack of capacity in poorer regions and the need for cross-subsidisation. These criticisms are in line with government's own self-criticism through NDP (Vision 2030) that IGR needs to improve coordination and cooperation (Republic of South Africa, NDP, 2012:431). Municipalities have increasingly been allocated developmental roles in addition to delivering of basic services to ensure sustainable development, as per section 24(b) (iii) of the *1996 Constitution* (Pieterse, *et al.* 2008:2; Atkinson (2002), in Siddle, *et al.*, 2012:5). A notion of a developmental role of local government was included in the White Paper on Local Government (1998).

4.6.3.2 Diepsloot ward committees

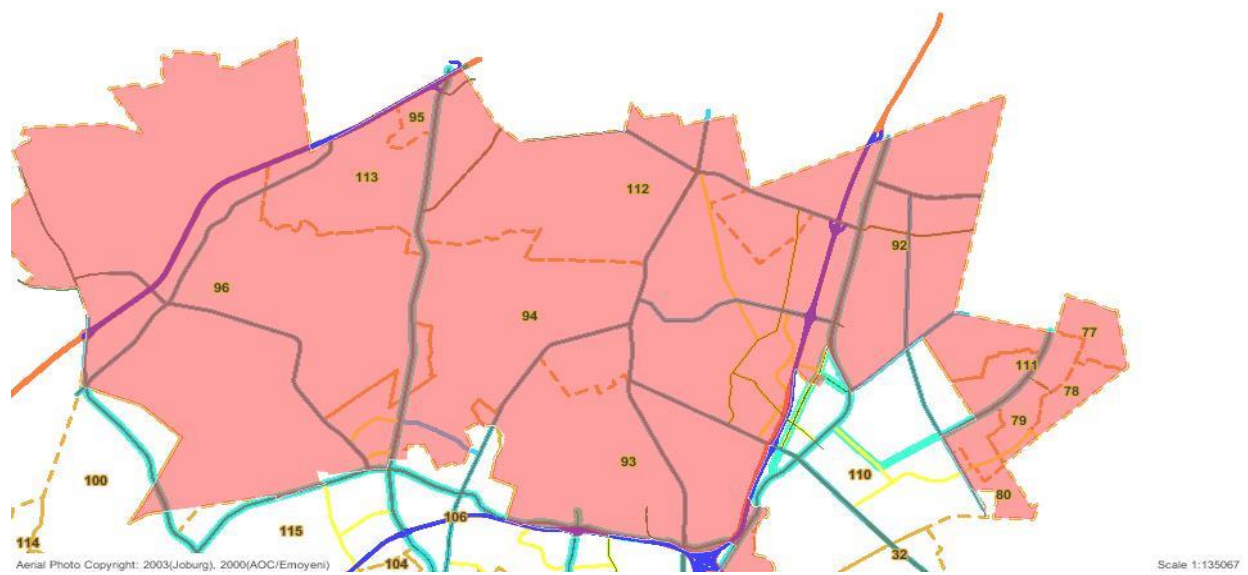
Diepsloot belongs to Region A of the seven regions of the City of Johannesburg. According to Harber (2011:9-17), the Diepsloot community that was formed out of people who were forcibly removed from Zevenfontein, Rhema Church's land, and Alexandra from 1991 (Harber, 2011:9-17). In a continued attempt to find solution for the 'squatters' of Zevenfontein, in March 1992 the Transvaal Provincial Administration (TPA) released a 48-page Blue Report which led the provincial administration to expropriate part of the farm Diepsloot 388 JR for their settlement. Designated for less formal settlement, there was no housing and infrastructure (Harber, 2011:11). The original group who moved to

Diepsloot in early 1995 was joined by Alexandra people of the Far East bank who experienced floods. A second expropriation was done in 1996 to accommodate the increasing numbers of informal households (Harber, 2011:15).

The ward committees for this study are at Diepsloot in Region A of the City of Johannesburg Metropolitan Municipality. As shown on Figure 4.2, the municipal wards are 95, 96 and 113. Ward 96 is predominantly urban hence its non-inclusion in the study. Kunene (2013:Online) states that formalisation is the process in which “legal processes where townships are created with formal services through which residents obtain formal security of tenure on the hand regularisation is an interim process to recognise informal settlements and to promote a degree of security of tenure for households”.

Currently, Diepsloot is being upgraded *in situ* (onsite development). The implications for stages of upgrading informal settlements mean that at full upgrading, all services are restored; at interim upgrading, basic services are provided leading to formalisation; the emergency basic services stage is based on providing basic services when long-term formalisation is not viable but relocation is not urgent. The relocation stage is the last resort and it applies to impossible provision of services under the circumstances (Aigbavboa, *et al.* 2010:236).

Figure 4.2: Map of Region A wards including Diepsloot.



Source: City of Johannesburg: Diepsloot Community Meeting Presentation (2016)

In the CoJ, 49 out of 182 informal settlements have been formalised (Joburg, 2016: Online). In contrast, Aigbavboa *et al.*, (2010:240) state that, “by August 2008, a total of 68 of 122 identified suitable for *in situ* upgrading has been formalised, with an additional 56 to be formalised and 12 have been eradicated by the end of 2009”.

There are currently 235 confirmed informal settlements in Johannesburg of which 63 informal settlements are in Region A of the City of Johannesburg (Diepsloot Public Meeting Presentation 31 March 2016). Despite differences on figures of formalisations and eradication of informal settlements, some activities are undertaken to source data for planning and implementation. It is also worth noting that formalisation can be undertaken on condition that the existing informal settlements are on safe, habitable and appropriately designed land, as stated by the Department of Housing in 2004 (Aigbavboa *et al.*, 2010:239).

Improvement of basic service delivery issues, such as water and infrastructure, leads to improved livelihoods. Upgrading informal settlements implies legitimacy which makes it possible to access municipal grants from other spheres of government for development, improved infrastructure and social services (Aigbavboa,*et al.* 2010:234). The informal settlements existing next to affluent suburbs and within rich cities pose a challenge for planning and creative ideas among policy makers. Hence, there is also a need to understand the implications of the security of tenure and its relevance in service provision. In the case of Diepsloot, policy makers opted for formalisation, instead of eradication.

To prepare itself for strategic challenges, in 2006 the City of Johannesburg adopted the Growth and Development Strategy 2040. The strategy was premised on a number of outcomes to enhance of quality of life in city. Key cornerstones of this strategy include a development approach, incorporating a green economy, as well as creating liveable environments, jobs and an integrated city (City of Johannesburg, 2016:Online).

The strategies of Johannesburg metro require water for industrial growth and household consumption. Johannesburg demands water strategically as it is not located in a major water catchment area. Notably, CoJ is characterised by water scarcity and increasing costs. Johannesburg's water comes from the Vaal River System. With the establishment of mechanisms for completing inter-basin transfers, more water will be introduced to the Vaal Dam over time. As stated above under the national institutions, the CoJ is responsible for managing consumption. As part of managing water delivery, the DWS and CoJ should overcome the challenge to ensure that imported water is used effectively and that rivers are not polluted (City of Johannesburg, 2016: Online).

The Johannesburg Growth and Development Strategy (Vision 2040) includes plans to manage water demand. The demand for water is anticipated to increase considerably although the scarcity of water will remain. This implies that existing resources should be used effectively. It is also worth noting that water security depends on water supply from the DWS. The role for CoJ includes demand-side management, to reduce demand for water and saving it. When doing planning, future water scarcity should be kept in mind. The Water Demand Management Strategy (Revision 1) states that Gauteng could experience severe water shortages by 2013, which is six years ahead of the 2019 implementation target for phase two of the Lesotho Highlands Water Scheme. As a result, the DWS expected Gauteng to achieve a 15% reduction in demand by June 2014.

Johannesburg Water is a public entity within the CoJ (City of Johannesburg: Online). In this study, Johannesburg Water (Joburg Water) is an important entity operating within the IGR structures and cooperative government. Johannesburg Water has direct contact with CoJ residents, while Rand Water provides bulk water to the entire province and both are corporatised organs of state. As an entity that is owned by the CoJ, the Joburg Water is responsible for providing water and sanitation services in the city and specifically in the informal settlements. As such, it plays a key role in matters related to IGR.

Potable water should also be delivered to the informal settlements like in all communities. To this end, section 3(1) (a) of the Water Services Act of 1997, all people have the right

to access water. This is consistent with section 27(1)(b) and (2) of the *1996 Constitution*, which mandates government to provide citizens with potable water within available resources. The policy also caters for poor residents by ensuring their access to basic water is not denied unreasonably for lack of payment because they cannot afford it (section 3(c) Water Service Act of 1997). The Free Basic Water Policy which provides 6 000 liters of water per household and there are no charges of water to the indigent households (Republic of South Africa, DWS 2016: Online).

The IDP report also acknowledges that the number of people with access to piped water has increased, but informal settlements still lag behind (City of Johannesburg IDP: 2013/14 Review: 292). Overall, the IDP document states that access to water is at 98.4% and has increased from 2001 to 2011. Specifically, 96.7% of the city’s population has access to piped water within 200 meters by 2011, which was an increase from 91.2% in 2001. It is also proven that water is high quality. In 2012, the Blue Report Certified Systems of the national DWS has provided a high score of 98.9% for the City of Johannesburg. The city was proud to achieve the score, despite a challenge of acid mine drainage (City of Johannesburg IDP, 2013:31).

Currently, the population of South Africa has grown from 51 770 560 in 2011 to 55 653 654 in 2016; the Gauteng population increased from 12 272 263 in 2011 to 13 399 724 in 2016 (Statistics South Africa Community Survey, 2016:19-23). Regarding delivery of water in Gauteng, the following picture at Table 4.2 emerges as reported in the community survey (Stats SA, 2016:66).

Table: 4.2: Access to potable water in South Africa

Means of water access (Piped Water)	Households of Gauteng reached (%)
No access to piped water	2.5%
Access point outside yard	7.7%
Inside yard	29.7%
Inside dwelling	60%

Source: Republic of South Africa: Statistics South Africa (2016:66)

Thus, the above Table 4.2 shows that more than 97% of households have access to piped water in Gauteng. It is within the acceptable RDP standard levels to receive piped water, but the 2.5% is not acceptable as the households are outside the RDP levels. Piped water is the only acceptable standard that implies that water should only be delivered with tankers to the communities for emergency purposes. The study intends to find out whether Diepsloot falls within the range of people who do not have access according to the appropriate standards.

Chapter 4 of the current National Development Policy (Republic of South Africa, NDP Vision 2030: 2012:180) does not shift from current water policies but emphasises support to municipalities by other spheres and more specifically for the relevant institutions to ensure sustainability. Thus, if access was the main emphasis previously in the implementation of policies; the current emphasis through NDP is sustainability. The SDGs require sustainable provision of potable water in the participating countries (Osborn *et al.*, 2015:6) like South Africa. Thus, both the South African NDP and the United Nations' SDGs are aligned on the goal of sustainable service delivery.

4.7 CONCLUSION

Chapter four discussed institutional arrangements that are pertinent for cooperative government and intergovernmental relations in South Africa and the Gauteng Province in particular. The existence of CoGTA at national and provincial level suggests an appropriate compliance with the *1996 Constitution* and the allocated functions, as per Schedules 4 and 5. Similarly, the DWS does not have a provincial department because water is of national competence but have decentralised to provinces through regionalised offices. As expected, municipalities are at the local sphere of government with ward committees. In the end, the institutional arrangements can ensure service delivery. However, individual institutions cannot be effective on their own, as collaboration is required through IGR structures and mechanisms. Chapter five addresses the methodology of the study.

CHAPTER FIVE

RESEARCH DESIGN AND METHODOLOGY

5.1 INTRODUCTION

Chapter four outlined the institutional arrangements of IGR in South Africa and Gauteng Province. The institutions that were discussed on chapter four are responsible for IGR and water services, as part of their other operations. A sample of this study is derived from the discussed institutional arrangements. The sample is discussed in this chapter. In addition to the institutions in chapter four, chapters one, two and three provided crucial information for chapter five as they collectively discussed the introduction to the study, literature review and international trends in IGR, respectively.

This chapter presents a methodology of this research. It elaborates on how the research problem is investigated. It includes the explanation of the philosophy of the methodology, data collection methods, quality assurance processes of research. The chapter concludes by addressing the ethical matters for research.

5.2 PHILOSOPHICAL METHODOLOGY

Research methodology refers to the practical choices of cases, methods, analysis made by researchers to study any phenomenon (Silverman, 2005:99; Terreblanche & Durrheim, 2006:6). Inherent to the methodology, is the philosophical aspect of research in order to place the study in the correct frame of focus. Practically, a philosophical position is imperative to clarify the foundation of the study. Philosophy is conceptually synonymous to a paradigm, which is about philosophical assumptions about the world (Welman *et al.*, 2005:13; Terreblanche *et al.*, 2006:6). A paradigm is important to guide each perspective and to be informed appropriately by conditions as experienced in societies. The methodological philosophy of this study has to be pertinent to describe a phenomenon of

IGR in the context of a service delivery environment, especially in the vulnerable communities.

According to Terreblanche, *et al.* (2006:6), the interpretive approach is ontologically based on internal reality-observer-subjectivity and it is methodologically qualitative in nature, whereas the positivist approach purports to be ontologically stable, epistemologically objective and methodologically quantitative. A positivist philosophy is supposedly objective and empirical (Minichiello & Kotter, 2010:24). However, existing theory and literature review are some of the processes that legitimise a qualitative approach as empirical (Fouché, Delport & Schurink, 2011:30; Maxwell, 2013:49).

An interpretive philosophy is based on context-dependent social phenomena (Neuman, 2006:158; Terreblanche *et al.*, 2006:51; Flyvbjerg, 2007:392). The philosophy is pertinent to IGR, which is invariably embedded to the social situations. More importantly, Luton (2010:10) states that public administration recognises the necessity of context in research. By implication, a positivist approach was not relevant, since the study required to research the phenomenon of IGR from the perspective of the actors. People who are involved in the process were expected to reveal the meaning of their experiences.

5.3 RATIONALE FOR A QUALITATIVE APPROACH

Stout (2013:19) attests that qualitative approaches are conducive for conceptual and normative studies. As stated in chapter one of this study, the aim is not only description of the phenomenon, but also to conceptualise its relevance to contexts. Furthermore, the research aims to analyse a normative angle of how the phenomenon of IGR has to perform. Scholars have distinguished the methods of qualitative and quantitative research over many decades (Walter, 2013:21; Silverman, 2005:111; Brannen, 2007: 283-284). Generally, qualitative research entails conducting an in-depth study of a phenomenon and categorisation of information as it emerges whereas quantitative method employs predetermined categories to conduct a study and utilises statistics to generalise the findings (Durrheim, 2006:47).

A qualitative approach was useful because through it, issues of IGR and service delivery would be understood from the experiences of the actors, in that regard, be relevant to address a research problem. A choice of research methodology should be informed by its usefulness to yield results that address a research question and produce knowledge over time (Silverman, 2005:99; Chopra, 2004:1).

A concerted effort has been made to understand social issues within their specific contexts by searching for people's understanding of their own lives (Luton, 2010:9; Minichiello *et al.*, 2010:17). A greater importance is accorded to perspectives of people who are studied (Boulton & Hammersley, 2006:246). Quantitative methods tend to perceive the world through variables, in contrast to qualitative research that investigates the roles of people, situations and events (Maxwell, 2013:29). The people-centeredness of this qualitative approach implies that people are collaborators in the process. Hence, they are called participants or informants, not subjects, as is the case in quantitative research (Minichiello *et al.*, 2010:19).

An element of complexity in matters of public affairs require research enquiry that may be able to measure related issues. Unlike quantitative research methods that generalise statistical analysis to reach conclusions, qualitative methods are able to deal with complex life issues that cannot be reduced to statistics (Harding, 2013:9; Luton 2010:10). According to Fox and Bayat (2007:7), qualitative analysis does not rely on numerical data. The matters of IGR structures, cooperative governance, service delivery and community participation are complex and therefore require qualitative inquiry methods.

The social situation of the cases and enquiry on relationships among institutions, require a flexibility that is provided by qualitative research. Qualitative research tends to be more flexible in design with openness, changeability, thus making research an interactive process (Durrheim, 2006:35). Similarly, Brannen (2007:282) says that while quantitative methods adopt 'complex statistical techniques', the qualitative methods apply reflexivity. In fact, lack of forced specific hypotheses at the start of the research, as stated by

Silverman (2005:99), is an indication of flexibility. It is against this background that a hypothesis is not used in this study.

Research problems influence the selection of the research design and methods (Brannen, 2007:207). According to Durrheim (2006:81), many qualitative studies are primarily descriptive. Since the study is also accommodative of normative questions, Lowery and Evans (2004) in Luton (2010:6) argue that qualitative methods are appropriate for dealing with the normative questions. The issues of IGR require thorough descriptions and normative inquiries on the set standards versus actual service delivery.

The researcher is an important instrument in qualitative research and should be allowed to share ideas and experiences. Therefore, a researcher should be aware of his/her own influence on the study (2013:88). This study required the researcher to interact with the participants in order to establish trust and immersion in community conditions. According to Neuman (2006:157), a researcher using qualitative methods should examine social process and cases within their social context.

Knowing the nature of a study, including the philosophical underpinnings, makes it possible to select qualitative approach, as done in this study. Durrheim (2006:47) warns that a choice of either a qualitative or a quantitative method has implications for research design in the context of sampling, data collection and analysis.

In summary, the study is deductive and inductive in nature. Harding (2013:12-13) defines inductive approach as a research movement from particularity to generality. It is characterised by an emphasis on collection of data first to inform the research problem and questions. Conversely, a deductive approach moves from the general to the specific, as exemplified by starting with a theory and hypothesis.

As indicated in chapters two and three, this study is guided by a theoretical and conceptual framework of institutions and to a lesser extent, of public value and public participation. This study has a flexible research question, which takes an inductive angle

However, it is informed conceptually by some theoretical aspects and a literature review that provides it with a deductive angle. Stout (2013:21) supports the choice of both an inductive and deductive approach. According to the author, methodological pluralism is acceptable as it combines inductive reasoning building from an empirical experience. An overall purpose is to apply practical approaches of actors' experiences for the sake of addressing a research problem.

5.4 TYPE OF RESEARCH

Exploratory-type of research investigates unknown aspects for new insights; descriptive research narrates situations and the explanatory research deals with causal relationships (Auriacombe & Holtzhausen, 2014:21-22; Durrheim, 2006:44). This study is descriptive in nature. Furthermore, Auriacombe, *et al.* (2014:21) mention that a descriptive study aims to find out about who, what, when, where and how. Moreover, Silverman (2005:349) states that the 'why' question can be delayed or avoided. Research questions and objectives were stipulated in chapter one of this study. The research question intended to establish the 'how' aspect of the IGR phenomenon.

5.5 CASE STUDY APPROACH

A case study is a report of an investigation of a certain definable phenomenon that could be exemplified by individual, group, institution or a unit (McNabb, 2010:8). This is a single case study of IGR in Diepsloot for potable water provision. A single case study refers to a research process which involves a single respondent or a small groups (Nock, Michel & Photos, 2007:337).

In case studies, a unit of analysis can be an event, activity, individual, organisation, group of individuals or a programme (Stake, 2003, cited in Luton, 2010:125). In this regard, a sample can be small in a case study research. The units of analysis in this study are the institutions within the IGR context, namely, City of Johannesburg, Gauteng CoGTA and

ward committees of Diepsloot. Another specific unit which is within the context of a service delivery programme, is potable water.

Wright (2012:284) confirms that IGR within a municipality is characterised by collaborations, official actors and informal stakeholders. It is against this background that this case study consists of internal institutions to the public sector and institutions that are externally based. Among the units of analysis in this study, all other institutions are internal to the public sector except the ward committees which are external to the formal bureaucracy.

Yin (2012, cited in Zongozzi & Wessels 2016:219) states that a single case is made up of two sub-categories. These include (i) a design focused on one case or (ii) a case designed with multiple units. McNabb (2010:8) concurs that a single case study can involve a small number of units. This research adopted the option of a single case study with multiple units. The multiple units of the CoJ, Gauteng CogTA and ward committees provided multiple sources of data. Flyvbjerg (2006:19) emphasises that a single case study is not inferior to multiple-case studies, since multiple units of each case study can produce rich data. Case studies lead to a relevant information (Johnson, 2014:92).

This case study examines multiple institutions in the context of IGR. A policy analysis of pertinent government institutions at a national level covers the role of the national sphere. Provincial and local government spheres can provide data on policies which within their constitutional competencies. On the other hand, the ward committees are community structures which can experience service delivery on the ground. Through, the ward committees, data may emerge about a state of delivery of potable water and performance of public institutions. As such, IGR system comprises of various institutions as units with interlinked relational behaviour.

Case studies are conducive for successful researching of complex relationships (Luton, 2010:124). Multiple actors in IGR contribute to its complexity as a system. Seabi (2012:83) emphasises that the purpose of case studies should be to understand the case

in its natural setting to be able to acknowledge its complexity and context. In this regard, a single case study approach is pertinent for the study of possible complex IGR relationships.

This study on IGR in Diepsloot adopts a qualitative methodology. It is necessary to determine if a case study is pertinent for a qualitative methodology. Neuman (2006:90) asserts that qualitative research normally uses case-study approaches. According to Johnson (2014:90), case studies can address descriptive and normative questions which are pertinent for a qualitative approach.

Overall, a case study approach is pertinent, since it can provide a description of what is happening, why it happens and how it happens (McNabb, 2010:xix). McNabb (2010:12) confirms that case research is effective for partnerships, collaborations and network participation. According to Willig (2008, cited in Morgan and Sklar, 2012:75), the case study is used to delineate clear boundaries in order to allow responses to descriptive and normative questions, as explained. Research questions which are stated on chapter one of this study are descriptive and normative in form. Essentially, an IGR case study of Diepsloot with boundaries of multiple units in the form of CoJ, ward committees and Gauteng CoGTA can yield good results due to the relevance of a single case study approach.

5.6 RESEARCH TECHNIQUES

Research techniques involve issues of sampling, as well as instruments for data collection and analysis. This section explains how the various units of a case will be selected in a technique called sampling. Collecting data by instruments is explained to fit with a sampling technique. To analyse data that is derived from samples and collected in an empirical manner, should be well explained. Hence, this section will conclude accordingly with analysis and interpretation. Prior to finalisation of the techniques, a pilot study was conducted.

5.6.1 Pilot Study

Luton (2010:32) recommends the importance of utilising someone with pertinent expertise to provide inputs on a research guide, as well as conducting pilot interviews. A pilot practice on the semi-structured interview questionnaires for the focus group and personal qualitative interviews were done with various identified participants. The participants were identified on the basis of their possible knowledge of the subject matter of IGR and the area of three spheres of government.

By profile, the people who made inputs were two doctoral graduates; one current doctoral student in the national sphere; two former employees in a municipal environment including the South African Local Government Association (SALGA); and one former employee at provincial sphere and one current employee within the same sphere. The same people provided inputs on both the semi-structured interview and focus group questionnaire guides.

Interview guide for a semi-structured personal interview was designed with an intention to source data for a qualitative study. An interview guide is a list containing themes and questions prior to an interview (Luton, 2010:22) was submitted to various people with pertinent expertise for improvement, if necessary.

Some inputs on the interview instrument included additional questions, merging similar questions, and corrected language for accessible communication. Technical inputs include time allocated for interviews and clarity of questions. Requested inputs related to the structure of the interview guide.

Hereafter, instruments were pre-tested by interviewing three of the approached pilot participants. The mock interview process provided the researcher with better insight on posing questions, as well following up on emerging issues. This testing and interview

process helped finalise initial thematic categories; which were derived from the literature review period.

The focus group interview guide instrument was subjected to the same pilot participants. Similarly, the inputs took the form of ensuring that questions are pertinent and clear. In particular, one pilot participant from local government sphere emphasised the need to probe ward committees and their roles and state of capacitation. Moreover, the pilot participant added that ordinarily ward committees are likely to work with municipalities, as they are established by them.

A view of ward committees being established for the purposes of working in the local sphere provided a clearer insight on how they could be relating with institutions. Another pilot interview with a provincially based participant highlighted a complex nature of vertical and horizontal relationships, including from the party-political arena. Insights gained from these pilot interviews and inputs on instruments, contributed immensely to improving research tools before the actual semi-structured interviews and focus group sessions.

5.6.2 Sampling

By definition, sampling refers to a procedural selection of research elements or cases from an entire population (Durrheim, 2006:49; Sapsford & Jupp, 2006:26; Rule, *et al.*, 2011:10; Tranter, 2013:101). The population is the totality of units to be studied (Ezzy, 2013:59). A population of this study is institutions of Intergovernmental relations and potable water management. The units of analysis refer to elements of the population with characteristics that can be collected, analysed and described according to the research problem (Welman *et al.* 2005:53; Fouché & De Vos, 2011:93).

For this study, the specific multiple units of analysis are IGR structures including a municipality-based governance structure called ward committees. According to Babbie (1989) in Durrheim, 2006:4), examples of units of analysis include individuals, organisations and social artefacts. In turn, Welman *et al.* (2005:53) mentions events,

human products and institutions. Following a population with its units of analysis, a sampling frame should be determined. According to Tranter (2013:101), sampling frame refers to a list of units or cases from which a sample is chosen. In this study, a sample frame is IGR structures on water delivery from all spheres of government operating in the Gauteng Province.

A sample was derived from the sampling frame of IGR institutions. Purposive sampling refers to targeted selection of units of the population, which are typically relevant to the research problem (Bless, Higson-Smith & Sithole, 2013:172; Tranter, 2013:111; Morgan *et al.*, 2012:70). Burger and Silima (2006:663) propose that a strategy to arrive at a purposive sampling is to determine variations within a population. In this study, the variations were IGR institutions and structures with reference to potable water in Gauteng. The context of this study is the community of Diepsloot, a poor area with a legacy of an informal settlement.

There were two wards in Diepsloot and each ward is made up of ten community representatives. Although Diepsloot is made up of wards 95, 96 and 113, wards 95 and 113 were selected as they reflect legacy of informality predominantly. Ward 96 includes some neighbouring suburban areas. The two wards were purposely approached for a focus group discussion. Although there were two ward committees, one combined focus group session was conducted. The purpose was not to compare the ward committees but to source experiences about working with public institutions and service delivery, particularly water. It is a critical case, since it exhibited the exact characteristics that need to be observed (Strydom & Delpport 2011:393), namely contextual challenges of poverty, poor public services and poor infrastructure (Qwabe, 2013:24; Cloete & Thornhill, 2005:10).

The study included a snowball sampling in addition to purposive sampling. Luton, (2010:39) states that snowball sampling is an iterative process that implies that earlier interviewees recommend the latter ones. There were two incidents of snowball sampling. First, officials who work on IGR matters in the institutions were directly chosen for semi-

structured interviews by virtue of their decision-making roles. They referred the researcher to other officials in certain organisational units who could add value to the study. Secondly, another referral was done when participants at the CoJ informed the researcher about the officials at the CoJ: Office of the Speaker, whose role is to coordinate the activities of the ward committees.

Purposive sample was chosen, as it would address the research problem. Firstly, the sampling units should exhaust the entire population. As such, a collection of its elements and all institutions that deal with water services and their linkage on IGR have been selected (Sapsford *et al.* 2006:26). In addition, the ward committee at community level represent a context of service delivery from this sample. A state of sampling saturation is when the institutions selected are adequate to address the research problem and provide sufficient data (Morgan, *et al.*, 2012:76; Rule *et al.*, 2011:72).

Secondly, the concept and practice of IGR is about institutional relationships. This required an in-depth analysis to understand any nuances that could have implications on service delivery. After all, qualitative case studies are conducive to complex relationships (Luton, 2010:124). Thirdly, since this is a qualitative case study, the sampled institutions provide a small sample. (Qualitative studies often use small case studies (Rule *et al.*, 2011:10; Neuman, 2006:158). Table 5.1 indicates the sampling of the study.

Table 5.1: Sample participation and other variables

Institution	Total Population	Target Sample	Achieved Sample (%)	Gender	Age
Provincial Cooperative Governance and Traditional Affairs (Gauteng CoGTA)	Public Participation Unit (5) Community Development Workers (15) IGR , Governance and Traditional Affairs Unit (9) Infrastructure Unit (14) Total = 43	5 (a representative for each unit)	5 (100%)	Females: 1 Males: 4	46-55 46-55 46-55 46-55 36-45
City of Johannesburg (Officials)	35	5	5 (100%)	Females: 1 Males:4	26-35 36-45 36-45 36-45 46-55
Ward Committees of Diepsloot in the City of Johannesburg	20	10	6 (60%)	Females: 2 Males: 4	36-45 36-45 36-45 46-55 46-55 56-65
<i>Unplanned Sample of:</i> City of Johannesburg (Officials in Office of the Speaker	3	2	2	Males: 2	36-45 46-55

Source: Researcher

This is also a response to a choice of the case and its multiple units, as it addresses the research question on IGR in Gauteng and an informal settlement with possible water challenges (Zongozzi *et al.*, 2016:218). Therefore, all the institutions represent local and

provincial spheres of government, including a community within the CoJ who would benefit from the services through their ward committee. The sampled institutions granted an approval for research to be conducted within the institutions (**Annexure 1**).

5.6.3 Data Collection

The data was collected using the abovementioned instruments of interviews, focus group and documents. The below tools should provide what Kelly (2006b:288) and Rule, *et al.* (2011:72) regard as sufficient information to be able to respond to the research question. Yin (2003:86) states that the only data sources in case study research include documentation, archival records, interviews, direct observations, participant observation and physical artefacts; thus excluding quantitative questionnaires.

5.6.3.1 Literature review

The literature review took the form of government documents, media reports and research reports that are publicly available. The openly published documents (Jupp, 2006:277) were selected on the basis of the general circulation and availability in public. The literature review in chapter two commences with documents as instruments and they provided preliminary themes to this study. Strydom and Delport (2011:376) state that documents are any information that is pertinent to the phenomenon under study.

Notably, information contained in any document determines its applicability (Strydom *et al.*, 2011:342). The types of documents are life histories, a diary, newspapers and magazines, letters, stories, essays, official documents and records, as well as research reports (Jupp, 2006:274-276). In addition, Luton (2010:135) states that case studies involve organisational documents and media reports, which are associated with a case and its context. In this study, the organisational documents included policies from the DWS and COGTA to source information about policies at the national sphere. Silverman (2005:160) argues that small numbers of documents are used in qualitative studies in order to understand the phenomena. Thus, this study employs documents that are

produced on the subjects of IGR in service delivery with contextual issues and water management.

5.6.3.2 Semi-structured interview guide

The interviews were utilised to gather data from the selected participants of IGR institutions via semi-structured, face-to-face interviews. They are also called qualitative interviewing due to their nature of flexibility and guided probing (Rapley, 2007:18 & Harding, 2013:22). Wilson and Sapsford (2006:94) state that semi-structured interviews are like a natural conversation and they use predetermined questions, responsive probes and follow up questions (Luton, 2010:23). The researcher is provided with an opportunity to be part of the knowledge production by focusing the interview, especially as a one-on-one format (Brinkmann, 2013:20-27).

Linked to the interview instrument, is the interview guide. This guide provides for general questions to focus the interviewer during an interview process (Johnson, 2014:113; Harding, 2013:38). The interview guide consists mainly of open-ended questions (**Annexure 2**). According to Swift (2006:159), those questions provide respondents with freedom to answer but closed questions restrict responses to numbered options. As face-to-face interviews provide an opportunity for direct engagement in the environment, observation data can be collected (Walter, 2013:134).

5.6.3.3 Focus group

An IGR structure of ward committees were subjected to a focus group. A group interview guide was developed to be used during the focus group session (**Annexure 3**). According to Kelly (2006b:306), a focus group concerns a group interview. It consists of participants who share common experiences but do not necessarily have the opportunity to share their ideas on a daily basis (Macnaghten & Myers, 2007:65). Its composition should not exceed twelve people (Fox *et al.* 2007:72; Kelly 2006b:306) but four to ten members is recommended (Virginia & Clarke, 2013:200; Macnaghten *et al.*, 2007:65). A ward

committee does not exceed ten members, which makes it suitable for a focus group. Ward committees work closely but they deal with their sectoral responsibilities individually. Focus group members should be interviewed in conducive environments that are familiar and non-threatening (Moore, 2006:145), hence the usage of Diepsloot.

5.6.4 DATA ANALYSIS AND INTERPRETATION

Data was read closely, so that the researcher is familiar with the details related to the research problem (Terreblance, Durrheim & Kelly, 2006:322-323; Boulton *et al.*, 2006:251). The field notes, interview transcripts and questionnaires were scrutinised for all the relevant nuances. At this stage, the researcher will start producing analytical notes, a process that will continue the qualitative research inquiry. Chapters five and six elaborate on the data collection and analysis.

The literature review on IGR was a source of the initial categories of themes. Literary materials provide categories of information. Hereafter, these categories are classified and coded for successive analysis (McNabb, 2010:112). Themes and sub-themes were developed from these theoretical and conceptual predispositions as part of the categories. These were named according to the meaning of data, as it related to the research problem and questions. Maxwell (2013:107) states that categorising is done according to themes and codes. Out of field notes, semi-structured interview and focus groups transcripts, themes and sub-themes expanded with more data to be analysed. More importantly, Boulton, *et al.*, (2006:323) advise that categorisation should not merely summarise content. Rather, it should reflect the meaning of content and other aspects, such as tensions and functions.

Data fragmentation should be supported by appropriate categorisation and interpretation of data. This provides an order for the data. Categorising analysis starts with identifying units or segments of data that seem important or meaningful in some way (Maxwell, 2013:107). These categories are fashioned on the roles of IGR structures and

experiences by the communities. Thus, the following thematic categories that define the drivers of IGR engagement emerged from the literature review process:

- Institutional engagements: This category is about the establishment of structures of intergovernmental relations, their composition and strategic positioning.
- Normative engagements: This category intends to describe the normative aspects of IGR, such as cooperation, collaboration and trust between the institutions for delivery of potable water.
- Service delivery engagements: This category describes IGR engagement that rightfully intends to adding value through service delivery and analysing the state of intergovernmental relations and service delivery.

Semi-structured interviews provide data that is transcribed and analysed by the *ATLAS.ti* Version 7. *ATLAS.ti* is pertinent for qualitative data analysis of research data, which is sourced from texts, graphics, audio and videos (ATLAS.ti: 2013:9). It will be an aiding tool to complement other means mentioned, such as audit trail and transcripts. The audio recording is transcribed to source data (Willis, 2013:320). Subsequently, the categorisation of the semi-structured interview process becomes imperative to develop themes and sub-themes and link them to themes that emerged during a literature review. The general themes that emerged from literature review were used to develop the data collection instruments. Naturally, these instrument of interview guides were refined after a pilot period.

The coding part of categorisation had labels assigned to important emerging themes and sub-themes. This marking with labels makes it possible to identify commonalities on the data that could be compared at later stages. Coding also helped with identifying differences and examining relationships in their character as notes on the transcripts and other sources of data. This study includes “apriori codes which are created to reflect categories and already of interest before the research has begun and empirical codes which are derived while reading through the data” (Harding, 2013:82).

It is also imperative to reflect on the role of a researcher. It is a self-awareness of the role of a researcher and an adopted position in the process of research, which is called reflexivity (Willis, 2013:317). Also, reflexivity ensures an explicit data collection and analysis process that render credible findings (Boulton *et al.*, 2006:256). Reflexivity is manifested in the form of 'methodological memos' (Harding, 2013:172). Willis (2013:324) refers to memos as field notes. Together with memos, the researcher produces field notes that state how the decisions during the research process were reached.

This study produced the relevant field notes and memos about methods, techniques and water delivery. The researcher takes extensive notes and uses it to contribute to understanding the emergent meanings and subsequent themes, coding, categorisation and analysis. After interviews and focus group sessions, participants were approached to verify whether the transcripts and analysed texts reflect their responses accurately. This practice of organised soliciting of feedback from research participants is called member checks (Maxwell, 2013:127). Throughout the process, an audit trail is a good record-keeping tool. This documentation process of supervisory checks for any biases or misinterpretations, thus contributing to dependability on the study (Swift, 2006:108).

Data from the relevant documents were analysed by means of textual analysis. Textual analysis lays emphasis on the meaning from the documents instead of number and frequency of occurrence (Strydom & Delpont 2011:381). The analysed documents were discussed in chapter two of this study. In general, a focus was analysing any policy related document that could be selected to respond to the research problem.

The final interpretation of data from this case was a final step of analysis to respond to a research problem and questions. According to Macnaghten and Myers (2007:75), interpretation is an important step on its own. It should not be lumped with data analysis and goes further to indicate that an interpretation of data is about placing the particular analysed aspects within a theoretical framework. When all the cases have been analysed, final findings are identified. During the interpretation stage, data and its meaning is

brought together. Data interpretation is a critical stage of the research process, as it leads to a required thick description (Rule *et al.* 2011:75). Miles, Huberman and Saldaña: 2014:11) say that thick description refers to data that is presented in its richness and holism to be able to reveal embedded complex issues. It is in line with the importance of 'meaning', and, according to Luton (2010:42), it should be provided by an analysis. In the study, data from the focus group, interviews and documents were interpreted by comparing the categorised and coded themes with the theoretical themes.

In the first instance of interpretation, data is linked to its theoretical perspective by analysing theoretically based themes and linking them with other emergent themes and sub-themes. Overall, the interpretation of data is in the form of a narrative on the case and its units. A narrative is provided on each case. According to Stake (1995:40), this optimises an understanding of cases. In addition to the narrative, there is a minimum statistical analysis called quasi-statistical styles for categories and codes to arrive at quantifiable indices (Terreblance, Durrheim & Kelly, 2006:322).

5.7 ENSURING THE QUALITY OF THE STUDY

Reliability, validity and objectivity determines quality in a quantitative research, whereas trustworthiness, credibility, transferability, dependability, triangulation and confirmability are for qualitative studies (Bless *et al.*, 2013:220). Wassenaar (2006:70) states that these rigorous concepts and practices provide valid answers to the research question. There are various kinds of quality and trustworthiness measures, which will be discussed below.

The researcher is a trustworthy person who adopts a self-critical stance, curiosity and thoughtfulness (Bless *et al.*, 2013:236). Memos and reflective approaches depict this involvement of a researcher. Denzin's Triangulation refers to using multiple methods to measure a phenomenon (Neuman, 2006:149-150; Kelly, 2006a:287; Maxwell, 2013:103) and it is used to enhance the trustworthiness of research (Yin, 2014:121; Bless *et al.* 2013:238).

The usage of interviews, a focus group and documents through a literature review is intended to ensure validity. The design of a focus group guide incorporates questions about intergovernmental relations and water delivery (**See Annexure 3**), so that the instrument can measure what it is intended to measure. Construct validity is further enhanced by deploying the means of documentary analysis out of a literature review. The utilised documents were selected on the basis of their reference to IGR, service delivery, informal settlements and water delivery, so that “instruments can measure what they are intended to measure” (Fox *et al.*, 2007:70).

Yin (2003:36) states that internal validity is not applicable on a descriptive study but on an experimental one which measured causality. Schurink, Fouché & De Vos, (2011:419-420); Swift (2006:107) and Boulton *et al.*, (2006: 277-278) differ by stating that internal validity is equivalent to credibility or authenticity, which is concerned with identifying and describing a subject accurately. It focuses on matters such as triangulation of methods and member checks. Thus, the study engaged participants with three research methods and member checks.

The external validity tests whether the findings of the study can be generalised beyond the case in question (Yin, 2003:37). It is also called transferability (Bless, *et al.*, 2013:237). Purposive sampling will not allow a generalisation, as it can be claimed in a quantitative study. True to a qualitative study, transferability is assisted by a detailed description of the context to allow a comparison with other similar contexts (Bless *et al.*, 2013:237).

To ensure reliability, the study is documented thoroughly, so that information is available and informed by a clearly described research strategy (Bless *et al.*, 2013:237). The procedural steps that are undertaken during the study are recorded and noted as part of the audit trail. This to ensure that the study can be repeated and produce the results as expected. Reliability is the dependability of the study (Swift, 2006:107; Boulton *et al.*, 2006: 277-278), which needs the research process to be logical, well documented and audited (Schurink, Fouché & De Vos 2011:420). Reliability reduces the errors and biases by conducting the same case over again and expecting to arrive at the same findings and

conclusions (Yin, 2003:37). Table 5.2 provides a summary of the general approach of the different research approaches that were used in this study.

Table 5.2: Research approaches in this study

Term	Definition	Example used in this study
Paradigm	Broad orientation to knowledge and reality	Interpretive
Tradition	Orientation to data and its analysis	Qualitative
Approach	Way of designing or conducting researching	Case study
Method (Techniques)	Way of gathering or analysing data	Interview, document analysis and focus group
Technique	Specific application of method	Semi-structured interview, focus group and document analysis

Source: Adapted from (Rule *et al.* 2011:ix)

5.8 ETHICS IN THE STUDY

Ethics are linked with the quality of a study and when practiced well they enhance trustworthiness (Rule *et al.*, 2011:111); dependability and confirmability of cases (Swift, 2006:107). It all relates to issues of informed consent, voluntary participation, confidentiality, trust, honesty, as well as anonymity (Ryen, 2007:219-222; Swift, 2006:107; Abbot & Sapsford, 2006:295; Luton, 2010:33).

To ensure an informed consent, participants receive a written request to participate in the study. Moreover, the principles of trust, confidentiality and anonymity are maintained. Confidentiality is also guaranteed in the context of focus group and interviews. According to Ryen (2007:219), even during interviews, participants should be told that they are being recorded, as per the practice applied in this study. Research ethics are meant to protect the research participants from any harm (Wassenaar, 2006:61).

A case study requires various participants to cooperate with the researcher. Wassenaar (2006:69) mentions that collaborative partnerships are important for a researcher, as an empathy with the community by understanding their values, traditions and practices. In fact, the field notes indicate this collaboration with participants in all cases of the study. Maxwell (2013:90) adds that relationships should be negotiated to gain access to information ethically. Overall, the research process accommodates all the required ethical matters to avoid harming participants (the principle of non-maleficence) and to ensure that a research is done for the good of the public (the principle of beneficence) (Rule *et al.*, 2011:112).

5.9 CONCLUSION

The aforementioned research design indicates that the study is descriptive in nature and utilised a case study approach. The case study approach is concerned with researching institutions and structures, with policy interpretations as framework. The interpretive paradigm links well with a qualitative approach because they both allow for sourcing of the experience of the actors in the context. As the study is concerned with institutional relationships and a context of service delivery, qualitative methodology is conducive to yield a thorough description.

A sample is derived from the populations of public institutions and the IGR structure of the community, *viz-á-viz* ward committee. To investigate and describe the relationship in the context of intergovernmental relations and cooperative government, a purposive sampling with an allowance for snowball sampling was pertinent. The methodology was applied to ensure that research quality standards were adhered to, which include validity, transferability and credibility. To finalise data, as derived through samples and qualitative data collection methods, a descriptive analysis of data was undertaken.

Since the study involves people, ethical considerations to guarantee anonymity and confidentiality are of great significance. Tools, such as focus groups and interview guides,

require participants to agree to the study. Furthermore, they are assured that the information will be used for the declared purposes only. Thus, participants were asked to fill in a consent form for each of the methods. The next chapter utilises this stipulated qualitative methodology to report on the study findings.

CHAPTER SIX

DATA ANALYSIS AND INTERPRETATION

6.1 INTRODUCTION

Chapter five elaborated on a research design and methodology. It highlighted that the study is based on an interpretive philosophy, which provides an opportunity for participants to be self-reflective. It further stated that the research design is qualitative and the study is approached as a case study. Two data-gathering methods in the form of semi-structured personal interviews and focus group discussions were utilised to triangulate with data from the literature review. Following the two data-gathering and analysis methods, this chapter deals with an analysis of four sets of data.

The first set of data was collected among the officials of the Gauteng CoGTA. The second and third sets of data comprised of CoJ Metropolitan Municipality and the Office of the Speaker, respectively. Moreover, both the first, second and third sets of data were collected by means of semi-structured personal interviews. The fourth and last set of data was collected from members of two ward committees in Diepsloot of the CoJ Metropolitan Municipality by means of a focus group.

In this chapter, the data will be analysed and interpreted. The collected data is presented according to institutions that were sampled. The questions were posed through semi-structured interviews and focus group methods. Similarly, the interpretation of data follows a process that uses the themes which emerged from primary data and secondary data. The achieved sample required, as presented in chapter five, necessitates a possible analysis of data that can produce a thorough description of contextual meaning. The achieved sample provides for rich data (Stout, 2013:16) and all units in the form of IGR institutions were sampled (Durrheim, 2006:41). Regarding a focus group, a sample was not meant to be as representative statistically as in a positivist research tradition. Rather,

the aim was to yield discussions that can cover a range of issues on the subject matter (Macnaghten *et al.* 2007:68).

6.2 DATA ANALYSIS PROCESS

Descriptive analysis was used. According to Durrheim (2006:81), this is usually meant for observing existing patterns and implications in qualitative research. In analysing the transcripts of the semi-structured personal interviews and focus discussions descriptively, the thematic categories that emerged from the literature review were utilised. Consequently, while collecting data, none of the categories from literature review, required changing. As stated in chapter four, the categories are (i) institutional engagements; (ii) normative engagements; and (iii) service delivery engagements.

The thematic categories that emerged from the literature review are linked with sections of chapters two and three of this study. Firstly, the institutional engagements theme is derived from a theoretical and conceptual background for intergovernmental relations. Yin (2014:136) attests that a researcher may continuously rely on emergent theoretical propositions to complete a case study. Chapter two, section 2.4 of this study, reflects the relevant theories, concepts and approaches. Overall, literature revealed that IGR forms part of institutional theories. Furthermore, the literature review revealed a conceptual framework of public participation, public value, multi-level governance, decentralisation, networked governance, whole-of-government and joined-up government, all of which have similar implications for IGR. Using these concepts and theories led to a theme of institutional engagements.

Second, a theme of normative engagements that includes collaboration, cooperation and coordination, is informed by what Watts (2001:28) calls consultation and mutual policies. In chapter two, section 2.4 and chapter three of this study, pertinent concepts, such as cooperation, collaboration multi-level nature of governance, public participation and trust were confirmed values and principles of IGR. In this regard, the normative position of section 41(1) (c) of the *1996 Constitution* became necessary to inform the research

problem and methodology in general. Notably, it requires the actors in the spheres of governments to be coherent, accountable, and transparent and cooperate when conducting their assigned functions.

Thirdly, the theme of service delivery engagements refers to the existential purpose of the institutional arrangements of IGR. The service delivery engagements category is particularly about a description and analysis of a self-reflection about the state of intergovernmental relations and service delivery. The institutional mechanisms on provision of potable water is a representation of how IGR works or fails to influence service delivery. As a representation of cases of practical implementation initiatives of IGR matters for service delivery, chapter three and four analysed compared forms of governments in the interstate context of IGR. This theme on service delivery is also primarily derived from section 41(1) (c) of the *1996 Constitution*, which provides for transparency and accountability. More specific to service delivery is section 95 of the *1996 Constitution*, which stipulates the values and principles with which public administration should serve the public. The values and principles include fairness, ethical service, and a development-oriented approach.

The thematic analysis process requires a systematic approach that is suitable for qualitative research. Terreblance, Durrheim and Kelly, (2006:322-326) state the following steps on data analysis that were followed in the analysis of this study:

- Step 1 – Familiarisation and immersion: Reading field notes and interview transcripts.
- Step 2 – Inducing themes: Thinking through issues such as processes and functions to assign theoretical labels to the inputs from the participants. This is meant to result in a systematic grouping of data into themes.
- Step 3 – Coding: When data is marked to highlight its relevance to emerged themes. At this stage, it is also possible to earmark sub-themes.
- Step 4 – Elaboration: Assigning meaning to themes and sub-themes, which could lead to an acceptable recoding of data.

- Step 5 – Interpretation and checking: When the researcher’s interpretation is revealed with a possible usage of themes and sub-themes.

6.2.1 Process of analysis in this study

In this study, the above data analysis steps were employed as follows to analyse the semi-structured interview transcripts and the focus group transcripts:

- **Step One:** Familiarisation and immersion

The first action of familiarisation was listening to recorded transcripts of interview and focus group sessions. Meanwhile, the participants were requested to check the transcripts and to confirm if their interview inputs were captured and interpreted correctly. Thereafter, further readings were continued to gain a deeper understanding.

- **Step Two:** Inducing themes

The themes that were developed from the literature review and data collection process were categorised for further analysis at a later stage.

- **Step Three:** Coding

Initial coding was conducted manually by highlighting the general themes in different colours. The *Atlas ti* software was used simultaneously. The process of coding resulted in the categories of themes and sub-themes.

- **Step Four:** Elaborating themes and subthemes

Data from the semi-structured interview transcripts and focus group semi-structured interview guide was analysed to find nuances and meaning that could improve analysis. Each interview reveals meaning that is specific to its context. The context varied enormously because, even within the institution, a certain structural unit can exhibit its own culture, challenges, success and norms. It is against this realisation, that discussions on responses highlight concomitant elaboration on themes and sub-themes, in the next session (6.3)

- **Step Five: Interpretation**

Macnaghten, *et al.*, (2007:75) postulate that interpretation is concerned with locating analysed statements within a context of pertinent theoretical considerations. It is for this reason that this process of data analysis is linked with questions that were informed by the objectives of the study.

6.3 ANALYSIS OF SETS OF DATA

This case study made use of four data sources. Semi-structured personal Interviews provided the three sets of data from three units of the IGR case, namely the Gauteng CoGTA, CoJ under the city manager and CoJ under the Office of the Speaker officials.

The semi-structured questionnaire guide consisted of guiding questions to allow for a thorough probing by the researcher (**Annexure 2**). This section discusses the responses to questions that were posed during a data collection process. A number of questions were linked with a particular area of interest such as the structural arrangements on IGR. The discussion of questions is followed by an assessment of responses according to the themes. The open-ended questions that were posed during the semi-structured interviews are summarised in the form of an objective and a general question.

6.3.1 Officials of the Gauteng CoGTA

Objective of the questions on IGR structures: To source information from the participants about the structures of IGR and their participation on the structures.

Questions:

- What is your role in the organisation regarding IGR?
- How important are the functions of IGR?
- What are the levels of responsibility for IGR in the organisation in terms of positions in the organogram?

- How do the units relate to the matters of IGR?
- What are the IGR structures that have been established that you know of?

Respondent 1 and 2: The Premier of the Gauteng Province (Office of the Premier) is a custodian of intergovernmental relations (IGR). Gauteng CoGTA is responsible for municipal IGR. Although there was talk of a need for Gauteng CoGTA to be responsible for the entire IGR in the province, a concern is that the departments may not cooperate because Gauteng CoGTA is a sector department like others. In terms of location, IGR could be better located at the office of the head of department (HoD) within the Gauteng CoGTA as it will be more effective. We have IGR Practitioners' Forum for all departments in the province. The Office of the Premier manages the forum and as Gauteng CoGTA we are involved at the level of the agenda setting.

Probing question: Are the municipalities, especially the City of Johannesburg, part of the IGR Practitioners' forum? Yes, officials from the CoJ do attend the meetings of the forum.

Probing question: Do you manage grants to be given to municipalities?

Respondent 1 and 2: No, the IGR unit of Gauteng CoGTA does not manage municipal grants.

Respondents 1 and 2: Currently the Gauteng CoGTA's IGR Framework is being reviewed to address two matters, which are (i) the reporting role of all the departments on IGR matters and (ii) to increase our focus on the metropolitan municipalities because we are currently concentrating on district municipalities more. To ensure the role of reporting by all departmental stakeholders. Another challenge is that the IGR unit of Gauteng CoGTA concentrates more on district IGR and less on metropolitan municipalities.

Respondent 3: In the Gauteng's Municipal Infrastructure and Technical Support sub-unit, a focus is also on the Municipal Infrastructure Grants (MIG). The national CoGTA, DWS, and other provincial departments including Gauteng CoGTA are part of the management of the MIG. National Treasury gets involved sometimes to enhance any issues of grant funding. After allocation of grants, we monitor their expenditure for intended purpose of infrastructure. Grants are released in tranches of four allocations. If a particular allocation is not spent, then next allocation is not released.

Respondent 3: Gauteng CoGTA participates on IDP processes of local government, as required by implementation protocol. An *implementation protocol* includes all role players. As Gauteng CoGTA, we are not only involved with other institutions to provide grants but we also monitor infrastructure. National CoGTA appreciates the closeness of Gauteng CoGTA to the developments local levels, hence dependence on the province for information about municipalities.

Respondent 3: Gauteng CoGTA reports to its national department but it actually participates on IGR engagement with an intention to fulfil the mandate of the Gauteng Office of the Premier. Representing the interests of the Office of the Premiers was not done at the expense of national CoGTA because the interviewees espoused policies of national CoGTA appropriately. To illustrate the cooperation, some sub-units within Gauteng CoGTA report on behalf of the National Minister of CoGTA, while the IGR unit reports on behalf of the Member of the Executive Council (MEC) in the province.

Respondent 4: We are a unit of Gauteng CoGTA with a responsibility for public participation. We analyse reports of municipalities and plans, then we prepare for interventions.

Our community development programme is a unit responsible for the community development workers (CDWs). CDWs are based in municipalities but managed by Gauteng CoGTA.

The CDW programme began around 2005 as a government programme following the previous adoption by the ruling party, the ANC. Hart (2006:13) confirms that the 2004 national elections resulted in policy shifts, which included CDWs as a layer of bureaucracy to assist the indigent at local government with access to services. It was adopted to close a gap between government and communities.

Respondent 5: In the field there are many development workers from other departments, such as the Department of Rural & Land Reform (DRDLR) and the Department of Health (DoH) but Gauteng CoGTA's CDWs are not sector specific because they assist the community with any kind of service needs. These full-time CDWs begin their employment by going through an annual learnership. A learnership is offered over and above the required academic qualifications, which is at a minimum of grade 10. The first intake was Grade 10, but it will be changed to Grade 12. A total of 100 of the 388 were also exposed to a course on community Development.

Objective of the questions on policies: To find out how IGR is accommodated in the policies of the institution.

Questions:

- What policies are related to IGR and water services?
- How were the policies developed?
- How are the policies supposed to be implemented?
- How do the policies address places which have a legacy of being informal settlements?
- What policy matters should be reviewed to improve IGR?

Respondent 1 and 2: Gauteng CoGTA takes part when policies are made, as comments were made when IGR Framework Act of 2005 was written. Policies are developed to fit the profile of the province.

Departments, including national ones, do cooperate when information is required by Gauteng CoGTA. At times, national department or Legislature require information that should be sourced from the municipalities and they do cooperate.

Probing question: Is it easy to receive information from the departments?

Respondent 1 and 2: It is not easy but in the end they do respond.

Probing question: Why have your examples of informal settlements been about those that are in other municipalities like the District of Sedibeng but not about Diepsloot in the CoJ?

Respondent 1 and 2: Diepsloot is in the metropolitan municipality. Metros can handle their challenges because they have capacity and funds unlike the district municipalities. At the district municipality there is an IGR forum and it is expected that local municipalities have IGR forums. Metropolitan municipalities do not have IGR forums. Gauteng CoGTA require reports from all IGR structures, so that we can be aware of their existence.

Probing question: What about reports from ward committee meetings?

Respondent 1 and 2: Ward committees are not IGR structures, instead they are a governance issue and made up of civil society structures.

Respondent 1 and 2: The review of IGR policy framework was necessitated also by a need to include metropolitan municipalities in the reporting framework. Metropolitan municipalities by nature are big with larger coordination required due to many departments and agencies.

Respondent 1 and 2: Regarding relationship with National CoGTA, sometimes they request information directly from municipalities but they still expect us to coordinate it. Sometimes municipalities would have responded while we are still following up. Conflict

happens but not regularly. Now Back to Basics project requires National CoGTA to send the same template for reporting to municipalities and Gauteng CoGTA. A request or demand for information hurriedly is normally done by officials who do not know procedures.

Probing question: Does the IGR Framework of Gauteng province accommodate NGOs, CBOs and pressure groups?

Respondents 1 and 2: The IGR framework is focused on government space internally. It is acknowledged that they do have influence, so it is important that they be engaged even informally.

Probing Question: Is the power play among the role-players in IGR, for example, a Big Brother attitude?

Respondents 1 and 2: Although there is a possibility to move IGR to Gauteng CoGTA from the Office of the Premier, it is advisable not to proceed with it as others may feel that Gauteng CoGTA behaves as Big Brother. Municipalities do not like it when the Office of the Premier convene IGR meetings. It can be concluded that there is less conflict because Gauteng CoGTA ensures that responsibilities are shared in municipalities beside the Office of the Premier. Moreover, power relations do play a role as exemplified by deliberate involvement of political role-players when some decisions have to be taken.

Respondent 3: About an involvement of CBOs, non-governmental organisations (NGOs) and pressure groups; it reminds me of the Sedibeng Municipality. That Sedibeng project had all departments from all spheres, including Rand Water. But the politics in the community forced us to have a stakeholder engagement and we brought everyone including mayors. Sometimes in an election year like 2016 everyone expects to get jobs for example. We then break down the project for their understanding. Thus, you cannot run a multimillion-rand project without IGR. CDWs are involved to contact community structures before we come, then we go to the community as one.

Respondent 3: Policies on IGR do not have to be punitive because people should just do the right things according to policies. It is assumed that people participate in that structures in good faith.

Respondent 5: In the case of policies, the Community Development Programme unit came up with a policy on ward committee members' stipend – R1 000 if municipality can afford it; R500 is another option. Municipalities look at those options. Hence most municipalities differ on how they pay. In fact, an Act was passed (Local Government Amendment Laws) that recommended a five-year-term for ward committees and the stipend payable. Then the department (Gauteng CoGTA) came up with a policy.

Respondent 4: The Public Participation Unit of Gauteng CoGTA works closely with national department. National COGTA has come up with Public Participation Forum whereby provinces report on related matters.

Probing question: Is the location of ward committees in the Speaker's office helpful?

Respondent 4: it has all sorts of challenges. We came up with guidelines on establishment of ward committees and work-shopped municipalities. However, when the process started, it was such that the province was no longer involved. Then you find that members become predominantly from political parties, which compromises the functionality of the ward committee.

Respondent 4: A certain group from a political party dominates. They are supposed to represent sectors but some of them do not even know the sectors. It could be that they themselves have political ambitions. Maybe the province should be involved in monitoring the election of ward committee members by observing proceedings. It is a challenge though to be involved as officials because the elections and other community gatherings happen over the weekends and in the evenings.

Respondent 5: Ntirhisano is direct community engagement. As a result of the protests, government felt that it is important to engage. The Premier's office drives it and there is a provincial task team consisting of various depts. CDWs also do environmental scanning and security issues. The critical sites are identified for visits. Political principals also attend. If water is an issue, obviously that site will be visited to. When they come back, then analysis is done. After 1pm a public meeting is held normally and the community members are encourage to raise issues directly or at the tables (information desks) managed by officials. MECs would then indicate how they intend to address issues- they will commit.

Respondent 5: National COGTA does not have a role in terms of training and development but together with Department of Public Service and Administration (DPSA) they require reports. CDW unit is in Gauteng CoGTA for the sake of convenience, to be in close proximity within the local government, otherwise, the CDW unit could be located in the Office of the Premier of Gauteng province. In some other provinces, CDWs are in the Premiers office. The programme itself is owned by the DPSA. There is close working with the Premier's office and on Ntirhisano. This CDW unit reports to the MEC (who reports to the Legislature), COGTA and DPSA.

Probing question: Is the arrangement of reporting to the Office of the Premier instead of to national CoGTA working?

Respondent 5: It does because reports are shared. Relationships are good. Although this unit of works with the province, there is collaboration with the national Minister of CoGTA.

Objective of the questions on implementation: To find out how the potable water services are delivered through IGR in the informal settlement of Diepsloot.

Questions:

- What are the successes and challenges regarding IGR matters?
- What are the IGR successes and challenges regarding informal settlements, with specific reference to Diepsloot?
- How do the departments at provincial and national spheres that are related to the water services work together to provide services.
- How does your organisation work with ward committees, the ward committees of Diepsloot in particular?

Respondents 1 and 2: For Gauteng CoGTA to identify whether a matter is of IGR nature, reports from stakeholder departments are required to indicate the stakeholders or partners. This is how it is measured whether IGR works or not.

Respondent 3: Effectiveness of IGR matters is not only measured by means of regular meetings but also expenditure. Despite all the challenges of supply chain and bad contracts, expenditure has been 90% and above, comparable to the Western Cape. Also, certain objectives are achieved as a result of proper expenditure. Effectiveness of IGR structures is possible, the problem could be when individuals do not play their roles.

Respondent 3: A programme of action is used, therefore, policies of various spheres cannot contradict one another. Budget and needs are guiding tools. At times they can be conflicting when everybody is afraid to acknowledge that there are no funds for unfunded mandates. At times there are clashes of priorities, when the projects originated as national projects and the province tend to have interest later. There is a need for more application not IGR. In these IGR processes, the problem is that the leading institution is not known. At times, it is not known whether it is Office of the Premier leading or not.

Respondent 3: When (informal settlement) communities need water, they ideally contact municipalities and committees. Community development workers who tend to be more popular than ward committees because they assist communities with everything. The

community members end up not going to councillors for solutions and that could cause conflicts or jealousy. CDWs are also used for water-saving campaigns such as stoppage of water leaks. As a department when there is a water crisis, national DWS become involved to be able to work together.

Respondent 3: In such services of water, the working is with the national DWS because they are the custodians of water, they regulate and provide funds. Other stakeholders are (i) Water Boards such as Rand Water, (ii) Joburg Water, which is a utility that sets tariffs, and has its own budget and buys water to sell to the Johannesburg Metropolitan Municipality. Other infrastructure arrangement are such that water affairs builds dams, then water boards supply municipalities at a cost and also own reservoirs to store just in case they have to repair. Water reservoirs and towers are built to manage pressure.

Respondent 3: To do all that, there should be good coordination. All structures should cooperate, including ward committees. IDPs should be used because they are about the needs of the community. Although cooperation is not perfect, the intentions are positive.

Probing question: Does Diepsloot experience potable water challenges?

Respondent 3: Diepsloot is under Johannesburg Metro directly. Metropolitan municipalities have capacity. They need less support from province and they also deal directly with National Treasury.

Respondent 3: Power (abuse of power or overreliance on authority) is not really used, even the water board would not operate with an attitude of being linked with a national sphere and then undermine Gauteng CoGTA and other role players. When power is abused in structures people may resist. Trust is important, thus walls should not be created and cooperation is important.

Respondent 4: Gauteng CoGTA trains ward committees to understand different spheres as it will happen after local government elections when the current term of the incumbent

ward committee ends. However, there are challenges of capacity in terms of budget. It is not enough to train metros, as a result, training is only conducted for local municipalities. Metros have big budgets and they can conduct their own training.

Probing question: Is Public Participation Unit involved with IGR matters?

Respondent 4: From CDWs' side, they do. They have a forum for all regions. The IDP unit checks public participation by assessing involved sector departments and others. It is found that the role of sector departments should be strengthened. To illustrate, during service delivery protests, a lot of issues raised are provincial and national. Hence some remain unsolved, since the relevant departments do not participate.

Respondent 5: At a local level, councillors see CDWs as a threat. CDWs relate more with the communities because they have been operating there for a long time. It creates conflict. We are working on strengthening those relationships by also stating during training sessions to councillors that CDWs are there to assist but not to take away their duties. CDWs have to share reports with ward committees and that is why they are *ex-officio* members of the ward committees.

Respondent 5: Ward committees and councillors may change but the CDWs will remain. Some councillors do not understand the concept of CDWs. Some councillors think that when they come in they must bring their own CDWs. Realising that it is not the case, it becomes a trust issue because they say that they cannot work with someone that they do not know. The matter is being attended to. However, poor relations between councillors and CDWs are not experienced across the board. In some meetings, you sometimes find that CDWs are being ridiculed as if they are not being visible but there are other councillors who support CDWs.

Respondent 5: CDW unit trains the CDWs through the Public Participation Directorate of Gauteng CoGTA. The training programme is used to inform, educate and train councillors and ward committees about the roles of CDWs. For working spaces, there is

an informal arrangement with the municipalities. But there is progress in ensuring that the CDWs have offices, using for example the Thusong Centres.

Objective of the questions on theoretical and philosophical ideas: To find out about the theoretical and philosophical perception about IGR.

Questions:

- How does the current system of IGR in South Africa address matters of power relations in coordination of IGR matters?
- If there is a need to improve the system, how can it be improved?
- Is the system geared, structured and positioned to address service delivery?
- What philosophical or conceptual ideas should be covered by the IGR system?
- Is the current IGR system geared, structured or positioned to address the alignment and delivery of basic services?

Respondents 1 and 2: IGR is an important vehicle to facilitate service delivery. The ability to coordinate all structures that are needed and networks to solve problems with various stakeholders. In the IGR forums, technical working committees could assist with water challenges, otherwise IGR forums are more into planning around coordination.

Probing question: Is the Public Participation Unit involved in water delivery issues?

Respondent 4: It is an issue that is done at municipal level. It is a service delivery issue and ward committees take matters of that nature through the ward councillor to the council. It is also uncertain whether issues that are raised in meetings even reach the council.

Respondent 4: In the case of informal settlements requests for services are normally basic services and in some cases a need to be relocated when a certain area is not

suitable for human settlement. Based on those required services, informal settlements are also engaged.

Respondent 3: About a policy of access to water by tap at some meters for each household, in informal settlements is a challenge for many. In a dolomitic land or mine residue, ideally people should not settle on them. In a dolomitic lines the nature of the soil does not allow water pipes, thus we provide temporal sanitation or water. We install ventilated improved pit (VIP) latrine toilets but people do not want them because they sink. People demand full services in an area that does not allow. Water must be provided to informal settlement dwellers of any kind, except those who are removed by court order on time.

When people want taps in a dolomitic area (permanent infrastructure), they cannot receive them, for example, informal settlement at Mogale City do not qualify as they are at a mining residue area. Constitutionally, municipalities have to provide water to the public. So they will even send water by tanks (trucks) if there is no infrastructure as is the case in some informal settlements. Overall, IGR is geared and structured towards service delivery.

Probing question: Does public participation contribute to good service delivery?

Respondent 4: The Public Participation Unit presents plans during the IDP planning and reporting. The IDP process itself raises expectations mainly because they are listed without stating which ones will be prioritised. It seems the community itself does not know how to use IDP for their benefit.

Respondent 5: The programme of CDWs works. 80 000 cases used to be submitted annually, mostly on service delivery challenges. In the last financial year, 13 000 cases were handled. That shows that the programme works and people do not need services a lot. Communities are taught about IDPs through community education. So, the office has

achieved its objective hence the low number of cases. However, communities also grow and new challenges are expected as is the case with challenges in informal settlements.

Probing question: Do you find complaints about water delivery in Diepsloot, through your CDWs' reports?

Respondent 5: Diepsloot falls under the Johannesburg Metropolitan Municipality, there are no reported problems on basic services. Other municipalities do reports challenges. Randfontein experiences billing problems but Ekurhuleni experiences service delivery problems on electricity and burst pipes. Merafong, as a former mining town experiences a lot of poverty, thus facing requirements for indigent services. Through reports we are able to identify problems per area and the reports do not show problems within the City of Johannesburg. Tshwane metropolitan municipality had problem of water at some point. For all cases, the reports cannot show whether they are about informal settlement or other areas.

6.3.1.1 Summary of experiences: Gauteng CoGTA

This section identifies and summarises the salient points which emerged from the data. Furthermore, these important points are summed up into sub-themes in as far as they relate to the themes.

IGR is strategically located at the Gauteng Province Office of the Premier (OTP) in order to ensure that all provincial departments adhere to it. IGR structures exist. Intergovernmental Practitioners' Forum is chaired by the OTP. CoGTA is involved at the agenda setting level. Gauteng CoGTA acknowledges this arrangement of location at the OTP is an indication of some authority of IGR being derived from a hierarchical set-up. It is to some extent, noted that on vertical IGR matters, a department which is wielding more power should take the lead or a role of a convener. Similarly, Gauteng CoGTA is comfortable leading the district municipalities and local municipalities, which could imply that a top-down approach is preferable as CoJ seem powerful to manage.

For infrastructure issues, there is a structure for Municipal Infrastructure Grants (MIG). District Intergovernmental Forum is for the political principals. Thus, these structures exist for specific purposes and they work well.

The technical IGR structure and practice do not accommodate metropolitan municipality, such as the City of Johannesburg, as they do for district and local municipalities. Although the CoJ official attends the meeting but the meetings are more focused on problems that are experiences at local and district municipalities. District municipalities are required to have their own IGR structures and monitored by provincial Gauteng CoGTA. But the same requirement is not advanced to the metropolitan municipalities, in particular the CoJ.

The CoJ Metropolitan Municipality forms part of the IGR structures as, convened by the Gauteng OTP. Gauteng CoGTA concludes that CoJ is capable and well-resourced when responding to questions of support. This confidence in a metropolitan municipality may also be an indicative of a local sphere functioning well when it has its resources. Thus, Gauteng CoGTA assumes that the CoJ can also support its poor residents, such as those that are found at Diepsloot.

Policy directives are carried out correctly, as is the case with public participation and community development workers' programme. Those who play a public participation role at CoGTA are responsible for a policy of stipends to ward committee members, whereas the CDW programme manager ensures that CDWs are recruited and deployed at various municipalities (see section 6.3.1). In both cases, it is a fulfilment of national policies from the DPSA and national CoGTA, including provincial OTP respectively.

It was noted that the officials and an IGR structure on infrastructure ensure that water is provided to municipalities, even if the infrastructure in the informal settlement does not allow this. Other means can be bulk water delivered by trucks (see section 6.3.1)

CDWs play a key role enhancing service delivery. Their efforts may be hampered by an unnecessary competition for space with ward committees. Notably, committees feel threatened by the CDWs, instead of accommodating them as a good resource for their municipal wards (see section 6.3.1).

MackKay and Davids (2006), in Disoloane *et al.* (2011:1079), concur that ward committees were threatened because community development workers reported directly to the forerunner of national department of CoGTA called Department of Provincial and Local Government (DPLG). Thus, the sub-themes that emerged from the above discussion are as indicated in Table 6.1.

Table 6.1: Emergent sub-themes: Gauteng CoGTA

	Themes	Emergent sub-themes
1	Institutional engagements	<i>Power.</i> <i>Policy-driven imperatives.</i>
2	Normative engagements	<i>Stakeholder relations.</i> It is used to drive the establishment and maintenance of working relations. <i>Competition instead of collaboration.</i> It is illustrated by CDWs and ward committees.
3	Service delivery engagements	<i>Constitutional imperatives.</i> Constitutionally, water must be delivered to the communities. <i>Suspensions.</i> Ward committees are suspected to be political in outlook than for community development. Metropolitan municipalities are self-sustainable.

A sub-theme of *power* indicates that power relations still matter. The Gauteng Office of the Premier, instead of Gauteng CoGTA, is preferred as a location of IGR in the province due to its perceived power to lead all institutions in the province. This sub-theme of power is linked with a theme of *institutional engagements*.

A sub-theme of *policy-driven imperatives* is derived from the theme of *institutional engagements*. This sub-theme indicates that some relationships owe their existence to policy imperatives. They are compelled by legislation to occur, thus bringing up issues of compliance.

Relationship are beneficial for all institutions because Gauteng CoGTA and other sector departments would need to share responsibilities. The policies of CDW programme from the DPSA, through national CoGTA and to the provincial Gauteng CoGTA as well as municipalities indicates that policy drives this collaboration. An existence of IGR forums illustrate that there is compliance to the *1996 Constitution*.

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The *normative engagements* theme has two sub-themes. The stakeholder relations and competitive relationships sub-themes. Stakeholder relationships are driven by a need to work together. Institutions in Gauteng seek to collaborate with one another consciously within the province, at municipalities and at national level. Stakeholders, such as Gauteng CoGTA, and other departments see a need to engage and maintain the relationships among pertinent stakeholders. By its nature, the relationship among stakeholders is about working relations to deliver as Gauteng CoGTA at municipal level. Gauteng CoGTA needs to maintain the relationship with the OTP because the provincial administration has the policy footprints in all areas including at municipal level. Gauteng CoGTA's relationship with metropolitan municipalities may not be at the level of actively serving category A municipalities. However, Gauteng CoGTA still keeps relations by including all in the IGR structures. Gauteng CoGTA has noticed competition between its CDWs and the ward committees and ward councillors. This raises unnecessary competition instead of the ideal collaboration and cooperation.

The *service delivery engagements* theme in the form of potable water, illustrates a number of sub-themes. The *constitutional imperatives* sub-theme indicates that water must be provided to the public as a basic need, as required by the *1996 Constitution*. Officials at CoGTA are aware of the constitutional requirement and understand that it should be provided. Should there are any problems, stakeholders, including Joburg Water as a responsible agency, should sort it out.

A sub-theme of *negative suspicion* manifested during discussions about ward committees. As community structures, ward committees are suspected of having a stronger political focus. Thus there is doubt whether they act as genuine community representatives with community interests at heart.

A sub-theme of metropolitan municipalities being *self-sustainable* and not needing an active support from Gauteng CoGTA indicates two negative and positive matters. In a negative sense, metropolitan municipalities may need assistance on powers and functions that are at provincial level. Thus they are deprived with assistance. In a positive sense, this could indicate that metropolitan municipalities like CoJ can also influence policies and practices on a local government level. Notably, this lends credence to a notion of distinctiveness, interdependence and interrelatedness.

6.3.2 Officials of the City of Johannesburg

Objective of question on IGR structures: To source information from the participants about the structures of IGR and their participation on the structures.

Questions: As stated on 6.3.1

Respondent 6: A focus of the unit is strategy and relations at CoJ. There is also a focus on IDPs, which requires IGR but an execution of IGR happens in all the city's units. There is a review of current strategy and relations in the CoJ.

Probing question: What are the emerging issues in your current process of review?

Respondent 6: Issues that are emerging from the new reviewed City strategy are (i) climate change- when we did the strategy towards 2010, those climate change issues were not emphasised then; (ii) globalisation – we are a global city and the value chain touches international borders; (iii) rapid migration into the city – it affects planning for densification and access to services, then ours becomes a moving target and high youth unemployment because what happens in the city is a function of what happens nationally.

Respondent 6: The Unit of Strategy and Relations includes international relations. The current structural arrangements within the city have separated the sub-unit of international relations from sub-unit of IGR but it does not make sense because both address relations.

Respondent 7: Even as it is thought that international relations are about international stakeholders but it is not clear as to the inputs that are being made to service delivery. It cannot be confirmed as to what influences on IDPs are being made by international relations stakeholders and from international relations perspectives. Also, contributions from vertical and horizontal IGR are not known.

Respondent 7: The institutional arrangements do not permit Intergovernmental Relations Unit to be effective in terms of IGR. There is a tendency to operationalise IGR activities and the lack of strategy is problematic. A lot of IGR that is done is not coordinated, haphazard, unstructured and they affect city IGR agenda.

Respondent 8: IGR is an offshoot of relations. It could be stakeholder management relations, international relations and intergovernmental relations. Three aspects of divisions. The way the unit is structured, IGR resides in different areas. The unit lacks seamless implementation of relations. For example, the organised local government formation called South African Local Government Association (SALGA), is a member of

the United Cities Local Government Association (UCLG). Now if you have separated the two aspects where would IGR and international relations (IR) start and end?

Respondent 8: If a policy paper has to be developed and it has to be presented to UCLG, who will be going? Is it the IGR person with the position paper or IR person who is not involved? There is a thin line between IR and IGR. All pillars of IGR matter and they are (i) Inter-municipal relations (local to local); (ii) local to provincial engagements (iii); local to national (iv); and organised local government and cities networks. IGR is strategic; there is IGR at operational level and at strategic levels. What are the issues on devolution from province to city?

Respondent 9: The Community-based Planning Unit in the city consults communities during the development of the IDP, so that their expectations can be known. More importantly, the unit identifies community-based projects that can be funded from the community-based funding (CBF) of the City. When planning is done, there are projects identified as capital projects and infrastructure projects. During community consultation when the needs are found to not have been budgeted for but are needed, the unit funds them through CBF.

Respondent 10: The Strategy and Relations Unit is responsible for long-term strategy for the city. It is positioned well for operational purposes but it may be necessary closer to the city manager's desk for strategic purposes.

Objective of Questions on policies: To find out how IGR is accommodated in the policies of the CoJ.

Questions: As stated on 6.3.1.

Respondent 7: The CoJ is a custodian of the strategy of Johannesburg 2040. The strategy belongs to everyone. Thus, there are many stakeholders. Major IGR issues arise when it comes to alignment with the 2055 Strategy of the Gauteng Province and the NDP: Vision 2030.

Respondent 7: There is very little room in IGR for the strategy unit. It is supposed to be vertical IGR. The current argument is that there is very little IGR that is service-delivery related, but IDPs should also be written in consultation with international partners. That is why it is not fine that the two aspects of relations are separated. When there is a talk about strengthening (international) relations, there is a need to know what that means.

Respondent 8: There are IGR structures convened by the province, but there is no IGR structure within the city. There is one convened by provincial CoGTA – it is the Mid-Show IGR Forum by Provincial Gauteng CoGTA. There is also Intergovernmental Provincial Forum by the province. Even within the province, there is confusion about the location of IGR. On paper IGR resides with the OTP but there are elements of IGR that are at OTP and Gauteng CoGTA has their own. To illustrate, there has been an experience where Gauteng CoGTA having IGR related meeting somewhere else, and OTP had another meeting on IGR matters somewhere else; and both expecting the same people to be at both meetings.

Probing question: Does the CoJ manage the implementation of services on its own, or do you need other spheres?

Respondent 8: There are established working relations with counterparts in key service delivery departments: infrastructure, water, treasury and roads and transport, and so on. Historically, there has been the need for cooperation, whether it was by design or accident but those established relations are there and they are working. The frustration is that the Group Strategy Unit of the CoJ, does not have any oversight or influence in the nature of those relations in terms of the outcomes that are wanted for the city? To indicate a cost-effective collaboration, the CoJ and the City of Ekurhuleni could share resources for projects that lie on the border of both cities. For example, water reservoirs in the spirit of Global City Region approach.

Probing question: Have heard about Joburg 10 Plus as a collaborative structure in CoJ, do you participate and influence it?

Respondent 8: Joburg 10 Plus is a collaborative structure for policing and safety. It is a metro police initiative, where 10 metro police officers and extra-relevant role-players are deployed to each municipality.

Respondent 8: The IGR unit is not really blamed when relations do not go well but there is an acknowledgement that there is a need to tighten up. At political level, MECs and members of the mayor committee (MMCs) engage and talk through established relations.

Respondent 8: The unit is able to strategically guide those engagements within the broader context of the City's IGR? Province is clear about transformation, modernisation and radical economic transformation (TMR). The COJ uses is GDS 2040. Synchronisation of the two strategies is imperative: e.g. corridors of freedom. A Bus Rapid Transit (BRT) system in Johannesburg has high-rise platforms but in Tshwane they are low. There is a talk about integrated provincial transport provincial plans yet there is no standardisation of approaches as evidence by the example of BRT. Thus, it is about standardisation. Integrated planning is important. Municipal performance is important and to effect it, there should also be indicators that talk to integrated projects between municipalities and the provinces. Working on community projects, involves consultations with community-based cooperatives and individuals.

Respondent 9: There is a committee to determine projects that should be funded. The committee is made up of officials of the city. The committee and the unit communicates with stakeholders who registered the need. Planning for consultation is done with ward committees, speakers' office as well as Citizen Relations and Urban Management (CRUM) that is based in all the regions. The CoJ provide content and the Speaker's Office does the mobilisation.

Probing Question: Why don't you work with ward committees directly to source and fund community projects?

Respondent 9: Because sometimes the ward committees are not working well. Sometimes communities do not feel as if they are being well represented. As a result, the communities are approached directly. Auditor-General Office does require reports on community funds. To illustrate, community projects are not necessarily legislated but community consultation is legislated.

Respondent 10: In strategic relations, it is about networks. Intra-municipal relations and inter-municipal relations are important. Vertical relations with Gauteng – 2055 strategy was influenced by the CoJ's strategy. The relationships with national sphere is a little bit unstructured, thus consultations occur when needed. The unit has established working relations with pertinent institutions at all spheres of government. But the IGR unit is not used for strategy related work. Strategy is important because the IDP is implemented as a result of strategy. Strategy gives effect to IDP. How it is set is like this, you have got your national plan, provincial plan, global SDGs, and then you have a city strategy. That basically get translated into IDP for five years.

Respondent 10: The strategies of the CoJ deal with human development by ensuring the eradication of poverty. The strategies are biased. The issue of strategy was biased to the economy, RDP was gone and there was a need to focus on the economy. Currently, a strategic focus on pro-poor discourse. The latest policy bias and is on sustainability issues as informed by the United Nations' Sustainable Development Goals. It is about being resilient for global relevance.

Probing question: Who do you consult when you do the strategy?

Respondent 10: The CoJ developed and adopted strategies since 1999. Public entities are a product of a strategy to improve service delivery, finance and ensure that the institution runs properly. Six strategies: Egoli 2002 which was about entities; Egoli 2010 World Class African City, Joburg 2030 which is about the economy; Human Strategy in

2005 which was about social development. Then GDS strategy 2006 brought everything together. The current strategy is Joburg 2040. Strategies are reviewed every five years.

Respondent 10: The initial ones were part of dealing with key narratives. While doing the Joburg 2040, all spheres of government were consulted including, experts, NGOs and communities. It depends on the time in which you consult. Therefore, Joburg 2040 Strategy was done out of consultative processes but the previous strategies were done technically from desktop research and analysis. The difference is that since the recent strategy (Joburg 2030), all relevant stakeholders and beneficiaries including informal settlements were consulted.

Probing question: Do you consult to ward committees when you do the strategy for the City?

Respondent 10: Ward committees take a political angle. The strategy was beyond the politics. It was about people irrespective of political affiliation. The problem is that they are too politicised. It is a natural thing for a ward committee to be politicised because of its location.

Respondent 10: There is a need to emphasise IGR. No one bothers if it is not emphasised. IGR has to be made relevant in the institution. Relational issues or strategy must play at various scales. Firstly, global relations drive a global agenda. Secondly, there is the IGR. There is a need to build networks so that actors know one another. When the CoJ adopts a policy, there must be expressed statements and intentions on how others would be engaged. Powers and functions of IGR need to be re-emphasised because when policy is not known by others, it is pointless.

Objective of the questions implementation: To find out how the potable water services are delivered through IGR in the informal settlement of Diepsloot.

Questions: As stated on 6.3.1.

Respondent 6: By nature, informal settlements are not formal. When people have built on dolomitic areas development cannot be achieved as infrastructure for water cannot be constructed. But development should happen, hence a need to relocate the residents.

Respondent 7: Horizontal and vertical IGR can work. Departments at national, provincial and local spheres can make it possible by synchronising their plans.

Probing question: Should Gauteng CoGTA assist the CoJ in IGR matters despite a conclusion that the CoJ is capable to handle its projects?

Respondent 6: CoGTA should be involved because imperatives that inform the city's strategy regarding in-migration, which causes population pressures, require their assistance as the city's resources are not enough. So, other spheres are needed. Therefore, IGR is not only about higher spheres; it is also about working with other municipalities.

Probing question: What role should the CoJ play in managing the development of informal settlements in terms of approval of upgrading programmes or eradication?

Respondent 6: The CoJ does have tools to not approve or approve. .

Probing question: How are the agencies like Joburg Water in the context of IGR?

Respondent 8: Sometimes it is not easy to assess the effectiveness of IGR, because of established working relations that are there. There is a need for legislative review, which will reduce excessive reporting from local government. Local government is the most regulated sphere. This implies that spheres are not treated equally. Reports are always demanded from municipality. As a result, municipalities are driven to be compliance driven.

Respondent 8: The CoJ engage with other municipalities in two ways. There are those who come for knowledge exchange, identify this practice and to benchmark. Then there are those who come for technical expertise – for systems and processes – working in those municipalities to set them up. Twinning and signing of Memoranda of Understanding (MoUs) to establish long-term working relations.

Probing question: Are issues of water discussed in the IGR structures that you mentioned?

Respondent 8: The agendas, are normally highly strategic and neglecting operational issues of service delivery. For the CoJ, at IGR planning, the most effective is IDP sectoral engagements, where service delivery challenges are discussed to be prepared for IDP engagements. Provincial counterparts also attend these engagements but those practices should be made effective. . There is this perception that provinces treat municipal IDP processes as events, instead of an ongoing engagements.

Probing question: Does the city have the power to differ with the other spheres regarding whether an informal settlement should be upgraded or eradicated?

Respondent 8: The municipal officials are not bullied. The officials are able to advise and try coming up with alternatives.

Probing question: Do you miss participation of provincial and national role-players in your community projects?

Respondent 9: It happened only in one project when the community requested garden services as it became a reminder that that there was a need for the provincial Department of Agriculture (DoA) to be part of the process.

Probing question: Do you have cases where there were requests for water projects from Diepsloot?)

Respondent 9: Diepsloot requested resurfacing of the road, community gardens and so on. All communities request projects but they differ in nature, e.g. in townships they request parks for example but in informal settlements they requests food gardens, for example.

Probing question: It was stated in other interviews that metropolitan city is self-sufficient. Does CoJ need other spheres to realise its objectives?

Respondent 9: You can have the money and capacity but if another municipality has done something, it is great to learn from each other. Others may assist with better skills and experience. National sphere is also required to some point because they develop policies. Provinces are needed for proper guidance and uniformity.

Probing question: Is there a need to consult provinces and national departments?

Respondent 10: Of course you cannot deal with provincial or national issues; they have their own mandates. The general issues of poverty and economy are national imperatives, so they have to be dealt with at all levels. When Joburg Strategy 2040 was developed and adopted, there was no NDP and Gauteng strategy. So the city's strategy basically set the tone for other spheres' strategies with a bottom-up approach. Now that they are there, the Joburg Strategy 2040 has been aligned to NDP and Gauteng strategy. It becomes a back and forth process. .

Probing question: Do you think all spheres are treated equally?

Respondent 10: There is changing discourse globally. That is when you look at SDGs, cities have greater responsibilities. The way people are living. In South Africa, the rethinking about cities has kind of gone up and down: political economy of the country; contestation of economic power and political power.

Objective of the questions on theoretical and philosophical ideas: To find out about the theoretical and philosophical perception about IGR.

Questions: As stated on 6.3.1.

Respondent 6: IGR is very unhealthy; in fact in a comatose stage. Overall, IGR exists in terminology. It is an idea. Looking at our unaligned strategies. Judging also by the way IDPs are done; they do not take into cognisance the unfunded mandates. Projects that are interdependent should be part of IDP planning and implementation. Informal settlements are in the periphery. Cross-border issues exist because there is pressure to the cities to provide services to people who are not productive in the city.

Probing question: From international relations perspective, is the 95% plus access to water in South Africa attributable to learning from other countries through IGR?

Respondent 7: It is, but the problem is that we have to be able to isolate and determine how stakeholders contributed.

Respondent 8: Ntirhisano is more a political programme; it is about stakeholder management. The city also has a service delivery Joint Operations Committee (JOC) to address service delivery issues. The IGR unit, participates in the service delivery JOC, so that it could be possible to elevate relevant issues to the province.

Respondent 8: In terms of established relations, IGR is healthy. At an operational level, it is healthy. IGR needs to be tightened up at a strategic level. Integrated planning and implementation of services can make a difference. In the context of the global city region, all municipalities and cities should plan together. With the Waterfall area, the boundary between Tshwane and Johannesburg has disappeared. Talking about inter-municipal issues, capacity challenges within those municipalities have to be known. Implementation of IGR needs to have a positive impact on cooperative governance. However, this impact on cooperative government has to be understood unambiguously.

Respondent 9: In some places, IGR works well, but not in others. A personal experience during previous employment, on a programme that used to apply IGR well entailed involvement of all necessary stakeholders. While dealing with crime, the programme involved City Power to fix lights and City Parks to cut grass. Stakeholders held meetings on a monthly basis. All these IGR initiatives were meant to address the root causes of crime. To ensure pride among residents, even Pick It Up Company was engaged to keep the residential areas clean with an intention to not only address symptoms but matters of self-worth among residents.

Respondent 10: IGR has failed. It is poorly located. It lacks emphasis, parity and role clarification. Those are the reasons. There is a need to navigate around these failings. IGR did not only fail in Johannesburg but in the country. People have bypassed it and have resorted to implementing IGR in their own understanding. There is a misalignment of issues completely. At a broad level, it looks good all of government is trying to address corruption. But there is no evidence of how, for example, IGR has been used to eradicate corruption. There is no evidently successful IGR storyline. For example, everybody talks about corridors of transport, but it is not happening.

6.3.2.1 Summary of experiences: City of Johannesburg

Discussions with officials of the Johannesburg Metropolitan Municipality gave a sense that IGR is important, as the purpose was to achieve cooperative government. Interviewees noted that an IDP requires IGR. They added that IGR should include international relations and that it lacks strategic focus. Although the city through its IGR unit belong to the province's structure, it does not have, and lead, its own IGR structure.

CoJ officials are of the opinion that the city meets its obligations and operates well with other stakeholders in various spheres owing to established relations. These established relations sustain some form of IGR. Hence, all of the interviewees stated that they have learnt to work around issues that require IGR and cooperative government by focusing

on established relations. All five interviewees felt that IGR is not up to standard. Notably, two interviewees were of the opinion that the system had failed. All interviewees stated that they have found a way to create working relations without IGR. Despite this, they still think IGR is required but that it is not being elevated.

In considerations of the above concerns, the conditions for IGR success reflect a number of required undertakings. There is a need to align all strategies, which include Joburg 2040, Gauteng 2055 and NDP 2030. The interviewees dispute the perception that a metropolitan municipality like CoJ does not need assistance from provincial sphere. It is stated that other problems require all spheres to deal with rising public needs. Due to a high influx of people into large cities, metropolitan municipalities do not have enough resources to deal with such challenges. Integrated planning is required to manage service delivery issues, as it can also lead to sharing of scarce resources.

More importantly, IGR needs to be emphasised. Consciously, the actors should establish networks and IGR at vertical and horizontal levels. The UN's SDGs regard cities as important and having a greater responsibility. A city like Johannesburg should have an influence on the relations, even if it has to be from bottom up. Furthermore, to improve and emphasise IGR, unfunded mandates should be taken care of and interdependent projects should form part of IDP planning and implementation.

It concerns the city that informal settlements are not eradicated. Outcomes on quality of life and sustainable services aim to improve lives in informal settlements such as Diepsloot. Notably, problems lie in the housing arena. Admittedly, Diepsloot and generally the Johannesburg metropolitan has not requested water-related projects. In the case of ward committees, there was a perception that they are not trusted to be true community representatives. Housing problems worsen the situation in Diepsloot but housing is not a municipal function.

The main concern that some interviewees raised is that other spheres should not have unfettered regulatory authority over local government. One interviewee argued that local

government is the most regulated. When they participate in meetings, local governments' officials get inundated with requests for reports, which reduces local government to a compliance mode. In terms of relations, CoJ collaborates on a provincial stakeholder management programme called *Ntirhisano*, which translates into "working together". Although there are concerns about over-regulations, the interviewees did not believe that provincial and national spheres bully local government, as cities have own power to influence developments.

Arising from the above considerations, the following sub-themes emerged are stated on Table 6.2.

Table 6.2: Emergent sub-themes: City of Johannesburg

	Themes	Emergent sub-themes
1	Institutional engagements	<i>Location - Elevation of IGR to a strategic level.</i> <i>International part of the IGR is neglected.</i>
2	Normative engagements	Established working relations (stakeholder collaborations).
3	Service delivery engagements	<i>Constitutional imperatives.</i> Constitutionally, water must be delivered to the communities. <i>Suspensions.</i> Ward committees are not perceived be represent communities properly. Metropolitan municipalities require other spheres.

The sub-themes reflect that IGR needs to be elevated in importance to ensure that the metropolitan municipality can have proper IGR relations. Currently, IGR within the CoJ is mainly a stakeholder relations approach. Stakeholder engagement is effective in creating mutually beneficial networks between actors (De Beer & Rensburg, 2011:214). A weakness of stakeholder relations alone is that it does not include all IGR engagements. According to Wright (2012:284), this include multiple collaborations, official actors and stakeholders. Stakeholder relations alone may end up being about selected actors for convenience at the expense of other role-payers.

Institutional relations should not be restricted to established relations. The basis should be broadened to include committed relations that legally sound in terms of IGR and cooperative government. This sentiment on strategic engagement illustrates that metropolitan municipalities requires the participation of other spheres of governments. Notably, certain issues are of national and provincial nature, such as the complex aspect of cross-border matters. Indisputably, water must be provided to all communities, including informal settlements.

6.3.3 Officials of the City of Johannesburg: Office of the Speaker

Objective of the questions on IGR structures: To source information from the participants about the structures of IGR and their participation on the structures.

Questions: As stated on 6.3.1.

Respondent 11: The City of Johannesburg Legislature cascades to regions. Administrative support is provided to councillors in all seven CoJ regions. In Region A, which includes Diepsloot, there are 13 wards and equal number of councillors. The role is to oversee the work of ward committees and the council. Monthly reports from ward committees. If there is a particularly urgent thing needed, the chairperson escalates the matter through to section 79 committees for discussions and recommendations to council. The ward committee system is designed to form a link to rally a community to know and participate in the decision-making processes of the city for decisions to be accepted.

Respondent 11 and 12: As an officer of the city, linked with Office of the Speaker, my primary responsibility is to ensure relationship between the councillor and the community is smooth. Ward committees come from communities. Ward committee members are elected within wards. Using the Independent Electoral Commission (IEC) processes to elect ward committees, similar to how councillors are elected. In total, 10 people are voted in. Ward committees support elected councillors. They receive a stipend, not a salary, to be able to afford transport and connection (airtime) costs. They meet once a month.

Objective of the questions on policies: To find out how IGR is accommodated in the policies of the CoJ- Office of the Speaker.

Questions: As stated on 6.3.1.

Respondent 11: Each ward committee member has to come from a sector, for example, Health. If there is a problem, the matter can be filtered through to the ward committee members. There is section 79 committees, which are council committees headed by chairpersons. They discuss them and recommend to council for approval.

Probing question: Are officials involved in the ward committees?

Respondent 11: A team of officials who are part of this office – regionalised office of the speaker – organise meetings, conduct coordination and research. Monthly reports and quarterly reports are produced even for the province. Regional directors are tasked with coordinating service delivery issues and overseeing implementation of projects by service delivery oriented departments and agencies of the city, for example Joburg Water.

Objective of the questions of implementation: To find out how the potable water services are delivered through IGR in the informal settlement of Diepsloot.

Questions: As stated on 6.3.1

Respondent 11: There is cooperation. The documents of the city illustrate the flow of information in terms of the governance model of the city. In terms of the governance model of the city, which is called High-level Design: Separation of Powers. This design is in a pilot phase. IGR forms part of that because systems and other requirements have to be developed.

Probing question: Is there power relations and political infighting that could affect governance by IGR?

Respondent 11: There is no evidence of political factions and infighting. There is more mature leadership in the CoJ. Political decisions taken do not threaten livelihood or governance of the city or management of the city. A mature leadership was evident when solutions had to be found for billing problems. The city achieved a clean audit which is an indication of good leadership. Factional politics is there in all political parties; it is not unique to the ruling party but has not affected governance negatively.

Probing question: Why does the CoJ and Diepsloot in particular experience service delivery protests at times in the existence of the ward committees that could have picked up the developments in the communities?

Respondent 11: Service delivery protests cannot be stopped. Even leaders encourage people to protest. Ward committees form part of the structures; sometimes protests are known before they happen. Hence, they are the ears and eyes of the mayor. The police would also be aware of possible protests, unless the protest is illegal.

Respondent 11: Protests are applied for and you get permission. To address illegal protests, there are war rooms for regional meetings – an area in Diepsloot offices set aside for regular meeting to plan and resolve service delivery challenges. In the war room, every aspect is discussed. Furthermore, the war room is strategically based in Diepsloot as a hotspot for service delivery protest.

Respondent 11: It would be known when people are about to protest. The city plans ahead. There are things that can fall through the cracks, like when protests are started in the early hours of the morning. But if investigated properly one leader would have known about the protest. Information always goes around. Even, councillors can get involved by phoning the offices to alert city for the sake of governability.

Respondent 12: There has been harmony on IGR matters. But the city does not need harmony on its own, instead, implementation is necessary. Provinces plan their programmes on their own hence by the time the city approach the city's programme compete in the end. . On broad, long-term programmes the city and the province are interlinked and work together, but the same approach is not undertaken for daily projects and operations.

Probing question: How do the ward committees report complaints about water?

Respondent 12: Portfolio committee of infrastructure in the ward committee become responsible to respond to the needs for water. But if the situation is threatening to be explosive, then all committee members should become involved to avert service delivery protests. The issue is reported to officials and Joburg Water. Ward committees and relevant officials in this unit have direct access to the city structures or departments. One structure that we use is Joburg 10 Plus that is formed of city agencies.

Objective of the questions on theoretical and philosophical ideas: To find out about the theoretical and philosophical perception about IGR.

Questions: As stated on 6.3.1?

Respondent 11: IGR is healthy but it needs improvement. There are people who manipulate grey areas. Every system has a grey area. Despite the effectiveness of the war rooms, some protests for basic services are still carried out. In reality, the COJ is far ahead of delivery of basic services. The focus of the CoJ is now is now on economic development. A lot of money pumped into townships. Residents have shifted from complaints about burst pipe to how to access the budget for economic projects. The

intention is to creating young entrepreneurs as MMC of Finance pumped money into the township economy as part of the township economic development policy.

Probing question: Do Diepsloot residents have access to drinking water by means of taps that are not more than 200 meters from each household?

Respondent 12: Informal settlements get bulk water delivered by water tankers not running tap water in the houses, as they are informal. Then household taps are installed in formal houses, not street taps. It is a pity that in Diepsloot, RDP houses have shacks build for backyard rental dwelling, as a result, RDP houses cannot be noticed. Water is not the main problem but housing is. However, a day of two without water does happen.

6.3.3.1 Summary of experiences: City of Johannesburg: Office of the Speaker

A number of structural arrangements contribute to a governance system at official and community level. There are officials, ward committees, community development workers and ward councillors. It is an IGR that includes extra-governmental relations as a result of the involvement of the community as ward committees. In conducting administrative support for councillors and overseeing the work of ward committees, the officials at Office of the Speaker play a crucial role of interfacing a political arena with an administrative one. Structurally, each ward committee member represents community on a particular sector.

Diepsloot is described by officials as a place that consists of both formality and informality in terms of nature of settlement. There are informal houses and formal ones. Visibly, it is an informal settlement because even formal houses are surrounded by informal houses in the form of backyard shacks. One official confirmed that a war room was established as a service delivery hotspot. This indicates that there are challenges of service delivery.

An official stated that there are no protests for basic services like potable water in Diepsloot. They receive bulk water for informal houses and house tap water for formal

houses. To this end, IGR is healthy, barring grey areas that may be exploited. The sub-themes emerging from an engagement with officials from regional office of the Speaker's Office are represented in table 6.3.

Table 6.3: Emerging sub-themes: Office of the Speaker-CoJ

	Themes	Emergent sub-themes
1	Institutional engagements	<i>Community participation.</i>
2	Normative engagements	<i>Within the city – Intra-IGR (the city with its agencies in the main).</i>
3	Service delivery engagements	<i>Constitutional imperatives.</i> Constitutionally, water must be delivered to the communities. Basic services are delivered.

The officials perceive IGR to be influenced from the level of the community. Issues that emanate from the community through the ward committees are raised at various departmental levels and can even reach the Council. Another feature is the nature of collaboration which is more within the municipality or intra-municipal in nature. Service delivery issues on potable water are raised with the city's departments and agencies, such as the Joburg Water. Basic services were being delivered to the community within the context of constitutional imperatives. This ensures that communities access water as a basic need.

6.3.4 Wards committee members: Diepsloot

Objective of the question on structure: To understand how the ward committees are structured.

Question: Could you elaborate on how you became members of the ward committees in Diepsloot?

They became members of the ward committee in 2011. Members explained that they belonged to various social and economic sectors of wards of Diepsloot. The sectors that were represented in the focus group were transport, safety, community development, sports, and ward coordination.

Ward committee members are usually elected in each ward and the elections are held after the local government elections. To ensure credibility, ward committee elections are overseen and managed legally by the Independent Electoral Commission (IEC) of South Africa. There are ballot papers with names but not faces to ensure that communities recognise a prospective member by name. Their names are also linked with specific sectors during elections.

Probing question: Do you campaign for elections?

Members differed about the issue of campaigning. Some insisted that they do not campaign, whereas others argued that they do. The prevailing differences indicated that it was a definitional matter of what is to campaign. Some said they simply put their ideas forward as to how they can serve their communities. But others feel that their communities know them and their skills, so the community elevates them to a point of being elected. Perhaps the idea of campaigning is negatively perceived by some members, as it could imply lack of volunteerism but a quest for positions of power.

All participants confirmed that they were trained as ward committee members. They attended a workshop when they commenced their term in 2011.

Objective of the question on the operations of the committee: To enquire about how a ward committee operates in fulfilment of mandates.

Question: Explain your roles and responsibilities as ward committee members in Diepsloot.

They summarised their specific roles in the sectors during self-introduction. In general, ward committees are part of the landscape for public participation. Members can also ensure that some programmes are established and supported by the Speaker's Office to serve their sectors in the communities. Overall, their role is to support a ward councillor from their sectoral perspectives.

Objective of the question on interactions: To find out about how the ward committee members interact with public institutions while serving the interests of the communities.

Question: Explain how you as ward committees interact with the government departments from all spheres of government to be able to serve the interests of your municipal wards.

Meetings are arranged with other departments through the councillor's office. We work with other departments by having departmental meetings. When ward committees have identified a crisis, then relevant departments at the Region are informed to sort out things and report back in the next meeting. Reports on poor performance by the departments are escalated for discussion at Joburg 10 Plus meetings. Members of the ward committees share details with the departments at Joburg 10 plus meetings, therefore mutual contact is possible. Similarly, Joburg Water can be contacted directly by ward committee member when services are required.

Community Development Workers (CDWs) coordinate various institutions. In the past year, the wards were working with the Department of Water and Sanitation (DWS). The DWS has since confirmed that they will come back to work with the ward committees of Diepsloot.

Probing question: Do you work with the CoJ?

The good thing is that CDWs get to work with all departments, including those at national level. Joburg Water built communal toilets at Extension Number 1 area (reception area). They are not VIP toilets. It is communal toilets now. Regrettably, Joburg Water does not do maintenance; as extension 1 experience sewer blockage and leaking taps. A group of unemployed residents were brought together to volunteer to maintaining toilets and taps. Sometimes, Joburg Water gave them taps. They do not have resources, thus relying on donations. Joburg Water did not provide services at area extension Number 1, since people have built shacks on the access roads (**Annexure 4** shows congestion in Diepsloot area Extension 1).

Some of the families have to be moved to other areas when houses are complete to decongest the area and to solve problems of access. In situations where relocation of some families was possible, some politicians encouraged them not to move for political reasons. However, area extension Number 1 in general is being formalised since roads are tarred and electricity will be installed in 2017.

CDW is supposed to log in service requests electronically to all pertinent departments. But the system does not work well because of problems with the computer server. Alternatively, the CDW sends the matters directly to Regional Office of Region A.

A CDW is a member of a war room and that is helpful to be able to raise and deal with service delivery issues in time. Issues of potable water delivery are also raised in the war room.

Participants confirmed that Joburg Ten Plus is a good structure. They confirmed that it was formed for service delivery issues. This assertion is contradicted by the officials at the CoJ who understood Joburg 10 Plus to be an IGR structure for crime issues. It is, however, commendable if the ward committees and officials who work at the CoJ

Speaker's Office have decided to use the Joburg 10 *Plus* as an IGR structure for improvement of all services.

Probing question: Is Joburg Water, which is the public entity of the CoJ, serving the wards with water properly?

It is not known about other extensions/areas but Joburg Water does not serve Extension 1 effectively. Other area extensions could be fine as they do not experience congestion due to poorly build informal houses like in Extension 1.

Another participant requested to add information on crime matters. To deal with crime matters, the city department is consulted to request for services as a CDW. At times, services at local police station are monitored. Residents are also requested to patrol for safety. Although the councillor is consulted initially, the Safety Department in Johannesburg is normally engaged directly.

Objective of the question on service experience. : To find out about how the ward committee members experience potable water services from all spheres of government.

Question: Based on your experiences of service delivery in your communities, explain whether Diepsloot residents have access to potable water.

There were two sides to a response on whether there is water delivery problem in Diepsloot. The response was actually a 50/50 split. Some said that water delivery is not a problem, except when there is construction, scheduled closure, as well accidents like burst pipes that emanate from construction and roadworks. Residents who do not access water through water taps, receive bulk water brought in with trucks to be accessed by the community through water tanks (See **Annexure 5**).

Some disagreed vehemently with a notion of lack of drinking water. However, a participant reported that some areas experience water cuts from the afternoon to midnight. A typical

example is the area of Extension Number 10. Another member concurred with the point of interrupted water supply. They did not even know what causes the water disruptions because the communities were not informed before or after water supply interruptions.

They disputed a point made by other two members that the water interruptions may have been caused by emergencies matters, such as burst water pipes. In response, the participants stated that they were aware of emergency issues. In this case, they indicated that it was a daily occurrence. They would just be told that there was a shortage of water. Another member likened the situation of water cuts with the issue of electricity being cut in winter. Some focus group members noted that they had to fetch water at night, which was dangerous.

(At this point there was a heated debate) Those who did not think that there was a problem of potable water delivery ascribed the situation to poor water pressure during the day. This assertion is caused by the fact that Extension Number 10 is on a hilly place. Thus, poor water pressure could cause the problem that could lead to lack of water during the day and then a normal pressure at night. They stated that water tankers deliver water to communities when water delivery is interrupted. . Therefore, water shortage is not a general problem in Diepsloot; it periodically affects some sections like Extension Number 1 and Extension Number 10.

Members who say that there is a problem, responded by saying that the fact that Extension Number 10's topography is higher cannot be a justification for lack of water. There is a mall in Extension Number 10 but people cannot even use its toilets. Mostly there is no water. People cannot be expected to fetch water at night. Water tanks (**see Annexure 5**) are filled at the mall but people who come from work in the afternoon find water finished. Some community members even burned water tanks recently in protest.

Communal water tanks are not filled in the afternoon because trucks cannot reach the community due to high traffic congestion into Diepsloot at that time.

One participant mentioned that there was also a problem with electricity. The interviewee made an allegation of bribery being a driver of inefficiency and ineffectiveness on the delivery of electricity.

6.3.4.1 Summary of experiences: ward committee members

Structurally, the focus group members confirmed that they were elected to represent communities as ward committees. They belonged to various sectors. Members did interact with all relevant departments, as per the registered service needs and in relation to their sectors. If problems of water arose, then an infrastructure sector member became involved while engaging other role-players.

Crucially, community development worker (CDW) is a member of the ward committee. It is expected that a CDW can link the community with all spheres, including departments within the local sphere itself (See section 6.3.1) (Disoloane *et al.* 2011:1078; Tshishonga & Mafema, 2010:566). However, members who are community representatives did not necessarily talk about departments in terms of spheres of government, but based on services that they request for the communities (see section 6.3.4).

Regarding service delivery, the ward committee was divided about an acceptable delivery of water. However, focus group participants who said that their water was interrupted until nightfall are believable because they spoke from experience, as they lived in Extension Number 10 of Diepsloot. More importantly, bulk water delivered by water tankers do not satisfy the community because the water is finished by the afternoon. When people arrive home after work, they usually find water finished. This poor water delivery in Extension Number 10 was clearly also influenced by traffic congestion as a result of poor, limited roads because water trucks could not access the area in the afternoon to deliver water.

Table 6.4: Emerging sub-themes: Diepsloot Ward Committees

	Themes	Emergent sub-themes
1	Institutional engagements	<i>Community participation</i> – By design, members of ward committees represent various sectors. They all confirm that they attended an orientation workshop. They all agree that their election is monitored by the IEC. They all confirm that they work with the offices of the ward committees.
2	Normative engagements	<i>Within the City</i> – Intra-IGR (The city with its agencies in the main). IGR seems to be perceived to be about relations with the departments within CoJ. However, the CDW programme manager confirms that they are able to work with other departments within national and provincial spheres. In the main, all members agree to the practice of using Joburg 10 Plus to meet institutions and require their accountability on all service delivery matters. Notably, it is only the ward committee members and officials at Speaker’s Office who speak about the Joburg 10 Plus as a structure for general service delivery initiatives. Other participants at CoGTA and CoJ know Joburg 10 Plus as a structure for crime control.
3	Service delivery engagements	<i>Constitutional imperatives</i> – Constitutionally, water must be delivered to the communities. Basic services can be improved but the members did not express it as a crisis. The delivery of water is mixed.

The above sub-themes in Table 6.4 indicate that community participation drives intergovernmental interaction judging by how ward communities and officials have articulated their needs from bottom-up perspective. However, the ward committee interaction is mainly with the municipal departments and agencies. Interestingly, the Joburg 10 Plus structure is understood by other spheres to have been established for security matters. However, ward committee and officials at the Office of the Speaker said that the structure deals with issues of crime only not all service delivery issues. The

adaptation of Joburg 10 Plus, could be a positive indication of innovation on the part of the communities.

These sub-themes are similar to those that emerged from an interaction with officials within the region who work with ward committees directly. While officials felt that water delivery is good; 50% of ward committee members illustrated that there was a problem of lack of water during the day into the night in Diepsloot Extension Number 10. The problem with Extension Number 10 of Diepsloot is not only related to lack of tap water, but also to congested access roads late afternoon that may not allow water tankers from accessing the area to deliver water. If water was delivered with pipes and taps, this problem of delivery by water tankers (trucks) would not exist.

6.4 CONCLUSION

As a study of a single case study on intergovernmental relations, this chapter analysed data emanating from semi-structured personal interviews and semi-structured focus group discussions. The key aim was to understand issues that emanate from the informal settlement context and residents access to potable water.

There is congruence on many issues among participants with few specific differences. In terms of institutional engagements theme, all participants agree that IGR should be at a strategic level as opposed to an operational level. There were challenges terms of the strategic location of IGR structures. For example, when Gauteng CoGTA deemed it important to have the IGR structure located at the Office of the Premier. The institutional engagements were also perceived as being informed by a need for community participation. Thus, communities use departments and CDWs to render services for them.

Participants acknowledge IGR structures, but the assessment of their use vary. They seem to exist theoretically, but the implementation of IGR seems to be determined by normal working relations. It is referred to as established relations at CoJ. In Gauteng CoGTA, some organisational units refer to the arrangement as stakeholder relations. At

the CoJ Speaker's Office, it is seen as interaction with the city departments and their agencies.

This collaboration is task based and not an established norm on conducting operational and strategic engagements, thus lacking in integration. The main difference is that at community level, services are expected from the city departments. Conversely, the provincial sphere department acknowledges the importance of sectoral, as well as national departments.

All participants recognised water as an important basic need and a constitutional imperative. The CoJ officials at the City Manager and Speaker's offices mentioned that basic services are being met. In contrast, ward committees as community-based structures acknowledged that water is provided with some service problems, but they also mentioned electricity, crime or safety and housing problems.

All other participants who were officials, except those that were based at the Speaker's Office, perceived ward committees as political structures that at times were not viewed as appropriate representatives of the community. In contrast, ward committees expressed their roles according to sectors with confidence. This illustrated that they knew that their roles were needed in the community, by the ward councillor, as well as the other departments especially in the CoJ.

The participants viewed the state of IGR and service delivery in Gauteng differently. Others said that it was unhealthy but others stated the opposite. Most participants who said that it was not healthy lived in the areas concerned; thus they were more plausible than members of the ward committee who lived in other areas of Diepsloot. However, all participants acknowledge the need to improve the IGR system. IGR should be treated as more than stakeholder relations but as an integral approach to addressing all pertinent relations with municipalities, provinces, international institutions, provinces and non-governmental organisations. The next chapter presents the findings, recommendations and conclusions of the study

CHAPTER SEVEN

FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

7.1 INTRODUCTION

In chapter six, an analysis and interpretation of data was undertaken. A process of analysis was followed in order to analyse data from the semi-structured interview and focus group sessions. The sets of data were derived from Gauteng CoGTA, CoJ, Office of the Speaker and ward committees of Diepsloot. The category of themes that emerged from both primary and secondary data were used to further interpret the results. Chapter seven provides for a discussion on the findings, recommendations and conclusions of the research study. It is intended to indicate whether the study has addressed its objectives and research problem.

7.2 RESEARCH PURPOSE AND OBJECTIVES

The purpose of this study is to to investigate and analyse the intergovernmental relations system in relation to provision of potable water in Diepsloot of the City of Johannesburg. To address the stated purpose of the study, the following research objectives as mentioned in chapter 1 were formulated to guide the study:

- To explore the features of intergovernmental relations in different forms of governments to South African IGR system.
- To investigate the intergovernmental relations in the City of Johannesburg, in providing potable water to Diepsloot.
- To examine how the ward committees of Diepsloot experience delivery of potable water through intergovernmental relations.

7.3 SUMMARY OF CHAPTERS

In general, the study seeks to determine whether intergovernmental relations in the Gauteng Province have contributed to provision of potable water to communities of Diepsloot in the CoJ. The case study focuses on delivering potable water to the poor community of Diepsloot by means of IGR. Through a summary of chapters in this section of a thesis, a reflective approach is undertaken to determine whether the entire thesis has focused on the objectives and research problem. In this regard, sections 7.3.1 to 7.3.7 provide a synopsis of chapters.

7.3.1 Chapter one

Chapter one introduced the research focus on intergovernmental relations and service delivery. It indicated that the study was motivated by both issues of service delivery and IGR. With regard to service delivery, the findings by government itself that basic services are still provided unevenly in some areas of South Africa (Statistics South Africa, Community Survey, 2016:19-23; Republic of South Africa, NDP:2012:423; Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy, 2014:18).

IGR, on the other hand, motivated the study on the basis that the *1996 Constitution* created it as a mechanism to assist a coherent and transparent service provision. Hereafter, the chapter introduced a problem statement that incorporates issues of intergovernmental support in provision of the basic service of potable water in the poor area of Diepsloot in CoJ.

Chapter one confirmed that the research takes a constitutional and normative approach of the study. Issues of service delivery are normative and the norms, such as trustworthiness and cooperation among the actors in the spheres of government, are constitutional. For this reason, the normative and constitutional approach, as opposed to a financial and democratic approach are used to study this case on service delivery. The

normative principles, which include cooperation, transparency, collaboration and trust, are largely linked with the constitutional imperative of cooperative government. Hence, the introduction of cooperative government and IGR for the spheres of government in South Africa.

The study's methodology was introduced as a qualitative study in an interpretive philosophical context. Henceforth, this chapter clarified that the study is a single case study with multiple units. The research problem, questions and objectives that guided the study to be descriptive in nature. With the stated chapters, the scope of the study was clearly delineated. In this regard, chapter one led to other chapters to focus on a literature review, conceptual framework of IGR and methodology. It was also confirmed in this chapter that the study employs qualitative sampling by ensuring that the units of a case study are satisfactorily covered to address the research problem, questions and objectives.

7.3.2 Chapter two

The literature review revealed that intergovernmental relations are part of a conceptual framework of institutional theories. IGR itself is more of a concept than a theory. Thus, it is similar to other concepts such as multi-level government, governance and networks. Other concepts that have become part of a parlance in networked governance and IGR are decentralisation, centralisation, hollow state and privatisation. Definitional attributes of the concepts of multi-level governments and networks lead to operational usage as synonymous to intergovernmental relations in the study. This conceptual framework grounded the study on some trajectory. This guided it to focus on the research problem and questions that allowed flexibility and openness to any new development in the field and contexts.

The conceptual theoretical framework is inherently about institutional arrangements. More importantly, institutional arrangements are relevant to IGR and cooperative government for service delivery. The literature confirmed the relevant theories as

institutional theories, particularly new institutionalism; public value theory, collaborative governance theories and network theory. Furthermore, the institutions exist to achieve certain public goals and service delivery.

In conducting their roles and responsibilities, the institutions and actors have the goal of delivering services to the public. Within this context, the chapter discussed service delivery within a conceptual context of theories, models, expectations and generic policies. At this stage, service delivery as a concept had become another theme to understand the purpose of institutional arrangement. Notably, three themes emerged from literature review: IGR focuses on (i) intergovernmental institutional arrangements, (ii) collaboration, cooperation and coordination as well as (iii) service delivery.

A conceptual framework on IGR is imperative for a deeper understanding of multi-layered structural arrangements. As such, other related concepts were discussed. Those concepts are decentralisation, centralisation, governance, multi-level governance, public participation and globalisation. Within this frame, the nature of IGR in a particular context can be determined. Forms of government can also be added on the mix of IGR in a federal government, which is likely to differ with the one in a unitary state.

This chapter also highlighted grey areas, because IGR as a human and social science phenomenon, would reflect characteristics of various context to an extent that even concepts, such as 'unitary state with federal features', have emerged. Such differences, similarities and nuances contribute to a certain contextual form of IGR. Hence, decentralisation, collaboration, cooperation and governance are applied contextually. More importantly, a historical account of IGR as a concept and practice, was discussed in this chapter to provide relevant developments which led to the current policy approaches.

7.3.3 Chapter three

Chapter two has confirmed IGR as a concept that is practiced internationally. Furthermore, it is linked with its initial usage in federal governments. It is important to understand it as a global concept within both Public Administration (discipline) and public administration (function). Chapter three focused on a practical application of IGR in a global context. To this end, the chapter presented conceptualisation and applications of IGR in Brazil, India and South Africa. The cases of these three BRICS countries were compared to illustrate the extent to which IGR is applied internationally. Thus, it was not a comparison of the countries *per se*, but the extrapolation of IGR features from the perspective of similar but differently formed countries.

The emerging issues from practices of IGR in Brazil, India and South Africa indicated similar global trends and approaches. The usage of similar concepts in the three countries confirms a global application of the discipline, without discounting a multi-disciplinary influence. More importantly, studying IGR practices in three countries revealed that service delivery challenges for potable water are similar in that it is a basic service that all governments should take seriously. Against this background, features of IGR were found to be similar, as exemplified by institutional arrangements for water services, legislation and policies, required cooperation and decentralisation. All these countries have reached the MDG goal of access to potable water by more than 95%. In this regard, they are geared for the new United Nations' SDGs. Nonetheless, there are challenges with poor communities, costs, paying tariffs, privatisation, local government's lack of appropriate powers and corruption in the form of patronage and bribery. Notably, consulted literature in this chapter also indicate that IGR can be practised in any form of government, as Brazil and India are federal states and South Africa is a unitary state.

7.3.4 Chapter four

In this chapter, the focus shifted to South Africa and its IGR system to be able to describe its own contextual circumstances. Literature in the form of policies and other publications has revealed the historical evolution of IGR in its contextual manifestations since 1910 when South Africa became a unified bordered country. This history of multi-level governance led to a changed system in a democratic South Africa since 1994. One salient development since 1994 is a local government with its distinct constitutional powers.

1994 was the start of a myriad of transformational initiatives, with an intention to impact service delivery positively. The chapter highlighted the phases of local government transformation as the pre-interim phase (1994-1996), interim phase (1996-2000), project consolidate (2004-2006), turn-around strategy (2009) and the current Back-to-Basics strategy (2014) in the local government sphere. Not only local government experienced this change. The provinces had to learn to relate with, among other matters, constitutionally empowered relations with the local sphere. Furthermore, they also had to understand their own distinct powers in relation to the national sphere. The same trepidations and anticipations would apply to a national sphere that had to cope with decentralisation of power and the need to exert some central control, given that South Africa is a unitary state.

In this chapter, the institutional and legislative mechanisms of the Gauteng Province in relation to national and local government were discussed. The necessary public institutions to the study were Gauteng CoGTA, CoJ, the CoJ's Speaker's Office and the ward committees. In this regard, a detailed discussion of these public institutions and the community of Diepsloot were provided. Moreover, potable water was discussed in the context of South Africa.

7.3.5 Chapter five

In chapter five, the research design and methodology of the study were discussed. The choice of qualitative methodology suited the narrative nature of IGR and allowed individuals to provide meaning to their own service delivery and intergovernmental relations experiences. Starting with an elaboration on a research problem and research questions, the study was directed towards a qualitative method, such as semi-structured interviews and focus group. As is the case in qualitative research approach, the sample was deliberately small but with multiple units in the form of institutions at various spheres of government.

This chapter highlighted that a pilot phase of the instruments was conducted to ensure that questions posed during interviews and the focus group discussion would yield good, detailed descriptions from participants. Data collection followed the piloting stage. The participants also honoured a request for ethical compliance by signing consent forms and agreeing to being recorded. They also agreed to provide feedback on the interview transcripts. By approving interview transcripts, the member checks process was achieved.

The research problems, questions and objectives set the framework for creating the above-mentioned research instruments and also led to data analysis that was conducted on chapter five. In conclusion, the chapter outlined the commitment to the qualitative methodology by following on issues of credibility, transferability, dependability, triangulation and confirmability. These approaches confirmed that the study is qualitative in design, methods and instruments.

7.3.6 Chapter six

Chapter six provided an analysis of data and its interpretation. Data was analysed by means of responses to questions that were posed during the data collection process. Upon interpretation, the thematic categories were used to arrive at insights. The themes

are derived from literature review in chapter two. The general themes that emerged from literature review and data collection led to sub-themes during the analysis and interpretation. In this regard, the general themes and sub-themes led to patterns of information that emerged in response to study objectives.

During the actual analysis, data was interpreted according to the responses from the four sources of data in the form of Gauteng CoGTA, CoJ, Office of the Speaker and ward committees. To arrive at the findings, recommendations and conclusions in chapter seven, chapter six summarised the assessment in relation with the thematic categories, *viz-á-viz*. intergovernmental institutional arrangements; state of institutional collaboration, coordination and cooperation; and state of service delivery.

7.3.7 Chapter seven

Chapter seven advanced findings, recommendations and conclusions on this case study of potable water delivery in Diepsloot through IGR in the Gauteng Province. The literature review presented in chapter two and the analysed data in chapter six have formed the findings of the study. This chapter concludes with recommendations.

7.4 FINDINGS

In this section, the findings of the study are discussed in relations to the objectives of the study. The specific finding is stated on the last paragraph of each section.

7.4.1 Implications of IGR features from different forms of governments

Literature revealed IGR as a concept that is practised in other forms of governments (see section 2.5). The predominantly federal states of Brazil and India implement policies using IGR. It is therefore a system that is applicable in both federal (Brazil and India) and unitary states (South Africa) (see sections 3.3.1, 3.3.2 and 3.3.3).

South Africa, India and Brazil exhibit similar IGR features in the sense that all countries pursue IGR with intentions to deliver services, in particular potable water. In Brazil, the constitution, allows governments at all levels to provide water directly or through concessions, in cases of the authorised local government then federal and state governments provide a regulatory support (De Oliveira, 2008:128). Similarly, In India, the national government formulates water policy while coordinating the water functions of the subnational states and municipalities (Shanmugham, 2010:46-49). The national government of South Africa applies a similar approach of utilising municipalities to deliver water while the national and provincial government play an enabling role through policy and monitoring (Hagg, *et al.* 2003:68).

There are collective IGR challenges experienced by Brazil, India and South Africa (see 3.3.4). They include poor relations between levels of government, reluctance by national levels to devolve functions and resources to sub-national spheres, especially the local sphere of government. In situations of devolved functions to local government, often poor clarity of role, lack of funding and corruption are experienced. Other challenges are that local governments should play developmental roles in addition to basic services. The privatisation of water services and associated costs are examples of market-dominated neo-liberal policies that were adopted and implemented to some detriment to effective service delivery (Morgan, 2011:3; Harris, 2005:306; Brannstrom, 2004:205; Siddle *et al.*, 2012:19; Osborne, 2010:6 & Pal, 2003:169-170). Regarding monetary charges for services, there has been protests against water interruptions due to non-bill payments since the 1990s (Morgan, 2011:10).

Therefore, IGR is an international phenomenon and well located in the field of Public Administration and practices of public administration. It is also revealed that all three countries struggle with managing allocation of powers to the local government sphere due to tendencies to centralise (Heller, 2001:135). However, in most situations of assigning powers to lower levels, there are challenges with capacity and other ills such as corruption impeding progress at sub-national levels (see section 3.3.4).

The concept of IGR is related to established theories (see section 2.4). IGR is particularly derived from institutional theories, especially the neo-institutional theories. In that regard, most concepts used to describe governments with multiple levels could be applied together with IGR. These concepts are multi-level governance and networks. These related IGR concepts are also applicable with other normative concepts, such as governance, decentralisation, coordination and collaboration. Furthermore, public value and public participation theories postulate about enhancement of virtues of service delivery and democracy respectively (see sections 2.4.4 and 2.4.7). IGR together with its network character provides a conducive platform for public involvement on local governance matters (Bevir, 2010; Sørensen & Torfing, 2005, cited in Peters 2012:9).

IGR has its shortcomings, as it does not necessarily guarantee inclusiveness, including the marginalised people in societies. The open platform for involvement in governance matters may be manipulated by the most powerful and knowledgeable, such as the elite in communities (Peters, 2012:9). Another weakness of IGR is slow decision-making due to its requisite character of long consultations in democracies (Malan, 2012:117). Nevertheless, the IGR system is a better platform to advance a quest to involve all actors including civil society on policy matters. However, it should not lack coordinated efforts to integrate with good governance (see section 4.3.1).

IGR is implemented according to the conditions of each country (Peters & Pierre, 2001:131). However, principles that ensure that multi-level government is adopted are also similar. The three countries chosen for their similarity in terms of being developing countries, have exhibited similar challenges on water provision. They are strengthened and geared to manage them because IGR and governance in general is premised on the rule of law, especially of constitutional nature (see section 3.3.4). The conceptual framework of intergovernmental relations is similar and it is applicable in similar contexts with concepts, such as networked governance and multi-level governance.

Participants in the CoJ have expressed a need to approach IGR comprehensively by accommodating the international part of it. Learning from and sharing best practices with

other countries could improve IGR of various countries. Local government participants have expressed a desire for IGR framework policy that incorporates international perspectives, by either learning from other cities or sharing South Africa best practices with others. The relations with other cities are not strategically aligned with the IGR policy in the city. As such, it is separated in the organisational structure of CoJ.

The finding is that the international features of IGR as manifested in theories and models are applicable in all forms of governments including a unitary state of South Africa. This finding is related to this objective of IGR features in various forms of government and implications for South Africa, Thus, collaboration with international cities is likely to influence the national IGR policy and benefit all the sectors including water provision. This finding coincides with the expectations and views of the officials at the City of Johannesburg (see section 6.3.2).

7.4.2 Intergovernmental relations and potable water provision

The establishment of provinces and municipalities under central government in 1910 when the union of South Africa was formed by the *South Africa Act of 1909*, indicated the beginning of intergovernmental relations. Between 1910 and 1994 the intergovernmental relations existed in a context of a unitary state but progressively fragmented by segregated living arrangements according to racial discriminatory policies of the British control and later the apartheid governments. Regarding governance, the period between 1910 and 1994 was characterised by the supremacy of parliament. In that regard, there were three tiers of government with power and authority centralised at national level. While provinces had some administrative powers over municipalities, local government existed as an agency for basic service delivery without independence (see section 4.2). Thus, the IGR system was based on a top-down approach.

With the advent of democracy in South Africa in the early 1990s, policies that would enhance IGR were adopted and practised. These policy changes include the interim constitution in 1993, White Paper on the Transformation of the Public Service (WPTPS)

(1995), the RDP (1994), the 1996 *Constitution* and strategic directives. The IGR of democratic South Africa has been characterised by a context of democracy, constitutional powers to provincial and local spheres of government, decentralised unitary state and the need for cooperative governance. Meanwhile, institutional structures to support IGR have been created which include President's Coordinating Council (PCC) and technical IGR fora. Most importantly, the purpose of IGR has not been to control other spheres but to support, collaborate, build trust and protect the indivisibility of the country for the sake of coherent provision of public services.

In the past 22 years of democracy and the practice of IGR, it has been debatable whether IGR contributes positively to service delivery. Through Statistics South Africa Community Survey (2016:19-23), Republic of South Africa, NDP (2012:423), Cooperative Governance and Traditional Affairs, Local Government Back to Basics Strategy (2014:18), the government of South Africa established that the provision of basic services is in need of improvement in some marginalised areas (see section 4.5 and 6.3). Services are rendered through public institutions and it has been found that IGR institutions are incapable, especially at local government, hence they need to be capacitated (sections 4.6.1, 4.6.2 and 4.6.3).

In Gauteng IGR is based on concerns for power relations as manifested by Gauteng CoGTA decision to let the Office of the Premier to manage the Practitioner's IGR Forum on the basis that other provincial departments may not collaborate with horizontally positioned structure (see section 6.3.1). IGR is made up of both horizontal and vertical engagements and they are equally valuable (Kahn, *et al.*, 2011:5; Watts, 2006:207). The IGR relationships do not necessarily have to be vertical for mutual respect and collaboration to materialise. Essentially, actors may collaborate and cooperate in the context of a horizontal IGR structure.

The role of provincial Gauteng CoGTA seems abdicated when IGR is positioned at the Office of the Premier to ensure that sector departments could cooperate. The principles of interdependence, distinctiveness and interrelatedness apply in all circumstances even

in the case of intra-sphere relations. When vertical relations are emphasised by ability to dispense resources and being powerful, then a hierarchical nature will dominate and destroy the influence from other spheres. In fact, participants at the CoJ expressed confidence in being able to influence developments from their sphere (section 6.3.2). This is an indication that City of Johannesburg rejects any notion of being treated as a less important sphere of government. However, the same participants at the municipal level have raised a concern about the local government needing less regulations from other spheres because it affects implementation of services as they get caught up in a compliance mode (section 6.3.2).

In the Gauteng Province, IGR structures have been established. The Intergovernmental Practitioners' Forum brings together all IGR practitioners from all relevant provincial departments and municipalities. Gauteng CoGTA officials acknowledged that they should convene and preside over the proceedings of the forum but a concern is that other provincial departments may not cooperate hence it is convened by the Gauteng Office of the Premier (OTP). This indicates that cooperation and collaboration is likely to be realised if the relationship is vertical with another institution commanding higher authority even if they are all at a horizontal relationship in a provincial context (section 6.3.1).

The CoJ official stated that Intergovernmental Practitioners' Forum is strategic so they do not address operational issues of service delivery, but it is preferred that such meetings should be engaging with IDPs (see 6.3.2). The fact that the forum does not address operational issues was evident during the interaction that there were no specific responses from CoGTA addressing issues of water in Diepsloot (see 6.3.1).

The need for integrated IGR (see section 6.3.2) is expressed in that the CoJ would appreciate an integrated approach in planning and execution of functions.

Contrary to a perception that metropolitan municipality like CoJ do not need support from other spheres for basic services (section 6.3.1), it has been disputed in that CoJ as an urban municipality experiences a high demand for services due to migration into the cities

and there are other challenges such as unfunded mandates, functions which do not belong to the city as well as the fact that support is not only about funds but about skills and expertise also (section 6.3.2).

There is also a concern that local government is over-regulated. Too many regulations reduce the municipality to administrative duties for compliance. IGR could be improved by reducing the amount of reports that are required from municipalities (see 6.3.2).

The finding on this research objective of intergovernmental relations and potable water provision in Diepsloot is that the CoJ as a metropolitan municipality needs and deserves support from other spheres. Thus, it should not be assumed that the CoJ as a metro is adequately resourced to handle challenges of an area like Diepsloot. In particular, the CoJ require support from the provincial sphere of government and by extension the national sphere. Although IGR has evolved through various periods in South Africa with positive constitutional powers to the local government, it has emerged that local government still require practical support and less regulations to manage service provision in poor communities like Diepsloot.

7.4.3 Experiences of IGR and potable water provision in Diepsloot

As provided for by section 27(1) (b) of the *1996 Constitution*, everyone has the right to water. This constitutional imperative of a right to water drives the need to ensure access to water. Hence in response to a failure to install piped water, municipalities install communal tanks for water in the deprived communities.

Interviewees of the public participation and community development programmes respectively, have expressed successes of CDW as a programme which runs due to a collaboration by all actors at all spheres of government (6.3.1). The public participation activities are arranged in collaboration with the necessary national departments, the Gauteng province, local government and community leaders. Similarly, community development programme is managed in collaborating with the Department of Public

Service and Administration (DPSA), the Presidency, national CoGTA and municipalities. In this case, IGR works well but they are unable to attribute their activities to potable water delivery except that they assist community members to raise their concerns. However, there is a concern about a perceived unhealthy competitive behaviour between the CDWs and ward councillors. Interviewees at Gauteng CoGTA indicated that there are efforts to communicate to the ward councillors that the CDWs are not in competition with them but to assist them to achieve goals of their communities (see 6.3.1).

A total of 2.5% of the Gauteng residents do not have access to piped water (Republic of South Africa, Statistics: SA, Community Survey, 2016:66). Data reveals that some areas of Diepsloot, namely Extension 1 and Extension 10 do not have piped water, it then implies that residents of these areas are part of the 2.5% of the population of Gauteng who do not have access to piped running water. It has also been found that the poor delivery of water is linked with other service challenges, such as poor housing, infrastructure and shack congestion without spaces for proper development of infrastructure.

Diepsloot areas have exhibited the same challenges in areas where formal housing is not yet done. Hopefully, the situation will improve since a report by Statistics South Africa on MDGs states that the current concern in the country is provision of reliable and sustainable water supply (Republic of South Africa: Statistics South Africa, 2015:12). This expressed commitment for sustainability is consistent with the current UN SDGs as they require a sustainable delivery of potable water (section 2.7).

Notably, the reports of CDWs do not reflect problems about potable water in Diepsloot, which is an indication of a perception that there are less serious problems about the service in the area (see section 6.3.1). The CoJ respondent 9, also indicates that out of all the requests for community projects, they have not received a request from Diepsloot about potable water (see section 6.3.2). This lack of general problems of potable water in Diepsloot is corroborated by respondent 11 in the Office of the Speaker of the City of Johannesburg (see section 6.3.3). Instead, respondent 11 mentioned that there is a

problem of housing in Diepsloot and it worsens the situation of service delivery as it affects infrastructure issues (6.3.2 and 6.3.3).

In Diepsloot, water shortage is reported as affecting only two sections within the wards of Diepsloot. In Extension 1 of ward 95 and Extension 10 of ward 113, water is delivered by water tankers to reach the communities. Notably, other areas of Diepsloot that have formal RDP houses receive piped water (see sections 6.3.3 and 6.3.4). Diepsloot experiences uneven delivery of potable water, since the standard is about piped running water and yet some areas in the same ward do not access it accordingly. This inequality among the poor communities attests to Saad (2015:6) who argues that poor people are not a homogeneous group, thus, should not be treated the same.

The finding is that the provision of potable water in Diepsloot is not standardised as some sections of the two municipal wards do not have access to piped water. It is against an established South African standard of provision of piped potable water within 200 meters of each household.

7.5. RECOMMENDATIONS

The previous section revealed three findings. First, the international features of IGR as manifested in theories and models are applicable in all forms of governments including a unitary state of South Africa. Second, the CoJ as metropolitan municipality needs and deserves support from other spheres, thus it should not be assumed that they are adequately resourced to handle challenges of an area like Diepsloot. Third, potable water delivery in Diepsloot is not standardised as some sections of the two wards do not have access to piped water. The next section is on the recommendations of the study.

7.5.1. Realign IGR units and policies in the City of Johannesburg with international practices for improvement of water delivery in Diepsloot.

It is recommended that the City of Johannesburg should reorganise its organisational structure to align sectional units that deal with international relations and intergovernmental relations. This implies that the aligned structures simultaneously lead to aligned policies. In this regard, IGR policy itself would be comprehensively geared to deal with service delivery challenges as normative issues of IGR would have been elevated to a strategic level. Nealer (2007:157) underscores this by stating that modern cities have to manage challenges that include competing for investment with other cities nationally and internationally as well as influx of people. Cities can learn from others on how to deal with modern challenges of increasing informal settlements and need for public services.

South African cities, like the CoJ need to engage with others nationally, regionally, continentally and internationally (State of South African Cities Network Report, 2016:280), in this regard, even a notion of a global city region can be attainable. To engage other cities, implies that policies of the CoJ should incorporate features of IGR which effect beneficial interaction with other countries in different forms of government such as Brazil and India. In this regard, the interaction with other cities could lead to learning of effective approaches to address water delivery problems in areas of informality like Diepsloot.

7.5.2 Provision of support to metropolitan municipality of the City of Johannesburg

Metropolitan municipalities also require partnerships and active support from the other spheres, thus refuting a perception of self-sufficiency. This perception that CoJ as a metropolitan municipality is self-sufficient and well-resourced could be contributing to a slow pace in the eradication of informality in Diepsloot. According to section 154(1) of the *1996 Constitution*, the national and provincial spheres of government should strengthen and support the capacities of municipalities. It is important to consciously provide this

requisite support to metropolitan municipalities to be able to assist with pervasive service delivery challenges. There are issues of unfunded mandates, cross border challenges and unemployment that require other spheres to work with municipalities including the metropolitan municipalities. A function of housing, for instance, is not assigned to municipalities but it affects other services such as delivery of potable water, therefore support has to be provided.

Part of support to municipalities is to remove the over-regulation, to give effect to their right to exist as a sphere. In general, local government would like to be less regulated. A stranglehold of regulations and excessive reporting to provincial and national spheres reduces local government to be operational than strategic. In fact, the municipalities end up being compliance driven. Terry (2006:119) supports regulations as mechanisms for administrative legitimacy. This implies that being properly regulated is effective. Mishra (2003:171) warns that a regulative framework that is conceived from a controlling perspective complicate matters. As municipalities are expected to be developmental, they should be provided with a space and resources to achieve the goals. The over-regulation of the local government could have an impact on the roles and impinge on their constitutional right of distinctiveness and interdependence. Less regulation is a form of support since it allows the municipality to fulfil its mandate unhindered and to engage the other spheres when necessary.

7.5.3 A standardised provision of potable water in Diepsloot

Section 27(1) (b) of the *1996 Constitution* does not segregate on the basis of residential areas, thus the poor areas should have access to water like every other area. Although problems of poor housing in informal settlement impede implementation of infrastructure for potable water, the residents must have access to water. Potable water should be delivered according to the established basic level of service of the Department of Water and Sanitation (DWS) which is a minimum standard of access to piped water to a point outside yard within 200 meters from a household. Therefore a coordinated service provision by the City of Johannesburg and Gauteng CoGTA should provide water

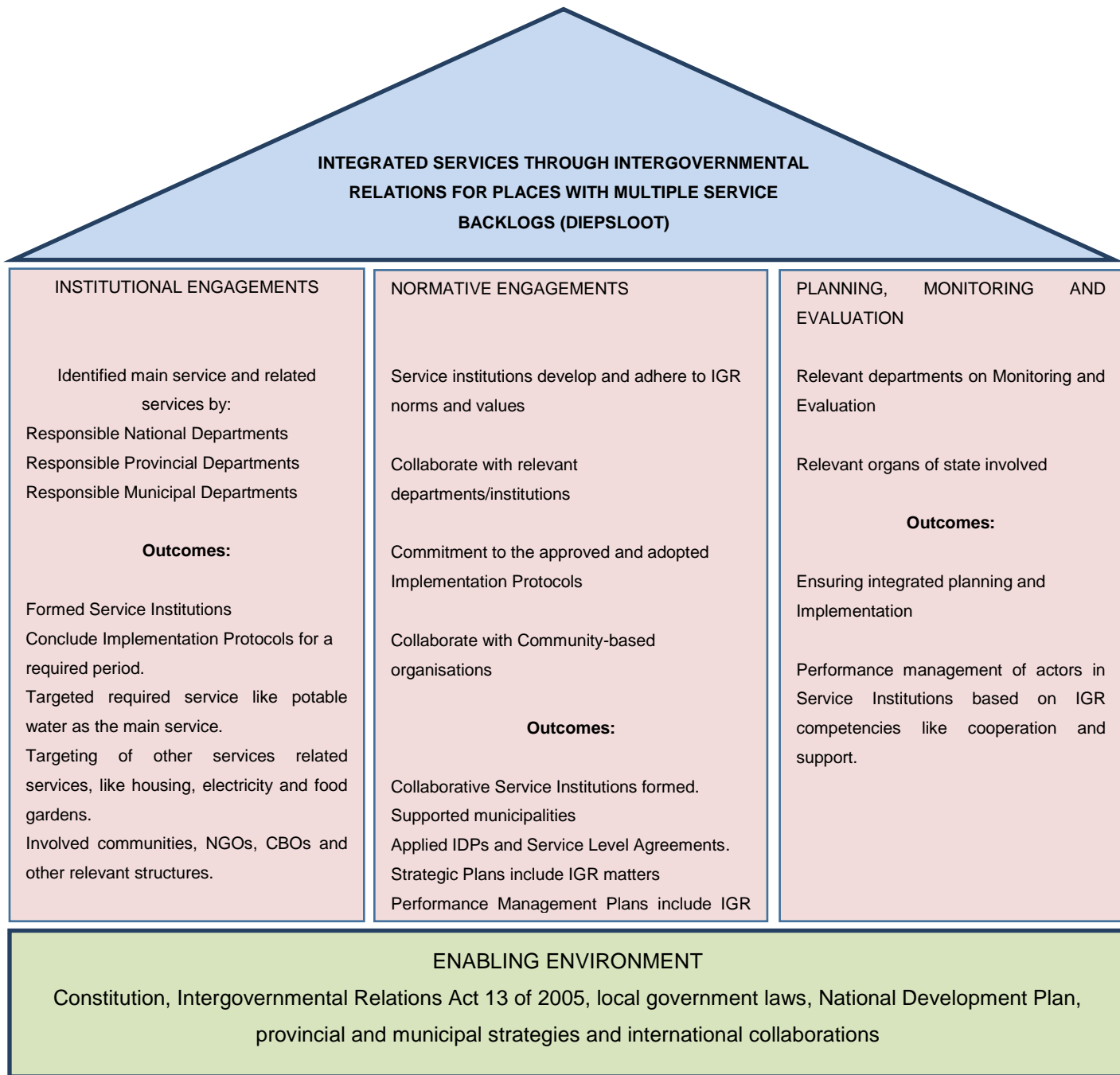
according to the standard in areas of Extensions Number 1 and 10 in wards 95 and 113 of Diepsloot respectively. In doing so, the national policy of the DWS is being implemented accordingly. Consequently, an integrated service delivery cannot be achieved when the institutions which deal with water are involved individually in a form of a *silo approach*.

7.5.4 Proposed targeted and integrated IGR model

The three recommendations stated above can be achieved by a model which intends to integrate IGR approaches and the background theories. Ostrom (2011:8) elaborates that a model clarifies theoretical frameworks. As indicated in chapter two of this thesis, institutional theories inform IGR to a large extent. Moreover, public value theories are also pertinent in explaining service delivery purpose of public institutions. All three recommendations discussed on 7.5.1, 7.5.2 and 7.5.3 require integrated institutional approaches. A first recommendation is about a provision of potable water through collaboration among involved institutions. A second recommendation suggests that institutions should learn IGR features through collaboration with local, national and international institutions as IGR is an international phenomenon. A third recommendation encourages involvement of community structures to strengthen IGR with experiences of service delivery. Thus, the study proposes an targeted and integrated intergovernmental relations model.

There are various models of IGR (see section 2.5.2). The latest proposed models for IGR in South Africa include the differentiated Back to Basics (2014) model, NDP (2012) model and Tapscott's (2004) asymmetric model. The strength of these models is that they are intended to ensure that IGR is differentiated, thus not applied uniformly. Their collective weaknesses are that they target services in a generic manner and are less focused on category A metropolitan municipalities. The proposed targeted and integrated IGR model applies a differentiated approach with an intention to target specific services and jurisdiction as indicated on figure 7.1 below:

Figure 7.1: Proposed targeted and integrated IGR model



Source: Researcher

This proposed targeted and integrated IGR model on Figure 7.1 (hereafter referred to as a proposed integrated IGR model) targets a metropolitan municipality as the study revealed that category A municipalities also experience capacity constraints also. Consequently the City of Johannesburg need support on matters which put pressure on delivery of basic services such as the upgrading of services in informal settlements. The informal settlements increase in the metropolitan cities as a result of high search for employment and people wanting to be close to the workplaces. Generally, as a residential area with a legacy of informality, Diepsloot, is likely to have a backlog in a number of basic service needs which include housing, roads, water, sanitation and schools transport and crossing bridges.

The proposed IGR model presents pillars of IGR as the institutional engagements, normative engagements and planning, monitoring & evaluation. The first pillar of institutional engagements is aimed at public institutions and the required service. In this process, the main service, for example potable water, should be identified by the responsible actors. All institutions that are related to the chosen main service should form *service institutions* and begin to develop *implementation protocols* according to the *Intergovernmental Relations Framework Act 13 of 2005*. In addition to the main service, other related services to the main service should also be identified. Simultaneously, the custodians of the related services should then be part of the *service institutions*.

The second pillar of the proposed IGR model is normative engagements. It is on the basis of normative engagements that principles and values of IGR such as collaboration, coordination and mutual trust are determined by *service institutions*. The institutions should then conclude *implementation protocols* by committing to providing services in accordance with the norms and values. The services include the main required service and the related services, for example, water as the main service, then houses, sanitation and electricity as related services.

The third pillar of the proposed model entails planning, monitoring and evaluation. This pillar requires collective planning and implementation by all institutions, structures and individuals in relation to the service and the norms. The CoJ should involve all spheres when developing the IDPs. Similarly, the province of Gauteng and the national departments of CoGTA and Water & Sanitation should involve others in the development of plan provincial growth strategies and national plans respectively. The national Department of Planning, Monitoring and Evaluation (DPME) should be responsible for integrated planning among all institutions within the three spheres of government.

The three pillars of the proposed model are held together by foundational aspects and outcomes. The foundation is depicted on Figure 7.1 as an enabling environment through legislative framework. The *1996 Constitution*, *Intergovernmental Relations Framework Act 13 of 2005* and other relevant policies provide a proper foundation for IGR. The *1996 Constitution* allocates functions for specific spheres hence the IGR approach is inevitable to ensure for instance, that local government provides water but the national sphere delivers houses. The National Development Plan and Back to Basics strategy are the latest policies which endorse the importance of IGR and cooperative government.

The top part of the schematic representation of a model (figure 7.1) illustrates the outcomes of service delivery initiatives. The results-based planning in the public sector involves inputs (resources), activities (processes and actions), outputs (final products), outcomes (medium term results), and impact (developmental results) (Republic of South Africa, National Treasury: 2010:6). The outcome should be delivery of a particular service like potable water and it is depicted on Figure 7.1 as a 'roof' of the entire structure. In addition to delivery of the main service, other outcomes shall be the achieved related services to potable water. A combination of a numbers of service delivery outcomes when achieved could lead to a positive impact on service provision. An impactful provision of services is a consequence of integrated approach.

An integrated approach by all institutions for an allocated time is the central tenet of this proposed IGR model. Ndlela (2008:236) argues that an integrated approach within

municipalities should be utilised to target particular programmes through IDPs. Thus, it is not about an *ad hoc* and reactive approach to a delivery challenge at a certain time. If it is collectively planned to target potable water problem in the areas of Diepsloot, then all other necessary areas of services like housing should be included. An infrastructure for potable water cannot be installed in areas where there are informal houses without proper streets, hence in that case, the Department of Human Settlement for housing must be involved.

In practice, an implementation of this proposed model has some general guidelines on its operation. *Service Institutions* are crucial for coordination and collaboration among various actors. By definition *Service Institutions* refer to public institutions from all spheres of government which are formed for a certain period to provide an identified *main service* by integrating other related services. The number of Service Institutions may be two or more as it depends on the main service and other related services. A multi-year planning in the public service is at a maximum of five years, therefore *Service Institutions* may operate for a maximum period of five years. These Service Institutions do not individually leave their political ministries or governance model, they simply work collaboratively with others. To accommodate extragovernmental relations, the *Service Institutions* should also work with relevant community structures.

The Service Institutions should then synchronise their annual and multi-year plans to respond to the main and related services required. Technical IGR fora can then be formed to be able to complete tasks for specific departmental units and individuals in the individual Service Institutions.

Performance management systems for individuals and public institutions should incorporate tasks for the identified and approved IGR programmes and projects. More importantly, the performance management system should be about whether services were delivered in an integrated manner. A responsibility to measure performance of employees and teams remains within the individual institutions. Institutional performance should continue to be assessed by responsible institutions with own mandates like

Auditor-General of South Africa, Department of Planning Monitoring and Evaluation (DPME), national and provincial departments of Cooperative Governance and Traditional Affairs and the Presidential Coordinating Council. Moreover, performance measurements of institutions and individuals actors would include normative issues like collaboration, trust and cooperation.

In addition to other existing legislative imperative, Section 35(1) of the *Intergovernmental Relations Framework Act*, no 13 of 2005 provides for the *implementation protocols* which allow institutions to work together hence the IGR fora can be established. Service Institutions can also be established according to the *Intergovernmental Relations Framework Act*, no 13 of 2005 as the act allows for collaborative operations.

The parties in the *Service Institutions* should also agree on some dispute resolution mechanisms as stipulated by section 41 of the *1996 Constitution*. These dispute handling mechanisms are necessary to ensure a successful collaboration culminating in rendered services. Therefore, implementation of services according to an IGR integrated approach is legally possible. As illustrated on figure 7.1, a successful implementation of integrated approach require the above broad guidelines to be followed and a commitment from all actors. A negotiated cooperation within the public sector among various actors can compete effectively with privatisation and bureaucratic state control (Ostrom, 1990, cited in Room, G. 2011:69). Essentially, performing public institutions can reduce the unnecessary outsourcing of services.

The proposed IGR model requires monitoring and evaluation for a sustainable implementation of integrated IGR programmes and projects. The Department of Planning Monitoring and Evaluation (DPME) in the Presidency could play a central role in monitoring the institutions' planning and implementation of IGR matters and conduct impact studies thereof. The DPME's mission is about facilitation of planning, monitoring and evaluation for an effective service delivery to impact the society (Republic of South Africa, Department of Planning, Monitoring and Evaluation, 2017: Online). In its role to monitor and evaluate services in public sector, the DPME manages a Management

Performance Assessment Tool (MPAT) annually (Republic of South Africa, Department of Planning, Monitoring and Evaluation, 2017: Online). MPAT reports on the performance of the government institutions by means of performance indicators which are derived from their annual plans.

However, the planning, monitoring and evaluation of the institutions should be proactive process that begins with integrated planning. In this regard, monitoring and evaluation would be a continuous process. Currently, MPAT process is implemented at the end of the process as an evaluation tool. *Service Institutions* must state their IGR performance indicators in the institutional and personal performance plans.

MPAT will be able to accommodate IGR as a performance indicator once all relevant public institutions incorporate IGR in their plans. It is possible to plan for integrated IGR projects and programmes when *Service Institutions* are identified and *implementation protocols* are completed. Beyond this planning, the DPME could also be able to check alignment of IGR related projects with implementation of IDPs, local government strategies, provincial growth strategies, municipal strategies and National Development Plan.

The proposed integrated IGR model is conducive for a unitary state of South Africa. Several broad IGR models in unitary and federal states were discussed (see section 2.5.2). Furthermore, this model is in a realm of a stewardship model which is a model of unitary state and it is about relations between national and sub-national spheres (Kahn *et al.*, 2011:34-37). As a unitary state, South African legislative directives such as the *1996 Constitution* helps ensure that all spheres share functions, hence a stewardship model is pertinent. In line with arguments about the federal features of IGR in South Africa, Kahn, *et al.*, (2011:37) argue that overlapping authority model is pertinent for South Africa. By definition, overlapping authority model by Deil Wright (1978) depicts all spheres as having a limited authority, and being compelled to bargain for power. The two models are the overarching models of IGR within which the proposed model could fit.

Other general IGR models are not suitable for South African system of IGR. South Africa does not have a complete centralised power (agency model), the spheres do not operate to bargain for power (power dependency model), does not have equality amongst the spheres (partnership model) and the spheres are not on relationship that is characterised by exploiting sub-national spheres (Marxist model or Dual State). The Type I and II MLG models by Hooghe and Marks (2003) are also pertinent for IGR and Type I is more pertinent for a unitary state than Type II which is more about the transnational relations. These number of broad IGR models indicate that intergovernmental approaches are dynamic. It is against this background that the proposed integrated IGR model (Figure 7.1) augments the broad IGR models with specificity.

Section 154(1) of the *1996 Constitution* provides that national and provincial sphere must support municipalities. This support to municipalities applies to all municipalities including the category A metropolitan municipalities. Thus, differentiation of devolution of powers and authority to local government cannot only be based on 155(3) (c) which emphasises a proper assignment of powers to category B and C municipalities. It makes sense that framers of the *1996 Constitution* have emphasised support for category B and C municipalities due to historical conditions which the NDP (Republic of South Africa, NDP: 2012:432) regard as areas with less capacity to generate revenue and attract skilled human resources. However, the capacity of metropolitan municipalities to provide basic services to poor communities can also be overstretched.

In addition to the *1996 Constitution*, other laws are still effective for this model that intends to improve service delivery through IGR. The *Municipal Systems Act, 2000 Act 32 of 2000* is imperative as its chapter 5 provides for the establishment of IDP in each municipality. The Act is also a mechanism through which municipalities can provide basic services (Van der Walt, 2007:58). The *Municipal Structures Act 117 of 1998* is of importance for structural arrangements such as establishment of municipal categories, administrative systems and electoral matters. The current legislative framework can be used to implement integrated IGR programmes and projects.

IGR as a networked relationship is characterised by collaborative costs (Terry, 2006: 527). The collaborative costs manifests themselves in what Goldsmith *et al.*, (2004:40-45) refer to as complexities in communication, accountability, and coordination. One of the challenges of IGR is disputes that may arise among actors with negative consequences for collaboration. To avoid a detrimental dispute to a relationship and service delivery, section 41 of the *1996 Constitution* provides for settlement of IGR disputes by means of agreed upon mechanisms and procedures. A litigious option to resolve disputes is discouraged.

The IGR approaches in Gauteng and the CoJ are not integrated with regard to delivering potable water. The case of IGR system in Gauteng with a focus on service delivery in the CoJ has confirmed that informal settlement of Diepsloot require an integrated support to be able to provide water according to the acceptable standard of piped water. Even though Diepsloot is in the metropolitan CoJ which is perceived to be well-off, as a place with informal housing it has been found that its Area Extension 1 of ward 95 and extension 10 of ward 113 do not receive potable water according to the minimum national standard of being piped within 200 meters of each household. These points to the fact that service delivery challenges are also experienced differently in that in one area there could be a number of disparities. Thus, a blanket approach of treating the CoJ as adequate because it is a metropolitan municipality would miss such small areas within municipal wards of Diepsloot. Extension 1 and 10 are within wards that have access to piped water, yet they do not have it and its infrastructure.

By its nature, IGR involves multiple actors to ensure incorporation of all necessary functions. To illustrate, housing is not a function that is naturally allocated to local government and informal housing can make it difficult to install infrastructure for potable water as they are built without approval and not making space for installations. To address the problem of potable water in those affected wards in Diepsloot, then the Department of Human Settlement should be involved from national and provincial levels. The proposed IGR model, therefore means that a constitutional support to municipalities is differentiated at all categories of municipalities. Metropolitan municipalities are also targeted to be supported by other spheres of government. Crucially, this proposed model

differentiates municipalities by not targeting an entire municipality unnecessarily but by focusing on individual areas that could be a region, ward or whole municipality depending on needs. The extent of targeting municipal areas is dependent upon the identified service needs.

The proposed model can be beneficial to integration of services. The proposed IGR model could assist with institutionalisation of IGR. Institutionalised framework refers to an amalgamation of aspects such as shared ideas, knowledge, procedures, norms, values, standards and identities (Sørensen & Torfing, 2007a:10). Peters (2011:114) refers to guided behaviour of partnerships as institutionalised patterns. Mathebula (2011:1423) argues that the current structure of institutional arrangements is dominated by the powerful entities and institutions to an extent that the IGR forums have been weakened. It is positive that IGR in South Africa is formally legislated (Malan, 2012:16), thus building from this strength of legitimacy, IGR system has to be improved from forum-based structures to being institutionalised on the systems of all public institutions.

The system should be free from being dominated by individual actors in the form of powerful institutions and perhaps in some instances, powerful individuals. Therefore, institutionalisation refers to an IGR system, which is made up of relevant institutions that incorporate IGR, and cooperative government matters into their annual performance plans, multi-year plans and other strategic initiatives. It is at this point of aligned plans that it will be possible for *Service Institutions* to work together. .

The proposed IGR model supports the idea of aligning individual and institutional performance agreements to incorporate IGR and cooperative governance. To illustrate, the involvement of the actors from various institutions will not only be about participation in the IGR forums and task teams but to conduct their IGR functions as part of signed performance contracts. . In this regard, human, financial and technical resources can be utilised optimally without wastage.

Institutions within IGR tend to continue with a Weberian hierarchical structural approaches (Sørensen, *et al.*, 2007b:25-26) which is in contrast with a relatively equality-based culture of a networked environment. The proposed model is attempting to modify institutional *silo approach* and bring the aspect of institutional collaboration in a practical and committed manner. It is an arrangement that compels institutions to work together for their benefit individually and collectively. This approach of proposed IGR model implies that institutional individual planning and assessment of performance should include IGR matters as a norm and part of business and operations. When individual performances are planned and assessed, then the IGR skills and competencies should form part of the key performance areas.

In addition to performance assessment tools being aligned to a context of cooperative government, the individual institutions should not establish small IGR units internally. As it was noted at COJ and Gauteng CoGTA, IGR issues become personalised when some people are directly responsible for them. This idea does not dispel a notion of IGR specialist, but it is about employing the specialists in each branch of the institution. In this manner, IGR is likely to be part of all projects and programmes. Institutionalised performance management should be based on ensuring that assessment of individual and institutional performances will include a performance area on how their work is conducted through cooperative government and IGR.

Hansen (2007:257) attests that asymmetrical approaches can influence interdependencies and progressive growth in various areas. This implies that when a municipal area has been assisted to catch-up with a required standard, other areas can have their opportunities. In this way, inequality in area development is not being perpetuated. Thus, a proposed model does not allow for any municipal area to deteriorate when others are being targeted as minimum service levels should be maintained at all times.

Overall, this proposed model can move IGR system from being compliance driven to being results driven as it would be part of all service delivery initiatives. As service delivery

has not yet reached the local levels irrespective of adopted decentralisation in South Africa (Van Rooyen, 2003:274); a concerted effort to deal directly with public needs through IGR can ensure that services are adequately provided to the citizens and end the existence of long term backlogs of services as experienced by Diepsloot from 1995. This proposed IGR model for CoJ in South Africa could specifically assist Extension 1 and 10 in wards 95 and 113 respectively to receive water according to the national standard of providing piped potable water within 200 meters of each household.

IGR is characterised by a quest for integration. Institutions are inherently prone to tensions and infighting but they are also geared for coherence which is fostered through norms and rules (Olsen, 2010:33). While this positive nature of IGR is considerable, it is also necessary to guard against the negative weaknesses of IGR. One of the weaknesses is that the public space provided by IGR may be monopolised by the elite and the opinionated in societies (Peters, 2012:9). Malan (2012:117) warns about a slow decision-making in IGR matters due to possible protracted consultations. These identified weaknesses do not overshadow the strengths of IGR hence a need to improve integration.

An integrated IGR model advances public administration. Firstly, public value is enhanced by collaborative institutions as they are likely to achieve service delivery. Secondly, public participation is possible since the partnering public institutions have to involve relevant civil society structures. Moreover, the proposed model supports a continuation of ward committee system as part of public participation. Ward committees represent an institutionalised public participation by communities (Silima & Auriacombe, 2013:49). Thirdly, an integrated IGR justifies the importance of public institutions to cooperate for service delivery whilst consulting with the public and civil society structures. In this regard, institutions continue to be of importance to government and governance.

In conclusion, proposed integrated IGR model could contribute to the study of Public Administration. As mentioned above, the institutional, public value theory and public participation theories are embedded in the proposed model. In this regard, Public

Administration is enhanced at a theoretical level. In general, the discipline can be enhanced by this model in that it accommodates the current paradigms. Those paradigms are New Public Governance (NPG) which is defined by networking in the form of collaboration, New Weberian State (NWS) which acknowledges some form of hierarchy in public administration (Bouckaert, 2015:26) and governance which is concerned with cooperation between the state, private sector and civil society while emphasising a primary role of government (Thornhill, 2015:21).

7.6 CONCLUSIONS

Chapter seven presented the findings, recommendations and conclusions of the study. This chapter commenced with the summary of research study and presented findings with recommendations. Based on the evidence of research, it was concluded that IGR does not provide support for delivering potable water to Diepsloot adequately illustrated by lack of achievement of water delivery according to the basic standard. A failure of IGR is also illustrated by less integration of services. To illustrate lack of integration, a backlog on housing delivery affects the building of infrastructure for potable water in other sections of the municipal wards of Diepsloot.

The first research objective about the features of IGR from different forms of governments was addressed by extrapolation of implications for the South African IGR system. The second objective is met through an analysis of how historical developments on IGR policies in South Africa have contributed to a state of IGR in Gauteng and the CoJ. The third research objective is met when the study addressed the experiences of the ward committees regarding the delivery of potable water in Diepsloot. Overall, the study has achieved to highlight that IGR is not being utilised effectively in Gauteng province for provision of basic service of water in the CoJ. The next section presents possible further studies.

7.7 FURTHER RESEARCH

Further research may be necessary on the following areas:

- The quality of potable water that is delivered to communities in informal settlements by means of water tankers or trucks for communal tanks.
- The role of political actors such as municipal councillors to further understand intergovernmental relations in the context of service delivery from a perspective of political role-players in Diepsloot.

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INTERVIEWEES

Respondent 1 and 2. Deputy Directors: Intergovernmental Relations. Gauteng Cooperative Governance and Traditional Affairs (Gauteng CoGTA). 07 March 2016.

Respondent 3. Deputy Director: Infrastructure. Gauteng Cooperative Governance and Traditional Affairs (Gauteng CoGTA). 07 March 2016.

Respondent 4: Deputy Director: Public Participation. Gauteng Cooperative Governance and Traditional Affairs (Gauteng CoGTA). 08 July 2016.

Respondent 5: Deputy Director: Community Development Workers Programme. Gauteng Cooperative Governance and Traditional Affairs (Gauteng CoGTA). 08 July 2016.

Respondent 6. Deputy Director.: Strategy and International Relations. City of Johannesburg. 08 July 2016

Respondent 7. Deputy Director: Strategy and International Relations. City of Johannesburg, 08 July 2016.

Respondent 8. Deputy Director: Intergovernmental Relations. City of Johannesburg, 08 July 2016.

Respondent 9. Deputy Director: Community Projects. City of Johannesburg, 28 July 2016.

Respondent 10. Deputy Director: Strategy and International Relations. City of Johannesburg, 27 July 2016.

Respondent 11. Manager: Region A Wards Coordination. City of Johannesburg- Office of the Speaker. 12 March 2016.

Respondent 12. Coordinator. Diepsloot Wards. City of Johannesburg- Office of the Speaker. 21 April 2016.

FOCUS GROUP

Date of the Focus Group Session : 21 June 2016

Participants: 4 from wards number 95 and 113. 1 was a Ward Committee Coordinator and 1 was a Community Development Worker.

ANNEXURE 1

HR Manager

Gauteng Cooperative Governance and Traditional Affairs

Bank of Lisbon Building

37 Sauer Street

9th Floor

Johannesburg

Dear Sir/Madam

A REQUEST FOR APPROVAL TO CONDUCT AN ACADEMIC RESEARCH

The Gauteng Cooperative Governance and Traditional Affairs (Gauteng CoGTA) is requested to approve of the participation of its relevant units or sections in an academic research study. I am a doctoral student from the Department of Public Administration and Management at University of South Africa (UNISA). The research is approved by UNISA (**Please see an approval letter from Research Ethics Review Committee**).

The aim of the research is to contribute to a growth of the evolving practice of Intergovernmental Relations (IGR) in the Republic of South Africa.

The objectives of this research study are:

- Describe the Intergovernmental Relations (IGR) and service delivery in South Africa, with an emphasis on the democratic dispensation.
- Analyse the successes and challenges in the provision of water services by means of IGR in the region of Diepsloot which is part of the City of Johannesburg in the Gauteng province.
- Advance recommendations and conclusions based on the findings of the study on IGR.

Gauteng CoGTA is requested to avail relevant officials, preferably 10 or more, to participate in a semi-structured individual interview of not more than 45 minutes. The purpose of an interview will be to describe and analyse the operations of Gauteng CoGTA in the context of IGR with a specific focus on water services in the City of Johannesburg.

In addition to the City of Johannesburg and Gauteng COGTA, another institution which is requested to participate in the study is the ward committee of Diepsloot, ward 95 of Region A.

Please note that the study meets all ethical requirements. On its own, this request is intended to ensure that participants agree to participate willingly in this research process. Moreover, each participant will sign a consent

form, confirming confidentiality and anonymity . To be specific, the following illustrate adherence to these ethical concerns:

- The interviewees will be provided with an opportunity to check and confirm the researcher's interpretation of their perspectives before the finalisation of a research report.
- The results of this study will be used for academic purposes only and may be published in an academic journal. Upon request, Gauteng CoGTA will be provided with a summary of the findings.
- The study guarantees anonymity and confidentiality. Essentially, names of interviewees will not be disclosed in the research report (academic thesis).

Overall, this research is extremely important to increase knowledge on IGR because the National Development Plan (Vision 2030) mentions the importance of IGR and Cooperative Governance in creating a capable State.

For any enquiry regarding the approval by the academic institution, please contact my supervisor, Professor Sinval Kahn at UNISA on 012-4293912 and/or e-mail at Kahnsb@unisa.ac.za .

I thank you in anticipation for your approval.

Kind Regards;



Johnny Masego Pietersen (Mr)

012-4416354 (w) / 0825509653

Doctorate42@live.com

Date: 05 / 01 / 2016



GAUTENG PROVINCE

CO-OPERATIVE GOVERNANCE AND
TRADITIONAL AFFAIRS
REPUBLIC OF SOUTH AFRICA

Enquiries: Jacqueline Obando
Tel. Number: 011 355 5000
E-mail: jacqueline.obando@gauteng.gov.za

Mr JM Pietersen
Student Number 32862628

Dear Mr Pietersen

RE: APPROVAL TO CONDUCT RESEARCH STUDIES UNDER THE THEME: MANAGEMENT OF INTERGOVERNMENTAL RELATIONS FOR IMPROVED SERVICE DELIVERY OF PORTABLE WATER WITH SPECIFIC FOCUS ON DIEPSLOOT TOWNSHIP IN SOUTH AFRICA

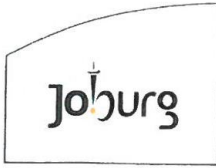
The above subject bears reference.

Your request to conduct research for your studies on the above-mentioned topic and its linkages to the work facilitated by the Directorate: Governance and Intergovernmental Relations is hereby granted.

I wish you all the best in your research and hope that your interaction with the Directorate will be fruitful and serve to strengthen your thesis. Please do feel free to communicate with us if you require any further assistance.

Sincerely,

Ms Jacqueline Obando
Director: Governance, IGR and Traditional Affairs



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Group Strategy, Policy Coordination & Relations

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To: Mr. Johnny M. Pietersen
Student # 32862628

From: Horace Thando Mataboge
Deputy Director: Intergovernmental Relations
Group Strategy Policy Coordination and Relations
City of Johannesburg

Date: 23rd June 2016

**RE: APPROVAL TO CONDUCT RESEARCH FOR DOCTORAL STUDIES:
MANAGEMENT FOR IMPROVED DELIVERY OF PORTABLE WATER WITH
SPECIFIC FOCUS ON DIEPSLOOT TOWNSHIP IN SOUTH AFRICA**

Dear Sir,

The above matter and your correspondences as well as subsequent telephonic conversation between respective officials have reference.

Your request for approval to conduct research for your studies on the above topic through structured interviews with targeted officials within the Group Strategy Policy Coordination and Relations of the City of Johannesburg is hereby granted.

Your research comes at an opportune time as the City is engaged in the process of developing a new IGR Strategy and Implementation Plan. The outcomes of your studies will shed further light in resolving some of the challenges in cooperative governance. We wish you the best in your research as well as fruitful engagement with interviewees who have been informed of your endeavors.



City of Johannesburg

Group Strategy Policy, Information & Relations

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Contact person: Mr. Thando Mataboge
Deputy Director: IGR
Tel: 011 587 4341
Cell: 083 258 1323
e-mail: thandomat@joburg.org.za

Yours in cooperative governance.

A handwritten signature in black ink, appearing to be "J.D.", written over a horizontal line.

Ms Jabulile Dhlamini
Acting Unit Head: Integrated and Community Based Planning



To: Mr JM Pietersen
Student # 32862628

From: H Manamela
Ward Governance Reg A

Date: 23 June 2016

Re: Approval to conduct research for studies: Management of Intergovernmental Relations for Improved Delivery of Portable Water with Specific Focus on Diepsloot Township in South Africa

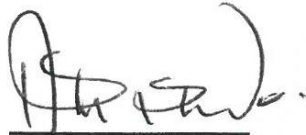
Sir

Your request for approval to conduct research for your studies on the above topic within our area of operation in Diepsloot Region A in the City of Johannesburg is hereby granted.

We wish you all the best in your research and hope our necessary assistance in facilitating your interaction with our respondents will ultimately serve to strengthen your thesis and enable you to successfully complete your studies.

Please feel free to interact with us when the need arises for your linkage with our ward committees and other structures you may require assistance from.

Yours faithfully



MH Manamela
Regional Manager: Ward Governance
Region A
Stakeholder Relationship Management
Office of the Speaker
City of Johannesburg
No 300 - 15th Road, Randjespark
Landline: 011 203 3611
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ANNEXURE 2

SEMI –STRUCTURED PERSONAL INTERVIEW GUIDE:

The City of Johannesburg and the Gauteng Department of Cooperative Governance and Traditional Affairs

Purpose of the Interview

The purpose of this interview is to collect primary data for a doctoral study in the Public Administration and Management academic field. It is a research study on intergovernmental relations (IGR) in the Gauteng province. The study is approved by the University of South Africa (UNISA). While the results of the study will be disseminated through a doctoral thesis, the institutions and colleagues may have access to a summary of results upon request. The interview, preferably face to face, will not take more than 45 minutes of your time. Please note the guide of questions below to prepare for a semi-structured personal interview.

Confidentiality and anonymity

Confidentiality and anonymity are guaranteed to the respondents. The findings will be used for scholarly purposes only. Please note that a voice recorder is used to ensure the accuracy of the transcripts. *Please indicate if you have any objection to the usage of a voice recording device.*

Post Research:

Participants will be provided with an opportunity to check the draft transcripts before a finalisation of a final research report. To be able to identify your transcript for feedback, please note a participant's number allocated to you. The number associated with your name will be kept confidentially by the researcher.

Participant's number:....

Age: 18-25 (....) 26-35 (....) 36-45 (....) 46-55 (....) 56-65 (....) 66-75 (....) 76-85 (....) 86-95 (....)

Signature _____ for _____ Agreement: _____(Consent).

Contact Details:

Johnny Masego Pietersen (Mr)
UNISA Student (32862628)
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012-4416354

And

Prof S Kahn
UNISA
Supervisor
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012-4293913

By: Johnny Masego Pietersen :

Date.....

GUIDING QUESTIONS ON AREA 1: (Structural)

- 1.1 What is your role in the organisation regarding IGR and cooperative governance?
- 1.2 How important are the functions of IGR?
- 1.3 What are the levels of responsibility for IGR in the organisation in terms of positions in the organogram?
- 1.4 How do the various units relate to the matters of IGR?
- 1.5 What are the IGR structures that have been established that you know of?

Notes:

GUIDING QUESTIONS ON AREA 2 : (Policies of the Institution/Unit/Department in relation to IGR)

- 2.1 What policies are related to IGR and water services?
- 2.2 How were the policies developed? (Nature of consultation and role players)
- 2.3 How are the policies supposed to be implemented? (Means, Process and Stakeholders)
- 2.4 How do the policies address places which have a legacy of being an informal settlement?
- 2.5 What are possible consequences of poor IGR, if any?
- 2.6 How do your policies inform the other stakeholders/service providers?
- 2.7 What policy matters should be reviewed to improve IGR?

Interview notes:

GUIDING QUESTIONS ON AREA 3: (Implementation)

- 3.1 What are the successes and challenges regarding IGR matters?
- 3.2 What are the IGR successes and challenges regarding informal settlements, with specific reference to Diepsloot?
- 3.3 How do the departments at provincial and national spheres that are related to the water services work together to provide services.
- 3.4 How does your organisation work with ward committees, the ward committees of Diepsloot in particular?
- 3.5 To what extent does IGR affect service delivery?
- 3.6 How is the IGR among all stakeholders in relation to the Constitution of the Republic of South Africa?
- 3.7 The National Development Plan (NDP) stated that IGR should be improved. To fulfil the NDP, what are the current plans to improve IGR issues?
- 3.8 What is the state of IGR among all stakeholders in relation to the IGR Framework?

Interview notes:

GUIDING QUESTIONS ON AREA 4: (Theoretical ideas)

- 4.1 How does the current system of IGR in South Africa address matters of power relations in coordination of IGR matters?
- 4.2 If there is a need to improve the system, how can it be improved?
- 4.3 Is the system geared, structured and positioned to address service delivery?
- 4.4 What philosophical or conceptual ideas should be covered by the IGR system?
- 4.5 Is the current IGR system geared, structured or positioned to address the alignment and delivery of basic services?

Interview notes:

General Comments:

ANNEXURE 3

FOCUS GROUP GUIDE City of Johannesburg for Diepsloot Ward Committee

Purpose of the Focus Group:

The purpose of this Focus group is to collect primary data/information for a doctoral study in the Public Administration and Management field. The study is about the Intergovernmental Relations (IGR) in the Gauteng province. The study is approved by the University of South Africa (UNISA) and the Speaker's Office of the City of Johannesburg.

Process:

You are provided with the exemplary questions to note and prepare for the focus group discussion at the date that will be negotiated with the Chairperson (Coordinator) of your Ward Committees. Since it is group discussion, it will be one session which does not exceed 45 minutes. Meanwhile, please read the questions below in preparation.

The researcher will use a voice recorder to ensure accurate transcripts. The information derived from this device will also be used for the purposes of the study only. *Please indicate if you have any objection to the usage of a voice-recording device.*

While the results of the study will be disseminated through a doctoral thesis, participants may have access to a summary of results upon request. The interview, preferably face to face, will not take more than 45 minutes of your time. If a face to face approach is not possible, then a telephone conferencing will be done.

Principles of Confidentiality and anonymity:

Confidentiality and anonymity are guaranteed to the respondents. No participant will be identified. Since it is a group discussion, all members are requested to strictly adhere to keeping information about the discussions confidentially. No member should be prejudiced for his or her ideas expressed during the discussions. It should be known that the discussions are for academic purposes only. Members are requested to participate voluntarily and they may equally withdraw from participation at own will.

Post Research:

Participants will be provided with an opportunity to check the draft transcripts before a finalisation of a final research report. To be able to identify your transcript for feedback, please note a participant's number allocated to you. The number associated with your name will be kept confidential by the researcher.

Participant's number:

Age: 18-25 (....) 26-35 (....) 36-45 (....) 46-55 (....) 56-65 (....) 66-75 (....) 76-85 (....) 86-95 (....)

Signature for Agreement:
(Consent)

Contact Details:

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By: Masego Johnny Pietersen :

Date.....

GUIDING QUESTIONS ON AREA 1: (Structural)
1.1 What are your roles as members of the Ward Committees? 1.2 How long have you worked together? 1.3 How were you selected/appointed/chosen to be members of ward committees? 1.4 What kind of training did you receive?
Discussion Notes:

GUIDING QUESTIONS ON AREA 2 : (Operations of the Committee)
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2.1 How are you expected to represent the community? On what issues?

Discussion notes:

GUIDING QUESTIONS ON AREA 3: (Implementation)

- 3.1 How do you work with the Department of Water Affairs on issues of water?
- 3.2 How do you work with the Cooperative Governance and Traditional Affairs at both national and provincial level (Provincial Department of CoGTA)?
- 3.3 How do you work with the municipality on matters affecting potable/drinking water?
- 3.4 Given your working with different role-players like municipalities and other departments, what is your thinking about service delivery, primarily potable/drinking water services?

Discussion notes:

GUIDING QUESTIONS ON AREA 4: (Theoretical disposition)

- 4.1 What is your view on the expected working together of national departments, provinces and municipalities?
- 4.2 How should consultation be done?

Discussion notes:

General

Comments:.....
.....

ANNEXURE 4

Extension 1 in Ward 95 of Diepsloot



Source: Researcher

ANNEXURE 5

Extension 10 of Ward 113 Diepsloot



Source: Researcher