

# **COOPERATIVE GOVERNANCE AND LOCAL ECONOMIC DEVELOPMENT IN SELECTED SMALL TOWNS IN THE WESTERN CAPE PROVINCE**

by

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## DECLARATION

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## ABSTRACT

The 21st-century complexities paved the way for an emerging need for a robust approach on localised and territorial development concerns. Advances in collaborative/cooperative governance increasingly attract immense attention from researchers and practitioners. A broad range of opportunities are established, addressing the multidimensional challenges in the public sector, specifically in local government (municipalities). Promoting such an inclusive representation and participation of the relevant stakeholders provides a viable and complementary alternative to the traditional bureaucratic governance mechanism. Municipalities in the Western Cape of South Africa progressed extensively in exercising their facilitating role in the development process by applying plethora economic development facilitation strategies to enhance locational competitive advantages while supporting the creation of versatile local markets by collaborating with local and regional stakeholders. Despite these great strides by the municipalities in their various attempts to turn around and revitalise their governance practices, some exogenous and internal constraints still exist in the evolving structures, possibly beclouding the holistic transformation of local governance in development matters. These fragmented perspectives, epitomised by a lack of cooperation and integration of development strategies, renders particularly the smaller municipalities, highly susceptible to myriads of challenges, ranging from a lack of stakeholders' support, inadequate capacity resources, inadequate knowledge, insignificant leadership, insignificant development planning and implementation, all culminating into poor socio-economic conditions of the citizenry. These backgrounds manifest in the continued rise in the country, the rate of social discontentment vented by the individuals against inadequate service provision. Certain municipalities are successful, while others are ineffective in delivering on their developmental mandate. Are all municipalities managed in the same way? While getting similar resources (grants), receiving the same training, using the same policy frameworks, it is disputable why they have diverse successes. Scholars indicated that the solution to the multidimensional challenges in local economic development (LED), encountered by

municipalities, lies in the context of resilient multi-jurisdictional initiatives of the various LED key stakeholders, in the state and non-state. Despite the overwhelming proclaimed benefits of collaboration of multi-actors for local governance, the conditions required to ensure its efficacy are extremely challenging. An emerging need exists for a holistic understanding of the specific collaborative/cooperative governance factors involved in the efficacy and governance of local economic development (LED) in small towns, not well known and comprehended. In this regard, the main objective of this study is to assess the factors involved in designing and implementing cooperative governance for local economic development (LED) in selected, comparable municipalities in the Western Cape, namely, Swellendam (SM), Theewaterskloof (TM), Mossel Bay (MBM), Oudtshoorn (OM), Kannaland (KM) and Hessequa (HM). This research specifically attempts to: Analyse the main policy and legal frameworks that promotes cooperative governance for economic development in local municipalities; develops a conceptual framework; identifies factors for the design, implementing and assessing cooperative governance for local economic development (LED) in smaller towns; performs a comparative assessment on the functioning of cooperative governance and local economic development (LED) in selected small-town municipalities; determine the push and pull factors for the successful functioning of cooperative governance. This is aimed at promoting local economic development (LED) in these municipalities. Finally, develop a normative performance framework that should influence the outcomes and tools employed in the monitoring system of cooperative governance, intended to achieve appropriate developmental objectives to develop its society sustainably. The study also provides lessons of experience and recommendations on how cooperative governance and local economic development (LED) can be improved in small towns. These concerns are explored by triangulating diverse research sources. It is considered necessary to triangulate by collecting information from various sources to do justice to the complexity of the subject in question. A case study design with qualitative data sources is employed in the study. An interpretive paradigm is considered appropriate to be utilised in the study to obtain an in-depth understanding of the participants' observations and experiences of local economic development (LED) and cooperative

governance within the six selected municipalities. A literature review and documentary analysis, individual key informant interviews and the focus group discussions conducted with local economic development (LED) key role-players within the selected six municipalities, are part of the methodological approach. The study presents evidence from a case study of the six selected municipalities in the Western Cape to achieve the research objectives. By revealing how various dimensions of local economic development (LED) and cooperative governance operates and interacts, the findings demonstrate that though the potential for local economic development (LED) is identified within the six municipalities, specific challenges exist in local economic development (LED) and cooperative governance. This includes institutional arrangements, intergovernmental relations practices, as well as gaps in the policy design. Provided these circumstances, recommendations are suggested in the study. Based on the conceptual framework and the findings emerging from the study, a normative performance measuring framework is developed to influence the outcomes and strategies employed in the monitoring system of LED and cooperative governance. The aim is to achieve appropriate developmental objectives to develop society sustainably.

## OPSOMMING

Die 21ste-eeuse kompleksiteit het die weg gebaan vir 'n opkomende behoefte aan 'n sterk benadering tot plaaslike en territoriale ontwikkelingskwessies. Vooruitgang in samewerkende / koöperatiewe bestuur trek toenemend geweldige aandag van navorsers en praktisyns. 'n Wye verskeidenheid geleenthede word gevestig om die multidimensionele uitdagings in die openbare sektor, veral in die plaaslike regering (munisipaliteite), aan te spreek. Die bevordering van so 'n inklusiewe verteenwoordiging en deelname van die betrokke belanghebbendes is 'n lewensvatbare en aanvullende alternatief vir die tradisionele burokratiese bestuursmeganisme. Munisipaliteite in die Wes-Kaap van Suid-Afrika het baie gevorder met die uitoefening van hul fasiliterende rol in die ontwikkelingsproses deur 'n oorvloed fasiliteringstrategieë vir ekonomiese ontwikkeling toe te pas om mededingende voordele in die land te bevorder, terwyl hulle die skepping van veelsydige plaaslike markte ondersteun deur saam te werk met plaaslike en plaaslike belanghebbendes. Ondanks hierdie groot vooruitgang deur die munisipaliteite in hul verskillende pogings om hul bestuurspraktyke om te keer en te laat herleef, bestaan daar steeds eksogene en interne beperkings in die ontwikkelende strukture, wat moontlik die holistiese transformasie van plaaslike bestuur in ontwikkelingsake is. Hierdie gefragmenteerde perspektiewe, gekenmerk deur 'n gebrek aan samewerking en integrasie van ontwikkelingstrategieë, maak veral die kleiner munisipaliteite baie vatbaar vir talle uitdagings, wat wissel van 'n gebrek aan ondersteuning van belanghebbendes, onvoldoende hulpbronne vir kapasiteit, onvoldoende kennis, onbeduidende leierskap, onbeduidende ontwikkeling beplanning en implementering, alles kulmineer in swak sosio-ekonomiese toestande van die burger. Hierdie agtergronde manifesteer in die voortgesette toename in die land, die koers van sosiale ontevredenheid wat deur die individue teen onvoldoende dienslewering uitgelok word. Sekere munisipaliteite is suksesvol, terwyl ander nie hul ontwikkelingsmandaat nakom nie. Word alle munisipaliteite op dieselfde manier bestuur? Terwyl u soortgelyke hulpbronne (toelaes) kry, dieselfde opleiding ontvang en dieselfde beleidsraamwerke gebruik, is dit onbetwisbaar waarom hulle uiteenlopende

suksesse het. Geleerdes het aangedui dat die oplossing vir die multidimensionele uitdagings in plaaslike ekonomiese ontwikkeling (LED), wat munisipaliteite ondervind, in die konteks lê van veerkragtige multi-jurisdiksionele inisiatiewe van die verskillende LED-sleutelbelanghebbendes, in die staat en nie-staat. Ten spyte van die oorweldigende verklaarde voordele van samewerking van multi-akteurs vir plaaslike bestuur, is die voorwaardes wat nodig is om die doeltreffendheid daarvan te verseker uiters uitdagend. 'n Opkomende behoefte bestaan vir 'n holistiese begrip van die spesifieke samewerkende / koöperatiewe bestuursfaktore wat betrokke is by die effektiwiteit en bestuur van plaaslike ekonomiese ontwikkeling (LED) in klein dorpieë, wat nie goed bekend en begryp is nie. In hierdie opsig is die hoofdoel van hierdie studie om die faktore wat betrokke is by die ontwerp en implementering van samewerkende bestuur vir plaaslike ekonomiese ontwikkeling (LED) in geselekteerde, vergelykbare munisipaliteite in die Wes-Kaap, naamlik Swellendam (SM), Theewaterskloof (TM), te Mosselbaai (MBM), Oudtshoorn (OM), Kannaland (KM) en Hessequa (HM) te assesseer. Hierdie navorsing poog spesifiek om: die belangrikste beleid en wetlike raamwerke te ontleed wat samewerkende bestuur vir ekonomiese ontwikkeling in plaaslike munisipaliteite bevorder; ontwikkel 'n konseptuele raamwerk; identifiseer faktore vir die ontwerp, implementering en assessering van samewerkende bestuur vir plaaslike ekonomiese ontwikkeling (LED) in kleiner dorpe; doen 'n vergelykende evaluering van die werking van samewerkende regering en plaaslike ekonomiese ontwikkeling (LED) in geselekteerde kleindorpse munisipaliteite; bepaal die druk- en trekfaktore vir die suksesvolle werking van samewerkende bestuur. Dit is daarop gemik om plaaslike ekonomiese ontwikkeling (LED) in hierdie munisipaliteite te bevorder. Ten slotte, ontwikkel 'n normatiewe prestasieraamwerk wat die uitkomst en instrumente wat in die moniteringstelsel van samewerkende bestuur gebruik word, moet beïnvloed, met die doel om toepaslike ontwikkelingsdoelwitte te bereik om die samelewing volhoubaar te ontwikkel. Die studie bied ook lesse uit ervaring en aanbevelings oor hoe samewerkende bestuur en plaaslike ekonomiese ontwikkeling (LED) in klein dorpieë verbeter kan word. Hierdie bekommernisse word ondersoek deur verskillende navorsingsbronne te trianguleer. Dit word as noodsaaklik beskou om te trianguleer deur

inligting uit verskillende bronne te versamel om die kompleksiteit van die betrokke onderwerp reg te laat geskied. 'n Gevallestudie-ontwerp met kwalitatiewe databronne word in die studie gebruik. 'n Interpretatiewe paradigma word as geskik beskou om in die studie gebruik te word om 'n diepgaande begrip te kry van die deelnemers se waarnemings en ervarings van plaaslike ekonomiese ontwikkeling (LED) en samewerkende bestuur binne die ses geselekteerde munisipaliteite. 'n Literatuuroorsig en dokumentêre analise, individuele sleutel-informant-onderhoude en die fokusgroepgesprekke wat met die sleutelrolspelers van plaaslike ekonomiese ontwikkeling (LED) binne die geselekteerde ses munisipaliteite gevoer is, vorm deel van die metodologiese benadering. Die studie bied bewyse uit 'n gevallestudie van die ses geselekteerde munisipaliteite in die Wes-Kaap om die navorsingsdoelwitte te bereik. Deur te onthul hoe verskillende dimensies van plaaslike ekonomiese ontwikkeling (LED) en samewerkende bestuur funksioneer en met mekaar in wisselwerking is, toon die bevindings dat, hoewel die potensiaal vir plaaslike ekonomiese ontwikkeling (LED) binne die ses munisipaliteite geïdentifiseer word, spesifieke uitdagings bestaan in plaaslike ekonomiese ontwikkeling (LED) en samewerkende bestuur. Dit sluit in institusionele reëlins, praktyke tussen regeringsverhoudinge, sowel as leemtes in die beleidsontwerp, met dien verstande dat hierdie omstandighede in die studie aanbevelings gemaak word. Op grond van die konseptuele raamwerk en die bevindinge wat uit die studie voortspruit, word 'n normatiewe raamwerk vir prestasiemeting ontwikkel om die uitkomste en strategieë wat in die moniteringstelsel van LED en koöperatiewe bestuur gebruik word, te beïnvloed. Die doel is om toepaslike ontwikkelingsdoelstellings te bereik om die samelewing volhoubaar te ontwikkel.

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## LIST OF ABBREVIATIONS

AGSA	Auditor General South Africa
AI	Artificial Intelligence
ANC	African National Congress
APES	Academic and Professional Editing Services
AsgiSA	Accelerated Growth Initiatives of South Africa
BEE	Black Economic Empowerment
B2B	Back to Basics
CAQDAS	Computer-assisted qualitative data analysis software
CBD	Central business district
CDW	Community development workers
CIS	Cooperative Incentive Scheme
CLGF	Commonwealth Local Government Forum
CoGTA	Cooperative Governance and Traditional Affairs
CRDP	Comprehensive Rural Development Programme
CSO	Civil Society Organisation
CSR	Corporate social responsibility
Danida	Danish International Development Agency
DBSA	Development Bank of Southern Africa
DDM	District Development Model

DEDAT	Department of Economic Development and Tourism
DEDAT	Department of economic development and Tourism
DFID	Department for International Development
DIF	District Intergovernmental Forum
DMs	District Municipalities
DPLG	Department of Local Government and Planning
DPME	Department of Planning, Monitoring and Evaluation
DSB	Department of Social Development
DSBD	Department of Small Business Development
DTI	Department of Trade and Industry
EDD	Economic Development Department
EDM	Eden District Municipalities
EDP	Economic Development Partnership
EIP	Enterprise Incubation Programme
EPWP	Expanded Public Works Programme
EU	European Union
GEAR	Growth Employment and Redistribution
GGLN	Good Government Learning Network
GNP	Gross National Products
GPI	Government Performance Index

GTZ	German Agency for Technical Cooperation
HDI	Human Development Index
HPI	Human Poverty Index
HSRC	Human Science and Research Council
IDASA	Institute for Democracy in South Africa
IDC	Industrial Development Corporation
IDP	Integrated Development Plan
IEG	Independent Evaluation Group
IFI	International Financial Institution
IGR	intergovernmental relations
IGRFA	Intergovernmental Relations Framework Act
ILO	International Labour Organisation
IPAPs	Industrial Programme Action Plans
IREDS	Integrated Regional Economic Development Strategy
ISRDS	Integrated Sustainable Rural Development Strategy
KM	Kannaland Municipality
LED	Local economic development
LGETB	Local Government Education and Training Board
LGSETA	Local government sector for education and training authority
LGSPA	Local Governance Support Program for the ARMM

LGTAS	Local Government Turnaround Strategy
M&E	monitoring and evaluation
MCSP	Municipal Capacity Support Programme
MIG	Municipal Infrastructure grant
MFMA	Municipal Finance Management Act
MBM	Mossel Bay Municipality
MoU	memorandum of understanding
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
NGO	non-governmental organisation
NGP	National Growth Path
NPC	National Planning Commission
NIBUS	National Informal Business Upliftment Strategy
ODM	Overberg District Municipality
OM	Oudtshoorn Municipality
OPM	Organisational Performance Management
PACA	Participatory Appraisal of Competitive Advantage
PDG	Palmer Development Group
PGDS	Provincial Growth and Development Strategy
PMS	Performance Management system

PPP	public-private partnership
PRA	Participatory Rural Appraisal
RDP	Reconstruction and Development Programme
RLED	Regional local economic development
RSA	Republic of South Africa
RSC	Regional Service Council
SACN	South African Cities Network
Salga	South African Local Government Association
SALRC	South African Law Reform Commission
SDF	Skill Development Fund
SDGs	Sustainable Development Goals
Seda	Small Enterprise Development Agency
SEP	socio-economic profile
Seta	Sector for Education and Training
Sida	Swedish International Development Cooperation Agency
SM	Swellendam Municipality
SMAF	Swellendam Municipality Advisory Forum
SMMEs	small, medium and micro enterprises
TM	Theewaterskloof municipality
UCLGA	United Cities and Local Governments of Africa

UNDHR	Universal Declaration of Human Rights
USAID	United States Agency for International Development
WCG	Western Cape Government
WCDLG	Western Cape Department of Local Government
WPLG	White Paper on Local Government

## CHAPTER 1: INTRODUCTION AND BACKGROUND

### 1.1 BACKGROUND

The failures of the non-coordinated, centralised, top-down development policies and strategies (Ambrosio-Albala & Delgado, 2008) led to the emergence and proliferation of new and alternative development strategies mainly oriented towards the enhancement of localised economy. This paradigmatic shift in the lexicon of development theories and practices embraces the devolution of power to local government. The local government was conferred the pivotal but onerous contemporary role of facilitating the developmental process in their locality. Expanding their orthodox roles of just providers of public goods and essential social services, to include developmental mandate aimed at enhancing the localised economy, otherwise referred to in this context as the local economic development (LED) (LGSPA, 2009:7). The term LED is conceptualised in diverse ways by various scholars, but all are oriented towards the same meaning. According to Rücker & Trah (2007:15), LED is defined as:

*A continuous development process whereby the state and non-state alike engages to work together to generate a distinctive advantage for the local area and its businesses, eliminate all possible barriers to the success of localised businesses and to improve the attractiveness of local enterprises.*

From the above concept, it is suggested that LED provides unique opportunities for local governments, private sectors and community-based organisations and local societies, collaborating to enhance their regional economy. LED assists in improving the attractiveness of their communities and businesses, increasing and sustain their economic growth, and creating jobs, while ensuring that development is all-encompassing (World Bank, 2012). This presents the exclusive opportunity for societies to identify and utilise the available resources optimally in their localities to improve their local economy instead of depending on foreign assistance (ILO, 2008:2). As maintained by the research, local actors, principally the local firms, are in a better position to shape the socio-economic trajectories of their localities (Heseltine, 2012; Pape, et al., 2016).

Certain issues are hampering local government's transformation and management. These concerns range from capacity constraints, clear leadership and poor management, political constraints, a lack of support from other spheres of government or the private sector, overlapping of functions and responsibilities, fragmentation and non-coordination of efforts and responsibilities.

It was widely maintained that local governments need to be equipped with the necessary capacity to fulfil their mandate as a local development government (Luthuli, et al., 2019; Maserumule, 2008; Ntaopane & Vermeulen, 2019; Rogerson, 2009). Inadequate capacity was identified in the municipalities as a predicament (Khambule & Mtapuri, 2018; Kroukamp & Cloete, 2018; Rogerson, 2009). Scholars have argued that the lack of skills within the municipality LED section may be due to the fact that most skilled personnel shun deployment to small municipalities and opt to be employed in large urban municipalities where there are perceived better opportunities for career advancement, superior facilities and better working environments (Bwowe, 2019; Vhumbunu, et al., 2019; Van der Westhuizen, 2016). Vhumbunu, et al. (2019:110) maintained that the absence of sufficient capacity building budgets can be identified as a potential factor that explains this skills gap. Consequently, local government outsourced jobs to consultants, but without adequate in-house expertise to ensure that the work is done to standard (Watermeyer & Phillips, 2020:7).

Various measures were instituted in addressing capacity challenges in municipalities, such as skills training and other mechanisms designed to galvanise relations and to draw support from other spheres of government to municipalities. The national government pursues to institutionalise cooperation between the three spheres of government to achieve desirable supports. In this regard, the Intergovernmental Relations Framework Act (IGRFA) was introduced in 2005 as a legal framework to provide guidelines to the theory and practice of intergovernmental relations in South Africa. One of the overarching tenets that supported this framework is the manner of sustenance that the national, provincial and district municipalities must render to the local municipalities. It was maintained that municipalities received inadequate

intergovernmental support to enhance their developmental roles (Montingoe, 2012:216) and, let alone from other LED stakeholders.

Promoting such inclusive representation and participation of all relevant stakeholders provides a viable and complementary alternative to the traditional bureaucratic governance mechanism (Agbodzakey, 2015:520). According to Van Niekerk & Bunding-Venter (2017:2), municipalities in the Western Cape progressed considerably. They exercised their facilitating role in the development process by applying a plethora of economic development facilitation tools. Such as project Khulisa, Western Cape Economic Development Partnership (EDP) and LED Maturity assessment. Khulisa project (Khulisa means 'to grow' in isiXhosa) was established as a game-changer approach aimed at having a significant impact on economic opportunities. The project was intended to improve the strategic planning of the province in matters of economic development. The Western Cape Economic Development Partnership (EDP) was established to enhance the economic growth, development and inclusion agenda for the province. It was established following an agreement between several stakeholders (public, private, academic and civil society), as a collaborative intermediary organisation aimed at providing targeted partnering solution to improve the performance of local and regional economic system.

The LED maturity assessment was a practical approach to assess the capacity and the ability of a local economic development system within a locality in the province. These devices assisted in enhancing locational competitive advantages while supporting the creation of versatile local markets by collaborating with local and regional stakeholders. This could probably be the rationale for the positive trend in Western Cape. Despite these great strides by the municipalities in their various attempts to improve and revitalise their governance practices, there are still some exogenous and internal constraints in the evolving structure, which possibly becloud the holistic transformation of local governance (De Visser, 2009:15).

Provided these challenges, Van Niekerk & Bunding-Venter (2017) lament on the dearth of an integrative institutional framework to promote collaborative participation, aiming to enhance process management and sensitivity to local socio-economic concerns in

municipalities. Van Niekerk & Bunding-Venter (2017:2) contest that the absence of such encompassing framework represents a vacuum in the collaborative governance ecosystem while creating challenges for the effective implementation of national and regional economic policy in the local sphere.

The fragmented actions in the theory and practice of developmental policy and objectives in the local municipalities result in the difficulty of individualism, while prevailing repetition, omission and divergence of activities (Fleishman, 2013). As emphasised by Turok (2010:449) the oversight exists in duplications of functions and poor management amongst public entities in policy formulation and implementation as manifested in the duality of roles played by the two government departments, namely, Cooperatives Governance and Traditional Affairs (CoGTA) and the Department of Trade and Industry (DTI) in their conceptualisation of LED. Conversely, this accentuated the divergent views on LED upheld and pursued by the respective departments. Stemming from the ideological perspectives of CoGTA, LED is observed as a leverage mechanism for poverty mitigation. Conversely, the DTI orients LED towards the attainment of economic growth (Tomlinson, 2003:49).

Consequently, these fragmented perspectives epitomised by a lack of cooperation and integration of development strategies renders the municipalities, particularly the smaller ones, susceptible to myriads of challenges, ranging from a lack of stakeholders support, inadequate capacity resources, inadequate knowledge, poor leadership, poor development planning and implementation. These aspects culminate into poor socio-economic conditions of the citizenry. These pitfalls are manifested in the continued rise in the country the rate of social discontentment vented by the individuals against poor services provision (Atkinson, 2007:58). According to an editorial report in the publication of Good Governance Africa (2016:63), popular dissatisfaction with local government is increasing. Citizens at the grassroots identified the ruling party's failures to take responsibility for the economy and unemployment as a source of dissatisfaction.

Some municipalities are successful and others not, in delivering on their developmental mandate, creating the question - why? Are all municipalities managed the same way? Getting similar resources, getting trained the same way, using the policy frameworks

that are the same and one wonders why they are having varied successes. Researchers (Kamara, 2017; Turok & Habiyaemye, 2020) indicate that the solution to the multidimensional problems in LED encountered by municipalities is in the context of resilient multi-jurisdictional initiatives of the various key LED stakeholders (the state and non-state). The proponents of this collective approach emphasised accrued benefits that could be derived from its application. These benefits, amongst other things, include:

- leverage of resources, whereby resource-constrained stakeholder could reap the overflow benefits of such representation (Tomlinson & Branston, 2016; Thomson & Perry, 2006)
- capacity for joint action (Emerson, et al., 2012); improved legitimacy, whereby stakeholders' buy-in could be enhanced)
- improved efficiency to productivity gains; greater flexibility to adaptability; innovation to knowledge generation/learning
- coordinated action
- building social capital and social infrastructure in reducing conflicts (Fleishman, 2013:17)

Therefore, the above-mentioned induces the question – Do these apply to the Western Cape municipalities? This forms the basis of this research. The study pursued to assess the design and implementation of cooperative governance in the six municipalities and, amongst other things, to identify success factors and factors dragging down municipalities in collaborating with other main stakeholders to promote LED. The study aimed to evolve a normative performance framework to be employed for the design, implementation, and assessment of perceived outcomes in cooperative governance and LED, specifically amongst comparable small towns.

The study was based on the premise that enhanced capacity derived from collaboration can foster localised development, within the system context of enabling policy and legal framework and a committed leadership driving force. These assist policymakers and development practitioners to improve their understanding of how, and under what conditions, cooperative governance can foster collective problem-solving, while contributing to more inclusive economic and social change.

This study was situated within the interpretive paradigm, where qualitative methods were employed to address the research questions. It combined a literature review and documentary analysis, key informant interviews and focus group discussions with municipal authorities and other key LED stakeholders in the six selected municipalities in Western Cape. The study advances academic knowledge on the enhancement of cooperative governance for local economic development. The findings emerging from this study, hold relevance to academia, policymakers, and local/regional development practitioners involved in the design, implementation and assessment of developmental policy and objectives. It assists in shaping development policy and objectives capable of empowering the citizenry with the capabilities to exercise choices, particularly concerning the quality of life they would prefer to maintain (Sen, 1999, cited in Cloete & De Coning, 2011:67).

## **1.2 RESEARCH PROBLEM**

Several interrelated variables determine the efficient governance of LED in small towns. The problem statement informing this study is that the cooperative governance factors, enabling the efficacy and governance of LED in small towns, are not captured in an integrated conceptual model depicting the relationship amongst the variables; this negatively influences municipalities' ability to successfully manage LED in a cooperative manner with relevant stakeholders. An in-depth understanding of the relationship and dynamics of these variables is required to offer recommendations to improve the management and responsiveness to socio-economic concerns within the municipalities through improved LED governance. To this end, the study analysed and assessed cooperative governance policies and initiatives' design and implementation in selected small towns in the Western Cape to develop a conceptual model, capturing not only the success and limiting factors of LED governance, but also the relationship amongst these factors that may hinder successful collaboration between municipalities and other key stakeholders. This integrated conceptual model can inform the future design, implementation, and assessment of cooperative governance for LED in small towns, as well as potentially informing future policy directives to enhance cooperative governance and LED in small towns.

Although the collaboration of multi-stakeholder organisations proved overwhelming, circumstances are exceedingly difficult to ensure the effectiveness of this partnership (Kaiser, 2011; Fedorowicz, et al., 2007). Huxham & Hibbert (2008:48) suggest that “Collaboration is notoriously hard; success rates are frequently quoted to be as low as 20%”. Drawing from experience, Huxham & Hibbert (2008:48) maintain that positive outcomes was never completely straightforward. Individuals must have a realistic idea of the costs and compromises necessary when pursuing success in partnerships. As contested by Daley (2009:477), inadequate systematic evidence exists to document the conditions for effective inter-organisational collaboration. The study emphasised the existence of a knowledge divergence concerning the specific factors that can improve the efficacy of collaboration/cooperative for LED in local municipalities.

Some extant scholarships on collaboration attempted to prognose through diverse models the deterministic factors for effective collaboration. Although these studies were insightful but failed to produce the specific factors to be considered in designing and implementing corporative governance for LED, specifically in small towns.

Given the scholarship of Emerson, et al. (2012:20), collaborative initiative occurs within system context that embodies, political, legal, socio-environmental, and other influences. These contextual factors create opportunities or constraints, influencing the dynamics of collaborations at the outset and overtime. From this system context emerges the drivers, such as the leadership, consequential incentive, interdependence, and uncertainty, generating momentum for the collaborative governance regime. The fundamentality of leadership in a collaborative initiative cannot be overemphasised. As modelled by Ansell & Gash (2008:553), leadership is crucial for setting and maintaining clear ground rules, building trust, facilitating dialogue, and exploring mutual gains.

Leadership in a collaborative endeavour is widely observed as playing a pivotal role of a convener, sponsor, motivator capable of bringing together the various parties and steering them through the collaboration process (Heikkila & Gerlak, 2005; Murdock, et al., 2005; Imperial, 2005). The consequential incentives concern internal or external crisis, threats, and opportunities which necessitates collaborative endeavours. Interdependence means that the parties realise they cannot unilaterally achieve a goal

on their own except through collective initiatives. In the same vein, uncertainties that cannot be resolved internally can drive groups to collaborate, enabling them to reduce, diffuse, and share risk (Emerson, et al., 2012:9).

Stemming from the model of collaborative governance produced by Ansell & Gash (2008), several factors serve as foundations for the establishment of collaboration. These factors are the power and resource imbalances, incentives, constraints to participate, prehistory of antagonism and cooperation of the stakeholders. As maintained by Ansell & Gash (2008), to enhance the efficacy of collaborative endeavours, all the participating actors should have the capacity and capability to participate equally. The governance would else be susceptible to manipulation by stronger actors.

The level of stakeholder participation is another key variable that could influence the performance of collaborative governance, requiring close monitoring. Tomlinson & Branston (2016) contend that stakeholders could either be passive or active participants in a network (socio-political) activities, with the decision to participate reflecting the balance between gaining influence within the network against the time, staffing and financial commitment they prepared to offer in support of collective action. They contend that participation also depends on the collaboration and its effectiveness in achieving positive outcomes. When stakeholders perceive their involvement to be a mere formality and ceremonial, meant to satisfy the requirements for participation, they may not have the incentive to attend (Afful-Koomson & Owusu, 2015). They attend if they know that achieving their own goal depends on the other stakeholders (Ansell & Gash, 2008).

The level of commitment of the stakeholders can, to an extent, determine the success of the collective efforts which can facilitate or hinder parties to a collective initiative (Ansell & Gash, 2008). The model produced by Ansell & Gash (2008) contested trust-building in a collaborative governance as a function of the prehistory of the collaborative actors. In situations with a prehistory of adversary and antagonism amongst stakeholders, trust-building becomes challenging to induce and nurture.

Some models and literature presented that other than the foundations or the preconditions of collaboration, collaboration process contribute positively or negatively to collaborative outcomes (Thomson & Perry, 2006; Ansell & Gash, 2008; Emerson, et al., 2012). According to Thomson & Perry (2006), collaboration comprises the following five processes:

- joint decision-making
- joint operation
- resource sharing
- building trust
- reduced organisational autonomy

The processes of joint decision-making and joint operation refer to the degree of relationship amongst the actors whereby decision-making and management responsibilities are shared in the collaborative endeavour. The processes of resource sharing, building trust and reduced organisational autonomy capture the degree of commitment of the collaborative actors, in combining their resources, fostering mutual trust and altering policies and procedures to attain goals through cooperative governance. The evolvement of a shared understanding during collaboration is a vital requirement for the success of any collective endeavours. At a certain point in the collaborative process, the stakeholders need to develop a shared understanding of what they can collectively achieve together (Ansell & Gash, 2008:560).

Lastly, the pivotal role of communication in collaboration cannot be ignored. As maintained by Plotnokof (2015:16) the communicative interactions and the dynamic relationship of the actors involved in the collaboration are key to negotiating meanings and matters of the subject, thereby enhancing collective solutions to potential societal challenges. The choice of the mode of communication is of paramount importance for effective communicative interactions amongst the collaboration actors. Arguably, good collaboration processes seek to build consensus through communication and mutual interaction amongst parties (Healy, 1997; Innes & Booher, 1999) whereby the parties in communication can identify opportunities for mutual gains (Ansell & Gash, 2008).

To this end, the study analysed and assessed the design and implementation of cooperative initiatives regarding what the success factors are and what factors are hindering municipalities in collaborating with other key stakeholders to promote developmental policies and objectives. Undeniably, the success of cooperative governance and partnership hinges on a combination of vital factors, determined in the study. The above background provides the basis for the following questions: Are all municipalities subject to the same type of leadership and strategy? Do they have the same level of technical and administrative capabilities? Do they present the same economic base? Are they endowed with the same spirit of cooperation? Do they have the same level of private sector participation? Are civil society able to mobilise and influence local governance? Having policy frameworks that are the same and one wonders why they are having different successes.

A wide variability in performance is manifested across the nation's local municipalities concerning the fulfilment of both their constitutional and legislative obligations (CoGTA, 2009a; Koma, 2012). It is a concern that even when there had been several interventions, municipalities continued to under-perform (Ngobeni, 2018). Stemming from minister Mkhize (2019)'s oral response to national assembly as part of the governance cluster, a lot of work is being done in various municipalities to ensure turnaround. Despite these interventions, several municipalities across the country are still underperforming (Fiscal and Financial commission, 2018; National Treasury, 2019). The quest for the rationale behind the unevenness of success amongst local municipalities in delivering on their developmental mandate is yet to generate a substantial body of literature, specifically in matters of LED and cooperative governance. Most of the antecedent literature focuses on assessing the determinants of municipal efficiency in a general context. They investigated several factors, such as availability of financial grants, socio-economic, political and geographical location, institutional deficiencies, financial constraints and a lack of municipal capacity support (Kalb, 2010; Boetti, et al., 2012; Afonso & Fernandes, 2008; Van der Mescht & Van Jaarsveld, 2012; Mnguni, 2016).

As maintained by Kalb, et al. (2012) the production environment and political constraints comprise two sets of contextual or background variables, influencing the success of municipalities in delivering on their mandate. Kalb, et al. (2012:16) suggest in their comparative study on German Local Government that efficiency accounted for the production environment through population density, unemployment rate and the number of tourist accommodation. A high population density entails cost advantage owing to the regional concentration of services. The financial need of the locality is partly a function of the production environment of the municipality. For example, a municipality located in the tourist region has a higher financial need for high-quality public services (De Sousa & Stošić, 2005, cited in Kalb, et al., 2012:16) as compared to other municipalities.

Failure of the former municipalities to meet up with the increasing cost associated with these financial needs of providing tourist accommodation facilities leads to a downgrade in the municipality performances concerning others. In contrary, Cordero, et al. (2017) assessed the efficiency of Portuguese municipalities, suggesting that population density and socio-economic factors insignificantly impact on municipal performance. In a related development concerning the production environment, Cordero, et al. (2017) contend in favour of a coastal location on the premise that municipalities located in the coastal areas are more able to achieve higher levels of economic efficiency mainly contributable to their higher levels of development and greater ability to increase tax receipts. A higher level of development impacting on the socio-economic status of individuals within the municipality contradicts the earlier suggestion that socio-economic factors do not have a significant impact on municipal performance.

A critical observation of the political background of the municipalities through the lens of political fragmentation and share of seats between the ruling and the opposition party in the local council lies the political constraints (Kalb, et al., 2012:16). It is observed that a high concentration (or low fragmentation) represents low political competition and is therefore expected to reduce efficiency (Ashworth, et al., 2006 as cited Kalb, et al., 2012:16). Klovienė & Valanciene (2013:386) reveal that the municipality environment also includes organisations and stakeholders directly or indirectly, affecting the societies and functions of each institution.

Given the interplay between the role-players in government and their external environment, scholars contend that it is impossible for government to exist in seclusion whilst community disillusionment with the government is widespread (Taylor, et al., 2020; Lindquist et al., 2013). Draai (2016) articulates through the lens of a system theory that the stimuli from the external environment, constituting the inputs, are transformed in a system into outputs and feedbacks are obtained regarding the impact of its responses as it relates to the public decisions and receive goods and services. The impact of the public decision and receive goods and services on the communities, in many instances influences their level of trust in local government. Therefore, communities' level of trust in public services is regarded as a function of the communities' perception of the willingness and urgency in which the government responds to major issues of concern in communities (Draai & Raga, 2012). The scholarship of Yousaf, et al. (2016) argues that the responsiveness of government is directly correlated to public trust towards government. Put simply, responsive governance can help to restore communities' public trust in government. Trust is a key element of good governance, as good governance is directly influenced by the level of trust held by the communities (Yousaf, et al., 2016).

Pillay (2017:35) states that a society that is politically polarised and unstable with a political and administrative structure characterised by corruption, fragmented power and lack of consensus, is prone to loss of trust that could lead to a crisis. Communities are more likely to have trust in public officials, politicians, and political institutions when governance is more effective and democratic (Cheema, 2010; Beshi and Kaur, 2020). Imperatively, transparent and accountable relationships between politicians, public officials and communities, in many instances helps to build communities' public trust in political institutions and individuals holding political power. Transparency and accountability as acknowledged by Beshi and Kaur (2020) are essential variables of good governance capable of influencing the level of public trust in local government. Beshi and Kaur (2020) maintained that accountability obliges the government, private sector and the civil society to focus on developing clear objectives, effective policy implementation strategies, as well as monitoring and reporting mechanisms aimed at improving efficiency and sustainability of initiatives.

De Visser (2010:99) on the political functioning of municipal councils in South Africa argued that financial management in municipalities can improve greatly in areas where the ruling party is under pressure from the opposition. Faguet (2009:24) on the theory of local government responsiveness and accountability in Bolivia, reports that where local politics are nourished by the diverse, heterogeneous local economy and active civil society rich in organised groups, political competition is open and substantive and such local politics lead, in turn, to responsive, accountable local government. Faguet (2009:14) took the stance that the level of efficiency of local governance is determined by the presence of a diversified local economy, characterised by a pluralistic group of business people and active civil society, with encompassing interest for the communal good of everyone. The active civil society which comprises similar social characteristics and self-governing community structures endowed with the norm of trust and reciprocity.

In a newspaper report on why municipalities are failing, De Lange (2012) maintains that municipalities often cite capacity constraints for mediocre performance. Simply put, resourceful municipalities are often more successful in delivering on their developmental mandate than other incapacitated municipalities. The Newspaper reported that emerging research suggests that poor services are affected by political interference in local administrations causing institutional collapse, irregular or inappropriate appointments and employment practices in municipalities (De Lange, 2012)

In another report that contested lack of money is not the cause of ailing municipalities, Alan & Heese (2011:9) mentions that notwithstanding the numerous training and capacity building programme, the fundamental constraints to the realisation of local government as a developmental sphere is a poor commitment by local government officials and office bearers to innovate and persist with stubborn development problems (Alan & Heese, 2011:9). The recent report is in concomitant with that of Faguet (2009:14) as previously mentioned that municipalities endowed with good-spirited, innovative and entrepreneurial leadership with encompassing interest for the communal good of all outperform more than others as evident in various success levels in most municipalities in promoting LED.

Palmer (2012), assessing the efficiency of district municipalities in South Africa, resonates one of the objectives of the district municipalities concerning its statutory role as a distributor of resources from urban to rural areas. The study laments that district municipalities are not serving this purpose, as the poorest rural areas paradoxically, do not have major cities in their midst. Poverty-stricken areas of the country typically hold impoverished districts. Palmer (2012) maintains that the funding arrangement with the Regional Service Council (RSC) levy replacement grant, represents the worst situation concerning redistribution whereby economically strongest areas acquire the largest transfer (Palmer, 2012).

In a supporting argument to the assertion made by Meyer (2014) concerning resources constraints as one of the problems crippling the success of municipalities in matters of local development, the performance model developed by Klovienė & Valanciene (2013:386) contends that municipality's dependence on the central and regional authorities has a considerable impact on its success as a municipality. This argument is further buttressed by the scholars that municipalities are normally required to fulfil several state functions whereby they rely on grants from the national and regional government.

Failure to secure such grant renders the municipality incapacitated to deliver on its mandate. In contrary, the findings emanating from the empirical study by Kalb (2010) reveal a negative incentive effect of intergovernmental grants on local authorities' cost-efficiency based on the intuition that the existence of intergovernmental grants causes the voter to underestimate the true tax price of the public goods attributable to fiscal illusion (Kalb, 2010:42).

Reports generated by literature and empirical studies are mixed, and the incessant question on how to enhance system management and response to major socio-economic problems in municipalities through a shared common approach is unanswered. Importantly, knowledge regarding the specific cooperative governance factors involved in the efficacy and governance of LED within municipalities, especially in small towns is rudimentary. This background constitutes an impetus informing the embarkment of this study.

### **1.3 RESEARCH OBJECTIVES**

This research sought to assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in the Western Cape. More specifically, this research intended to:

1. Analyse the main policy and legal frameworks promoting cooperative governance for economic development in local municipalities.
2. Develop a conceptual framework and identify factors for the design, implementation, and assessment of cooperative governance for LED in small towns.
3. Perform a comparative assessment on cooperative governance and LED's functioning in selected municipalities of a small town.
4. Determine the push and pull factors for the successful functioning of cooperative governance aimed at promoting LED in those municipalities.
5. Develop a normative performance framework that should be able to influence the outcomes and tools used in the monitoring system of cooperative governance aimed at achieving appropriate developmental objectives to develop its society sustainably.
6. Provide lessons of experience and recommendations on how cooperative governance and LED can be improved in small towns.

### **1.4 RESEARCH QUESTIONS**

The above research objectives are addressed through the following research questions:

- What is the current state of cooperation amongst LED stakeholders in the selected municipalities?
- What are the variable factors that relate to the success of cooperation amongst LED stakeholders in the six municipalities?
- What characterised the dynamic design and implementation of plans, policies and procedures for cooperation that results in success of municipalities to foster LED in the six municipalities?

- What were the characteristics of cooperative initiatives that resulted in the success of the municipalities in fostering LED in the selected municipalities?
- What lessons could be learnt from the most prosperous municipalities on the practices of cooperative initiatives for LED in the selected municipalities that could be replicated by other municipalities?

## **1.5 RELEVANCE OF THE STUDY**

This study contributed to a more exceptional knowledge on the enhancement of cooperative governance for LED. The study aimed to improve the adaptive capacity for managing and responding to societal challenges within the municipalities. This aim could be achieved by presenting a conceptual framework to explore the design, monitoring and assessment of cooperative governance for LED in South African local municipalities. It also aimed to determine the push and pull factors for the successful functioning of cooperative governance for LED, while providing a systematic, innovative monitoring and evaluation framework for assessing cooperative governance in LED, especially within comparable small towns.

## **1.6 RESEARCH DESIGN AND METHODS**

According to Meyer (2014), research methods is concerned with the strategy of inquiry, which topologically moves from the underpinning assumption to research design and data collection. This research is situated within the interpretive paradigm, which focuses on meanings and attempts to understand the context and totality of each situation by employing a variety of qualitative methods (Babbie & Mouton, 2001). The aim for the interpretive researcher is an attempt to understand and interpret social phenomenon in their natural settings, to render sense and interpret the phenomena concerning the meaning individuals brings to them (Denzin & Lincoln, 2005).

Similarly, employing this approach offers the researcher the distinct advantages to engage practitioners to gain knowledge of and with them (Luton, 2015) to obtain an understanding of the phenomenon. According to Maxwell, (2012: viii), the most apparent characteristics of qualitative methodology is its inductive, open-ended approach, its

reliance on textual or visual rather than numerical data and its particular goal of particularly understanding rather than generalisation across persons and settings. It suffices to buttress that the primary strength of the qualitative approach to cooperative governance assessment is the ability to probe for underlying values, beliefs, and assumptions to gain a full appreciation of the stakeholders in question and to understand what is driving their behaviour (Yauch & Steudel, 2003:472).

Contrarily, Atieno (2009:17) contends that the main disadvantage of qualitative approaches to corpus analysis is that their findings cannot be extended to a wider population with the same degree of certainty that quantitative analyses can. Kaplan & Maxwell (2005:31) maintain that qualitative methods are more useful than solely quantitative ones when a researcher pursue to examine the dynamics of a process rather than its static characteristics. The strengths of qualitative research methods in this study are in their usefulness for understanding the meaning and context of the dynamics process of cooperation aimed at improving development management in municipalities and its influences on the success of municipalities in delivering on its developmental mandate, with special focus on the six municipalities in the Western Cape.

This focus assists in synthesising the best practices of cooperatives initiatives capable of improving system management and responsiveness to developmental concerns in the municipalities and which could be replicated by other municipalities. A collection of rich data and triangulation were used to enhance the validity of this study.

The purpose of this study was to examine the cooperative initiatives in the Western Cape with special focus on six municipalities concerning the ability of the previous and current cooperative initiatives to enhance the capacity for achieving developmental policy and objectives. The selected six cases of comparable municipalities are: Hessequa, Kannaland, Oudtshoorn, Mossel Bay, Swellendam and Theewaterskloof Municipalities. The six cases are assumed to be of similar municipal council grading level. The individual grading levels are further discussed in the research design and methodology chapter. The six selected municipalities are classified as category B municipalities. The GDPR per capita for each of the selected municipalities oscillated

between R36 375 and R 52 053 in 2016, respectively. The percentage average annual GDP growth rate of the individual six cases for 10 years (2006-2016) pendulated in a range of 2.4% and 4.0% respectively. Given the economic background of the six municipalities as shown in their various GDP per capita and percentage average annual GDP growth rate over a certain period, there seems to be no major difference in this respect between the six selected cases. These parameters were specifically important for this study as far as the theory and practice of LED is concerned in the selected cases. The GDP per capita can be employed to determine the average standard of living of individuals within a certain municipality as it relates to their quality of lives.

As Creswell (2009) described, a research design is a plan or guideline for conducting a study, presenting procedures employed in the last three steps of the research process, indicating, data collection, data analysis and report writing. A comparative case study design was employed in the study. The identification and selection of cases adhere to Stake's (1995) belief that cases should be selected to maximise what can be learnt about the central focus of the study.

Qualitative methods were employed to address the research questions. The interpretation of relevant documents and transcripts from individual interviews and focus discussions reflecting the participants' perception were utilised. This study endeavoured to assess comparatively the design and implementation of cooperative governance for developmental local government in two purposely selected districts (Overberg and Garden Route) in the Western Cape of South Africa, whereby six cases of comparable local municipalities were involved. According to McDermott & Sarvela (1999), purposeful sampling is a method in which researchers select participants that they judged to be typical individuals possessing a specific trait.

Imperatively, the study necessitated a need to understand and explain how the features within the context influence the success of cooperative initiatives in the six cases. According to Yin (1994), a true benefit of the case study method is that objects are studied in their context to obtain relevant information. The information obtained could become useful in tailoring interventions to support achieving predetermined

development outcomes in municipalities. The study involved a comparison of six cases, explicitly contrasting the specific phenomenon in question to explore parallels and differences amongst the cases (Azarian, 2011:113). The study entailed the analysis and synthesis of the similarities, differences, and patterns across the six municipalities with homogenous developmental goal (Goodrick (2014:1). The synthesis across these cases extends beyond the comparison of similarities and differences to using these similarities and differences to support or refute propositions regarding why an intervention succeeds or fails. Azarian (2011:118) contends that such a comparison of the phenomenon in question across various settings, enable the researcher to observe the different formations of the phenomenon and ask why some developed in similar ways while others inversely.

Goodrick (2014:1) maintains that the most distinguishing feature of comparative case studies is the emphasis on examining causality concerning the extent to which the intervention caused the results, particularly outcomes and impacts. The rationale for selecting the specific cases in the study was well-informed by the research questions, providing the basis for investigation. As this study sought to provide an in-depth insight into the phenomenon based on a small number of cases (six), a triangulation approach to validation was strongly utilised. A rigorous approach involving multi-method designs where basic constructs and processes are traced using more than a single methodology (Garson, 2002:210). Such multiple methods employed in this study, include individual interviews (semi-structured), focus group discussions and desktop research or documentary analysis. Assessing the same propositions through the data collected by multiple methods (Triangulation) assisted in avoiding some validation challenges in case study designs.

The target group for the study comprised the elected councillors and staff of the six designated municipalities (in two districts), private sector (business chambers/association) and non-governmental organisations (NGOs/CBOs) in the two districts (Overberg and Garden Route) in the Western Cape. The study involved key role-players from the following departments and organisations:

- South African Local Government Association (Salga)

- Department of CoGTA
- Western Cape Department of Economic Development and Tourism (DEDAT)
- Eden (now Garden Route) District Municipality (EDM) - George
- Overberg District Municipality (ODM) - Bredasdorp.

The qualitative sample size was large enough to assure observing most or all of the perceptions that might be important, thereby reducing the chances of invalidated data caused by the intolerable level of sampling error (Oppong, 2013).

## **1.7 DELINEATION OF THE STUDY**

As aforementioned in the objectives section, the study pursued to assess the specific factors involved in designing and implementing cooperative governance for LED. Comparable municipalities in the Western Cape were selected, establishing how collaboration in LED influences the success of these municipalities. The study endeavoured to examine the existing and past LED fora instituted in the six municipalities for the past five years to determine its ability to promote LED in the municipalities. The study was limited to a certain number of municipalities in the province. Specifically, only six comparable municipalities out of the 24 local municipalities in the Western Cape participated in the study. The sample size is encompassing to guarantee the opportunity to obtain all the perceptions that one deemed essential to acquire for this study. As the study endeavoured to perform a comparative analysis amongst well performing municipalities compared to other lagging municipalities, it might somehow be taken as political, which may distort the process of data collection.

The study scrupulously adhered to ethical concerns about interaction with other individuals. The data collection tool was designed in a neutral manner devoid of any political infiltrations, endeavoured to develop a rapport rooted in the conviction of strict confidentiality between the *researcher* and the *researched*. Lastly, the main drawback associated with qualitative approaches is that the limitation of its findings cannot be generalised with the same degree of certainty comparable to a quantitative approach. The research questions in this study were carefully selected to enable an appreciation

of the broader social context of participants' experience, rendering findings to be transferable to a comparable setting.

## **1.8 CHAPTERS OUTLINE**

The structure of the study comprises eight chapters. The first chapter forms the introduction. This chapter constitutes the research problem and background, the aims and objectives of the research, and the structure. The second, third and fourth chapters constitute the theoretical framework of this study, whereby relevant publications on the research topic were thoroughly examined. Chapter 2 presents the contextualisation of LED and cooperative governance within a contemporary development approach. The conceptualisation of LED and cooperative governance for LED are covered in Chapters 3 and 4, respectively. Chapter 5 presents the research design and methodology. The results of the research study are presented and discussed in Chapters 6 and 7 respectively. Chapter 8 presents the conclusions and recommendations.

## **1.9 CHAPTER SUMMARY**

The preceding section presents the background of the study, which centres on cooperative governance and LED. The problem statement presented the exact gap/divergence in the existing knowledge as discussed in the background of the study concerning the specific factors involved in the efficacy and governance of LED in small comparable towns and the pull factors for successful functioning of Cooperative governance aimed at promoting LED in those municipalities. The principal objective of this research was to comparatively assess the design and implementation of cooperative governance for LED in six municipalities in the Western Cape to determine their ability to build collaborative capacity for LED.

The various research questions employed to address the research objectives are also presented in this chapter. The extent to which the study was conducted as determined by its scope, is discussed in this chapter. In furtherance, the imperativeness of the whole study is also briefly discussed in the chapter. The last segment of the chapter presents the structure of the study concerning how it was stratified into various chapters. The theoretical concepts of LED are discussed in the ensuing chapter.

## **CHAPTER 2: CONTEXTUALISING LOCAL ECONOMIC DEVELOPMENT AND COOPERATIVE GOVERNANCE WITHIN THE CONTEMPORARY DEVELOPMENT APPROACH**

### **2.1 INTRODUCTION**

The objective of this chapter is to present an overview of contemporary trends in development discourses, with an emphasis on a shared approach of governance aimed at enhancing collective response and system management of major social and economic concerns in localised and territorial development (Kamara, 2017:98). Imperatively, an historical understanding of the advancement in development theories over the years is needed to comprehend the paradigmatic shift in development trajectories. This comprehension brings to fore the distinction between alternative and traditional perspectives towards the development. The objective of this chapter is not to present a chronological overview of development discourses for its own sake, but to emphasise how and to what extent contemporary debates shape the theory and practice in the lexicon of development management.

Comprehending the meanings and approaches applied to development, and how these ideas were conceived and operationalised, is needed to understand the extent to which localised and territorial development perspectives matter in development. The chapter is based on an extensive review of the literature on selected dominant theories on development from various disciplines with particular focus on cooperative governance approach observed through the lens of resilience and its associated attribute of adaptive capacity to respond to socio-economic changes and uncertainties within its local territory. It is not intended to provide an exhaustive overview of development theories but instead focuses on the themes and implicit debates in the development literature which have contemporary policy relevance for a shared approach to local governance of LED.

The second part of the chapter focuses on the evolutionary trends in the development paradigm from 1950 onwards. Several development theories were reviewed and presented, such as the crucial features of modernisation, dependency and neo-

liberalism, post-development, people-centred development approaches, and discourses on evolutionary discourses on decoloniality and trans-modernity. The third section of the chapter focuses on the conceptualisation of LED within current development theories, and the fourth section focusses on the conceptualisation of cooperative governance for LED within the contemporary resilience approach of development. Regardless of the evolved proliferated development approaches over the years, principally meant to refine development thought, policy and strategy, certain difficulties were still identified in the contemporary development theory as presented in Section 5. The significance of this study concerning development management are examined in Section 6. The last segment of the chapter presents a summary of the entire chapter.

## **2.2 EVOLUTIONARY TRENDS IN THE DEVELOPMENT PARADIGM 1950 ONWARDS**

The last few decades remarkably witnessed an increasing level of proliferation in development thought, policy, and strategy. The last half-century was marked by some historical paradigm shifts, such as basic needs in the seventies, a market-based approach in the eighties which entailed the implementation of privatisation and liberalisation reforms and human development in the nineties. The aftermath of world wars marked the evolution of development doctrines in the fifties, whereby the First World War created a level of global consciousness that had not previously existed. The Universal Declaration of Human Rights (UNDHR), of December 1948, represents a wide range of ideologies, political systems and religious and cultural backgrounds, and various stages of economic development (United Nations, 2000), which amongst other things, recognises the dignity, equality and inalienable rights of all members of the human family. This declaration of human rights laid the groundwork for the development strategy.

The declaration should not only be oriented to address the concern of economic growth uniquely but be inclusive of social justice and realisation of all human rights (Malhotra, 2005). Scholars and leaders formulated several development theories and approaches, aimed to improve system management and responsiveness to major social and economic concerns of underdevelopment. Some of the theories reviewed below were

developed and prescribed for developing countries, such as modernisation, dependency, post modernisation, poststructuralism, and neoliberal theories.

### **2.2.1 Modernity**

Modernisation theory was one of the major perspectives in the sociology of national development based on the premise of transformation and rooted in the western capitalist values and practices aimed at modernising third world countries and helping them become self-sustaining (Sørensen, 2001:1). The proponents of modernisation theory claimed that the problems of development facing the newly independent states in Africa and other global developing countries could be redressed through transformation processes (Nafukho, 2013:606) providing economic growth and change in social, political and cultural structure (Armer & Katsillis, 2002). Savelyev (2013) buttress that the transformation claim of modernity occurs when a traditional or pre-modern society changes to such an extent that innovative forms of technological, organisational or social characteristics appear.

It can be deduced that transformation processes envisioned by the modernity theorist are not events that could be achieved in a specific date. As correctly contend by some scholars (Haferkamp & Neil, 1992; Savelyev, 2013), it encompasses various disciplines as it pursues to explain how society progresses, what variables affect their progress, and how societies can react to that progress. Modernisation theorists study the social, political, and cultural consequences of economic growth and the conditions important for industrialisation and economic growth to occur.

According to Pieterse (1996:551), modernisation theory is usually called a paradigm, but upon closer consideration presents a wide variety of projects, some represented by endogenous change, indicating social differentiation, rationalisation, the spread of universalism and achievement. It was also associated with projects of exogenous change: The spread of capitalism, industrialisation through technological diffusion, westernisation, nation-building (nationalism as a derivative discourse) and state formation (as in postcolonial inheritor states). Having reviewed literatures on modernity,

the question is: How did the modernity approach influence development in the global south?

### 2.2.2 Dependency

The 60s witnessed a dramatic shift in development approach whereby various critiques were levelled against modernisation theory and the emergence and proliferation of competing theories of development. The support for the modernisation theory was subjected to a series of setbacks. Amongst these emergence theories were dependency, world systems and neo-Marxist theories, all who criticise the ethnocentricity of the modernisation concept and its disposition in favour of dominant capitalist interests (Armer & Katsillis, 2002).

The dependency theorists or Latin America *dependentistas* were a group of neo-Marxist thinkers. They criticised modernisation theories as inefficient and had failed to account for the rampant poverty and a lack of progress in the third world, as the first world countries continued to prosper and widen the divergence between the two entities. The dependency theory maintained in contrast to the modernity claims that developing countries are underdeveloped attributable to structural linkages with the west, and argumentatively claimed that the relationship between the developing countries and developed countries was that of exploitation.

Developed countries exploited the raw materials of the developing countries, securing higher than normal profits on the goods produced from these raw materials. Developing countries maintained low profits on exported materials. The proponent of *dependentistas* theorised that development in the west occurs at the expense of development in the south. The way to curb this was to minimise economic links with the west, enabling the south to progress more effectively.

Griffiths (2005:168) contends that a dependency theory as propounded by Frank (1969, cited in Pretes, 1988), refuted claims by modernisation concerning the cause of poverty in the south, that poverty in the south was not because the south was not integrated into the world system, but rather because of how they are integrated into the world system. Consequently, Griffiths (2005:169) challenged the dominance of the modernisation

strategies in the mid- 20th century stating that the integration of the south (peripheral countries) into the world system led to neo-colonialism, not liberalisation and underdevelopment attributable to continued dependency and unequal exchange.

Similarly, Latin American theorists (Cardoso & Faletto, 1979) acknowledged that linking with the west (global north) further marginalised the classes between the global south. The profit from the global north (west) mostly went to the local elites without investing to benefit the entire local people. The unequal development is caused by the capitalist global economy. It can be synthesised from the arguments advanced by various researchers in the literature reviewed, that modernity strategies, propounding the structural linkage of the global south with the global north, perpetrated supremacy and dominance of the global north on the global south. The proponents of dependency maintained in favour of self-determination for the global south to salvage and enhance their development potentials.

The question is: Were all modernity strategies spelling doom for the global south? Although dependency theory succeeded in providing a much-needed counter-argument to modernisation theory, Latin American theorists (Cardoso and Faletto, 1979) acknowledged that linking with the south, though exploitative, could beget some economic growth in the south, including a higher gross domestic product and industrialisation.

The development strategy, as propounded by dependency theorists, was not a *magic fix solution* to the quest for a sustainable development strategy, especially in the global south. The dependency theory was adjudged as limited in scope. Its focus was much concentrated on the economy, with a lesser focus on the political mechanism of domination and control. Consequently, Turker (1996:13) contends that the theory provided a trenchant critique of the crusading imperialism of the modernisation theorists, while creating an alternative vision, according more closely with the experience of developing and emerging countries, though failing to address the cultural dimension of domination. Arguably, cultural and religious bigotry cause most problems in Africa.

Turker (1996:14) continues that both imperialist and anti-imperialist discourse (modernisation and dependency) reduced the subject of development to a passive object, without diminishing the supremacy of the global forces, which engendered global domination. Additionally, dependency theorists were criticised for ignoring the internal factors and processes, responsible for a lacking development in Africa (Ndlovu-Gatsheni, 2013; Nhema & Zinyama, 2016). Seemingly, one of the major constraints to development in Africa is lack of capacity as well as the misleading conception that development matters pertains solely to the responsibilities of the state. Embracing and integrating the principles and the values of shared action and purpose would help to address developmental concerns in Africa.

It is important to understand what specific factors drive individuals or organisation to assume responsibility for the public. The objective of this study was to establish these factors, shared in later chapters. The advocates of neo-liberalism and the Washington Consensus blamed internal factors, such as corruption, patrimonialism and authoritarianism, as responsible for the underdevelopment of states while recommending the 'withdrawal of the state' (Harvey, 2005).

### **2.2.3 Neo-liberalism**

The 1970s witnessed the emergence of another global approach to development, known as the neoliberal approach, widely dominating development literature, applied in several countries globally, including developing and developed countries with the assistance of the International Financial Institution (IFI). The IFI advocates for neo-liberalism for developing countries. Neo-liberalism principally emerged to enhance growth, create free markets, replace the Keynesianism and eliminate the intervention of the state in economies which has caused poor economic performance in several countries (Harrison, 2005).

The development approach of neo-liberalism, also known as 'market reforms' in Latin America as maintained by Escobar (2010:8), started with the brutal military regimes in Chile and Argentina of the 1970s. By the early 1990s, it encompassed all countries of the region (except Cuba). According to Escobar (2010:8), neo-liberalism entailed a

series of structural reforms intended to reduce the role of the state in the economy, assign a larger role to markets, and create macro-economic stability. Amongst the most important measures associated with neo-liberalism, was liberating trade and capital flows, the privatisation of state assets, deregulation and free markets, and labour reforms.

In South Africa, the demise of the apartheid regime and the wake of the post-apartheid era in the country proclaimed the naissance of two fundamental national policies, regarding, the Reconstruction and Development Programme (RDP) and Growth Employment and Redistribution Policy (GEAR). These policies were introduced to address economic growth and eradicate poverty in South Africa. The RDP sought a coherent and integrated approach to socio-economic progress in the country through the massive mobilisation of all South African and the country's resources towards the eradication of poverty caused by apartheid (RSA, 1996). The GEAR policy was market-driven economic strategies aimed at rebuilding and restructuring the South African economy, following the set goals of RDP (RSA, 1996).

The overarching objectives of GEAR were to ensure that the indigent households have access to basic services, eradicate poverty, stabilise inflation, attain economic growth, and to reduce the national debt and implement the constitutional socio-economic rights (Visser, 2004; City of Cape Town, 2004: no pagination). In comparing the tenets of GEAR to that of RDP, it was maintained that GEAR did not entirely deviate from previous government policies but committed the government to expedite aspects of existing policies, with a significant compromise on the neoliberal policy (Visser, 2004; City of Cape Town, 2004: no pagination).

According to Gilbert (2002), the ruling party (ANC), was preoccupied with neoliberal ideas before the advent of RDP. The GEAR policy focused on free, neoliberal market economy, with emphasis on macro-economic stability, trade, and financial liberation to spur economic growth, job creation and poverty reduction. As a strategic approach, the government adopted several structural initiatives, such as fiscal austerity, deregulation, export-led growth, and privatisation. This approach culminated into a distinctive withdrawal of the government and a shift of competencies to the private sector, resulting

in the inclusion of certain areas, previously the exclusive competence of SOE, into the capitalist economic system of production (Narsiah, 2002:3).

Given the above-mentioned disposition, the desirability to promote closer ties with the private sector becomes imperative. Several institutional arrangements were established in South Africa to achieve the latter objective. Amongst the established institutions were the municipal infrastructure investment unit established in 1998. The municipal infrastructures investment was established to propel the inflow of private capital for basic services provision. The year 1998 witnessed the emergence and proliferation of some developmental enabling Acts and legal documents, such as the Municipal Systems Act, Municipal Structures Act and Public-Private Partnership (PPP), enabling documents, aimed at creating enabling conditions to boost private sector roles in providing public services in local government. There was a rapid increase in public services outsourcing and various concessions of (PPP) schemes in South African municipalities. Privatisation was also more common across the country.

These initiatives were labelled with criticisms as masquerades of Black Economic Empowerment (BEE) and entrepreneurialism (Narsiah, 2002:7). Narsiah (2002:7) maintains that transnational corporations were continuously in control of the local partnerships. Some multi-national organisations may unscrupulously pursue to maximise profits through various means of lean production and other cost-cutting methods that could impact on job creation in the midst of growing inequality and a slow pace of poverty reduction and other social dimensions. The resulting increased level of poverty and inequality often cause resentment and anger amongst the impoverished masses. There is a continued rise in the spate of manifestations and protests in South African municipalities, especially in black communities (Salga, 2016)

The implementation of a neo-liberalism approach to development brought mixed results. As correctly maintained by Escobar (1992, 2010), some analysts believe that the implementation of this capitalist model of globalisation in Latin America brought a degree of success. Various successes, such as greater dynamism of some export-oriented sectors, increased direct foreign investment, gains in competitiveness in some sectors, control of inflation, and the introduction of social policies, such as those of

decentralisation, gender equality, and multiculturalism. It was alleged to be associated with high costs concerning the unemployment growth, the weakening of the links between international trade and national production, greater structural unevenness amongst sectors of the economy (structural dualism), tremendous ecological impact and a sharp increase in inequality and poverty in most countries. Regrettably, Escobar (2010:12), claims that the infamous SAPs (Structural Adjustment Programmes) and shock therapies brought a level of insensitivity and brutality by the ruling regimes that reached staggering proportions, orchestrating a state of resistance of which signs appeared almost from the start.

Following this background, Simon & Narman (2014:18) contend that while the simple and deterministic constructions of the *dependencistas* had long been discredited, its intellectual legacy remains quite tangible in the post - or anti-development and some strands of postmodern and postcolonial writings. Increasingly as buttressed by Simon & Narman (2014:21), individuals and groups of individuals at a local level, are either pursuing the attainment of their aspirations for better living standards outside the realm of the state or rejecting the dominant developmental discourse(s). They are pursuing alternative agendas with diverse aims and objectives. Conversely, by the 1990s, a novel critique emerged. Influenced by postmodern evolutionary thought and finding its popular voice in the burgeoned anti-globalisation movement during the decade, this type of theory, in development studies, became known as the post-development theory (Rapley, 2007:4).

#### **2.2.4 Post-development**

As articulated by Rapley (2007:4), post-development questions the whole concept of development, concerning its ability to better citizens' lives. Rapley (2007) claims that development is unconcerned with prosperity; rather, it was construed towards establishing external control over citizens' lives. From the post-development thinkers, development is preoccupied with drawing citizens into the formal networks of circulation, where they can be taxed, thereby consolidating the state's control over their lives. Ziai (2009:183) asserts that the post-development school criticised development projects for their inherent power dominance relations and their controlling implications. The latter

argument is based on the tenacity of Ziai's (2009) claims that the concept of development is Eurocentric as it implicitly clings to colonial assumptions of the superiority and supremacy of western societies and reproduces power imbalance relations between 'developed' and 'less developed' regions or individuals, in well-meaning development projects aimed at alleviating poverty.

The 1990 decade began to witness a shift in paradigm in development discourse towards an emphasis on citizen participation in matters of development of their locality. Because of its staunchly modernist credentials as reported by Rapley (2007), the initial reaction of development studies to the post-development critique was scepticism, outright hostility. As the 21st century drew nearer, the ideas of the post-development thinkers began to gain an ever-wider audience. As a result, Rapley (2007:6) notes that the development theory today is less programmatic and more concerned with flexibility and adaptability. The discourses oriented towards an all-important matter of how to strengthen system management and responsiveness to major socio-economic problems within local government (Kamara, 2017:98). This kind of localised, particularistic, and flexible approach to development is not that far from what post-development advocated.

### **2.2.5 People-centred approach**

According to Haines & Hurst (2011:9), varieties of capitalism and related meta-theoretical spin-offs from classical political economy may have added to the understanding of continuities and discontinuities in development trajectories. The economic and financial crises and hyperinflation of recent years demonstrated the difficulties of mainstream and neo-classical economic theory concerning both predictive and policy aspects (Haines & Hurst, 2011:9). As echoed in the scholarship of Leibowitz (2006; 2007), cited in Haines & Hurst (2011:8), calls for a 21st century Marxism, emphasising the linked notions of critical human development and 'rich human beings' at the centre of the theoretical endeavour. By viewing development through the perspective of '*rich human beings*', a rich human is someone with abundance needs and having the capabilities to fulfil these needs a way that the person wants to live.

Leibowitz (2006; 2007) maintains that real wealth is the development of human capacities and human potential, derived from the perspectives of Marxian ideology.

Since the beginning of 1990, an increasing number of local and regional authorities globally were actively involved in designing and implementing development strategies, which utilised specific features of LED approaches (Blakely & Bradshaw, 2002; Pike, et al., 2011). These strategies aimed at improving the capability of a locality to provide individuals with the enabling environment to flourish on their potentials. The task of improving the capability of a locality is a process that should not be undertaken by the state alone. Notably, LED offers local government, the private and not-for-profit sectors, and local communities the opportunity to collaborate to improve the local economy. It focuses on enhancing competitiveness, increasing sustainable growth, employment generation and ensuring that growth is inclusive (World Bank, 2006).

From a capability perspective, the public, such as the poor, deserve more attention whereby they can decide what types of development strategies they preferred to embark on in their localities, which they feel can enhance the quality of lives they have reason to value. This assists in providing essential information for the selection, design and implementation of development strategy packed with major dimensions of capability or possible failure (Arndt & Volkert, 2007).

The complexities of the modern era as evidenced in the devastating effects of climate change and the worsening global economic crisis beckons for a shift in development thoughts, policy and strategy towards reconsidering the sustainability of the current development concept. As a result, sustainable development and its subsequent discourse(s) emerged. According to Haines & Hurst (2011:14), these evolutionary discourses on sustainability are supported by the emerging paradigm of complexity. A symbiotic relationship between nature and human needs is proposed. Provided this relationship, appropriate care should be provided to the approach of working in conjunction with nature rather than in rivalry with nature. Such relationship revitalises the nature to provide abundantly in sustainably meeting human needs through renewable resources (Haines & Hurst, 2011:16).

Complexity thinkers insist that complexity paradigm should be endorsed as offering a valuable opportunity for the development of 'rich human beings'. 'Rich human beings' is understood broadly as individuals who possess the adaptive strength, stimulated by the promotion of macro-diversity (individual differences), the flexibility of mind (the capacity to live with uncertainty), and responsible agency capable of constituting viable sustainable communities (Haines & Hurst, 2011:17). To conclude this segment of the study, a continued reflection is advised on the assertion by Nussbaum (2011:9) that the capabilities approach challenges government and public with the urgent task to improve the quality of lives of all individuals, as defined by their capabilities.

### **2.2.6 Decoloniality and trans-modernity**

According to Grosfoguel (2011), peripheral states, formally independents, followed the dominant Eurocentric liberal constructed ideologies of national identity, national development and national sovereignty that produced an illusion of independence, development, and progress. Their economic and political systems were shaped by their subordinate position in a capitalist world system, arranged around the predominance of Eurocentric cultures of global colonialism between European/Euro-American and non-European individuals. Following these backgrounds, Dussel (2001) a Latin American philosopher of liberation, advocated for alternative worlds beyond Eurocentrism and fundamentalism, thus paving the way to the notion of trans-modernity. The Dussel's utopian project to transcend the Eurocentric version of modernity tended to be a step in the right direction.

Dussel's trans-modernity aims to fulfil the 20th century unfinished and incomplete project of decolonisation. Instead of a single modernity centred in Europe and imposed as a global design to the rest of the world, Dussel maintains for a multiplicity of decolonial critical responses to euro-centred modernity from the subaltern cultures and epistemic location of colonised individuals globally (Grosfoguel, 2011).

From the critical decolonial thinkers' viewpoint, the mainstream of discourses on development in academia is observed within the context of Euro-American modernity and not within Dussel's trans-modernity. These mainstream discourses are predicated

on a Eurocentric truth and ideology, which imposed itself forcefully onto the rest of the world through colonialism and continues to perpetuate through coloniality (Grosfoguel, 2011). Greater attention was provided to the notion of decolonialism than decoloniality in development discourses. The question is: What could be learnt from these two concepts, colonialism and coloniality as it pertains to the notion of development in the global south?

Maldonado-Torres (2007:213) distinguishes the two concepts of colonialism and coloniality. While colonialism denotes a political and economic relationship where the sovereignty of a nation or individuals rest on the power of another nation, rendering such nation an empire. Conversely, coloniality refers to long-standing patterns of power that emerged because of colonialism, defining culture, labour, intersubjective relations, and knowledge production beyond the strict limits of colonial administration. Maldonado-Torres (2007:213) further adds that coloniality survived colonialism. It could be maintained that coloniality is a legacy of colonialism, limiting the development knowledge in the global south to the top-down Eurocentric truth and ideology. As emphasised by Grosfoguel (2011), coloniality allows an understanding of the continuity of colonial forms of domination after the end of colonial administrations.

Colonial cultures and structures produced this domination in the modern or colonial capitalist global system. Grosfoguel (2011) emphasises that Eurocentric truth was, therefore, not mediated through negotiation. It was brutally enforced not only through violence but also through discourses. It did not only 'orientalised' the colonised and legitimised the imposition of Eurocentric truth on the 'conquered', but also produced what Maldonado-Torres (2007:247) calls, Manichean misanthropic scepticism whereby the subalterns doubt their natural humanity.

Plaatjie (2013:126) maintains that predominantly, particularly in the development discourse of today, approaches such as sustainable livelihoods, sustainable development, LED, rural development, Participatory Rural Appraisal (PRA) and basic needs, are possible instruments to beget development. These approaches meander between a culturalist and a political economy critique and at best, sometimes take a hybrid form. Such analysis obscures the complexities and function of coloniality and the

colonial matrices of power because colonialism not only brought about an imperial Eurocentric culture and the racialised exploitation of capitalism but also a rather complex global system (Grosfoguel, 2011). Plaatjie (2013:126) insists that such a complex structure of coloniality cannot be challenged by a culturalist and a political economy analysis alone, nor by a nationalist or third world fundamentalism.

Stemming from the comprehensive knowledge and epistemologies that underpin mainstream development discourse, Oppong (2013) maintains the importance of making use of indigenous knowledge as the first step towards the attainment of endogenous development as opposed to knowledge imposed from outside. He defines indigenous knowledge 'as knowledge about the people, by the individuals and for the people'. Oppong (2013) correctly emphasises that 'contextually relevant knowledge is the basis for national development (Ndlovu-Gatsheni (2013:8).

The question of coloniality is further interrogated by the contributions of Dastile (2013) and Plaatjie (2013) who call for the transcendence of Western-centric approaches and Eurocentric conceptions of development. Together they challenge Euro-American thought and call for the radical shifting of geography and biography of knowledge if indigenous development must be attained in developing countries (Ndlovu-Gatsheni, 2013:8). Having reviewed the foregoing literature, embedded in mixed thoughts, it imperatively leads to the following questions: Do these theories work? What are their political and institutional limitations? The feedback to these two cogent questions is presented and discussed later in the chapter as part of the shortcomings in current development theory.

### **2.3 SHORTCOMINGS IN CURRENT DEVELOPMENT THEORY**

Development policy goals are principally geared towards the creation of sustainable improvement in the quality of life for all individuals. Paradoxically, the evidence of recent decades' manifests that the prospect of development is combined with optimism and pessimism. It can be stated that while development is possible, it is neither inevitable nor easy. As presented in the World Development Report (World Bank, 2000:13), successive positive development outcomes were justifying futuristic

confidence in developmental endeavours. Although these achievements may be replicated in some countries, the failure of several development efforts edify it as a daunting task. For over half a century, there were incessant impasses of development marred by flawed interventions (Escobar, 2007; Ziai, 2007).

As maintained by Hellsten (2013), the prevailing Eurocentric individualistic and materialistic concept of development proclaimed the means of development as the overarching goal of development. As a result, Hellsten (2013:80) asserts that instead of realising such humanistic ideas as human flourishing and holistic well-being, current development agendas focus on economic growth and producing 'better business environments. Hellsten (2013:80) contests that by taking economic growth as the main goal, rationalist self-interest becomes an embraced idealistic feature of human behaviour.

Provided this background, Müller (2006:306) emphasises that post-development indicts modernist development discourse for having underestimated and eliminated cultural difference, subjecting local communities to the economistic western logic of the market and creating poverty instead of eradicating it. The western modernist development logic was widely criticised as a superimposed approach of development on the global south without local contents. Muller further calls for the abandonment of the modernist development paradigm. According to Rapley (2007), though post-development managed to tear down the modernist stronghold in development theory and practice in the nineties, it was proclaimed as one of the most significant developments in development studies over the last decade.

The post-development scholars criticised development and its discourses. This was a failed endeavour. Post-development advocates conceptualise development as a knowledge-based-system, technologies, practices, and power relationships that assist in organising and regulating developmental objects (Lewis, et al., 2003:545). According to Lie (2008:122), post-development researchers view development as a dominance discourse, pursuing to supersede contextual differences. In contrast, Green (2003:124) maintains that post-development scholars, who position themselves outside the institutional structures of development, view development as a bureaucratic force with

global reach enshrined in pro-capitalist policy, employed as weapons for regimes to maintain relationships and dependency between the west and the rest of the world and to preserve others as perpetual postcolonial subjects.

The latter conviction orchestrated a post-structural rejection of development, not just because of its effects, but because of its goals, mindsets and world observations (Pieterse, 2000:175; Lie 2008:122). The hallmark of post-development is characterised by an interest in sustainable development instead of alternative development types; an interest in local knowledge and culture; critical approaches to established scientific discourses; and the advocacy and promotion of democratic, pluralistic and grassroots movement (Ziai, 2004; Escobar, 1992). It is pertinent to ask the following questions: Do this theory work? What are the political and institutional limitations to its implementation and actualisation? The responses to these queries are discussed in the next paragraph.

Several critiques were levelled against post-development theory. According to Andreasson (2007:10), post-development theory is criticised for not producing 'credible' or 'feasible' alternatives to existing development frameworks as it claimed to be preoccupied with; Put simply, it is not a constructive theory. Pieterse (2000:175) describes post-development as a 'radical reaction to the impasse of development theory and policy', a reaction based on perplexity and extreme disaffection with 'business-as-usual' and standard development rhetoric and practice. Ziai (2004) maintains that post-development is also criticised for attributing to the development of a single and narrow meaning, suggesting its homogeneity and consistency. Post-development is solely critical and does not offer solutions Ziai, 2004). However, Post-development approaches should not be discounted. The constructive aspects of its arguments should be acknowledged and used to improve development practice (Ziai, 2004:1054; Jakimow, 2008:313).

The capability approach was hailed as an alternative approach for successfully reintegrating humanistic values and beliefs into the development agenda. Individuals can secure their well-being with the ability to define their growth (Devine & Deneulin, 2011; Hellsten, 2013). Hellsten (2013:2) maintains that the values for development need to be observed holistically from diverse perspectives. Hellsten (2013:2) adds that by

separating values from practices, the aim of developing practices should not be to improve material well-being and standard of living, but to establish improved ways of "being human". Again, the study is prompted to ask: Does this approach offer a 'one-size-fits-all' solution to the complexities of promoting human well-being in a contemporary development approach?

Researchers discovered that the capability approach in pursuit of development as human prosperity is thwarted by its own conceptually contradictory worldview (Bérenger & Verdier-Chouchane, 2007). It has therefore also been met with criticisms for other distinct reasons. Stemming from Sen's capability approach, economic growth remains a part of development, but not an objective. Another prominent criticism levelled against the capability approach, is the individualistic notions (Soper, 2004; Gasper, 2009). Emphasis is on the capability approach, incorporating participation, though maintaining that the individual is primordial (Sen, 2009). As a result, Ibrahim (2006:397) contends that the existence of 'group capabilities' weakens the relevance of the capability approach that observes only individuals – even if this were but an ethical stance. Ibrahim (2009) adds that where group capabilities are included in the capability approach, recognition is indicated that capabilities of collective entities are not the sum of the individual capabilities of members of the group (Stewart, 2005:200). In a related concern of contestation, Rauschmayer, et al. (2015:105) contend that capability approach-based models are static and contain no theory of societal phenomena. They cannot explain dynamic societal processes such as sustainability transitions. To this end, emphasis should be accorded to a resilient development model bequeathed with the adaptive capacity to respond to societal dynamics and its messy complexities.

Poolman (2012:381) maintains that an individual's capability expansion may inherently create deprivation for others and that the capability expansion of those involved in development intervention may be thwarted by the social-economic power structure made up of individuals who do not care for them. According to Villarreal (1994:8), on an intra- and inter-group level, it can be necessary for power to be 'yielded' for it to be gained. Poolman (2012:381) blames the capability approach for perceiving the power-

related constraints but fails to offer guidelines for decision-making in the events of conflicting capabilities.

From a sustainability perspectives, Haines & Hurst (2011:16) contend that the human priority of capability and traditional Marxist discourses typically direct choices between competing imperatives towards meeting the real needs of human communities at the cost of supposedly external 'ecological' needs, such as the preservation of biodiversity. Consequently, Haines & Hurst (2011:16) admonish that economic practices towards a material world that observes natural resources as mere goods to be extracted and exploited until depleted is not conducive to producing a sustainable way of life. As maintained by Hellsten (2013:2) environmental degradation, the catastrophic consequences of climate change and the declining global economic crisis cause them to question the sustainability of the present model of development and seriously rethink what kind of environment we want to live in and leave for future generations. As contested by Hellsten (2013), observing development as economic growth, providing more goods and services to the rising population of the world, could jeopardise the future of both human species and the world. Alternative solutions to development should be considered to guarantee decent living conditions for future generations.

Owing to this background, the emergence and proliferation of the notion of sustainable development and its subsequent discourse(s) ensued. According to Haines & Hurst (2011:14), these discourses were supported by the emerging paradigm of complexity. Complexity theorists contend that to achieve the goals of sustainable human development we first have to understand human activity globally concerning complex systems; we should treat all human individuals as complex systems that inherently belong together in larger, similarly complex social systems. Secondly, because complex systems are open by nature, humans should treat their surrounding environment as inseparable from their being. Put simply, humans and their environments belong to a single, living ecosystem.

Concerning the complexity paradigm, the question of the relationship with the environment is observed contrarily from the traditional perception that preserving 'nature' occurs in competition with human needs (considered to be ethically primary).

Within a complexity paradigm, the relationship is observed as contrarily. Instead of competition between nature and human needs, a symbiotic relationship is proposed where, with the appropriate care in our approach, functioning in conjunction with rather than in competition with nature. Nature becomes abundantly provident and human needs are met sustainably through renewable resources (Haines & Hurst, 2011:16).

Complexity thinkers insist that complexity should be endorsed as offering a valuable opportunity for the development of 'rich human beings', understood broadly as individuals who possess the adaptive strength engendered by the promotion of macro-diversity (individual differences), flexibility of mind (the capacity to live with uncertainty), and responsible agency. It is proposed that it is only this status of 'rich human beings' that we can constitute viable, sustainable communities (Haines & Hurst, 2011:17).

Lastly, on what appears to be on a positive note, some recommendations were advanced to create the value change needed for the capability approach to work. Giri (2000:1003) calls for development as a freedom to be enhanced by the pursuit for development as a responsibility. Gasper & Van Staveren (2003:157) contend that development would be better understood as also includes establishing and sustaining the importance of caring for others. In somewhat concomitant to the latter, De Jong, et al. (2016) articulated the need to place emphasis on the attitude of caring for others not only as a value functioning as capability, as conversion factors upon which prosperity depends, but as full human beings in the same measure as oneself. Haines & Hurst (2011:17) galvanise the notion of values as it pertains to development as a shift towards configuring a way of life characterised by an integrated system of human community whose core values are identity and solidarity. Identity and solidarity refer to individuals' capacity to observe themselves as an integral part of a communal group (identity) and to play an appropriate role towards achieving the goods for all (solidarity) (Metz & Gaie, 2016, 2010:276).

After establishing several kinds of literature on this subject matter, the emerging outcomes are mixed. Sen's (2009) literature, as echoed by Haines & Hurst (2011:17), still presents a significant conceptual scope for rethinking human freedom, along with the human and individual rights in a development context. This would require, amongst

other things, a greater interaction with the communal, the political economy of tradition and religion, tending to circumscribe human freedoms on a gender, class and ethnic basis.

## **2.4 CONTEXTUALISING LOCAL ECONOMIC DEVELOPMENT WITHIN CONTEMPORARY DEVELOPMENT THEORY**

This section of the literature contextualises LED through the lens of contemporary development theory on the capabilities approach. Capability, as propounded by Sen (1999), is best described concerning the opportunities and freedom individuals have to be or do what they have reason to value as evidenced in their well-being. This approach can be used as a measure against which to assess LED theories and practices, government policies and strategies aimed at improving the responsiveness and system management of major social and economic concerns within the municipalities. Since the 21st century, poverty reduction was the overarching objective of the UN and other governments, organisations, and individuals. The United Nations General Assembly adopted the Millennium Declaration (United Nations, 2000), following an unprecedented political commitment to international cooperation.

As maintained by Simelane & Chiroro (2013:1) though the world managed to change significantly since the endorsement of the MDGs, there are several emerging complex concerns, reflecting the diverse levels in which countries have managed to achieve the MDGs. Simelane & Chiroro (2013) maintain that although Africa was part of the MDGs agenda, the continent still lags in many areas, such as in human development and satisfying the basic needs of the individuals.

Sustainable development goals (United Nations, 2016) were integrated as a follow-up into the millennium development goals, outlining the central objectives of the global community for the 21st century. These are a wide range of objectives on social, economic and environmental concerns whereby commitment is required by all United Nations member states to pursue development efforts, including ending poverty and hunger, promoting well-being and education, reducing inequalities, fostering peace, and protecting the planet (Janowski, 2016). The sustainable development goals (SDGs) as

maintained by Risse (2016), presents a strong focus on the means of implementation, which amongst other things, include: multi-stakeholders partnerships, capacity building, institutional coherence, policy, finance, monitoring and accountability (Janowski 2016:603).

As a member of the United Nations, South Africa adopted the agenda 2030 and the achievement of the sustainable development goals. The country has aligned its NDP 2030 with these global commitments (DPME, 2019). The SDGs is composed of 17 goals with 169 targets that needs to be achieved at global, national and sub-national level aimed to end poverty, fight inequality and injustice, and tackle climate change by 2030.

Given the specificity of SDGs, development is re-conceptualised as an inclusive and sustainable universal aspiration for human progress (Fukuda-Parr & McNeill, 2019:7). Put differently, SDGs embraces the concept of inclusive development which encompasses the social, ecological and political dimensions of development. Provided the SDG #17, the importance of partnerships and collaborative governance as a means of achieving sustainable communities and cities was established. As contested by MacDonald, et al. (2018) organising partnership groups requires sophisticated implementation structures for ensuring collaboration actions. Understanding the relationship between implementation structures and the outcomes is central to designing successful partnerships for sustainability (MacDonald, et al., 2018) aimed at satisfying the basic needs of the individuals. The achievement of the SDGs depends, more than ever, on the ability of local and regional governments to promote integrated, inclusive and sustainable territorial development. (UNDP, 2016; Oliveira, et al., 2020)

The essentiality of providing basic needs to enhance the social well-being of individuals is becoming a norm increasingly in the development lexicon. As buttressed by Waage, et al. (2010:992), development should be pursued or regarded as a sustainable, dynamic process with equalitarian accessibility to a better quality of life capable of ensuring equity of opportunity and outcome, while recognising its complex and local nature.

The measurement of poverty evolved beyond employing the Gross National Products (GNP) determining the economic, social, and political status of a society. The UNDP (2014) introduced various indexes to measure, such as the Human Development Index (HDI), comprising GDP per capita, life expectancy and a measure of educational attainment or the Human Poverty Index (HPI), indicative of a long and healthy life, knowledge and a decent standard of living (Dutta, et al., 2011; Malik, 2014). While accepting that income is only a means, the HDI uses GDP per capita as a proxy for most other capabilities beyond survival, education and what those directly reflect (Anand & Sen, 2000). As emphasised by Forgeard, et al. (2011:79) employing economic indicators as proxies for well-being became a conventional practice for the rest of the 20th century.

Gaspar (2002) maintains that this is problematic and therefore precipitates a renewed interest concerning money and economic growth as insufficient and inadequate indicators of progress or inadequate indicators of a society's progress (Forgeard, et al., 2011:79). Diener & Seligman (2004:1) maintain that there are distressingly large, measurable slippages between economic indicators and well-being, reinforcing that the growth in GDP does not necessarily transcend into well-being or life satisfaction.

As the economic theory objectivity claim of 'measuring' poverty and development through indexes wither in the encounter of several criticisms, diverse approaches to poverty and development evolves. Sen's (1999) capability approach provides an improved framework for the theory about human beings, with special focus on the human capacity to function in historically shaped contexts of entitlements and rights. This approach provides the theoretical foundations for the human development paradigm (Fukuda-Parr, 2003). This includes the capability approach, which aspires to reorient approaches to socio-economic development and public policy, from taking economic growth and/or declared subjective well-being as the overriding objectives, towards improving the ability of individuals to lead a life they have reason to value (Frediani, et al., 2014:1).

Robeyns (2005:94) maintains that the capability approach is a broad normative framework for the evaluation and assessment of individual well-being and social

arrangements, the design of policies and proposals about social change in society. According to Robeyns (2011), the capability approach is described as a theoretical framework entailing two core normative claims: first, the claim that the freedom to achieve well-being is of primary moral importance. Secondly, that freedom to achieve well-being is to be understood concerning individuals' capabilities, indicating their real opportunities to do and be what they have reason to value.

Sen (1999) maintains that evaluations and policies should focus on removing the barriers in the life of individuals. They could have the freedom and opportunity to live the quality of life they have reason to value (Chhachhi & Truong, 2009; Robeyns, 2005). Individuals must be empowered and encouraged to collaborate to achieve sustainable economic growth that could bring benefits and improve the quality of their lives. The influence of capability exceeded Sen's and Nussbaum's work and became an autonomous force in development lexicon.

The capabilities approach was employed not only by academics as a tool for assessing diverse dimensions of well-being and poverty but also as a framework for reporting on poverty, well-being and human development in the developing world (Arndt & Volkert, 2011:311). Put simply, the approach is understood as a conceptual framework for the assessment of individual well-being, social arrangements, and as the design of policies and proposals about social change in society (Wolff & De-Shalit, 2007). From the capability approach, everyone is a value. The relevant question is therefore: How should the enabling environment sustainably be shaped to pervade freedom and opportunity for individuals to live the quality of life they have reason to value?

Within this context of debate and controversy and disillusionment, the need for a more locally relevant and people-centred development approach ensued. The concepts of locally initiated and driven development strategies became necessary as antecedent's development theories and initiatives failed to deal with the challenges of poverty. Underprivileged communities had no other option but to take charge of their situation. This concept of locally driven development (where initiatives are centred on empowering and uplifting the poor) is becoming the preferred approach to development, focused on poverty alleviation. According to Sharma (2000), decentralised local governance

contributes to development concerning promoting participatory development strategies and the production of policies adapted to local needs. The involvement of citizens (an important aspect of the LED) in development planning and implementation often enable the formulation of realistic plans coherent with local circumstances and conditions (Edoun & Jahed, 2009)

To conclude this segment, it could be deduced from the various literature reviewed in this context that capabilities approach does not, offer a “one size fits all” approach to the complex task of promoting human well-being. Instead, it provides a framework whereby individuals closest to the situation can inductively devise economic and political systems that better serve human growth and development (Vogt, 2005:118). Nussbaum (2011) observes that it is pertinent to allow those closest to the situation to develop the specific means required to live well, providing impetus or the need for localised and inductively achieved solutions to major socio-economic concerns within a locality.

## **2.5 SHORTCOMINGS OF LOCAL ECONOMIC DEVELOPMENT**

The remarkable increase in technological advances, global competition, population mobility, and spatial differences and imbalances epitomises the complexities of the modern era, which beacons for sustainable alternative approach to drive the local economy. The emergence of LED was widely hailed as an effective diagnostic approach to address the concerns of territorial development. Beyond the LED ensued benefits of empowerment, promotion of local ownership, community involvement, local leadership and joint decision-making, some other merits could be derived from the effective performance of LED strategies as rooted in its capability to reduce disparities between more and less-resourced areas, boost locally generated businesses and jobs, enhance private sector participation in the local economy through investment, and improve the efficacy/efficiency in the manners where economic development strategies are pursued (CLGF, 2015).

In contrast, the literature of Hindson (2003) and Nel (2001) attributes the disappointing achieved LED outcomes in South Africa to resource and capacity constraints compounded by the limited experience of local government in promoting economic

development. Some other scholars (Binza, 2010; Davids & Esau, 2012; Maserumule, 2008; Lawrence & Hadingham, 2008; Uys & Jessa, 2013) presented diverse discourses grounded on a common theme about the municipalities' skill challenge for accelerated growth as a clear case of capacity gap that continue to influence their ability to perform constitutional mandates in various ramifications. According to Van Der Heijden (2008), this outcome evolves in an increasing trend towards the production of low-quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation. As rightly articulated by Rogerson (2009), municipalities encountered the challenges of developing capabilities to improve their efficiency in the implementation of their development mandate.

Indications from the findings of a previous case study on two municipalities (Stellenbosch and Drakenstein) in the Cape Winelands District in Western Cape, regarding capacity building initiatives through training to upskill the municipal staff for LED. Several unprecedented difficulties were unearthed:

- LED, which was not fully integrated with other functional departments in the municipality rendering LED practices in the two municipalities confined to the LED units in the municipalities
- ambiguities in LED policy and strategy as there were different perspectives of LED with a diverse perspective of how it should happen
- concerns in the working environment, hindering skills transfer into the job, such as, a lack of progressions; a lack of motivation and opportunity in the workplace to put what they learnt in training into practice
- little reporting, monitoring and evaluation done to provide feedback and support. The management of programmes often loses its effectiveness when outputs and outcomes on programmes are not measured. This brings to fore the imperativeness of monitoring and assessing LED interventions in local municipalities (Kamara, 2015; (Kamara, et al., 2017)

The study established that although the municipalities made great strides in upskilling their staff, the contextual concerns hinder the effective performance of the municipalities' capacity building initiatives. Rogerson (2010) describes some of South

Africa's strategic challenges of LED implementation, as a lack of LED support and an inadequate LED planning approach.

LED initiatives require a great deal of funds to enable local authorities to drive the LED process independently. A well-resourced municipality can implement many of its identified strategies (Nel, et al., 2007:37). Access and the availability of funds was a major stumbling block for local authorities, especially in small towns 'that struggle to generate adequate revenue to fund implementation and maintenance of projects that are driving economic development' (DBSA, 2008; Hofisi, et al., 2013).

In addition to the concern of lack of LED funding, as contended by Hofisi, et al. (2013), the conceptualisation of LED is theoretically unclear and underdeveloped, and this further erodes the capacity of municipalities to conceptualise and implement strategies for LED successfully. The concerns of national policy orientation which involve two contrasting paradigms on pro-poor or welfare versus economic growth. Consequentially, the low success of welfare-oriented LED projects, as maintained by Rogerson (2010:489) undermined the credibility and significance attached to LED by many local authorities. Although these two approaches are complementary, Lambhead (2007), cited in Rogerson (2010:312) maintains, the key policy concern is defining the weight and balance of support to be allocated.

The remarkable increase in technological advances, global competition, population mobility, and spatial differences and imbalances epitomises the complexities of the modern era, which beacons for sustainable alternative approach to drive the local economy. The emergence of LED was widely hailed as an effective diagnostic approach to address the concerns of territorial development. Beyond the LED ensued benefits of empowerment, promotion of local ownership, community involvement, local leadership and joint decision-making, some other merits derived from the effective performance of LED strategies is rooted in its capability to reduce disparities between more and less-resourced areas; boost locally generated businesses and jobs; enhance private sector participation in the local economy through investment; and improve the efficacy/efficiency where economic development strategies are pursued (CLGF, 2015).

In addition to the concern of capacity at the municipality, employing ineffective methodologies for planning (IDP) in the municipality, constitute another hindrance to the success of LED (as a component of IDP) within the municipalities. Compounding this problem is the challenge to improve on the quality of local data that could assist in improving the understanding of local economies, identify local competitiveness and assist improving LED planning and decision-making (Rogerson , 2008; Van der Heijden, 2008). It was observed that IDPs of some municipalities do not reflect the programmes and investments by the private sector and other key stakeholders. Ideally, the IDP should inform other stakeholders operating within a public (municipal) space. LED planning requires a multi-sectoral and multidisciplinary approach demanding coordination and alignment of plans across government and other stakeholders, including the private sector. Local stakeholders' participation (private sector, traditional authorities, and communities) in municipal planning processes remains crucial to ensure that LED concerns are fully reflected in municipal plans (SDF, LED plan, IDP).

The municipality is presented with the crucial opportunity to partner with the business community and the civil society and align their sustainability strategies with the territorial development goals of the municipality as represented in the IDP. The challenge encountered by most government in the global south, especially in Southern African governments is to set in motion this deliberate planning process which engages the private sector and the civil society towards a shared goal of local development. Although studies indicated few practices in fora and roundtable engagement of these key stakeholders in LED matters, little is known of the specific factors that can stimulate effective collaboration/cooperation amongst key LED stakeholders, which could be employed to design and assess cooperative governance for LED.

A need for this study existed, where it endeavoured to bridge the prevailing research gap. A major preoccupation of the study was rooted in the principles, norms and values of a collective approach of governance whereby the key stakeholders could effectively collaborate/cooperate in developing adaptive capacity to withstand any external shocks pursuing to endanger its sustainability within the municipal environment. Detailed discussions on this concern is featured in the next chapter.

## 2.6 COOPERATIVE GOVERNANCE FOR LOCAL ECONOMIC DEVELOPMENT WITHIN THE RESILIENCE EVOLUTIONARY DEVELOPMENT APPROACH

The complexities of the modern era paved way for a paradigm shift in development discourses on structurally deterministic approaches of addressing developmental concerns to the contemporary concept of *people-centred resilience* approach, focusing more on understanding how human actions and behaviour interact with key structural and environmental factors and constraints in dynamic complex systems (Bristow & Healy, 2014a). Within these discourses, limited attention was provided to developing a robust understanding of what specific role the state, private sector and the civic society, especially at a local level, might play in building economic resilience in local municipalities.

Policymakers and development practitioners are increasingly perceptive to comprehend what mode of governance and forms of intervention might facilitate post-shock recovery (such as post COVID-19 and other economic woes) and protect local economies from future economic crises and unprecedented transformation (Bristow & Healy, 2014b). Acknowledging the role played by human actions and agency in shaping local resilience outcomes (Bristow & Healy, 2014a), the study attempted to consider cooperative governance and LED as linked and nested and to integrate collaborative values in managing LED for change and sustainability

The concept of resilience is increasingly colonising multiple arenas of government (Walker & Cooper, 2011:144). It became the latest policy imperative by which cities and regions are entreated to mobilise their endogenous resources to compete in global markets (Wolfe, 2010). According to MacKinnon & Derickson (2013:259), resilience fundamentally concerns how best to maintain the functioning of an existing system in the encounter of externally derived disturbance. Resilience is about the stability of a system without interference (MacKinnon & Derickson, 2013; Lang, 2011) in the messy complexity of real-world economies (Bristow & Healy, 2014b).

In contextualising cooperative governance for LED through the lens of resilience, the study mainly focused on the ability of cooperative governance system to create an

adaptive capacity, to adapt responses to dynamic contextual drivers and internal processes, and sustainably allow for new development trajectories. Given the urban and regional development viewpoints, some scholars conceptualised resilience as the capacity of societies to cope with external socio-economic shocks (Adger, 2000); the ability of a region to successfully recover developmental pathways from shocks to its economy (Hill, et al., 2012); how individuals adapt to dynamic situations and support themselves through autonomous initiatives (Katz, 2004); human ability to perceive change and influence future pathways.

According to Carpenter, et al. (2001), resilience can be best described by three key characteristics concerning the disturbance a system can absorb and remain within the same state or domain of attraction; the degree to which the system is capable of self-organisation; and the ability to build and increase the capacity for learning and adaptation. A resilient world would promote trust, robust networks, and leadership are all key factors in making sure this can happen. The existence of an institution which can presents fierce penalties for cheaters is imperative (Ostrom, 1990).

The fundamental role of regional institutions to promote adaptive capacities to cope with external socio-economic shocks was echoed by Dawley, et al. (2010); Simmie & Martin (2010), cited in MacKinnon & Derickson (2013:261), as an essential factor to the development of the Cambridge region.

Wolfe (2010:145) articulates that prosperous regions need to be able to engage in strategic planning aimed at identifying and improving their resources, participating in coordinated processes to design and implement changes and to promote growth-enhancing regional attitudes. Provided the above background, the overarching focus in this context is about 'agency' possession of adaptive capacity and leadership capabilities to respond to challenges/constraints and crisis. The question concerns whether the state organ alone can decisively respond to the dynamics of socio-economic uncertainties in local communities.

Paradoxically, local municipalities lack the skills, the will, and the wallet to engage in strategic planning and implementation of sustainable programmes/projects within their

localities. Bristow & Healy (2014a; 2014b) emphasise that the extant literature on the resilience of complex adaptive humans emphasises the pivotal role of policy actors as a key agent of purposive adaptation, acting through institutions of governance to make a difference through their shared ideas and actions (Moore & Westley, 2011; Schmidt, 2011). The governance referred to in this context is not about the state alone, but emerges through the collaboration of the state, the private sector and the civil society organisation.

MacKinnon & Derickson (2013:260) agree that beyond the recurring appeal of innovation and strong leadership, it becomes ideal for promoting more socially inclusive governance approach bequeathed with the adaptive capacity to withstand threats and be able to sustain. As described in several works of literature reviewed in the study, given the adaptive capacity, the following benefits are associated with cooperative governance endeavours: increased social capital, improved leveraging and resource pooling, improved coordination of activities, improved conflict management, improved knowledge and communication management and risk sharing (Provan & Milward, 2001; Agranoff & McGuire, 2004; Leach & Sabatier, 2005; Agranoff, 2007). Emerson & Nabatchi (2015:718) maintain that empirical research on the production of these benefits and other collaborative achievements encounters conceptual and methodological challenges.

Consequently, the task of establishing such adaptive capacity to enhance system management and response for major social and economic development concerns in municipalities need the cooperation of the three actors, namely, government, private sector and civil society (Kamara, 2017:105). Provided this background, the following key question is frequently directed, concerning the nature, specific role and the relationship between the government, private, and civil society sector. What are the specific factors of cooperative governance involved in the effectiveness and management of LED in municipalities especially in comparable towns? This research was inspired by the desire to provide answers to these questions.

## **2.7 SIGNIFICANCE OF THE STUDY IN THE CONTEXT OF DEVELOPMENT THEORY**

This study was undertaken to contribute to a novel approach to contextualise localised development within contemporary development theory of capability approach. It informs on the type and nature of collaborations capable of improving the system management and responsiveness to significant social and economic concerns within the municipalities with the ultimate objective of enhancing the capabilities of individuals to live the type of life they choose to live. This assists in improving the understanding of the social drivers that may inhibit or enable LED stakeholders in taking full advantage of collaborative-led developmental interventions to further peoples' lives and to enhance their opportunities to partake in matters of development in their municipalities. According to Marson, et al. (2014:1), development is empowerment in the broad sense of the capability approach. A person or group is empowered when they have the capacity to make effective choices, translating their choices into desired actions and outcomes.

The theoretical contribution of this segment of the study builds on current literature which contends that neither opulence (income or commodity ownership) nor utility (happiness or desire fulfilment) are enough to conceptualise human well-being or deprivation (Bass, et al., 2013; Clark, 2005; Robeyns, 2005). Within the capability approach, development should be a process that enables the expansion of real freedom - the opportunities of individuals. As rightly emphasised by the Democratic Alliance President during his inauguration speech, 'Freedom without opportunities is useless' (Maimane, 2015, cited in Kamara, 2015).

## **2.8 CHAPTER SUMMARY**

The chapter provides a historical understanding of the proliferation of development theories over the years, enabling a comprehension of the paradigmatic shift in development approaches over the same period in question. The study explained the themes and implicit debates in the development literature, holding contemporary policy relevance for improving system management and responsiveness to significant social and economic concerns in municipalities. The traditional development approaches of modernisation, dependency and neoliberal approaches to development were presented

in the chapter, and the rise and fall of the various approaches were discussed. The emergence and growth of post-development thoughts were also discussed in the chapter. As discussed in the chapter, the hallmark of post-development is characterised by an interest in sustainable development, an interest in local knowledge and culture and the advocacy and promotion of democratic, pluralistic and grassroots movement. The post-development theory was criticised for not producing credible or feasible alternatives to existing development frameworks. So, the search for a more feasible and constructive alternative approach that could withstand the test of time in face of the shattering consequences of climate change, globalisation, and the declining global economic crisis ensued.

The capability approach was hailed as an alternative approach for successfully reintegrating values and beliefs into development. Individuals can define their well-being. However, the messy complexity of the modern era presents many constraints to this approach of development, especially at the local level. Local Economic Development was contextualised in the chapter as well as its shortcomings. Amidst these constraints, local government lack the wallet, the will, and the skills to deliver on its developmental roles. As a result, the needs for a development strategy which promote a shared approach to addressing social concerns become imperative. The notion of cooperative governance conceptualised within the contemporary resilience approach was presented in the chapter. The next chapter conceptualises the theory and practice of LED in South Africa and international context.

## **CHAPTER 3: CONCEPTUALISING LOCAL ECONOMIC DEVELOPMENT**

### **3.1 INTRODUCTION**

The purpose of this chapter is to establish a theoretical framework for the study as it conceptualises LED. The chapter presents an overview of the relevant literature consulted and reviewed for the study by looking at local economic development with particular focus on cooperative governance for LED. This literature review defines the key terms and terminology behind the subject matter in question and identifies the studies, theories and frameworks supporting the topic. The chapter commences by presenting the emergence and operationalisation of LED on the International scene, and the theory and practice of LED in South Africa at various levels, namely, national, provincial, districts and municipal level are presented in the chapter. The traditional roles of the state, the private sectors and the civil society in LED are exhaustively detailed.

### **3.2 LOCAL ECONOMIC DEVELOPMENT AT AN INTERNATIONAL LEVEL**

The emergence and proliferation of LED approaches to development rose significantly over the last two decades, fundamentally because of what was perceived as a failure of top-down development strategies to improve the well-being of the individuals (Boisier, 1999; Puga, 2002; Crescenzi & Rodríguez-Pose, 2012). Consequently, since the beginning of the 1990s, an increasing number of global, regional and local authorities were actively involved in designing and implementing development strategies which more and more adopt unique features of LED approaches (Blakely & Bradshaw, 2002; Pike, et al., 2011).

Stemming from the perspective of economics literature and the industrialised-economy, Tello (2010:52) defines LED as changes affecting a local economy's capacity to increase economic growth, generate employment and create new wealth for residents. LED is broadly associated with concerns of local control, use of local resources and locally determined intervention designed to create employment opportunities and to promote development (Nel, 2001; Nel, et al., 2007).

Before becoming popular in many countries in the global south in the 1990s, including South Africa, LED were implemented for many years in various forms in industrialised high-income countries of the global north (Patterson, 2008:3; Rogerson, 2010:482). According to Nel (2001:1004), LED emerged in the north, supporting efforts of local communities to change their social and economic condition, while finding a way to catalyse development at a local level by the central government. Nel (2001) contends that while there is good evidence of entrepreneurialism in countries, such as Brazil, Peru, and Korea, LED still relies profoundly on small-scale, community-based projects, using indigenous skills, and mainly attempting to ensure survival rather than inclusion in the global economy.

In the global south, besides the manifestation of these trends mentioned above, as reasons for the initiation of LED, other causes of concern were, challenges of the debt crisis and the lack of capacity for many countries to engage at a local level, the imposition of structural adjustments, the massive devaluation of currencies and a variety of natural and political shocks (Nel, 2001:1004; Isaacs, 2006:14). The LED approaches of countries in the global north as maintained by Helmsing (2003), focus more on investment, huge business funding and large projects conducted with or without external assistance by large local resources organisations.

Rodríguez-Pose & Tijmstra (2009) contend that LED strategies, while no panacea, could be a strong complement to traditional top-down strategies in delivering sustainable development and in many cases, may provide greater economic efficiency by mobilising resources that otherwise may have remained untapped. They also contend that there are many social benefits associated with LED, as it could promote voice, participation, and sustainability across territories where institutional conditions were far from ideal. The thrust of LED strategies, therefore, to promote economic activity within a territory depends on the economic and social conditions of the place, rather than vice-versa (Rodríguez-Pose, 2002:3).

LED contributes to the revitalisation of the local economy and the enhancement of local government fiscal efficiency (Beyer, et al., 2003). Phago (2004, cited in Kamara, 2015; Seduma, 2011) asserts that LED initiatives are not charitable endeavours but intend to

inject the local economy with innovative business means such as community self-help services and entrepreneurial initiatives.

Over the years, LED witnessed some unprecedented waves in strategies, metamorphosing through three distinct waves (Isaacs, 2006) as recorded by the World Bank. The first period, from the mid-1960s to the early 1980s, emphasised the attraction of foreign direct investments (FDIs), often linked to incentive systems such as grants, tax breaks or loans, and the provision of hard infrastructure investments (Pike, et al., 2006; Swinburn, et al., 2007).

The second wave of LED started in the early 1980s and lasted to the mid-1990s. During this phase, the key strategic direction was business retention, and the growth of existing local businesses as 'attention shifted to endogenous economic potentials, striving to support the competitiveness of existing firms, promoting entrepreneurship and business start-up' (Swinburn, et al., 2007; Rücker & Trah, 2007:12). The main tools for LED support from the 1980s to the mid-1990s included provision of business incubators, start-up support and technical support for small to medium-sized businesses (World Bank, 2003:5; Rogerson, 2010:468).

Since the mid-1990s, a more holistic approach characterised LED practices in the global north (Pike, et al., 2006; Rogerson, 2010:468) as manifested in the third wave. During this period, the public sector (state) plummets from its dominance role, while that of the business and civil sectors increased tremendously. Though the dominance roles of the state were mellowed, the state retains its orthodox roles of advocating for other stakeholders and creating the enabling environment for the functioning of the entire systems and all activities. Provided this scenario, the question is: How could one leverage the traditional power and authority of the state in the collaborative governance of LED? What is the nature, role, and relationship between the state, the private and the civil sectors? What are the specific determining factors promoting the collaboration of the state, the private and the civil sector for effective and efficient governance of LED?

Provided the third wave, the top-down approach was replaced by bottom-up strategies (Swinburn, et al., 2007). These bottom-up strategies embraced the LED approaches,

focusing on the local business environment, the development of innovation potential and the retraining and attraction of skilled labour forces, building on local area comparative advantage and public/private partnerships (Swinburn, et al., 2007; World Bank, 2003). The distinctive development approaches between the top-down and bottom-up strategies are not far-fetched. These principal distinguishing features are discerned below in Table 3.1: Main differences between traditional top-down development policies and bottom-up local economic development approaches.

**Table 3.1: Main differences between traditional top-down development policies and bottom-up local economic development approaches**

Traditional development policies	Local economic development
1. Top-down approach where the decision about the area where intervention is needed is taken at the centre	1. Promotion of all territories with the initiatives always coming from below
2. Managed by the central administration	2. Decentralised, vertical cooperation between diverse tiers of government and horizontal cooperation between private and public sectors
3. Sectoral approach to development	3. A territorial approach to development (locality, milieu)
4. Development of large industrial project to stimulate other economic activities	4. Maximises developmental potentials of each area to stimulate a progressive adjustment of the local economic system to the changing economic environment
5. Financial supports, incentives, and subsidies as primary factors for attracting economic activity	5. Provision of key conditions for the development of economic activity

Source: Rodríguez-Pose (2002:10)

Provided Table 3.1: Main differences between traditional top-down development policies and bottom-up local economic development approaches, there are three main distinctive features between top-down traditional development approaches and bottom-up LED strategies (Rodríguez-Pose, 2002:10; Rodríguez-Pose & Tijmstra, 2005). These overarching strands are identified in such themes as the locus of development; the level of intervention and the type of instrument used as discussed below:

- Locus of development: Traditionally, top-down approaches to development adopt a sectoral focus, whereby the approach attempt to increase growth and employment through devising policies aimed at promoting industrial sectors observed to increase economic dynamism. LED, conversely, takes a territorial approach, focusing on the development of a region or locality rather than an industrial sector.
- Level of intervention: Usually, development strategies were top-down strategies, devised by the central government. Central officials decide where to intervene and in what way with little or no input from local actors. In contrast, LED pursues to provide locals with the devices to promote development from where they are.
- Type of instruments used: Traditional approaches often focus on the development of large industrial projects, in the hope that such a project generates additional economic activity in the area. In this approach, infrastructural investments and financial incentives are often the preferred instruments for attracting firms to a provided locality. LED, conversely, observes development as related primarily to the ability of the locals to employ and build on its comparative advantages and local economic potential.

### **3.3 LOCAL ECONOMIC DEVELOPMENT AT A NATIONAL LEVEL**

According to Patterson (2008:1), LED in South Africa was conceptualised as a post-1994 phenomenon. The country had a separate, apartheid-dominating regional planning policy characterised by a central government control, eroding local autonomy, while suppressing the emergence and proliferation of LED initiatives in South African projects. The country, therefore, became vulnerable to various development challenges, especially concerning grassroots powered development. To respond and address these confronted multi-faceted development challenges, several initiatives to encourage

peace and reconciliation, decentralisation, regional transformation, participation and development at local government level, were initiated by the South African ruling party of African National Convention Government (ANC) (Binns, et al., 2005:27).

These policies articulate the theory and practice of LED in South Africa. Prominently featuring amongst these policies are the Integrated Sustainable Rural Development Strategy (ISRDS) of 2000, the National Spatial Development Perspective (NSDP) (RSA, 2005), the Accelerated Shared Growth Initiative of South Africa (AsgiSA) of 2005, the New Growth Path (NGP) of 2010 and the National Planning Commission: Vision 2030 (NPC, 2011). These policies provide strategies and directions on developmental trajectories to achieve sustainable economic growth in the country and improve the socio-economic well-being of the individuals. The national policies serve as a benchmark to formulate the provincial growth and development strategies (PGDS) and LED strategies.

LED strategies in a post-apartheid South Africa were embraced as catalytic tools with the capability of addressing the development gaps of poverty and inequality in the country (ANC, 1994; Binns & Nel, 2002). Consequently, the South African constitution establishes 'developmental local government', rendering the LED agenda an obligatory constitutional requirement in the country (Hofisi, et al., 2013:591). Unlike in other countries, constitutionally, LED practices in South Africa are neither voluntary nor a mere initiative of local authorities but should be all-encompassing, the state, private and the civil sectors. The question remains, can the prevailing practices of LED in South Africa capable of filling the development gaps of addressing the socio-economic concerns of poverty and inequality in the country? This question is more deliberated upon later in the chapter in the context of LED shortcomings.

Sections 152(c) and 153(a) of the Constitution (RSA, 1996) articulate that local government must 'promote social and economic development' and it must 'structure and manage its administration, and budgeting and planning processes to provide priority to the basic needs of the community while promoting the social and economic development of the community' (RSA, 1996). Seemingly, the Constitution does not clearly define the specific role and responsibility of the national government in LED

matters. The Department of Provincial Local Government (Now CoGTA) LED policy guidelines of 2005, describes the role of the national government as coordinator of public policies and investment programmes (DPLG, 2005a). Based on this portfolio, the national government was charged with the responsibility of the overseer of LED strategies and investment in LED projects.

The advent of a new framework on LED in 2006 furnished a discernible and comprehensive role and function of the national government on matters of LED. The 2006 provisions explain that the national government is responsible for encouraging and creating the enabling conditions for local action to emerged and be sustained in municipalities (DPLG, 2006). To achieve this objective, the DPLG (now CoGTA) has a dedicated chief directorate specifically for LED pursuing through intervention support for provincial and local governments through the development and review of national policy, strategy and guidelines on the LED. The national government provides:

- direct assistance to provincial and local governments in identified situations
- management and technical support to nodal economic development planning
- donor initiatives facilitation, coordination, and monitoring
- assistance on capacity building processes for LED

Patterson (2008:16) contends that through such interventions, the DPLG's role is to mobilise resources, local role-players and interest groups 'for the sake of achieving economic growth and creating jobs to reduce poverty.

Beyond the activities of DPLG on LED, is the increasing roles of the DTI on influencing LED in South Africa in a variety of ways through its responsibilities for spatial development initiatives, tax holidays, cluster initiatives and small business development (Bloch, 2000, cited in Rogerson, 2010:321). According to Rogerson (2010:321), the DTI represents a more interventionist approach towards LED activity, as exemplified by DTI activities more geared to supporting priority economic sectors and the development of local industrial policies. Patterson (2008:4) contends that DPLG and DTI approaches are "based on conflicting paradigms and were pulling in diverse directions". While the DPLG tilts towards the focus on social intervention as it relates to poverty alleviation

within poor communities, the DTI is more inclined towards engagement with global economic forces through means to enhance competitive advantage (Patterson 2008:4).

Tomlinson (2003:49) maintains that LED is poorly understood, and the divergence of observations held by DTI and DPLG translated into a myopic understanding LED. This ambiguity caused duplication of roles and responsibilities. As a result, the argument of Taylor (2003:298), is more of a consolatory kind advocates for partnership as an ideal endeavour for the successful implementation of LED initiatives whereby key partnerships are forged with key role-players. This should flow down from the national sphere to the respective roles of sub-national government, South Africa's provinces, the district municipalities, metros, and local municipalities. Remarkably, to enhance the efficacy of such advocated partnership, the role and responsibility of the key players should be defined.

### **3.4 LOCAL ECONOMIC DEVELOPMENT AT A PROVINCIAL LEVEL**

The 2005 LED policy guidelines set forth key roles and responsibilities for the provinces and local government. The roles and responsibilities of the provincial government on matters of LED are as follows: (more discourse is provided later in the chapter):

- to establish LED fora to execute the national LED Forum's activities and set-up resolute LED units in the provincial government
- to coordinate and assume responsibilities for allocated resources from national to provincial government and ensuring that these are aligned with the priorities of Integrated Development Programmes (IDPs)
- to implement PGDS coherent with the national development plan
- to assist the municipalities in building their capacities to undertake and implement LED strategies

At a provincial level, the PGDS is widely regarded as a vehicle to guide the allocation of state resource, and investment by the private sector towards attaining prioritised development outcomes. Provided the PGDS, the province is to ensure that development spending and economic planning are aligned and occur within the realms of National

and Spatial Development Perspective (Phutiagae, 2014:149). There is a nexus between PGDS and the LED strategy within the province. The PGDS is a custodian of prioritised areas for growth and development within the province. The PDGS guides the policy and development planners involved in LED to locate prioritised areas for growth and development within the province and thus utilise it to enrich the contents to LED policies regarding localisation.

Koma (2014:56) discloses that the need for a synergy between the PGDS and LED policies are required to facilitate, amongst other things, the IDP between the provincial and local sphere of government, with due cognisance of the districts growth and development strategies and to ensure that the objectives of intergovernmental relations are achieved. Koma (2014:55) further laments on the weak synergy existing between LED strategies and the various national development policies, such as the national development plan, the national spatial perspectives, the national growth and development strategies established in the LED policy. Following this background, Koma (2014:55) decries the consequential failure to align these development policies and framework as it could jeopardise the realisation of development objectives relating to poverty alleviation, job creation and economic growth.

In the Western Cape, for instance, the DEDAT through the Regional and local economic development (RLED) sub-programme assumes the provincial institutional responsibility for defining and driving LED policy in the province. In the province, the work of the RLED sub-programme is supported by the province's strategic objectives of principally creating opportunities for economic growth and jobs, and to a lesser extent promote the development of vibrant and sustainable rural communities (DEDAT, 2011:25) as contained in the provincial strategic framework for RLED.

The RLED units pursue to achieve these objectives through the framework designed to promote more holistic and integrated efforts for RLED by improving business support, and sectoral development approaches to render business and community environments more conducive to economic development. As contained in the DEDAT (2011) document, the overarching guiding principles to this strategy hinges on promoting stakeholder participation and networking in optimising local opportunities to enhance

RLED through a market-driven approach. The key intervention areas for this strategy are:

- creating and promoting enabling business environment
- building government capacity
- strengthening local/regional private sector institutions
- building organisational and entrepreneurial capacity in poor communities
- strengthening RLED intermediary institutions

The RLED unit, through the Municipal Capacity Support Programme (MCSP), addresses these key interventions. The MCSP aimed to provide expertise, assistance and support to boost municipalities and other local actors' capacity to promote LED, to address challenges and facilitate the creation of an environment conducive to economic growth.

To enhance the capacity building process in the municipalities, in 2011 the RLED unit in the Western Cape DEDAT introduced a diagnostic tool for LED maturity assessment designed to assess the state of LED in the province's municipalities. The LED maturity assessment was a practical approach to assess the capacity and the ability of a local economic development system within a locality to deliver sustained employment and enterprise growth (Lawson, 2012). The outcomes of the assessment were to provide reliable data to the province that may enable the province to better orient her support and capacity building activities in municipalities (Hadingham, 2013:44). Given the complexity of concerns involved in providing supports and building capacity for LED within municipalities, the question is: Do the provincial government have the capacity to drive these interventions alone?

### **3.5 LOCAL ECONOMIC DEVELOPMENT AT DISTRICT LEVEL**

Since the wake of the millennium, new roles emerged for district municipalities in South Africa, as described in Section 83(3) of the Structures Act 1998 and municipality Structures Amendment Acts 2003. District municipalities were conferred with a developmental mandate. In this study, the mandate is articulated by clustering the

mandate into four major responsibilities: First, ensuring district-wide IDP; secondly, providing district-wide bulk services, thirdly, building the capacity of local municipalities, and lastly, fostering the equitable distribution of resources amongst local municipalities. There is a strong level of determination at the district level to establish LED structures, plan and coordinate LED strategies and projects. The district municipality must be able to identify the lead sector in the local economy, which could spur development at the local level and assist in finding the necessary supporting resources for LED (CLGF, 2015).

The district municipality was accorded managing, coordinating, implementing, and monitoring responsibilities of various capacity building within the district and across the local municipalities (Davis, 2006:9). Atkinson, et al. (2003:4) are of the view that the role of district Municipalities on matters of LED remains ambiguous and unresolved regarding which “tier” of sub-national government (district or local) should be the primary developmental tier, and where major policy decision is to be taken.

District Councils comprise two types of councillors: Councillors representing their local municipalities (“indirect representation”), and councillors elected directly by the citizenry, through proportional representation. This type of configuration may cause confused loyalty and political rivalries in the district council (Atkinson, et al., 2003:4) with the ultimate consequence of hampering the attainment of developmental objectives within the municipalities. As observed by Atkinson, et al. (2003) some local municipalities are frustrated with the concern that their representatives on the bench of the District Municipalities (DMs) do not articulate the local municipalities’ points of view. Atkinson, et al. (2003:4) contend that most of the DMs and local municipalities are “muddling through” their relationships, and this depends primarily on personal factors and the ability of district and local politicians to collaborate.

Atkinson, et al. (2003:6) articulate that district development and local municipalities’ development concerns were not demarcated. Districts and local municipalities should be involved in development concerns dynamically and flexibly, most importantly, on matters concerning the same function. Given the LED which may be established in both DMs and local municipalities’ IDPs, the district municipality can more efficiently exercise

certain LED functions. For example, concerns on attracting investment capital where the district must be marketed as an investment destination may be more effectively conducted at the district level. Poverty alleviation projects, which require the need to promote close interaction with indigent individuals or group of individuals, better situated at a local level.

### **3.6 LOCAL ECONOMIC DEVELOPMENT AT LOCAL MUNICIPALITY LEVEL**

The 2006 LED framework articulates a clear picture of the roles and responsibilities of local government on matters of LED (Rogerson, 2008; 2009). Three core roles are distinctively identified below:

- to provide leadership and direction in policymaking (cutting red tape, improving the business environment)
- to administer policy, programmes, and LED projects
- to be the main initiator of economic development through public spending, regulatory powers and promotion of industry, small business development, social enterprises, and cooperatives (DPLG, 2006)

Given the provisions of local government Municipal Systems Act (2000), the issue of an IDP features prominently amongst the diverse legislated LED key functions and responsibilities for local government. As a result, the IDP became a compulsory activity for local governments (Nel & Rogerson, 2005b), cited in Rogerson, 2011:150). This phenomenon, as maintained by scholars (Toerien, 2005; Rogerson, 2011) made South African local authorities to become the wardens of economic growth in their respective jurisdictions. The IDP process, comprising of LED components, is fundamental for the delivery of developmental tasks by the local government. Meyer-Stamer (2006) and Hofisi, et al. (2013) contest that its implementation could myopically portray LED as development activities relating mostly to infrastructure and buildings, than to other typical LED interventions of business networking or business development service programmes.

Policy and practice of LED significantly evolved in a post-apartheid era in South Africa. Several strategies were developed and implemented through diverse LED initiatives (Binns & Nel, 2002; Moyo, 2007). These strategies could be defined broadly in terms of market and social intervention approach whereby the private sector and the civil society need to play a prominent role and municipalities functioning as facilitators. As rightly buttressed by some scholars (Nel & Rogerson, 2005a; Kaiser & Smallwood, 2014) municipalities were applying a succession local initiative, some of pro-growth, while others are pro-poor. The extant literature of Nel (1999) contends that within South Africa, besides the focus of LED on attracting prestigious and strong businesses to many of the larger local authorities, central government involvement directed more attention to community economic development as a strategy for poverty alleviation, especially in small towns.

The results of such social intervention in the areas of job creation and economic growth were often judged as disappointing (Hindson, 2003). For most municipalities, LED initiatives were confined to micro-level projects, many of them survival projects, in the form of community development projects which mostly relied on external funding stimulus. These projects were established as mostly unsustainable once donor or public sector financing became untenable and had no real impact on reducing poverty (Cohen, 2010; DBSA, 2008; Koma & Kuye, 2014; Kamara, 2017; Rogerson, 2010). Other development scholars (Meyer-Stamer, 2003; Hindson & Vicente, 2005) buttressed that LED used to be conceptualised as part of a social policy and an affirmative action agenda commonly identified with small projects with no lasting impact on poverty reduction. The widespread failure of several LED projects cast doubt on the credibility of such LED approaches (Nel & Rogerson, 2003:8).

Meyer-Stamer (2003:9) critically contend that LED practices in South Africa fail to correctly discern the distinction between economic development (business promotion) and community development (employment creation, poverty alleviation). Sometimes these activities were mixed up, and as a result, it usually ends up achieving neither economic nor social objectives. This view is further galvanised by Hindson (2003, cited in Nel & Rogerson, 2003:8), that by focusing on poverty, though valid and justifiable, the

questions of economic growth are either left unanswered or side-lined. Nel, et al. (2007:44) maintain that both pro-poor and pro-growth LED approaches are critical, but it remains debatable whether a pro-growth investment necessarily leads to pro-poor developments and whether the two approaches can be separated.

Nel, et al. (2007:44) contend that while the poorer, rural areas need pro-poor interventions and support for micro-projects, then to ensure the continued economic growth of the city, applying more pro-growth interventions are also required. Imperatively, both approaches could be pursued in parallel to draw in investments to support further economic growth and development and to address the triple concerns of unemployment, poverty and inequalities in the country simultaneously. The preceding arguments, therefore present an opportunity to pursue a comprehensive development strategy with dual capabilities of promoting local economic growth and poverty reduction.

Development scholars (Meyer-Stamer, 2008; Moyo, 2007; Nel & Rogerson, 2005b) reported some few cases of successful LED initiatives in the country, especially in the larger and better-resourced municipalities. According to Meyer-Stamer (2003:15), some of South Africa's major cities achieved a prominent level of systemic competitiveness, when compared with other middle-income countries. It was maintained that the situation of LED in small towns as articulated in the literatures of (Rogerson & Visser, 2006; Van Staden & Marais, 2005) were not universally bleak but with several pockets of achievements recorded in building the competitiveness of small towns as tourist or retirement centres. There is a glimpse of hope for small-town municipalities, with inherent capabilities to take advantage of 'niche' markets in tourism increasingly at the lead of attracting private sector investment (Rogerson, 2011:164).

In a continued support to this argument, Rogerson (2011) therefore maintains that the continuous search for more productive and competitive cities paves the way for the emergence and proliferation of other notable and innovative LED pro-growth intervention, apparent in the practice of LED in South African cities. The emerging innovative LED pro-growth interventions are manifested in the initiatives designed to enhance institutional efficiency, improve the local business environment and diverse

features of place entrepreneurialism and the increasing need to develop a partnership with the private sector (Rogerson, 2006).

The outcomes of any innovative LED pro-growth initiatives depend on the extent of defining roles and responsibilities of the stakeholders and identifying how these roles and responsibilities are integrated, coordinated and performed by the stakeholders. The next section of the study articulates the diverse traditional roles and responsibilities of LED main stakeholders.

### **3.7 THE TRADITIONAL ROLE OF KEY LOCAL ECONOMIC DEVELOPMENT STAKEHOLDERS**

LED is widely regarded as ‘a sustained and collective efforts by local stakeholders to identify and harness local resources, advantages and opportunities to create sustainable employment and economic opportunities and improve the quality of life for all, especially those who are most disadvantaged’ (City of uMhlathuze, 2003:1, cited in Nel *et al.*, 2007:36). According to Rodríguez-Pose & Tijmstra (2009:44), LED emerges from and is driven by internal actors/stakeholders through the formation of a broad coalition of actors/stakeholders, including local stakeholders, global organisations and NGOs, with local stakeholders owning and taking the leading role in the process. Rodríguez-Pose & Tijmstra (2009:56) articulate the needs for LED to remain a locally owned territorial development approach comprising multi-stakeholder whose power and authority are equitably distributed, rather than an ‘inclusive local planning exercise’. According to Swinburn (2006:4), successful LED requires public (governmental), private (business) and non-governmental (NGOs, trade unions, financial, cultural, religious) collaborative efforts.

There is a pressing need for coordination of roles and closer cooperation between all LED stakeholders to avoid duplication of tasks and to establish complementary roles for various stakeholders (Rogerson, 2010:483). Studies revealed that beyond a sharper definition of roles and responsibilities of stakeholders, strategic integration remains another essential challenge for progressing with LED (DBSA, 2008; Sibisi (2009).

### 3.7.1 Roles of the state (National)

The theory and practice of LED connect the central and sub-national governments to interact with private and civil societies. In the global north and south, the pivotal roles of the state in LED are manifested through the provision of enabling policy and legal framework and making available public sector resources to initiate and implement development initiatives. In the South African context, the state operates through the three spheres of governance (national, provincial and local government) where several jurisdictional dimensions in matters of development are constitutionally defined through relevant legislative instruments. The government established and mandated certain specialised parastatal agencies to promote LED.

Van Der Waldt (2015:20) articulates that the national government has the statutory responsibility to establish a broad national framework for development, including policies and sectoral programmes. Provided the DPLG (now CoGTA)'s (2005) policy guidelines, the role of national government in LED is described as that of coordinator of public policies and investment programmes (DPLG, 2005a; 2005b). The 2006 LED policy provisions outlined the national government's role in assisting and creating the conditions for the emergence and growth of local action (DPLG, 2006). Patterson (2008:16) states that the DLG plays a role in mobilising resources, local players, and stakeholders to achieve economic growth, create jobs and to reduce poverty through such interventions.

Beyond the activities of CoGTA, there is an increasing interventionist role of the DTI and the Department of Small Business Development (DSBD). The DTI pursues to support priority economic sectors through its local industrial policies by influencing LED in South Africa in a variety of ways through its responsibilities for spatial development initiatives, tax holidays, cluster initiatives (Bloch, 2000, cited in Rogerson, 2010:321). The DSBD accelerates SMME growth and development in South African local economy through the Small Enterprise Development Agency (Seda). Various strategies and programmes were established, such as the National Informal Business Upliftment Strategy (NIBUS), Enterprise Incubation Programme (EIP), Seda Technology Programme, Cooperative Incentive Scheme (CIS).

The Seda Technology Programme was created to manage diverse business incubators, facilitate technology transfer and quality intervention. The objective of the scheme is to improve the viability and competitiveness of cooperative enterprises by lowering the cost of doing business through an incentive that supports broad-based economic empowerment. The objective of the programme is to support the establishment and growth of existing incubators, whereby incubators are incentivised to nurture small enterprises and cooperatives to gain competitive technical and business developments skills (DSBD, 2016). The DSBD through the NIBUS pursue to uplift informal businesses and render support to local chambers/business associations and municipal LED offices to deliver and facilitate access to upliftment programme.

The signed memorandum of understanding between the two national departments of CoGTA and DSBD at the recently concluded national LED conference 2017, is a step into the right direction for the two departments to pull resources together to harness their catalytic roles in promoting territorial development through small enterprise development. Table 3.2: Roles of the national government in local economic development indicates the descriptive roles and responsibilities of the national government in LED matters.

**Table 3.2: Roles of the national government in local economic development**

Roles	Description of roles
National development and LED policy and legal framework	<p>Enabling development policy and framework</p> <p>National Development policies such as the National development plan (NDP); National growth Path (NGP); Industrial Programme Action Plans (IPAPs); Comprehensive Rural Development Programme (CRDP); Integrated Regional Economic Development Strategy (IREDS) and LED framework</p>

Roles	Description of roles
Capacity building and support	Training: establish fora and processes assisting local government. First-hand assistance to provincial and local governments in identified situations, assisting in LED capacity building processes
Resources allocation	Management of the LED Fund
Monitoring and evaluation	Facilitating, coordinating, and monitoring of LED programmes

Adapted from Department of Provincial and local government (DPLG, 2005a; 2005b) and Department of Cooperative governance (Department of CoGTA, 2009b; 2010a)

### **3.7.2 Roles of the provincial government in local economic development**

The provincial as a sub-national government facilitates, monitor, and guides the implementation of sectoral LED programmes within the province based on the dimensional framework of the national development priorities. The provincial government provides guidance and coordinate the development trajectories across various sectors of the economy within the province as exhibited in the national and provincial development plans, and the municipal IDPs. The provincial government prepares and continually update the PGDS as informed by the national development priorities. Beyond the provincial government statutory role of providing the enabling provincial framework for LED, the provincial government is also reposed with the responsibilities of allocating resources from national to provincial government and ensuring that funding mechanism are correlated with the priorities and realities of the localities within the province as contained in their respective IDPs.

Capacity constraints were widely maintained as a significant concern which hinders the adequate performance of municipalities in LED. The provincial government was accorded the responsibility of supporting municipalities to this regard to address this

challenge, through capacity building initiatives, such as skills training, establishing problem-solving fora (social capital) and processes that can assist local municipalities.

Lastly, the provincial government is statutorily conferred with the responsibilities to oversee and ensure the adequate performance by municipalities of their functions on matters of LED. As articulated by Van Der Walddt (2015:20) “the Provincial government is also responsible for municipal oversight and support and may intervene in the affairs of a municipality if it cannot adhere to its constitutional mandate or cannot or does not fulfil an executive obligation concerning legislation”. Table 3.3 below depicts the roles of provincial government in LED.

**Table 3.3: Roles of the provincial government in local economic development**

<b>Roles</b>	<b>Description of roles</b>
LED policy and framework	Prepares and continually update the PGDSs. Guide, and coordinate, provincial and national sector plans and municipal IDPs and sector plans
Capacity building and support	Training: establish fora and processes assisting local government
Resources allocation	Funding mechanisms were matching to the specific realities and needs of the locality within the province. Allocate resources from national to provincial government and ensuring that these are correlated with the priorities of the various IDPs
Monitoring and evaluation	To ensure the effective performance by municipalities of their functions

Adapted from (DPLG, 2004:21-24)

### **3.7.3 Roles of local government in local economic development**

Local government operationalises national and provincial development initiatives in conjunction with various non-governmental agencies and the private sector at the grass-

root level. Since the local government is the closest arm of government to the individuals and interacts daily with community, specific emphasis is placed on its developmental and service delivery role (Van Der Walddt, 2015:20). The NDP is cascaded top-down through the PGDS to the municipalities. IDP municipalities, in turn, are required to align their IDP with provincial growth and development plans.

The IDP is conceptualised as a catalytic tool designed to assist municipalities to achieve their development mandates. LED as one of the dimensions within the IDP. Local municipalities are statutorily required to plan and pursue LED activities *as a non-negotiable tool*. LED is an essential part of the developmental mission of local government, linked to the overall approach to planning and public investment (DPLG, 2000). As contained in the Local Government Turnaround Strategy (LGTAS), the local authorities are required to determine, formulate, and implement IDP (Department of CoGTA, 2009a; 2009b; 2017a; 2017b). It becomes clear that municipalities must be the local coordinating and facilitating agents for the implementation of the LED initiatives, in close collaboration with the private sector and community interests. Therefore, a municipality may enter a joint venture with the private sector or an NGO.

Sekhampu (2010:46) contends, to successfully bridge the historical divergences, municipalities must become more development-oriented and be concerned with the upliftment of the local community. In performing their developmental roles, the municipalities are required to stimulate and facilitate economic activities in their locality through various strategies aimed at streamlining development priorities, creating a business enabling environment to stimulate business creation, survival and growth.

Given the B2B campaign, about one third of municipalities were categorised as dysfunctional, meaning that they are a long way of getting the basics right and need significant intervention and support from higher level of government (Department of CoGTA, 2014a; Eglin & Ngamlana, 2015). The Back-to-Basics programme was launched in 2014 aimed at improving the performance of local municipalities to better serve the communities by getting the basics right in five priority areas, namely: basic services to create decent living conditions; good governance; public participation; financial management; and institutional capacity. For performance monitoring and

reporting, performance indicators were assigned to each priority (Financial and Fiscal Commission, 2019).

Provided the specificity of B2B the department, provinces and other stakeholders have rendered huge financial and non-financial supports to get all the municipalities to respond to the expected levels (Mogale, 2018; Mashaba, 2018). Stemming from minister Mkhize's (2019) oral response to national assembly as part of the governance cluster, a lot of work is being done in various municipalities to ensure turnaround. Amid these strategies are municipal recovery plans aimed at improving governance and administration and financial management; capacity building of councillor to equip them for their oversight roles. Despite these interventions, several municipalities across the country are still underperforming (Fiscal and Financial commission, 2018; National Treasury, 2019).

Minister Dlamini Zuma expressed concern regarding these municipalities which has not responded positively to address areas of challenges raised by the Auditor General's report in 2018. The minister maintained that failure of office bearers, senior management and officials to develop, implement and monitor effective system and processes of internal control, including corrective measures is a major factor contributing to this decline (Department of CoGTA, 2019). The minister maintained that processes are underway as part of the department priority to stabilised distressed municipalities and build ethical and sound municipalities through the district-based approach aimed at enhancing the capacities of municipalities to improve service delivery.

The District Development Model (DDM) enjoins all three spheres of government to coordinate and integrate development plans and budget, mobilise capacity and resources of government and civil society, including business, and community, in pursuit of increased growth and job creation (Department of CoGTA, 2020). On 5 September 2020, the Minister of Cooperative Governance and Traditional Affairs (CoGTA), Dr Nkosazana Dlamini Zuma launched the Waterberg District Development Model (DDM) Hub as one of the pilot spaces introduced for shared services capacity, aimed at achieving the goal of building a capable, ethical and developmental state characterised

by service delivery to communities. The analytical question to be asked is: Can the nascent DDM take the dysfunctional municipalities to the *promised land*?

For LED to succeed, it must require the involvement of local authority, community and business actors in the economic and social development of their territories (Sekhampu, 2010:46). Their roles and responsibilities must be defined. The various roles of local authorities in LED is presented in Table 3.4: Roles of local authorities in local economic development.

**Table 3.4: Roles of local authorities in local economic development**

Roles	Description of roles
Coordinator	Coordination and alignment of IDP, Spatial Development Plans and LED Strategies; Ensuring that all departments within the municipality engage in the implementation of the Programme
Facilitator	Initiates and operationalises strategies to improves the investment environment in the area: Streamlining development or improving planning procedures and zoning regulations
Stimulator	Strategies to stimulate business creation, survival and growth, such as the provision of premises at low rentals to small, medium and micro enterprises (SMMEs): Compile brochures on local investment opportunities or promote a sector or activity in a key venue
Entrepreneur	Exercising innovative entrepreneurial role of taking the full responsibility of operating a business venture; Entering into a joint venture partnership with the private sector or an NGO

Adapted from (DPLG, 2003:3, cited in Sekhampu (2010:47)

### **3.7.4 Roles of statutory and parastatal bodies in local economic development**

Additional, prominent role-players in LED worthy of being mentioned in this context, are the local government sector for education and training authority (LGSETA); The Salga; Development Bank of Southern Africa (DBSA); Industrial Development Corporation (IDC) and other development agencies such as the Department for International Development (DFID); the European Union (EU); the Ministry of Foreign Affairs of Denmark - Danish International Development Agency (Danida); the Swedish International Development Cooperation Agency (Sida); the German Agency for Technical Cooperation (GTZ) and the United States Agency for International Development (USAID).

The LGSETA, previously known as the Local Government Education and Training Board (LGETB), is responsible for administering the skill levy paid by the local government. The fund is managed and disbursed to the contributing municipalities. Funding is in the form of grants for skill training within the municipalities. The national LGSETA have a provincial structure performing any task delegated to them by the national Seta concerning its constitution. These provincial structures assist municipalities in assessing their training needs and support municipalities to procure the necessary training to address the identified needs.

Salga is another key stakeholder outside the government, playing a tremendous role in LED. It is an autonomous legislated body constitutionally mandated to represent the interests of local government in South Africa (Cohen, 2010). This mandate defines Salga as the voice and sole representative of the local government (Salga, 2012a; 2012b). Since the release of the Salga LED Position Paper in 2009/10, Salga broadened (Salga, 2010) its role beyond limited lobbying and advocacy in observing that LED works within local government. While focusing on the municipal LED mandate and employment creation expectations, the Salga approach pursues to focus on both the direct and indirect development opportunities for local government as manifested in the organisation's endeavour to strengthen LED capacity in municipalities through the support of the South African LED Network (Salga, 2012b).

According to Sebola (2014:635), the training system used to upskill within the municipal was often labelled inefficient and unresponsive to the training needs of local government. The capacity-building role of Salga becomes highly imperative to address the inefficiency and the mismatch in training needs within the municipality. It becomes clear that Salga carries a major mandate of evolving efficient and effective human capital within the municipalities.

A key strategic partner in LED is the DBSA. The bank orients its mandate towards the acceleration of socio-economic development through the financing of physical, social, and economic infrastructure (DBSA, 2008). Concerning LED, the DBSA assumes a pivotal role in providing funds to support an integrative approach that deals with what is considered as critical capability gaps for the development of LED strategies (Rogerson, 2010:321). The development bank assumes multiple roles as financier, adviser, partner, implementer, and integrator to mobilise finance and expertise for development projects (DBSA, 2008:7).

The mandate of the IDC as a key implementing agent of government policies (NDP; IPAP and NGP), is to drive industrial developments by funding development projects in accordance with relevant legislation and government policy (IDC, 2018:17). IDC funding also influences certain socio-economic development through its participation in relevant forums and platforms to contribute towards achieving South Africa's Sustainable Development Goals. For socio-economic concerns, some of the IDC key performance indicators are expected direct jobs created/saved and value of funding to black industrialists (IDC, 2018:36). Stemming from the outcomes of IDC, it aims to transform community through increased development in poorer areas and higher integration of regional economies.

Provided the IDC (2018:9) report concerning its development outcomes over a period of 5 years, between 2014 and 2018, IDC has disbursed R60bn of funding to development projects. During the same period under review, about 32833 jobs have been created/saved in developing rural areas. Nel (2017) emphasises some challenges of IDC since 2004, when the agency concept was launched. The IDC experienced challenges, hampering its operations, such as: A lack of appropriate skills to manage

an agency; political buy-in; concerns of public participation processes (communication, community participation in economic projects) and monitoring and evaluation. As contained in IDC (2018) integrated report, certain risk elements were identified in IDC operations. The risk of not having adequate or appropriately skilled human capital for IDC strategy; financial viability of its subsidiary and their ability to deliver effectively, and insufficient stakeholder collaboration.

Lastly, some other well-meaning global donors played valuable roles in the institutional LED landscape of South Africa, such as the EU, the World Bank, GTZ and DFID (Patterson, 2008). As observed by Marais (2010), the EU LED support programme operates in Eastern Cape, KwaZulu-Natal, and Limpopo, providing financial and technical support to local government and the private sector on LED matters. The GTZ strengthening local governance programme's component provides financial, technical, and institutional support to the national government. Through partners, it empowers local and DMs to commence LED processes and assume local and regional economic opportunities (Rücker & Trah, 2007; Trah, 2005).

### **3.7.5 Roles of the private sector in Local Economic Development**

In contemporary development theory and practice, there is a broad consensus that a dynamic private sector plays a catalytic role in an inclusive economic development process of a locality. Contextually in this study, the private sector includes all entities driven by profit to performs business activities that can provide returns on their investment. According to Wekwete (2014:23), the private sector became lead players in LED as they are most directly involved in the deployment of resources for LED (capital, technology and human capital). Their actions are influenced by the incentive provided by the state, enabling them to take advantage of specific resources established within the locality.

The private sector (particularly the finance houses) provides the necessary key resources for LED for both the rural and urban economies through supporting existing businesses, targeting new investment support to various development sectors in the local economy. As a locomotive for investment, innovation, and growth, it offers an

effective way to create employment opportunities and build human capital capable of taking advantage of the provided opportunities to improve their well-being. It can be maintained that personal business with the shared value for the business and the society can create entrepreneurial opportunities, contribute to technology transfer and to develop local industries. A contestation exists on which type or segment of the private sector is best suited for all-encompassing development and which government policies are required to develop such private sector (CLGF, 2015).

### **3.7.6 Roles of the civil society organisation in Local Economic Development**

Drawing from the neoliberal perspective of civil society, which owes much to Alexis de Tocqueville's (1805-1859) emphasis on associationism and the 'neoliberal idea of minimisation of state' (Ncube, 2010:67), civil society is conceptualised as all forms of organisational group neither controlled by the state nor by the impulses of the market but driven by the neoliberal ideology of facilitating the operations of the state and the market to ensure that both are accountable and responsive to the societal needs of the people (Kaldor 2003; Ncube, 2010).

The widespread discontent with the performance of the public sector (Healey, 2012; Ghaus-Pasha, 2005) in system management and responsiveness to major socio-economic concerns within municipalities, increasingly proliferate the interest, demand and opportunities for civil society intervention in public matters. Notably, civil society is rendering a prominent role as a strategic participant in the development process. According to Gyimah-Boadi, (2006:3), civil society functions as a self-help entity, developing an alternative way of facilitating economic development and creating public value through development initiatives in the locality. It maintains that the civil society participates in development through community-focused initiatives, developed from the sphere of civil society (civil society initiatives), rather than the state or the private sector. Incentives from both the state and the private sector may be required to kick start and sustain such initiatives.

Civil society in an emerging market economy are typically of a small-scale (Ghaus-Pasha, 2005). Their development initiatives are initiated by and undertaken by the

citizens, and residents, aimed at improving the living condition of the individuals. The initiatives may range from a small initiative of running a fete/festival or sports events, local activism, looking after parks and playground, neighbourhood watch, managing a community business centre to running several commercial and residential units, undertaking project of regenerating community centre, and delivering houses. The initiative begins as a project and metamorphosed into a level where it can play a wider role in LED. Drawing from the report prepared by Chitiga-Mabugu, et al. (2013:43) on the activities of Civil Society Organisation (CSO) participation on income-generating activities in South Africa, it maintains that CSOs find it challenging to identify sustainable projects that can make them gain the trust of communities. The logical question is: What renders the CSO desirable for LED?

Discourses relating to the desirability of community-based civil society initiatives were widely presented by various scholars (Connelly, 2011; Davoudi & Cowie, 2013; Healey, 2012; Wagenaar & Van der Heijden, 2015;) in public management and multidisciplinary studies. The strategic position and proximity of the civil society organisations to the community with CSO serving to increase their credibility, legitimacy, and assurance within the communities. They can count on the work of CSO to improve their well-being. Wagenaar & Van der Heijden (2015:126) maintain that practical and creative experience of CSOs assists in finding innovative solutions to long-standing problems to produce social goods democratically.

Through the process of conscientisation, mobilisation and representation, the civil society assists in empowering the underprivileged and vulnerable citizens by having their demands and knowledge represented, improving their capacity to understand their context and can impact on decisions that affect their well-being. The civil society assists to echo the unheard voice of a locality to mainstream formal government. Healey (2012) maintains that civil society may instil a sense of mutual cohabitation amongst community members for addressing community issues of public concerns. In establishing some desirability of civil society for LED, it is pertinent to understand the specific factors, which can promote the development and sustainability of civil society initiatives.

For Commonwealth foundation (2015) amongst the fundamental driving forces, assisting in creating and sustaining the growth of civil society are shared commitment and competency of the citizenry to make sensible decisions through rational deliberation. Given its existence, as non-profit making organisations, they rely on voluntary goodwill commitments of volunteers to perform its activities. A variety of skills is required to drive CSO, such as community knowledge, project management, fund-raising experience, financial management understanding, business management, civil society management, political experience, environmental concern, public relations, facility management. Emphasis is on the importance of some other skills requirement, such as policy paper writing and public advocacy, required for those participating in the decision-making process at local/or national level.

The activities of civil society should be characterised by creative and innovative approaches with developmental focus, and value-driven to address the socio-economic concerns within the community. The adequate capacity to perform their roles effectively is a strong prerequisite for the success of any civil society initiatives. Therefore, continuous local knowledge development is required to build an adaptive organisational capacity for civil society to understand the local dynamics is an added stimulus that could propel civil society to success.

The power of the civil society can be strengthened by the creation of a culture of 'community of practice' (Wenger, 1999) where volunteers with diverse background are signed up to contribute their time voluntarily. The power of the civil society emerges from the cluster of individuals and small resources, through which an initial focus and community commitment grows, propelled by a shared belief to create public social value in a sustainable, transparent and accountable way.

The emergence and sustainability of CSO has its challenges, hampering its operations. Some of the constraints are discussed in this section. A major implementation challenge of CSO is funding. As revealed in the study of Nhlapo (2012:164), this challenge is exacerbated by the delay processes on the part of the government to disburse fund to CSO. Although there may be some other plans and strategies open to CSO to raise fund, such as relying on foreign aid most often, Ncube (2010:100) maintains the

problematic nature of donor-driven development projects is not only short-lived but often fail to meet the real needs of the community. They often lack the populace's participation and insights but are based on the interest of the donors.

Another major challenge encountered by CSOs is managerial mistakes that could cost financial and reputation loss. This brings into view the dire need to strengthen the managerial and administrative capacity of CSO. As earlier mentioned, continuous local capacity development to build adaptive organisational capacity is acknowledged as pivotal to the operative development and empowerment of the indigent (Nhlapo (2012:164). Failure to unite against societal challenges either through uncoordinated efforts or lose collective commitment to community can hinder the performance of CSO. Although in their naturalistic state, CSO is non-partisan, exhibiting some partisan behaviour, becoming polarised and fragmented along political and ideological lines, causing them to lose their pro-poor focus (Magaisa, 2009).

The context of formal government where the CSO operates could pose a challenge to its success. Unfavourable political context or problematic policy processes constrain the activities of CSO. CSO activities hardly drive favourably in situations where there is little or no political freedoms; a lack of transparency in policymaking processes; a lack of access to information and failure to provide space for CSO contributions on specific policy concerns (Fioramonti & Heinrich, 2007).

### **3.8 CHAPTER SUMMARY**

The chapter conceptualises LED by presenting and discussing some extant and contemporary views, thoughts and findings of development scholars on the emergence and proliferation of the theory and practice of LED from the global north to the global south, and through the national level and provincial to the municipalities in South Africa. The chapter commences with a brief introduction and definitions of LED. It also presents the traditional roles of key LED stakeholders (state, private and civil sector). Following these backgrounds, the focus of the next chapter is to conceptualised cooperative governance for LED.

## **CHAPTER 4: CONCEPTUALISING COOPERATIVE GOVERNANCE FOR LOCAL ECONOMIC DEVELOPMENT**

### **4.1 INTRODUCTION**

This chapter entails the conceptual framework of the study as it pertains to cooperative governance for LED. The study presents a detailed review of the ideas on collaborative governance established in the literature and connects it to the literature on cooperative governance. Several studies are reported in the study, serving as a source of guidelines and recommendation for designing and implementing successful cooperative governance. Although these recommendations and guidelines are developed in other contexts, the analysis of these scholarships suggests that these guidelines and recommendation can be applied to cooperative governance for LED as it provides insight into the pathway that leads to successful collaboration.

One of the overarching arguments underpinning the study was that for the municipalities to succeed in establishing themselves as developmental local government structures, capable of responding to the socio-economic concerns within the municipalities, there's the need to promote inclusive development strategies, where the representation and participation of all relevant stakeholders provides a viable and complementary alternative to the traditional bureaucratic governance mechanism. Imperatively, the need for the government, private, and civil sectors to collaborate towards efficient local governance becomes apparent.

This chapter also features some propositions in antecedent literature on the concept, design, and assessment of cooperative governance for LED. These amongst other things include: The nature and contemporary role of the diverse stakeholders, specifically, the state, private and civil sectors in collaboration; determinants of effective cooperative governance and the various challenges of cooperative governance for LED. Lastly, the chapter concludes optimistically on cooperative governance as a catalytic tool to transform local governance towards efficient system management and initiative-taking response to socio-economic concerns within the municipalities.

## 4.2 THE CONCEPT OF COOPERATIVE GOVERNANCE FOR LOCAL ECONOMIC DEVELOPMENT

No single definition exists of the concept of “Cooperative governance”. It was conceptualised in many ways but with communal connotation. Drawing from the notion of the World Bank (2014: v), it was conceptualised as multi-stakeholders’ initiative and practice, combining diverse actors indicating, public, private and civil society to address matters of mutual concern for better and sustainable outcomes. Fundamentally, the key stakeholders are brought together with the hopes of facilitating cooperation and exchange while meaningfully bargaining over concerns of shared ideas and values.

Cloete et al. (2014:276) articulate that “in South Africa as an emerging and liberal democracy, cooperative governance became a paramount catalytic tool used in fostering cooperation not only between the spheres of government but also between the state, private sectors and civil society in development and evaluation”. Cooperative governance can also be conceptualised as the relationships in government, and as the relationships between government, private sector, and civil society. Cooperative governance is hinged on two terms, namely, cooperation and governance.

Cooperation as synthesised by Smith, et al. (1995:10) from various definitions of cooperation scholars “as the process by which individuals, groups and organisations partner for shared gains or benefits.” Given the above-mentioned definition, it is maintained that the principal objective of cooperative governance is to engender the spirit of cooperation based on mutual trust and understanding. For Tan & Selvarani (2008) the overarching structures of cooperative governance is rooted in the notion of self-reliance and cooperation where the actors in the system have the same right, duties and responsibilities and agree to manage the system together.

Put simply, the type of cooperation which promotes the sharing of goals and objectives towards the sharing of information, joint planning and budgeting and cooperation on matters of policy development and implementation (Levy & Tapscott, 2001; Department of CoGTA, 2009b; 2010b). Provided the constitutional provision of South Africa, it becomes statutory obligatory for municipalities to promote the active participation of

communities in matters of development within their municipalities. Imperatively, this provision, pursue to confer on non-state (private sectors) the real responsibility for policy outcomes.

Governance is conceptualised as “the totality of interactions where government, other public bodies, and civil society participate, to solve societal challenges or to create societal opportunities” (Meuleman, 2008: vii). A more encompassing definition is furnished by Olowu & Sako (2002:37), cited in Cloete & De Coning (2011:66) which describe governance as a system of values, policies, institutions by which a society manages its economic, political and social affairs through interactions within and amongst the state, civil society and private sector. Governance studies describe the management of the structures, processes and stakeholders involved in addressing collective societal concerns (Pierre & Peters, 2000; Kjaer, 2004). It could be deduced that the state and non-state are encouraged to engage in addressing societal concerns collectively and assume responsibility for their conduct.

Cloete & De Coning (2011:66-67) mirrored the concept of governance from two lenses, specifying, the state and the civil society perspectives. Governance from a state-centred perspective concerns with the state, the role of the state and the relationship between the state and the civil society (Cloete, et al., 2014:300). Provided the societal-centred perspectives, governance could be observed as the role of civil society, concerning how it can be mobilised, structured and the relationship between civil society and the state. The supporting factor emanating from both perspectives is the question of how to enhance the roles and nature of both actors in governance regime to be more efficient in achieving desired outcomes.

Government repeatedly invoked partnerships with non-government stakeholders as desirable and as an ideal solution to overcoming the state’s capacity constraints (DPLG, 2009). This study emphasised that the concern of capacity constraint was always labelled as a contributing factor for poor service delivery in municipalities. Though the government endeavoured to strengthened citizen participation by developing a framework to that effect (Partnerships), much support is still needed to realise the envisioned form of cooperation (Cloete et al., 2014:276). Provided this background, the

critical and analytical question is about how to effectively design and assess partnership framework which can be more resilient and capable of enhancing the responsiveness and system management of major socio-economic concerns within the municipalities. The answer to this puzzle would become known in the latter part of the study.

The complexities of contemporary development concerns increasingly beacon for a paradigm shift in the inclusivity development management strategy towards the perspective of good governance. Cloete & De Coning (2011:66) emphasise the fundamentality of good governance concerning its ability to achieve appropriate development policy objectives aimed at sustainably developing its society. It can be maintained that the process of good governance encompasses the mobilisation, application, and coordination of the available resources of the state and non-state towards achieving collective, societal goals and objectives. Analogously, Ngamlana & Mathoho (2013:30) attempted to reconnoitre good governance from the resource's theory view.

Ngamlana & Mathoho (2013:30) qualify good governance concerning how efficient resources are allocated and managed, directed by accountable leadership and executed by a dedicated cadre of professionals in a way that responds to common problems and capable of improving the quality of human life. Provided this background, the study deemed it pertinent at this point to ask: What is the nature and role of the state and non-state (private sector and the civil society) in the promotion of good governance aimed at achieving development policies and objectives within municipalities? The study anticipated to establish these realities.

#### **4.2.1 The contemporary role of the state, private and civil sector in cooperative governance for local economic development**

Until recently, the state, private sectors functioning in the local governance arena, often observed each other with “antagonism, confrontation and suspicion”. Their various approaches to local governance were fragmented and uncoordinated, resulting in duplications of roles and responsibilities. These tensions are supplanted by increasing rapprochement and positive encouragement for state and non-state

cooperation/collaboration in the development of the local economy. An essential requirement for the efficacy of collaboration/cooperative governance regime is the extent to which the role and responsibilities of the various stakeholders are defined (Truex & Søreide, 2010). The question brings into view: To design an effective cooperative governance framework for LED, what could be perceived as the unique roles and responsibilities of the government, private sector and civil society?

#### **4.2.1.1 *The state***

The state is the custodian of the rule of law and the initiator of political, economic, and social actions, constituting the essential elements employed towards sustainable development (Truex & Søreide, 2010). For Pierre & Stoker (2000 as cited in Penny, 2017:1354), the state has a role to play in developing and sustaining consensus by setting a shared vision, maintaining relationships with and between stakeholders, and regulating the network's activities to achieve commonly agreed outcomes. From Pierre & Stoker (2000), the state bears an important responsibility in enabling collaboration to develop and flourish. This could be through the provisions of enabling legal policy framework and leadership whereby the government takes the responsibility of providing guidelines, initiating and steering the governance, especially in such an environment profoundly characterised by prevalent power imbalance amongst the stakeholders.

As correctly maintained by Meadowcroft (2007:308) government are the only institutions with a general mandate in a democratic system to promote the public good with clear lines of responsiveness and accountability to the public. The major concern of the government in this context is to enhance the chances of the system success in the desired direction by enabling those contextual factors and forces (political, legal, and administrative) within the society, promoting a sustainable orientation towards development (Meadowcroft, 2007:309).

#### **4.2.1.2 *The private sector***

The motives of private sector involvement in matters of local development were clouded with scepticism even when the efforts hold huge developmental public benefits. Private firms are often assumed to be solely seeking future profits and markets through

partnerships, or seeking control over the development agendas of other organisations, or to be using donations to claim tax deductions for financial reasons (Reich, 2002; Devan, 2005). The strength of these assumptions reflects a cultural divergence between the private, civil, and public sectors, and real problems that require serious ethical considerations. Private firms are primarily profit-pursuing organisations; the question is how to design a cooperative governance framework which promotes meaningful participation of the private sector in socio-economic concerns within their municipalities.

#### **4.2.1.3 *The civil society***

According to Weiss, et al. (2013:13), governments alone cannot provide solutions to all societal challenges. The inclusion of civil society in the governance of development management becomes imperative as they pursue to play the active roles of shaping norms, laws, policies and tends to challenge traditional notions of representation, accountability, and legitimacy (Weiss, et al., 2013:13).

Civil society increasingly plays a prominent role in the political and socio-economic concerns at a global and local level. The inclusions of civil society in a collaborative platform, amongst other things, assists to boost initiatives core values and broadens informational framework for decision-making and improve quality, authority and legitimacy of policy choice (Araki, et al., 2012:20). According to Truex & Søreide (2010), CSOs have an interest in reducing government malfeasance, and they contribute to broader societal legitimacy and an institutionalised link between citizens and the state.

A key concern to be addressed is the empowerment of civil society to participate in the governance system and the extent to which their participation becomes a reality. Good governance is challenging to achieve without the active participation of its multi-stakeholders, ensuring that government programmes respond to the will and needs of the individuals while remaining channelled towards public interest (Orr, 2002:141).

#### **4.2.2 Collaborative governance approaches**

As Clarke (2017) maintains, a careful review of the nature and roles of the state and non-state (private and civil society) in collaborative governance theory and practice

encompass two key models, the government-centred model and the societal-centred model (Clarke, 2017; Kamara, 2017). The contextual limitations of both approaches in improving the system management and proactive response to socio-economic concerns within the municipalities occasioned the emergence of another type of approach, indicating the hybrid-powered approach (Kamara, 2017).

#### **4.2.2.1 State-centred approach**

In state-centric models, public managers play pivotal roles in initiating, negotiating, and funding collaborative arrangements. The power and authority to communicate, reach consensus, identify disputes, establish rules, and devote state powers, powers and services to communal action is provided to the public managers. In attempting to fully comprehend the dynamics and effectiveness of state-centred collaborative approach regarding its ability to enhance the system management of development policies and implementation at a local level, the following analytical questions were deemed pertinent to be asked:

To what degree do processes of state-centred models encourage democratic accountability, deliberative capacity, or inclusive stakeholders' involvement? How do these mechanisms influence role-players/stakeholders' observation of the government's authority and policy? To what degree do role-players/stakeholders have equal representation concerning participation, control, and authority over the entire process?

The answers to these questions are not implausible. It was maintained that such processes vary in several significant ways, concerning public participation, fostering meaningful dialogue and promoting engagement with tangible results (Fung & Wright, 2001; Torres, 2003; Williamson & Fung, 2004; Bingham, et al., 2005). According to Coglianese, et al. (2009), agencies pursue public input through the informal legislative notification and comment process, rather than through democratic deliberation. It can be maintained that the policies of the government are seriously questioned under the state-centred structure.

The inclusive, participatory process in South African municipalities, comprising the ward councillors, ward committee and the community development workers (CDWs) were widely criticised. As Piper & Deacon (2008:45) state, “representation to the committee membership tends to be skewed and non-inclusive with members of one political party dominating the membership of ward committee”. The empirical study by Mokoena & Moeti (2017) to assess the ward committee system in “Greater Kokstad municipality” reveals the following difficulties. Political interference, delays in accessing vital information required for them to support their communities and ward committee members unsure about their responsibilities and their roles in the committee. According to Mokoena & Moeti (2017:3), the community development worker’s programme was developed by CoGTA for the municipalities without a policy direction. The programme is observed with suspicion and a lack of trust from the community. The roles and responsibilities of the CDWs are misunderstood by the local municipality and the communities, often resulting in conflicts and tension (Gray & Mubangizi, 2010; Tshishonga & Mafema, 2010).

Considering the wide-ranging and potentially contradictory roles of the government, as Yamak & Sürer (2005) maintained, there is the potential for considerable ethical and practical concerns that could weaken the government's position as a stakeholder in a collective effort. It was maintained that the political and institutional context within which state-led cooperation operates presents as many difficulties as privileges (Kamara, 2017:106). These include, amongst other things, capacity and capability constraints, policy divergences and priorities, and fiscal uncertainty. Clarke (2017) contests that public officials work within a framework of overlapping jurisdictions where control is shared, and the fragmented authority weakened by the fiscal policy. Since these contextual limitations on their formal powers restrict prospects to collective problem-solving, the investigator is further propelled to ask:

How can public authorities fulfil their responsibilities to engage key role-players and communities in ways that boost local government legitimacy?

#### **4.2.2.2 *Society-centred approach***

The advent of society-centred model was widely hailed as a change from the traditional top-down state-led collective method to one with less obsessive focus on the state or business leadership. Provided this approach, more attention was accorded to the ideal of integrating civil society actors into organised problem-solving driven network. Collaborative government, based on a society-centric framework, is associated with the involvement of civil society. Put differently, civil society regarding how it can be mobilised and structured with the relationship between civil society and the state in a collaborative arrangement (Kamara, 2017:106).

Clarke (2017) asserts that in this approach, while government agencies and several businesses frequently involve themselves as collaborators and provide support, the society-based collaboration is unlikely to be initiated or directed by them. Clarke adds that the society-centred collaboration is mostly defined by the articulation of broad civic purposes. Desse (2012:10) emphasises that collaborative projects guided by a society-centric paradigm frequently have a somewhat informal structure and purpose and, in most cases, aimed at tackling societal challenges that seldom reach the position of economic growth opportunities on the agenda.

The concerns of poor transparency and accountability of the model was put to question as proclaim by Desse (2012:10), especially regarding financial matters and internal accountability. The study emphasised the vitality of establishing a level of transparency and accountability as determinants for the efficiency and effectiveness of collaborative governance regime, in particular regarding to building mutual trust. Banulescu-Bogdan (2011) decries the various predicaments encountered by civil organisations which amongst other things include: concerns of coordination, institutionalisation, and a lack of political integration. In these circumstances, the continued search for a seamless approach remains undiminished. Some scholars (Pierre & Peters, 2000; Hill & Hupe, 2002; Meuleman, 2008) maintained in favour of mixed or hybrid approach of governance considering complex real-world situations.

#### **4.2.2.3 Hybrid-centred approach**

The hybrid collaborative approach can best be described as a contemporary paradigm shift in collaboration, where governance is no longer observed as an exclusive domain of government or civil society, but as an all-encompassing governance that incorporates both the contributions of civil society and the private sector (Kamara, 2017:108). A stable relationship between the private sector, the government and the civil society is observed as a key feature of a well-functioning developmental state. The trio's efficiency is crucial for sustaining healthy localised economic development (Essia, 2015).

Based on a hybrid approach to collective governance, while the state continues its orthodox role of providing the enabling environment for the functions of the entire system and activities (Buchholz & Rosenthal, 2004; Dahan, et al., 2015), the private sector generates jobs and income; harness their resources and expertise towards strengthening the institutions of governance and monitoring and evaluation mechanism. The civil society tries to improve on the delivery of services and mobilise individuals and community to engage actively in matters of shared developmental goal (Commonwealth foundation, 2015). Civil society frequently supports poverty reduction by encouraging individuals to organise themselves and by pushing government and private sector organisations to maintain local accountability and control of public financing (Essia, 2015:2). Given this situation, the government cannot take advantage of special status or freedoms to oblige the actors/stakeholders to adhere to its requirements.

The actors are at liberty to treat the government on an equal footing with other stakeholders (Dahan, et al., 2015:665), while governments could still serve as advocates for other stakeholders (Friedman & Miles, 2002). In a hybrid-powered approach, the government relies on the private actors whom it motivates, influences, and constraints, but does not fully control (Donahue & Zeckhauser, 2011). Such incomplete control is intentionally considered a requirement for a prominent level of cooperation. Provided the novel approach, the role of the private sector in the host societies closely links with that of the state and non-state as manifested in their corporate social responsibility (CSR), employed to measure their corporate performance.

The proponents (Aoyama & Parthasarathy, 2017; Galli & Fisher, 2016, cited in Kamara, 2017:107) of hybrid-powered governance explores new governance mechanisms, facilitating improved cooperation between governments, the private sector, civil society, and individuals. As Bingham, et al. (2005:554) state: The type of collaboration that “enhance democratic decision making and promote decisional legitimacy, consensus, citizen engagement, public dialogue, reasoned debate, higher decision quality, and fairness among an active and informed citizenry”.

Imperatively, the hybrid approach aimed at designing approaches that facilitated mutual interaction and shared responsibility for implementation, monitoring and process improvement conducted to review and update the collaboration process. The review process assists in identifying the things that did not work, and novel changes required. Individuals can benefit from the experience and improve the process, rather than disengage after a single interaction. Such a desired collaborative approach is credited with additional attributes, amongst other things, the capacity to promote and hold collective decisions accountable; advance political equality while educating citizens; promote political freedom as individuals learn; enhance a better understanding of competing values; orient the citizenry towards collective action (Bingham, et al., 2005:554).

Conflicting interests amongst the stakeholders have to be deliberated and negotiated to arrive at a communal ground. This process of negotiation constitutes another crucial feature of a hybrid approach, though there may be some degree of adversarial in stakeholder relations because of their varying interests. According to Akintoye, et al. (2008), a hybrid approach is aimed at improving the underlying trade-off in values and mutually beneficial objectives. It can, therefore, be maintained that negotiation in hybrid driven approach exists between parties that need one another and cannot force one another's will entirely, as with PPPs (Akintoye, et al., 2008; Dahan, et al., 2015:667) and cross-sector collaborations (Eggers & Macmillan, 2013; Selsky & Parker, 2005). Concerning decision-making, the processes could range from having an objective to taking action. Decisions emerge from the mutual learning experience, the outcome of creative solution stemming from the discussion (Bingham, et al., 2005:549).

Mutual engagement by the various actors in hybrid approach assists in ensuring checks and balances against corrupt practices and encourages accountability and transparency for local authorities (Brillantes & Fernandez, 2011:23) as actors in the hybrid approach may be mutually dependent and answerable to each other as presented in Table 4.1: Roles of stakeholders in hybrid collaborative governance below.

**Table 4.1: Roles of stakeholders in hybrid collaborative governance**

	<b>STATE</b>	<b>PRIVATE SECTOR</b>	<b>CIVIL SOCIETY ORGANISATION</b>	<b>RESPONSIVENESS AND ACCOUNTABILITY ENHANCER</b>
<b>RESOURCES</b>	Public funds Information sharing Human resources Avail time	Corporate social responsibility/donations/contributions Technical knowledge sharing Avail time	Contributions/donations Information sharing Avail time Create social capital Creative intellectual inputs Provision and maintenance of social infrastructure	Rewards and incentive system prepared Sanctions
<b>LEGAL FRAMEWORK</b>	Setting the agenda Outcome expectations for the process	Participate in setting communal agenda Make input contributions	Participate in setting goals Make input contributions Sensitise and mobilise the public Advocacy on political and economic policies	Clarity of laws and regulations Innovative policies Institutional arrangement Conflicts resolution mechanisms

<b>PROCESS ELEMENTS</b>	Participants/ Representation	Selection of participants Limits on participants	Participate in selecting participants and in determining the limits of participants	Sensitise and mobilise public participation	Transparency of decision-making Democracy of decision-making process Efforts to communicate with stakeholders in decision-making
	Process Design	Ownership of the process Interaction expectations for the process Number, length, and location of meetings	Co-ownership of the process Setting communal agenda on the numbers, length, and locations of meetings	Co-ownership of the process Setting communal agenda on the numbers, length, and locations of meetings	Clear description of tasks and responsibility Expertise of representative
	Content	Setting the agenda Outcome and expectations for the process	Participate in setting goals	Participate in setting goals Providing input to agenda- setting and policy development processes Identify unaddressed problems and bring them out to public attention	Clear description of tasks and responsibility Expertise of representative

Source: Adapted from Kamara (2017:115)

As contained in Table 4.1 above, the performance of collaboration as a function of the environmental system context and the dynamic nature of the collaborative process within the context. The table detailed out the roles and responsibilities of three participating stakeholders (state, private and civil society) in collaboration with a distinct focus on two contextual factors (resources and legal framework) and the collaboration process. While the resources are required to initiate and support the collaborative regime, the legal framework provides the enabling statutory guidelines and structures for collaboration process.

The table indicates the universality of responsibility of all stakeholders to provide the required resources to initiate and support the collaborative process in a hybrid form of collaboration. These resources include but not limited to funds, time, technical knowledge, and information. Concerning legal requirements for collaboration governance, the state is required to pursue the inputs of both the private and the civil sector. In this situation, the state should neither be an umpire nor a pushover; rather, the stakeholders need to be involved in setting a communal agenda based on equal footings (Kamara, 2017:108). Similarly, respective stakeholders' roles in the process of collaboration are articulated in the table. All stakeholders are required to take full ownership and responsibility for participant selection.

The column termed "responsiveness and accountability enhancers" is provided in the table. This column pursues to articulates concerns on how to stimulate the responsiveness and accountability of the respective stakeholders. As exhibited in the table, a mechanism for rewarding and encouraging actors for good performance and sanctions for free riders should be prepared to promote accountability and responsiveness amongst actors in providing resources.

There should be clear direction concerning the clarity of guiding framework and regulations, effective institutional arrangements prepared to facilitate collaborative spirit amongst the stakeholders and to address any eventuality of conflict. It appears foolhardy to expect role-players to be responsive and accountable to ambiguous laws and regulations, especially in a lack of discernible institutional arrangements prepared (Kamara, 2017:108). Lastly, it can be maintained that the calibre of expertise in a

collaborative process may infuse some sense of legitimacy and credibility into the deliberative process (Kamara, 2017; Sprain & Reinig, 2018). Such legitimacy and credibility could go a long way to promote mutual trust between the stakeholders, which could make them more responsiveness to each other. A more detailed discourse on accountability in collaborative governance is provided later in the study. The next discourse is on the legislative framework for public participation.

#### **4.3 LEGISLATIVE FRAMEWORK FOR PUBLIC PARTICIPATION**

Underpinning the constitution of South Africa is the principle of good governance. The fundamentality of good governance is rooted in its ability to achieve appropriate development policy objectives targeted to sustainably develop its society (Cloete & De Coning, 2011:66). This process necessitates the most efficient and effective mobilisation, application, and coordination of the available resources of the state and non-state alike towards the achievement of collective, societal goals and objectives. The imperativeness of public participation constitutes an essential component of good governance. To ensure meaningful participation of the public, the government of South Africa promulgated a plethora of policies and legislation and mechanism, to regulate or promote the interaction between the state and the public.

Consequently, all government department inclusive of local government are required to formulate comprehensive public participation strategy within the framework of cooperative and integrated governance. According to SALS (2013) and Salga (2013), the overarching principle of public participation means, stakeholders affected by the decision or action of the public authority have the right to be consulted and to contribute to that decision. Municipalities are therefore obliged to encourage the involvement of communities and community organisations in local governance.

The wake of a new democratic era in South Africa ushered in a nascent phase of development policies in the local governance landscape of South Africa. Amongst these policies, were the *RDP; Municipal Systems Act* (RSA, 2000); *Municipal Finance Management Act* (RSA, 2003a); *National growth path* (NGP) (EDD, 2010) and *NDP* (NPC, 2011). The *RDP White Paper* (RSA, 1995) presented the context for participatory

governance at the local government level (Dawson, 2014). The White Paper was a policy framework for inclusive and sustainable socio-economic progress aimed at mobilising South African citizens and the country's resources to end the suffering caused by apartheid (RSA, 1996).

According to Dawson (2014), several specific sector policies and legislation were embedded in the principle of public participation, requiring structures and systems aimed to provide opportunities for citizens to be involved in decision-making as manifested in the proliferation of structures such as the ward committee, advisory panels, CDWs, focus groups, fora and sector groups. As mentioned by Maphazi, et al. (2013) these structures and system are complemented by community izimbizo (outreach programmes) and *Masithethisane* (*come let us talk together*) programmes, all geared to promote the involvement of communities and community organisations in local governance.

Section 152(1)(e) of the 1996 Constitution of the Republic of South Africa encourage the involvement of communities and community organisations in matters of local governance. The emergence of the *Municipal Structures Act* (RSA, 1998b); *Municipal Systems Act* (RSA, 2000) and the *Municipal Finance Management Act* (RSA, 2003a) tended to galvanise the provisions of existing policies on public participation on matters of local governance. In furtherance, the country's dominant neoliberal economic strategy on growth and poverty, the *National growth path* (NGP) and *NDP* encourages effective involvement of communities and civil society organisations in the development process of their community.

In South Africa, the adopted National Development Plans, NDP 2030 serves as national development planning vision for the improvement of the quality of life of the citizenry. The Medium-Term Strategic Framework (MTSF) reflects the NDP Five Year implementation plan. The first MTSF to follow the adoption of NDP in 2012 was the MTSF 2014-2019. It served as the principal guide to the planning and allocation of resources across all spheres of government. It was structured around 14 priority outcomes which were aligned to three pillars of NDP (achieving a capable state, building and strengthening the capabilities of South African) (South African Government News

Agency, 2014). The 14 outcomes were based on the chapters of the NDP 2030 accompanied by sub outcomes, actions and indicators.

The outcomes-based approach focused on monitoring of the 14 outcomes, which were more akin to priority areas than development outcomes. This approach was devoid of an integration mechanism between the three spheres of government, resulted in disjointed planning and implementation as well as uncoordinated actions by state institutions (DPME, 2019). The MTSF 2019-2024 was pragmatically designed to overcome the shortcomings of the latter approach with more emphasis on the role of performance monitoring, through outcomes, sub outcomes and indicators which produced a strong monitoring system in the MTSF process.

Given the MTSF 2019-2024, seven priorities are outlined. Amongst these priorities are a capable, ethical and developmental state; economic transformation, job creation and spatial integration, human settlements and local government. These priorities aimed to achieve developmental outcomes which amongst other things include improved leadership, governance and accountability; functional, efficient and integrated government; professional and ethical public administration; engagement with key stakeholders and increased opportunities for economic participation.

MTSF provides a complete mechanism for coordinated implementation across all levels of Government through the creation of one plan which integrates National (MTSF), Provincial Growth and Development Strategy (PGDS) and Local Government (District) (IDP). This is a decisive breakthrough with the old mode of working in silos and in a disjointed way (DPME, 2019). MTSF requires government to build a capable, ethical developmental state with the capability to effect societal change at a large scale through an embedded work force. These objectives also call upon government to work within society towards participatory democracy, recognising the important role of social partners, civil societies and citizenry at large, empowered to shape their own destiny. The MTSF provides a mechanism for this participation and alignment of various development planning frameworks, at three levels of government to achieve better coordination of implementing and integrating planning into the recently launched District-based delivery model.

These provisions dictate how a municipality operationalises both its political and administrative functionalities. Local municipalities are legally required to consult with local communities while encouraging and supporting active and meaningful community participation in the design, implementation, and monitoring of IDP. Imperatively, IDPs remains the developmental blueprints for municipalities where the needs and priority matters of the community are reviewed.

According to Dawson (2014) despite the available plethora of enabling policies and frameworks, providing the legality for non-state participation in local governance issues, the top-down implementation and the technical nature of the processes preclude the communities from effective participation. Mathekga & Buccus (2006) laments that though the policies and framework established the basis for a novel developmental local government system, committed to functions with citizens, groups and communities, empowering them with the capabilities to exercise choices (Sen, 1999, cited in Cloete & De Coning, 2011:67) as to the quality of life they would prefer to maintain. Masiya, et al. (2019) contends the idealistic practice of wholesome involvement of citizens to become partners in making decision and be able to directly influence policy formulation, implementation and evaluation of programmes affecting their lives.

Experience indicates that the implementation of the legislative framework raises questions regarding true commitment to a participatory government (Salga, 2003; Mathekga & Buccus, 2006). Dawson (2014) maintains that local officials often subjugate participation to a mere compliance exercise rather than an opportunity to empower community members, who know the needs of the community best, to participate in decision-making actively.

The continued rise in the country's level of social discontentment expressed by the community against the local government (Atkinson, 2007) epitomises the ruling party failures to resolve the socio-economic concerns in the country (Good Governance Africa 2016). Dawson (2014) ascribes the cause of the continued protest to be symptoms of a dysfunctional relationship between the government and the community fuelled by growing distance and breakdown in trust between the community and the government.

The logical question is: How could the growing distances be bridged, and deteriorating trust between the community and government improve? The study indicated that this concern could be addressed through effective collaboration between the state and community (private/business and civil society). The ensuing critical task is to determine the specific factors to be considered in the design and assessment of a collaborative/cooperative governance, capable of breeding trust between the government and the community. These specific factors were established as part of the deliverables of this study.

#### **4.4 COOPERATIVE GOVERNANCE AS A POTENTIAL SOLUTION TO LOCAL ECONOMIC DEVELOPMENT SHORTCOMINGS**

From the perspectives of resources based and learning theory, organisations are motivated to collaborate to gain access to resources of other organisations as collaboration brings teams together and assist them to build collective capacity to address their conjoint problems (Kim, 2010:77). Stemming from the perspective of organisational learning theory, the primary motive of collaboration is learning and joint knowledge production, which entails participant learning (accumulation of knowledge) and experience that may contribute to innovation and better economic performance in subsequent collaborative endeavours. For LED, collaboration is necessary to optimise the synergies of interdependence to achieve greater development outcomes (Olberding, 2009).

A growing number of scholars reveal that employment of cooperative/collaborative governance in local governments could lead to an efficient and improved delivery of public goods and services (Haqee, 2004; Joshi & Moore, 2004; Mitlin, 2008; Clark, et al., 2010; Orbista, 2012; Cloete, 2015; Van Niekerk & Bunding-Venter, 2017). It was contested that local development projects are more likely to be successful, in such situations whereby the projects are initiated and handled by all-inclusive stakeholders, rather than the state *going solo*.

Cloete & De Coning (2011:67) assert that a coherent systemic integration of development initiatives culminates into the creation of development culture in the

society, resulting in a structural, functional and cultural consolidation of a new way of quality life. The theory and practice of collaborative governance is fairly rudimentary. According to Cloete (2015:14), the relationship between traditional economic actors in South Africa, indicating the government, the private sector, and the workforce, is traditionally adverse, and the private sector currently observations government with increased distrust and discontentment.

Joeffe (2015) contends that *government cannot do it alone, but not listening*. Joeffe (2015) emphasises that in South Africa, there was a major concern that the private sector investment in the economy is weak. The government failed to deliver on what corporate leaders are seeking, something more intangible, epitomised by the posture, philosophy, and the attitude of the government towards the private sector. This is more challenging for the ruling party (African National Congress) to deliver. In a related development, following a discussion paper titled: *Roles of three spheres of government in LED and the role of Salga in economic development* presented on the 25 October 2011 by the Salga select committee (Chris Neethling, Mayur Maganlal and Douglas Cohen), it was emphasised that one of the root causes of low success rate in developmental initiatives at sub-national levels of government amongst other things includes an insignificant relationship with the formal business sector and limited integration with neighbouring municipalities (Neethling, et al., 2011). Khambule (2018) contends that the inability of local government to meet citizen's demand is a clear manifestation of lack of integration between local government, communities, and business community.

A debate held by the National Councils of Provinces on 26 August 2010, entitled: Role of the National Council of Provinces in Cooperative Governance and Intergovernmental Relations: Unlocking synergies for collective efforts, Gordhan & Swartbooi (2010, cited in Kamara, 2017:103) contested that while much was achieved to institutionalise cooperative governance through intergovernmental relations, there is an urgent need to ensure that we step beyond legislative pronouncements into the need for more active engagement by province and local government on economic matters.

In reality, local governments, especially smaller ones have a challenging task to execute their coordination roles and to formulate and implement IDP. They are encountered with constraints such as limited expertise, weak economies, limited financial resources and limited organisational capacity (Koma, 2014). It is pertinent to assert here that the indulgence of stakeholders in collective initiatives may remedy these pitfalls. As reported in the case study series of Western Cape Economic Development Partnership, Phillips (2014) the LED manager in Drakenstein Municipality echoed that:

As the municipality, we acknowledge that the economic success of our region cannot happen in isolation and therefore a strategic partnership with the Western Cape Economic Development Partnership was critical to ensure the success of our growth trajectory (Phillips, 2014:3).

#### **4.5 LIMITATIONS OF COLLABORATIVE GOVERNANCE**

It was maintained that the complex political realities in the country, combined with disproportionate powers and functions, wielded amongst the respective institutions, provide profound challenges to achieving collaborative governance (Leck & Simon, 2013:1224). Cloete, et al. (2014:300) emphasised that the political system determines the policy system. The study added that the nature of the collaborative/cooperative governance regime mirrors the nature of the political system. The scholarship of Sorbarikor & Nwaeke (2016:63) provides a thorough insight into the distribution of power between government and the other stakeholders. Sorbarikor & Nwaeke (2016:63) argues that every stakeholders relationship is a game whereby the power balance is always seen to tilt towards a particular stakeholder that controls the critical resources required by others. The power imbalance in the relationship makes the stakeholder who controls the relationship decide the direction and enforces its desires and wishes on the others. Seemingly, power may be exclusively concentrated either in the hands of political authorities or on those of private interests. Therefore, collaboration between the triumvirate (government, business, civil society) can be in such a game situation when the government makes certain legislations that it expects the private and civil society to abide by without any exceptions or concessions.

Meadowcroft (2007:306) contends that in a situation where the political and economic power was fused or monopolised by a certain few political or economic elite, all sort of abuses proliferated. Leck & Simon (2013:1224) caution about the danger of experiencing amongst governance organisations divergent priorities and policies occasioned by the political realities in the country, whereby organisations are affiliated to diverse political groups. This poses another challenge concerning policies coordination and harmonisation amongst the multi-stakeholders in collaboration.

Ansell & Gash 2008:553) contest that prehistory of conflicts and antagonism creates a vicious cycle of suspicions, distrust and stereotyping that could hinder the outcomes of collaborative strategies. These factors constitute an interesting phenomenon to observe based on the historical background of Western Cape Province, serving as a *citadel for apartheid regime* (emphasised by the author) in previous years, where individuals were segregated and treated as per their race, colour or creed.

## **4.6 DESIGN OF COOPERATIVE GOVERNANCE**

Designing and managing collaboration is a complex initiative structured around themes amongst other things, shared approach, working processes, commitment, accountability, and mutual trust. Extant literature emphasises that the deficiency in these respects impacts on the outcomes of collaboration. Provided the context of this study, cooperative governance as an endeavour is propelled by voluntary participation and mutual collaboration of the state, private sector and the civic organisation, functioning towards shared goals to address local concerns. The question is: Which specific factors should be considered in designing the process and governance structure of effective cooperative governance?

### **4.6.1 Comparison between bureaucratic and cooperative governance**

According to Kim, (2008:51), the governance structure and the work process of cooperative governance is distinctly dissimilar from the mainstream bureaucratic system of governance. Table 4.2 below indicates the distinguishing features between a traditional bureaucratic system of governance and a cooperative governance.

**Table 4.2: Distinguishing features between bureaucratic and cooperative governance**

Category		Orthodox bureaucracy	Collaborative governance
Organisational Structure	Structural criteria	Geographical characteristics, functions, customers, and outputs	A common concern, social problems, community group and perceived outcomes
	Organisational structure	Vertical	Horizontal and flexible
	Management focus	Internal control	Public accountability
	Management Method	Fragmented approach to a problem	Integrated and coordinated approach
	Basic management principles	Order, control, and Authority	Dialogue, mutual trust, shared power, and authority
Work process	Subject and object of responsibility	Separated	Integrated and coordinated approach
	Goal achieving-approach	Competition	Consensus
	Responsibility mechanism	Rule oriented	Performance-oriented

Source: Adapted from (Kim, et al., 2004)

#### **4.6.1.1 Organisational structure**

The contrasting difference between the two types of governance is principally manifested in its structures and work processes. The structures of cooperative/collaborative governance are horizontal and flexibly oriented towards

problem-solving of mutual concern as compared to the conventional bureaucratic governance structure, involving functions and the outputs. It is no surprise to observe in most municipalities that the concern is all about compliance. Whether the resulting outputs do address the communal, societal problem, is a subject of its discourse.

Eun (2010:145) articulates that the structure of collaborative governance fosters horizontal relationship more outward-looking than internally directed. In contrasting the egocentricity of bureaucratic structure, collaborative governance pays attention to the environment, human rights, freedom, and peace, and relies on knowledge, information, problem-solving ability, and leadership for system management rather than on official position or authority. Conversely, the type of leadership established in a collaborative entity embraces the value of mutual trust and respect based on integrity. Successful collaboration may have leaders who worked to create a supportive, trusting culture conducive to problem-solving, where staff are free to find 'workarounds' to challenges (Buick, 2013, 2014; O'Flynn, et al., 2011).

According to Eun (2010), the close monitoring of collaborative processes is conducted through procedural control through conversation and communication to ensure that stakeholder's responsibilities are performance-oriented rather than post-evaluation of conformity or observation. The bureaucratic governance is mostly characterised by opportunistic attitudes, competition and conflicts as compared to collaborative governance structure rooted in the principle of shared vision, and trust-based long-term relationships. Though conflicts of interest could still emerge amongst the various actors in collaborative governance, but this depends on how well the collaborative platform is efficiently designed to instil mutual trust, shared goals and values amongst the participating stakeholders. Most relevantly, conflicts resolution mechanism is normally embedded in the design of collaborative governance.

Researchers contend in favour of a hybrid type of governance arrangement for collaboration, a mixed of horizontal and top-down approaches (Keast, 2011; Ling, 2002; Matheson, 2000). The argument is based on multi-stakeholders in collaboration, should engage vertically and horizontally. Keast (2011:229) maintains that top-down approaches may be important to set priorities and push through a collective agenda, but

cooperative relations consequently may prove to be more important in the long run. Keast (2011:222) suggests collaborative initiatives to both top-down and bottom-up, most especially, in need for engagement across policy networks comprising of strong leaders at multiple levels.

#### **4.6.1.2 Work process**

Work process describes the ways and manners where diverse stakeholders in a collaborative initiatives dialogue conclude decisions through processes of bargaining and negotiation. Provided the distinctive nature of this process, unlike the traditional bureaucratic routine characterised by hierarchical command and control, emphasises is re-oriented towards management skills of enablement required to engage independently with stakeholders arrayed horizontally for shared values. In Bureaucracies with a hierarchical structure, decision-making processes are dispersed through various units mostly separately located.

Several collaborative initiatives are entrenched in the ideology of consensus as a decision norm; in no majority but based on unanimity where a single person can veto an agreement on the concerns under negotiation. Stakeholders collaborate to achieve mutual goals, in contrast with bureaucratic routine, where, diverse units compete to achieve their respective goals. In a bureaucratic routine, public managers focus more on how to comply with the rule within the scope of their delegated authority and responsibility. Emphasis is about compliance with the rule of the game, rather than the performance.

#### **4.6.2 Accountability in cooperative governance**

Accountability refers to the process by which decision-makers are held to account for their deeds and misdeeds. Behn (2001:26), cited in Sørensen (2012:2) conceptualises accountability as an informal and formal relationship between an *accountability holdee* and an *accountability holder* that grants the latter the information and sanctioning powers needed to evaluate and subsequently punish or reward the former based on a mutually accepted set of standards. A more discernible definition of the concept is provided by Bovens (2006:9) as the “relationship between a stakeholder and a forum

where the stakeholder should explain or justify his or her conduct, the forum can pose questions and pass judgement, and the stakeholder may encounter consequences”. Collaborating to address socio-economic matters of mutual concern by multi-stakeholders requires some investments in mechanism aimed at ensuring accountability. This specific asset could assist in establishing trust and legitimacy to improve collaboration outcomes (Cohen & Levinthal, 1990; Dyer & Singh, 1998).

#### **4.6.2.1 Factors to promote accountability**

In an attempt to elucidate the more decisive factors, promoting accountability in collaborative governance, the study deemed it necessary to consider those factors that are directly or indirectly connected to the structure, process and outcomes of collaboration. These factors constitute the mechanism for mutual control within collaborative governance arrangements (Eun, 2010). These factors are described below in Table 4.3.

**Table 4.3: Factors influencing accountability in collaborative governance**

Category	Index	Description
Accountability for structure	Legal and regulatory framework	Clarity of law and regulation; obligation of stakeholders to active participation and pursuit of public interest; precise description of tasks and work process for stakeholders; Direct/indirect control (sanction) power of stakeholders
	Institutional Arrangement	Representativeness of Stakeholders; Expertise of Stakeholders
Accountability for process	Communication with stakeholders through a transparent and democratic decision-making process through	Transparency of decision-making process; Democracy of Decision-making process; Effort to communicate with Stakeholders in the decision-making process; Clear Descriptions of tasks and responsibility

Category	Index	Description
Accountability for Outcomes	Performance management	Evaluation of performance and feedback for performance by stakeholders and higher Authority
	Reward and Incentive system	Scope of Achieved joint outcomes subject to official criticism or recommendation for collaborative accomplishment
		Positive/negative incentive for voluntary collaboration

Adapted from Kim, et al. (2004), cited in Eun (2010:153)

#### **4.6.2.2 Accountability for structure**

Sørensen (2012:13) maintains that collaborators must produce a collective account of the problem definitions that initiated the collaboration, the applied strategies for dealing with these problems. Successful collaboration requires a shift from the traditional hierarchical structure towards a decentralised, flexible, and more horizontal structure (Henneman, et al., 1995). The horizontal structure fosters the emergence of the essential elements for collaboration, such as shared decision-making or open and direct communication. In designing an efficient collaborative endeavour, emphasis should be on governance structure promoting communication, shared accountability, and diversity while providing a high degree of organisational capacity is preferable.

Governance should be structured to guarantee balanced stakeholder interests as protection against domination and to encourage participation. Such a balance amongst stakeholder interest groups pursues to create open dialogue for knowledge exchange, negotiation, and methods improvement (UNDP, 2006). According to Purdy (2012), laws and regulations are a social mechanism to predetermine the behaviours and interactions of all the involved stakeholders in collaborative endeavours. Legal and systematic tools should be clear, promoting accountability to effectively operate a governance system.

#### **4.6.2.3 Accountability for process**

Collaborative governance was conceptualised by some scholars as an interactive system and process based on the principle of interdependence (Kim, et al., 2002; Hong, 2004; Suh & Min, 2005). These processes promote individual liberty while maintaining accountability for collective decisions; advance political equality while educating citizens; foster a better understanding of competing interests while contributing to citizens' moral development and orient an atomised citizenry towards the collective.

The accountability of collaborative governance increases if the decision-making process is transparent and democratic, while communication is active to examine and reflect local peoples' needs and demands. They are the principal beneficiaries of goods and services that collaborative governance produces. The fairer the process of collecting opinions from multiple participants, the more collaborative the interaction becomes to reach a shared goal. Pethe, et al. (2011:195) explain that such a self-organising system would require the creation of a space and channels for communication and feedbacks between not only those who are agents within the said organisations but also with the citizens who are the ultimate beneficiaries of any improvements in the system. Purdy (2011:411) indicates that processes for collaborative governance must be designed with flexibility to allow trial and error without creating ambiguity and confusion.

#### **4.6.2.4 Accountability for outcomes**

Collaborative governance is designed to promote mutual collaboration aimed at solving problems of mutual concern. Such an endeavour is reputed for providing prompt, effective and sustainable solutions to shared problems. Ample attention is accorded not only to the potential valued gain from the democratic nature of collaboration but the ability of the process to produce more efficient and effective outcomes than the vertical decision-making of an orthodox bureaucracy. Discourses on accountability for outcomes in collaborative governance are increasingly emerging as a critical factor. Klijn & Koppenjan (2014) emphasise the need for role-players in collaboration to be held accountable, especially where concerns were raised about their performance and behaviour. Following the complexities associated with the collaborative arrangement,

such as varied and conflicting needs and expectations of stakeholders, Ehren & Godfrey (2017:341) maintain that accountability in collaboration is problematic. Kim, et al. (2004) mention that accountability for outcomes in collaboration could be enhanced by designing and implementing in the arrangement performance management and a proper reward and incentive system.

#### **4.6.3 Performance Management Systems (PMS) in cooperative governance and local economic development**

Developing and maintaining collaborative environment requires an iterative process of performance assessment and improvement. The complexity and non-linearity of its implementation trajectories renders it messy and cumbersome. It was maintained that an initiative-taking and real-time assessment assists to guarantee healthy collaborative outcomes (Abdirad & Pishdad-Bozorgi, 2014).

Although the fundamentality of collaboration in LED was widely proclaimed and echoed in public management research and discourses, not much was focused on assessment and improvement. This section of the study conceptualises PMS with emphasis on performance framework as an assessment device to measure, monitor and control performance of public policy and strategy aimed at improving responsiveness and system management of developmental concerns in municipalities. The section of the study commences with the unveiling of a brief synopsis of various literatures on PMS reviewed for the study. This section presents the essentials for the framework as an assessment device to measure, monitor and control collaborations. This section also features criteria used to select resourceful and meaningful outcomes indicators suitable for assessing collaboration for LED.

##### **4.6.3.1 *Assessment of performance in collaboration through performance measuring framework***

The growing need for the emergence and sustainability of innovative institutional and social structures where the state and none state alike collaborate to resolve concerns of communal, societal interest remains unabated. To nourish these structures, the desirability to assess, monitor and control their performances becomes fundamental for

their survival. From the social theory perspectives, collaboration is distinctly multidisciplinary in a complex world laced with varied conceptual perspectives culminating with fragmented consensus on the meaning of collaboration, and this renders it difficult to measure its outcomes (Thomson, et al., 2007; Abreu & Gomes, 2018).

The complexities of the political and social networks associated with collaboration, present some challenges towards/against effective collective outcomes assessment. The quests for an innovative and effective means of managing performance in collaborations continue to dominate contemporary discourses on new public management. The fundamental need to measure outcomes of collaboration becomes glaring, given the vested interest of the state and non-state in the mutual benefits of improved social impacts as desirable collaborative outcomes. The question is, how do we know what to measure? The effective and efficient design, monitoring and assessment of collaborative outcomes, require the use of an innovative performance measurement framework.

Provided the scholarship of Micheli & Kennerley (2005:132-133 ) on 'Performance measurement framework in public and non-profit sectors', a good framework should be characterised by the following features: Identify and emphasise the context of where it should be used; identify all the role-players/stakeholders involved. The relationship between the components in the model and the cause-and-effect relationship between the components should be identified. A need exists for the provision of implementation guidelines for the framework/model.

#### **4.6.3.2 Outcomes assessment of cooperative governance for local economic development: The role of performance measuring indicators**

Performance measurement and reporting became a customary practice in public and non-profit organisations. The innovative, collaborative governance system is not in isolation as evidence in the growing discourses to understand what enables them to work and whether they are achieving their set objectives (Andrews & Entwistle, 2010). The most conceivable reasons underpinning the increase in performance assessment

in a public entity are not far-fetched. These amongst other things includes the need to create an image of a resourceful and rational public entity, measure, monitor and control the performance, proliferate a culture of accountability (Dent, 1991; Broadbent & Laughlin, 1997; Behn, 2003; Moynihan, 2005; Damgaard & Lewis, 2014; Lewis, et al., 2014). Moreover, Behn (2003) identifies and classifies the reasons to measure performance into three categories, indicating, accountability, learning and motivation.

Besides the cogent reason of answerability, collaborative performance assessment is desirable to provide feedback to reporting agencies and stakeholders which could serve as a form of lesson learnt for improvement and replication of good practice. It could again be maintained that to ensure the continued supports and buy-in of stakeholders. There is a need for a clear justification of policies, processes and procedures of the programme enabled by valid assessment through effective performance measurement. In contrast, there is equally a growing sentiment about performance measurement as a mechanism for political discipline and politically controlled to decides what should be measured, how, and why and its consequences (Radin, 2006; Moynihan, 2008; Bertelli & John, 2010; Van Dooren & Van de Walle, 2016; Lewis, et al., 2014).

To reap the bonification fruits of PMS, its implementation non-linearities, especially in a complex context comprised of multidimensional stakeholders as could be observed in the case of LED, should be unravelled. It was maintained that the complexities and non-linearities associated with the implementation of PMS might derail their outcomes (Smith, 1995; Lawton, et al., 2000; Popper & Wilson , 2003; Arnaboldi & Azzone, 2010). According to Arnaboldi & Azzone (2010), several studies explored the functional implementation difficulties of PMS in public service. The results of the studies emerge four main concerns of PMS implementation difficulties. These range from the concerns of a diversity of public sector services through a diversity of users, concerns of defining targets to a lack of competencies.

First, the diversity of public sector services is noted. The outcomes of public services cover a wide range of activities which could necessitate employing multidimensional PMS. It was again contested that such a solution would result in the proliferation of indicators, which may not be acted upon by managers (Chow, et al., 1998; Modell,

2001). Secondly, Arnaboldi & Azzone (2010:267) maintain that the existence of a wide range of users of services in a public organisation may shift public managers from bureaucratic compliance to output delivery.

Concerns of defining performance targets is another implementation challenge for implementing PMSs in public organisations. Unlike the private sector which pursues to adhere to the imperatives of profits and value allowing them to set target figures easily, it is more difficult for the public sector (Bohte & Meier, 2000; Van Thiel & Leeuw, 2002; Popper & Wilson, 2003; Arnaboldi & Azzone, 2010). Several programmes in the public sector are process oriented in nature. This tends to present problems when it comes to measuring performance, most especially the issue of striking appropriate balance between outputs and outcomes. Lastly, the difficulty of having competent managers in a public organisation to deal with non-financial matters like output and outcomes creates a problem for the design and early adoption of the system. This challenge could lead to an undesirable consequence (Smith, 1995; Wang & Gianakis, 1999; Popper & Wilson, 2003; Arnaboldi & Azzone, 2010). The desirability for designing and operationalising resourceful and meaningful indicators for PMS is inevitable.

In South African public entities, more often, KPIs was employed for this process and was widely bestowed the credibility of providing useful information about public agency performance (Williams, 2003:647). Some other scholars observed KPIs as socially designed resourceful management tools, assisting the users to improve the quality of decision-making through the information they provide to users (Moynihan & Ingraham, 2001; Cavalluzzo & Ittner, 2004; De Kool, 2004). The literature of MacDonald (2011) regards an indicator as a qualitative or quantitative piece of information that can provide status estimate of the evaluand or outcomes.

It became a mandated statutory obligation for many public agencies to use KPIs as one of the primary tools for the accountability of their performance to reporting authorities and stakeholders. The saltiness of effective KPIs lies in its ability to provide useful information for making informed decisions about the performance of programme or intervention. As brilliantly cross-examined in the article of Taylor (2007:241), the

question is: To what extent did the KPIs meet the information needs of the reporting authorities and stakeholders?

As contained in the Office of Auditor General of British Columbia report (British Columbia, 2010:2) on guide for developing relevant key performance indicators for public sector reporting, the relevancy of KPIs is based on certain characteristics, indicating:

- relational purpose and priorities to the organisation
- associational with organisation's activities and the outcomes of those activities
- capable of influencing the organisation decision-making
- where appropriate, include widely used benchmarks
- usefulness to the organisation's key internal and external stakeholders

All KPIs could not manifest all these attributes, but care must be exercised to ensure that the suite of chosen KPIs should cumulatively reflect all the attributes. As the performance of collaboration can be measured, monitored and reviewed using performance indicators, adequate care should be taken in the choice of indicators amidst the myriads of objectives of the diverse stakeholders. It was contested that the choice of an indicator is determined by the intended usage of the indicators it reflects in the PMS envisioned purpose and impact (Behn, 2001). As contained in British Columbia (2010)'s reports, the relevancy of an indicator in a collaborative environment is determined by the extent that the indicator aligns to the objectives and activities of the collaboration.

The indicator should be able to provide useful information to assist users in making quality decisions. Great care should be taken in the choice of indicators to avoid undue proliferation of dysfunctional indicators as earlier explained in the chapter. The question is about how to design innovative quality indicators to assess collaborative outcomes effectively? A detailed discourse of this concern is presented in the next section of the chapter.

Researchers argued that there is little consensus on what is constituting effective performance (Koliba, 2011; Provan & Milward, 2001). As rightly articulated by Mwita (2000) nearly two decades ago, that performance assessment is achieved when defined as an embodiment of three interrelated variables of processes (activities); outputs (goods and services) and outcomes (value-added or impact). A brief discussion of these variables is presented below. PMS can be designed to measure these elements: Productivity (measures of output over input); service quality (output over process)'effectiveness (measures of outcomes over output) (European Commission, 2015). Hatry (2006) presented a more discerned opinion of using a logic model to carefully distinguish collaborative processes from the outputs and outcomes of those processes. The logic model specifies the causal impacts expected to occur because of specific undertaken processes and is arranged sequentially in a causal chain (Hatry, 2006). The components of the logic model are:

**Inputs:** In the context of collaboratives governance, inputs refer to the resources contributed by the stakeholders towards the collaborative process. This ranges from technical through financial to human resources contributions.

**Processes:** The processes can be described concerning what we do or activities such as collaborative meetings conducted during the collaborative process.

**Outputs:** In a collaboration, the outputs are the goods and services produced from a process. This could include collaborative agreement or plan

**Outcomes:** This can sometimes be called intermediate outcomes, and in a simple term, it refers to what happened because of the processes

**Impact:** The impact or long-term outcome is the result sought or the final effect envisioned

Studies on outcomes of LED-powered cooperative/collaborative governance lagged behind research in other fields. While most research on collaborative local governance focuses on what we do (processes), some other research addresses the outputs concerning the goods and services produced from the activities and the social

outcomes. Little research on collaboration addresses the LED-powered, collaborative governance outcomes. Collaborative actors' actions are known, but little about the impact of collaboration on the system management and responsiveness to socio-economic concerns within municipalities are identified. The dearth in research on LED collaborative outcomes provides an impetus to undertake this study as it assists in addressing the knowledge divergence on collaborative-LED outcomes.

Part of the study aimed to develop a normative framework/model which can be used to assess, monitor and review collaborative performance for LED, with particular focus on the processes and perceived outcomes of the collaboration. Scholars have warned about the inherent difficulties associated with measuring collaborative outcomes in public service delivery. Outcomes often depend on the results of several factors. The time lag between the effort and effect may be too long to conduct meaningful research. Most PMSs focus on output. Solace in output performance does not preclude PMSs from encumbering certain limitations concerning measuring of performance improvement and productivity in public services as some outcomes are intangible and difficult to measure (Van Der Walddt, 2004:75; Naser, et al., 2013:24).

#### ***4.6.3.2.1 Criteria for selecting effective performance measuring indicators***

As earlier mentioned in the chapter, information based on indicators for collaboration should have some attributes that render them suitable. Table 4.4 presents some salient criteria to be considered in selecting effective measuring indicators.

**Table 4.4: Criteria for selecting effective measuring indicators**

<b>Criterion</b>	<b>Definition</b>	<b>Source</b>
<b>Appropriateness and relevance</b>	The extent to which the indicator relates to the context or setting	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Feasibility</b>	The extent to which the indicators are actionable concerning how feasible it is to collect and analyse data for the indicator	(Carinci, et al., 2015; Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Unambiguity and ease of communication</b>	The communicative level of an indicator concerning neutrality and unbiasedness	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Reliability and data quality</b>	The extent to which data to be collected are quality assured and the ability of repeated measurement of stable phenomenon yield the same results	(Carinci, et al., 2015; Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Validity</b>	The extent to which it represents what one is attempting to measure	(Carinci, et al., 2015; Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Coherence and far-reaching</b>	The extent to which indicator contains a set of combination to capture and a wide range of meaningful priorities and concern of a full range of collaborative stakeholders	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)

<b>Criterion</b>	<b>Definition</b>	<b>Source</b>
<b>Minimum number of indicators</b>	Reasonable number of chosen indicators	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Availability of data</b>	The extent at which data can be obtained for the indicator	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)
<b>Economy</b>	The extent to which the number of required resources for data collection, analysis and data use commensurate with the investment	(Ehler, 2003; Perić, et al., 2018; British Columbia, 2010; MacDonald, 2011; UNAIDS, 2015)

Having conducted an extensive literature review on how to design useful and resourceful performance measuring indicators, the following criteria (as indicated in Table 4.4 above) were derived from a synthesis of applicable information from relevant reviewed works of researchers and initiatives.

**Appropriateness and relevance:** Suitable indicators should be relevant to the context and objectives of the collaboration.

**Feasibility:** For an indicator to be suitable for use to assess, monitor and control the performance of collaboration in LED concerning its objectives, it should be actionable concerning feasible to collect and analyse for the indicator. Conversely, the indicator should be measurable.

**Unambiguity and ease of communication:** As rightly articulated by Perić, et al. (2018:4) the indicator should have a high communicative and educational value. Conversely, the indicator should possess the attributes to communicate and make apparent the meaning of the assessment derivatives to the stakeholders. There should also be a clear direction to interpret and use data from the indicator (UNAIDS, 2015).

**Reliability and data quality:** According to Perić, et al. (2018:4), an indicator is reliable concerning having the ability to produce the same result of a constant phenomenon when iteratively assessed. Data to be collected through the indicator should be comprehensive and dependable (MacDonald, 2011).

**Validity:** A suitable indicator for measuring collaboration for LED should be able to represent what is measured. Conversely, the indicator should have a clear link to the LED outcomes measured.

**Coherence and far-reaching:** An indicator set should be able to capture a wide range of essential priorities and concerns of all stakeholders. Indicator should be capable of adaptable for use in a wide range of scales, wherever possible and be subject to continues review for adaptation (Ehler, 2003:337).

**Minimum number of indicators:** Reasonability concerning the numbers of indicator used in the assessment.

**Availability of data:** This is one of the essential criteria used to determine a suitable indicator fit for performance management in LED collaborations. An indicator is regarded suitable for the purpose if there are available data in the phenomenon.

**Economy:** The cost of measuring the indicator should be commensurate with its worth. It should be simple, cheap as possible.

#### 4.7 DETERMINANTS OF COLLABORATIVE GOVERNANCE

Several antecedent frameworks and empirical research were pragmatically reviewed in the study to identify the critical factors which determine the efficacy of cooperative governance for LED. Although these were developed and based on diverse context, as earlier mentioned, the resulting guidelines and recommendation can be applied to cooperative governance for LED aimed at improving responsiveness and system management of socio-economic concerns within the municipalities. It is widely maintained that organisations collaborate for a variety of reasons, including the needs to address complex problems, to gain legitimacy, to be more efficient in their delivery, and attract resources (Provan & Kenis, 2008).

Collaborative governance aimed to build collective and resilient capacity (Agranoff, 2006) through an inclusive, deliberative process (Fishkin, 2009; Innes & Booher, 2010) and principled negotiation (Fisher, et al., 2011) by multi-stakeholders, amongst other things, government, parastatals, private and the civil society to render and implement collective and multi-jurisdictional decisions to address a shared problem which could not be solved by unilateral actions (Emerson, et al., 2012), all for the communal good of the society in question (Bingham & O'Leary, 2008; Edigheji, 2010; Zurba, 2014; Agbodzakey, 2015; Emerson & Nabatchi, 2015; Ulibarri, 2015).

In the past decade different scholars have proposed several alternative theoretical frameworks for collaboration, such as: Communicative Framework of value in cross-

sector partnerships (Koschmann, et al., 2012); an integrative framework for collaborative governance (Emerson, et al., 2012); collaborating to manage (Agranoff, 2012); modes of network governance (Provan & Kenis, 2008); collaborative governance (Ansell & Gash, 2008); managing within networks (Agranoff, 2007); collaboration processes (Thomson & Perry, 2006); and Design and Implementation of Cross-Sector Collaborations (Bryson, et al., 2006). Even though these frameworks may differ in certain ramifications, they have much in common in their endeavours to articulate various contextual elements presents in a collaborative environment, tending to influence the outcomes of collaboration (Bryson, et al., 2015; Kamara, 2017).

Given the scholarship of Emerson, et al. (2012) as contained in the integrative framework of collaborative governance, certain contextual issues established in the environment of collaboration, influence collaborative outcomes. Those factors are: Procedural and operational arrangements regarding the processes and organisational structures needed to manage iterative reactions over time; The leadership roles required, either at the beginning of the collaboration or during the collaboration process, to guide the implementation of the collaboration (Bryson, et al., 2006); the knowledge and capacity acquired through the resource leverage. (Agranoff (2008:165) therefore maintains the term 'knowledge' in this context concerning the social capital of shared knowledge, weighed, processed and integrated with the values and judgements of all participants.

Challenges exist to obtain stakeholders to participate in local government matters. As emphasised by Davies (2005), the enabling policies and legislation and the public participation structures established by the municipalities to encourage and promote public participation at local government is not doing enough to woe the interest of the community (private and civil society) to participate meaningfully in developmental concerns of their municipalities. The crux of Davies's (2005) argument was on the existence of some certain barriers which hinders the communities from engaging fruitfully in local government issues. These barriers range from power relations, participative skills, political wills, a lack of trust, a lack

of accessibility, consultative structure, and insufficient financial resources at the local level, historical factors, and community disillusionment with political government ineffectiveness.

As noted by Davies (2005), some examples mentioned above are from other countries but are still relevant to South Africa. Provided these barriers, the question is, “What are the specific determining factors for effective cooperative governance for LED, especially in small towns”? In the study, several antecedents and extant models and frameworks on the determinants of successful collaborative governance were reviewed, starting from the study of Austin (2000), *The Collaboration Challenge: How Non-profits and Businesses Succeed Through Strategic Alliances*, which contained a set of guidelines tagged: “Seven C’s of Strategic Collaboration”—for use in designing and assessing inter-organisational alliances. The seven C’s are: Connection with purpose and people; Clarity of purpose; Congruency of mission, strategy and values; Creation of Value; communication between partners; continual learning and commitment to partnership.

Amongst numerous collaborative models and framework reviewed are: Mattessich & Monsey (1992) on *factors influencing success of collaborations*; Casey (2008) *Success factors in inter-organisational relationships*; Chen (2010) *Determinants of perceived effectiveness of inter-organisational*; Ales, et al. (2011) *Developing and Implementing an effective framework for Collaboration*; Bryson, et al. (2015) *Designing and implementing cross-sector collaborations*; Olson, et al. (2011) *Factors contributing to successful inter-organisational collaboration*; Franco (2011) on *Factors in the success of the strategic alliance* and Emerson, et al. (2012) scholarship on *Integrative framework on collaborative governance*

Additional extant studies reviewed were that of O’Leary & Vij (2012) on the most important issues, concepts, and ideas in collaborative public management research and practice today; Kożuch & Sienkiewicz-Małyjurek (2016) *Factors for effective inter-organisational collaboration*; Ysa, et al. (2014) *Determinants of network outcomes* and the study of Roberts, et al. (2017) on the valid measurement of collaboration within organisations as defined by Thomson, et al. (2008). The various

propositions contained in these literatures were synthesised to establish their commonalities and the discerning concerns between them. Those with similar ideas were group together to emerge the following themes as presented below:

#### **4.7.1 Legitimacy of purpose**

Legitimacy is a generalised perception that the actions of a collaborating entity are desirable, proper, or within some system of norms, beliefs, and definitions (O’Leary & Vij, 2012:514). An organisation pursues to collaborate for a shared purpose, either to resolve problems/challenges or to take advantage of opportunities. Noteworthy, no matter the driving force behind any collaboration, to be effective in achieving its unifying purpose, the collaboration should be characterised with a sense of legitimacy and clarity of purpose, strategies and action well-articulated to the various stakeholders (Mattessich & Monsey, 1992; Ales, et al., 2011).

The initiative should be perceived by the collaborating partners as capable of improving situations. Imperatively, the shared vision developed at the start of the collaboration, should be built on concrete and attainable goals and strategies which must be aligned with the mission, strategies and values of the stakeholders (Austin 2000; Olson, et al., 2011; Raišienė, 2012; Emerson, et al., 2012; Franco, 2011; O’Leary & Vij, 2012; Roberts, et al., 2017). And all subsequent activities pursued by the initiative must have a clear link to the initial articulated purpose.

#### **4.7.2 Governance structure of collaboration (process and structure)**

It was widely maintained that the structure of collaborations and its operational policies and procedures are key determinants for its success (Casey 2008; Chen 2010; Ales, et al., 2011; Bryson, et al., 2015; Olson, et al., 2011; Franco, 2011; O’Leary & Vij, 2012; Ysa, et al., 2014). Collaborations are designed to address this need by creating a governance and oversight framework, which incorporates all the processes for decision-making, administration, management, communication, and conflict resolution. A need exists for governance structure and administrative mechanisms, supporting the work of the collaboration without imposing an undue burden on partner resources. Imperatively, before collaborating, the structure and

processes that will accomplish the identified goals need to be identified. The structure must be agreed upon by each member of the collaboration.

As articulated in several of the reviewed literatures in the study, as partner organisations/stakeholders participate in multiple collaborative activities, therefore, coordinating and monitoring these efforts requires formalised institutional arrangements characterised with clear policies, structures and procedures (Austin 2000; Ales, et al., 2011; Roberts, et al., 2017). Instituted policies and procedures may be key contributing factors for collaboration success as it assists in recording what and how things need to be conducted to produce an effective collaboration. The collaborative governance policy also determines amongst others, the ground rules, roles and responsibilities of stakeholders, stakeholders' stake in the process, membership/group composition and the nature of communal relations amongst the stakeholders.

The process framework of collaboration must be designed to facilitate collaborations that occur over time as organisations formally and informally interact iteratively through sequences of negotiation, development of commitments, and execution of those commitments (Thomson & Perry, 2006:21). The process framework for collaboration suggests that collaboration occurs over time as organisations interact formally and informally through repetitive sequences of negotiation.

Additional collaborative scholars contend on the importance of collaborative structure and governance (institutional arrangement), as it pursues to promote power-sharing, joint decision-making/inclusive process are of paramount importance for effective collaboration (Casey, 2008; Chen, 2010; Bryson, et al., 2015; Olson, et al., 2011; Emerson, et al., 2012; Franco, 2011; O'Leary & Vij, 2012). According to O'Leary & Vij (2012:513), structure in part delineates authority and responsibilities within the collaboration. The structure must be able to balance the interest of stakeholders to avoid power domination and create an open dialogue for participation, knowledge sharing, negotiation, and methods improvement. Power domination/imbances within collaborations as rightly cautioned by (O'Leary & Vij, 2012:513) may result in conflict and co-optation that may affect the success of the

collaboration. Structure and governance mechanisms can be a source and a remedy to power imbalances, as it delineates the power-sharing arrangement and authority amongst collaborators (Agranoff, 2006:513).

As contained in the scholarship of Truex & Søreide (2010) on “Why Multi-Stakeholder Groups Succeed and Fail?”, Truex & Søreide (2010) contest that beyond the ability of collaborations to drive implementation forward with efficient decision-making, organisational efficacy requires each member to have the authority and capacity to fulfil his/her designated role. Authority, as maintained by Greenwald (2008), entails the social right to a decision, make a judgement or take actions. The exercise of this authority in a collaboration is determined by the relative status of the members within the institutional context where the participating parties are embedded (Purdy, 2012:410). While the structure and process consistency are important, adaptability and flexibility must be encouraged and supported (Ales, et al., 2011).

A governance structure promoting shared accountability and diversity while providing a high degree of collaborative capacity is preferable. Accountability in collaborations in this context is regarded as a way of “ensuring that collaborators collaborate in manners they can be held to account for their actions/decisions” (Sørensen, 2012:2). Collaborating private organisations have a unique responsibility to citizens. Governance theorists increasingly emphasise the accountability problems associated with employing collaborative forms of governance (Benz & Papadopoulos, 2006; Pierre & Peters, 2005). Before agreeing to a collaborative form of arrangement, it is important to determine whether and how the collaborative group should be held accountable to themselves, citizens, and public officials.

#### **4.7.3 Communication/Information technology/engagement**

For any successful collaboration, a formalised channel of communication is needed (Roberts, et al., 2017; O’Leary & Vij, 2012) to be enshrined in the governance structure of collaboration. This provides the various activities involved in joint

decisions and rules to govern the collaboration concerning how collaborators interact, communicate, and work within the structure to achieve the desired outcomes (Kožuch & Sienkiewicz-Małyjurek, 2016). It may include how communication amongst the partners is managed and the choice of internal and external communication channels. These channels can be face-to-face meeting/forum; calls; digital file-sharing; e-mail; strategic plan to disseminate information (about process and outcomes) and information sharing (Olson, et al., 2011). The scholarship of Ales, et al. (2011:s11) on collaboration between health care organisations for professional education, established that communication is a crucial component of successful collaborations (Franco, 2011).

Consistent communication provides members with the framework for success while encouraging 'out-of-the-box' theory. The study of Emerson, et al. (2012) on cross-border collaboration, with a special focus on collaborative governance regime, emphasises the importance of deliberations and determination characterised by conversation; constructive assertion, asking and answering constructive questions and express of honest disappointment as part of effective communication to enhance collaboration (Raišienė, 2012).

According to Suter, et al. (2009:46), communication is important for fostering effective role understanding in collaborative. It could be improved through thoughtful, well-designed communication channels. Regular communication between collaborative members through formal or informal channels, including e-mail, a shared online document repository, monthly telephone conference calls, quarterly reports, and face-to-face partner meetings, assist in creating trust and respect necessary for collaboration success.

As articulated in the literature of Bingham & O'Leary (2008), collaborative partners communicate for various reasons, ranging from communication for building capacity; Information exchange, dialogue, sharing ideas, to brainstorming, articulating and asserting views, negotiations, bargaining, deliberations, problem-solving, conflict management, and conflict resolution. Each of these activities constitutes an essential component of the collaboration process. It can be deduced

that a thoughtful and well-designed communication plan is required for effective communication in collaboration. Given this background, the ensuing question is: Which specific factors need to be considered in the design and assessment of an effective communication plan capable of building trust in collaborative forms of governance?

#### **4.7.4 Interpersonal relation/trust**

Stemming from the study of San Martín-Rodríguez, et al. (2005) on the determinants of collaboration in the healthcare team, it was established that the success of the initiative to develop and consolidate collaborative practices amongst teams members depend on factors based on, amongst other things, interpersonal processes or interactional determinants, such as a willingness to collaborate, trust in one another and mutual respect.

Collaborators may be eager to collaborate in a situation where they assume good intentions amongst each other (Klijn, et al., 2010b) based on reciprocity of trust and respect to boost their confidence on the expected performance outcomes of the initiative (Chen & Graddy, 2010). Trust becomes the overarching factor in this context that attracts ample insightful discussions on collaborations in literatures. Trust is needed to boost collaborative outcomes in encountering uncertainty as commonly established in collaborations. A lack of trust jeopardises commitment from the partners to the collaborative process.

Trust was widely acknowledged by several antecedent and extant scholars as a critical factor for building and sustaining relationship (Austin, 2000; Mattessich, et al., 2001; Casey, 2008; Chen, 2010; Ales, et al., 2011; Bryson, et al., 2015; Franco, 2011; Emerson, et al., 2012); O'Leary & Vij, 2012; Raišienė, 2012; Ysa, et al., 2014; Kożuch & Sienkiewicz-Małyjurek, 2016; Roberts, et al., 2017). Trust as conceptualised by Tschirhart, et al. (2009) is a social perception that the other party is capable and likely to deliver on their commitments.

Edelenbos & Klijn (2007) define trust as a stable positive expectation of one actor about the intentions and motives of the other actor to desist from any opportunistic

behaviour if the situation warrants it. Ironically, the concern of trust presents another situation of challenge in collaboration. As participation in collaboration initiatives is voluntary, there are likely to be the presence of free riders, though it can always be minimised by committing collaborators to sign binding agreement or memorandum of understanding.

According to Tschirhart, et al. (2009) cited in O'Leary & Vij (2012:514), trust could be based on positive interpersonal experience of trust developed overtime as individuals favour to collaborate with "others with whom they have a previous history of relationships or associations". Much in the same vein, the study of Gibson (2014:203) established the level of trust amongst board members and staff of partnerships to be directly related to the frequency of board members' attendance and prehistory of collaboration.

Although many researchers do acknowledge that collaboration begins with varying degrees of trust, they underscore that trust-building is an ongoing requirement for successful collaborations (Nolte & Boenigk, 2011; Emerson, et al., 2012; O'Leary & Vij, 2012; Walker & Hills, 2012). For Klijn, et al. (2010b), trust in governance network is desirable in establishing desired interactions and outcomes in governance networks and stimulating learning and exchange of information and knowledge acquired through intensive cooperation/collaboration. The logical question is: How can trust be built in collaborative forms of governance for LED?

Collaboration partners build trust by sharing resources, such as information and demonstrating competency, good intentions, and follow-through (Bryson, et al., 2015). Conversely, failing to follow through or serving own or organisation's interests over the collaboration, undermines trust (Chen, 2010). The above arguments lead to the belief that trust leads to more information and knowledge exchange, resulting in enhanced problem-solving capacity, new insights, innovative power, and better collaboration outcomes. Most relevantly, before agreeing to collaboration, the question should be directed on whether to trust the collaborating partners or whether trust may be built.

#### **4.7.5 Partner alignment/membership (partner characteristics)**

Participants in collaboration should be driven by the same goal, vision and mission carefully crafted to define and align the activities of the participants (Rakhudu, et al., 2017:6). An essential requirement of collaboration is the ability to develop enhanced and resilience capacity to address concerns that could otherwise be difficult to address unilaterally by individual actors when acting alone. O’Leary & Vij (2012) maintain that membership in a collaboration should include only individuals and organisations that can contribute towards the accomplishment of the collaboration’s goals, such capacity as skills, resources, expertise, experience, knowledge and cultural background, and values.

Drawing on the resource dependence perspectives, it is maintained that organisations enter partnerships alliances where partners can demonstrate commitment, amongst other things, through a contribution of resources (Lewis, et al., 2017:3). Liu & Kuo (2006:298) maintain that if a complementarity of resources is built amongst partners, mutual supplementing effect can be created to solve the challenge of insufficient resources of partners.

It was maintained that organisations pursue partnerships with other organisations with congruent or compatible vision, strategies and values (Chen, 2010; Ales, et al., 2011) and interdependent interest (Bryson, et al., 2015). Partnerships amongst organisations with different visions are difficult to initiate and sustain as fundamentally diverse visions can create unexpected inter-organisational conflicts. Previous studies established support for the proposition that the greater the complementarity amongst partners, the greater likelihood of partnership success (Shah & Swaminathan, 2008; Mitsunashi & Greve, 2009). Nielsen’s (2002) scholarship on “Synergies in Strategic Alliance” epitomise a change in basic assumptions from the traditional assumption of complementarity of resources as a necessity for collaborative success.

Nielsen (2002: no pagination) maintains that knowledge networks motivated by perceived synergistic capabilities are likely to facilitate the creation of new

knowledge rather than the transfer of existing knowledge. Other scholars established certain kinds of partner characteristics, amongst other things, shared goals, vision and prior working condition stimulate the propensity to trust and willingness to engage in the act of trust in a relationship which may be generated from past collaboration experience to improve collaboration outcomes (Brown, et al., 2006; Chen, 2010; Kania & Kramer, 2011).

#### **4.7.6 Partner learning/outcomes**

As reported in the scholarship of Gazley & Brudney (2007), previous collaborations experience between organisations assists them to build knowledge towards the effective development and system management of the relationship. It can be maintained that the involvement of societal and private actors in collaborations generate more information and knowledge, which can be employed to develop better customised/localised solutions (Edelenbos & Klijn, 2007; Sørensen & Torfing, 2009; Klijn, et al., 2010a). Drawing from the perspective of organisational learning theory, the primary motive of collaboration is learning and joint knowledge production which entails participants' learning (accumulation of knowledge) and experience that may contribute to innovation and better economic performance in subsequent collaborative initiatives.

It could be maintained that collaboration is essential, while necessary for LED to optimise the synergies of interdependence between its key stakeholders to achieve greater development outcomes (Olberding, 2009). Ideally, the interaction amongst actors within and between collaborations promotes idea generation and co-creation. The empirical study by Ales, et al. (2011:s19) on collaboration between health care organisation for professional education on smoking cessation, establishes collaboration to be a platform for knowledge acquisition by collaborating actors who were established as individually able to enhance their creativity and skills as a result of functioning closely with others with a shared dedication to smoking cessation.

Collaboration is driven by success where success story from collaboration should be shared and celebrated amongst collaborators (Cano-Hays & Lomeli, 2015:23),

and this could create momentum to strengthened further collaboration. This outcome may only be realised when there is a form of reporting and assessment mechanism prepared to evaluate the collaboration process. According to Carey & Harris (2016), feedback is important in a collaborative initiative to support learning and adaptation. Feedback, in the form of performance information derived from review measures, provides an evidentiary basis to support the social process of altering prior decisions (Kania & Kramer, 2011:139).

The analytical concern is about the timing of the review measure. Distinction is made between end-outcome and process measure. Hage & Meeker (1988) maintains that in social policy, the relationships between actions and their ultimate effect are rarely linear. Outcomes of policy interventions are influenced by exogenous factors, and their effects are utterly unpredictable (European Commission, 2017). Dorius (2011:270) maintains that outcomes measure does not explain the specific actions in the programme that may achieve those outcomes and how to improve on it. Management decisions about whether to stop, continue or modify an activity become difficult. This difficulty in attribution further limits the usefulness of end outcomes in determining the efficacy (outcomes) of socio-economic development intervention.

Conversely, process measures address the shortcomings of end-outcome measures as it may be quicker to achieve and therefore provide rapid feedback on which to render changes, and they provide opportunities for celebration (and the potential to generate momentum) when ticked off. Process measure is most often within the direct control of the participants to deliver, and therefore do not suffer from the attribution problems of end-outcome measures. It has a significant drawback of having no intrinsic value to the society, and in most often than not, it renders collaboration to be more focused on the process of collaboration than on creating public (Moore, 1995).

#### 4.7.7 Leadership characteristics

In the past few decades, leadership in collaborations increasingly received considerable attention, and its importance cannot be understated. Therefore, several differing frameworks emerged with specific emphasis on the importance of leadership roles (Bryson, et al., 2006; Thomson & Perry, 2006); leadership tasks (Ansell & Gash, 2008) or the structure of a “leadership core” (Agranoff, 2007; 2012).

Scholars assert that leadership is an essential element in convening and steering collaborative process (Frame, et al., 2004; Heikkila & Gerlak, 2005; Murdock, et al., 2005). For Bailey, et al. (2010:460) leadership is ‘the ability of the local agencies to proactively identify, coordinate and deliver initiatives that produce shared benefits through a shared system of actions. Provided the literature of Ansell & Gash (2008) on facilitative leadership, leaders in collaboration facilitates goal achievement through effective relational processes (Stamevski, et al., 2018).

Facilitative leadership is an emerging leadership paradigm styled in a co-creative and least intrusive manner where leaders provide directions without totally taking the reins. In Emerson, et al.’s (2012) integrative framework for collaborative governance, leadership is accorded the essential role of driving collaborative governance and a key facet of capacity for joint action. Imperatively, leadership is important for embracing, empowering, and involving stakeholders and then mobilising them to move collaboration forward (Vangen & Huxham, 2003). Subsequently, the logical question is: Which type of leadership attitudes, skills and behaviours are needed to initiate and drive effective collaboration?

Distinctively from the traditional hierarchical leadership approach which orients towards authority and motivating followers, collaborative leadership is about partnerships and mutual learning (Morse, 2007:82). The study maintains that leadership in collaboration emphasises shared “power with” rather than “power over” (Follett, 1924, cited in Morse, 2007:82). Chrislip & Larson (1994) articulate that leaders focus on how individuals can constructively collaborate to solve the societal problem rather than accomplishing a vision or solution for a specific issue.

Increasingly, the leadership role of public actors in collaboration is becoming a subject of discourse by collaborative scholars. Ansell & Gash (2008:546) assert that “public agencies have a distinctive leadership role of providing essential mediation and facilitation for collaborative process”. For Scott & Thomas (2017) public managers assume a leadership role in collaborative governance when they act as conveners and initiate the collaborative institution whereby the public managers are required to manage, facilitate and oversee the routine administrative operations of the collaborative process. Koontz, et al. (2004) identify three wide-ranging roles which can be performed by public actors in collaborative governance. Public agencies may function as:

- leaders to convene and facilitate collaborative governance initiatives
- encouragers to provide capabilities such as human, financial, or technical resources, to support collaborative governance
- followers to join collaborative governance efforts convened or encouraged by others.

Koontz, et al. (2004) contend that this transition may observe government lead at the start of the initiative, but as capacity develops, in other partners, this leadership role may be transferred. The analytical theory is about the extent of a leadership role that the government can be willing to transfer to partners (private sectors) to promote desirable shared leadership practices for effective collaboration? The notion of shared leadership is a change in basic assumptions from individualise leadership approach elevated by hierarchy to that of leadership originating from the team. Carson, et al. (2007:1218) describe shared leadership as an emergent team asset formed by the distribution of leadership influence across diverse team members.

Leadership is crucial for setting and maintaining clear ground rules, building trust, facilitating dialogue, and exploring mutual gains. As collaborative entities are encountered with solving increasingly complex problems, addressing these concerns requires effective leadership that can facilitate a collaborative problem-solving approach where multiple perspectives are leveraged (Nelson & Squires,

2017:111). Given the importance of leadership in collaboration, then the question is: What are the essential characteristics of effective leadership in a collaboration? For Ryan (2001:241) effective leadership in collaboration is measured concerning its ability to manage the collaborative process adequately while maintaining technical credibility and ensure credibility and universality of acceptance of collaboration outcomes to all stakeholders.

What level of competencies is required for efficient collaborative public leaders? Does collaborative context require additional or enhanced competencies or are standard organisational leadership competencies sufficient to initiate and steer collaborative governance to fruition? Lasker and Weiss (2003:31) contend that collaborative leaders must be endowed with the requisite skill to facilitate:

- broad-based inclusiveness and active participation
- broad-based influence and control
- a productive environment and expand the scope of the process

Successful collaboration may also employ multiple leaders, formally and informally, rather than relying on one leader (Bradford, 1998; Lasker & Weiss, 2003). Kolzow (2014) contends that leadership qualities for effective collaboration may depend on the precise culture and context. According to Ansell & Gash (2008, cited in Fitchett, 2016:23), where incentives to participate are weak, power and resources are asymmetrically distributed, and prior antagonisms are high, leadership becomes more critical whereby leadership must assume the role of honest broker.

**Table 4.5: Collaborative leadership competencies**

Attributes	Skills	Behaviours
<ul style="list-style-type: none"> <li>• Collaborative mindset</li> <li>• Passion towards outcomes</li> <li>• Systems thinking</li> <li>• Openness and risk-taking</li> <li>• Sense of mutuality and connectedness</li> <li>• Humility</li> </ul>	<ul style="list-style-type: none"> <li>• Self-management</li> <li>• Strategic thinking</li> <li>• Facilitation skills</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder identification</li> <li>• Stakeholder assessment</li> <li>• Strategic concern framing</li> <li>• Convening working groups</li> <li>• Facilitating mutual learning processes</li> <li>• Inducing commitment</li> <li>• Facilitating trusting relationships amongst partners</li> </ul>

(Adapted from Morse, 2007:83-85)

Drawing from Table 4.5: Collaborative leadership competencies above, the core competencies for collaboration leadership can be stratified into three categories, namely, the attributes, skills and behaviours (Morse, 2007). The attributes may be further classified into six segments: collaborative mindset; passions; systems thinking; openness and risk-taking; sense of mutuality and connectedness; humility. In addition to the attributes, certain skills are required to boost the competencies in collaborative leadership, such as self-management, strategic theory, and facilitation skills. The right combination of these attributes and skills enhances the capabilities of collaborative leaders to be able to exhibit the type of behaviours required for effective collaborative leadership. Behavioural competencies, such as the ability to identify and assess collaboration stakeholders; convening workgroup; strategic concern framing; facilitating mutual learning processes; Inducing commitment and facilitating trusting relationships amongst partners.

#### **4.7.7.1 Attributes**

Linden, 2002:161) describes the visionary attribute that enables collaborative leaderships to observe “connections and possibilities, where other might observe barriers or limitations” In addition to the attribute of collaborative mindset, collaborative leaders must be self-driven with passions or personal desire to achieve (need for achievement). According to Van Wart (2005), the need for achievement is based on the intrinsic motivations of personal achievement. Collaborative leaders are systems thinkers that “see the big picture” and “take the long view”.

Most scholars contend that collaborative leaders are like entrepreneurs (Morse & Dudley, 2002; Henton, et al., 2004) with the appetite to take risk. The willingness to take risk is regarded as a critical attribute for collaborative leaders as identifies in the literature of collaborative scholars on leadership (Luke 1998; Sullivan & Skelcher, 2002; Henton, et al., 2004).

A sense of mutuality and connectedness of leaders with others is another attribute of collaborative leadership. According to Luke (1998:227, cited in Morse, 2007:87), this attribute can best be thought of concerning one having the ability to acknowledge others concerns and perspectives. The ability of collaborative leadership to embrace the perspectives and concerns for others catalyses the spirit of mutual ownership of collaborative actions. Collaborative leaders need to be endowed with an appreciable level of humbleness and whose ambitions are geared towards collective success than personal gratification (Linden, 2002:154).

#### **4.7.7.2 Skills**

A wide range of skill competencies are needed for effective collaborative leadership (O'Leary , et al., 2012). For this study, these skills were clustered into three themes, self-management, strategic theory, and facilitation skills. One of the essential skill requirements for effective leadership is self-management skills required to prioritise and manage time effectively. Collaborative leaders need to be analytical and strategic in theory. Apart from these two themes of self-management and strategic

thinking, facilitation skills are also required for collaborative leaders to convene and lead, while assisting a diverse group to collaborate effectively.

#### **4.7.7.3 Behaviours**

One of the essential behavioural characteristics for an effective leadership encompasses finding the right combination of stakeholders to involve and ways to involve them. The ability of a collaborative leader to transform concealed problem or opportunity into importance concerns for the public and to convene a productive group of diverse stakeholders, bonded in strong relationship and trust to address matters of common concern is another important behavioural practice expected from an efficient collaborative leader. Moreover, collaborative leaders are needed to facilitate mutual learning processes and ensure that the partners are committed to the process.

Seemingly, there is no “one best fit” way of convening stakeholders in a collaboration. Luke (1998:81) maintains that collaborative leaders may pay close attention to first meetings and invest considerable time and energy in the initial process to engage in relationship building amongst stakeholder/role-players on an ongoing basis. Linden (2002:92) refers to such type of relationships as “the glue to most collaborative efforts”. Collaborative leaders should encourage the commitment of participants to initiate and sustain actions throughout the implementation process (Agranoff & McGuire, 2001; Linden, 2002). Commitment from crucial decision-makers may be secured to sustain collective action during the implementation stage. To enhance effective commitment-building at the implementation stage, Luke (1998:128-31) cited in Morse (2007:94) explains that other champions need to be identified and be involved, such as the advocacy coalitions and other power-holders who can assist in the political process of allocating resources.

#### **4.7.8 Motivation to collaborate**

Collaborations are powered by a common shared purpose amongst the stakeholders/role-players to address societal challenges that cannot be solved single-handedly by one stakeholder. The underpinning assumption is that each

stakeholder brings unique strength and abilities as per their resources and capabilities to the initiatives (Olson, *et al.* (2011:S<sup>1</sup>11). Collaboration theorists conceptualised and present several arguments on reason to collaborate. While Emerson, *et al.* (2012) articulate it concerning “consequential incentives, Independence and uncertainty”, others scholars centred their arguments on the “perceived collaboration benefits” (Ansell & Gash, 2008; Chen, 2010; Mattessich & Monsey, 1992; Mattessich, *et al.*, 2001; Olson, *et al.*, 2011; Raišienė, 2012).

Emerson, *et al.* (2012) articulate the significant incentive to collaborate as either internal or external crisis, threats and opportunities that warrant collaborative endeavours. Interdependence comes into play when the parties realise, they cannot unilaterally achieve a goal on their own except through collective initiatives. In the same vein, uncertainty about how to internally resolve a wicked societal problem can drive groups to collaborate enabling them to reduce, diffuse, and share risk (Emerson, *et al.*, 2012:9).

For collaboration to be successful as maintained by Olson, *et al.* (2011: s11), it should be able to provide valued benefits to both the stakeholders organisations and the key stakeholders/role-players they serve. According to Bingham & O’Leary (2008), organisations may be motivated to pursue partners that enhance their legitimacy, amongst other things, to meet funding requirements, to improve organisational reputation and to build a future relationship. Organisations may cooperate with others when mandated by the funding agency under compliance. Some organisations can be reputation-driven to cooperate and enhance their position or to build a future relationship. According to O’Leary & Vij, (2012), organisations may also be driven to collaborate for economic, social, and political reason. To be successful, collaborations must provide valuable benefits to both the member organisations and the major stakeholders they serve (O’Donnel, 2012).

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<sup>1</sup> S means supplement

Each organisation brought unique strengths and abilities to the initiative. This allowed all partners to contribute value to the collaboration in ways aligned with their capabilities and resources. Concerning providing value back to the partner organisations, there should be a conscious commitment amongst the group members to ensure that all partners benefitted and that the distribution of benefits is transparent and equitable (Olson, et al., 2011:s11).

#### **4.7.9 Alignment with the external environment (Contextual macro-environment)**

The external environment encompasses the various contextual matters present within the setting (system context) of collaborative governance system that could influence its outcomes, such as policy and legal framework (Bingham & O'Leary, 2008); historical records of failures in past collaborative initiatives (Bryson & Crosby, 2014); relational power dynamics amongst the tiers of government and within the community (Ansell & Gash, 2008). The context is observed as the background and dynamic environment where collaboration in LED strategies is deemed to take place. This enables the process of observation concerning other things. The realities of the environments must be considered by participants when collaboration is planned or designed.

According to Carey, et al. (2014:8), collaborative initiatives are designed concerning “what they hope to achieve” and the “context where change has to occur”, inter alia, structures, values and norms. Several other scholars of collaboration identify and classify the contextual matters which impacts on collaboration as environmental factors, such as the history of collaboration (Mattessich, et al., 2001; Raišienė, 2012; Olson, et al., 2011) and the proximity of organisation and supply-side imperfection (Chen, 2010; Olson, et al., 2011). The Wilder model (2001, cited in Ales, et al. (2011:s11) identify the environmental factors, impacting on collaboration concerning the previous relational experience and external factors, inter alia, governmental, regulatory, social, and economic forces.

## 4.8 CONCEPTUAL FRAMEWORK

The arguments and definitions developed in Chapters 2, 3 and 4, provided a framework for better understanding how, and under what conditions LED and cooperative governance can contribute to the improvement in the responsiveness and system management of socio-economic concerns within the municipalities. The overarching concern which underlines this framework is the ability of collaborative governance to enhance system management of LED aimed at improving the quality of lives of all the individuals as defined by their capabilities. Analytically, the question is whether LED has the potential to achieve the objectives mentioned above within the municipalities and on what circumstances? This accentuates the need to understand the nature and potential of LED within the municipality and the determining factors for successful collaborative endeavour for LED.

A synopsis of the preceding chapters reveals that the conceptual framework demonstrated a growing need to understand the nature, dynamics, methods and the promises of LED concerning its ability to contribute to the socio-economic development of a locality. To achieve sustainable development within the municipalities, the conceptual framework accentuates the need to ensure that the potential and competitive advantage of the area amidst the specific constraints/challenges are known and exploited. The conceptual framework expounded the need to be cognisant of actual constraints and challenges that derail collaborative endeavours from achieving its objectives.

The conceptual framework emphasised the need to understand within a comprehensive spectrum the nature and dynamics of institutional arrangements for the local governance of LED within the municipalities which have a major role to play for the effective implementation of LED strategies within the municipalities. It assists in providing the insights on how the interactions between the key role-players could assist in shaping and improving the socio-economic outcomes of developmental strategies within the municipalities. This brings to fore the desirability to further explore in the study some institutional arrangements in place within the

municipalities to promote collaboration for LED, with special focus on LED fora and intergovernmental relations structures.

The literature review also buttressed the desirability to assess, monitor and control the collective system management of socio-economic concerns (as it relates to LED) as fundamental for the system sustainability. The complexity of modern government beckons the usage of effective policy assessment mechanism within the LED policy and legal framework to provide both institutional and sectoral guidance for assessing the usefulness and relevance of the framework in the ground. This would also enable the stakeholders to consult and synchronise the policy and be able to resolve any inconsistencies or conflicts in either the policy development or implementation. The study deemed it imperative to further explore how this concept is operationalised within the municipalities.

The preliminary literature review of this study underscores that to achieve perceived effective outcomes in collaborative governance for LED, the dynamics and interplay of certain key factors should be taken into consideration. These factors influence the outcomes of the collaboration process. An effective collaboration requires the presence of well-functioning enabling policy/legal framework to provide both institutional and sectoral guidance for the collaboration process. Uncertainties in the enabling policy and legal framework of collaboration can negatively impact on the outcomes of collaboration. The literature review buttressed the fundamental role of increasing desire or opportunity to collaborate as defined by collaboration concerning the legitimacy and mutuality of purpose of collaboration as one of the strong forces required to kickstart or ignite collaboration.

The literature review also emphasised that collaboration should be legitimate. The purpose has to be clear to motivate or stimulate the buy-in of stakeholders based on a shared vision. The benefit of this is to enhance the involvement or participation of the desired characteristics of role-players/ partners in the process. The desired characteristics of the role-player could be explained concerning their willingness to participate and commit resources to the process.

The literature review discloses that the collaborative process should be initiated, powered, and steered by leaders (motivated and committed role-players) of certain leadership characteristics to govern the process. The literature review established another fundamental aspect of collaborative leadership as it relates to its capabilities to influence collaborative governance process concerning how the process is formulated and managed (transparency, definitions of roles and responsibilities, ground rules and accountability). The efficacy of the governance process may reinforce the legitimacy of the process, enhance interpersonal relations/trusts, commitment and the learning outcomes that the role-players stand to gain from the collaboration which can enhance their capacity to participate.

The literature review underscores the fundamentality of communication amongst the role-players that should be effective. These factors endogenously impact on the enabling collaborative micro-environment to improve collaborative outcomes for LED amidst certain exogenous or contextual factors present in the external macro-environment of collaboration which also exact influence on the collaborative outcome (policy regulation, system stability and economic forces). For this study, much emphasis was accorded to enabling legal policy and framework for LED collaborative governance. The dynamics of these factors impact on the outcomes of collaboration.

Certain pull and push fundamental factors for successful collaboration was identified in the conceptual framework. Put differently, these constitute the determinants for a successful collaboration. As contained in the conceptual framework, the key determinants are as follows:

- legitimacy/shared vision/purpose of collaboration
- structure and governance of collaboration
- communication/engagement
- interpersonal relations/trusts (interpersonal characteristics)
- partner's characteristics
- partner's learning outcomes

- motivations
- contextual macro-environment (policy and legal framework)

Provided the aforementioned specifics rooted in the conceptual framework, the key emerging concerns from the literature reviews considered for further examination in the study are as follows: The contextual macro-environment (policy and legal framework); Specific LED challenges; LED institutional arrangements; IGR; Monitoring and Evaluation; Determinants or pull and push of collaborative process (Leadership), Legitimacy/shared vision/purpose of collaboration, the governance structure of collaboration, communication/engagement; interpersonal relations/trusts (interpersonal characteristics), partner's characteristics, partner's learning outcomes and motivations. These criteria should be the basis for assessment in the empirical study.

This conceptualisation assisted in examining and comprehending the patterns of LED and cooperative governance in six selected municipalities and assists to identify the specific cooperative governance factors involved in the efficacy and governance of LED within comparable small towns, not known and understood. These chapters provide the conceptual framework to examine how much of the discourses in LED and cooperative governance are translated into real experiences, and for understanding and assessing their policy and policy outcomes implications.

#### **4.9 CHAPTER SUMMARY**

The conceptualisation of cooperative governance for LED through a detailed review of ideas on collaborative governance established in literature was presented in this chapter. In featuring some propositions in antecedent literature on the design and assessment of collaborative governance for LED, the nature and role of diverse stakeholders, specifically, the state, private and civil sectors were discussed. The discourse on the benefits and determinants of effective cooperative governance and the limitational factors encumbering its success of enhancing the local governance of LED were presented in the chapter.

Although there is a wealth of literature and model for effective collaborative governance, but individually there are still few empirical studies conducted on collaboration for the local governance of territorial economic development, especially in local towns. Insignificant knowledge was provided by both extant and antecedent literature and models on how to measure outcomes (performance) of collaboration for LED. This study intended to address the above gaps specifically focusing on cooperative/collaborative for LED in local towns and evolving performance measuring model/framework which can be used to assess the design and practice of local governance for LED through collaborative arrangements. Hopefully, the findings herein contribute to improve the responsiveness and system management of socio-economic concerns within the municipalities. Lastly, this chapter finalised the conceptual framework of this study. The next chapter presents the research design and methodology.

## CHAPTER 5: RESEARCH DESIGN AND METHODOLOGY

### 5.1 INTRODUCTION

The previous chapters of the study focus on the theoretical aspects concerning the contemporary trends identified in development discourses, the conceptualisation of LED and cooperative governance for LED within the contemporary capability approach of development and discussions on the situational and contextual factors that impact on the effectiveness of cooperative governance for LED.

These chapters provide the conceptual framework to examine how much of the discourses in LED and cooperative governance are translated into concrete experiences, and for understanding and assessing their policy and policy outcomes implications. Key concerns emerging from the theoretical framework are: The determinants of a collaborative process concerning: Contextual macro-environment (policy and legal framework); leadership, legitimacy/shared vision/purpose of collaboration, structure and governance of collaboration, communication/engagement; interpersonal relations/trusts (interpersonal characteristics), partner's characteristics, partner's learning outcomes and motivations; Nature and potential for LED; Specific LED challenges; LED institutional arrangements; IGR; Monitoring & Evaluation.

These key concerns form the basis for the empirical/fieldwork of the study. As displayed in Chapter 1, the research problem and objective of this study is to assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in the Western Cape. The purpose of this chapter is to discuss the research design and methodologies used in the study. The chapter focuses on the research paradigm, research design, scope and sample, data collection and data analysis. This chapter also presents the various research tools, data collection processes and data analysis methods applied in the study.

The chapter begins with the type of research design and the rationale underpinning the choice of the type of research design used in the study. In this chapter, the

scope, sample, and the sampling strategy employed for selecting the participants constituting the target group of this study are presented. The chapter explains the process of data collection in the study and the methodology applied to analyse the data obtained through the interviews, focus group discussions and documents review. Lastly, the chapter presents a synopsis of some best practices' models on collaborative governance synthesised to conceptualise and evolve normative model/framework for measuring performance in cooperative governance for LED.

## **5.2 RESEARCH DESIGN**

This study adopted an interpretive research design and specifically used a comparative case study approach. The research is located within the interpretive and constructivist paradigm, which reflects on definitions and pursues to understand the context and each case by using a range of qualitative approaches (Babbie & Mouton, 2001). Employing interpretive research design assists the researcher to understand the social phenomenon in their natural settings, and construct meanings that individual attached to their experiences (Denzin & Lincoln, 2005; Esterberg, 2002; Jones, 2002).

The study involved the Executive Mayors, elected councillors and staff of the six selected municipalities and staff of two district offices in George and Bredasdorp, representatives of business chambers/association) and the NGOs/CBOs in the selected six municipalities in the Western Cape. Key role-players from the following departments and organisations were involved:

- Salga
- Department of CoGTA
- Western Cape DEDAT

The main objective of the study was to assess the specific factors involved in designing and implementing cooperative governance for LED in the selected, comparable municipalities in the Western Cape.

### 5.2.1 Qualitative research design

As Guba (1990) and Creswell (2009; 2013) describes, a research design is a plan or guideline for conducting a study and represented procedures employed in the last three steps of the research process, indicating, data collection, data analysis and report writing. A research design can either be qualitative or quantitative. Quantitative research refers to the numerical expression of data for purposes of explaining the subject of the research (Babbie & Mouton, 2012:646). It is embedded in positivist paradigm characterised by objective measurement through scientific methods, statistical analysis, and generalisation findings.

As articulated by Kaplan & Maxwell (2001), qualitative research typically entails a logical and detailed study of individuals in natural settings (as against settings contrived), using open-ended interviews to elicit in-depth accounts of experience and perspectives of participants on specific matters and situations. Imperatively, this study employed a qualitative evaluation research design, involving the utilisation of predominantly qualitative research mythologies to describe and examine programmes/interventions in their natural setting (Mouton, 2011). As maintained by Atieno (2009:17), the main disadvantage of qualitative approaches to corpus analysis is that their findings cannot be extended to wider populations with the same degree of certainty that quantitative analyses can. Kaplan & Maxwell (2005:31) had maintained that qualitative methods are more useful than solely quantitative ones when a researcher pursue to examine the dynamics of a process rather than its static characteristics.

Employing qualitative research design in this study was informed by the objectives of the study to understand the meaning and the dynamic context of cooperative governance for LED aimed at improving the responsiveness and system management and responsiveness of socio-economic concerns within municipalities. This could assist the researcher to synthesise the best practices of such governance worthy of replication. Arguably, this type of research requires more of a lesson learnt than generalising the results. Strategies of rich data collection and triangulation were employed to enhance the validity of this study.

According to Maxwell (2012:viii), the most obvious characteristics of qualitative research design is its inductive, open-ended approach, its reliance on textual or visual rather than numerical data and its goal of particularly understanding phenomenon rather than generalisation across persons and settings. It suffices to buttress that the primary strength of the qualitative approach in this study is the ability to probe for underlying values, beliefs, and assumptions to gain a full appreciation of the stakeholders in question and to understand what is driving their behaviour (Yauch & Steudel, 2003:472).

### **5.2.2 Philosophical underpinning**

This study is informed and rooted in the principles of interpretivism and constructivism research paradigm. According to Guba (1990:17), a research paradigm is an interpretative framework guided by a set of beliefs and feelings about the world and how it should be understood and studied. As described by Weaver & Olson (2006:460), research paradigm is a pattern of beliefs and practices that regulate an investigation within a subject by providing lenses, framework, and research processes. Undoubtedly this serves as a structure to guide the behaviour of researchers (Jonker & Pennink, 2010). It suffices to mention that while constructivism philosophy provided a theoretical basis for the study, interpretivism was the overarching research paradigm that guided the study. These are further discussed below.

#### **5.2.2.1 *Interpretivist research paradigm***

The interpretivists believe that an understanding of the context where any form of research is conducted is critical to the interpretation of data collected (Willis, 2007). It was maintained that interpretivism research is more subjective than objective. The scholarship Willis (2007:110) pursues to advance the goal of interpretivism for one to value subjectivity. Interpretivist researchers pursue answers to their studies not in a rigid way but through reality approach from the participant's views, their experiences, and their setting. The ontological assumptions of interpretivism are that social reality is observed by multiple individuals and these multiple individuals

deduce phenomenon in various conducts, rendering preparations for diverse perspectives in incident meaning and interpretations (Mack, 2010:9).

Similarly, Henning, et al. (2004) support the notion of the social world on the context where experience occurs, the relationship between individuals in that context and the organisation structure in that community. Imperatively, understanding this social world through this paradigm enables researchers to discover multiple meanings and interpretations of the same experience from multiple individuals.

This research paradigm seeks to present the view that reality is rooted in individuals' distinctive experiences and perspectives. Individuals in a community, constructs and interprets experiences differently, depending on their interaction with each other in a broader community (McMillan, 2015). Interpretivist research paradigm seeks answer to research by forming and underpinning multiple understanding of individuals' world view. According to Willis (2007:194), various individuals and groups' perspectives differ. The inclusion and acceptance of multiple perspectives would lead to a better comprehension of the situation (Klein & Myers, 1999; Morehouse, 2011; Thanh & Thanh, 2015).

Given the interpretive paradigm, the fundamental purpose of researchers is to acquire insights and in-depth information about the events. Given this scenario, using quantitative methods which describe the world in numbers and measures is unlikely to be productive. Employing a right-fit approach of interpretivism becomes imperative. The latter approach has the inherent advantage of more inclusive as it accepts multiple viewpoints from individuals. It is therefore considered as productive for this study.

To understand the social world of cooperative governance for LED, based on the experiences and subjective meaning that individuals attached to it, as an interpretive research, the study favoured to interact and have a dialogue with the studied participants to achieve the predetermined objectives of the study. Qualitative data was preferred by the study, providing a detailed description of a social construct as opposed to a generalisation approach adopted by post-positivist researchers. As

maintained by Neuman (2011), interpretive researchers use a narrative form of analysis to describes specifics and highly detailed account of a social reality.

### **5.2.2.2 Constructivism paradigm**

It can be maintained that constructivism buttresses the subjective interpretations of participants regarding the reality of an incident and emphasises the ability of an individual to construct meaning. The paradigm of constructivism is closely related to that of interpretivism. While the latter is observed as the paradigm which underscores the notion that knowledge about reality is subjective to individuals, constructivism is the underpinning theory by which subjective knowledge about reality is constructed by individuals (Tuli, 2010).

The aim of a constructivist is to understand an incident or phenomena. Rich data are collated from which ideas are generated. Constructivists philosophical ideologies, as opposed to that of the positivists, acknowledged that knowledge and truth are created by the mind, not discovered by it (Charreire Petit & Huault, 2008:75). The proponents of the constructivism approach refute any nomothetic approach that presupposes the ability of the researcher to discover natural phenomenon by using systematic techniques. The constructivist approach accords primacy to the interactions between object and subject in the pluralistic, relativistic and multidimensional conception of reality which focus on interpreting the relationship between and across viewpoints and on the potentials replicability of the study rather than producing generalisable and result oriented findings (Hunter, et al., 2015:106).

Constructivism assumes that the meaning of experiences and events are constructed by individuals, and therefore individuals construct the realities where they participate (Charmaz 2006). The study aimed to elicit and understand how research participants construct their individual and shared meanings around the realities about the cooperative governance of local economy within the six selected municipalities. The scholarship of Charmaz (2006) on viewing constructivism through the perspective of *nature of reality*, articulates that interactive approach was

employed to generate data and analysis by the researcher and participant to construct a shared reality. Hunter, et al. (2015:106) maintains that through a constructivist approach, researcher and participants reflexively and mutually influence each other.

According to Mills, et al. (2006), the acknowledged co-construction of researcher's interpretation in constructivist research demands that research should be conducted in a reflective and transparent process. By reflective, the researcher should be mindful of the conditions for what one's doing and examining how the theoretical, cultural and political context of individuals and intellectual involvement affects the interaction with whatever is researched (Alvesson & Skoldberg, 2000:245).

This is part of the philosophical framework that guided the collection and analysis of data in this study. The study assumptions and experiences were articulated through reflective and analytical memos, written before and during data collection and analysis. This practice assisted in achieving transparency in constructivism research design (Mills, et al., 2006). Charmaz (2006) articulates that a key tenet of constructivist approach is to provide a voice to the subject and the researcher strongly believe that this principle assisted in galvanising the utility of the constructivist approach in research focused on system improvement and governance of local economy, characterised by collaboration, partnership, deliberation and advocacy for societal well-being of the entire community.

### **5.2.3 Comparative case study**

A comparative case study design was employed in the study. The identification and selection of cases adhered to Stake's (1995) belief that cases should be selected to maximise what can be learnt about the central focus of study. As a result, the study assessed comparatively the design and implementation of cooperative governance for developmental local government in six selected municipalities, namely, Hessequa Municipality (HM); Kannaland Municipality (KM); Oudtshoorn Municipality (OM); Mossel Bay Municipality (MBM); Swellendam Municipality (SM) and Theewaterskloof Municipality (TM) in the Western Cape. Imperatively, the study

necessitated a need to understand and explain what characterises the process and how these features within the context influence the success of collaborative initiatives for LED in the six selected municipalities.

According to Yin (1994; 2012), one of the real benefits of the case study method is that objects are studied in their context. The information obtained could become useful in tailoring interventions to support achieving predetermined development outcomes in municipalities. The study involved a comparison of six cases contrasted against each other based on a specific phenomenon in question to explore parallels and differences amongst the cases (Azarian, 2011:113). Put simply, the study entailed the analysis and synthesis of the similarities, differences, and patterns across the six municipalities with a similar developmental goal (Goodrick, 2014:1).

The synthesis across these cases extends beyond the comparison of similarities and differences to using these similarities and differences to support or refute propositions why an intervention succeeds or fails. Given the argument of Azarian (2011:118), the comparison of the phenomenon in question across various settings enabled the researcher to observe the different formations of the phenomenon and established why some developed in similar ways while others developed dissimilarly.

Goodrick (2014:1) contends that the most distinguishing feature of comparative case studies is the emphasis on examining causality concerning the extent to which the intervention caused the results, particularly outcomes and impacts. The rationale for selecting the specific cases in the study was well-informed by the research questions which provide the basis of what should be investigated. As the study sought to provide an in-depth insight into the phenomenon based on a small number of cases (six), for validation purpose, a triangulation approach was meticulously utilised.

A rigorous approach, involving multi-methods design where key constructs and processes were traced using more than a single methodology (Garson 2002:210) was employed. Such multiple methods employed in this study includes interviews

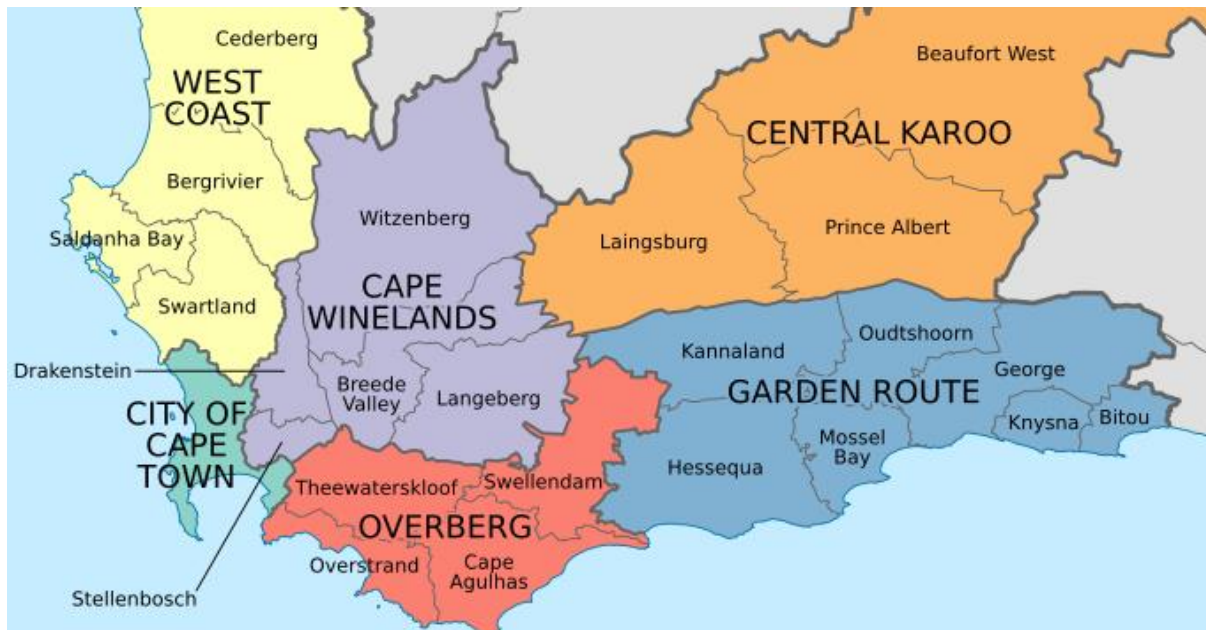
(semi-structured), focus group and desktop research or documentary analysis. Evaluating the same propositions through the data collected by multiple methods (triangulation) assisted the researcher to avoid some validation problems in case study designs.

## **5.3 RESEARCH METHODS**

This section of the study describes the setting for the study, the participants involved in the study, the technique employed to generate the data and the process followed.

### **5.3.1 Study setting**

South Africa has 257 municipalities in total, comprising eight metropolitans, 44 districts and 205 local municipalities. The Western Cape Province is made up of 30 municipalities which comprised one metropolitan municipality, five rural DMs and 24 local municipalities. They are all geared towards growing local economies and providing infrastructure and services. The study was conducted at six selected municipalities in the Western Cape. These municipalities are HM, KM, OM, MBM, SM and TM, as indicated below in Figure 5.1. The background of the municipalities concerning their classification, demographical characteristics, Socio-economic status and as the economy.



**Figure 5.1: Cartographic map of Western Cape**

Source: (Municipal Demarcation Board, 2012 )

#### **5.3.1.1 Case 1: Hessequa Municipality**

In this context, discussions would be based on the classification and demographic characteristics of the municipality.

##### *5.3.1.1.1 Classification and demographic characteristics*

Hessequa Municipality (HM) forms part of the Eden District Municipality (Garden Route) with six other municipalities, including, KM, MBM, OM and Knysna, Bitou and George municipalities. The municipality is classified as a B category municipality responsible for the provision of essential services and developmental activities in the municipality. The municipality is strategically located along the N2 highway to Cape Town and the Eastern Cape Province. This provides a competitive advantage for the municipality to facilitate the mobility of people, goods, and services.

The municipality closeness to the Garden Route enhances its potential for tourism. Garden Route is a sought-after tourist destination in the Western Cape. The major

towns in the municipality include Albertinia, Garcia, Gouritsmond, Heidelberg, Jongensfontein, Melkhoutfontein, Riversdale, Slangrivier, Stilbaai and Witsands (Western Cape Government, 2018a).

Provided the population estimate from the (DSD, 2018), the population of the municipality was estimated at 55 059 inhabitants in 2018 and it was expected to grow in 2024 to 62 620 inhabitants as indicated in Table 5.1 below. A population average annual growth rate of 2.2% was projected between 2018 and 2024. Amongst the seven local municipalities within Eden district, 9% of the district's inhabitants reside in HM. The actual household was estimated at 17 731 in 2016 (WCG, 2018a).

**Table 5.1: Profile chart of six cases municipalities**

CHARACTERISTICS	MUNICIPALITIES					
	Hessequa	Kannaland	Oudtshoorn	Mossel Bay	Swellendam	Theewaterskloof
<b>CLASSIFICATION</b>						
Municipal Category	B	B	B	B	B	B
<b>DEMOGRAPHIC</b>						
Population estimates (2018)	55 059	23 897	98 026	96 120	43 128	124 374
Actual households (2016)	17 371	6 333	23 362	31 766	11 678	33 097
<b>THE ECONOMY</b>						
Real GDP per capita (2017)	R 64 897	R 43 262	R 54 423	R 76 933	R 61 738	R 60 067

	Hessequa	Kannaland	Oudtshoorn	Mossel Bay	Swellendam	Theewaterskloof
Largest three sectors (Contribution to GDP, 2016)						
Sector 1	Finance, insurance, real estates and business services (21.1%)	Agriculture, forestry and fishing (17.7%)	Finance, insurance, real estates and business services (19.1%)	Finance, insurance, real estates and business services (27.9%)	Finance, insurance, real estates and business services (22.4%)	Wholesale and retail trade, catering and accommodation (17.7%)
Sector 2	Wholesale and retail trade, catering and accommodation (18.9%)	Finance, insurance, real estates and business services (17.3%)	Manufacturing (18.3%)	Wholesale and retail trade, catering and accommodation (17.1%)	Wholesale and retail trade, catering and accommodation (19.7%)	Finance, insurance, real estates and business services (16.3%)
Sector 3	Manufacturing (13.9%)	Wholesale and retail trade, catering and accommodation (15.9%)	Wholesale and retail trade, catering and accommodation (16.8%)	Manufacturing (15.0%)	Agriculture, forestry and fishing (11.0%)	Agriculture, forestry and fishing (15.5%)

	Hessequa	Kannaland	Oudtshoorn	Mossel Bay	Swellendam	Theewaterskloof
<b>SOCIO-ECONOMIC STATUS</b>						
Inequality (Gini-Coefficient) in 2017	0.57	0.568	0.572	0.616	0.581	0.59
Human development index (HDI) in 2017	0.72	0.656	0.683	0.732	0.695	0.67
Unemployment (2017)	8.4%	10.3%	20.6%	16.5%	7.9%	10.3%
Indigent Households (2017)	4274	2059	5541	11 438	1930	4 530

	Hessequa	Kannaland	Oudtshoorn	Mossel Bay	Swellendam	Theewaterskloof
Socio-economic risks						
Risk 1	Drought	Unemployment	Unemployment	Climate change & water security	Rising unemployment	Slow Economic Growth
Risk 2	Financial sustainability (Grant dependency)	Slow economic growth	Slow economic growth	Increasing population & demand for services	Increasing population & demand for services	Increasing population & demand for services
Risk 3	Stagnating economic growth	Rising indigent households	Rising indigent households	Stagnating economic growth	Stagnating Economic Growth	Rising unemployment

Compiled from: Western Cape Department of local government (2018)

### 5.3.1.1.2 *The economy*

The imperativeness of the economic activities within the municipal boundary cannot be overemphasised. The ability of households to pay for services, such as water, electricity, sanitation and refuse removal depends on income generated within the economic activities. A downturn in economic activities may result in job losses and inevitably the inability of households to pay for services leading to reduced municipal revenues. It was reported that HM contributed R3.557 billion in 2016 to the Regional Gross Domestic Products (WCDLG, 2018). Economic activity in Hessequa is dominated by the tertiary sector to a tune of R2.319 billion in 2016 (Quantec Research, 2018). The tertiary sector is estimated to have grown by 1.5% in 2017. The secondary sector in the municipality, supported by manufacturing, which totalled R802.1 million in 2016 grew by an average of 2.3% between 2006 and 2016 (Quantec Research, 2018).

The growth performance for the secondary sector was on the decrease since 2013, with an unprecedented record of a zero per cent growth rate estimated for 2017 as some sectors were estimated to have contracted in 2017 (Quantec Research, 2018, cited in the (Western Cape Government Provincial Treasury, 2018:396). The primary sector, which totalled R435.7 million in 2016 continues to struggle concerning growth. The agriculture, forestry, and fishing subsector, recorded 5.9% growth in 2014 but rescinded significantly in 2015 and 2016, a rebound was expected in 2017.

The average real GDPR per capita for the municipality was estimated at R 64 897 in 2017, as indicated in Table 5.1 above. There was an increase in the municipality's GDPR growth between 2006 and 2016 with an average growth of 2.8% over 10 years (Statistics South Africa, 2018, cited in WCG, 2018a:26). The economist employed the real GDPR per capital as an indicator to estimate the income per person within an economy. It can be calculated by dividing the real gross domestic product of an economy by the population. The real GDPR is contextually essential in the study because of its inherent associative characteristics with the standard of living of individuals within the local economy of HM. An increasing growth in the municipality's real GDPR per capita means an increasing improvement in the living standard of inhabitants in the municipality.

The GDP per capita is an estimate of the average income of persons within and is not accurate enough to fully reflect the annual incomes received by various individuals within the municipality. As indicated in Table 5.1, the three most dominant economic sectors that contribute most substantial to the municipality's GDP are: Firstly, finance, insurance, real estates and business services (21.1%); secondly, wholesale and retail trade, catering and accommodation (18.9%); and lastly, manufacturing (13.9%) sectors (Western Cape Government, 2018a).

#### **5.3.1.1.3 Socio-economic status**

The buoyancy of local economies underpins the standard of living of the individuals in the municipality. As the economy thrives, its citizens are expected to enjoy a good standard of living. Contrarily, a declining economy spells out a lower standard of living for the citizenry. Specific indicators are presented and discussed in this section, providing relevant information on this aspect. Indicators, such as the income inequality, human development and indigents household (free essential services) to indicate the current realities of households residing in Hessequa municipality areas.

#### ***Income inequality***

Trends in income inequality, poverty, and redistribution of wealth in post-apartheid South Africa attracted many discourses, especially concerning how to redress inequality and poverty level in the country. The NDP established a target of reducing income inequality in South Africa from a Gini-coefficient of 0.7 in 2010 to 0.6 by 2030 (WCG, 2018a; IHS Global Insights, 2018). Inequality refers to how income is distributed unevenly across the various participants in an economy. It refers to the divergence between the rich and poor.

Given the country's prominent level of poverty, economists use the Gini-coefficient to measure the level of inequality. Gini-coefficient measure the level of distribution of income and consumption expenditures amongst individual or household. The Gini-coefficient index ranges from 0 (0%) to 1 (100%). A Gini index of 0 (0%) represents a perfect equality, while an index of 1(100%) represents a perfect inequality. It was reported that income inequality decreased in HM between 2008 and 2011, from 0.52 to 0.51. It increased since 2011 to reach a high of 0.57 in 2017 (IHS Global Insights, 2018) as indicated in Table 5.1 above.

Income inequality is marginally lower in HM than in the Eden district and in the Western Cape (0.612). According to the participatory development perspective, LED is about inclusiveness and providing opportunities for residents to determine and address the development needs of their community,

Stemming from the capabilities approach, having a good knowledge of the level of inequality in the municipality becomes relevant in this study especially as it relates to how inequality affects the quality of lives of individuals within the municipality. Inequality impacts on societies and individuals in several spectrums (Keeley, 2015). It was maintained that an elevated level of inequality could be associated with reduced trust and an increase in social unrest (Keeley, 2015). Trust is regarded as an essential element for participatory development as envisaged in LED.

### ***Human Development Index (HDI)***

The HDI is used by the United Nations to determine the level of socio-economic development in countries. This is based on the premise that individuals and their capabilities should be the ultimate criteria for assessing the development of a country, not economic growth alone. Indicators of HDI are based on education, housing, access to basic services and health. A score between zero (0) to one (1) is created. One (1) indicates an elevated level of human development, zero (0) represents no human development. It was reported that HDI in HM was on the upward trend from 0.64 in 2008 to 0.72 in 2017 (IHS Global Insights, 2018, cited in WCG, 2018a:15). The reporting of this parameter becomes relevant in this study as it assists in illuminating trend in the level of socio-economic development within the municipality which could be employed as one of the parameters to assess the impacts of development strategies within the municipality.

### ***Unemployment***

Unemployment was on the increase in the municipality over the last decade with an unemployment rate of 6.2% recorded in 2007 and increased to 8.4% in 2017 (Quantec Research, 2018) as indicated in Table 5.1 above. The unemployment rate in the municipality is reported to be lower than that of Overberg in 2017, with a record high of 16.9%.

### ***Indigents households***

The indigent policy of municipalities aims to alleviate poverty in poor communities. Over the years, the municipal area experienced an increase in indigents support between 2007 and 2017 from 1 837 in 2007 to 4 274 in 2017, which amounted to an average annual change of 8.8%. This implies an increased demand for indigents support and additional burden on municipal financial resources (WCG, 2018a). The number of household indigent increased in the Eden District and the Western Cape.

### ***Socio-economic risks***

Most municipalities in the Western Cape experiences hydrological drought conditions. The primary socio-economic risks associated with economic and human development in the municipality are droughts, financial sustainability (Grant dependency) and stagnating economic growth. Data become relevant in this study as it assists in understanding the economic activities as it relates to human development and standard of living of the individuals within the community. The dynamics of the various external forces impact on the economic environment of the municipalities.

#### ***5.3.1.2 Case 2: Kannaland Municipality***

In this context, discussions were based on the classification and demographic characteristics of the municipality.

##### ***5.3.1.2.1 Classification and demographic***

KM is classified as a Category B municipality. It is one of the seven municipalities of Eden (now Garden Route) District municipality. Other municipalities are HM, MBM, Oudtshoorn, Knysna, Bitou and George municipality. The municipality is in the western part of the little Karoo. And it shares its borders with Central Karoo district to the North, Cape Winelands, and Overberg to the east. The municipality is home to small towns, such as Ladismith, Calitzdorp and Zoar (WCG, 2018b). The population of the municipality was estimated 23 897 in 2018, as indicated in Table 5.1 above. By 2024, the population of the municipality is expected to rise by 1.55% to a projected Figure of 28 466 inhabitants. In 2016, the actual

households in the municipality was estimated 6 333 households (DSD, 2018 cited in WCG, 2018b:2).

#### **5.3.1.2.2 *The economy***

According to Quantec Research (2018) cited in WCG (2018b:27), the worth of KM economy was estimated at R1.1 billion in 2016. According to Statistics South Africa (2018), during the same year under review (2016), KM's real GDPR per capita of R43 262 (Table 5.1) was below that of the Eden district's average amount of R69 970 and that of the Western Cape of R87 110. There was an increase in the municipality's GDPR growth between 2006 and 2016 with an average growth of 2.9% over 10 years.

As indicated in Figure 5.1 above, the three most dominant economic sectors in the area are, sector 1: Agriculture, forestry and fishing sector (17.7 %); Sector 2: Finance, insurance, real estate and business services (17.3%); and Sector 3: Wholesale and retail trade, catering and accommodation (15.9%). In 2016, a severe contraction in GDPR of the agriculture, forestry and fishing sector and the waning of the local economy resulted in lower employment in the majority of the sectors, emphasising the dependence on the local economy on the agriculture, forestry and fishing sector.

#### **5.3.1.2.3 *Socio-economic status***

The socio-economic realities of households residing in KM is presented as reflected in the following indicators, inter alia, income inequality, HDI and the indigents households.

##### ***Income inequality***

The level of distribution of income amongst the individuals in KM as determined by the Gini-coefficient index, reveals an increasing divergence between the rich and the poor. This considerable income divergence was recorded between 2011 and 2017 (IHS Global Insight, 2018, cited in WCG, 2018b:14). It was reported that income inequality continuously increased in KM between 2011 and 2017, from 0.52 to 0.568 (IHS Global Insight, 2018) as indicated in Table 5.1 above. Income inequality is marginally lower in KM than in the Eden district and in the Western Cape both at 0.612.

### ***Human Development Index (HDI)***

Increasingly, the HDI in KM was on the upward trend from 0.57 in 2008 to 0.66 in 2017 (IHS Global Insight, 2018, cited in the WCG, 2018b:16). This is a definite notch for the municipality in matters of capability enhancement.

### ***Unemployment***

Unemployment was on the increase in the municipality over the last decade, especially over the last 3 years. The unemployment rate was 7.1% in 2007; 8.9% in 2015; 9.9% in 2016 and an estimated percentage of 10.3 in 2017 as indicated in Table 5.1 above. The unemployment rate in the municipality is reported to lower than that of the Overberg District (16.9%) and province in 2017 with a record high of 18.2% (Quantec Research, 2018, cited in the WCG, 2018b:29).

### ***Indigent households***

Over the years, the municipal area experienced an increase in the number of indigents support from 5 706 in 2007 to 7 797 households in 2017 (WCG, 2018b:19). And this increase implies a slight upward trend in demands for indigents support and additional burden on municipal financial resources. The number of household indigent increased in the Eden District and the Western Cape.

### ***Socio-economic risks***

Unemployment was ranked risk number one as a socio-economic factor, followed by slow economic growth and rising indigents households. Other risks experienced in the municipality is financial sustainability (Grant dependency) and stagnating economic growth. Unemployment impacts negatively on local economies in various ways, regarding, diminishing purchasing power of individuals, lowering the quality of life (this can impact on human capital needed for local economies), and proliferation of socio-unrests and crimes.

### **5.3.1.3 Case 3: Oudtshoorn Municipality**

In this context, a discussion is based on the classification and demographic characteristics of OM.

#### **5.3.1.3.1 Classification and demographics**

OM is classified as a Category B municipality located in the Garden Route. It is bordered by George municipality to the east, Prince Albert to North and KM to the west. The major towns in the municipality are De Rust, Dysselsdorp, and OM. OM serves as regional centre for the surrounding agricultural areas. The natural environment of the area creates a natural hospitality towards the tourism industry. The population of the municipality was estimated at 98 026 inhabitants in 2018, as indicated in Table 5.1 above. And in 2024, the population is projected to be 113 114, which indicates a positive population growth rate projection of about 8.7% in 2024 (DSD, 2018, cited in the WCG, 2018c). Out of the seven local municipalities in Eden within Eden district, 16% of the district's inhabitants reside in Oudtshoorn. The actual household was estimated at 23 362 inhabitants in 2016.

#### **5.3.1.3.2 The economy**

OM contributed R5.1 billion to the district GDP in 2016. The average real GDP per capita for the municipality was estimated at R 54 423 in 2017 (Table 5.1 above) below that of the Eden district (R69 970) and that of the Western Cape (R87 110). There was an increase in the municipality's GDP growth between (2006 - 2016) with an average growth of 2.9% over 10 years (Quantec Research, 2018, cited in the WCG, 2018c:25). Table 5.1 above indicates that the three sectors with most dominant economic activities in the area are: Finance, insurance, real estates and business services sector (19.1%), manufacturing sector (18.3%) and Wholesale and retail trade, catering and accommodation sector (16.8%).

### **5.3.1.3.3 Socio-economic status**

The socio-economic condition of the inhabitants in OM as determined by the Gini-coefficient of inequality measure; HDI and the number of indigent populations in the municipality is presented below.

#### ***Income inequality***

The level of income inequality in OM as determined by Gini-coefficient improved slightly between 2010 and 2011. After that, it deteriorated from 0.53 in 2011 to 0.572 in 2017, as indicated in Table 5.1 above. Income inequality in OM is marginally lower than that of the Eden district and Western Cape, both 0.613 in 2017.

#### ***Human Development Index (HDI)***

Increasingly, the HDI in OM and Eden were on the upward trend from 0.60 in 2008 to 0.68 in 2017, corresponding to an improvement in economic and human development in the municipality (IHS Global Insight, 2018, cited in WCG, 2018c:15).

#### ***Indigent households***

It was reported that OM area experienced an increase in the number of indigents support between 2007 and 2017. It increased from 11 254 inhabitants in 2007 to 19 120 inhabitants in 2017 (IHS Global Insight, 2018, cited in WCG, 2018c:18) The number of indigent households increased Eden and the Western Cape (Quantec Research, 2018, cited in WCG, 2018c:28).

#### ***Unemployment***

Unemployment is on the rise in OM, especially for the past three years. In 2015, the municipality unemployment rate was recorded at 18.9%. In 2016 it pitched at 20.0% and was estimated at 20.6% in 2017, as indicated in Table 5.1 above. The unemployment rate in the municipality in 2017 was expected to be higher than the average unemployment rate for the district.

## ***Socio-economic risks***

In other municipalities in the district, drought was a significant socio-economic risk in the Western Cape, mostly unemployment, slow economic growth and rising indigent household (Quantec Research, 2018, cited in WCG, 2018c:25).

### **5.3.1.4 Case 4: Mossel Bay Municipality**

In this context, a discussion would be based on the classification and demographic characteristics of the municipality.

#### **5.3.1.4.1 *Classification and demographics***

MB Local Municipality is classified as a category B municipality. It is one of the seven municipalities of Eden District municipality. The municipality is bordered by the municipalities of OM to the North, George to the east and KM to the west. It is situated on the N2 half-way between Cape Town and Port Elizabeth. The major towns and cities are: Boggoms Bay, Brandwag, Friemersheim, Great Brak River, Herbertsdale, Mossel Bay, and Vleesbaai.

The population of the municipality was estimated at 96 120 inhabitants in 2018, as indicated in Table 5.1 above. And in 2024, the population is projected to be 107 829, which indicates a positive population growth rate projection of about 8.9% in 2024. Out of the seven local municipalities within Eden district, 15.9% of the district's inhabitants reside in MB. The actual household is estimated at 31766 households (DSD, 2018, cited in WCG, 2018d:2).

#### **5.3.1.4.2 *The economy***

Mossel Bay Municipality (MBM) is the second-largest economy in Eden, with a local gross domestic product of R6.951 billion in 2016 (Quantec Research, 2018, cited in WCG, 2018d:26). The tertiary sector dominates the economic activity in the municipal area. It amounted to R4963.8 million in 2016, and the sector was estimated to have grown by 1.5% in 2017. The average real GDP per capita for the municipality was estimated at R76 933 in 2017 (Table 5.1 above), which surpassed that of the Eden district (R69 970) and that of the Western Cape (R87 110). There was an increase in the municipality's GDP growth

between 2006 and 2016 with an average growth of 2.4% over 10 years. The three sectors with most dominant economic activities in the area are: finance, insurance, real estates and business services sector (27.9%), wholesale and retail trade, catering and accommodation sector (17.1%), and manufacturing sector (15.0%).

#### **5.3.1.4.3 Socio-economic status**

The presentation on the standard of living of households residing in MBM was informed using the following indicators, indicating: Income inequality, HDI and the indigents households.

##### ***Income inequality***

The income level inequality in the municipality, as determined by Gini-coefficient deteriorated from 0.52 in 2011 to 0.616 in 2017. The level of income inequality in MBM in 2017 as determined by Gini-coefficient was marginally higher than the Eden estimated 0.613 (IHS Global Insight, 2018, cited in WCG, 2018d:15).

##### ***Human Development Index (HDI)***

Increasingly, the HDI in MBM was on the upward trend from 0.67 in 2008 to 0.73 in 2017 (Table 5.1 above), corresponding to an improvement in economic and human development in the municipality. The HDI in MBM was in par with the index of Western Cape but was marginally higher than the index for Eden, 0.71 (IHS Global Insight 2018, cited in WCG, 2018d:15).

##### ***Indigents households***

It was reported that MBM municipal area experienced an increase in the number of indigents support between 2007 and 2017. It increased from 6 051 in 2007 to 11 438 in 2017 (Statistics South Africa, 2016). This amounted to an annual average increase of 6.8% over the periods. The number of indigent households increased in Eden District and the Western Cape (Quantec Research, 2018, cited in WCG, 2018d:18).

## ***Unemployment***

Alike other municipalities in the Eden district, unemployment is on the rise in MBM, especially over the past three years. In 2015, the municipality unemployment rate was recorded at 14.5%. In 2016 it pitched at 15.8% and was estimated at 16.5% in 2017. The unemployment rate in the municipality in 2017 was expected to be at par with the average unemployment rate for the district (Quantec Research, 2018, cited in WCG, 2018d:28).

## ***Socio-economic risks***

Economic stagnation whereby economic growth was retarded constitutes one of the socio-economic risks encountered by MBM. The impact of increasing population on demand for services presents another socio-economic challenge within the municipality (WCG, 2018d).

### **5.3.1.5 Case 5: Swellendam Municipality**

In this context, the discussion would be based on the classification and demographic characteristics of the municipality.

#### **5.3.1.5.1 Classification and demographics**

SM is equally classified as a category B municipality located in the Overberg District municipality. It forms the central part of Overberg. The area has a sturdy historical souvenir and with rich endowment in Agriculture and Bontebok nature reserve. It comprised the following towns: SM, Barrydale, Suurbraak, Buffeljagsrivier, Malagas and Infanta. As indicated in Table 5.1 above, in 2018, the population of the municipality was 42 128 inhabitants, and in 2024, the population of the municipality is projected to be 50 204 inhabitants, amounting to a population average annual growth rate of 1.6%. The actual households in the municipality as of 2016 were estimated at 11678 households (Department of Social Development, 2018, cited in WCG, 2018e:2).

#### **5.3.1.5.2 The economy**

The worth of SM was estimated at R3.373 billion in 2016. The municipality's regional gross domestic product in 2016 amounted to a tune of over R3.373 billion (Quantec Research,

2018, cited in WCG, 2018e:26). The tertiary sector dominates the economic activity in the municipal area. It amounted to R1677. 3million in 2016 and the sector was estimated to have grown by 2.4% in 2017. The average real GDP per capita for the municipality was estimated at R61 738 in 2017 (Table 5.1 above) below that of the Eden district (R69 970) and that of the Western Cape (R87 110).

There was an increase in the municipality's GDP growth between 2006 and 2016 with an average growth of 4% over 10 years (Quantec Research, 2018, cited in WCG, 2018e:26). The three sectors with most dominant economic activities in the area are: Finance, insurance, real estates and business services sector (22.4%), wholesale and retail trade, catering and accommodation sector (19.7%), and manufacturing sector (11.0%)

#### 5.3.1.5.3 *Socio-economic status*

The presentation on the standard of living of households residing in SM was informed using the following indicators, indicating: Income inequality, Human Development Index (HDI) and the indigents households.

##### ***Income inequality***

The level of income inequality in the municipality as determined by Gini-coefficient deteriorated from 0.52 in 2011 to 0.581 in 2017. The level of income inequality in MBM in 2017 as determined by Gini-coefficient was marginally lower than the Eden, estimated at 0.613. Provided the municipality's HDI of 0.61 in 2008 and 0.70 in 2017 as indicated in Table 5.1 above, an upward trend was reported in the municipality's index between 2008 and 2016 (IHS Global Insight 2018, cited in WCG, 2018e:15).

##### ***Indigents households***

It was reported that MB municipal area experienced an increase in the number of indigents support between 2007 and 2017. It increased from 1420 in 2007 to 1 930 in 2017 (Quantec Research, 2018, cited in WCG, 2018e:18). This constitutes strains on the financial resources of the municipality. This amounted to an annual average increase of 3.1% over

the periods. The number of indigent households increased in Eden District and the Western Cape.

### ***Unemployment***

The unemployment experienced a slow but gradual rise since 2006 (5.0%) in SM, recording an unemployment rate of 6.8% in 2015. In 2016 it was reported at 7.6%, and it was projected to be at 7.9% in 2017 as indicated in Table 5.1 above. The unemployment rate in the municipality in 2017 was lower than that of the district estimated at 11.8% in 2017 (Quantec Research, 2018, cited in WCG, 2018e:18).

### ***Socio-economic risks***

The municipality is confronted with certain socio-economic ills such as the stagnating economy resulting from slow growth; increasing population and the resultant increase in services demand in an encounter of the constrained economy and as the incessant increase in the rise of unemployment within the municipality.

#### **5.3.1.6 Case 6: *Theewaterskloof municipality***

In this context, the discussion would be based on the classification and demographic characteristics of the municipality.

##### **5.3.1.6.1 *Classification and demographics***

TM is classified as a category B municipality located in the Overberg District municipality. It is one of the four municipalities in the district. Others are Overstrand, SM and Cape Agulhas. Towns/cities in the municipality are Bot river, Caledon-Myddleton Genadendal, Grabouw, Greyton, Riviersonderend, TM, Villiersdorp. The municipality boasts many natural assets, such as TM dam, Kogelberg Biosphere, vineyards, crops and fruit field, Fynbos, wildflowers, and blue cranes.

As indicated in Table 5.2 above, the municipality has the largest population in the district with a record high of 124 374 inhabitants in 2018, as indicated in Table 5.1 above. And in 2024, the population is projected to be 148 419, amounting to an annual average growth

of 3% over the period (DSD, 2018, cited in the WCG, 2018f:2).

#### 5.3.1.6.2 *The economy*

TM is the largest economy in Eden (now Garden Route) District, with regional gross domestic product of R7.637 billion in 2016. Contrarily, the municipality contributed R7.637 billion to the district economy in 2016. The tertiary sector dominates the economic activity in the municipal area. It amounted to R451.8 billion in 2016, and the sector was estimated to have grown by 2.2% in 2017 (Quantec Research, 2018, cited in WCG, 2018f:26).

The average real GDP per capita for the municipality was estimated at R60 067 in 2017 (Table 5.1 above) which has fallen below that of the Eden district (R69 970) and that of the Western Cape (R87 110). There was an increase in the municipality's GDP growth between 2006 and 2016, with an average growth of 3.6% over 10 years. The GDP growth for the municipality and the district was earmarked at 2.5% and 2.0% respectively. The three sectors with most dominant economic activities in the area are: Wholesale and retail trade, catering and accommodation sector (17.7%), Finance, insurance, real estates and business services sector (16.3%), and agriculture, forestry and fishing sector (15.5%).

#### 5.3.1.6.3 *Socio-economic status*

The level of income inequality in the municipality as determined by Gini-coefficient was on the increase in TM between 2008 and 2011 experienced a slight decrease in 2015 before it picked up again to a high of 0.59 in 2017. The level of income inequality in TM in 2017 as determined by Gini-coefficient was marginally lower than the Garden Route estimated 0.613 (IHS Global Insights, 2018, cited in WCG, 2018f:15).

### ***Human Development Index***

As mentioned earlier, as the economy of the municipality prospers, local community members are expected to enjoy a good standard of living. Contrarily, a declining economy spells out a lower standard of living for the communities. Provided the HDI report on the socio-economic status in the municipality, increasingly the HDI in TM and Overberg were

on the upward trend from 0.64 in 2008 to 0.71 in 2017 (IHS Global Insights, 2018, cited in WCG, 2018f:15).

Concerning the number of indigents households living in the municipality, It was reported that over the years, the municipal area experienced a decrease in the number of indigents supports between 2007 and 2017 from (5517) households in 2007 4530 households in 2017 This implies a slight decreased demand for indigents support and additional burden on municipal financial resources. The number of household indigent increased in the Overberg District and the Western Cape (Quantec Research, 2018, cited in WCG, 2018f:18).

### ***Level of unemployment***

Other municipalities in Garden Route district, unemployment is on the rise in TM, especially over the past three years. In 2015, the municipality unemployment rate was recorded at 8.5%. In 2016 it was reported to be at 9.7% and was estimated to reach 10.3% in 2017. The unemployment rate in the municipality in 2017 was expected to be slightly below the average unemployment rate for the district at 11.8% (Quantec Research, 2018, cited in WCG, 2018f:18).

### **Socio-economic risks**

The continued upward trend in the level of unemployment and the stagnating economy encountered by the municipality constitutes socio-economic risks in matters of development, especially as it relates to concerns of committing resources for developmental purpose. The continued rise in the number of inhabitants residing within the municipality consequentially transcends to increase in demand for services more often confronted with limited resources.

### **5.3.2 A synthesised comparison of cases**

A synthesised comparison of the six cases is presented in Figure 5.2 below (next page).

**Table 5.2: Synthesised comparison of the six cases**

<b>Municipality</b>	<b>Total population (2016)</b>	<b>Total municipal income (2016)</b>	<b>Allocated points for the total population (A)</b>	<b>Allocated point for total income (B)</b>	<b>Total points (A+B)</b>	<b>Grades for municipal council</b>	<b>GDPR per capita (2016)</b>	<b>% average annual GDPR growth rate 2006-2016</b>
Hessequa	54 237	R3.557b	16.67	50.00	66.67	4	R 43 081	2.8%
Kannaland	24 168	R1.1b	8.33	33.33	41.46	3	R 43 081	2.9%
Oudtshoorn	97 509	R5.1b	16.67	50.00	66.67	4	R 36 375	2.9%
Mossel Bay	94 135	R6.951b	16.67	50.00	66.67	4	R 52 053	2.4%
Swellendam	40 211	R2.373b	8.33	50.00	58.33	4	R 44 123	4.0%
Theewaterskloof	117 167	R7.537b	25.00	50.00	75.00	5	R 42 284	3.6%

Compiled from (WCDLG, 2018) and Department of CoGTA (2017a)

In this context, a brief comparison between the six selected cases was conducted with a specific focus on certain characteristics of the municipalities, such as demographics (population); Municipal total income, GDPR per capita and the percentage average annual GDPR growth rate of municipals. The overarching purpose of this exercise is to determine the degree of comparability of the six selected cases. The municipal demographics and municipal total income were used to determine the gradings of the six selected municipalities as there appears to be no available compiled list of municipal gradings). The government gazetted document on the determination of grading for municipalities (Department of CoGTA 2017a) was employed as a guide.

As contained in the document, the grading of a specific municipality is determined by a combination of points allocated for the total population within the municipality in conjunction with the allocated points to the municipality for total municipal income. The various figures used in this context, representing the GDPR per capita and the percentage average annual GDPR growth rate for the respective six municipalities were obtained from the municipality's profile documents published by Western Cape Government (WCDLG, 2018).

Provided the synthesised Table 5.2 above, special focus was accorded to the compiled grading for municipal council, GDPR per capita and the GDPR growth rate. These parameters were specifically important for this study as far as LED is concerned in the selected cases. The grading system is used by the national government to determine the payment allowance for councillors serving in the governance and intergovernmental structure in local government. It may be used as a measure for comparing municipalities.

The grading system is based on populations and total income of municipals. As observed in the table, there were not many differences in the grades of the selected municipality which were predominantly Grade 4 except KM and TM ranked Grade 3 and 5, respectively. The decision to include these two municipalities as comparable cases was based on economic ground. These two municipalities, when compared to the other four cases, seemingly have the same range of GDPR per capita of R43 081 and R42 284 in 2016 for KM and TM, respectively.

The GDP per capita can be used to measure the municipality's economic output that accounts for its number of individuals. It may be employed to determine the average standard of living of individuals within a certain municipality as it relates to their quality of lives. Table 5.2 indicates the percentage annual GDP growth rate of the individual six cases for 10 years (2006-2016). As indicated in the table, the percentage average annual GDP growth rate of the six cases pendulated in a range of 2.4% and 4.0% respectively. Put simply, there seems to be no major difference established in the percentage average annual GDP growth rate between the six selected cases over the ten years periods. It was, therefore, appropriate to base the study on the six selected municipalities as comparable cases.

### **5.3.3 Participants and sampling**

The study was undertaken in two DMs (Overberg and Garden Route) DMs in the Western Cape of South Africa, where selected six local municipalities were involved. While two municipalities were selected from the Overberg, inter alia, SM and TM, four municipalities were selected from Garden Route district. These are the HM, MBM, OM and KM. Overberg and Garden Route DMs seems to be best-performing districts in South Africa, particularly in the Western Cape.

Given the Government Performance Index (GPI), compiled by Research and Advocacy group of Good Governance Africa (2016), SM in Overberg was ranked as the best-performing municipalities in the Western Cape and South Africa, followed by HM (2<sup>nd</sup>) and MB municipality (5<sup>th</sup>) in Garden Route (Eden) district Municipality. The other three municipalities occupied the bottom rank in the Western Cape, TM, OM, and KM (Average performance). The research output of Good Governance Africa (2016) provided good insight into the activities of municipalities in South Africa concerning providing information on their service deliveries, administration, and economic development.

The purpose of this study was to determine the extent to which existing and current collaborative initiatives can enhance the collective capacity of stakeholders to foster LED in municipalities. The study deemed it necessary to purposely sample out three best-performing municipalities along with three other municipalities of average performance in

the Western Cape (lowest-ranked in the Western Cape). According to McDermott & Sarvela (1999), purposeful sampling is a method where participants are selected, judged to be typical of individuals possessing a trait.

The latest GPI compiled by the same Research and Advocacy group of Good Governance Africa (2019) reported a shift in ranking position as compared to that of 2016. SM which previously occupied the first position slumped to the 11<sup>th</sup> position. While HM dropped from their previous 2<sup>nd</sup> position to 19<sup>th</sup> position in the ranking, MBM outperformed to grab the first ranking position from a previously occupied ranking of 5<sup>th</sup> position. Concerning the other three municipalities, TM appreciated to 22<sup>nd</sup> position, OM and KM occupies rank positions 42<sup>nd</sup> and 59<sup>th</sup> respectively.

OM and KM still established themselves at the bottom of Western Cape Provincial ranking, though by a national standard, it is regarded as average performance. It would be interesting to understand the dynamics of the upwards and downward trends in the performance of these selected six municipalities with special focus on the system management and local governance of developmental concerns within the municipalities through the perspective of collaboration. The study comparatively explored the level of existing collaboration in the high ranked municipalities compared with that of the average ranked municipalities. This could assist in discerning whether the differences in their performances have any relationship with their existing and current level of collaboration.

There were many other 'lowest' and better-ranking municipalities in the province that could also potentially been sampled. A mixed of factors were taken into consideration that assisted in an informed decision on the choice of municipalities suitable for comparative study. It can be maintained that there is no significant difference in the local economies of the six selected municipalities characterised by informal small businesses. The latter was another concern in the study, relating to concerns of inclusive participation of the business, civil society and government in the local governance and system management of LED within a municipality. The need to be able to match economic similarities between these comparing cases was another impetus for the selected municipalities.

Provided the geographical location of the cases concerning the proximity of these municipalities to each other, travelling time/distance to obtain the data, was less constraints and appealing concerning feasibility. The similarities in the demographic structure of the municipalities were also considered for the choice of the six municipalities. There is no significant difference in the demographic structure of the six municipalities. To sum it all, the need to be able to match economic, geographic and demographic similarities between the comparison cases, supported the researcher's choice of selecting the six cases for the study.

Another important reason for the choice of these municipalities was to fill the existing gap that most of the research on LED were mostly concentrated on the eight metro municipalities in South Africa, such as the City of Cape Town, Buffalo City in East London, Ekurhuleni Metropolitan municipality (East Rand); City of eThekweni (Durban), Mangaung Municipality (Bloemfontein) and Nelson Mandela Metropolitan Municipality (Port Elizabeth), without acknowledging and researching on the peculiarities involved in the local governance of the local economy of intervening towns. Given the fundamental feeders' role of these towns towards the economic development of the cities, most often than not these towns are socio-economically tied to that of the cities. Imperatively, the researcher considered it necessary to explore the dynamics of collaborative governance of LED in these towns, aimed at improving the responsiveness and system management of socio-economic concerns within the selected six municipalities.

The target group in this study comprised the key stakeholders/actors. They were involved in the design, implementation and assessment of cooperative governance for LED in the six municipalities as reflected in the interview and focus group discussion charts (Table 5.1 and 5.2 respectively). The target group comprises the elected councillors and staff of the six designated municipalities (and two district offices in George and Bredasdorp), private sector (business chambers/association) and the NGOs/CBOs in the two district districts of Overberg and Garden Route (Eden) district in the Western Cape Province.

Key role-players from the following departments and organisations were invited to participate: Salga; Department of CoGTA; Western Cape DEDAT; Garden Route (Eden) District Municipality (EDM) - George and Overberg District Municipality (ODM) -

Bredasdorp. The credibility of the target group for this study is that it comprises key stakeholders/actors of LED who have adequate knowledge and experience of LED and who can provide insightful information as to the theory and practice of LED and collaborative governance within the six selected cases.

Stemming from the composition of the target group spreading amongst diverse spectrums (government, private and civil society), relating to the sample size, the study had to determine a sample size establishing the perceptions that might be important without encumbering invalidated data attributable to sampling errors (Oppong, 2013).

### **5.3.4 Ethical considerations**

The research was conducted within the acceptable prevailing norms and values in scientific research. The researcher initially provided the targeted group with information about the study while addressing any ethical issues. Before the commencement of the interviews and focus group discussions, those willing to participate were requested to provide written consent (Appendix D). The responses obtained from the participants were kept confidential, and none of the participants were identified by names.

The study data are password-protected and accessible by the researcher. Access is restricted to the public. The transcripts are securely protected and locked in a drawer only accessible by the researcher. The disposal of all the data from audiotape and transcripts are conducted three years after the study completion. During the interviews, participants were assured of the confidentiality and anonymity of their responses. There were no risks to either party, the researcher or the participants, and the exercise had a potential advantage for the participants. Concerning of bias, this was drastically minimised by asking and following consistently the same semi-structured questions as a guide (Appendix A) for each participant.

Permission to conduct the research was granted by the Research Committee, Faculty of Economics and Management Science, Stellenbosch University (Protocol number: SPLPHD-2018-6777\_Appendix E). Correspondence requesting for permission to conduct research was sent to each of the selected six municipalities to obtain organisational approval, Salga, CoGTA, DEDAT, business chambers and NGOs (Appendix C).

### 5.3.5 Data collection

The data collection instruments used for the investigation are key informant interviews, focus group discussions and documentary analysis. It was maintained that one of the associated benefits of a case study research design is employing multiple methods of data collection (Van Maanen, et al., 2007; Yin, 2009) which ensures that the study has enough rigour. The imperativeness of triangulation in a case study cannot be overemphasised as it amongst other things, ensure that detailed findings accurately mirrors the participants' meanings as correctly as possible (Stake, 1995; Yin, 2009).

The choice of the in-depth interviews and focus group discussion in the study as a primary data source was to add richness to the data with additional supplements derived from document reviews. The emanating concerns from the interviews were subsequently followed up with the focus group discussions and supplemented it with the document reviews to provide further clarifications and understanding of the concerns at stake. The next section presents a detailed explanation of the data collection instrument used in the study.

#### 5.3.5.1 *Individual interviews*

Qualitative interviews were employed in the study to investigate the nature of LED and its collective governance in the six municipalities thoroughly. According to Taylor, et al. (2007), qualitative interviews attempt to render meanings from individual accounts and experiences. Qualitative researchers are more concerned about uncovering knowledge on how individuals feel and think in the circumstances where they find themselves (Cole, 2006:26).

The researcher deemed it imperative to be part of the environment, not only to be able to understand what the person is conveying in the form of a rational message and standardised speech but also to perceive the indirect implications of the speech with a specific syntax, contextual lapses, hidden meanings and speech breaks (Cole, 2006:26). The wishes, expectations, interests, needs, and personal opinions of the individuals included in the research assists the researcher to comprehend better the examined phenomena (Devetak, et al., 2010:78).

The inclusion of key informants in this study is to enhance the understanding of the current concerns and experiences on the design, implementation and assessment of cooperative governance in the municipalities which can promote the municipalities in the fulfilment of its developmental mandate. In this context, a purposive snowball sampling of data collection was employed to select respondents in this study.

Interviews were conducted with 24 key informants drawn from Overberg office situated in Bredasdorp, Eden district office in George; Economic development partnerships (EDPs) office situated in George; Swellendam Municipality (SM); Theewaterskloof Municipality (TM); Hessequa Municipality (HM); Mossel Bay Municipality (MBM); Oudtshoorn Municipality (OM); Kannaland Municipality (KM); Salga; Western Cape DEDAT; Department of CoGTA and NGOs/CBOs and business chambers in the DMs as indicated in Table 5.2. A single interview schedule (Appendix A), which contains a list of 24 in-depth questions employed to administer interviews with various key informants. This was conducted to ensure consistency in the data collection process. Semi-structured interviews were employed in the study to obtain enough data from the target group. A brief discussion on a semi-structured interview is presented below.

### ***Semi-structured interview***

The main aim of interviews in qualitative studies is to understand the meaning of human action (Schwandt, 2001; 2014). The decision to semi-structured interviews as a data collection method is governed by both the researcher's epistemology and the study's objectives as it attempts to establish discernible patterns as it relates to the contributing factors to the success of cooperative initiatives for development policy and objectives within the concerned six municipalities.

According to Cohen & Crabtree (2006), the semi-structured interview, unlike unstructured interviews, contains a guide which provides a clear set of instructions for interviewers and can provide reliable, comparable qualitative data. This interview schedule allows for a certain degree of consistency across various interview sessions. A balance can be achieved between flexibility and consistency (Zhang & Wildemuth, 2009a; 2009b). The interviewer follows the interviewees' narration and generates questions spontaneously

based on his or her reflections on that narration. A single interview schedule (Appendix A) which contained a list of 24 in-depth questions was administered to 24 diverse key informants through face-to-face contact as contained in Table 5.3 below.

**Table 5.3: Individual interview chart**

Date of interviews	Place	Organisation	Participants designation	Sector
2018-08-27	Oudtshoorn	Oudtshoorn Municipality	Manager: LED and Tourism	Government
2018-08-27	Oudtshoorn	Oudtshoorn Municipality	Manager: Corporate services	Government
2018-08-28	Ladismith	Kannaland Municipality	Manager: LED and Tourism	Government
2018-08-29	George	South Cape Partnership	Project Manager	NGO
2018-08-30	Mossel Bay	Mossel Bay Municipality	LED Officer	Government
2018-08-31	Riversdale	Hessequa Municipality	Manager: LED and Tourism	Government
2018-09-17	Cape Town	DEDAT	Director: Municipal economic Support	Government
2018-09-25	Oudtshoorn	Hope of Hope	Business Owner	Business
2018-09-25	Oudtshoorn	Karoo youth care centre	Board member/Trustee	Business

Date of interviews	Place	Organisation	Participants designation	Sector
2018-09-26	Mossel Bay	Mossel Bay municipality	Manager: LED and Tourism	Government
2018-09-27	Bredarsdorp	Overberg District Municipality	Manager: LED and Tourism	Government
2018-09-27	Swellendam	Swellendam Municipality	IDP Officer	Government
2018-09-28	Caledon	Theewaterskloof Municipality	LED Manager	Government
2018-10-01	Pretoria	CoGTA	Senior Manager: Intergovernmental Policy and Practice Chief Directorate	Government
2018-10-10	Cape Town	Salga	Programme Manager	Civil Society
2018-11-06	Mossel Bay	Mossel Bay Business Chamber	Previous Chairman (Now Committee member)	Business

Date of interviews	Place	Organisation	Participants designation	Sector
2018-11-07	Swellendam	Community Action Partnership (CAP)	Board member/Trustee	Civil Society
2018-11-07	Caledon	Greyton Transition Town	Board member/Trustee	Civil Society
2018-11-23	Caledon	Prestige Clothing	Business representative	Business
2018-12-01	Pretoria	CoGTA	Senior Manager: LED Chief Directorate	Government
2019-01-22	Stilbaai	Stilbaai Business chamber	Business chamber representative	Business
2019-01-22	Riversdale	Oasis	Board member/Trustee	Civil Society
2019-01-23	Swellendam	Under the Oak	Business chamber representative	Business
2019-11-05	Ladismith	Flink Cash Store	Business Owner	Business

### 5.3.5.2 *Focus groups discussions*

To study and comprehend the phenomenon in question from the perspectives of the group participants, employing focus group method of data collection became imperative. The method was equally employed in the study to collect data from the participants to add richness to the collected data. A focus group schedule (Appendix B) was employed to guide the researcher in keeping the discussions focused on achieving the purpose. Focus groups are a way of collecting qualitative data by engaging a small group of participants in an informal discussion on a particular concern under the guidance of a researcher, who preferably plays a neutral role (Wibeck, et al., 2007; Wilkinson, 2004).

Four sets (A, B, C and D) of focus group discussions were facilitated with sixteen (16) participants in total as indicated in Figure 5.3 below. While three sets (B, C and D) of the group discussions were made up of 13 participants (B=4, C=4 and D=5), which involved the participation of the Mayors and the Mayoral committees of HM and TM, the third set of group discussions (A=3 participants) was conducted with the staff of Garden Route (Eden) district municipality in George as indicated in Table 5.3.

The focus group discussion conducted in HM was attended by the Mayor and three members of the Mayoral committee. In MBM, the focus group discussion was held with the Mayor and four members of the Mayoral committee. In TM, the Mayor and the Mayoral committee were invited to participate, but it was attended by the Mayor and LED manager and corporate services manager. It should be emphasised that the decision to participate is with the prospective respondents.

Some may have decided not to participate based on reasons best known to them. The Mayor and Mayoral committee of SM were invited to participate in the interview, but they refused. An invitation was sent to the Mayor and Mayoral committee of KM and OM, they refused to respond, despite the researcher series of reminders to follow-up. As mentioned above, the researcher considered it essential to conduct a focus group discussion with the staff of Garden Route district municipality. This decision was made based on their roles and experiences in facilitating district IGR forum by way of regional collaboration which may have had the participation of at least four of the six cases in this study.

It was maintained elsewhere that following the promulgation of IGRF in 2005, Eden (now Garden Route) District Municipality was the first amongst all DMs in the Western Cape Province to respond to the directives of the Act by establishing its district intergovernmental forum (DIF) to bring its municipalities together. Researching IGR fora constituted the essential components of this study. Learning from their pioneer experiences concerning the strength and challenges of DIF assisted in providing an insight into some dynamics of the theory and practice of IGR to foster collaboration between the municipalities. Three district officials with adequate knowledge and experience of DIF were invited for a focus discussion at the Garden Route (Eden) district municipal office.

**Table 5.4: Focus group discussions chart**

S/No	Date of interview	Place	No of participants	Organisation	Participants' designation
A	2018-08-29	George	3	Eden District Municipality	Senior District economic Development Officer, District economic Development Officer and District Tourism Development Officer
B	2018-09-28	Caledon	4	Theewaterskloof municipality	Executive Mayor and Mayoral Committee members
C	2018-11-07	Riversdale	4	Hessequa Municipality	Executive Mayor and Mayoral Committee members
D	2019-11-20	Mossel Bay	5	Mossel Bay Municipality	Executive Mayor and Mayoral Committee members

Author's own (2020)

The focus group provided an efficient way to obtain a wide range of views about an issue. It requires skilful facilitation to manage the dynamics of the group and ensure all voices are heard (Petty, et al., 2012: no pagination). According to Wilkinson (1998:186), focus group has the inherent advantage to enhance the ability of the researchers to study how individuals engage in collective sense-making in the context of a discussion with others. Focus groups provide the opportunity for the researcher to collect data from multiple groups simultaneously (Onwuegbuzie, et al., 2011). It assisted in saving time during the data collection process.

#### 5.3.5.3 ***Desktop study***

The study also embarked on employing document analysis in conjunction with other qualitative research methods as a means of triangulation. As emphasised by Bowen (2009:29), qualitative research requires robust data collection techniques and the documentation of the research procedure. As a result, documents of all types as maintained by Merriam (1988:118), can assist the researcher to uncover meaning, develop understanding, and discover insights relevant to the research problem. On analysing documents through content analysis yields data-excerpts, quotations, or entire passages-then organised into major themes, categories, and case examples (Labuschagne, 2003).

Consideration was accorded to multiple relevant documents about the subject matter, which can provide data on the context where the research participants operate and providing historical insight which could assist researchers to understand the historical roots of specific concerns and be able to indicate the conditions that impinge upon the phenomena currently under investigation. The data drawn from documents can be used to contextualise data collected during interviews (Kamara, 2015:88).

Twenty (20) documents (as listed below) were employed in the study to systematically assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in the Western Cape. These were a mixture of relevant policy documents and implementation strategy documents retrieved from the public domain of the municipality, government department and public agencies. The predominant numbers of these documents were the municipality's IDP and the

municipality's LED strategy and implementation plan. These were a mixture of relevant policy documents and implementation strategy documents.

The document choices were well-informed by the relevant nature of the documents in matters of development within the municipalities. For instance, The IDP is a product of the Integrated Development Planning Process of which LED is a component of it. The IDP is an interactive and participatory process which requires the involvement of several stakeholders. It is widely regarded as a plan that facilitates and drives all planned development initiatives that occur within a given municipal space. Therefore, these IDP documents are: *HM IDP 2017 - 2022*; *KM IDP 2017 - 2022*; *SM final 2017 - 2022 IDP review*; *TM 4<sup>th</sup> generation IDP plan 2017 - 2022*; *MBM 4<sup>th</sup> generation IDP 2017 - 2022*; *OM 4<sup>th</sup> generation IDP plan 2017 - 2022*.

The municipality's LED strategy and implementation plan employed are: TM LED Strategy; Greater OM LED Development Strategy; MBM 2017 - 2022 LED and Tourism Strategy and implementation plan; SM LED strategy; Annexure C KM LED strategy 2012 – 2013. Other relevant documents used are: TM Community Development Strategy; Draft term of reference for TM Social Development Forum; Salga's document on Community protest; The 2006 National Framework for LED; Intergovernmental Relations Acts of 2005; National Policy Framework on public participation of 2007; Auditor General's Consolidated report on the local government audit outcomes for 2017/2018 financial year; Consolidated Annual Municipal Performance Report 2014/2015; and 2019 GPI as indicated in Table 5.4.

As previously mentioned above, these documents were established in the public domain of the target group organisational or institutional records. Noteworthy, the predominant numbers of these documents were used in the study to primarily analyse the main policy frameworks, which guide the design, implementation and assessment of cooperative governance for LED in the municipalities. Additional documents assisted to obtain secondary data regarding the pull and push factors responsible for the success of cooperative governance aimed at promoting LED within municipalities.

For example, the Western Cape Government's *Consolidated Annual Municipal Performance Report* and the *Consolidated General Report on the local government audit*

*outcomes* were downloaded from the Western Cape local government department and AGSA webpage respectively, and the *GPI* obtained from Good Governance Africa (2019). These four documents were specifically obtained to assist the researcher to analyse the performance of cooperative governance for LED and to identify some pull and push factors within the selected six municipalities.

**Table 5.5: List of reviewed documents**

<b>Date of publication</b>	<b>Source of provision</b>	<b>Title</b>	<b>Research Objectives</b>
2006	CoGTA	National framework for LED	Policy and legal framework
2005	CoGTA	IGRA 2005	Policy and legal framework; cooperative governance design, implementation, and assessment factors
2007	DPLG	National Policy Framework on public participation	Policy and legal framework; cooperative governance design, implementation, and assessment factors
2009	Theewaterskloof Municipality	Theewaterskloof LED Strategy	Policy and legal framework; cooperative governance design, implementation, and assessment factors
2009	Oudtshoorn Municipality	Greater Oudtshoorn LED Development Strategy	Policy and legal framework; cooperative governance design, implementation, and assessment factors

Date of publication	Source of provision	Title	Research Objectives
2012	Kannaland municipality	Annexure C Kannaland LED strategy 2012 - 2013	Policy and legal framework; cooperative governance design, implementation, and assessment factors
2014	Swellendam	SM LED strategy	Policy and legal framework; cooperative governance design, implementation, and assessment factors
2016	Western Cape Government local government department	Consolidated Annual Municipal Performance Report 2014/2015	Policy and legal framework; cooperative governance design, implementation, and assessment factors; cooperative governance pull and push factors
2016	Salga	Community protest: Local government perceptions	Cooperative governance Pull and push factors

Date of publication	Source of provision	Title	Research Objectives
2017	Mossel bay Municipality	Mossel bay municipality 2017 -2022 LED and Tourism Strategy and implementation plan	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2017	Hessequa Municipality	Hessequa municipality IDP 2017 - 2022	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2017	Kannaland municipality	Kannaland municipality IDP 2017 -2022	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2017	Swellendam municipality	Swellendam Municipality final 2017 - 2022 IDP review	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2017	Theewaterskloof Municipality	Theewaterskloof Municipality 4th generation 2017 -2022 IDP plan	Policy and legal framework; Cooperative governance design, implementation and assessment factors

Date of publication	Source of provision	Title	Research Objectives
2017	Mossel bay Municipality	Mossel bay Municipality 4th generation 2017 -2022 IDP plan	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2019	Auditor General (South Africa)	Consolidated GENERAL REPORT on the local government audit outcomes	Cooperative governance design, implementation and assessment factors; Cooperative governance pull and push factors
2017	Oudtshoorn Municipality	Oudtshoorn Municipality final 2018 -19 IDP review	Policy and legal framework; Cooperative governance design, implementation and assessment factors
2018	Theewaterskloof Municipality	Theewaterskloof municipality Community Development Strategy	Policy and legal framework; Cooperative governance design, implementation and assessment factors

Date of publication	Source of provision	Title	Research Objectives
2018	Theewaterskloof Municipality	Draft Terms of Reference for the Theewaterskloof social Development forum	Policy and legal framework; Cooperative governance design, implementation and assessment factors; Cooperative governance pull and push factors; intervention assessment
2019	Good Governance Africa	Government Performance Index	Cooperative governance design, implementation and assessment factors; Cooperative governance pull and push factors

Author's own (2020)

## 5.4 DATA ANALYSIS

In doing qualitative research, the process of data collection is continuously linked with the data analysis process (Denscombe 2014; Denzin & Lincoln, 2003; Strauss & Corbin, 1998). There was no exemption to this principle whatsoever in this study. This study commenced timeously with the data analysis process immediately after the first interview conducted with the key informants and the first focus group discussions. The process progressed throughout the data collection. Through this process, the researcher was able to identify early the emerging common patterns which provided a basis for the rational decisions about subsequent data generation (Strauss & Corbin, 1998; Stake, 1995). Table 5.6 indicates the data collection and analysis methods.

**Table 5.6: Data collection and analysis method**

<b>Data collection</b>	<b>Analysis method</b>	<b>Analysis devices and process</b>
Interviews	Open coding	Qualitative analysis of semi-structured interviews through interpretive thematic process (Atlas.ti)
Focus group discussions	Open coding	Qualitative analysis of semi-structured interviews through interpretive thematic process (Atlas.ti)
Documentary reviews	Open coding	Qualitative analysis of semi-structured interviews through interpretive thematic process (Atlas.ti)

Author's own (2020)

The nature of obtained data in the study guided and informed the process of data analysis that was utilised in the study, as well as the philosophies of qualitative research which was also instrumental in the study, especially concerning triangulation. The latter process was conducted not just to enhance the validity and reliability in the study, but also from a belief

that no single method is adequate to generate truthful and credible research findings. As a result, the analytical process was triangulated to ensure that the emergent themes and sub-themes are well-grounded in the data and well-informed by the guiding philosophies.

The analytical process of data as articulated by Corbin & Strauss (2008:69) involves employing techniques to interact with data such as asking questions about the data, making comparisons between data, deriving concepts to represent the data and then developing those concepts concerning their properties and dimensions. This process demonstrates how analysis of the raw data from interview transcripts, focus group discussions and organisational documents progressed towards identifying overarching themes that captured the phenomenon of cooperative governance for LED as described by the study.

To buttress with the scholarship of Mouton (2001:108), data analysis involves breaking up of the data into manageable items, patterns, trends, and relationships. The analysis aimed to understand the various constructive elements of one's data through an inspection of relationships between concepts, constructs or variables and to observe whether there are any patterns or trends that can be identified or isolated or to establish a theme in the data. Britten, et al. (2002) contend that data analysis is a process by which the researcher condensed chunks of data to be organised into key findings.

The emanating data from this study were inductively derived through content and thematic analysis (Hsieh & Shannon, 2005; Babbie & Mouton, 2001). The inductive data generated was utilised to develop innovative model/framework that can be employed for the design, implementation and assessment of cooperative governance for LED aimed at improving system management and responsiveness to major social and economic concerns within municipalities.

#### **5.4.1 Contents and thematic analysis**

The underpinning purpose of data analysis in this study is not only to understand how participants render sense from their experiences about the cooperative governance for LED but to identify the common patterns that emerged during the process of making meanings. While the content and thematic analysis were explained in the literature of (Hsieh & Shannon, 2005:1278) as a research method for the subjective interpretation for

the content of text data through the systematic classification process of coding and identifying themes or patterns; some other scholars described the thematic analysis as a type of analysis that involves data identification, analysis and reporting data in common patterns or themes within the framework of reductionist or interpretive paradigm (Braun & Clarke, 2006; Braun & Clarke, 2013; Vaismoradi, et al., 2013). According to Babbie & Mouton (2001), this process allows for the analysis of documents in a more unobtrusive way, thereby reducing the error associated with the interaction between the researcher and the object.

The criteria for deciding on the type of data analysis to be employed in a research study is determined by both the fitness for purpose and legitimacy - the form of data analysis must be appropriate for the kind of data collected (Russell & Gregory, 2003). Consequently, the data mostly generated in this study were in the form of text from interviews and focus group discussions transcripts and extracts from the reviewed documents. A thematic analysis method was employed in this study to organise and condense the emanating data from the study into key findings. The choice of this approach is informed by its common applications in a wide range of theoretical and epistemological approaches and its inherent quality of allowing flexibility during analysis and the capability to provide rich data. A computerised assisted qualitative data analysis software (Atlas.ti) was employed to generate the themes and patterns from the qualitative data.

#### **5.4.2 Atlas.ti for qualitative data analysis**

Data analysis in this study was conducted through computerised data analysis software (Atlas.ti 8.4.14™). The software package was employed to extract, compare, explore, and aggregate the data to delineate the relationships amongst derived themes and emerging sub-themes. As articulated by Hyldegård (2006:215), Atlas.ti proved effective in revealing underlying conditions in the information-pursuing process. It is a workbench for qualitative analysis of large bodies of textual, graphical, audio, and video data. The capabilities of the software amongst others assist the researcher to apply a systematic approach to unstructured data, for example, data that cannot be meaningfully analysed by formal statistical approaches.

Saldaña (2009:24) maintains that computer-assisted qualitative data analysis software (CAQDAS), unlike the human mind, can maintain and permit the researcher to organise evolving and potentially complex coding systems into such formats as hierarchies and networks. The software has the capabilities to efficiently store, organise, manage, and reconfigure the data (Frieze, 2019) to enable human analytic reflection.

The method of analysis chosen for this study to analyse the transcripts and organisational documents was a data-driven inductive approach of qualitative methods of thematic analysis aimed to identify patterns in the data employing thematic codes. The coding process involved recognising (observing) an important moment and encoding it (observing it as something) before a process of interpretation (Boyatzis, 1998 cited in Fereday & Muir-Cochrane, 2006:83). According to Patton (1990:306), inductive analysis means that the patterns, themes, and categories of analysis come from the data; they emerge out of the data rather than imposed on them before data collection and analysis.

Boyatzis (1998:161) maintains that a theme is a pattern in the information that, at minimum describes and organises the possible observations and at maximum interprets aspects of the phenomenon. The researcher decided to use this approach attributable to its inherent benefits of flexibility in application, as stated by Braun & Clarke (2008), that thematic analysis does not necessarily need to be glued to any pre-existing theoretical framework, and therefore it can be used within various theoretical frameworks, across a range of epistemologies and research questions.

A matching latent or interpretative approach of thematic analysis was employed to complement employing data-driven inductive approach for textual analysis in this study. Braun & Clarke (2006:94) mention that a thematic analysis at the latent level goes beyond the semantic content of the data and starts to identify or examine the underlying ideas, assumptions, and conceptualisations and ideologies theorised as shaping or informing the semantic content of the data.

The process of data analysis through the software starts by uploading the transcripts generated from the audio-recorded interviews into the software. After uploading the documents onto the software, the next process of analysis was to code the documents.

This process of analysis practically involved an iterative reading of transcribed data, understanding, synthesising, theorising and constant comparisons of emerging codes to naturally permit the emergence of themes and sub-themes from the generated data as a common practice in qualitative research (Thomas, et al., 2004; Thomas & Harden, 2008).

The process of data analysis followed in this study was partly informed and steered by the analysis guide advanced by Creswell (2005:185) and the level of analysis put forward by Miles & Huberman (1994). Provided the six steps of data analysis of Creswell (2005:189), the analysis process is described in order of linearity but recursive in practice. Table 5.7 below indicates the various steps and how it was employed in the study.

**Table 5.7: The six steps of qualitative analysis and its usage in the study**

Step	Description	Application in the study
1	Prepare and organise the data	Transcribed the media file into text documents and upload it into Atlas.ti Software as indicated in Figure 5.2 below
2	Read all the data to comprehend it	The researcher iteratively read the data to comprehend what the participants said
3.	Commence the coding process of analysis	Here the researcher employed open coding system descriptive in its sense to code the text documents. The process was conducted by assigning labels (codes) to data segments (quotations) to summarise in a small phrase. This was the first cycle coding to initially summarise the segments of the data as indicated in Figure 5.3
4	Using the coding process to generate categories (groups) or themes	Here the second coding cycle or pattern coding was conducted through axial coding techniques, grouping the summaries into several sub-themes (categories). The main themes were deductively derived from the study research objectives. This can be observed in Figure 5.4 below
5	Determine how the themes and sub-themes are represented in a qualitative narrative	Here the researcher developed a tabulated representation of the themes and sub-themes as indicated in Table 5.9 below and presented in 6.1 (Chapter 6)
6	Interpreting and making meanings of the data	The researcher compares findings with information collected from the literature and add his knowledge and

Step	Description	Application in the study
		experience to interpret or find meanings to the data concerning what lesson had been learnt (Lincoln and Guba 1985). This process was conducted in chapter 6, 7 and 8

Creswell 2005:185

As mentioned above the process of data coding and presentation in the study was equally partly steered by the framework formulated by Miles & Huberman (1994). The framework comprises of three levels of the analytical process and just in the form of a condensed version of Creswell's six steps coding process and data analysis already presented above. Table 5.8 below indicates a descriptive tabulation of Miles and Huberman framework with its associated three levels of data analysis.

**Table 5.8: Miles and Huberman levels of analysis**

LEVEL	ACTIVITY	DESCRIPTION
1	Summarising and packaging the data	<b>Preparing the raw data to work by:</b> Transcribing audio-recorded file (interviews and focus group) into text Collating documents for reviews Coding of data (interviews and focus groups) to form categories (group) Documents review to form categories (groups) Writing analytical notes on linkages to research objectives Reviewing the data to reveal where the emphases and divergences are
2	Repackaging and aggregating the data	<b>Identifying themes, trends, and pattern in the data by:</b> Reviewing all categories (groups) to establish relationships in the data concerning patterns and themes Writing Analytical memos Reviewing the data to reveal where the emphases and divergences are <b>Data reduction and refinement by:</b>

LEVEL	ACTIVITY	DESCRIPTION
		Identifying themes and presentation Cross-examining data for errors and repetitions
3	Synthesise the data to form an explanatory framework	<b>Explaining the data by:</b> Presenting synthesised data in response to research objectives Evolving an explanatory framework regarding literature

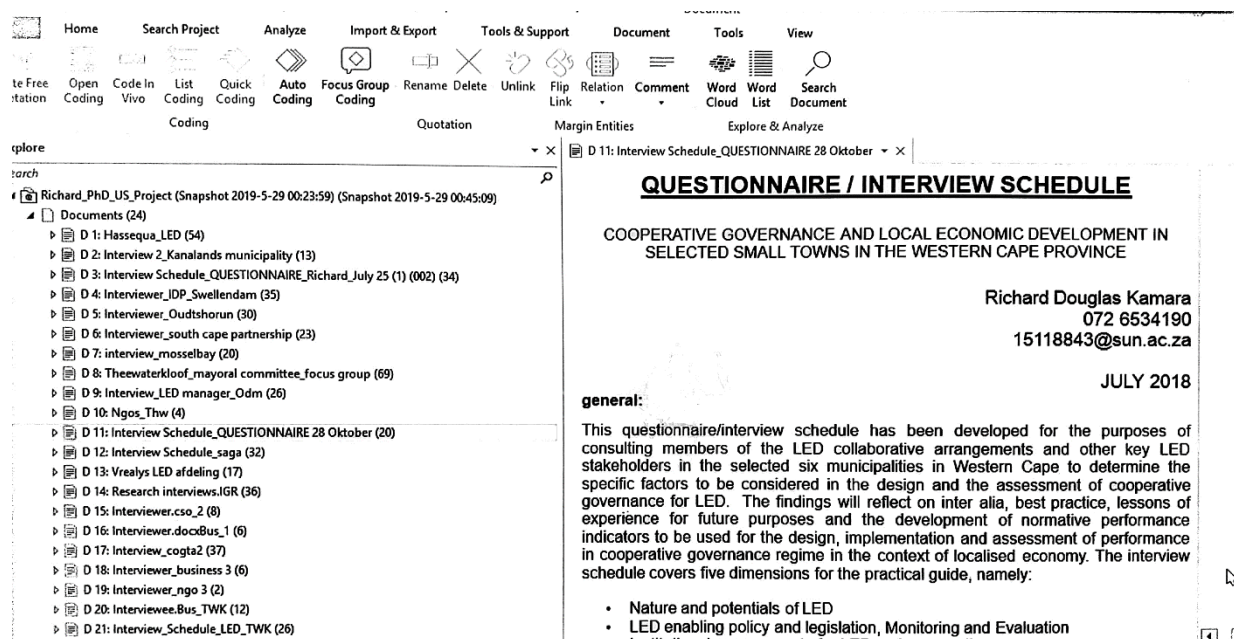
(Miles & Huberman 1994)

In comparing the two frameworks (Miles and Huberman versus Creswell), the first level in Miles and Huberman's framework, concerning the initial task of preparing the obtained raw data ready for coding process to generate various numbers of themes and sub-themes are comparable to Creswell first three steps about preparing and organising data, reading through comprehensively to commencing the first cycle coding process. The second level in Miles and Huberman, considering repackaging and aggregating data by way of identifying trends, patterns and themes are equally reflected in Creswell's fourth and fifth steps as the latter relates to forming categories and themes.

While the final level of Miles and Huberman's framework pertains to the synthesis and interpretation of data to develop an explanatory framework, the last and sixth level of Creswell revolves round the same orientation concerning interpreting and finding meanings to obtained data. Both Creswell six steps of data analysis and that of Miles and Huberman expounded similar principles as both ends up in a final crucial destination where they should find explanations and meanings to obtained data becomes imperative. The following section describes in detail the analysis process of coding employed in this study.

### 5.4.2.1 Interviews

The audio-recorded interviews were transcribed and uploaded onto the software. In this study, 24 transcripts were uploaded onto the system. The 24 transcripts represented the 24 individual participants interviewed. In Atlas.ti each of the uploaded documents are denoted with a pseudo letter 'D' and a document number, such as *D1*, *D2*, *D3*.....*D24* for each participant. Figure 5.2 below indicates a screenshot of the list of transcribed documents in Atlas.ti.



**Figure 5.2: Screenshot of transcribed interviews documents in Atlas.ti**

Author's own (2020)

The transcripts were scrupulously compared during the analysis to ensure that the emerging themes inductively generated from the data were valid and dependable. After the interview transcripts were uploaded into the software, then the process of first cycle coding ensued (level 1). The uploaded documents were coded to emerge the sub-themes, while the main themes were generated along the line of the research objectives. The data analysis process was conducted at two levels in consonant with Miles and Huberman's philosophies on data analysis. The meaning of the data was explained at the third level of the framework, as a lesson learnt.

#### 5.4.2.1.1 *Level 1: Summarising and packaging the data*

This is the initiation stage of the data analysis process and is principally first cycle coding of the transcribed interviews that had been uploaded into the Atlas.ti software to initially summarise the segments of the data. These segments were labelled with phrases called codes. For this study, the first cycle coding was conducted, and a total of 257 codes and 644 quotations were generated.

During the first cycle coding of the interview's transcripts, the main objective was to peruse the text to acquire a clear understanding and grasp of the data without any attempt to search for patterns in the data. Throughout the coding process, the researcher continues to read the text iteratively, immersing himself and trying not to miss out any phrases or responses to ensure that the generated codes were grounded in the data. The coding process generated repetitive codes both across and within the data set regarded as natural and deliberate outputs in qualitative coding (Saldaña, 2009 in Mubuke, 2018:81).

According to Saldaña (2009:11), it is rare that the first cycle of coding data perfectly attempted. The second cycle (and possibly the third and fourth) of recoding further manages, filters emphasises and focuses the salient features of the qualitative data record for generating categories, themes, and concepts, grasping the meaning, and building theory. The next stage was to synthesise the generated codes of similar patterns of meaning into groups to develop the sub-themes, having primarily assigned codes to all the uploaded documents. This theory propelled the process to a Level 2 stage.

#### 5.4.2.1.2 *Level 2: Repackaging and aggregating the data*

This process entails the second cycle coding or as it is commonly called "pattern coding". As articulated by Bamberger, et al. (2006:296) thematic analysis involves macro- and micro-examination of the data and identification of emergent patterns and themes. A micro view of data promotes recognition of the importance of details that may have barely been noticed during data collection, identification of the relationship between data and themes, and discovery of patterns and consistencies. Therefore, during this process, the researcher aggregated and repacked the codes previously generated during the first level coding into groups and produced the sub-themes while some main themes were derived from the

research objectives. During this process, an axial coding technique was employed to determine amongst the generated chunks of codes the dominants ones and reorganise the data to select the best illustrative codes.

The goal of axial coding is to “determine among the codes in the research which ones are dominants and which ones are less important... and reorganise the data set to select the best fit representative codes” (Boeije, 2010:109). The chunks of 257 codes and 644 quotations previously generated from level 1 coding were aggregated and streamlined to a lesser number of 99 and 513 codes and quotations, respectively. Figure 5.3 below indicates a screenshot of the generated codes and quotation from transcribed interviews documents in Atlas.ti.

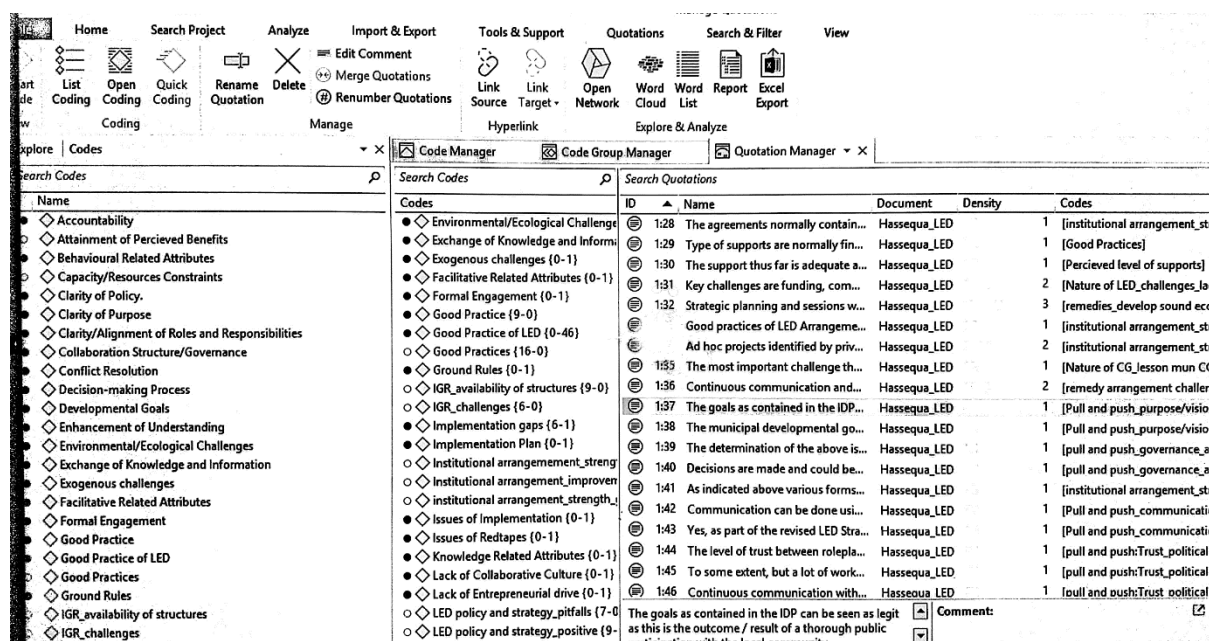


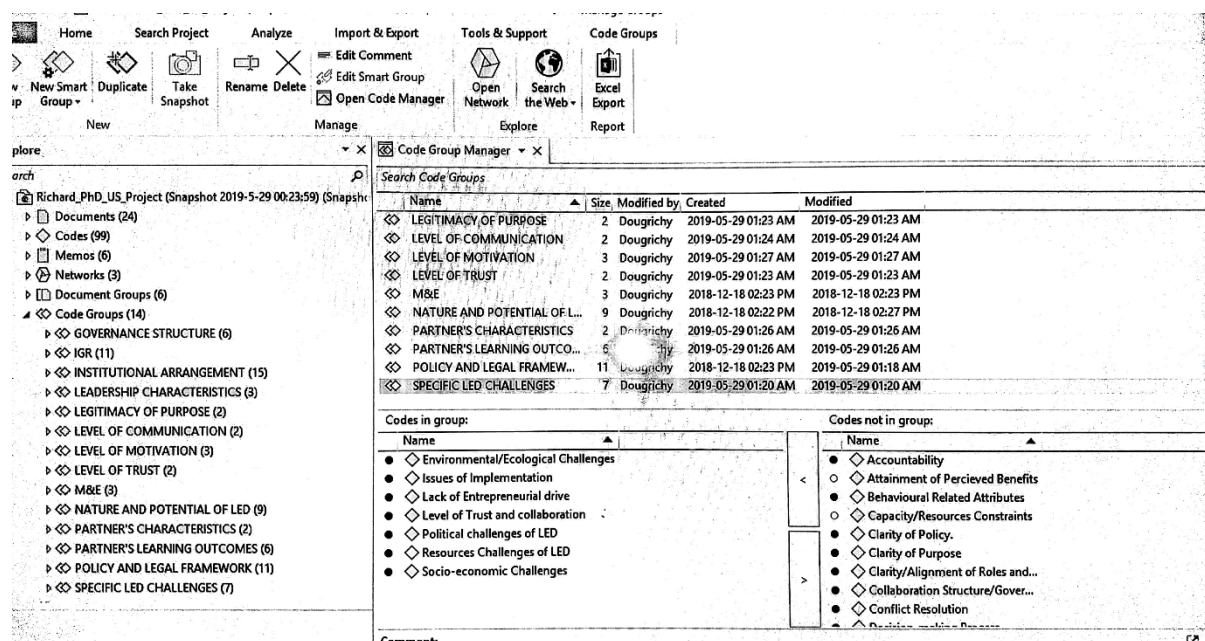
Figure 5.3: Screenshot of generated codes and quotation from transcribed interviews documents in Atlas.ti

Author's own (2020)

As indicated in fig. 5.3 above, some generated codes are: *Accountability; Attainment of benefits; related behavioural attributes; capacity/resources constraints; clarity of policy; clarity of purpose, etc.* The vertical pane at centre-right indicates some generated

quotations such as: *The agreement typically.....; Type of supports are normally fin.....; The support is adequate a.....; Key challenges are funding a.....; etc.*

The relationship between these codes and the data were compared, and related codes were grouped to emerge the sub-themes. As mentioned earlier, while the sub-themes were inductively generated from the data, some main themes were derived from the research objectives. Although some sub-themes are associated with fewer codes, the decision was to group and retained these codes in their respective sub-themes to avoid the tendency of the software to strip what is produced in the interview of its contents. Therefore 14 main themes (code groups) and 49 sub-themes were generated from the individual interviews as indicated in Figure 5.4 below.



**Figure 5.4: Screenshot of main themes and sub-themes generated from transcribed interviews documents in Atlas.ti**

Author's own (2020)

Figure 5.4 above indicates some generated main themes and sub-themes. As indicated in the figure, some main themes are: *Governance structure, IGR; institutional arrangement; Leadership characteristics; Legitimacy of purpose.*

### 5.4.2.2 Focus group discussions

The same procedures followed to analyse the interview data were replicated to analyse the data that emerged from focus group discussions. In this context, the four (4) transcripts documents which stemmed from the focus group discussions represented the wide views and experiences of 16 participants in the focus group discussions. The transcripts were uploaded into the software for the coding process. Figure 5.5 below indicates a screenshot of the list of transcribed documents in Atlas.ti.

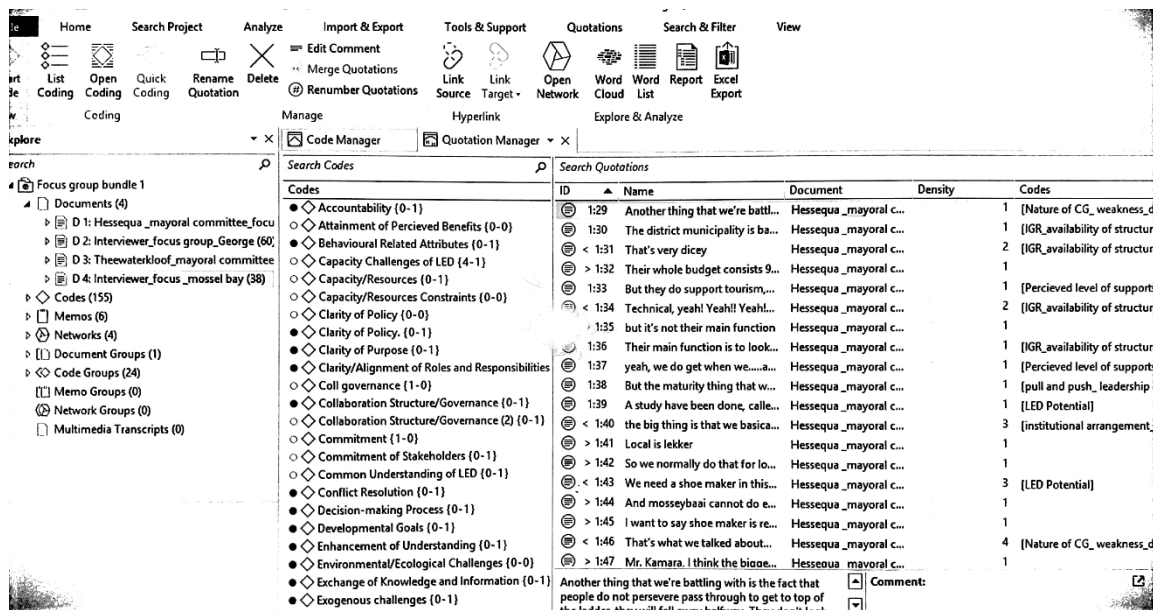


Figure 5.5: List of transcribed documents from focus group discussions in Atlas.ti

Author's own (2020)

#### 5.4.2.2.1 Level 1: Summarising and packaging the data

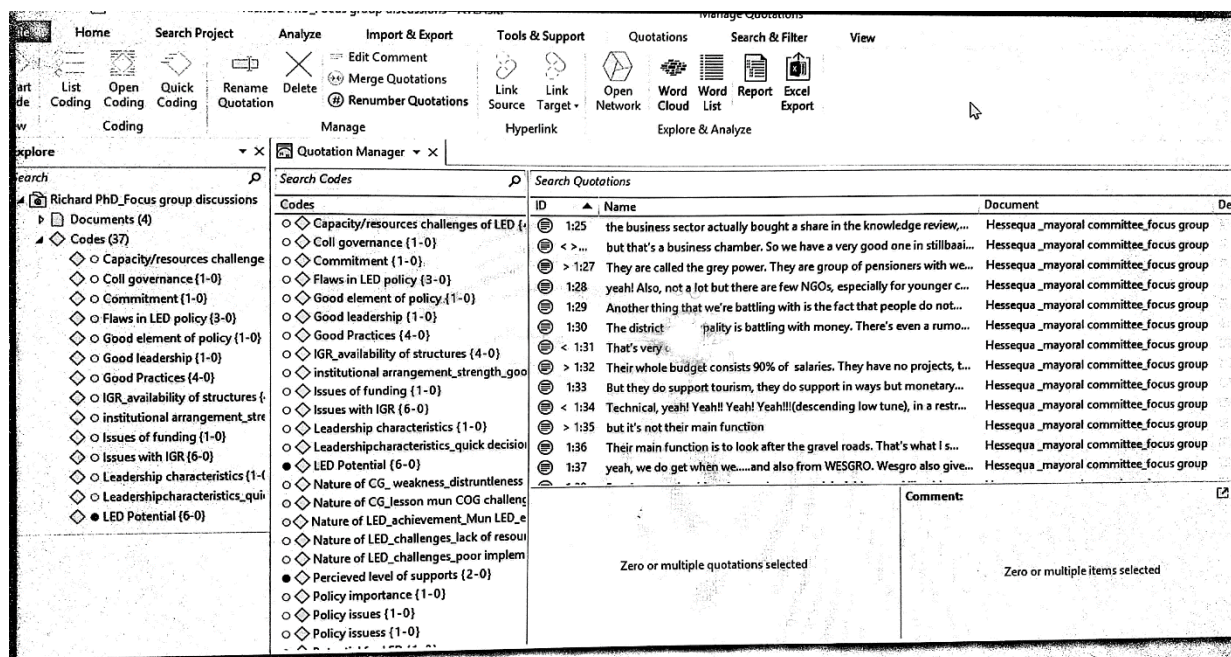
As already mentioned above, this is the commencing stage of the data analysis process. In this context, it principally entails the first cycle coding of the transcribed documents from the focus group discussions. These were uploaded into the Atlas.ti software to initially summarise the segments of the data. These segments were labelled with phrases called codes, just in the same manner that the transcribed interview documents were coded.

Given the first cycle coding in this context, a total of 155 codes and 219 quotations were generated as indicated in Figure 5.5 above.

During the first cycle coding of the transcripts from the focus group discussions, the main objective was to peruse the text to acquire a clear understanding and grasp of the data without any attempt to search for patterns in the data. Throughout the coding process, the text was perused iteratively, ensuring that the generated codes are grounded in the data. Repetitive codes were generated both across and within the data set. The subsequent stage was to synthesise the generated codes of similar patterns of meaning into groups to develop the sub-themes, having primarily assigned codes to all the uploaded documents. This theory advanced the process to Level 2.

#### *5.4.2.2.2 Level 2: Repackaging and aggregating the data*

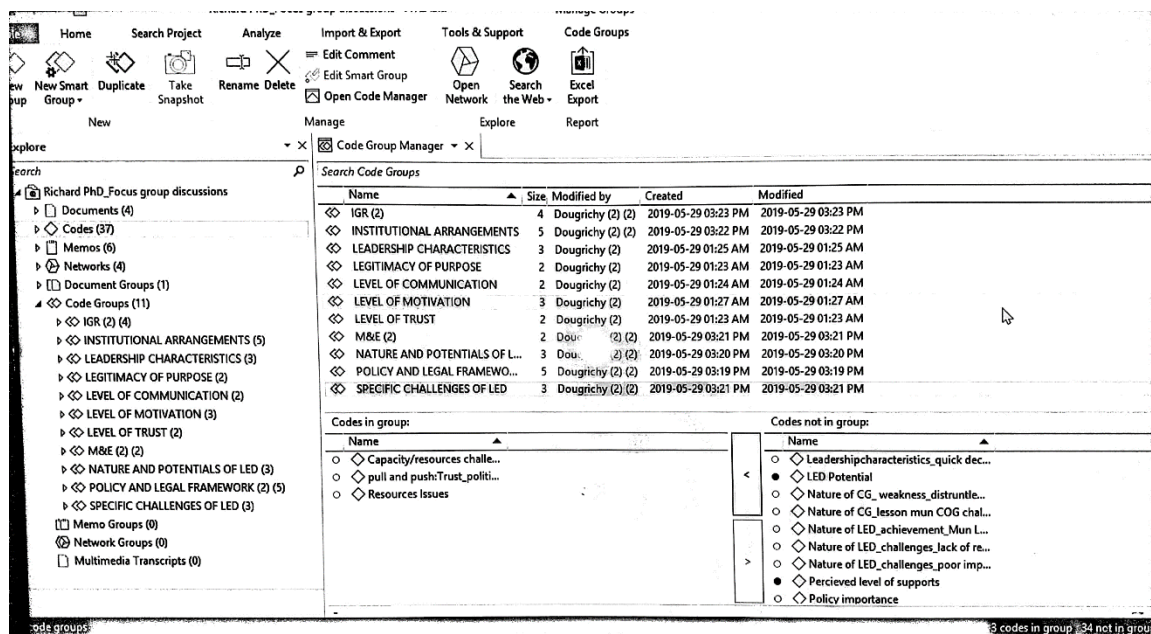
As aforementioned, the second cycle coding or the pattern coding, as it is popularly known involved the process where the researcher aggregated and repacked the codes previously generated during the first level coding into groups and produced the sub-themes as some main themes were derived from the research objectives. An axial coding technique was employed to determine, amongst the generated chunks of codes, the codes of the dominance and reorganise the data to select the best illustrative codes. The chunks of codes and quotations previously generated from Level 1 coding were aggregated and streamlined to a lesser number of 37 and 151 codes and quotations, respectively. Figure 5.6 below indicates a screenshot of the generated codes and quotation from focus group transcripts in Atlas.ti.



**Figure 5.6: Screenshot of generated codes and quotation from focus group discussions transcripts in Atlas.ti**

Author's own (2020)

The relationship between these codes and the data were compared, and related codes were grouped to emerge the sub-themes. Therefore 11 main themes and 27 sub-themes were generated from the focus group discussions as indicated in Figure 5.7 below.

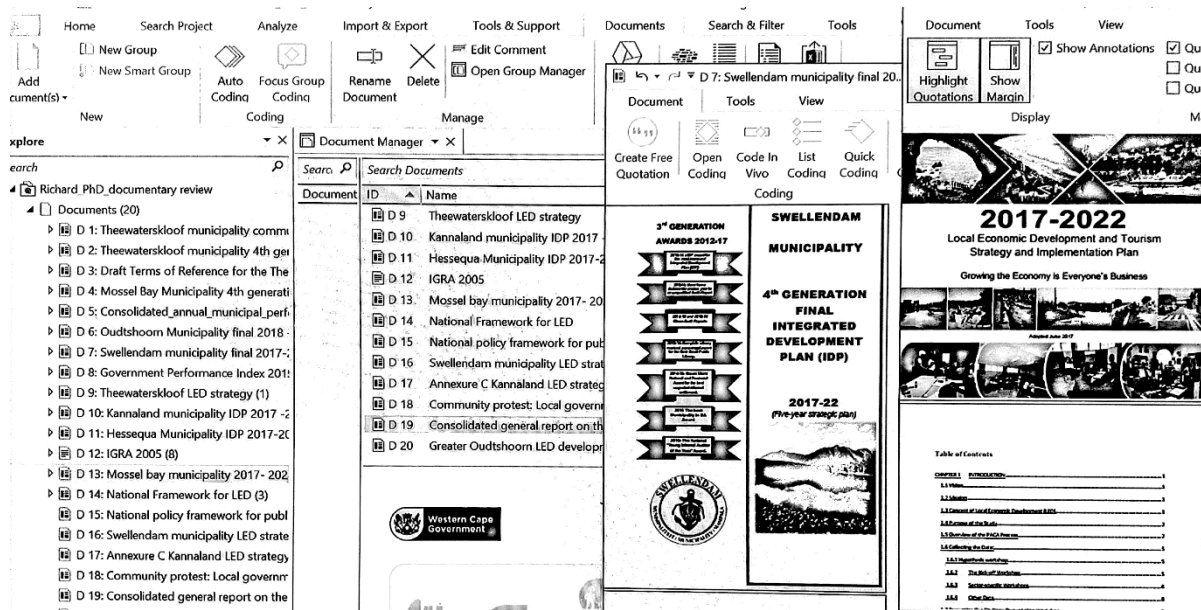


**Figure 5.7: Screenshot of main themes and sub-themes generated from focus group discussions transcribed documents in Atlas.ti**

Author's own (2020)

#### 5.4.2.3 Desktop study

Atlas.ti, CAQDAS was also employed for the desktop review. Twenty relevant documents were uploaded on the software for the same purpose of analysis. Figure 5.8 below indicates a screenshot of the list of reviewed documents in Atlas.ti. After uploading the relevant documents into the software, then the process of first cycle coding ensued (Level 1). The documents were coded aiming to emerge the sub-themes, while the main themes were generated along the research objectives.



**Figure 5.8: List of reviewed documents in Atlas.ti**

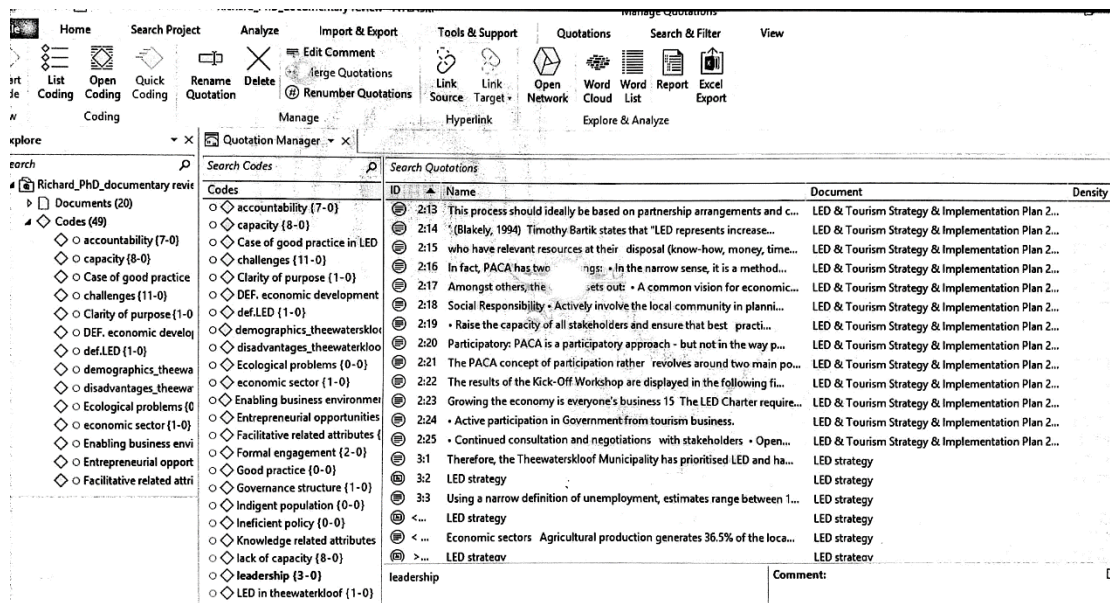
Author's own (2020)

#### 5.4.2.3.1 Level 1: Summarising and packaging the data

Usually, this initial stage of the data analysis process involves the first cycle coding of the uploaded relevant documents in Atlas.ti software to initially summarise the segments of the data. These segments were labelled with phrases called codes. For this study, the first cycle coding was conducted. A total of 69 codes and 243 quotations were generated. The next stage was to synthesise the generated codes of similar patterns of meaning into groups to develop the sub-themes, having primarily assigned codes to all the uploaded documents. The process was then advanced to Level 2 stages.

#### 5.4.2.3.2 Level 2: Repackaging and aggregating the data

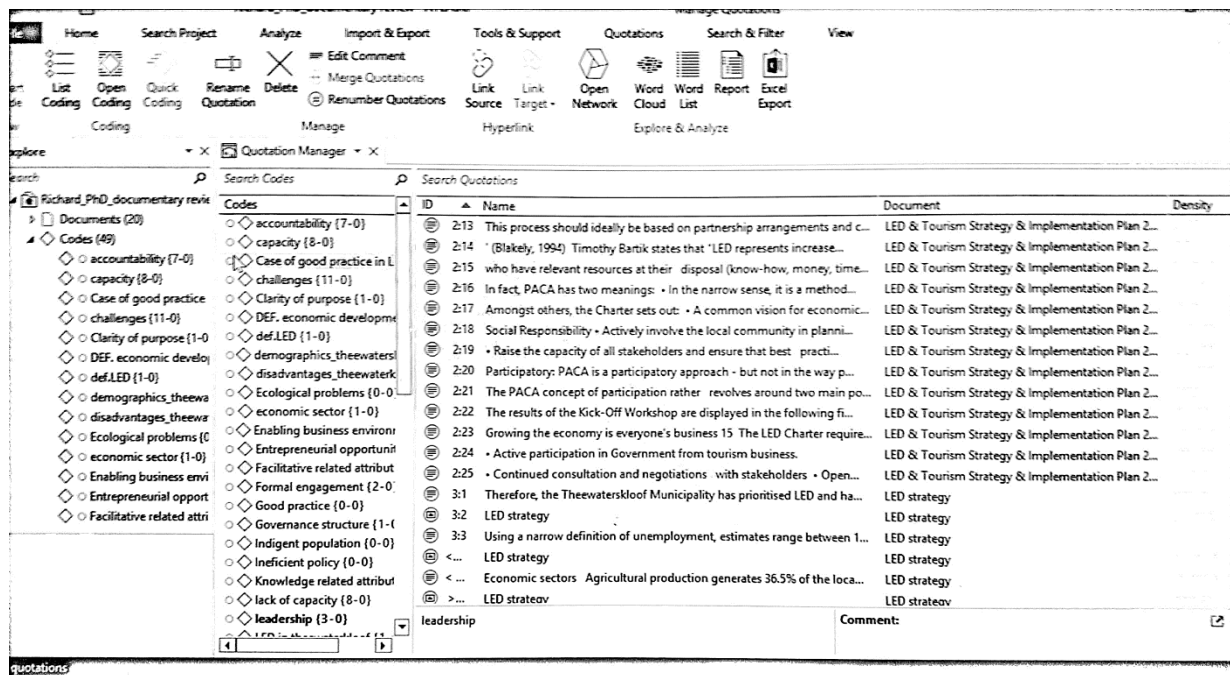
The same process of pattern coding process conducted in the previous analysis (interviews and focus group analysis) was replicated in this context. The chunks of 69 codes and 243 quotations previously generated from Level 1 coding were aggregated and streamlined to a lesser number of 49 and 168 codes and quotations, respectively, as indicated in Figure 5.9 below.



**Figure 5.9: Screenshot of generated codes and quotation from reviewed documents in Atlas.ti**

Author's own (2020)

The relationship between these codes and the data were compared. Related codes were grouped to emerge the sub-themes. As mentioned earlier, while the sub-themes were inductively generated from the data, some main themes were derived from the research objectives. Therefore 11 main themes and 22 sub-themes were generated from the reviewed relevant documents, as indicated in Figure 5.10 below.



**Figure 5.10: Screenshot of main themes and sub-themes generated from reviewed documents in Atlas.ti**

Author's own (2020)

Stemming from the abovementioned data analysis process, Table 5.9 below indicates a tabulated distribution of the various main themes and sub-themes generated from the interviews, focus group discussions and a desktop review of relevant documents in the study

**Table 5.9: Distribution of generated main themes and sub-themes**

Data collection	Number of main themes	Number of main sub-themes
Individual interviews	14	49
Focus group discussions	11	27
Desktop reviews	11	22

Author's own (2020)

The table above indicates that from the interviews, 14 main themes and 49 sub-themes were generated. From the focus group discussions, 11 main themes and 27 sub-themes and the desktop review, 11 main themes and 23 sub-themes were generated. The latter therefore advanced the researcher towards level 3 as per Miles and Herbanum's framework of analysis which entails the explanation/presentation of the generated themes and sub-themes. The last process of analysis was comparing the data emanating from the study with literatures and extant related studies in conjunction with the personal experience of the researcher to interpret and deduce meanings to the research findings regarding, what had been learnt from the study. Consequently, the explanations/presentation of the generated themes and sub-themes is conducted in the next chapter.

## **5.5 VALIDITY AND RELIABILITY**

According to Brink (1993), the validity and reliability of collected data interpretation is of paramount importance in any scientific research. A variety of data sources were used to investigate the same things in this study. Babbie & Mouton (2001), emphasise triangulation as one of the best ways to enhance validity and reliability in qualitative research, which emanates from a belief that no single method is adequate to generate truthful and credible research findings (Patton, 2002:555). Reliability is concerned with establishing dependability and consistency of the data gathered while validity within the qualitative research approach is concerned with establishing a fair and balanced view of reality from the perspective of the research participants (Neuman 2006; 2011). The study triangulated information from distinctive methodologies, such as interviews, focus groups discussions, and documentary analysis.

## **5.6 CHAPTER SUMMARY**

The preceding text provides a clear outline of the research design and methodology employed in this research study. The research paradigms of interpretivism and constructivism are conceptualised and contextualised as a theory and framework, supporting this study. The chapter also presents the scope and sample of the study undertaken in selected six municipalities in the Western Cape Province. The rationale behind the choice of the purposeful sampling strategy of a non-random selection of

participants for the study is explained. The chapter also details the various instruments employed in the study to obtain data through semi-structured interviews, focus group discussions and documentary reviews. A comprehensive explanation of how the data from the study are analysed to obtain the results through Atlas.ti is equally presented in this chapter. The chapter provides how triangulation assures the validity and reliability of interpreted collected data. The next chapter contains the presentation of the results.

## **CHAPTER 6: RESEARCH FINDINGS**

### **6.1 INTRODUCTION**

This chapter reports on the study findings conducted to assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in the Western Cape. The chapter presents the findings of data collected through key informant interviews and focus group discussions with LED key role-players in the six selected municipalities, and data collected through document analysis to address the research objectives of the study. The findings were used in contributing to the sustainability of outcomes-based monitoring and evaluation in the lexicon of LED-based cooperative governance in the selected six municipalities in the Western Cape Province.

A normative outcome-based framework for LED-based cooperative governance was evolved in the study. The conceptual framework of this study discussed in the previous chapters (Chapter 1- 4) guided the development of the proposed model/framework. The proposed model/framework was derived from the emerged findings obtained from various sources in the study through multiple data collection instruments, namely, documentary reviews, focus group discussions and individual interviews with key informants/stakeholders (municipality, business and civil society) within the selected municipalities.

The chapter also presents the various themes and sub-themes generated from the data. The process of generating data, analysis, synthesis and concluding happened interactively and iteratively with logic or structured process to present the findings in a structured manner. The presented themes and sub-themes from the study emerged through analysis of 24 interviews, 4 focus group discussions and desktop review of 20 relevant LED policy and implementation documents. Comparative table was also employed to describe the findings. The chapter commences with presenting the findings from the key informant individual interviews, focus group discussions and to the findings from the reviewed documents. Table 6.1 below summarises the emerged themes and sub-themes. Each of the main themes and corresponding sub-themes are further presented below in the paper.

**Table 6.1: Tabulated generated main themes and sub-themes from interviews, focus group discussions and reviewed documents**

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
1	POLICY AND LEGAL FRAMEWORK (CONTEXTUAL MICRO-ENVIRONMENT)	Policy design issues (Policy fragmentation and alignment; Definitions of roles and responsibilities; Outdated and Ineffective policy; policy assessment mechanism) Clarity of policy Promotion of accountability Substantive policy and legal framework Policy implementation	Policy alignment Issues of Autonomy Outdated policy Inefficient policy	Policy/strategy alignment Outdated LED policy/strategy Inefficient policy
2	NATURE AND POTENTIAL FOR LED	LED potential Common understanding of LED Provision of LED enabling environment	LED potential Common understanding of LED Provision of LED enabling environment	LED Potential Case of good practice in LED

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
3	SPECIFIC CHALLENGES IN LED	Resources challenges in LED Issues of implementation Level of trust Exogenous challenges	Resources/capacity challenges Business support services constraints Exogenous challenges (Socio-economic challenges)	Capacity constraints  Entrepreneurial opportunities Enabling business environment  Exogenous challenge (Limited land, political instability and Interference, Indigent population, and ecological factor)

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
4	LED INSTITUTIONAL ARRANGEMENTS	Understanding roles and responsibilities Role-players' involvement/participation Silos approach Resources/capacity constraints Collaboration structure/governance Role-players' willingness and commitment Level of trust Implementation plan Mechanism for dispute resolution Mechanism to promote accountability Attainment of perceived benefits	Role-players' involvement/participation Capacity/resources Role-players' willingness/commitment Collaboration structure/governance Level of cooperation	Level of trust Silos approach Governance structure Level of inclusivity

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
5	INTERGOVERNMENTAL RELATIONS (IGRs)	Perceived level of supports Issues of monitoring and reporting Issues of implementation Exogenous challenge Clarity of roles and responsibilities	Silos approach Perceived Level of supports Monitoring and reporting Level of cooperation	Case of good practice Poor implementation
6	MONITORING AND EVALUATION (M&E)	Monitoring and reporting Poor coordination	Monitoring and reporting Poor coordination	Performance management

S/NO	MAIN THEMES	SUB-THEMES (interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
7	<b>PULL AND PUSH FACTORS</b>			
A	LEGITIMACY OF PURPOSE	Substantive developmental goals Clarity of purpose	Clarity of purpose	Clarity of purpose
B	LEADERSHIP CHARACTERISTICS	Facilitative related attributes Knowledge related attributes Behavioural related attributes	Facilitative related attributes Knowledge related attributes	Facilitative related attributes Knowledge related attributes
C	GOVERNANCE STRUCTURE	Operational policies Ground rules Accountability Decision-making process Conflict resolution		Terms of Reference

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
D	COMMUNICATION/ENGAGEMENT	Formal engagement and media	Formal engagement	Formal engagement
E	ROLE-PLAYER/PARTNER'S CHARACTERISTICS	Resourcefulness of role-players Power and authority imbalance		Role-players' function and skill matching

S/NO	MAIN THEMES	SUB-THEMES (Interviews)	SUB-THEME (Focus group)	SUB-THEMES (Desk top reviews)
F	ROLE-PLAYER/PARTNER'S LEARNING OUTCOMES	Exchange of knowledge and information Enhanced understanding		
G	INTERPERSONAL RELATIONS/TRUST	Unsatisfactory level of trust Reasonable level of trust	Synergies between role-players/partners	
H	MOTIVATION	Resource/capacity benefits Provision of business enabling environment	Resources/capacity benefits	

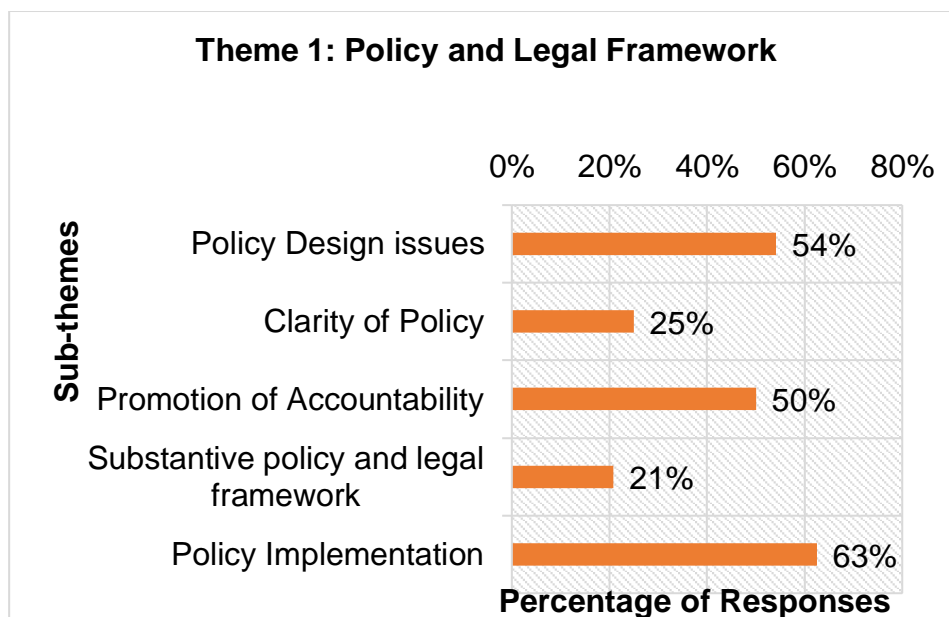
Author's own (2020)

## 6.2 MAIN THEME 1: POLICY AND LEGAL FRAMEWORK

The researcher was interested in learning from the key informants their perceptions about the strength and weakness of existing LED enabling policy and legal framework in promoting growth and development objectives within the municipalities. This process was achieved through document reviews of relevant documents, interviews, focus group discussions with key LED stakeholders/role-players within the municipalities. The complete results are presented below as follows.

### 6.2.1 Interviews

The emanating data from the interviews conducted with the 24 various key informants in the six selected municipalities resulted in 14 main themes and 49 sub-themes. The data reveals the perceptions and experiences of the stakeholders regarding LED-based cooperative governance arrangements within the selected municipalities. The data from the interviews on policy and legal framework emerged five sub-themes, as indicated in Figure 6.1 below.



**Figure 6.1: Distribution of sub-themes and responses on policy and Legal framework**

Figure 6.1 indicates the theme (policy and legal framework) and the emerging sub-themes. In total, five sub-themes were inductively generated from the data through Atlas.ti software,

and these sub-themes are: Policy design issues; clarity of policy; promotion of accountability; substantive policy and legal framework, and policy implementation. The percentage responses for the respective sub-themes are as follows: Policy design issues (54%); clarity of policy (25%); promotion of accountability (50%); substantive policy and legal framework (21%) and policy implementation (63%). Each of these sub-themes are further presented in detail, as observed below.

#### **6.2.1.1 *Policy design issues***

Data revealed that all the participants in the individual interviews knew of the existence of certain types of enabling policies and framework for collaborative local governance of LED in the six selected municipalities. Provided the main preoccupation of the study in this context, the dire need for effective policy design and implementation to achieve the golden objective of improving system management and responsiveness to socio-economic concerns within the municipalities cannot be downplayed. Stemming from the data obtained from the interviews, as indicated in Figure 6.1 above, 54% of the respondent's laments on a variety of inherent pitfalls modelled in policy design for LED-based collaboration in local municipalities. These difficulties were categorised in the study as: Policy fragmentation and alignment; Definitions of roles and responsibilities; Outdated and Ineffective policy and policy assessment mechanism. The distribution of responses to these sub-themes are tabulated below in Table 6.2.

**Table 6.2: Distribution of responses to sub-themes on policy design issues**

<b>Sub-themes</b>	<b>No of responses</b>	<b>Percentage of respondents</b>
Policy fragmentation and alignment	3	23%
Definition of roles and responsibilities	5	38%
Outdated and ineffective policy	3	23%
Policy assessment mechanism	2	15%
<b>Total</b>	<b>13</b>	<b>100%</b>

Author's own (2020)

As indicated in Table 6.2 above, some participants/respondents lamented on policy design concerns such as Policy fragmentation and alignment (23%); Definition of roles and responsibilities (38%); Outdated and Ineffective policy (23%) and Policy Assessment Mechanism (15%).

#### **a) Policy fragmentation and alignment**

Table 6.2 above indicates that 23% out of the 54% of the participants/respondents who lamented on policy design issues believed that some enabling policies in LED are fragmented and not properly aligned to the policies of other sectoral department and across the three spheres of government as epitomised below by some quotes comments made by the respondents:

*“There’s lack of alignment between IDP’s (including municipal sector plans within the IDP), provincial strategic priorities and national strategic priorities”. [D14<sup>2</sup>]*

*“The provincial policy environment has provided more strategic guidance to local economies but has not gained the traction needed to translate to locally-aligned policy and tangible implementation and results”. [D4]*

*“To date there is a lack of policy, legislation and planning arrangements from national. And there is disjuncture between national and provincial government, leading to ad hoc planning and insufficient resource allocation to promote local economic development”. [D1]*

## **b) Definitions of roles and responsibilities**

Another shortcoming in the policy design revealed in the data is that the policy fails to articulate the roles and responsibilities of participating stakeholders in a collaboration. As indicated in the Table 6.2 above, 38% out of a segment of the participants that commented on the shortcomings of policy design, believed that the roles and responsibilities of participating role-players in a collaboration should be defined in the policy. This assertion can be observed in the following quotes:

*“To date, the policy and legislative framework at national level do not define the roles and responsibilities of role-players. At a provincial level, I can say yes to some extent”. [D1]*

*“To my understanding, the policy should be able to define the roles and responsibilities of the state, business and civil society in such a manner to act as checks-and-balances”. [D24]*

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<sup>2</sup> Document 14. Transcribed document as denoted by Atlas.ti

### c) Outdated and inefficient policy

As indicated in Table 6.2, another minority segment of the respondents believed that the policy is long outdated and no longer effective enough to promote collaborative governance for LED in local municipalities. This assertion can be observed in the quotes below:

*“The LED and Tourism policy and strategy is outdated”. [D13]*

*“From my assessment, the introduced policy levers have been ineffective and cannot claim to positively impact on growth and development objectives”. [D4]*

### d) Policy assessment mechanism

On the concern of policy design as indicated in Table 6.2 above, 15% from the 54% of the respondents on policy design, acknowledged the dearth of a policy assessment mechanism to monitor and assess the performance of the policy. This renders it difficult to provide reports or feedbacks on the policy performance as to establish what is effective to replicate in the form of good practice and what is under-performing for possible review. This can be observed in the following synthesised quote below:

*“As it pertains to mechanisms for monitoring and evaluating policy performance, no device has been investigated and developed to do this”. [D1]*

#### 6.2.1.2 Clarity of policy

As indicated in figure 6.1(Policy and legal framework) above, despite the reported flaws (as mentioned above) in the policy design of enabling policy and framework for collaborative governance for LED, the data from the interviews in this context reveal the contrary, adding a bit of substance to the policy. Therefore, 25% of the participants believed that the policy is articulated enough to achieve effective collaborative outcomes as it relates to the local governance of LED. This can be evidenced in the quotes below from the respondents:

*“The policy is clear, so is the strategy on an administrative level. The objectives of policy and strategy are lost in translation at the shop floor level”. [D11]*

*“This country is known for making good policy. The implementation is always problematic. As we can observe here, the municipality is encountered with limited capacity to implement the LED policy”. [D24]*

### **6.2.1.3 Promotion of accountability**

Given the concerns of accountability, 50% of the respondents, as indicated in figure 6.1 (Policy and legal framework), believed in the ability of the policy to promote accountability amongst the participating stakeholders in collaboration. Though in practice, the implementation is a mere compliance exercise. This orientation can be observed in the quotes below:

*“There are some measures in term of our KPAs, where you need to be accountable”. [D6]*

*“Policy promotes accountability through its various measuring devices and measurement (KPI). In practice, it is a box tick exercise without real commitment and strong leadership from senior leaders”. [D11]*

### **6.2.1.4 Substantive policy and legal framework**

Figure 6.1 indicates that 21% of the participants believed in the efficacy of existing policy guidelines and legal framework to improve the theory and practice of collaborative local governance of developmental concerns within the selected six municipalities. About 60% of the received comments on this concern believed in the ability of the existing policy to continue to play a strategic guidance to improve the socio-economic conditions of local individuals through the exigence and practice of collaborative endeavour. Therefore, this notion is reflected in their comments as:

*“I believe there is a willingness from the MBM to collaborate with private sector. I also believe that the policy is prepared to improve the quality of life in our locality”. [D15]*

*“The National LED Framework continues to play a strategic guidance towards the successful implementation that have informed the successful LED implementation in municipalities”. [D19]*

There were some cases of counterclaims that although the policy can be effective, but not that effective to address the concern on how to improve stakeholder's relations as expected of a good public relation policy. This theory is reflected in the quote below

*"But we have the public participation policy, and it is more related to ward committees, not structured. Although we're attempting to put it as part of the IDP process, into such plan, forum and structure that relates to the legislative requirements on civil relation stuff, otherwise, there's nothing formal that we've adopted the policy". [D7]*

#### **6.2.1.5 Policy implementation**

As indicated in Figure 6.1 above, the majority (63%) of the participants acknowledged the challenge of poor implementation of LED policies and legal framework. This theory can be observed in the ensuing quotes:

*"Policy is clear, so is the strategy on administrative level. The objectives of policy and strategy are lost in translation at shop floor level". [D11]*

*"This country is known for making good policy. The implementation is always problematic. As we can observe here the municipality is encountered with limited capacity to implement the LED policy". [D24]*

*"How this is practised on the ground, has not been effective, and can be attributable to a number of reasons such as lack of stakeholder collaboration/networking skills, communication challenges". [D1; D6; D14 and D24]*

The preceding section presented interviews results on policy and legal frameworks (Main theme 1). The focus group discussion results on the same main theme is presented in the next section of the chapter.

### **6.2.2 Focus group discussions**

The second set of data stemmed from the focus group discussions. The principal objective of the focus group discussions was to triangulate the data generated through the individual interviews. The focus group discussions presented a distinct set of responses, many of

which reflected what had already been established in the individual interviews. Methodologically, the same processes followed for the individual interviews to upload the transcribed audio data into the Atlas.ti software for the coding process was replicated in the case of focus group discussions. Like the case of the individual interviews, the fundamental unit of meaning called codes were generated from the focus group data. The generated codes were again related to each other concerning their relationships in purpose and meaning and grouped to form sub-themes; the main themes were generated from the research objectives. In this context, eleven (11) main themes and Twenty-seven (27) sub-themes were generated as indicated in Table 6.1 above. In the context of policy and legal framework, the data from the focus group emerged four sub-themes in this context, indicating, Policy alignment, concerns of autonomy, outdated policy and ineffective policy as indicated in Table 6.3 below.

**Table 6.3: Distribution of sub-themes and response on policy and legal framework**

THEME 1: POLICY AND LEGAL FRAMEWORK		
Sub-themes	No of respondents	Percentage of respondents
Policy alignment	8	38%
Issues of autonomy	3	14%
Outdated policy	5	24%
Inefficient policy	5	24%
Total responses/number of respondents	21	100%

Author's own (2020)

#### **6.2.2.1 Policy alignment**

As indicated in Table 6.3 above, 38% of the participants believed that the enabling policy and legal framework for LED-based cooperative governance promotes synergies between

sectors in their municipalities and ensures that it informs the district strategy. This thinking can be observed in the following quote:

*“When we compile our strategy, we make a consultation with them to ensure that their strategy and the things they are focusing on say economic development, we take the synergy between the sectors and all the areas that are focused on, and we ensure that it informs the district strategy”. [FG3<sup>3</sup>]*

#### **6.2.2.2 Issues of autonomy**

Besides the concern of policy alignment, the data also revealed that 23% of the participants in the focus group discussions expressed their concerns about LED policy and legal framework as it pertains to the concern of the autonomy of a municipality. This stemmed from the provision of various enabling statutes of municipal structures Acts, with two-tiers of municipalities, local and DMs. Although the district has the strategic, facilitation and coordination role on a regional level, the district has no authority over any municipality. The following quote can attest this:

*“Because each municipality has its own budget, they got their own council that renders their own decision, so they are all autonomous. And the same with us, we have our own council, made up of councillors from the our municipality and from other local municipalities which constitute the district council, which is an autonomous council from the municipalities, and we have our own budget. So that is how it works, none of us neither the municipality have enforcement over each other activities. So, they can do whatever they want to do, they don’t need our permission and we don’t need their permission”. [FG1]*

#### **6.2.2.3 Outdated policy**

The issue of an outdated document was a concern to some participants in the focus group. Provided the data which stem from the focus group interviews, 23% of the participants in

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<sup>3</sup> Focus group 3

the focus group interviews believed that the national framework for LED and its associated policies are long overdue for an update. The following quotes can attest this theory:

*“The biggest challenge is the national government legislation. We are talking about a document that has not been modified since 2006. It’s a rigid document conducted by a bureaucrat that don’t know what business all is about”. [FG4]*

#### **6.2.2.4 Inefficient policy**

It was also revealed in the focus group discussions the unproductive nature of the national LED policy framework concerning its ability to promote the theory and practice of LED aimed at addressing improving socio-economic concerns within the municipalities. This assertion can be observed in the following statement:

*“And they wrote the policy of LED and later they later discovered that LED has got no practical function. It was written wrongly and that is the reason for instance at the municipality level, you could not introduce LED because there was no function written with LED”. [FG4]*

It was established through the focus group discussions, that municipalities like MBM resulted in the option of developing their own LED policy as a way of good practice. This claim could be observed in the following statement

*“The policy does make a difference, that’s why we’ve our policy that we have developed as per our environment and what we take to be the best practice”. [FG4]*

The preceding section presented focus group results on policy and legal frameworks (Main theme 1). The document reviews result on the same main theme is presented below in the next section of the chapter

### **6.2.3 Document reviews**

The data from the desktop reviews as it relates specifically to the perusal of relevant documents on the theory and practice of LED-powered cooperative governance in the six selected municipalities emerged eleven (11) main themes and 23 sub-themes. Therefore,

data from the reviewed relevant documents on policy and legal framework emerged three broad-based sub-themes, as indicated in Table 6.4 below. Interestingly, some emerged sub-themes were like the ones that emerged from the interviews and focus group discussions. These sub-themes are: Policy/strategy alignment; outdated LED policy/strategy, and Inefficient policy.

**Table 6.4: Themes and sub-themes on policy and legal framework**

	THEME	SUB-THEMES
1	POLICY AND LEGAL FRAMEWORK	<ul style="list-style-type: none"> <li>• Policy/strategy alignment</li> <li>• Outdated LED policy/strategy</li> <li>• Inefficient policy</li> </ul>

Author's own (2020)

#### **6.2.3.1 Policy/strategy alignment**

Provided the statutory provisions for developmental local government, the municipalities are expected to align their policy and strategies to that of the provincial and national government as contained in the NDP. Certain IDP documents reviewed in the study revealed some sort of misalignment of objectives and strategies between the various spheres of government. As contained in the IDP documents of SM and KM regarding the municipalities' LED strategies alignment to that of national, provincial and district, while both the National outcomes and the provincial strategic objectives were oriented towards improved quality of basic education, the district (Overberg) strategic goal and the local municipality (SM) strategic objectives focus on the promotion of good governance and community participation. Garden Route (Eden) district municipality and KM misaligned their strategic objectives horizontally with that of the national and provincial priorities in this regard. Both the district and the local municipality's energies were geared towards the economic growth and stability of the regional economy and local economy, respectively. This assertion can be observed in the excerpt Table 6.5 and 6.6 below:

**Table 6.5: Horizontal alignment of national, provincial and district strategy (Swellendam Municipality)**

<b>National Outcomes</b>	<b>Provincial Strategic Objectives</b>	<b>Overberg District Municipality Strategic Goal</b>	<b>Swellendam Strategic Objectives</b>
NO1: Improve the quality of basic education	SO 2: Improving education outcomes	ODM SG5: To ensure good governance practices by providing a democratic and initiative-taking accountable government and ensuring community participation through existing IGR structures	SWE SO5: Promote good governance and community participation

Extracted from Swellendam municipality (SM) IDP (2017:141)

**Table 6.6: Horizontal alignment of national, provincial and district strategy (Kannaland Municipality)**

<b>National Outcomes</b>	<b>Provincial Strategic Objectives</b>	<b>Garden Route District (Eden) Objectives</b>	<b>Kannaland Objectives</b>
NO1: Improve the quality of basic education	SO2: Improving education outcomes	To grow district economy  Healthy and socially stable communities	To facilitate economic growth and social and economic development

Extracted from KM IDP (2018:50)

### 6.2.3.2 Outdated LED policy/strategy

It was observed during the document review process that some policy documents that pertain to LED and its associated features are outdated and should be revised. For example, the national LED framework was approved by LG MinMEC in September 2006. It was designed as a five-year framework intended to support the development of local economies through integrated government approach, proposes a strategic implementation approach for LED stakeholders (municipalities, provinces, national government, state-owned enterprises and communities) and to guide the implementation of LED key performance indicators (Walaza, 2017:slide 2). This framework was evolved to play a strategic role in the emergence and proliferation of LED strategy and implementation in municipalities. Notably, the national LED framework provides the bedrock for the municipality's LED strategy grounded within the principles and values of sustainable development. Given the dynamic trends and complexities of contemporary local economies, there is an urgent need for the national LED framework and its associated strategies to be revised. Interestingly some of the selected six municipalities are in the process of revising their strategies towards vision 2030. While MBM revised LED and Tourism strategy, and implementation plan was adopted in 2017, KM and OM were still in the process of reviewing their LED policies, strategies, and operational plans. This can be observed in the following extracts:

*“The Municipality envisages compiling new and updating existing municipal policies, strategies and operational plans over the next three years. This will be conducted to ensure that municipal activities, rules, and procedures are consistent with all relevant policies, legislations and by-laws”. (KM IDP, 2017:10)*

*“Municipal LED need continuous revision, with comprehensive reviews intended for at least once every five years”. (WCDLG, 2014:80)*

This concern (updated and approved policies) was reported as a weakness of OM as contained in a SWOT analysis presentation (OM IDP, 2017:19)

### **6.2.3.3 Inefficient policy**

The desktop review of relevant policy documents on LED and cooperative governance revealed a divergence/gap in the policy as it relates to inclusive public participation in developmental matters within the municipalities. This assertion can be observed in the following statement:

*The policy in many instances regarding what is required to be conducted by municipalities in respect to several functions in public participation is silent on how it must be done, leaving this to the discretion of municipalities. This has posed many challenges for municipalities (DPLG, 2007:2)*

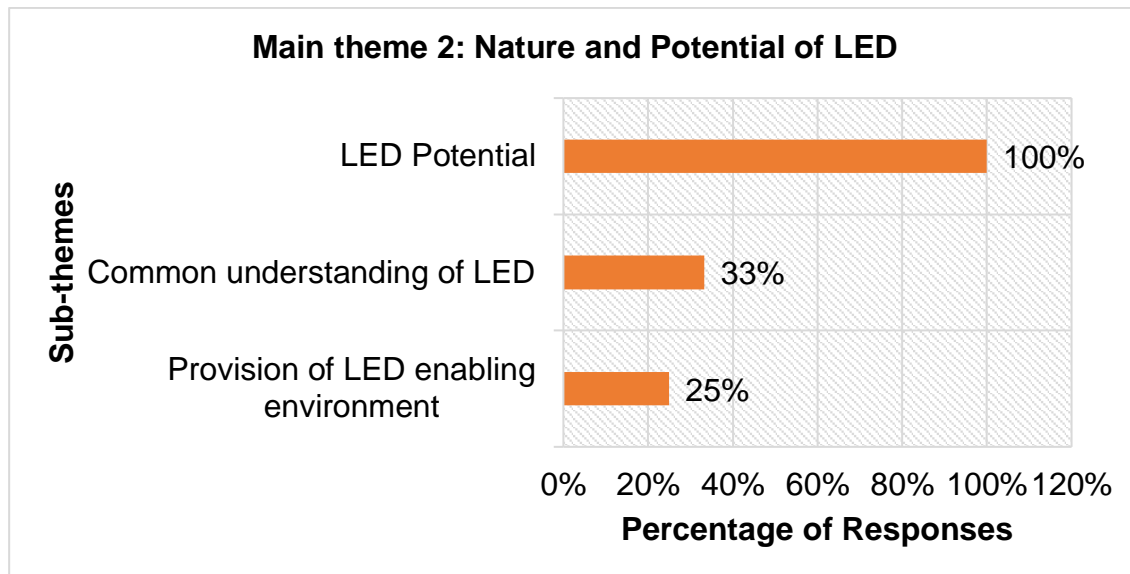
The emerging data derived from the three collection strategies used in the study indicate some inherent shortcomings in the policy design, assessment and implementation of LED policy documents and its associated framework. These divergences, amongst other things include: Concerns of policy alignment and fragmentation, policy updates, policy assessment mechanism, promotion of accountability, clarity of policy and problems of poor implementations. The next presentation is on main theme 2, the nature and potential of LED.

## **6.3 MAIN THEME 2: NATURE AND POTENTIAL OF LOCAL ECONOMIC DEVELOPMENT**

In this context, the researcher brings to foreground the views, opinions and experiences of the main stakeholders on cooperative governance and LED's functioning in the selected six municipalities to establish its potentiality to contribute to the socio-economic development of the locality amidst the specific constraints encountered by the municipalities in LED implementation and as to how these challenges could be surmounted.

### **6.3.1 Interviews**

In this context, the emanating data from the individual interviews conducted with the key informants (stakeholders) are presented below in Figure 6.2.



**Figure 6.2: Distribution of sub-themes and responses on nature and potential of local economic development**

Figure 6.2 depicts Main Theme 2 (Nature and potential of LED) and the emerging sub-themes. The distribution of sub-themes and its individual responses are indicated in the figure. The following sub-themes inductively emerged from the data interviews: LED potential (100%); mutual understanding of LED (33%) and Provision of LED enabling environment (25%). Each of these sub-themes are further presented in detail in the next section.

### **6.3.1.1 Local economic development potential**

As indicated in Figure 6.2 above, the data emanating from the interviews revealed that 100% of the respondents believed in the capabilities of LED strategy to contribute to the socio-economic development of their locality. All the respondents from the selected six municipalities believed that there is an excellent potential for LED initiative to improve the quality of life of individuals in their communities. The following statements support this thinking.

*“LED has the potential to contribute to socio-economic development by creating the conducive environment through the municipality’s policies and by-laws and application focussed and targeted to impact on the socio-economic conditions of the area”. [DP1]*

*“There is a great potential for LED initiatives to improve the quality of life of our individuals in the community. It’s mainly of a project in nature and community-based”. [D24]*

*“LED has as its goals to create local jobs, to ensure economic stability and diversity, build on comparative advantages, assist the poor, and ultimately strive to improve the quality of life of all local communities”. [D19]*

### **6.3.1.2 Common understanding of local economic development**

The extent to which LED national framework is comprehended at local municipalities could impact on their level of implementation. The level of implementation may be different amongst municipalities, principally in rural areas. Several factors are responsible for this reasoning. The study commences with the collective understanding of LED by the implementers as this concern may also influence practice. As indicated in Figure 6.2, the data revealed that 33% of the participants acknowledged the need for more clarity of LED. This can be observed in the following quotes:

*“A reasonably clear understanding of LED is most time lacking on the side of implementers. Little strategic guidance towards long term benefits is provided”. [D11]*

*“There’s lack of common understanding, vision and strategy for LED, that it is not a wish list or ad hoc projects, but a process, whereby all line departments have a direct and indirect contribution to promote economic development”. [D1]*

*“LED strategies lack detail for interventions and lack monitoring and evaluation. Small rural municipalities especially struggle to implement LED”. [D19]*

Data from the interview reveal that LED initiatives differ amongst the six municipalities. Some of the municipalities pursue infrastructure-growth approach, while others focus on competitive advantage and growth potentials of towns. That granted, the data reveals that majority of the six selected municipalities have fully embraced LED as part of their developmental mandate while some few others are still grabbing to fully embrace the catalytic role of LED to address socio-economic development concerns within their municipalities. For example, the data revealed that the HM imbibes the spirit of enhanced

service delivery and development through infrastructural provisions. MBM, conversely, focuses on the competitive advantage and potential growth of the municipality to achieve its developmental objectives. This can be observed in the respective quotes below:

*“Virtually all our income goes to services delivery. And it’s not because we do not believe in LED, in fact, the vision of this council is growth and development of the municipality, the municipal institutions, communities and local economy”.*

### **6.3.1.3 Provision of local economic development enabling environment**

The imperativeness of providing enabling environment for LED to flourish in municipalities was considered in this context. Although it was just a minority (25%) of the respondents that commented on this issue, the researcher considered it worthwhile to report it. The data further revealed that a majority of the reported 25% acknowledged the existence of some cases of good practices in some municipalities in the provision of enabling business environment. For example, the interview data revealed the various package of incentives established by TM to attract and retain investors in the municipality. There were also reported case of good practice about MBM in ensuring that LED practices within the municipality is focused on creating and enhancing the business environment. The following responses demonstrated this theory:

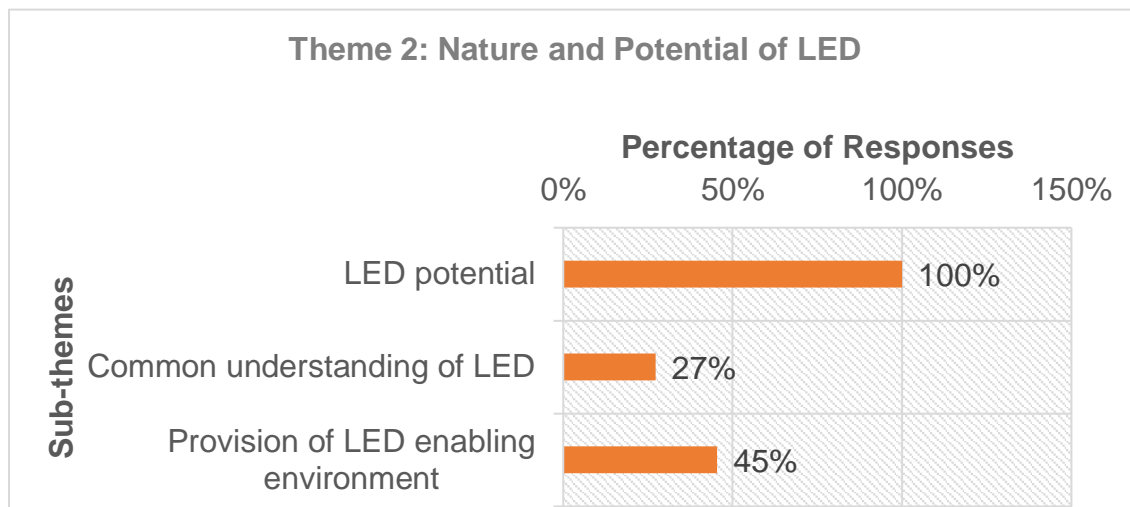
*“There’s a maturity assessment system where we were indicated as the best municipality in creating an environment conducive for economic development for 3 years and is still the case. And we have incentive, if you establish a new business in this area, you can have a tax holiday for 3 years [s] ibid”. [D10]*

*“Our focus of LED is on business development, red tape reduction, investment promotion, sector development and fostering of partnership with external and internal role-players”. [D1]*

This section of the chapter presented results on the nature and potential of LED (Theme 2). Therefore, the next section of the chapter presents the focus group results on the same theme (Theme 2).

### 6.3.2 Focus group discussions

The perceptions of the participants in the focus group discussions on the nature and potential of LED in the municipalities emerged three broad-based sub-themes, as indicated in Figure 6.3 below. These sub-themes are LED potential; nature and common understanding of LED; provision of LED enabling environment.



**Figure 6.3: Distribution of sub-themes and responses on nature and potential of local economic development**

#### 6.3.2.1 Local economic development potential

Figure 6.3 indicates that overwhelmingly, 100% of the participants in the focus group discussion believed that LED has the great potential to transform the local economy of their municipalities and to improve the quality of life of the local individuals. The quotes below reflect this thinking:

*"A study was done, called the LED economic maturity to establish what one can do to assist the small towns, we did with them a PACA process of emphasising all the economic potential or game-changers whatever, that's what they came out with, such as tourism, agriculture, agri-processing and technology". [FG2]*

*“We do believe in LED, in fact, the vision of this council is growth and development of the municipality, the municipal institutions, communities and local economy. That’s the vision of the council. And there’s a specific unit that envisage and deals with that”. [FG1]*

### **6.3.2.2 Common understanding of local economic development**

Although the participants in the focus discussions overwhelmingly acknowledge the potential of LED in their municipalities, the group discussions (44% of the participants) revealed the concern of not according priority to LED in most of the municipalities. This can be observed in the following quotes:

*“You must remember that our focus in the municipality in every town is service delivery. In the service delivery, we must have here in the municipality water, electricity sewage health and storm water, which are our main priorities. LED is not our main priority because we don’t acquire money for it. It’s not a service that you must render. Do you understand that”. [FG2]*

*“We gather small amount of income and basically all our income goes to services delivery. And small, I almost say, insignificant portion of it goes for LED”. [FG1]*

### **6.3.2.3 Provision of local economic development enabling environment**

Irrespective of the low priority level LED practices in some selected six municipalities, 44% of the participants (as indicated in Figure 6.9) indicated some cases of good practices in some municipalities by way of creating the conducive enabling environment required for LED to flourish within their municipalities. For example, HM, TM, and MBM have good cases to mention in this context. This assertion can be observed in the following quotes:

*“We’ve to create an environment for economic development, which we’ve done. And for that we’ve received recognition. There’s a maturity assessment system where we were indicated as the best municipality in creating an environment conducive for economic development for 3 years and is still the case”. [FG1]*

*“We can tell you about the innovation project that we have in Witsand. The first solar desalination plant in South Africa here in HM, it was funded for R4.5 million. And Tourism in Stilbaai has got a good office, and it’s running well”. [FG2]*

### 6.3.3 Document reviews

Majority of the reviewed documents also revealed the potential of LED in the selected six municipalities concerning the municipalities’ potential to catalyse the local economies and improve the socio-economic well-being of the individuals within a municipality. That said, and the major preoccupation is about how to harness the potential. Provided the data which stems from the reviewed documents, the following two sub-themes emerged: LED potential and good practice as presented below in Table 6.7.

**Table 6.7: Themes and sub-themes on potential of local economic development**

S/No	THEMES	SUB-THEMES
2	NATURE AND POTENTIALS FOR LED	<ul style="list-style-type: none"> <li>• LED potential</li> <li>• Case of good practice in LED</li> </ul>

#### 6.3.3.1 Local economic development potential

The reviewed documents reveal the level of LED potential within the six selected municipalities as manifested in the level of understanding and embracement of LED within the municipalities. This can be observed in the following excerpt:

*“TM Council made it clear that LED in the municipality is a crucial intervention... and that LED must create a viable and realistic path to make TM an attractive place to live in for much of its population” (IDP TM, 2017:4).*

#### 6.3.3.2 Case of good practice in local economic development

The reviewed documents reveal the diverse levels of priorities accorded to the practice of LED within the six municipalities as a manifestation of a case of good practice of LED within

the municipality. This assertion was observed in the various structures prepared to foster LED within the municipality. Most of the six municipalities established informal and informal structures for this purpose. For instance, five of the six municipalities have an in-house dedicated LED unit headed by an LED manager to promote LED within the municipality. Only SM was established as without an LED unit. This can be observed in the excerpts below:

*“During the 2017-22 IDP consultation, SM Advisory Forum and ward committee meetings, the community prioritise the absence of a LED Unit as a one of the five high priorities”.  
(SM IDP, 2017:94)*

In the preceding main theme, the study presented the emerging data on the views, opinions, and experiences of the main stakeholders on cooperative governance and LED’s functioning in the selected six municipalities. The policy design, general understanding and the potentiality of LED to contribute to the socio-economic development of these localities were presented and some cases of good practices in some of the six selected municipalities regarding the provision of enabling business environment. The next presentation is Main Theme 3.

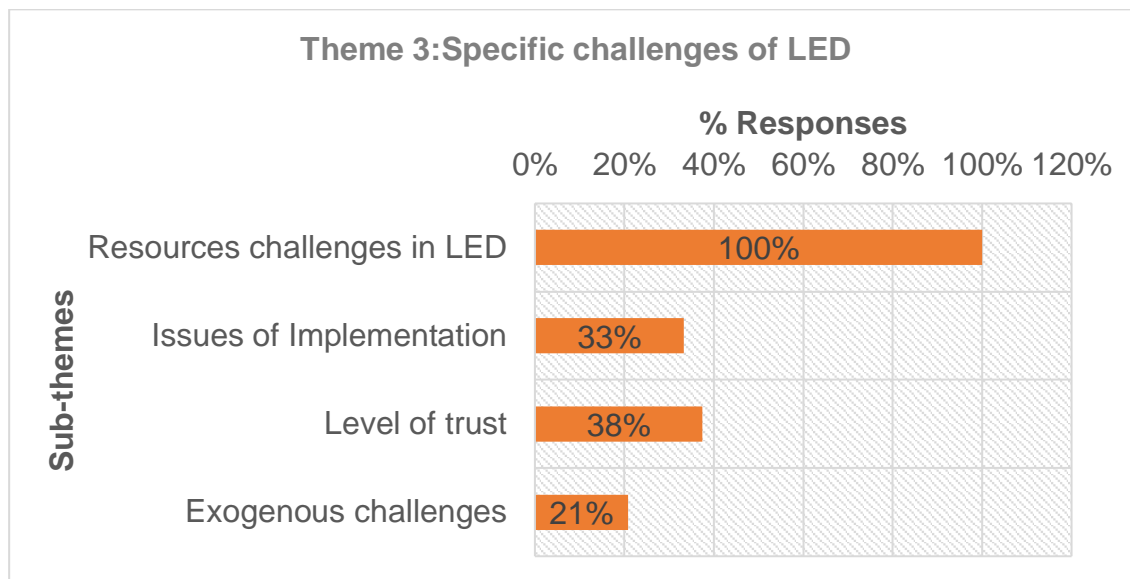
#### **6.4 MAIN THEME 3: SPECIFIC CHALLENGES IN LOCAL ECONOMIC DEVELOPMENT**

The data stemming from the study revealed some specific challenges confronting the effective operationalisation of cooperative governance and LED in the selected six municipalities. These challenges were revealed through the review of relevant documents, individual key informant interviews and focus group discussions held with the key stakeholders in the selected municipalities.

##### **6.4.1 Interviews**

The individual interviews conducted with the key stakeholders reveal the following specific challenges in the theory and practice of LED within the six selected municipalities. The challenges are: Resources/capacity constraints; issues of implementation; the level of trust;

political challenge; socio-economic and environmental/ecological challenge. These specific challenges are tabulated and indicated in Figure 6.4 as sub-themes.



**Figure 6.4: Distribution of sub-themes and responses on specific challenges in local economic development**

#### **6.4.1.1 Resources challenges in local economic development**

Resources/capacity constraint is a perennial problem across the selected six municipalities in focus, as revealed by an overwhelming 100% of the participants in the individual interviews, as indicated in Figure 6.4 above. All respondents across the municipalities lamented on the dearth of capacity/resources to foster LED in their municipalities. For example, it was revealed in the data that the six municipalities are encountered with various capacity difficulties ranging from a lack of budget, a lack of capacitated or insufficient human capital to a lack of structures for LED. The data also revealed that while there appears to be overarching insufficient human and financial resources in all the six selected municipalities, there is not an LED unit/department in SM. These assertions can be observed from the following comments below:

*“There is limited municipal capacity and resources to implement LED strategic support despite securing buy-in at political and administrative levels”. [D4]*

*“Like I said we do not have all the resources, ideally, we look into revenue concerning how we can acquire more income to the municipality, it's not that we're selfish but sometimes we tend to streamline than adding more municipal functions”. [D6]*

*“The municipality does not have an LED department with dedicated human capital. They always say there is no money”. [D24]*

#### **6.4.1.2 Issues of implementation**

The concern of implementation as it relates to the operationalisation of LED strategy consequently was identified to be one of the challenges of LED, which impedes it from achieving its objectives. The individual interviews data indicated that implementation of LED policy and strategy in some of the six selected municipalities is still a *matter of chance-taking* as revealed by 33% of the participants indicated in Figure 6.4 above. The data revealed that municipalities like KM and SM struggle with implementation problems of LED policy and strategy. This following response demonstrated this theory:

*“As a government at various levels, I think we have been lacking on implementation of policies and programmes. There have been too many failures with regards to implementation. I say yes, for us as a municipality, we also struggle with implementation of policies and programme”. [D3]*

*“LED initiatives in some cases are about tick box for compliance rather than a strategic approach to enable economic development”. [D14]*

*“The implementation of LED programmes experiences some challenges in the process of aligning the LED initiatives to the involvement of the affected communities in the planning processes”. [D19]*

#### **6.4.1.3 Level of trust**

Still on the assessment of the functioning of LED-based cooperative governance in the selected six municipalities, the concern of trust was brought into focus in this context. Figure 6.4 indicates that 38% of the participants believed that there is a lack of trust between the private sector and the municipality and even between the line departments in

the municipalities which often culminate into silo planning practices and ultimately poor collaboration. The concern of trust was dealt with in details later in the study when reporting on the determinants for effective collaborative governance for LED. In this context, the concern of trust is prevalent across the six selected municipalities. The following quotes reflected this theory:

*“Lack of trust between private sector and municipalities, silo planning within municipalities (among line departments) tends to hamper LED collaboration”. [D14]*

*“The most important challenge that should be addressed is the concern of trust and collaboration amongst stakeholders specifically the private sector”. [D1]*

A respondent from one of the six municipalities declares:

*“Trust level is questionable because different parties have different responsibilities. Trust cannot be created overnight. It’s something that must be earned. To some extent, I can say there’s a reasonable level of trust among the stakeholders”. [D23]*

#### **6.4.1.4 Exogenous challenges**

These are challenges occasioned by the dynamics within the context or external environment where the municipality is situated directly beyond the control of the LED role-players and stakeholder within the municipality. Provided the data from the study as depicted in Figure 6.4 above, 21% of the participants in the individual interviews expressed their pessimism over the impacts of exogenous concerns such as political, socio-economic and environmental/ecological challenges encountered by municipalities. Some of the respondents believed that tenure of the council (councillors) for five years, and after that, a new council is constituted impacts on the commitment, consistency and continuity of plans and purpose of economic development within their municipalities. The following quote can attest this concept:

*“It come up every time after 5 years when they elect a new council. Each council will have their own subject and they will develop their own structures with different individuals they are comfortable with or new individuals that we nominate”. [D7]*

*“We only observe them during election time but after that they’re gone, they’re there only for the money”. [D17]*

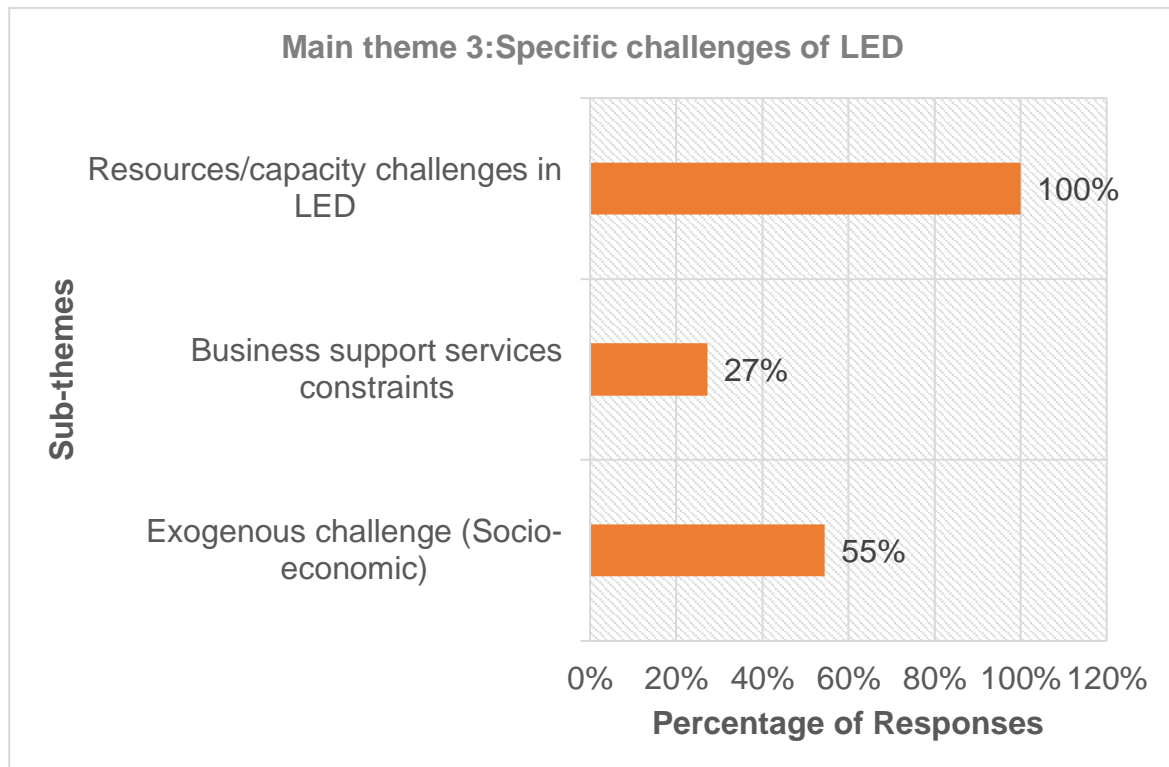
Socio-economic concerns are another cause of concern across the six selected municipalities with a rising unemployment rate across as a pandemic socio-economic concern across the municipalities. The adverse impact of environmental/ecological factors on the local economy was also expounded in the data. This challenge is across the six municipalities as the economies of these municipalities are primarily on agriculture, forestry, fishing and tourism that can easily be impacted upon by environmental/ecological factors like drought, flood and excessive wind. These factors, as revealed in the data, are more prevalent in municipalities, such as KM, HM and Oudtshoorn. The following responses demonstrated this assertion:

*“Prominent sectors in our local economy like the agricultural, forestry and fishing sectors is deeply impacted by widespread drought experienced in our area”. [D3]*

*“Political instability, rising unemployment and poverty, impact on our economies negatively”. [D4]*

#### **6.4.2 Focus group**

The data emerging from the focus group discussions held with some Mayors and Mayoral committees of the selected municipalities presented a set of responses, many of which reflected what had already been established in the individual interviews. The focus group discussions emerged three sub-themes on LED specific challenges. These sub-themes are capacity challenges of LED; business support services constraints and exogenous challenges (socio-economic challenges) as indicated in Figure 6.5 below.



**Figure 6.5: Distribution of sub-themes and responses on specific challenges of local economic development**

#### **6.4.2.1 Resources/capacity challenges**

Capacity constraints are a major problem across all spectrum of the six selected municipalities, as revealed by the interview data previously reported in the study. The data emerging from the focus group discussions held with some Mayors and Mayoral committees of the selected municipalities also manifested the same concern of capacity/resources constraints as a major predicament to the success of LED practices within their municipalities. As indicated in Figure 6.5 above, an overwhelming percentage of 100% of the participant attested to this shortfall. The following responses supported this claim:

*“We have the strategy that dictates [guide] the LED unit on how to implement it but still, funding is problematic, now it’s almost impossible for us to expand our economy”. [FG1]*

*“A limited fund available for LED is definitely a problem”. [FG3]*

Certain participants in the discussions have acknowledged that though the capacity may be limited for LED in their municipalities concerning numbers, but the capabilities of the available limited human capacity is emulating. Good examples of these municipalities were: TM, HM, and MBM. This claim can be observed in the following statement:

*“We have limited capacity concerning numbers, high capacity concerning capabilities”.*  
[FG1]

#### **6.4.2.2 Business support services constraints**

As indicated in Figure 6.5 above, 27% of the participants in the focus group discussions identified facility constraints as a LED concern, hampering the establishment, development, growth and sustainability of SMMEs in their municipalities. For example, the challenges to businesses located in some municipalities who may need to travel to SARS office in George, a town situated quite a distance away from them to obtain their tax clearance and other tax-related documents. The municipalities most affected are KM and HM. This can be observed in the following responses:

*“Sometimes the tax clearance has elapsed, and they have no means to go and update it because the tax office is in George”.* [FG2]

*“The other thing is the registration of business on the database of the municipality supply chain system and the registration with SARS because to be able to acquire them works/jobs, you must comply with the MFMA certain requirements, meaning a tax clearance certificate must be updated. Regarding the latter, we saw last month a big challenge. It’s either the certificate has lapsed, or they are not of good standing with SARS. Thus, it becomes difficult to allocate work/jobs to small entrepreneurs because they do not comply with terms of the financial management system”.* [FG1]

#### **6.4.2.3 Exogenous challenges (socio-economic)**

Figure 6.5 indicates that 55% of the participants in the focus group discussions echoed the impact of socio-economic condition on LED in their municipalities. It was revealed in the data that across the spectrum of the six selected municipalities, there is a high proportion

of indigent population demanding services that must be paid for by the minority paying population. This occurrence renders the municipalities low tax base with lesser income and with many mouths to feed. This can be observed in the following quote:

*“The other thing that you should be aware of is that the indigent population is increasing all the time because of high migration figure. Indigent individuals come to this municipality to have access to services and what happens then, you have a lesser percentage of paying population and a majority indigent population”. [FG1]*

### 6.4.3 Document reviews

Concerning the specific challenges encountered by the municipalities in the practice of LED, the reviewed documents emerged the following seven sub-themes: Capacity constraints; limited land; entrepreneurial opportunities; enabling business environment; political instability and interference; indigent population and ecological factors. These sub-themes are tabulated in Table 6.8 below.

**Table 6.8: Themes and sub-themes on specific challenges of local economic development**

S/No	THEMES	SUB-THEMES
3	SPECIFIC CHALLENGES IN LED	<ul style="list-style-type: none"> <li>• Capacity constraints</li> <li>• Entrepreneurial opportunities</li> <li>• Enabling business environment</li> <li>• Limited land</li> <li>• Political instability interference</li> <li>• Indigent population</li> <li>• Ecological factor</li> </ul>

#### **6.4.3.1 Capacity constraints**

The municipalities' IDP and LED strategy documents reviewed in the study echoed the sentiment of capacity constraints as a significant predicament to the practice of LED across the selected six municipalities. The extracts below attested to this claim

*“Several challenges that impacts on LED within the municipality; these include budgetary constraints and limited personnel capacity. Building capacity in the LED unit is critical to delivering on LED”. (SM IDP, 2017:14)*

*“Resources for LED are limited so it is prudent and disciplined to choose a pragmatic portfolio of initiatives and to ensure that expectations are not raised above what can realistically be met”. (TM IDP, 2017:36)*

#### **6.4.3.2 Entrepreneurial opportunities**

Another challenge that stemmed from the reviewed documents is the concern of limited entrepreneurial opportunities available for emerging and informal businesses in the municipalities. Two principal factors were established as responsible for the limited entrepreneurial opportunities within the six municipalities in question. These are: Slow transformation towards the inclusive integration of informal and emerging SMMEs into the mainstream of the economy; and the exposure of nascent and infants' enterprises to a high level of imports (with increasing cost) into the municipality. This theory can be observed in the following extracts:

*“Inhibiting delays with transformation process” tends to dwarf entrepreneurship opportunities. (TM Community development strategy, 2018a:40)*

*“High level of imports into the municipal area increasing costs”. (TM IDP, 2017:113)*

#### **6.4.3.3 Enabling business environment**

As contained in the MBM LED and Tourism strategy and implementation plan, the document identified certain factors present in the business environment of the municipality, hampering economic growth within the municipality. These constraints were:

*“High tariffs/rent in the central business district (CBD); Municipalities standards too high for SMMEs; Work opportunities provided to one person by Municipality; Lack of information; bureaucracies; high crime rate and delay of approved plans and advertisements”. (MBM LED, 2017b:44).*

The reviewed documents obtained from SM and Western Cape department of local government revealed the concern of red tape as a predicament to healthy business growth and development in the municipality. This can be observed from the following extracts:

*“Red tape delays from Council and Provincial bodies including legislative requirements”. (SM IDP, 2017:135)*

*“Red-tape limits municipalities’ ability to take advantage of investment opportunities and the accessibility of government initiatives”. (WCDLG, 2014:88)*

#### **6.4.3.4 Limited land**

A constraint revealed by the relevant documents reviewed in the study was the concern of land. This constraint was a perennial challenge in South Africa. The IDP documents of the selected six municipalities emphasised the imperativeness of land availability and its efficient utilisation as major elements towards achieving socio-economic goals through local development in the municipalities. This theory can be observed from the following extracts obtained from the reviewed documents:

*“There is a critical shortage of land for small farming initiatives (crops and livestock)”. KM IDP, 2017:59*

An identified weakness in the SWOT analysis of MB and TM, impeding development within the municipalities, was the concern of land as contained in the following extract:

*“Limited vacant municipal land is available [ibid] for business development” (MBM IDP, 2017a:93)*

*“There is an Insufficient [ibid] municipal land for housing development”. (TM IDP 2017:59)*

In SM, there was a change in basic assumptions regarding the concern of land. The reviewed IDP document of the municipality contrarily reveals the availability of utilisable commonage land resources within the municipality. This was proclaimed in the document as strength to the municipality’s capability to enhance the local economy. The lingering question is about the degree to which the land resource is productively employed for the growth and sustainability of the local economy. The following extracts manifest this theory:

*“There is commonage land to work. The available land is not always used productively”. (SM IDP, 2017:92)*

#### **6.4.3.5 Political instability and interference**

In SM and OM, it was reported that political instability in the municipalities was a high risk that hampers the growth and development of the municipalities and stability within the broad communities and administration. The political office bearer struggles within/across political parties and deliberating interfering in administration. The following extracts can attest to this assertion:

*“Political office bearers do not understand their roles and mandate with regards to administration and operational functions...causing gross interference in the administration”. (SM IDP, 2017:115)*

*“For the last decade OM encountered unique challenges which include political instability, two periods of Administration and subsequent periods of recovery”. (OM IDP 2017:5)*

*“There has been much turmoil and political instability over the past few years. Despite these challenges, it has the diversity of unique selling features and natural endowments needed to be regionally competitive and self- sufficient”. (OM LED, 2009:9)*

It was established that MBM and TM, pride their strength on their municipalities' political stability and commitment to achieving developmental and service delivery goal of their municipalities as observed in the following extract:

*“MBM is in a fortunate position to enjoy political stability (MBM IDP 2017a:11 ...and the political stability and commitment of the municipality constitute a strength for the municipality to fulfil its statutory mandate”. (MBM IDP, 2017a:18)*

*“The strength of the economic plan lies in the political and administrative will of the municipality to create an environment conducive for economic growth and development. It equally lies in the fact that it is not a municipal plan per se but a joint plan of stakeholders, role-players, communities and interest groups in TM”. (TM IDP, 2017:5)*

#### **6.4.3.6 Indigents population**

The reviewed documents provided a profound insight on the impact of increasing level of indigent population on the local economy of the selected six municipalities. As contained in the documents, an increasing level of indigent population means more *mouths to feed*. Provided the statutory provision of indigent policy, the indigent population is entitled to free basic services. The entitlements as reported in the reviewed document practice put a huge financial burden on these municipalities. This theory can be observed in the following extracts:

*“The MBM area experienced an increase in the number of indigents between 2014 and 2016, which implies an increased burden on municipal resources”. (MBM IDP 2017a:48)*

*“One of the major challenges is Influx of indigents ... who are unemployed, homeless and low/no skills”. (TM IDP, 2017:60)*

*“Increased number of indigents in the municipality amounts to a challenge”. (HM IDP, 2017:147)*

#### **6.4.3.7 Ecological /environmental Factor**

A major predicament hampering economic development across the selected six municipalities as revealed by the reviewed documents in the study was unfavourable climatic condition in the municipalities as evident by drought and excessive wind. On the question of economic sustainability, the three largest sectors contributing to the economy of the selected six municipalities is mostly agriculture, forestry, and fishing. In mostly three of the six municipalities (SM, KM and MB), the documents reported situations of increased drought in the municipalities with consequential impacts on biodiversity and ecosystem, and as damages to fishing vessels as a result of excessive wind. Following these occurrences, the municipality was encountered with the following challenges: Decreased in investors' confidence, reduction in property value, and increase in insurance premium on assets situated in high-risk areas. The following extracts manifest these claims:

*“Increased water demand and restrictions, and decreased water resources and security, attributable to increased drought and climate change impacts on biodiversity and ecosystems and damage to fishing vessel attributable to increased wind”. (SM IDP 2017, 66-67.*

*“MBM experienced a significant drought, which was the result on an extended period of reduced annual rainfall and this constitutes a threat in rural areas by weakening food security (crop failure, death of livestock, wind erosion of topsoil), especially in poor communities that depend on subsistence farming. Impacts negatively on livelihoods”. (MBM IDP 2017a:30)*

*“Currently the entire municipal area of KM is facing the nightmare of severe drought. Throughout this IDP the storage capacity of water has been indicated as critical”. (KM IDP 2017:84).*

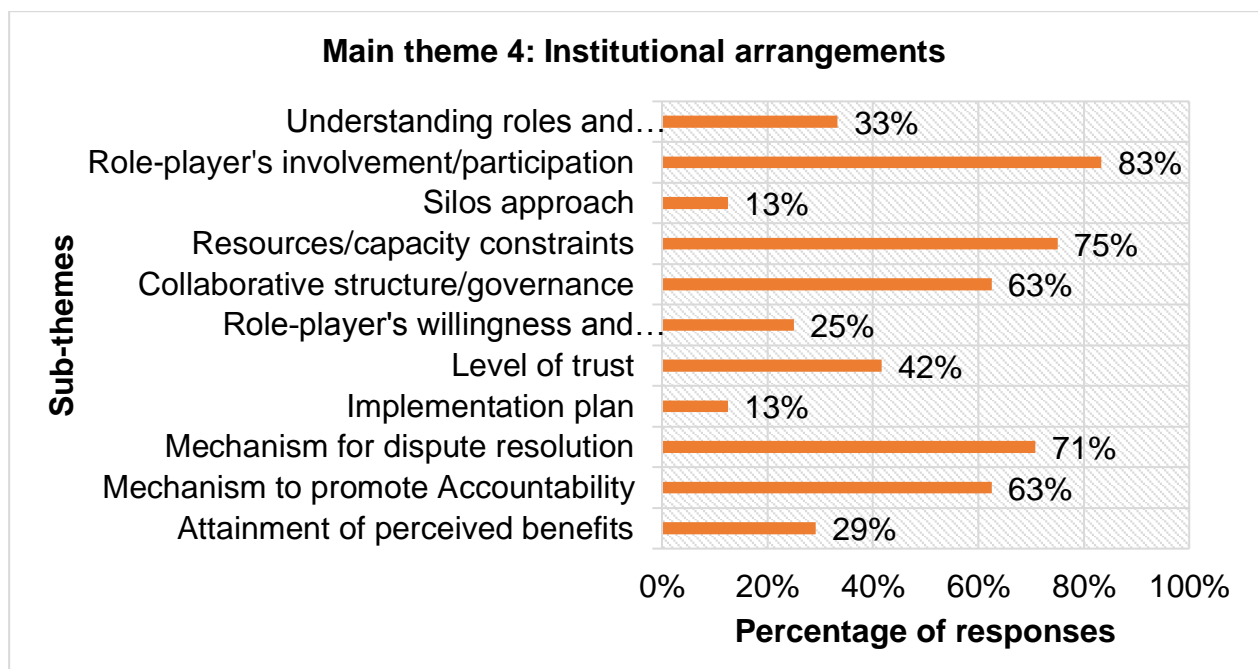
It was presented in Main Theme 3 data on the various specific challenges in the theory and practice of LED within the six selected municipalities. These challenges were mainly: Resources/capacity constraints; issues of implementation; the level of trust; political challenge; socio-economic and environmental/ecological challenge. The next section of the study presents Main Theme 4.

## 6.5 MAIN THEME 4: INSTITUTIONAL ARRANGEMENTS

Understanding the nature and dynamics of institutional arrangements for the local governance of territorial economic development in the six selected municipalities within a comprehensive spectrum is of paramount importance as it provides the insights as to how the interactions between the key role-players/stakeholders assist in shaping and improving the socio-economic outcomes of developmental strategies within the six selected municipalities.

### 6.5.1 Interviews

In this context, the researcher sought to understand the views, opinions and experiences of the participants with special focus on the strengths and weaknesses/challenges of the municipal, institutional arrangements prepared aimed at achieving the objectives of LED within the six selected municipalities, how to overcome the identified challenges and the mechanism prepared to resolve any arising conflicts between the role-players in the institutional arrangements. Figure 6.6 below indicates the distribution of responses to the emerged sub-themes on institutional arrangements.



**Figure 6.6: Distribution of responses to emerged sub-themes on institutional arrangement**

The interview data emerged the following sub-themes as indicated in the above figure: Understanding roles and responsibilities; role-players' involvement/ participation; silos approach; capacity/resources; collaboration structure/governance; role-players' willingness/commitment; the level of trust; implementation plan; the mechanism for dispute resolution; mechanism to promote accountability; attainment of perceived benefits . Each of these sub-themes are presented in detail below:

#### **6.5.1.1 Understanding roles and responsibilities**

Imperatively, to enhance both the individual and collective performance of institutional arrangement for LED, the role-players need to understand their respective roles and responsibilities in the arrangement comprehensively. Responses were received from 33% of the participants regarding this sub-theme, as indicated in Figure 6.6 above. The participant's perceptions and experiences across the six municipalities were quite mixed. While some believed that the role-players in the institutional arrangements do comprehend their respective and collective roles in the arrangements, others contradicted claiming that the goals, roles and function of LED are not properly defined. The interview data revealed that a majority of the six selected municipalities established mechanism to ensure that parties to LED institutional arrangements in their municipalities understand their respective roles and responsibilities. For example, municipalities like HM, Oudtshoorn, MBM and TM are actively employing tools, such as SOP, charter, or memorandum of understanding for this purpose. These can be observed in the following comments:

*“Yes, with the previous process, there was a charter that they all sign off concerning the goals we want to achieve from the economic forum. Specifically, we developed a common memorandum of understanding, we circulate that and make them sign for it”. [P7]*

*“They know their roles and responsibilities from their wards. Every ward has deliverables within their wards, so they know from their wards what they need”. [D9]*

Participants are of the view that though there may be employing SOP or memorandum to spelt out roles and responsibilities of role-players, a lack of common understanding of LED within their municipalities renders it difficult to define the roles and responsibilities of role-players in LED institutional arrangement. The following quote attested to this claim:

*“A reasonably clear understanding of LED is most time lacking by implementers, though drafted protocols and SOPs are communicated to them”. [D11]*

*“.....and a lack of common understanding of LED communal goals renders it difficult to practice and implement its initiatives”. [D1]*

#### **6.5.1.2 Role-player’s involvement/participation**

With regards to this sub-theme, the participants tried to expound their observations and experiences about the level of participation or involvement of the role-players as active members of institutional arrangement allowed decisions on matters of LED in their municipalities. Most participants across the six municipalities and across the spectrum of the participants, state, business and civil society believed this to be a concern. The following quotes manifest this theory:

*“One of the major challenges is the challenge of involving all the main stakeholders”. [D23]*

*“We do experience poor community involvement in the planning and implementation of LED projects exist”. [D19]*

The data also revealed that the six municipalities are doing what they could to involve the community as per the statutory requirements of IDP as it relates to public participation through ward-based inputs generation. The following responses reflect this thinking:

*“We've certain statutory obligation concerning public outreach,.....IDP processes, public participatory process where we review our LED strategy, there's a mandatory public participation process, and of course, we engage with our whole range of stakeholders including the private sector, civil society and other multiple stakeholders, including national and provincial and other local government”. [D3]*

*“We’re going out three times to the community to acquire their inputs as to what their problems, challenges, their needs are and so that we can try and accommodate their needs into the budget. So that is what we are doing to obtain inputs from the community”. [D2]*

### **6.5.1.3 Silos approach**

Another concern revealed by the data is the concern of working in silos. It was reported by a minority of 13% of the participants in the individual interviews that some role-players in the institutional arrangement work in silos and are unwilling to share information with other members in the same institutional structure. Silo mentality (you do your work, and I would do mine) creates impediments for role-players in designing and implementing appropriate collective solution to socio-economic concerns in local municipalities. These can be observed from the following responses:

*“The tendency of working in silos persist, and individuals does not necessarily observe the bigger picture”. [D1]*

*“I think the biggest thing, the biggest challenge is the silo approach, the national is doing one thing and the province another, district is doing one thing and the municipality is doing another. Everyone working in different silos”. [D10]*

*“Silo planning within municipalities need to be addressed”. [D14]*

### **6.5.1.4 Resources/capacity constraints**

The concern of capacity/resource constraints to design and implement an effective and sustainable institutional arrangement for the collective governance of LED in the selected six municipalities were also revealed in the study. As indicated in Figure 6.6 above, the majority (75%) of the participants in the six municipalities attested that their municipalities lack adequate resources/capacity to embark on and sustain LED and its associated drives. Funding to this type of initiative is limited across the six municipalities, especially municipalities with low economic base such as KM and OM. It was equally revealed by the data that SM, one of the six municipalities have no well-functioning dedicated LED unit. The following quotes attested this theory:

*“All they say is that there's no money”. [D17]*

*“In this case there is no LED department”. [D24]*

*“Key vacancies in Senior Management not filled”. [D4]*

*“Municipalities lack the attraction and retention of skills”. [D4]*

A participant from one of the six municipalities acknowledged that though they are limited in numbers, but stemming from their strength and competencies, they can collaborate to deliver the goods. The following response attests this theory:

*“I’d be more vocal in talking about my unit LED. I’d say that our strength lies with the competency and dedication of our staff. Though we are limited in numbers, we all work well together to achieve the developmental objectives of the municipality”. [P24]*

#### **6.5.1.5 Collaboration structure/governance.**

The data from the interviews revealed that 63% of the participants made their views and concerns known in this context as indicated in Figure 6.6 above. The presentation of this sub-theme is focused on six segments, namely, governance system; Inclusivity; ward committee as an institutional arrangement; communication; Facilitative leadership; Role-players turnover.

##### **a) Governance system**

In this context, the observations and experiences of the participants are presented as it relates to power and authority dynamics between the role-players during the decision-making process of institutional arrangement especially as it relates to the various processes of deliberation and negotiation. Although participation had been mentioned earlier in the study, as this may sound like a repetition. The researcher deemed it also fit to include it in this context. The reason is not to lose the original contents of the data during the process of data analysis. While some participants are of the concern that the process is undemocratic where the role-players in a forum session, for example, are not accorded the enabling deliberative platform, the data from the interviews revealed that the process is bureaucratic in all the six selected municipalities. Consequentially the process is time-consuming until a decision is reached. This can be observed in the following responses:

*"I have a problem where one's not being provided a platform and dictating for individuals. It's one thing to have such a lot of people, but what is happening there? That is my concern". [D6]*

*"I think it's about bureaucracy. To come up with a decision takes a long time. And you cannot say there should not be some type of bureaucracy. But there should be due diligence in it. And there must be a way of how things can speed up the processes and at the same time we want good governance". [D23]*

## **b) Inclusivity**

The concern of inclusivity in the composition of fora as an institutional arrangement for LED was brought into the limelight in this context. Put simply, the ways in which to determine who should be invited or included in the institutional structures like development forum, portfolio, and ward committee. Some of the participants across the six selected municipalities believed that the configuration of forum representation fails to meet the requirements of an all-inclusive decree of public participation as dictated by the statutory provisions of LED. The following quotes from the participants attested to this thinking:

*"I think for me it'd be a good forum, but we still have a long way to go when we talked about collaboration in economics sense. There're so many issues, we haven't talked about like the inclusivity debate, how we're going to spur the economy through all-inclusiveness with regards to the involvement of individuals, groups of individuals and the role that the public can play". [D3]*

*"The structure is not representative of everybody there and that is still something we need to solve out because not everybody belongs to the business chamber, though they're the organised structure". [D7].*

In OM and MBM, for example, interview data revealed that although the structure is not all-inclusive, specific parameters are taken into consideration in determining who should be invited to participate in any LED institutional arrangement within their municipalities. The statement below attests this theory:

*“ We look at what is the major driver in the economy and the key sectors. For instance, agriculture is the main driver. Based on that, [we identify] [ibid] who is the major or player in that particular sector to be able to identify who we need to consult with, then we organise agriculture forum or structure which organises agricultural fora for farmers”. [D7]*

*“There are also stakeholder’s relations components, where we create relationships with stakeholders, purely focussing on community and economic development. Concerning the economic development, we will look at existing stakeholders in the existing economic sphere within TM and then gradually include other stakeholders as they invest in a peaceful, productive area”. [D10]*

### **c) Ward and portfolio committee as formal institutional arrangements**

The ward committee is a form of institutional arrangement designed to promote public participation of local individuals in matters of local development of their areas. The emergence of ward committee is borne by the exigence to procure and incorporate inputs from the communities in the draft and preparation of IDP in municipalities. This coordinated approach of structural planning within the context of the IDP process offers the potential to link local economies and accelerate growth directly by public-private sector. Most of the participants adjudged the ward committee arrangement in their municipalities to be functional. The analytical question is about how the arrangement is structured and managed as an all-inclusive entity with the ability to deliver optimally on its mandates. This assertion can be observed in the quotes below:

*“We’ve 9 wards, and each ward, we do have institutional arrangements of ward committee and portfolio committee meetings like any other municipalities. So, stakeholders go to the ward committee meetings where they provide their inputs on all sorts of projects. Concerning the Structure Acts, we acquire feedbacks every month for LED department and EPWP”. [D2]*

*“Both the Councillor and the ward committee have an open door relations, they can come anytime to have a meeting with us and say listen, we have this and that in ward 2 and the needs for that and that, then we go out and observe what we can do to assist them”. [D9]*

Certain participants contrarily believed that ward committee institutional arrangement for LED is too politically driven to achieve developmental and all-inclusive economic growth within their municipalities. The following quotes attested to this claim:

*“...and this concern of ward committee, the system is within the Mayor’s office [ibid] and that is a big problem. It’s politically driven. “You need to take it back”. [D1]*

#### **d) Communication**

The fundamentality of having effective communication between the role-players is brought into focus in this context by some participants as a vital element to ensure the success of institutional arrangement for LED. The data revealed all the six municipalities in focus in the study uses various communication processes to reach out effectively to the role-players and stakeholders. This can be observed in the quote below:

*Effective communication with all relevant role-players ensures that discussions are outcomes-based [ibid]. There is a need for a system for more effective processing of concerns within the structure”. [D14]*

#### **e) Facilitative leadership**

The need to have collaborative leader characterised of certain facilitative qualities is of immense importance to the success of any collaborative initiatives. Data from the study revealed that across the selected six municipalities the Executive Mayor assumed the facilitative leadership role. The quote below can attest to this claim.

*“The executive Mayor of the municipality establishes the strategic agenda, and certainly the Mayor is involved as a leader in the council on all these initiatives because IDP is actually a Mayoral process. LED is part of the portfolio, when we speak about SMME development, youth development, etc and all that forms part of leadership”. [D3]*

#### **f) Role-players turnover**

Another key concern revealed by the data is the challenge of high turnover amongst key role-players and stakeholders, which may impact the consistency and continuity of plan

and purpose of institutional arrangement for LED. For example, during the process of data collection for this study, there were resignations and vacant positions of LED managers in HM and TM. The interview data also revealed a high turnover rate amongst business stakeholders, especially those which represent small businesses as they are more susceptible to failure. This can be observed in the following response:

*“The whole scenario is that we don’t collaborate with the same people year in and year out. Businesses pops-up, businesses go under, especially when one’s dealing with small companies and start-up companies, they are likely to fail. That’s the reality”. [D3]*

#### **6.5.1.6 Role-players’ willingness and commitment**

Figure 6.6 above indicated that about 25% of the participants believed that the willingness and commitments of the role-players is a strength to the institutional arrangement process. The data from the interviews revealed a high level of willingness and commitment of role-players to the process because of the good practices of LED arrangements within the municipalities. The following quotes manifested this theory:

*“So, the secret is the willingness from everybody to collaborate. Because you cannot force individuals to do that. For the system work properly, there should be a credibility in the system as well”. [D8]*

*“Good practices of LED arrangements as well the commitment to working in partnership with private sector to implement LED Initiatives benefits the whole community”. [D1]*

#### **6.5.1.7 Level of trust**

The concern of trust was raised by 43% of the participants as one of the major determinants for effective institutional arrangement. The data revealed that a majority of the 43% were of the observations that the level of trust amongst the LED institutional role-players and stakeholders in their municipalities was questionable. In municipalities such as Oudtshoorn, KM and SM, the data revealed an instance of mistrust between the role-players. The following responses reflected this theory:

*“Lack of trust between private sector and municipalities prevails, silo planning within municipalities (among line departments) hampers collective initiatives”. [D14]*

*“The trust is minimum because the community and private sector perceived the municipal officials as corrupt and can’t be trusted. Most projects went uncompleted and the blame always go to the municipal officials including councillors”. [D19]*

*“The other wants to organise themselves like the black business chamber, have started to develop now as well, to put the smaller guys around them, I think there is still distrust between the former white businesses and others”. [D7]*

*“Weaknesses of these institutional arrangements is the mistrust and lack of shared understanding”. [D1]*

The situation at MBM and HM are on the contrary, where the data revealed the existence of a considerable level of trust capable of fostering collaboration within the municipalities as attested by the following quote:

*“Yes, they trust each other. we have an Open-door relation. They can come in if anything is happening in the wards. So, from our side when they are in that meeting, they can as well provide feedback as to what is happening in the wards”. [D9]*

#### **6.5.1.8 Implementation plan**

The data revealed the concern of an implementation plan as a fundamental component for the success of LED focused institutional arrangement. Only two out of the selected six municipalities have an updated implementation plan. The following response support this:

*“A policy should be derived and implementation plan”. [D13]*

#### **6.5.1.9 Mechanism for dispute resolution**

When the participants were requested to describe the mechanism prepared within the municipalities to resolve arising disputes amongst role-players in the institutional arrangement, 71% of the participants responded to the question as indicated in Figure 6.6 above. Most of the respondents to the question believed that arising disputes might be

settled through the normal legal process or the process of arbitration. This can be observed in the responses below:

*“The agreements normally contain a clause for dispute resolutions and arbitrations”. [D 1]*

*So, concerning governmental disputes, there’s another department that handles that, it’s referred to the legal department of a particular unit. I may particularly say in any dispute, it’s actually the legality plus the Governmental relations facilitation and a number of municipalities and national department are falling short in having this type of practice prepared”. [D16]*

#### **6.5.1.10 Mechanism to promote accountability**

The interview data revealed mixed observations about the mechanism employed by the municipalities to render the key role-players to be accountable to themselves and the process. Some participants (63%) expressed their observations on the imperativeness of accountability as one of the major determinants for the effective performance of LED institutional arrangement. Interviews revealed that although there is a mechanism prepared to promote accountability, there still exists a divergence. All six selected municipalities reported this divergence. This can be observed in the respective quotes below:

*“There’re some mechanisms to promote shared accountability through service level agreements, memorandum of agreements”. [D1]*

*“On this one, like I said, there’s a divergence. And when you're accountable, you observe entity as mine, you know! I’m a part of it. This platform can do better regarding that. But currently, it's not there and we just observe it as a municipal stuff”. [D6].*

#### **6.5.1.11 Attainment of perceived benefits**

In this context, the researcher tried to examine the efficacy of LED institutional arrangements within the selected municipalities concerning its ability to bring satisfactory achievement of perceived benefits to key role-players and stakeholders. The data from the interviews revealed mixed responses across the six municipalities. In MBM, the data indicated a case of good practice in the ward committee and development forum. The LED

unit in TM was reported to be a good example. This theory could be observed in the following quotes:

*"Yes, the performance of the forum is good because we deal with the main issue". [D9]*

*"The LED unit in the municipality is doing so well in providing the correct platform to advance and address development within the municipality". [D21]*

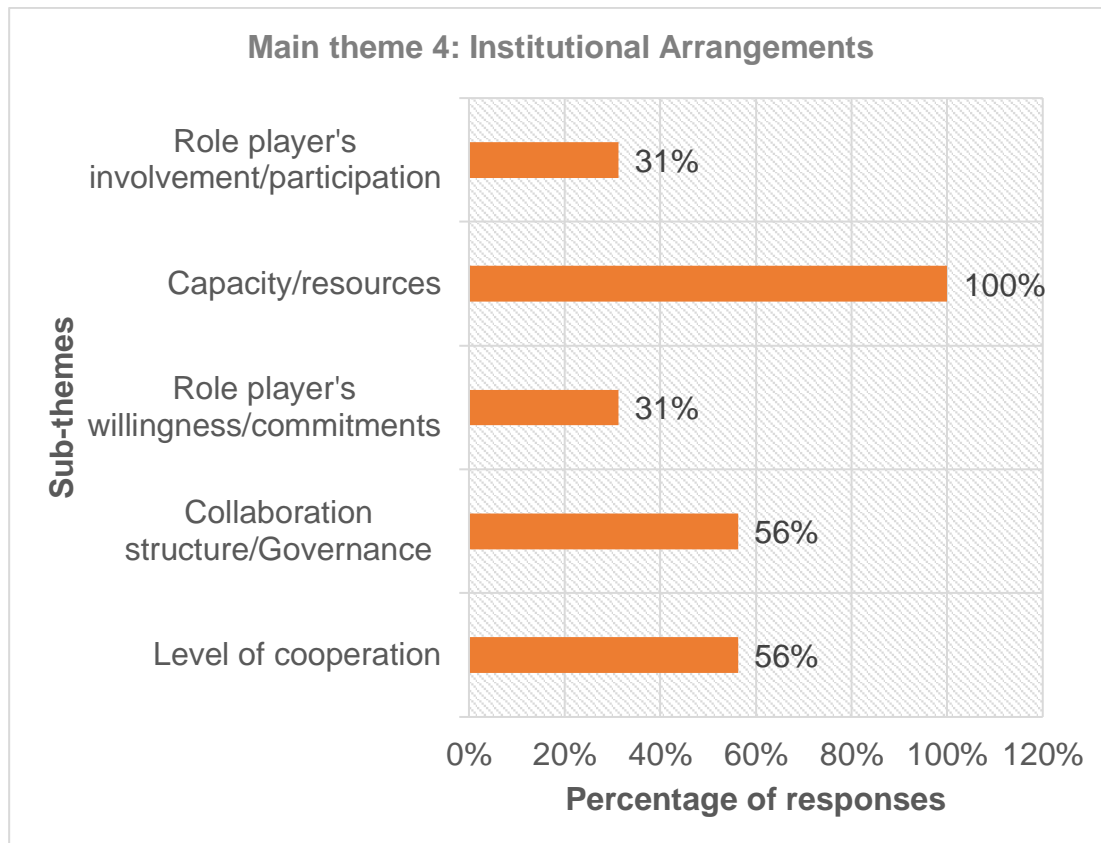
The data revealed that some arrangements are not that rewarding and satisfactory in some municipalities. For example, in municipalities like SM, KM and Oudtshoorn, both the business and the civil society role-players are dissatisfied with the outcomes of mostly LED related fora within their municipalities. The following quotes reflected this notion:

*"How this is practice consequently, has not been effective, and can be attributable to a number of reasons e.g. lack of stakeholder collaboration/networking skills, communication challenges". [D14]*

*"And he (business stakeholder) goes to the forum and the forum is back and forth, individuals talking nonsense and that is why he's at the negotiation with the municipality now. So that they can make decision". [D20]*

### **6.5.2 Focus groups**

In this context, the researcher pursues to know the efficacy of the institutional arrangement for LED-based cooperative governance within the municipalities. The data from the focus group discussions emerged three sub-themes, inter alia, stakeholders' involvement/participation, capacity/resources and stakeholder's willingness as indicated in Figure 6.7 below. Each of these sub-themes are further presented in the following section.



**Figure 6.7: Distribution of sub-themes and responses on Institutional arrangement**

#### **6.5.2.1 Role-player's involvement/participation**

As indicated in Figure 6.7, the emerging data from the focus group discussions revealed that about 31% of the participants commented on the sub-theme of stakeholder's involvement/participation in LED-based institutional arrangements, specifically about fora and other related LED collaborative initiatives. The data revealed a mixed report of the associated problems and some mechanism established by municipalities in endeavours to mitigate these problems. This can be observed in the following quotes:

*"That's still a problem to us. To acquire them to participate in skill development project is a problem". [FG2]*

There were some few cases of good practice concerning the mechanism established by the municipalities to enhance public participation. This can be observed in the following quotes:

*“And therefore, this year in the budget, we’re going out three times to the stakeholders in the community to acquire their inputs as to what their problems, challenges, their needs are. So that we can try and accommodate that in the budget. So that is what we are doing to try and acquire their input”. [FG2]*

*“There are also a stakeholder’s relations components, where we create relationships with stakeholders, purely focussing on community and economic development”. [FG2]*

#### **6.5.2.2 Capacity/resources**

As indicated in Figure 6.7 above, overwhelmingly, 100% of the participants in the focus group discussions were concerned about how collaboratives projects are curtailed or hampered by financial constraints. The following quotes reflect this claim:

*“We’re trying all we can to accommodate the input from the stakeholders. Our main concern is the limited budget”. [FG2]*

*“Why I’m telling you all these things so that you can understand that although we’re highly recommended for the way we created an environment, we don’t have sufficient funds to roll it out beyond that and that is important for you to look at” [FG1]*

#### **6.5.2.3 Role-player’s willingness/commitment**

As revealed by the data (31%) resulting from the focus group discussions, there exist the willingness on the part of the business sector to support the LED collaborative effort with their knowledge and skills but with little or no financial supports. The following response reflected this theory:

*“The business sector actually bought a share in the knowledge review, to do this or that. Financially, they don’t support. it’s a small municipality if you take it that way. The business individuals know that we have not large businesses, but they do support with their knowledge”. [FG2]*

*“As for the external businesses, the reason that they buy in is because we listen to them. we hear what they say, we don’t work against them. Like the meeting we had last night the*

*council were there and the businesses, were all present. The council listen to what the community says but also assist the businesses". [FG4]*

#### **6.5.2.4 Collaboration structure/governance**

Concerning the governance structure, the researcher focusses on the various informal and informal role-players involved in making and implementing decisions and the informal and formal structures to implement these decisions. It was maintained that good governance is characterised by certain features, such as, participatory, consensus orientation, accountability, transparency, unbiasedness, responsiveness, inclusiveness, and compliance to the rule of law. Corruption must be minimised. The views of the minorities are considered as the voice of the vulnerable are held in decision-making without jeopardising its responsiveness to the present and future needs of the society.

Figure 6.7 above indicates that 56% of the participants expressed their observations and opinions in this context. The data generated from the focus group discussions revealed, amongst other things, the composition of a typical economic development arrangement (forum) established in some of the six selected municipalities. In MB, for example, the composition is made up of LED representative; the ward council for that area; Portfolio Councillor; HOD for the department and local business in that area and of course representative of the district municipality as an observer. The quote below support this assertion:

*"The MBM LED chairs, there're councillors within the ward councillor for that area, they sat on the forum and portfolio council and HOD for the department. And then forms part of the local business in that area that's for economic development". [FG3]*

When asked if there were ground rules or any sort of an agreement or memorandum of understanding (MoU) signed by the participating members. The resulting mixed responses received from the participants renders it difficult to establish or discern if there were ground rules to govern the behaviours of role-players in the collaboration: The following responses reflected this assertion:

*"I think they have, we don't know". [FG3]*

Certain participants lauded the manner in which their fora were conducted to obtain concerns from all the role-players without any incidence of domination by one person. This can be observed in the following responses:

*“I think the responsiveness was good. The method used was the one where each and everyone has a chance to put their ideas or speak their mind in writing and then out of that, the conversation was started, and the initiative was broken into facts”. [FG1]*

#### **6.5.2.5 Level of cooperation**

As indicated in Figure 6.7 above, the data generated from the focus group discussions also portrayed that 56% of the participants have faith in the level of cooperation between the role-players in their municipality’s development/business engagement forum as reflected in their level of buy-in to the course of development in their municipalities. This is evident in the following response:

*“The LED department, the planning department and the businesses are working talking together and talking together. That’s the integration part where other different departments and businesses sit around the tables to identify opportunities within the municipality”. [FG4]*

#### **6.5.3 Document reviews**

Relevant documents were reviewed to provide an insight regarding the efficacy of municipality’s institutional arrangements in promoting LED and cooperative governance within municipalities. In this context, data from the reviewed documents emerged four (4) sub-themes, vis-à-vis, Level of trust; Silos approach, governance/participation and inclusivity as presented in Table 6.9 below

**Table 6.9: Theme and sub-theme on Institutional arrangement**

S/No	THEMES	SUB-THEMES
5	INSTITUTIONAL ARRANGEMENT	<ul style="list-style-type: none"> <li>• Level of trust</li> <li>• Silos approach</li> <li>• Governance/participation</li> <li>• Inclusivity</li> </ul>

### **6.5.3.1 Level of trust**

It is expected that local stakeholders trust each other to collaborate. Built trust amongst stakeholders assists to solidify their mutual relationship and commitment to resolve matters of public concern aimed at improving the socio-economic condition of individuals in the municipality. Balancing and sustaining progressive relationship amongst the stakeholders is a huge task. This theory can be observed in the following extracts:

*“Historically the relationship between civil society, business and government has been autocratic and dependent in nature”. (OM LED, 2009:8).*

*“The negative effect of this transformation has been the perception and therefore a growing distrust amongst stakeholders, and in particular emerging civil society, that government may have “sold out” the poor and disadvantaged in favour of business”. (OM LED, 2009:8)*

### **6.5.3.2 Silo approach**

Following an interactive exploratory workshop conducted by TM in 2018 on how to enhance community growth and development in TM, the concern of the silo approach, specifically amongst the civil society was emphasised. This theory can be observed in the following extracts:

*“The NGO has a strong base and could be a useful set of platforms for several initiatives”. The NGOs are not working together”. (TM, Community development strategy 2018:17)*

*“There was Lack of unity and collaboration with NGOs and NPOs competing for resources instead of working together”. (TM Community development strategy 2018:32)*

In a related development, a weakness of OM reported in one of the reviewed documents still bogged down to the concern of silos where the departments in the municipality were established as operating in isolation (OM IDP 2017:19).

### **6.5.3.3 Governance/participation**

The success of LED is reliant on the efficiency and effectiveness of the cooperative governance regime composed of multi-stakeholders unified by a shared purpose for a shared purpose. Majority of the relevant documents reviewed in the study intensely reported on the imperativeness of good governance for the success of multi-stakeholders' endeavours. Good governance is required to promote the active involvement of key stakeholders in all aspects of the decision-making process. This is an essential requirement to achieve fruitful and sustainable outcomes of collaborative governance aimed at improving the socio-economic lives of the local individuals within the municipality. Provided the results stemming from the examined documents, the six selected municipalities strongly embraced the concept of active participation of key stakeholders as a vital requirement for the success of LED. The question is about how this concept was put into practice to achieve desired developmental outcomes within the municipalities. This assertion can be observed in the following extracts:

*“Successful LED must be based on the active involvement of those stakeholders who are relevant for economic development and involves a constructive relationship between the public and the private sector, without either of them having a clear guiding role”. (MB LED, 2017a:3)*

*“LED is a complex process which needs the active involvement of a wide variety of stakeholders”. (TM IDP, 2017:41)*

*“Public participation is fundamental to the success of the execution of this plan and can be observed as the heart of the process” (OM IDP, 2017:6)*

Based on the reviewed documents, it was observed that the municipalities are predominantly making use of the statutory provisions of ward councillor and ward committees to comply with the statutory requirements of public participation of community involvement. This can be observed in the following extracts:

*“Public meetings were held in each ward to ensure full participation of the community members of each ward. The Municipality could, therefore, capture the progress made per ward and the challenges encountered by each to have a better understanding of the realities associated with each ward (socio-economically and geographically)”. (OM, 2017:18)*

*“Ward Committees have been established in all four wards and communities actively partake in the public participation processes to voice their service delivery needs and expectations”. (KM IDP, 2017:8)*

*“The IDP public participation sessions were generally well attended except for some wards where the turnout was lower than expected”. (MBM IDP, 2017a:25)*

Besides the ward committee system, an engagement platform such as fora were established in the municipalities. The nature and dynamics of these fora were deemed worthy of being explored in the study. For example, MBM employs various consultative internal and external structures during the IDP preparation process to establish a common understanding and shared vision of the medium- and long-term municipal development. These amongst others include: *MBM Development Forum; Thusong Centre Stakeholder Forum; MBM business chamber; MBM local tourism fora; District IDP Managers Forum and Eden business chamber forum*. There was an IDP representative forum in OM representing all stakeholders and where stakeholders meet according to the IDP process plan, economic advisory forum, and IGR forum.

SM use the SM Advisory Forum (SMAF) and IDP representative forum. These fora create platform for LED stakeholders to participate in matters of development in their locality. This assertion can be observed in the following extract:

“Forums provides a platform for stakeholder’s interest to be represented, contribute knowledge and ideas and provide technical inputs during deliberations of development matters in the municipality”. (SM IDP, 2017:22).

In HM, a participatory platform such as tourism advisory forum, economic development forum and Social Development Advisory Committee were established for the same purpose.

#### **6.5.3.4      *Inclusivity***

Inclusive participation is a buzz word in collaborative governance, specifically in an LED-powered cooperative governance aimed at improving system management and responsiveness to socio-economic concerns within municipalities. Provided the emanated reports from the reviewed documents, the majority of the selected six municipalities introduced some structures to promote inclusive participation of primary stakeholders. Imperatively, these processes need to be continually improved to yield desired outcomes. For example, the objective of including the business sector in a collaborative development endeavour may not be achieved without a unified and inclusive business forum in the municipality. This assertion can be observed in the following extract:

*“There is a need for an integration of the Informal Traders Forum and Business Forum. One forum for all entrepreneurs to be established (including Informal’s and shed) to assist with red tape reduction”. (MBM IDP, 2017a:60)*

The preceding main theme presented data as per the nature and dynamics of institutional arrangements for local governance of territorial economic development in the six selected municipalities within a comprehensive spectrum. It provided the insights as to how the interactions between the key role-players/stakeholders assist in shaping and improving the socio-economic outcomes of developmental strategies within the six selected municipalities. Some of the major concerns identified are: Understanding of stakeholders’ roles and responsibilities; role-players’ participation; resources/capacity constraints; role-players’ willingness and commitments; the level of trust. The subsequent presentation is the emerged data on intergovernmental relations.

## 6.6 MAIN THEME 5: INTERGOVERNMENTAL RELATIONS

The study delved into matters of intergovernmental relations as it relates to the various supports municipalities receives from other spheres of government. Relevant documents were reviewed, while individual interviews and focus group discussions were conducted with key stakeholders from the selected municipalities. The emerged data are presented below.

### 6.6.1 Interviews

The data that emanated from the individual interviews conducted with the key LED stakeholder in the six selected municipalities emerged the following sub-themes, as indicated in Figure 6.8 below:

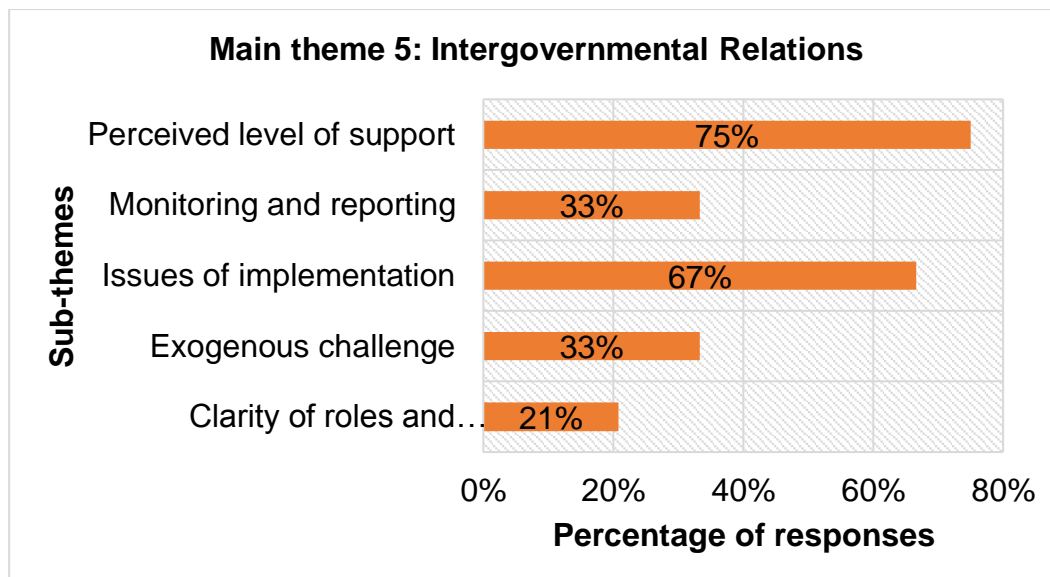


Figure 6.8: Distribution of themes and sub-theme on intergovernmental relations

#### 6.6.1.1 *Perceived level of support*

Provided the statutory provisions of IGRA, the provincial and the DMs have the statutory mandate to provide support to local municipalities. In this context, the researcher was interested in obtaining the views and experiences of the participants regarding supports or the perceived level of support received from the other spheres of government, especially

from the district and provincial government to foster LED within the selected six municipalities.

As indicated in Figure 6.8 above, 75% of the participant acknowledged they do receive some form of intergovernmental supports, mostly non-financial supports from other spheres of government. The investigative question is about the adequacy and timeliness of the supports. The data reveal mixed views across the six municipalities. The data reveal that the majority of the six municipalities are not receiving adequate and timely supports from the district and provincial sphere of government; for example, KM, HM, SM and TM. This assertion can be observed in the following quotes:

*“We do receive some supports [Ibid] but not much of financial supports. Sometimes we do certain things on a shared services basis, but we don’t acquire funding or finances from them”. [D3]*

*“They (provincial government) do support us, especially with regards to things that are aligned with the province priorities. We don’t receive much from the district”. [D23]*

The data revealed that municipalities, such as MB and Oudtshoorn, receive to a certain degree IGR supports in the form of capacity building and sound partnership from the district and provincial government. The quotes below reflected this claim:

*“The support thus far is adequate as it is based on needs identified locally. More focused training is required and intervening required to upskill officials at a local municipal level”. [D1]*

#### **6.6.1.2 Issues of monitoring and reporting**

Figure 6.8 indicates that 33% of the participants acknowledged the lack of reporting and monitoring as bad practice of IGR in their municipalities when they were requested to identify in general the most important lesson of experience regarding the good and bad practices of IGR they formed part. The majority of the 33% responses received in this context were of the viewpoint that reporting and monitoring on IGR performance were facing myriads of challenges, such as fragmentation of monitoring activities, a lack of a

budget for monitoring, low incentive to monitor and report on performance and possible ambiguity concerning processes required to monitor and report on IGR performance. The following quotes reflected this thinking:

*“We established that there are divergences in the governmental monitoring and reporting system concerning the processes that need to be prepared and how monitoring and reporting system can be quality assured [ibid]”. [D16]*

*“Lack of coordination of monitoring activities and sharing of information and evaluating impacts on the health of municipalities”. [D24]*

*“Provinces and district municipalities do not budget for local municipal support, monitoring and intervention. The result is that there’s little incentive to monitor”. [D21]*

The data revealed across the six selected municipalities that some evidence of monitoring and reporting done. This can be observed in the following responses:

*“We also report back on a quarterly basis, and I report the work that was conducted to all municipalities, so we're attempting to keep it, so everyone gets the same report”. [D8]*

*“Monitoring and evaluations are continuously conducted, and feedback submitted to municipalities”. [D11]*

Now the analytical question that need to be asked is about the efficacy of such monitoring and reporting system.

#### **6.6.1.3 Issues of implementation**

Figure 6.8 demonstrates that 63% of the participants identified implementation as one of the drawbacks or challenges of IGR. The data revealed that the difficulties is evidenced across the majority of the six municipalities. These challenges and the corresponding respective quotes are indicated in Table 6.10 below

**Table 6.10: Implementation concerns**

Challenges	Supportive quotes
Bottlenecks operations	<i>“One of the challenges that need to be addressed to make IGR work is issue of bottleneck operations”. [D13]</i>
Silo approach of IGR implementation	<i>“The theoretical understanding is excellent. The implementation remains a challenge as institutions continue to operate in silos”. [D11]</i>
Fragmented and uncoordinated approach	<i>“Fragmented and uncoordinated joint efforts between spheres of government and with the private sector”. [P4]</i>
Poor attendance	<i>“Lack of attendance/participation in municipal processes”. [D14]</i>
A lack of governmental relations practitioners in municipalities	<i>“We established that there is a need to have governmental relation practitioners within the municipality or your various department. At the national level, a lot of national department don’t have IGR within it”. [D16]</i>
A lack of effective communication and follow-up to commitments	<i>“Lack of communication and follow up on commitments made”. [D13]</i>
Poorly drafted agenda	<i>“If you look at some of these agenda that they put together, it doesn’t really talk to the core development concerns at local level or the districts level that should be discussed”. [D16]</i>
A lack of documentation of proceedings	<i>“The record or evidence of the resolution taken at the meeting are always sketchy and sometimes non-existence”. [D16]</i>

Author’s own (2020)

#### **6.6.1.4 Exogenous challenge**

Figure 6.8 depicts that 33% of the participants lamented on the concern of turnover in political and administrative posts as it impacts on the consistency and continuity of plans and purpose of IGR. The following response quotes attest to these claims:

*“Political and administrative instability affects IGR efforts negatively”. [D4]*

*“Now concerning monitoring, we established that IGR in its entirety is much dependent on the political will and political sense of ownerships and steering of the process”. [D16]*

All selected six municipalities are potentially susceptible to this phenomenon.

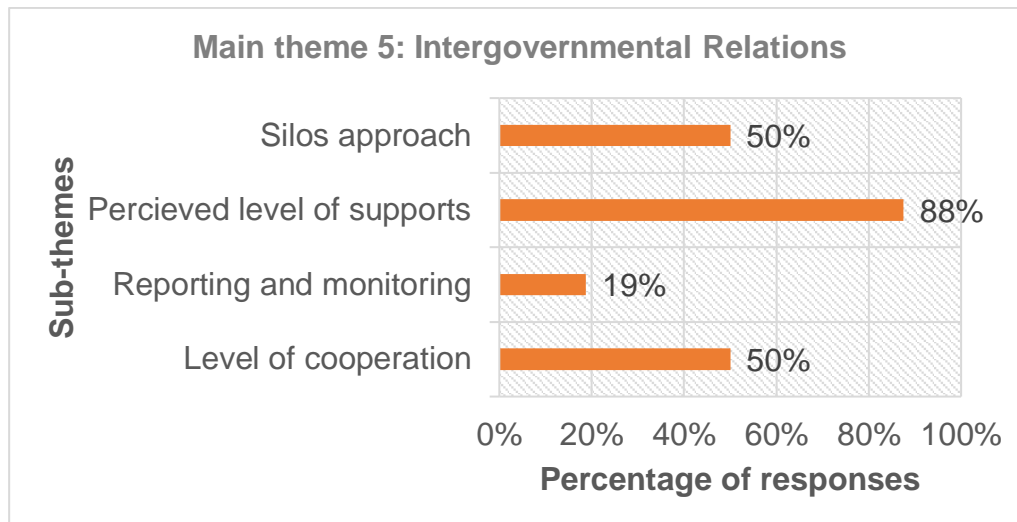
#### **6.6.1.5 Clarity of roles and responsibilities**

One of the factors capable of influencing the success of the IGR structure is about how the roles and responsibilities of role-players are defined. There is the need to delineate the roles and responsibilities of role-players where there are overlaps to forestall duplications of duties and responsibilities and most importantly, to enhance accountability amongst the key role-players and other stakeholders. The interview data indicate that 21% of participants believed that the structure and practice of intergovernmental relations were unclear in the manner where the roles and responsibilities of the three spheres of government are articulated in the collaborative management of the local economy. This assertion is reflected in the following responses:

*“Clear sense of roles and responsibilities not understood and actioned by role-players affects IGR efforts negatively”. [D4]*

### **6.6.2 Focus group discussions**

As indicated in Figure 6.9 below, the data from the focus group discussions emerged five sub-themes, indicating, Silos approach; Perceived level of support; Reporting and monitoring; a level of cooperation and governance structure. Each of these sub-themes are further presented in detail below.



**Figure 6.9: Distribution of sub-themes and responses on intergovernmental relations**

#### **6.6.2.1 Silos approach**

As indicated in Figure 6.9 above, 50% of the participants in the focus group discussions reported the indulgence of role-players adopting a silo's approach of work as a mutual concern for productive intergovernmental relations aimed at improving system management and responsiveness to socio-economic concerns within the municipalities. This can be observed in the following response:

*"I think the biggest thing, the biggest challenge is the silo approach. The national is doing one thing, and the province another, district is doing one thing, and the municipality is doing another. Everyone working in different silos". [FG2]*

#### **6.6.2.2 Perceived level of support**

As indicated in Figure 6.9 above, 88% of the participants in the focus group discussions expressed opinions concerning their experiences on the concerns of IGR support towards the promotion of healthy LED within municipalities. As represented in the figure above, the generated data revealed a mixed reflection. Some of the participants acknowledged the existence of some element of supports received from the district or provincial arm of government as contained in the following response:

*"But they do support tourism, they do support in ways but monetary wise, little". [FG1]*

*“For example, when it comes to marketing platforms the districts pay for the platform, the municipality or NGOs can accompany district office to these market shows. So we don’t provide a lump sum of money to the municipality, it’s purely based on activities”. [FG3]*

Most participants denounced the level of support received from the regional government (district) and provincial government and co-municipalities as inadequate. This following statement reflects this theory:

*“The district municipality is battling with money. There’s a rumour that it will fall away sometimes, and they will be taken over by the provincial legislature”. [FG2]*

*“I’m sorry I don’t want to acquire too much into that. It’s talks, it’s just all talks. You remember when you are talking about LED, we talk about actions. They are all using this IGR concept. it’s a nice jargon. But it means nothing. Actually, the district has no money to say listen, we assist you with LED, here is your funding”. [FG4]*

### **6.6.2.3 Monitoring and reporting**

This sub-theme is focused on the concern of the district exercising its statutory mandate on local municipalities concerning monitoring and reporting of performance. Provided the data generated from the focus group discussions, 19% of the participants indicated that the district could perform facilitation and coordination role with no enforcement authority over the local municipalities. This can be observed in the following quote:

*“We have the strategic facilitation and coordination role on regional level, but we don’t have any authority over any municipality”. [FG3]*

### **6.6.2.4 Level of cooperation**

As indicated in Figure 6.9 above, the data generated from the focus group discussions also revealed that 50% of the participants acknowledged that to a certain degree, there is a buy-in from role-players in IGR. This is evident in the following response:

*“I think to an extent, we do receive good buy in from them, from certain municipalities who catch the vision of what we’re attempting to achieve”. [FG3]*

*“And like I said this economic partnership platform is also one of the ways where the municipalities, that is the local government and private sector sit together and discuss on the way forwards with regards to economic development implementation”. FG1]*

### 6.6.3 Document reviews

Data from the reviewed documents about the theory and practice of intergovernmental relations emerged two sub-themes, indicating, good practice and poor implementation, as indicated in Table 6.11 below:

**Table 6.11: Themes and sub-themes on IGR**

S/NO	THEME	SUB-THEMES
6	IGRs	<ul style="list-style-type: none"> <li>• Case of good practice</li> <li>• Poor implementation</li> </ul>

#### 6.6.3.1 Case of good practice

One of the documents reviewed revealed some cases of good practice in matters of IGRs. The document provided an insight about the various type of supports rendered to the six selected municipality by the Western Cape Provincial arm of government. The document reported that the provincial government, through the practice of IGRs, supports municipalities to review their LED strategy and LED maturity assessment. The provincial department had assisted some DMs to established Fora that may provide opportunities for regional cooperation through participation and contribution towards the economic development of the region. Through the IGR's support, well-furnished centres called *Thusong* service centres provisioned with trained personnel, and sustainability plans were established in the selected six municipalities. The purpose of *Thusong* service centre was to ensure that the community have access to government services. These assertions can be observed in the following extracts:

*“During the 2014/2015 financial year new Thusong Centres were established in KM and TM municipalities. To ensure the functionality of Thusong Centres, 27 Thusong personnel*

*were trained on Gender Equality, Human Rights, African languages and the role of the South African Public Protector. To ensure the sustainability of Thusong Centres, centre specific sustainability plans were developed for 12 centres indicating: Oudtshoorn, Plettenberg Bay, Hawston, SM, Murraysburg, Ilinge Lethu, Witzenberg, Bredasdorp, George, Prince Albert, MBM and Unobuntu Thusong Service Centre". (WCDLG, 2016:30)*

*"The Thusong service centre in SM has a visitor's turnover of +/- 4000 individuals per month. These include weddings, meetings, pay-outs, church functions and the daily visitor's to different offices and applications to SASSA etc". (SM IDP, 2017:159).*

*"The Western Cape Department of Economic Development and Tourism is continuing to support municipalities to develop and review their LED strategy and LED Maturity assessments also been conducted in some municipalities". (WCDLG, 2016:80)*

#### **6.6.3.2 Poor implementation**

Certain cases of poor implementation of IGRA were reported by some documents reviewed as contained in the following extracts:

*"Many participants in the PACA Process said that MBM and the Garden Route are facing major challenges because, they believe, the regional, provincial and national destination marketing organisations have failed to adequately market the Garden Route in the recent past". (MBM IDP, 2017a:18)*

*"The Inter-governmental Relations (IGR) are still not functioning well. The Municipality is working in conjunction with the District Municipality and Local Government to turn the situation around to realize fully functional IGR Structures". (SM IDP, 2017:159)*

The emerging data from the reviewed relevant documents, individual interviews and focus group discussions with key LED stakeholders in the selected municipalities indicated above some important matters on intergovernmental relations as it relates to the various supports to municipalities from other spheres of government. These amongst other things include: Support or the perceived level of support received from the other spheres of government,

concerns of monitoring and reporting; and as the drawbacks for IGR implementation. The next section below contains a presentation of the emerged data on M&E.

## **6.7 MAIN THEME 6: MONITORING AND EVALUATION**

The desirability to monitor, assess and control collaborative performance for LED became fundamental for their sustainability. The researcher was interested in knowing from the participants the extent to which the practice of M&E is embedded in the ethos of the local governance of LED in the selected six municipalities.

### **6.7.1 Interviews**

When the participants were requested to describe the process prepared to routinely assess the collaboration and the incorporation of its outcomes into their municipality development stream, the interview data revealed a mixed reaction from the participants as indicated in Table 6.12 below. Two sub-themes emerged from the data, indicating, monitoring and reporting and as well as poor coordination.

**Table 6.12: Distribution of sub-themes and responses on monitoring and evaluation**

Sub-themes	No of respondents	Percentage of respondents
Monitoring and reporting	16	67%
Poor coordination	8	33%
Total	24	100%

#### **6.7.1.1 *Monitoring and reporting***

As indicated in Table 6.12 above, 67% of the participants believed that to a certain degree there exist some cases of performance monitoring and reporting conducted to measure the performance of LED institutional arrangement in their municipalities. This can be observed from the following responses:

*“I also report back on quarterly basis and I report to municipality about the work that has been done, the budget to date, the report about the progress of the working team, so we try to keep it in such a way that everybody gets the same reports”. [D8]*

*“As mentioned above, regular engagement with the developmental partners as they can be able to look back and observe if the strategy is implemented by the municipality”. [D23; D24]*

#### **6.7.1.2 Poor coordination**

The other 33% believed that there are still some gaps in the monitoring and reporting system for LED institutional arrangements within the selected six municipalities. In MBM and HM. The data revealed a case of replicable good practices of both municipalities commitments to ensures that progress reports of the operational team are obtained and internal evaluations and continuous engagement with a developmental partner to assess the strategy. This assertion can be observed from the following comment:

*You know, if we could evaluate ourselves on this platform, like I observe the gaps, the assessments [ibid] is not taken into consideration, it's just there”. [D6]*

*“Lack of internal monitoring and evaluation instruments is not helpful to municipalities it exacerbates problems related to LED implementation attributable to unrecorded, undocumented and unverified results”. [D9]*

#### **6.7.2 Focus group discussions**

Imperatively, municipalities should measure performance on LED collaborative initiative to determine how the initiatives perform and how it can be improved. As a result, the data from the focus group discussions revealed some good and bad practices of M&E mechanism in this context. The data generated two sub-themes as follows: Monitoring and reporting and poor coordination, as indicated in Table 6.13. Each of these sub-themes are presented in detail below.

**Table 6.13: Distribution of sub-themes and responses on monitoring and evaluation**

Sub-themes	No of respondents	Percentage of respondents
Monitoring and reporting	11	69%
Poor coordination	5	31%
Total respondents	16	100%

### **6.7.2.1 Monitoring and reporting**

As indicated in Table 6.13 above, 69% of the participants in the focus group discussions acknowledged within their municipalities some elements of monitoring and reporting as it relates to the good practice of obtaining feedback on performances of particular institutional arrangements, such as ward committees and development fora. The following response reflected this theory:

*“We do have institutional arrangement of ward committee meetings, so different aspects goes to the ward committee meetings where they provided their inputs on all sorts of projects and also we have a portfolio committee meetings like in any other municipalities, concerning the structure acts, we acquire feedbacks every month for LED department and EPWP”. [FG1]*

### **6.7.2.2 Poor coordination**

The focus group discussions indicated that measuring the performance of LED institutional arrangements in local municipalities by the district municipality remains to be of a challenge attributable to poor coordination as it was revealed in the data by 31% of the participants as indicated in Table 6.13 above.

*“We have the strategic, facilitation and coordination role on regional level, but we don’t have any authority over any municipality”. [FG3]*

*“Like I explain to you, they’re autonomous, whether they’re going to take our advice or not is up to them at the end of the day. So it’s something that we’ve to advocate to them to*

*establish their own forum where they can have council discussion with the role-players/stakeholders from their areas and communication can then becomes easier for them when they do it in that way”. [FG3]*

### 6.7.3 Document reviews

The only emerging theme on M&E is indicated below in Table 6.14

**Table 6.14: Theme and sub-theme on monitoring and evaluation**

S/No	THEME	SUB-THEME
4	MONITORING AND EVALUATION	Performance reporting

#### 6.7.3.1 Performance management

In compliance with the statutory provisions of the Municipal Systems Act and municipal planning and performance management regulation which amongst other things requires the municipality’s performance management to design a framework which describes and represents the municipality’s cycle and processes concerning how performance planning, monitoring, measurement, review, reporting and improvement would be conducted. Virtually all the six selected municipalities in the study have a performance management framework approved by the council. This can be observed from the following extracts:

*“The OM has a Performance Management Framework that was approved by Council”. (OM IDP, 2017:213)*

*“Concerning Section 46 of the Systems Act, all municipalities are required to prepare an Annual Performance Report that reflects its performance as at the end of each financial year”. (WCDLG, 2014:14)*

*“In 2009 the Municipal Council of MBM approved a Performance Management System and Framework and the Reward and Recognition Policy which provided for performance*

*implementation, monitoring and evaluation at organisational and individual levels". (MBM" IDP, 2017a:234)*

Findings from the reviewed documents also revealed the state of municipalities concerning accountability for financial and performance management. This can be observed in an extract obtained from the Auditor General's report for the fiscal year 2017-18 as indicated below in Table 6.15

**Table 6.15: A five-year audit report on the selected municipalities**

Number	Municipality	Province	Auditee type	Municipal district	Audit opinion				
					2017-18	2016-17	2015-16	2014-15	2013-14
1	Hessequa	WC	LM	Garden Route	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings
2	Swellendam	WC	LM	Overberg	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with findings
3	Mossel Bay	WC	LM	Garden Route	Unqualified with findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings

Number	Municipality	Province	Auditee type	Municipal district	Audit opinion				
					2017-18	2016-17	2015-16	2014-15	2013-14
4	Theewaterskloof	WC	LM	Overberg	Unqualified with findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings	Unqualified with no findings
5	Oudtshoorn	WC	LM	Garden Route	Qualified	Qualified	Qualified	Adverse	Unqualified with findings
6	Kannaland	WC	LM	Garden Route	Audit not finalised at legislated date	Qualified	Disclaimer	Unqualified with findings	Unqualified with findings

Extracted from the Auditor-General municipal audit results (National Treasury, 2019)

Provided the 2017-18 report, only two out of the six selected municipalities (SM and HM) obtained a clean audit report. Although MBM and TM obtained an *unqualified report with findings* during the year under review, its previous report was astonishing with an *unqualified report with no findings*. During the same year under review, TM bagged a report of *unqualified with findings*. Although the audit for KM could not be finalised at the legislated date, KM and OM performance reports was hovering between *qualified* and *unqualified* for the past five years.

It was presented above that data relating to the views and experiences of the participants regarding the extent the practice of M&E was embedded in the ethos of the local governance of LED in the selected six municipalities. While the emerging data indicated some cases of good practices in monitoring and reporting; there was also the concern of poor coordination of M&E practices in some selected municipalities. The next section of the study contains a presentation on the pull and push factors.

## **6.8 MAIN THEME 7: PULL AND PUSH FACTORS**

This section of the study reflects examined the various pull and push factors responsible for the successes and failures of cooperative governance for LED in the six selected municipalities. The views and experiences of the key stakeholders/role-players obtained through individual interviews and focus group, and the data which emanated from the review of relevant documents are presented below under the following eight main themes namely: Legitimacy of purpose; Leadership characteristics; governance structure; communication; Role-player's characteristics; Role-player's learning; the level of trust and motivation. Each of these themes are further presented in detail below.

### **6.8.1 MAIN THEME 7A: LEGITIMACY OF PURPOSE**

As contained in the conceptual framework of this study, legitimacy of purpose as it relates to clarity of visions and shared values is a major determinant to the success of cooperative governance arrangement. The data obtained from the interview is presented below.

### 6.8.1.1 Interviews

When the participants were questioned about how they would describe the developmental goals of their municipalities concerning its legitimacy, clarity of purpose and strategies, the emanating data from the interviews revealed the following sub-themes: Substantive developmental goals and clarity of purpose as indicated in Table 6.16 below. Each of these sub-themes are further presented below.

**Table 6.16: Distribution of themes and responses on the legitimacy of purpose**

Sub-themes	No of respondents	Percentage respondents
Substantive developmental goals	19	79%
Clarity of purpose	15	63%

#### 6.8.1.1.1 Substantive developmental goals

As indicated in Table 6.16 above, a majority of 79% of the participants across the six selected municipalities acknowledged the developmental goal of their municipalities to be substantive as it reflects their vision to improve quality of life they deserved to live and the emphasis placed on this vision assists to stick them together. The following responses support this thinking:

*“The goals as contained in the IDP can be observed as legit as this is the outcome/result of a thorough public participation with the local community”. [D1]*

*“The municipality has a legitimate developmental focus. The council have adopted a new strategy with the provision of involving the community. However, it’s important to make the vision known for the community to buy-in”. [D24]*

Some participants believed that although the developmental goal may be regarded as legitimate, concerning the matter of setting agenda for collaborative platform, more often, their agenda lacks articulated developmental issues. The quotes below reflected this claim:

*“So, across the spectrum, the national, provincial and local government, we’ve established several challenges with regards to simple things like setting the agenda. If you look at some of these agenda that they put together, it doesn’t really talk to the core developmental concerns that should be discussed. Developmental challenges that are experienced either at the local level or the districts level or national level or the provincial level”. [D17].*

*“I think if the LED could start forum meetings where a clear agenda is set, that would determine the level of participation”. [D18]*

#### **6.8.1.1.2 Clarity of purpose**

As indicated in Table 6.16 above, 63% of the participants across the six selected municipalities believed in the clarity of the municipality developmental purpose and strategies as shared purpose and vision to advance the socio-economic condition within the municipalities. This can be observed from the quotes below:

*“The Developmental goals of the municipality is set out quite in our Vision 2030 Strategy”. [D13]*

*“Yes, we do understand, ..... so we understand the purpose of them, like the local draft action, so we partner to try our best to do it on that platform”. [D6]*

*“Yes, it started, when we developed the vision, I think that was the important part, to set a common vision where everyone will work towards and each one with its own way of doing things binding them collectively for common purpose”. [D7]*

#### **6.8.1.2 Focus group discussions**

It was maintained in the conceptual framework that to secure an appreciable level of buy-in from the role-players/stakeholders, collaboration must be defined, and the platform should be capable of resolving matters of public concerns. The extent to which role-players considered collaborative arrangement to be desirable in meeting their objectives regarding their values, missions, and visions. The same sentiment was equally displayed by some participants in the focus group discussions.

#### 6.8.1.2.1 *Clarity of purpose*

Participants in the focus group discussions also buttressed the need for legitimacy and clarity of purpose of collaboration, for key role-players/stakeholders to understand, embrace and perceive as the best strategy to optimise their benefits. This can be observed in the following quotes:

*“I think it’s a fact that the individuals understood the fact that the strategy is going to be the best strategy on how the initiatives will be implemented”. [FG1]*

*“Often, when we ask them money for one of our projects, and they will say no because it’s not coherent with their mission and vision statement of the company. So socially it works that way as well. It is difficult to acquire money from businesses”. [FG2]*

#### 6.8.1.3 **Document reviews**

In this context, one of the reviewed documents obtained from OM seeks to galvanise the exigency of shared values and purpose.

##### 6.8.1.3.1 *Clarity of purpose*

This is regarded as essential components required for effective collaboration aimed at improving the system management and responsiveness to developmental concerns within the municipality. The following extract from the document attested to this claim:

*“Shared purpose and values build and hold communities together..... Shared ideas and robust, open discussion build trust and commitment” (OM LED, 2009)*

The preceding main theme presented data on the opinions and experiences of the key stakeholders in the six selected municipalities regarding the legitimacy of the developmental goals of their municipalities as an essential pull and push factor for the success of LED and cooperative governance within their municipalities. This was presented through the lenses of legitimacy, clarity of purpose and strategies of developmental goals in the six selected municipalities. Although the emerged data revealed the development goals of most municipality to be substantive, there exist in some municipalities, the challenge of setting an agenda for collaborative platform, which more often, beclouds

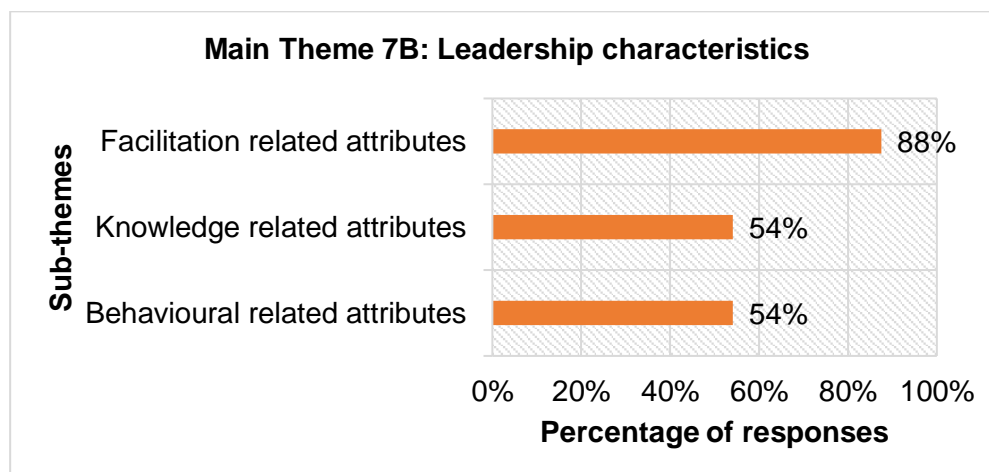
developmental issues. Next is the emerged data on leadership characteristics as presented below in Main Theme 7B.

## 6.8.2 Main Theme 7B: Leadership characteristics

This section of the study deals with the leadership dynamics for collaborative arrangement in the six selected municipalities.

### 6.8.2.1 Interviews

Given the views and experiences of the participants on this issue, several attributes emerged, and these attributes were grouped into three sub-themes as: facilitation related skills, knowledge related and behavioural related attributes. Each of these sub-themes are presented below. The distribution of responses to the three emerging sub-themes is indicated in Figure 6.10 below



**Figure 6.10: Distribution of responses to leadership characteristics**

#### 6.8.2.1.1 Facilitation related attributes

As indicated in Figure 6.10, about 88% (majority) of the participants believed that a collaborative leader should possess certain facilitative related skills required for any collaborative endeavours. Such facilitating attributes as mentioned by the participants are: Listening skills, enabling skills, connecting skills, championing skills, strong negotiation

skills, relationship and team-building skills, good governance and influencing skills. The following responses reflected this theory:

*“Collaboration requires individuals with: Strong negotiating and facilitation, influencing skills, understanding mandates of various institutions”. [D14]*

*“We need that interactions, especially that management role who can facilitate between us and the rest of municipality”. [D22]*

*“Leadership with facilitative skills, leaders with listening and communication skills, collaborations and facilitating skills. Flexible leaders adhere to legislation and institutional arrangements are required”. [D24]*

#### 6.8.2.1.2 Knowledge related attributes

As indicated in Figure 6.10 above, besides the fundamentality of facilitative skills requirement for collaborative leadership, the data revealed that about 75% of the participants believed that having specific knowledge of what should be conducted is also an essential prerequisite for a collaborative leader. The data from this study reveals the following knowledge attributes: Understanding mandates and other institutions; economic development experts; local knowledge of the environment; good analysis and decision-making. This can be observed in the following responses:

*“Collaboration requires leadership with understanding mandates of various institutions, good analysis and decision-making and Economic development expertise”. [D14]*

*“Oh yes having local knowledge of it is important. They need somebody like that”. [D22]*

#### 6.8.2.1.3 Behavioural attributes

Participants (54%) acknowledged the following behavioural attributes of collaborative leadership: Integrity; honesty and openness; flexibility; compliance to legislation and institutional arrangement; respects and democratic behaviour. The following extracts from the interview can attest to this theory:

*“Leadership should be flexible and adhere to legislation and institutional arrangement”. [D23]*

*“Leadership that keeps away from autocratic behaviour, respect for each other in person and for each other’s time and the fact that business struggle with funding”. [D15]*

The interview data also revealed the perceived leadership role of the municipality in a collaborative regime. The municipality plays the role of a facilitator and ensures the balance of power between the role-players. Most participants echoed that the success of any collaboration is a function of the leader’s political and administrative personalities. The following quotes can attest to this opinion:

*“It’s spearheaded by the municipality. We’re the facilitator. It’s our role and if anything else comes out of that, then they must do it by themselves. The only role we have of the project is to combine them with the private sector”. [D9]*

*“It’s about leadership, it’s about the balance of power, if we can do that right, then it will have its purpose when we come around the table”. [D6]*

*“So, wherever is working successfully, depends on who’s coordinating the structure and the meeting and the kind of back-office that come along with that”. [D16]*

*“What type of personality are we now talking about? Politically but also administrative personalities. Because why does the same policy work in one municipality but it fails in another. So, it’s the personality and the kind of leadership that we have that they demonstrate in the various municipalities”. [D16]*

#### **6.8.2.2 Focus group discussions**

When the participants of the focus group discussions were questioned about the major factors that determine the efficiency and effectiveness of cooperative governance for LED in their respective municipalities, a variety of factors emerged.

#### 6.8.2.2.1 *Facilitation/knowledge related attributes*

The participants in the focus group discussions also acknowledged the fundamentality of good leadership as a catalyst for effective collaborative governance for local economy within the municipalities. This could be manifested in the form of facilitation and coordination of development strategies and playing a leading role in providing the enabling environment for strategy implementation. This theory can be observed in the following responses:

*“I just want to say one thing about the municipal capacity also concerning our leadership role. I must be honest about things”. [FG2]*

*“It’s down to the leadership from the Mayor to the council and the municipal officials because if there is a problem with the municipal officials, they come to talk to the council and acquire things sorted out”. [FG4]*

#### 6.8.2.3 **Document reviews**

As contained in the IDP documents, the six selected municipalities embraced the concept of leadership as a catalyst for efficient and sustainable collaborative governance for LED. The following extracts from the IDP documents reflected this theory on basis of facilitation and related knowledge attributions:

##### 6.8.2.3.1 *Facilitation related attributes*

*“When a leader or leaders have a common message and speak constantly and passionately about values, opportunity, commitment, unity, etc. that is what individuals will hear and what individuals will start to believe and over time, it will change the way they act and behave”. (OM, 2009:7)*

*“The new leadership of the municipality is eager to invite stakeholders to share and contribute towards the goals of realising municipality’s vision of a sustainable future for all its people”. (OM IDP, 2017:5)*

*“The municipality tends to mobilise stakeholders and build leadership around a shared economic vision and strategy, a communal agenda and joint action plans and projects”. (MBM IDP, 2017a:133)*

As contained in the IDP document of KM, the imperativeness of strong leadership cannot be downplayed in a change approach to drive development in a socially cohesive environment: The following extracts manifested this orientation:

*“There is a clear link between capabilities, opportunities and employment on social and living conditions where leadership; an active citizenry and effective government can assist drive development in a socially cohesive environment”. (KM IDP, 2017:45)*

*“The political and administrative leadership of KM positions to manage competing demands for limited resources in a fair, equitable and efficient manner”. (KM IDP, 2017:45)*

#### 6.8.2.3.2 Knowledge related attributes

One of the reviewed documents in the study reported on the part of MBM council a high degree of comprehension and endorsement for strong leadership as a requirement for achieving developmental objectives through collaboration. This assertion deduced from the following extracts:

*“Strong political leadership, sound administration and financial management plays in the effective functioning of a municipality and has therefore continue to reconfirm its vision, mission and values”. (MBM IDP 2017a:11)*

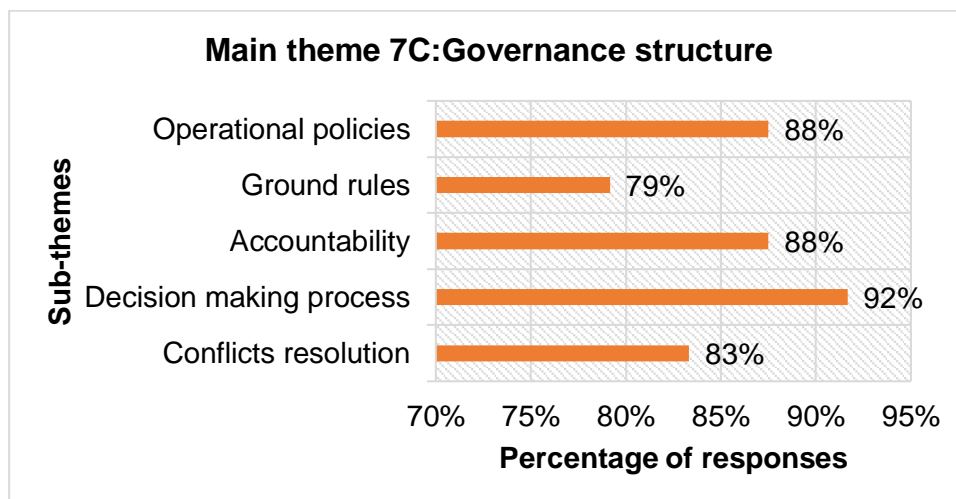
This section of the study presents data regarding the leadership dynamics for collaborative arrangement in the six selected municipalities given the observations and experiences of the participants on this issue, several attributes emerged, and these attributes were grouped into three sub-themes, indicating facilitation related skills, knowledge related and behavioural related attributes. The next data presentation is a governance structure.

### 6.8.3 Main Theme 7C: Governance structure

The emerged data in this context through document reviews, focus group discussions and interviews conducted with key role-players/stakeholder in the selected six municipalities are presented below.

#### 6.8.3.1 Interviews

The data from the individual interviews emerged the following sub-themes on governance structure as indicated in Figure 6.11 below. These sub-themes are: Operational policies; ground rules; accountability; decision-making process, and conflicts resolution.



**Figure 6.11: Distribution of sub-themes and responses on a governance structure**

##### 6.8.3.1.1 Operational policies

As indicated in Figure 6.11 above, the data stemming from the interviews revealed that 88% of the participants across the six selected municipalities acknowledged the importance of operational policies which governs the institutional arrangements for collaborative governance of LED as a determinant for success of cooperative governance in their municipalities and they believed that these policies should be derived from the national development strategy and related legislative framework rooted in the constitution. This can be observed in the following responses:

*“Collaboration is promoted through the constitution indicating that although the 3 spheres of government are autonomous, they are interrelated and therefore should collaborate or participate in each other’s programmes. This is further reiterated in the Municipal Systems Act and the Municipal Structures Act”. [D14]*

*“LED partnerships could be enhanced [ibid] through credible LED strategy and other legislative framework like IDP, MSA”. [D19]*

#### 6.8.3.1.2 Ground rules

The imperativeness of a ground-rule in collaboration was established in the conceptual framework of the study. The ground-rule contains the dos and don’ts aimed to regulate the behavioural conduct of role-players in multi-stakeholders’ endeavours. The ground rules should amongst other things defined the roles and responsibilities of key role-players, institutional structure and the how meetings and reporting should be conducted. The participants were requested to comment on the clarity of the ground-rule, which governs the collaborative endeavours, specifically concerning matters of roles and responsibilities of role-players in their respective municipalities. As indicated in Figure 6.11 above, the interviews data revealed that 79 % of the participants across the six selected municipalities again acknowledged the catalytic role of articulated ground rules for the success of collaborative arrangement specifically where roles and responsibilities of role-players were defined. The data revealed that while most of the six municipalities for this purpose are using certain documentation, such as the term of reference, MoUs, partnerships agreements; some others do not have any ground-rule. For example, the researcher could only have access to some documents at TM. This assertion can be observed from the following responses:

*“Terms of reference are usually provided”. [D23]*

*“Yes, we have partnership agreements with other institutions and signing of MOUs”. [D19]*

The next question is whether these ground rules articulate the roles and responsibilities of all the role-players profoundly. Unfortunately, majority of the six municipalities were established wanting in this context. The following responses can attest this observed claim.

*“Not quite such an agreement between the members that articulates [ibid] their roles and responsibilities in the setup. There has been no such agreement between us and them”. [D9]*

*“This one of the problems associated with a situation where there’s lack of proper term of reference. It makes things undefined and difficult to be formally held accountable”. [D24]*

*“Political, just political ways and the code of conduct has always been in fact not in the administrative ways, but more political”. [D6]*

#### 6.8.3.1.3 Accountability

Accountability is one of the factors considered as a determinant for successful collaboration. The participants were requested, in this regard, to describe the mechanism promoting shared accountability amongst the role-players. Most of the respondents believed in the agility of well-designed ground rules, which profoundly incorporates and articulates the roles and responsibilities of participating role-players, with the capabilities to deliver. As indicated in Figure 6.11 above, an overwhelming proportion of 88% of the participants responded to this question. There were mixed opinions across the six municipalities concerning the type of mechanisms instituted to promote accountability within their municipalities. Most participants believed in the power of providing authentic reporting and continuous engagement with role-players as an effective way of enhancing accountability. The question is: Do these municipalities have the requisite structures prepared to achieve the objectives of the latter (accountability)? In this regard, more details would be provided later in the context of communication. The following responses reflected this assertion:

*“Continued external stakeholders’ meetings/engagement are held and engagement continuously conducted, reports submitted to key stakeholders on regular basis”. [D13; D19 and D23]*

As observed from the previous section about ground rules, though the ground-rule may be available in most of the municipalities, the question remains that the extent to which these

ground rules are structured to promote and infuse accountability of role-players in LED oriented collaborative arrangement, became a concern.

#### 6.8.3.1.4 Decision-making process

As established in the literature of this study, decisions in any collective arrangement is tremendously vital to its success. This section endeavours to elucidate how collaborative structure(s) in the six selected municipalities promote power-sharing and inclusiveness in its decision-making process. Provided the data derived from the interviews, as indicated in Figure 6.11 above, an overwhelming response of 92% of the participants acknowledged the imperativeness of shared power and inclusiveness as a strong determinant for the success of collaboration. The majority (54%) of the participants believed that the decision-making powers are not usually equitably shared between the role-players and the concerns of inclusivity is another concern. The following responses reflect this theory:

*“There is always the challenge of inclusiveness. The handful number of NGOs recognised by the municipality are non-inclusive. Certain type of individuals tends to be more favoured than others”. [D24]*

*“As I'm telling you, this is a difficult one, I can't provide you an answer, but all I'd say is that the process is bureaucratic”. [D6]*

*“I don't think either party should be dominant. I think there should be a balance between both sides. And I think if the business becomes too dominant, there's imbalance and on the expense of the other stakeholders, especially, the civil society. For a healthy governance of collaboration, there must be a balance. So, I think one has to be careful not to overplay one side”. [D22]*

*“Officials need to be careful not to use autocratic style when communicating with business. As mentioned, before they are all volunteers and there is no need for them to accommodate any form of autocratic behaviour”. [D15]*

Some cases of good practices were reported from some municipalities, such as TM and MBM but the question remains as to how holistically inclined such practices towards are a

fair, just and egalitarian role-players inclusiveness in the decision-making process. This can be observed in the following responses:

*“Decisions are made based on the agreed terms of reference of the governance structure to promote power-sharing and inclusiveness. Hence it’s said to be guided by the agreed and adopted terms of reference of the type of governance structure”. [D1]*

*“Collective inputs from stakeholders and administration are obtained through workshops. Collective inputs are collated, prioritised and then communicated with the stakeholders before implemented” [D23]*

*“Through a facilitative participatory process, inputs are collected from stakeholders”. [D24]*

#### 6.8.3.1.5 Conflicts resolution mechanism

The concern of resolving arising conflicts between collaborating role-players was brought into focus in this sub-theme. The data from the interview revealed that 83% of the participants believed that there is no structured mechanism which articulates how to resolve disputes or conflicts between collaborative role-players across the six selected municipalities. The following responses can attest to this viewpoint:

*“There's nothing formal about it, it's a problem. I have observed it with the previous council where it became political. We had this guy from the business chamber, the guy had an interest... there were huge frictions. One was complaining about the others in the newspaper. Then another guy from a high political rank tried to mediate, meet with both the municipality and the business chamber attempting to observe how he can resolve it”. [D7]*

*“No, we never had. Normally, conflicts are resolved on an informal basis depending on the conflict. However, more tedious conflicts are to refer to the next level of hierarchy”. [D11]*

*“No mechanism prepared but various role-players will resolve concerns when arise” [D13]*

*“There is none that I am aware of”. [D14]*

### **6.8.3.2 Document reviews**

A desktop review was conducted on the relevant documents regarding the theory and practice of LED and cooperative governance, specifically concerning the governance of development forum or any form of collaborative arrangements aiming at addressing socio-economic concerns within the selected municipalities. It was revealed that some municipalities constructed an institutional capacity to establish guidelines for developmental collaborative arrangements (forum) in their municipalities.

#### **6.8.3.2.1 Terms of reference**

It was discussed in the conceptual framework the imperativeness of guiding a framework or term of reference to the success of collaborative endeavours. The reviewed documents indicated the position of the municipalities through the establishment of a steering committee. This theory can be observed in the following statement:

*The objective of the LED Steering Committee Terms of Reference is to establish guidelines for a forum where the various role-players in the economy of Greater OM can meet to share ideas and discuss challenges, find innovative solutions to socio-economic problem (OM LED, 2009:13)*

The emerging data from above-named key theme revealed the following fundamental elements of cooperative/collaborative governance structure as an essential pull and push factor for the success of LED and cooperative governance within the six selected municipalities. These are: Operational policies; ground rules; accountability; decision-making process, and conflicts resolution. Having said this, a presentation on communication ensues.

### **6.8.4 Main Theme 7D: Communication**

Another cogent determinant of effective collaboration is communication. Communication with role-player in collaborations should be conducted on a regular basis and must be efficient and effective to achieve its objectives. Various communication could be employed to communicate with the role-players depending on the context or realities on the ground.

In this section, the participants were requested to comment on the how the communication between the various role-players in the arrangements are managed.

#### **6.8.4.1 Interviews**

In this section, the participants were requested to comment on the how the communication between the various role-players in the arrangements are managed. The following data stemmed from the interviews in this context.

##### *6.8.4.1.1 Formal engagement and media*

Provided the views and experiences of the key informants as contained in the interview data, each of the selected six municipalities employs a combination of various communication resources for this purpose. These include newsletters; emails; print media, electronic media, fact sheet and meetings. Although evidence of communication taking place as reflected in the responses below, none of the six municipalities has a formalised communication plan for this purpose. The analytical question is: To what extent these means of communications effective enough to achieve its desired objectives? This hypothesis can be deduced from the following responses.

*“Communication between role-players happens in various ways. In some cases, communication happens through formal engagements with role-players (IDP sessions etc). In other instances, communication happens through electronic means, municipal articles etc”. [D14]*

*“So, what we usually do, we employ a print media, local print media, airwaves and some internet access because there are quite several local newspapers that we can utilise, obviously, we also employ the community local radio station with regards to advertising and popularising our interactions with the stakeholders, concerning the air waves”. [D3]*

*“We communicate through email, which they all have. We do send out SMSs if there’s anything. The do sends me an email if they have any question further”. [D9]*

*“Yes, as part of the revised LED Strategy, a concise communication plan is needed and is in the process of finalising it”. [D1]*

#### **6.8.4.2 Focus group discussions**

The emerged data from the focus group discussions on this subject is presented below.

##### *6.8.4.2.1 Formal engagement*

As observed from the focus group discussions, communication was one of the major factors identified by some focus group participants as a determinant for the efficiency of cooperative governance for LED. The following quotes justified this theory:

*“I think the first thing we really need to do is to communicate effectively to all key role-players and stakeholders. They all need to talk to each other as they all need to acquire coherent with all what each other are doing”. [FG2]*

*“When we compile our strategy, during that process, we make a consultation with them so as to ensure that there is synergy between the stakeholders”. [FG3]*

#### **6.8.4.3 Document review**

The reviewed relevant documents revealed that the six selected municipalities embraced the pivotality of communication to achieving formidable outcomes of collaboration for LED.

##### *6.8.4.3.1 Formal engagement*

The reviewed documents in the study reported that the six selected municipalities instituted several communication mechanisms to reach out to the role-players/stakeholders within the municipalities. This theory was demonstrated in the following extracts from the documents:

*“MBM adopted a Marketing Plan and Communication Policy to ensure that the marketing and communications activities take place in an organised and structured way. The marketing plan clarifies the methods and frequency of public communication and engagement which is indicative of the municipality’s commitment and willingness to strengthen community participation”. (MBM IDP, 2017a:24)*

*“Community Awareness Campaigns/mobilization are conducted through various communication devices e.g. newsletters, social media etc.); and Placement of notices in media and strategic points for establishment”. (OM IDP 2017:19)*

By using various communication media and employing social media, KM aims to improve communication with stakeholders and the community. This can be observed in the following extract:

*“The Municipality aims to improve communication of the vision, strategy and plans both internally and externally, to keep staff informed, capacitated and to manage the expectations of the community. The municipality also employ social media and communicates with the community on Facebook”. (KM IDP 2017:10).*

The reviewed documents revealed that there are some communication challenges in some municipalities. In SM, the IDP document emphasised a communication challenge as to the lack of an integrated approach in the municipality to enhance effective communication. This theory can be observed from the following extract:

*“SM does not comprise a public participation unit. Each department is responsible for informing the public and for engaging with relevant role-players”. (SM IDP 2017:173)*

Given the emerging data as presented in the preceding key theme, the six municipalities embraced the importance of maintaining a good stakeholder relationship through effective communication for improved collaborative outcomes. In this regard, each of the six municipalities employs a combination of various communication resources for this purpose. The next section of the study presents emerged data on role-player’s characteristics.

#### **6.8.5 Main Theme 7E: Role-players’ characteristics**

For the success of collaborative arrangements, the fundamentality of constituting it with role-players/partners of *variety characteristics* as it relates to their capabilities was discussed in the conceptual framework of this study. The emerged data on this subject through interviews and document reviews are presented below:

### 6.8.5.1 Interview

In this context, the researcher pursues to examine the extent to which the characteristics of collaborating role-players can determine the effective performance of LED-based cooperative governance and as it relates to their capacities and capabilities to contribute towards the accomplishment of the municipal developmental goals in the selected six municipalities. Provided the data from the interviews, the participants in this context acknowledged the presence of a variety of skilled and expertise in the local community that can contribute to their locality developmental goals through cooperative governance. Concerning financial resources, as it was limited in supply, specifically in small municipalities. It was established that some municipalities are better resourced than the others. For example, KM and OM have lesser economic base than MBM and TM, though they are all ranked the same category B municipalities. Therefore, in this context, two sub-themes emerged from the data, namely: Role-player resourcefulness; and power and authority imbalance. These sub-themes are further presented in detail below

#### 6.8.5.1.1 Role-players resourcefulness

It was revealed in the data that most of the participants (75%), the choice of role-players is based on the quantum of resources that the role-player could provide to support the collaborative arrangement. This is a customary practice across the six selected municipalities.:

*“In general, the “wealth” of resources the role-players could provide determines the composition of arrangements. Normally the role-players with wealth will “dictate” and will have sometimes a sense of “authority” and power, compared to role-players who do not necessarily have the resources. However, those without the resources, normally have the best ideas” [D1]*

*“The municipality works with stakeholders who are capable of contributing to the LED strategy”. [D23]*

#### 6.8.5.1.2 *Power and authority imbalance*

Consequently, as revealed by the data, 25% participants acknowledged practices, as alluded above, create distortions in power and authority balance between role-players. This theory can be observed in the following responses:

*“There's no balance of power between the members. As I've said, if this is what he says, that's how we must deal with it. So, there is no power balance between the forum members”. [D6]*

#### 6.8.5.2 **Document reviews**

As earlier mentioned, the essentiality of having the right composition of role-players/partners for collaborative success cannot be overemphasised.

##### 6.8.5.2.1 *Role-player's function and skill matching*

The reviewed documents obtained from TM and MBM municipalities embrace the same ideology and as the need to match skills and commitment of stakeholders with their specific functions as defined by their roles in the collaboration. This theory can be observed in the following extract:

*“LED is a complex process which needs the active involvement of a wide variety of stakeholders. Success depends on bringing the right stakeholders together in the right pattern of roles. Stakeholders with the right skills and commitment need to be linked to the specific functions which define their roles in LED. Without the capacity to execute the main functions required, LED attempts will fail repeatedly”. (TM IDP, 2017:41)*

*“The concept of Participatory Appraisal of Competitive Advantage (PACA) revolves around the point that successful LED must be based on the active involvement of those stakeholders who are relevant for economic development, i.e. who have relevant resources at their disposal (know-how, money, time, delivery capacity, etc.) or who could create obstacles”. (MBM LED, 2017b:3)*

As observed above, the main theme 7E contained the data presented on the characteristics of role-players. It tended to establish the extent to which role-players' characteristics could determine the effective performance of LED and cooperative governance through their capacities and capabilities to contribute towards the accomplishment of the municipal developmental goals in the selected six municipalities. The next section of the study presents the emerging data on role-player's outcome.

#### **6.8.6 Main theme 7F: Role-player's learning outcome**

In this context, the researcher seeks to establish the possibility and extent to which knowledge enhancement of role-players through collaboration can add value to LED-powered collective governance across the selected six municipalities.

##### **6.8.6.1 Interviews**

The data emerged two sub-themes: Exchange of knowledge and information; and Enhanced understanding as presented in detail below.

##### *6.8.6.1.1 Exchange of knowledge and information*

The data from the interviews revealed that participants overwhelmingly acknowledged that there was exchange of knowledge and information through collaboration to enhance their understanding. This can be observed in the following quotes:

*"Yes, stakeholders continue to learn from each other by ways of exchanging observations and best practices". [D1]*

*"Collaboration allows for the exchange of knowledge and information, best practices, sharing of expertise and resources which is critical for economic development". [D14]*

##### *6.8.6.1.2 Enhanced understanding*

It can be deduced from the interview data that because of collaboration, learning is taking place between the role-players in the selected six municipalities at varying degrees as epitomises in the responses below:

*“Stakeholders tends to improve on their roles and responsibilities overtime”. [D23]*

*“Role-players tends to know better the processes and procedures within the municipal public engagement setting. Yes, we learn, we really learning a lot”. [D6; D24]*

*“Role-players develop better understanding of operations and procedures within the municipal legislative environment”. [D11]*

In the preceding main theme, the study presented data on the observations of the participants regarding the possibility and extent to which knowledge enhancement of role-players through collaboration can add value to LED-powered collective governance across the selected six municipalities. The emerging data, as presented in the main themes, indicated the overwhelming acknowledgement of the participants regarding the exchange of knowledge and information through collaboration (fora) to enhance their understanding. The next data presentation is conducted on interpersonal relations/trust as observed below

### **6.8.7 Main Theme 7G: Interpersonal relation/trust**

Trust was discussed in the conceptual framework as one of the major determinants for effective collaborative arrangement. Given this, researcher tended to establish from participants and obtaining documentary evidence as per the level of trust between the role-players as established by their level of interaction, willingness to collaborate, trust in one another and mutual respect

#### **6.8.7.1 Interviews**

When the participants were requested to comment on the level of trust that exists between the role-players, the emerging data across the six selected municipalities were mixed.

##### *6.8.7.1.1 Unsatisfactory level*

Majority of the respondents believed that the level of trust between the role-players should be worked on. Some of the participants ascribed the reason to factors, such as history within their communities and political differences amongst stakeholders. The following responses reflect this theory:

*“The level of trust between role-players vary attributable to various reasons. For example, history within the community and political differences amongst stakeholders. Trust at this stage amongst stakeholders is based on alliances between the groupings to some extent, but a lot of work still should be conducted to restore trust levels”. [D1]*

*“I assume there might be individuals who sit there to look for opportunities rather than a contributor and that is where the problems come in. Some individuals have got different agenda when they seat there, rather than to promote the whole idea of identifying towns, economic growth and ventures. It’s really time consuming, it must take some years to acquire there to acquire trust between the parties”. [D7]*

*“I think there's not much coherence, for instance, the businesses tend to function somewhere in the corner by themselves. And you know, the whole culture of collaboration, of cooperation, we don't have it”. [D3]*

#### **6.8.7.1.2 Reasonable level of trust**

There appears to be a few cases of good practices in some six municipalities as revealed in the data from the interviews. For instance, TM and MBM municipalities where there appears to be a good working relationship and understanding between role-players. This can be observed in the following quotes:

*“In some instances, the level of trust is good and there is a good working relationship and understanding amongst role-players and continues engagements and communication. In other instances, there are no engagements or working relationship between role-players for various reasons”. [D9]*

*“We do trust each other as long as there is that clarity of purpose to make us to buy-in”. [D22]*

#### **6.8.7.2 Focus group discussions**

Focus groups discussions were also held with relevant role-players to confirm or refute emerged data from the previous data obtained through individual interviews. Below is the emerged data from the focus group discussions

#### 6.8.7.2.1 Synergies between role-players/partners

The emerged data reveals that some participants in the focus group discussions regarded trust as one of the fundamental requirements for effective collaboration which evolves overtime through the continual relationship between the role-players. For example, in HM, TM and MBM municipalities where focus group discussions were also conducted, there appears to be evolving cooperation between the municipalities, business and the civil society. The quotes below reflect this theory:

*“I believe in the fact that when they sat there and started to talk and started to realise the solution that bounded them together, that’s why the input was so high. Once they started to trust what we were doing there as we told them that we were not there to create a wish list, we want to know what you guys want us to do for you and with you”. [FG1]*

*“I think to an extent, we do receive good buy-in from them, from certain role-players who catch the vision to trust what we’re attempting to achieve”. [FG3]*

The study presented in the above-named main theme data on the level of trust between the role-players as evidenced by their level of interaction, willingness to collaborate, trust in one another, and mutual respect was presented in the preceding main theme 7G. Data presentation on motivation is conducted below.

### 6.8.8 Main Theme 7H: Motivation

Organisations collaborate to achieve their organisational benefits. The achievement or failure to achieve these organisational benefits motivate or demotivate them to participate in future collaboration. In this context, the researcher seeks to determine the extent to which organisations in the six selected municipalities are motivated to participate in LED-powered cooperative governance, based on the premise of attaining perceived organisational benefits.

#### 6.8.8.1 Interviews

The data from the individual interviews revealed that the majority of the participants across the six selected municipalities acknowledged that organisations are motivated to

collaborate for distinct reasons. These reasons emanating from the study were grouped under two broad-based sub-themes: Resource pooling and provision of business enabling environment as presented below.

#### *6.8.8.1.1 Resource/capacity benefits*

Most participants across the six municipalities acknowledged they became motivated to participate attributable to the accrued benefits, enhanced capacity derived from the pooling of resources by participating organisations; others believed that collaboration constitutes a good platform to share good practices, knowledge and information. Collaboration potential concerns that could cause dissatisfaction are detected timeously to prevent uprising. The following responses reflected this theory:

*“The pooling of resources made the local area to benefit from the programmes leading to upskilling of locals and widening, business opportunities. Furthermore, it assisted with research costs at the local level. Some of the initiatives assisted with the reducing of red tape at the organisation”. [D1]*

*“Enriched community needs inputs and participation process are obtained through collaborative bottom-up process. Assists with support for initiatives and early detection of dissatisfaction to prevent uprising” [P11]*

*“Organisations collaborate to share best practices, sharing of knowledge, information and resources”. [D14]*

#### *6.8.8.1.2 Provision of business enabling environment*

Certain respondents, specifically from the business sector, acknowledged they could be motivated to participate if the red tape in the structures can be removed and focus on significant issues. The following responses attested to this rational.

*“Do away with small red tape and concentrate on real issues. provide recognition where it is earned”. [D15]*

*“I would commit myself to attend those forum meetings as I believe it will provide me the courage to build my business to compete with bigger players in the marketplace”. [D18]*

*“Yes, if it can assist with the interaction and communication between the municipality and the private businesses, definitely, I’ll be willing to attend”. [D20]*

*“My passion about South Africa, my passion about our individuals. And my passion about the way we do things”. [D22]*

### **6.8.8.2 Focus groups discussions**

The data generated from the focus group discussions revealed that stakeholders are motivated to participate in collaborative arrangements which they believe could bring an effective solution to their collective problem.

#### **6.8.8.2.1 Resources/capacity benefits**

The data revealed that some participants in the focus group discussions believed that the level of poverty in the municipalities provides an impetus for the stakeholders to collaborate as they pursue to improve the quality of their lives. The following quotes reflect this theory:

*“I believe that the degree of poverty was a motivation”. [FG1]*

*“I think it indicates the high degree of integrity of individuals who want to improve firstly their own lives and that of the economic sector and also the municipality”. [FG2]*

It was presented in the preceding main theme 7H, data relating to the overarching reason that motivate stakeholders in the selected six municipalities to participate in the collaboration. The emerging data indicated that stakeholders participate in collaboration as a result of perceived benefits.

## **6.9 CHAPTER SUMMARY**

The preceding chapter presented the various themes and sub-themes generated from the data. The presented themes and sub-themes from this study emerged through analysis of 24 interviews, four (4) focus group discussions and desktop review of twenty (20) relevant

LED policy and implementation documents. Illustrative tables were also employed to describe the findings from the key informant individual interviews, focus group discussions and findings from the reviewed documents. The next chapter presents discussions on the findings.

## CHAPTER 7: RESEARCH DISCUSSIONS

### 7.1 INTRODUCTION

This chapter presents discussions on data collected through document review, key informant interviews and focus group discussions with LED key role-players in the six selected municipalities, and data collected through document analysis to address the research objectives of the study. The main and sub-themes were synthesised from the emanated data from the individual interviews, focus group discussions and the analysis of the document as presented below in Table 7.1. The findings were employed in contributing to the sustainability of outcomes-based M&E in the lexicon of LED-based cooperative governance in the selected six municipalities in the Western Cape. A normative outcome-based model/framework for LED-based cooperative governance was evolved and presented. The conceptual framework of this study discussed in the previous chapters (Chapters 1 to 4) guided the development of the proposed model/framework. The proposed model/framework was derived from the emerged findings obtained from various sources in the study through multiple data collection instruments, namely, documentary reviews, focus group discussion and individual interviews with key informants/stakeholders (municipality, business and civil society) within the selected municipalities.

As discussed in Chapter 1, the research seeks to assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in the Western Cape. More specifically, the research intended to:

- analyse the main policy and legal frameworks promoting cooperative governance for economic development in local municipalities
- develop a conceptual framework and identify factors for the design, implementation, and assessment of cooperative governance for LED in small towns
- perform a comparative assessment on cooperative governance and LED's functioning in selected municipalities of a small town
- determine the push and pull factors for the successful functioning of cooperative governance aimed at promoting LED in those municipalities

- develop a normative performance framework that should be able to influence the outcomes and tools used in the monitoring system of cooperative governance aimed at achieving appropriate developmental objectives to develop its society sustainably.
- provide lessons of experience and recommendations on how cooperative governance and LED can be improved in small towns

The findings for the research objectives were presented in the previous chapter of the study. The chapter commences by presenting the discussions on the synthesised findings from the key informant individual interviews, focus group discussions from the reviewed documents and a proposed normative performance framework/model which could be employed for assessing the perceived outcomes of cooperative governance for LED within comparable small municipalities.

**Table 7.1: Synthesised findings for further discussions**

S/NO	MAIN THEMES	SUB-THEMES	RESEARCH OBJECTIVES
1	Policy and legal framework	Policy design issues Policy implementation	Research Objective 1
2	Nature and potential for LED	LED potential Common understanding and nature of LED Provision of LED enabling environment	Research Objective 3
3	Specific LED challenges	Resources/capacity challenges of LED Issues of implementation Level of trust Exogenous challenges	Research objective 3

S/NO	MAIN THEMES	SUB-THEMES	RESEARCH OBJECTIVES
4	Institutional arrangements	Understanding roles and responsibilities Role-players' involvement/participation Silos approach Resources/capacity constraints Collaboration structure/governance Role-players' willingness and commitment Level of trust Implementation plan Mechanism for dispute resolution Mechanism to promote accountability Attainment of perceived benefits	Research Objective 3
5	IGR	Perceived level of supports Monitoring and reporting Issues of implementation Exogenous challenges Clarity of roles and responsibilities	Research objective 3
6	Monitoring and evaluation	Poor coordination	Research Objective 3
Pull and Push Factors			
7	Legitimacy of purpose	Substantive developmental goals Clarity of purpose	Research Objective 4
8	Leadership characteristics	Facilitative related attributes Knowledge related attributes Behavioural related attributes	Research Objective 4

S/NO	MAIN THEMES	SUB-THEMES	RESEARCH OBJECTIVES
9	Governance structure	Operational policies Ground rules Accountability Decision-making process Conflict resolution	Research Objective 4
10	Communication	Formal engagement	Research Objective 4
11	Role-players' characteristics	Capacity of role-players	Research Objective 4
12	Role-players' learning outcomes	Enhanced understanding through the exchange of knowledge and information	Research Objective 4
13	Trust	Unsatisfactory level of trust Reasonable level of trust	Research Objective 4
14	Motivation	Resource/capacity benefits Business promotion	Research Objective 4

Author's own (2019)

## 7.2 POLICY AND LEGAL FRAMEWORK

The relevant policy documents and the legal framework reserve a place for public participation in the system of local governance where municipalities are required to build partnerships between private sector, civil society and local government. Imperatively, the normative and legislative framework where collaboration operates exogenously influence the performance of the collaboration as it regulates the set-up and functioning of control agencies external to the network (Turrini, et al., 2010; Cepiku, 2014; Cepiku & Giordano,

2014). The White Paper on local government (WPLG) (RSA, 1998a) reflects this idea and envisioned for local government as a developmental sub-national government, committed to work for and with the local community.

The white paper on local government (RSA, 1998a) pursues to transform municipalities into a sphere of government with the requisite capacities to forge their own shared vision through a collective approach that embraces and integrate diversity to pursue shared developmental purpose for the municipality. This shared purpose must be integrated into the district vision and more broadly into the strategic development plan of the province and the NDP of the country. Chapter 4 of the system Act (RSA, 2000) requires the municipality to build and maintain relations with the private sector, non-governmental and community organisations, and other local organisations. Section 41 of the constitution requires the local government to cooperate with others spheres of government, organs of state within those spheres and municipalities (RSA, 1996). While the (IGRFA) of 2005, aimed to institutionalise cooperation amongst the three tiers of government (DPLG, 2005a), the National LED policy framework (2006) acknowledges that LED is stakeholder driven (DPLG, 2006). A strategic partnership between the state, private sector and civil society is needed. Local municipalities are required to develop their own LED strategy and implementation plan to this effect.

If the enabling legal and institutional framework providing centrality to collaborative/cooperative governance of LED is functioning correctly, why do business, especially the civil society, appear increasingly alienated from the local government? Why does a wide divergence between the promised land of intergovernmental relations and everyday reality exists? An assessment of the legal and policy framework for collaboration/cooperative governance for LED was conducted. The institutional arrangements for collaboration/cooperative governance as introduced by the policy and legal framework in South Africa is also focused on in this chapter. Institutional arrangements (Fora) and IGR for LED collaboration within the municipalities were identified as key spaces for collaborative/cooperative local governance of LED, provided by the legislation and relevant policy documents. The desirability to equally examine IGR in this study stems from the need to comprehend the interplay between national and sub-national

government and its influence on cooperative governance and LED, specifically, in the system management of socio-economic concerns within municipalities.

This section of the study provides an overview of LED policy and legal framework by reviewing their definitions and strategies and their applications, and by critically assessing its conceptual coherence and their utility to promote development in local municipalities through collaborative endeavours. The legal framework and policy place the onus for development on the local municipalities and urge the municipalities to partner with other stakeholders such as the business and the civil society to improve the system management and responsiveness to local needs within the municipalities. The study contends that the non-impressive derivatives of policy design and implementation, relating to promoting collective local governance of development within municipalities, provided an impetus for its assessment. The dialectic between theory, policy formulation and practice of LED and cooperative governance within the six municipalities is discussed in this section of the study.

### **7.2.1 Policy design issues**

The design of the policy and legal framework for the collective governance of local economies in local municipalities was proved to be problematic in multifarious ways concerning the articulation of roles and responsibilities of key role-players, policy update, policy assessment mechanism, clarity of purpose, promotion of accountability, and the extent to which it aligns to other sectoral plans and expenditures of municipalities and other government spheres.

The study findings revealed that the policy and legal framework for LED and its associated framework fail to articulate the specific roles and responsibilities of the key role-players, especially that of the business sector and the civil society. As contained in the conceptual framework, both sectors are increasingly involved in matters of development within the local community. The private sector is becoming the lead player in the deployment of resources for LED, such as capital, technology, and human resources. The study maintained in the literature that the private business with the shared value for the business and the society, can create entrepreneurial opportunities, contribute to technology transfer

and develop local industries (Krishna, 2011). The civil society emerged as a strategic partner in the development process as they pursue to develop an alternative way of facilitating economic development and creating public value through emerging initiatives in their localities (Ghaus-Pasha, 2004; Oduro-Ofori, 2011; Mutabwire, 2012).

Barely enough can be achieved consequently by all key role-players (state, private and civil society) on matters of local development without the provision of enabling statutes that delineate the roles and responsibilities of the respective key role-players. It was observed that failures to define roles and responsibilities of key role-players consequentially lead to duplication of roles and responsibilities (Greijing, 2017; Kahika & Karyeija, 2017). A requirement to promote accountability amongst the LED key role-players is the extent to what the role-players are made known of their respective roles and responsibilities and where they might overlap (Barret, 2000; Ryan & Walsh, 2004). The study maintained that one could not be held accountable for something not appropriately defined in the first case. Still on this context, although the findings reveal that most of the participants (especially the municipal staff) believed in the ability of the policy to promote accountability through the application of KPIs, but in reality, it is rarely conducted effectively.

Another concern is that employing KPIs is difficult to enforce specifically in collaborative endeavours of this nature of LED, where participatory is voluntary. Employing KPIs to promote accountability becomes less effective in an endeavour where roles and responsibilities of role-players are not defined. A concern of ambiguity of policy and legal framework is created, as established in this study as fragmented and uncoordinated, resulting in duplications of roles and responsibilities. Although the municipalities are statutorily required to develop and aligned their developmental strategies to those of other departments and spheres of government, the study established that most of the development plans at a municipal level, specifically, some locally defined priorities are difficult to be properly aligned to those of other spheres of government as observed in this study.

The study findings confirm three other extant studies based on their argument that it is practically proved impossible for municipalities to link their IDPs to national or provincial department plans (Ambert & Feldman, 2002; IDASA, 2005; Robino, 2009). As maintained

by Robino (2009:256), the reason could be ascribed to disparities in time horizon as line departments hold various time horizons for their plans. Various consultants are often contracted to design sectoral plans, which consequentially impact negatively on inter-sectoral integration of plans. Another area of concern in enabling the policy and legal framework is the clarity level. Although the findings from this study reveal elements of clarity in the policy, it provided the concerns of unclearly defined roles and responsibilities of key role-players. This includes the concern of fragmentation and uncoordinated legal framework; therefore, it suffices to contend that the policy and legal framework are ambiguous in certain aspects.

The study findings reveal that the LED policy and legal framework emerge as outdated. The policy and legal framework influence the way local authorities conduct matters of local development. The 2006 National LED framework was designed as a five-year framework aimed to provide support to the development of local economies through an integrated approach, comprising both the state and non-state alike. Paradoxically, LED strategies at local municipalities are based on this fundamental national framework which came into effect fourteen years ago. As maintained by Rogerson (2014:205), since the preparation and release of South African's National LED framework in 2006, the context for the planning of LED changed considerably in several critical dimensions, for example, the NGP launched by Zuma in 2009, the NDP 2030 released 2012, by the National planning commissions (NPC, 2011).

According to Rogerson (2014:208), LED's role is barely mentioned in the NDP. The analytical concern is the relevance of these policy documents, encountering modern realities. The high pace and scale of advancement in high-tech, specifically in digital, robotics, and automatic applications are profoundly reshaping individuals' personal and professional life. It poses a great challenge to public policymaking and implementation in matters of development. Several processes and structures in public entities, developed over the last few centuries, would soon become obsolete and irrelevant (Agarwal, 2018). With the emergence of Artificial Intelligence (AI) technologies, where machines can perform some tasks traditionally and exclusively performed by humans, brought a new dimension

to humanity. AI holds significant promise for public sector undergoing a transformation with robotic and automation, changing the provision of public services.

Public sector procurement of AI-powered technologies presents challenges concerning legal liability, where a decision taken by an algorithm harms someone's life. Following these complexities of the modern era, the credibility and relevancy of the national framework and its associated strategies in the wake of the 4<sup>th</sup> industrial revolution is questioned. The ability of these policies and strategies to support the development of a resilient and sustainable local economy in a contemporary era characterised by automatic and robotics applications occasioned by 4IR, is put to question. Although it was established in the study that some selected six municipalities reviewed their LED strategies, some municipalities are still employing their outdated LED strategies and implementation plans.

The study findings revealed the concern of policy assessment mechanism to monitor and assess the performance of the policy and legal framework. The complexity of modern government beckons the usage of effective policy assessment mechanism within the LED policy and legal framework to provide both institutional and sectoral guidance for assessing the usefulness and relevance of the framework in the ground. This would also enable the stakeholders to consult and synchronise the policy and be able to resolve any inconsistencies or conflicts in either the policy development or implementation. To monitor and evaluate LED legal policy and framework, the study chose to advocate for an integrated approach whereby the LED key stakeholders (government state, private and civil society) would be prominently and actively involved throughout the process.

The study identified that no formal mechanisms were established with clear guidance for the arbitration of LED policy and legal framework, not to mention the ability of the assessment mechanism to formulate sub-national positions on policy options and to resolve conflicts of interests. This renders it difficult to provide reports or feedbacks on policy performance to establish what is effective to replicate in form of good practice and what is under-performing for review.

For accountability, informed policymaking, and improved governance of LED, three complementary actions are required, such as, monitoring, analysis, and reporting.

Monitoring to collect evidence about how the policy is doing on the ground, justifying the data through analysis and reporting to the policymakers and the public. The challenge, as established in the study, is the absence of an articulated M&E policy framework in the selected municipalities. Consequently, this background hinders the ability of the system to access updated information on the performances and effectiveness of policies crucial for accountability and learning.

As rightly maintained by (Ryan & Walsh, 2004), a need exists for such a framework and reporting mechanism for collective initiatives. Collecting and analysing evidence about the impacts of LED policy and its associated strategies on addressing the socio-economic concerns within the local municipalities, and reporting to the state, policymakers and the public as the case may be, is imperative in assessing how policies are performing and most importantly to policymakers in re-prioritising and refining policy development instruments and objectives for local municipalities

### **7.2.2 Policy implementation**

The complexities of unintended outcomes of LED policy and legal framework attributable to poor implementation cannot be overemphasised. Uncontestably, these outcomes were unintended by policymakers. The analytical interrogation in this context is about what is behind the breakdown. As contained in the World Bank (2010) policy brief on South Africa, the reasons were as follows: A sharp focus on delivery targets, defined as outputs rather than outcomes (for example, the number of new set-up business, rather than the number of successful new business), financial resources, weak institutions for LED implementation and inadequate capacities.

The concern of capacity shortage was echoed in the conceptual framework of this study by several scholars (Maserumule, 2008; Lawrence & Hadingham, 2008; Binza, 2010; Davids & Esau, 2012; Uys and Jessa, 2013) as a plausible reason for the failure of municipalities, specifically low resourced, small towns municipalities to succeed in LED matters. Van der Heijden (2008) maintains that the latter outcome evolves in an increasing trend towards the production of low-quality LED plans marked by a project focus, unrealistic targets, an

inability to identify the drivers of local development and poor implementation. The same findings were observed in the investigator's (Kamara, 2015) previous study:

- LED was not fully integrated with other functional departments in the municipality, rendering LED practices in the two municipalities confined to the LED units in the municipalities
- ambiguities in LED policy and strategy as there were contrarily perspectives of what LED is and unique perspectives of how it should happen
- concerns in the working environment hindering skills transfer into the job, such as, a lack of progressions and a lack of motivation and opportunity in the workplace to implement what they learnt in training
- minimal reporting and M&E prepared to provide feedback and support

More often, the management of programmes lose its effectiveness when outputs and outcomes on programmes are not measured. Therefore, the importance of monitoring and evaluation are critical for LED interventions in local municipalities (Kamara, 2015; Kamara, Leonard & Haines, 2017)

### **7.3 NATURE AND POTENTIAL OF LOCAL ECONOMIC DEVELOPMENT**

While it is imperative to recognise the potential of LED as a catalytic tool for addressing socio-economic concerns in local municipalities, there exist a divergence/gap between the legal framework to promote LED and occurrences, as discussed in the preceding section of this chapter. This divergence provides the momentum to understand the nature, dynamics, methods and the promises of LED concerning its ability to contribute to the socio-economic development of the selected municipalities amidst the specific constraints encountered by these municipalities in LED planning and implementation.

#### **7.3.1 Local economic development potential**

LED practices are commonly characterised with the promotion of territorial development rooted in the competitive advantage and potential of the entire locality. Sustained economic growth is still regarded as a panacea to poverty reduction, though it was maintained that

not all economic growth transcends into major benefits for the poor unless it is inclusive. To achieve a sustainable and inclusive development within a municipality, it is important to ensure that the potential and competitive advantage of the area are known and exploited. Provided the scenario of the selected six municipalities, as the economies of these municipalities are primarily on agriculture, forestry, fishing and tourism, a need exists to work along these economic trajectories to achieve the perceived development objectives or outcomes. The study established hope for these municipalities with inherent capabilities to sustainably position their economies, specifically the 'niche' markets in tourism, increasingly attracting private sector investment (Rogerson, 2011:164).

There are numerous risks involved in the failure to correctly identify competitive advantage and potential of locality in the practice of LED. According to Rogerson & Rogerson (2012), emphasis is on the attraction of inward investment, for example it is likely to increase the dependence of an area on external economic actors. The study contends that over-dependence on external actors, especially for resources, could tilt the fulcrum of accountability and responsiveness of municipalities more towards the external actors than the public in matters of local priorities. As the saying states, *"He who pays the piper dictates the tune"*.

Another risk is improved education and skill level within the locality, without correspondingly improving the competitiveness of the local industry or attracting foreign resources, may result in a mismatch between the labour force skills and demand within the local economy, causing dissatisfaction and discontentment and thereby creating latitude for skilled personnel to pursue greener pastures elsewhere (brain drain).

### **7.3.2 Common understanding and nature of local economic development**

According to Rogerson (2014:204), LED is a contested concept. For Akudugu & Laube, (2013:4), the term is yet to be precisely defined. A lack of a collective understanding of LED renders it prone to multiple interpretations (CLGF, 2016). The study asserted in the conceptual framework (Chapter 3) about the dichotomous LED strategies, based on two paradigms of welfarism/pro-poor and economic growth. The welfarism focus most prevalent in smaller under-resourced municipalities led to limited success in LED projects.

Therefore, it renders promises of a meaningful LED to be undermined by many local authorities.

The main concern is a balanced approach between welfarism (pro-poor) and pro-growth. LED strategies should promote job creation and poverty reduction, while providing the capabilities for individuals to live their desired quality of life. As maintained in the literature of the study, both approaches could be pursued in parallel to attract investments to support further economic growth and development, while simultaneously addressing the triple concerns of unemployment, poverty and inequalities in the country. Provided the findings from this study, LED practices within the six selected municipalities differ amongst municipalities. Some municipalities were established in favour of infrastructure-growth approach, while others focus on competitive advantage and growth potentials of towns.

According to Akudugu & Laube (2013:3), the prospect for and promises for LED is huge. The approach of building infrastructure to encourage economic growth, specifically in a fragile economy, was a subject of discourse where a substantive number of publications empirically proved the causal link between infrastructural development and economic growth. This is based on the premise that in a volatile economy characterised by lower or declining economic growth as we are currently experiencing in South Africa, providing an infrastructure was maintained as an essential facilitating measure for economic growth and local development (Kingombe, 2011; Adame, et al., 2017). It is regarded as an economic growth pathway involving and benefiting the disadvantaged as an investment in construction and maintenance of infrastructure through local-based methods, such as EPWP and CDW, is positioned to create job opportunities for local individuals. Employing local labour and material further stimulates the local economy. The analytical concern is whether the general approach would take the municipality to the 'promised land'.

The study findings reveal that some of the six selected municipalities require more clarity in LED matters. This may be a reason the level of embracement of LED differs amongst municipalities. For example, as established in SM, there was no distinct LED unit. In a related development, Cllr Manyoni Chairperson of Salga and Chairperson of United Cities and Local Governments of Africa (UCLGA), in an attempt to share the experience of South Africa on LED at a conference (CLGF, 2016:3) emphasised the encountered problems in

striving to change the mindset of local government policymakers and practitioners from viewing themselves as mere service delivery implementing agents to developmental enablers. Municipalities were urged to observe service delivery through a developmental observation, while embracing the vitality of LED to maximise localities' economic potential.

### **7.3.3 Providing a local economic development enabling environment**

Stemming from the perspectives of capability, as earlier discussed in the conceptual framework of the study, an increasing number of local, regional and global authorities were actively involved in designing and implementing various LED approach features, aimed at improving the capability of a specific locality to provide individuals with the enabling environment to flourish in their potential. The study literature maintained that the onerous developmental task of improving the capability of a locality as a process to be co-jointly owned and managed by the state and non-state, inter alia, government, private and civil sectors.

According to Essia (2015), the performance efficiency of the trio is required to sustain balanced localised economic development. Provided the statutory provisions of LED, municipalities are expected to perform specific roles towards the provision of an enabling environment for locality development. As discussed in the literature of this study, municipalities are required to perform the following roles:

- as a facilitator, the municipality should initiate and operationalises strategies to improve the investment environment in the area, simplify development, and improve planning procedures and zoning regulations
- as a coordinator, coordinate and aligns IDP, Spatial Development Plans (SDP) and LED strategies, ensuring that all departments within the municipality are involved with implementing the programme.

Municipalities are required to evolve and implement strategies to stimulate business creation, survival and growth, such as providing premises at low rentals to small, medium and micro enterprises (SMMEs) and as to compile brochures on local investment opportunities or promote a sector or activity in a key venue. As part of their mandates to

provide an enabling business environment, municipalities need to exercise an innovative entrepreneurial role of taking the full responsibilities of operating a business venture, while entering into a joint venture partnership with the private sector or an NGO. The study maintained that the onus of providing a developmental enabling environment within the locality is the responsibility of the trio, indicating state, private, and civil society.

In this regard, the business sector has a unique role to exercise in development. For a healthy and sustainable developmental environment, Blakely & Leigh (2013) and Landsberg et al. (2016) declare that local businesses through local chambers have specific economic development roles relating to the implementation of enabling economic environment. The business sector generates jobs and income, harness their resources and expertise towards strengthening the institutions of governance and M&E mechanism. The civil society innovates in service delivery and mobilises individuals and group to participate effectively in matters of collective developmental goals. The study established the municipalities to be at their best in providing the enabling environment for the local economies to flourish within the municipalities. The responsiveness of the business and the civil sectors should be improved upon across the six selected municipalities.

#### **7.4 SPECIFIC CHALLENGES IN LOCAL ECONOMIC DEVELOPMENT**

While the local governance of LED holds promises for the future development of localities, cognisance of actual constraints and challenges is needed, that bedevil it, derailing its course to the *promised land*. In this context, the following challenges were identified:

- resources/capacity constraints
- concerns of implementation
- a level of trust
- political challenge
- socio-economic and environmental/ecological challenge.

Discussion on each of these challenges are presented in the following sections.

#### **7.4.1 Resources/capacity challenges of local economic development**

A significant concern in the official discourse about the transformation process of local municipalities hinges on the imperativeness to build and reinforce the capacities and capabilities of municipalities to meet the growing complexities of developmental demands within the municipalities. This concern was emphasised by most of the literature to explain the reason behind the success of local municipalities in LED matters.

Provided the findings emanating from this study, the challenge of a lack of resources/capacity at local government level was one of the most cited reasons against LED. The responsiveness of both the national and sub-national spheres of government to mitigate the difficulty of capacity constraints stimulated the conception and implementation of a plethora of capacity building initiatives often associated with myopically designed specific training to develop individual capacities at a municipal level. Consequentially, the concern of capacity constraints remains unresolved, continuing to impair the promise of LED at local government.

The concern of resources constraints is most prominent concerning of funding development projects or endeavours within the municipality, especially in small municipalities with a limited income. As acknowledged by Ngobese (2018) in a presentation at a MISA conference, underprivileged municipalities take solace on government grants and loans owing to their inability to draw on substantial tax base and the inability of the residents to pay for services has therefore severely impacted in maintaining the existing infrastructure. Provided the intergovernmental fiscal system in South Africa, it can be maintained to be characterised by dependence of municipalities on transfer from the national sphere of government. The system recognises the imbalance between the expenditure functions assigned to them and the instruments at their disposal to generate own revenues.

The constitutional provision of “equitable share of nationally-raised revenues” option was evolved to close this divergence. Concerning the transfer, the municipal government is thus entitled to two distinguished transfer, namely, unconditional and conditional grants. An equitable share is an unconditional transfer from the national government to the

municipalities annually to fund a range of municipal activities, primarily to support municipalities to provide free basic services to poor households. The conditional transfer is another source of resources transfer from the national government to the municipalities. It is provided to support municipal investments in infrastructure and to strengthened municipal capacity. Transfers are made directly, in the form of cash, and indirectly in the form of assets or support services provided to the municipalities. Municipal Infrastructure Grant (MIG) is the largest infrastructure transfer from national to sub-national sphere of a local municipality.

This transfer is intended to supplement the capital budget of municipalities, focusing on providing basic infrastructure services to the impoverished, while stimulating LED and job creation over the medium term. Three revenue sources are available for municipalities to fund development initiatives at the municipalities, such as, external loan, own revenues and as grants and subsidies. Each of these responsible avenues is impaired with various constraints, limiting the opportunities of local municipalities to acquire enough capital to fund LED. Grants and subsidies were the major sources of finance for municipal capital expenditure. As mentioned earlier in the study, low income-based municipalities struggle to generate their own resources/capacities to shoulder their developmental mandates. The over-reliance of municipalities on transfers is worrisome, especially in a declining revenue collection effort.

Employing conditional grants is predefined concerning national and provincial strategies and programmes by rendering specific requirements concerning the project to be funded included in the IDP. The question is: How much of these grants can municipalities effectively employ to meet the development challenges identified by their own process? The municipality dependence on a conditional grant to fund their development plans reduces their fiscal autonomy to local governance. This practice may also provoke a shift in their allegiance and accountability to the populace towards the national government. It is imperative to strongly interrogate the autonomy of municipalities concerning how much autonomy does a municipality possess in deciding and implementing their locality development priorities. According to Robino (2009), municipality dependence on

conditional grants/transfer to fund their development plan reduces the margin of action for funding locally decided priorities.

#### **7.4.2 Issues of implementation**

The study established that the local municipality plays a pivotal role in designing and implementing LED strategies and interventions. The strategic position of the municipalities provides them the latitude to undertake long-term development planning in collaboration with the business and civil society. The study findings identified the successful implementation of LED strategies within municipalities as a major challenge. Challenges emanate from a range of factors, as indicated as follows:

- insubstantial institutional arrangements
- a lack of effective collaboration of the trio (local government, private, and civil society)
- inadequate funding
- skill capacity

Each variable is further discussed in detail in the study.

The institutional arrangements within the municipality have a significant role to play for the effective implementation of LED within the municipality. As hypothesised by Meyer & Venter (2013) the implementation of LED within the municipalities improves upon strengthening the institutional arrangements. For example, this requires the capacitation of officials in the LED units to be more involved in LED. The ward committee and the committee development workers (CDWs) needs to be trained in the basic concepts of rural development to render improved functionality. The municipal LED unit should drive the municipal LED portfolio committee to be more functional. The concern of inadequate funding was raised as one of the reasons for poor implementation of LED. As contained in a report compiled by CLGF (2016), the process of LED funding by government institutions and development partners is time-consuming. Binza (2010) confirms the same sentiment of a lack of funding for LED. Masuku, et al. (2016) maintain that it would be difficult to succeed in LED in the absence of a reliable source of funding.

The conceptual framework of this study indicated that despite the numerous training and capacity building programme conducted to improve performance at municipalities, a fundamental concern of poor commitment by local government officials and office bearers to innovate and persist with stubborn development problems continues (Alan and Heese, 2011:9). According to Faguet (2013), municipalities endowed with good-spirited, innovative, and entrepreneurial leadership with encompassing interests for the common good, outperforms others. Therefore, a clear manifestation exists in various success levels in most municipalities in promoting LED.

#### **7.4.3 Level of trust**

Trust was widely debated in the conceptual framework as a vital component required for the success of collaborative endeavours aimed at improving the system management of LED planning and implementation in municipalities. A lack of trust reduces commitments from stakeholders. It was maintained that notwithstanding the various efforts to improve the system management of LED through multi-stakeholders, mistrust between the local government and civil society suffocates energies for LED. A dire need exists to restore trust as the missing link (CLGF, 2016). The concept of trust was described in some literature as a means of coping with uncertainty, positively influencing the outcomes of collaboration (Vangen & Huxham, 2003; Klijn, et al., 2010b; Cepiku & Giordano, 2014). Trust is required to build and sustain relationships amongst the stakeholders. The concern of trust is dealt with in detail in the study when conveying the determinants for effective collaborative governance for LED. The study established the level of trust amongst the stakeholders across the six selected municipalities as questionable.

#### **7.4.4 Exogenous challenges**

The study findings identified certain challenges in the external environment of the municipality, derailing it from achieving its LED objectives within the municipality. These constraints are mostly, political, socio-economic, and ecological/environmental constructs. As maintained in the conceptual framework of this study, these contextual constraints are beyond the direct control of the municipalities. Findings on political constraints were also echoed by Kalb, et al. (2012) in their study that political constraints constitutes a set of

contextual or background variables, which influence or interfere with the success of municipalities in delivering on their mandate. This is based on political fragmentation or concentration occasioned by share of seat between the ruling party and the opposition.

The literature maintained that emerging research suggests that poor services are affected by political interference in local administrations causing institutional collapse, irregular or inappropriate appointments and the rigid implementation of employment in municipalities (De Lange, 2012). It can be maintained that securing early high political and management support, and political stability and maturity are essential elements required to maximise impact of an LED programme (CLGF, 2016). This scenario suffices to presume that most of the selected municipalities may not be successful in LED, resulting the above-mentioned political constraints within their municipalities.

The study findings on socio-economic concerns are in consonant with the study by Cordero, et al. (2017) to assess the efficiency of Portuguese municipalities, which contend in favour of coastal location based on the premise that municipalities located in the coastal areas are more able to achieve higher levels of economic efficiency due mainly to their higher levels of development and their greater ability to increase tax receipts. In deducing from the latter statement, it becomes glaring again why most of the selected municipalities are struggling to succeed in LED, provided their poor financial base as established in the study. The adverse impact of environmental/ecological factors on the local economy also constitutes part of the findings of this study. This challenge is across the six municipalities. The economies of these municipalities are primarily focused on agriculture, forestry, fishing, and tourism. These can easily be impacted upon by environmental/ecological factors, such as drought, flood, and excessive wind. These factors were identified as more prevalent in municipalities such as KM, HM and Oudtshoorn.

## **7.5 INSTITUTIONAL ARRANGEMENTS**

Understanding within a comprehensive spectrum the nature and dynamics of institutional arrangements for local governance of LED within the municipality hold a key function for the effective implementation of LED within the municipality. It assisted in providing insights on how the interactions amongst the key role-players assist to shape and improve the

socio-economic outcomes of developmental strategies within the six selected municipalities. As suggested by Meyer & Venter (2013:110), for LED to be effective, appropriate institutional arrangements must exist within municipalities, which can convert policies and strategies into meaningful interventions in conjunction with all relevant stakeholders. The study examined the viability and functional coherence of the key institutional arrangements for LED within the municipalities, with special focus on development fora through an integrated approach to emerge some findings. Various interactive factors were identified to influence the effective performance of LED institutional arrangements within municipalities:

- understanding roles and responsibilities
- stakeholders' involvement/participation
- silos approach
- capacity/resources
- collaboration structure/governance
- stakeholders' willingness and commitment
- level of trust
- implementation plan
- mechanism for dispute resolution
- mechanism to promote accountability
- attainment of perceived benefits

Specifically, the aspects of stakeholder's involvement/participation, capacity/resources and mechanism for dispute resolution as influencing factors stood out most prominently. Each of these factors is discussed below:

### **7.5.1 Understanding roles and responsibilities**

The failure to define roles and responsibilities of key role-players in an institutional arrangement, could jeopardise both the individual and collective performance of the arrangement. Imperatively, the role-players need to comprehensively understand their respective roles and responsibilities in the arrangement (Chen, 2010). The study findings

present that some selected municipalities render good efforts to define the roles and responsibilities of key role-players in their LED arrangements. For example, municipalities, such as HM, Oudtshoorn, MBM and TM are actively employing certain tools such as SOP, Charter or MoU for this purpose. Having these mechanisms prepared, the critical concern is the extent to which the role-players fully understand and perform their roles and responsibilities to enhance the objectives of the arrangement. The study established a certain element of ambiguities and duplication of roles and responsibilities where role-players hold similar roles, challenging for individuals to discern.

A similar study by Raga, et al. (2012:247) on the extent to which the CDWs could play a role enhancing service delivery and accessibility of government services to community, established that the ward committee were at loggerhead with the CDWs because of a lack of clarity about the role of the CDWs. Concerning the ward committee, although the study findings revealed that the ward committee arrangement in some of the six municipalities is functional on one part, the study also revealed that the ward committee and its associated arrangements is too politically driven to achieve developmental and all-inclusive economic growth within the identified.

### **7.5.2 Role-players' involvement/participation**

The study specifically observed the active participation of role-players in institutional arrangement, aimed at improving the system management of LED local governance within the municipalities. Provided the legal and constitutional framework, LED stakeholders (government, private and civil society) within the municipalities are supposedly required to participate in the planning and implementation of development ventures through IDPs by assisting the municipalities in accurately deciding on key local priorities to undertake and improved, especially during the planning stage of development. The stakeholders are expected to play an active role in the processes of M&E of municipal performance in service delivery and development.

Robino (2009) maintains that the way in which participation of local stakeholders should manifest to fulfil their obligatory role of active participation is not enforced by the legislation. Therefore, Robino (2009) maintained that the efficacy of stakeholder involvement is a

mechanism based on the assumption that stakeholders are aware of their roles and responsibilities; they are free and timely to act on them and that councillors and municipal officials are open and willing for consultation to address matters of communal interest. As contained in the national policy framework of public participation (DPLG, 2007), government is committed to a genuine form of empowering participation instead of mere consultation or manipulation.

The study findings revealed a pervasive efficiency centred approach in the municipality's endeavours to involve local stakeholders as manifested in their efforts in holding both formal and informal consultation meetings with the stakeholders on several concerns. Instituting IDP representative fora is an integrated approach to involve the stakeholders in the formulation of municipal development plans. However, it was observed across the spectrum of the target group in the study (state, private and civil society representatives) and across the six municipalities the concern of poor participation of stakeholders in planning and implementation of LED projects.

Certain municipal representatives were critical of the various relationships with the stakeholders. Provided the perspectives of business and civil society as a cross reference there is often no effective or meaningful participation. Most municipalities could foster participation through consultations through diverse fora, a suggestion box, hearings and public meetings, ward committee, acquiring input for budgetary and IDP processes, which emerged as ineffective. The study findings revealed a practice in contrast with the provision of the national policy document on public participation (DPLG, 2007). The document states that the government is committed to a form of participation genuinely empowering, which does not include token consultation or manipulation.

### **7.5.3 Silos approach**

The cliché of working in silos hampered multi-sectoral multidisciplinary work in planning and implementing initiative (DED, 2013). The study findings concerning silo mentality of role-players/stakeholders created impediments for designing and implementing appropriate collective solutions to socio-economic concerns in all six selected municipalities. This may amount to a situation where various collaborating role-player

groups (municipality, private, and civil society) do not understand each other. Even if constructive measures were initiated, it could remain a talk indicate without achieving its predetermined goals and priorities as a role-player appears to be unwilling to render an extra effort to assist the other party in the arrangement.

Conversely, role-players who operate with a silo's philosophy offer a small resource on a continual basis insufficient to sustain the viability of the arrangement. The concern of silos approach was further maintained by Kaiser & Smallwood (2014), based on the premise that silos mindset continues to inhibit cross-functional interaction and yield duplication at the expense of value. Against this background, the study indicated that collaboration will be more effective than continue to work in silos without the stakeholder's clear understanding and appreciation of how their roles and responsibilities are integrated in the collaborative ecosystem.

#### **7.5.4 Resources/capacity constraints**

Local municipalities in South African were statutorily mandated to promote LED within their local authority. Local municipalities became centrally placed to coordinate LED projects through IDPs and other planning processes required concerning the provision Act (Municipal system Act 23, 2000 and Municipal structures Act, 1998). Municipalities were allocated this onerous developmental task without a commensurate granted resource to fund it (RSA, 1998b; RSA, 2000). The concern of capacity/resources constraints becomes a common sight in most municipalities, specifically in under-resourced small municipalities as discussed earlier in the study.

It was maintained that municipalities, especially outside major cities, often lack adequate capacities, financial resources to embark and sustain development projects within their authority. The perennial problem of insufficient LED capital is crippling implementation and rendering the LED system ineffective (Masuku, et al., 2016; Sienkiewicz, 2014). The six selected municipalities encountered capacity/resource constraints to develop and implement efficient and sustainable institutional frameworks for the collective governance of LED within their municipalities. The study findings further revealed that this constraint was established more pronounced in three of the six selected municipalities, indicating KM

and OM and SM. Attributable to budget constraints as the latter municipality did not establish a dedicated LED unit.

### **7.5.5 Collaboration structure/governance**

It is widely believed that the success of an institutional arrangement aimed at improving the system management and responsiveness to socio-economic concerns within the municipalities depends on the structure of the arrangement and its operational policies and procedures. The governance of collaborative relationship increasingly becomes essential for the effective provision of public utilities and addressing developmental concerns. The conceptual framework of the study maintained that institutional arrangement for LED should be designed to address this need. This can be accomplished by creating a governance and oversight framework, incorporating all the processes for decision-making, administration, management, communication, and conflict resolution. Numerous factors are established to influence the success of collaborative structure of institutional arrangement for LED within the six selected municipalities:

- a governance system
- inclusivity
- communication
- concerns of leadership
- high level of role-players turnover

Each of these factors are discussed below.

#### **a) A governance system**

The study focused on the power and authority dynamics between role-players during decision-making process in institutional arrangement. It relates to the various formal and consensus-oriented processes of participation, deliberation, negotiation and bargaining in a collective decision-making to formulate a cut-edge and all-inclusive decision. Provided the scholarship of Castells (2011:775), power in a network arrangement is the relational capacity to impose a role-player's will over another role-players will based on the premise of structural capacity domination embedded in societal institutions. When power is

exercised, it constitutes as essential, assisting the role-player or group of role-players to exert some control over an uncertain circumstance (Benson, 1975, cited in Keast, 2014:19). The structure must balance the interest of stakeholders to avoid power domination. The structure should create an open dialogue for participation, knowledge sharing, negotiation, and methods improvement.

The conceptual framework of this study maintained that power domination/imbalance within collaborations as rightly cautioned may result in conflict and co-optation that may affect the success of the collaboration (O'Leary & Vij, 2012:514). Appropriation or co-optation in collaboration relates to a situation where role-players are subjected to a mere participation. Such practice does not always result in strengthened local democracy and equitable distribution of power to improve system management and responsiveness to socio-economic concerns within the municipalities.

The study maintained concerning participation, that there is often no effective or genuine participation through the municipalities diverse means of consultations to obtain stakeholders' inputs for budgetary and IDP processes. All the role-players should be actively involved in all aspects of planning and implementation of a collective venture to the extent of involvement in establishing an agenda for fora. The study findings indicated that the process of decision-making in the arrangement appears to be undemocratic. The role-players were more often, not accorded the enabling deliberative platform required of effective consensus-oriented and deliberative process of collective decisions. This study revealed the collaboration process as bureaucratic in most of the selected municipalities. Decisions are established as time-consuming. This may be the reason some stakeholders are reluctant to participate in the municipality's consultation, hence the concern of poor participation.

## **b) Inclusivity**

The concern of inclusivity in the membership composition of the arrangement/forum for LED was brought into attention in this context. The study established it questionable the methodology used by some municipalities to decide who should be invited to participate in an arrangement/forum, as it failed to meet the requirements of all-inclusive declaration of

public participation as dictated by the statutory provisions of LED. The study established that municipalities (MBM and Oudtshoorn) consider major drivers in the economy or player in a sector to identify participants in fora/arrangements. The study findings also revealed a situation whereby employing outsourced service providers by a municipality (TM) in facilitating the process was applauded to be an intensive process of obtaining inputs and creating relationship with stakeholders. Employing outsourced service providers cannot effectively address the challenge of inclusivity as the tendency for the excluded and marginalised group not to be actively and equitably represented would still exist. As contend in the (WCDLG, 2016 ), a need for municipalities to analyse and understand power dynamics within a community exists, ensuring that those excluded and marginalised, become active participants in the transformation processes of their locality.

Vangen & Huxham (2014) maintain, by finding the appropriated partner for collaborative arrangement, the inclusion of those with a stake in the collaborative concern is desirable. The study contended that an all-inclusive and well-meaning collective institutional arrangement could still fail its desired impact to turn creative collective ideas into determined action. An element of an effective collaboration is the ability to turn generated innovative solution into concerted actions. As maintained by Burgoyne (2019), to ensure collaborative arrangement amongst diverse groups produces the desired results, a need exists to emphasise in the structure a *bias for action* to catalyse the propensity of the role-players to act.

The work of Burgoyne, et al. (2004) on whether and how management and leadership development contribute to performance, identified one of the features of organisations causing excellence as *bias for action*. This could be achieved through combining management and leadership efforts (Burgoyne, et al., 2004). An articulated value proposition of each role-players and defining the roles each role-player is needed to achieve the value. Provided the findings from the study, where the roles and responsibilities of the role-players are not defined, notwithstanding the value proposition of each role-player, it may become difficult to influence their action.

### c) The issues of leadership

Myriads of inherent challenges have been established in collaborative institutional arrangement, such as a lack of trust, diversity, and incongruent goals. The needs to have collaborative leaders characterised of certain facilitative qualities is of immense importance to the success of any collaborative initiatives. As articulated by Vangen & Huxham (2014), structures and communication processes are vital leadership media, instrumental to achieving specific outcomes. The study findings revealed that across the six selected municipalities, the Executive Mayor often assume this fundamental role in collaborative arrangements. In additional cases, the ward councillors fulfil this position. Provided this circumstance, a critical concern is about the capability of the Mayor as it relates to the competency and proficiency required to effectively perform this crucial role.

The imperativeness of leadership was widely maintained in the conceptual framework of this study as an essential element in convening and steering collaborative arrangement. According to Bailey, et al. (2010:460), leadership is the ability of the local agencies to proactively identify, coordinate and deliver initiatives that produces shared benefits through shared system of actions. Ryan (2001:241) articulates that effective leadership in collaboration is measured concerning its ability to adequately manage the collaborative process; maintains technical credibility and ensure credibility and universality of acceptance of collaboration outcomes to all stakeholders. Lasker & Weiss (2003:31) contend that collaborative leaders must be endowed with the requisite skill to facilitate:

- broad-based inclusiveness and active participation
- broad-based influence and control
- productive environment and expand the scope of the process

These arguments are of fundamental concern indicating certain facilitative skills and proficiency are required of collaborative leaders, which most of the municipal Mayors and ward councillors are deficient of. This does not negate the facilitating roles of executive Mayors and ward councillors at development fora. Caution should be provided to ensure representation are not ineffectively, such as a *squared peg in a round home*. This may be one of the reasons behind the spate of socio-economic protests in municipalities,

specifically when negotiation and bargaining processes fail (Salga, 2016). For example, TM witnessed three of such incidents since 2014.

#### **d) High level of role-players turnover**

It can rationally be maintained that consistency and continuity of plans and purpose in institutional arrangements can be unduly interrupted in a high turnover of role-players to the arrangement, such as situations where vacant position of key municipal staff remains vacant for an extended period without any suitable replacement. Voets (2013) contends the pros and cons of the turnover of role-players in a network or important actor outside the network, which can be advantageous and disadvantageous in that a change event may result to the loss of existing channels or creating opportunity or new channel because certain individuals entered or left the domain. The study findings revealed a situation of high turnover between key LED municipal staff and role-players with a net loss of opportunities as a result of the created vacuum of some sort in the arrangement as established in TM and HM. This problem was also established amongst the business stakeholders, especially those representing small businesses.

#### **e) Communication**

This section of the study focused on the fundamentality of maintaining an effective communication between the role-players as a vital element to ensure the success of institutional arrangement for LED. Across the six selected municipalities, various form/communication resources were employed to reach out to stakeholders, such as local news media, newsletters, and formal meetings. The critical question is: Do all the stakeholders have same possibilities of access to the information? In this regard, the study findings revealed that access to information is markedly unequal. The civil society and the private sector, especially the small business representative, appear to be disadvantaged. As the conceptual framework of this study maintained, communication is established as a key component of successful collaborations, where frequent (Franco 2011), open, and consistent communication provides members with the framework for success while encouraging an “out-of-the-box” theory. A detailed discussion on communication is presented later in the study.

### 7.5.6 Role-players' willingness and commitment

Vangen & Huxham (2014) maintain that collaboration could be formed based on the presence of presumed expectation of trust and willingness to shoulder associated uncertainties. The study findings revealed the extent of role-key players' willingness and commitment to the institutional arrangement processes, specifically aimed at addressing developmental concerns in the selected municipalities. It became evident from the study that the role-players have the drives concerning their willingness and commitment to collaborate. A crucial aspect is how to maintain the momentum to produce desirable outcomes. The study suggest that it would be best to align such drives with other essential elements for institutional arrangement to be effective in achieving the expected outcomes. It can be maintained that the momentum of willingness and commitment would be hard to sustain if role-player values are not met.

### 7.5.7 Level of trust

It is evident from the literature that trust is a critical factor for building and sustaining relationship. Trust could be defined as the *glue* needed to connect and maintain the tenacity of role-players to a collaborative agreement. The value of trust in cooperation was expressed in the conceptual framework of this research, indicating that trust contributes to more information and knowledge sharing. This result in enhanced problem-solving capacity, new insights, innovative power, and better collaboration outcomes. Tschirhart , et al. (2009, cited in O'Leary & Vrij, 2012:514) contend that trust could be based on positive interpersonal experience of trust developed overtime as individuals favour to collaborate with "others with whom they have a previous history of relationships or associations". The study revealed an unsatisfactory level of trust between the role-players/stakeholders in most of the selected municipalities, apart from MBM and HM.

### 7.5.8 Implementation plan

This section of the discussion presents the study findings as it concerns the implementation plan. The study revealed that though the six municipalities derived their own respective implementation plan, the extent to which these plans reflect the complex realities of contemporary development concerns and the ability to respond to the corresponding

demands of ever-changing circumstances within the municipalities, is a concern. This again curtails to the question of how often does the municipalities review their LED strategies and implementation plans to reflect local and global trends? It was established in the study that some municipalities do not have updated LED strategies and an implementation plan. Importantly, role-players expect collective decision through collaboration to be implemented. Gray (1989) maintains that collaboration should incorporate the practice of shared implementation. Given the popular saying that:

“If you fail to plan, you plan to fail” (Benjamin Franklin Undated)

The requirement for employing implementation plans cannot be overemphasised. Activities on implementation plans also need to be subjected to regular reviews (monitoring) and changes should be made appropriately at designated periods (Walker & Daniels, 2019).

#### **7.5.9 Mechanism for dispute resolution**

Provided the discussion of Buehler, et al. (2017) on how to avoid costly conflict, there is strong scientific evidence, which could support and advocate for the accrued benefits associated with timeous resolution of conflicts, that the sooner a destructive conflict is resolved, the higher the likelihood of resolution success and the lower the cost. Fairness and amicable settlement of potential disputes or complaints between role-players assists to maintain a healthy relationship with role-players. The study findings revealed that mechanisms are prepared for dispute resolution in some selected municipalities. Disputes may be resolved legally or through arbitration. Certain selected municipalities still encounter the predicament of resolving conflicts in arrangements where participation is merely based on goodwill. As emphasised by Malhotra & Lumineau (2011), the prospect for continued collaboration would be reduced where conflict control mechanisms undermine goodwill-based trust.

#### **7.5.10 Mechanism to promote accountability**

Bovens (2006:9) provides a more discernible definition of accountability as the “relationship between a stakeholder and a forum where stakeholders are obliged to explain or justify their conduct, the forum can pose questions and pass judgement, and the stakeholder may

encounter consequences”. There is a reversible nexus relationship between accountability and institutional arrangement in LED matters. A constituted institutional arrangement promotes accountability, enhancing the credibility of institutional arrangement. Accountability is promoted in an institutional arrangement to guarantee balanced stakeholder interests in a manner that guide against undue dominance but promote participation through open engagement and dialogue for knowledge exchange, negotiation and methods improvement (Jackson School Task Force, 2012:12).

Accountability indicates the circumstances where the role-players in institutional arrangement for LED own an allegiance of good conduct to the entire arrangement. The study revealed a mechanism prepared to promote accountability, though there are still some divergences that should be addressed, specifically concerning the role-players taking joint ownership of problem definition and the applied strategies for dealing with these problems (Sørensen & Torfing, 2012). The findings revealed that the municipalities employ service level or memorandum of agreement to promote shared accountability. Provided that the involvement of some role-players in the process is voluntary, the question is directed: To what point can one legally enforce adherence with this type of agreement?

#### **7.5.11 Attainment of perceived benefits**

The fundamental reasons that warrant collaboration was extensively maintained in the conceptual framework of this study in various terms. While Emerson, et al. (2012) articulated it concerning: “Consequential incentives, Independence and uncertainty”, some collaboration theorists and scholars centre their arguments on the “perceived collaboration benefits” (Ansell & Gash, 2008; Chen, 2010; Mattessich & Monsey, 1992; Mattessich, et al., 2001; Olson, et al., 2011; Raišienė, 2012). For collaboration to be successful as maintained by Olson, et al. (2011:s11), it should provide valued benefits to both the stakeholders' organisations and the represented major stakeholders.

The study revealed a mixed result concerning the performance of the institutional arrangements, mainly when it is to be evaluated as a feature of the perceived benefits to stakeholders. While some arrangements are achieving good outcomes in some of the six municipalities, others still need to progress. In this respect, the study established a case of

good practice in MBM and TM. The study revealed that the LED unit in TM was at a time applauded by the community for excellent performance. Situations differed in SM, KM and Oudtshoorn. The business and the civil society study participants were dissatisfied with the performance of the institutional arrangements within their towns concerning their perceived benefits.

## **7.6 INTERGOVERNMENTAL RELATIONS (IGRS)**

The theory and practice of IGR is based on the principle of cooperation between the three spheres of government in South Africa. This necessitates analysis and alignment of the various functions and obligations of multi-actors (state and non-state) into future strategic objectives. IGR structures were established at various levels of government (National, provincial and local level) as a catalyst to drive cooperation and collaboration between spheres of government and to ensure that developmental outcomes and results are achieved. The IGR structures comprised consultative intergovernmental fora at the various sphere of the government. Principally, a presidential coordinating committee at national, provincial intergovernmental forum at a provincial level; DIF and inter-municipal IGR fora at a local government level are platforms to champion the IGR objectives.

The study aimed to assess the general compliance relating to the functionality of the structures regarding IGRFA (DPLG, 2005a) provisions. The substantive compliance focused on whether the IGR structures ideally promote the object of intergovernmental relations as displayed in the Act. The concerns they deliberate on and the impact which the deliberations in the IGR structure have on LED are regarded. The study results indicate several factors established to affect the effectiveness of IGR in the selected six municipalities. These factors fall under the following thematic areas:

- perceived support levels
- monitoring and reporting
- issues of implementation
- exogenous challenge
- roles and responsibilities

These findings are further discussed below.

### **7.6.1 Perceived support levels**

Provided the statutory provisions of IGRFA, the provincial and the DMs have the statutory mandate to provide support to local municipalities. In LED matters, the success of IGRs could be ascribed as a function of the level of support rendered to sub-national spheres of government, specifically the local municipalities. This study established that the six municipalities receive non-financial support from the provincial and DMs. The support was established as inadequate and not always received on time. This challenge was indicated across the six selected municipalities, with MBM and OM as the only exceptions. The study findings corroborate with findings by Montingoe (2012:216) that municipalities do not receive adequate intergovernmental support to foster both their developmental and statutory mandates.

### **7.6.2 Monitoring and reporting**

Monitoring the implementation of policy and legislation could enhance the coherence of an effective government. The establishment of IGR structures regarding consultative fora is not only to foster cooperative relationships but to promote coordination and encourage the spirit of monitoring and reporting within the spheres of government. The study findings revealed a myriad of concerns regarding monitoring and reporting on IGR performance such as fragmentation of monitoring activities, lack of budget for monitoring, low incentive to monitor and report on performance and possible ambiguities concerning processes required to monitor and report on IGR performance. The fragmented approach of data collection in matters of IGR, especially from local government consequentially established doubts as to processes required to monitor and report on outcomes. This could explain the reason of low incentive for monitoring and reporting on performance when combined with the concern of capacity/resources constraints encountered by the municipalities. These constraints limit their capability to finance the operations of monitoring and reporting of IGR performance.

The study results confirm two separate commission studies on municipalities. Chetty (2009) and Kollapen, et al. (2017) identified the uncompromised approach of data collection

from local government, a lack of alignment in the data reporting period, fragmented data collection process and utilisation, ambiguities, and duplication of data, resulted in the poor quality of returned data. The challenge is how best to assess the efficiency of IGR systems concerning their effectiveness.

The prevailing theory of this study, coherent with government's outcome approach, is to diverge from assessing compliance to a more outcomes approach whereby the focus would be on developing outcomes-based framework/model that could be employed to assess whether IGR structures achieve their legislative mandate concerning promoting cooperation between spheres of government, aimed at ensuring that developmental outcomes and results are achieved

### **7.6.3 Issues of implementation**

IGRFA of 2005 establishes the framework to promote and facilitate intergovernmental relations, providing for mechanisms and procedures to support sub-national spheres of government (DPLG, 2005a). The study findings revealed that the intergovernmental system failed to support local government attributable to several divergences/gaps in its implementation processes. These divergences/gaps are: bottlenecks operations; silo approach of IGR implementation; fragmented and uncoordinated approach; poor attendance and commitment; a lack of governmental relations practitioners in municipalities, a lack of effective communication and follow-up to commitments; poorly and non-inclusive drafted agenda and a lack of documentation of proceedings.

Employing 'implementation protocol' in IGR practice where the implementation of a policy or the provision of a service depends on the participation of diverse levels of government, could impede development because of its bureaucratic process to agree on projects. The development agreement (implementation protocol) is required to guide and enforce coordination, funding, and quality management of projects to be implemented. It remains to be observed whether the implementation protocol would contribute to a more coordinated and enhanced service delivery. Gordhan & Swartbooi (2010) maintain that ample efforts were directed to institutionalise cooperative governance through the framework of intergovernmental relations. The reality is that an immediate need exists to

ensure progress beyond the statutory pronouncements for more active involvement of the provinces and local governments in economic matters.

Another major difficulty revealed in this study is the concern of a silo approach, which could proliferate the concerns of fragmented and uncoordinated approach to IGR practices. Poor attendance and commitments at IGR forum meetings were established as challenges hindering the effective implementation of IGR at various levels, specifically at municipal and provincial IGR. The study findings confirm two similar reports, (IDASA, 2008 and Robino, 2009) endorsing that IGR structures were ineffective in stimulating cooperation and coordination in government. According to Robino (2009), a reason for the lack of coordination and coherence amongst various government spheres, was a lack of commitment from both departmental and provincial government. Only junior staff members from these institutions attend the intergovernmental relations forum meetings at a local level. This heightens the lack of harmonisation across the policy sectors amongst the national policies, the PGDS and the IDPs. This heightens the lack of harmonisation between the national plans, the PGDS and the IDPs in all government spheres. As a result of a silo approach, communication flow between the municipalities and the various spheres of government was hampered. Governmental relations practitioners lack in municipalities to leverage this divergence.

Another concern relates to the drafting of agendas. The study established that agenda in most of the fora were poorly drafted and non-inclusive of inputs from main stakeholders. The study findings confirmed the conclusion of Dlanjwa (2013:48) that the approach adopted by the Premier's fora still lacks effectiveness in incorporating and bringing on board municipal contributions and discussions directed by the interest of the local government in the province. Lastly, the record-keeping of proceedings in the form of minutes of the meeting was established as incompetently conducted in IGR practices within the municipalities as meeting were, in most cases not documented.

#### **7.6.4 Exogenous challenge**

The study focused on the environment where the IGR structures are expected to function. It is a broad environment comprising several collaborating factors, influencing the

outcomes of IGR practices. The study results revealed the following factors: political and administrative instability and as well as the political will. The selected municipalities were potentially susceptible to this phenomenon. Each of these variables is discussed below.

The leadership, strategy, and mechanism of IGR require a high degree of consistency for it to succeed. The success of IGR structures is driven by the culture of the leaders in the structure and their willingness to render the structure to succeed. As contained in a synthesis report prepared for the Department of CoGTA (2014a) on the assessment of the functionality of national and provincial IGR structures, a consistent need exists for a collaborative leadership style to provide the enabling environment for a functional IGR to achieve its objectives. A functional IGR structure requires an administratively and technically competent secretariat. Although the latter was a requirement stipulated by IGRFA to provide support to each IGR structure, this research indicated that the level of support provided by the secretariat to IGR structures in the municipalities is inadequate and always rendered late. De Villiers (2012) mandates that the efficient functioning of IGR institutions depends on varied factors, such as political commitments, seniority of the person attending trainings and follow-up of decisions. The IGRA is a legal framework that relies on human interactions to ensure maximum performance (De Villiers, 2012).

#### **7.6.5 Clarity of roles and responsibilities**

A functional IGR structure requires the exigence for defined roles and responsibilities of the role-players at the various spheres of the government. The role-players need to understand their responsibilities and have the requisite capacity to perform assigned tasks efficiently and effectively. This will ensure achieving the objectives of the intergovernmental relations. The study established that the design and practice are ambiguous of IGR as they relate to the articulation of roles and responsibilities of the three spheres of government in the IGR structures. The research indicated that this should be defined even where an overlap may exist, avoiding duplication of duties and to increase accountability for their actions. As maintained in the study, not one person can be justifiably held responsible for failure to comply with the *bogus* responsibilities.

The concerns of inconsistency approach of assigning responsibilities to role-players in IGR structures, (specifically municipalities) were noted in extant studies. IDASA (2004) perceived that these inconsistencies in the legal and regulatory framework presents the problem of unclarity in assigning roles and responsibilities to municipalities. The report added that municipalities are often expected to take full responsibilities for a delegated function, which could increase their responsibilities without an accompanying increase in revenue-raising capacity (IDASA, 2004:6). In a related study, Robino (2009) observes a lack of clear delineation of responsibilities amongst the three spheres of government, which could result in poor delivery.

Derichs & Einfeldt (2006) argued in their study the uncertainties as it relates to the inconsistency nature of function transfer, where a function that lies within one sphere of government is made to be carried by another through assignments, delegations or agency agreements. Such practice may render municipal planning and budgeting more difficult. A report on intergovernmental relations and the local government fiscal framework (National Treasury, 2011) laments on the prevailing division of responsibilities between district and local municipalities, which could create coordination difficulties, while undermining accountability for service delivery. National and provincial departments often opt to delegate functions through agency arrangement as it enables them to retain control of the budget while devolving responsibility for implementation to the municipality. The challenge is that this separation of funding and implementation responsibilities often results in unfunded mandates imposed on municipalities.

## **7.7 MONITORING AND EVALUATION**

The desirability to assess, monitor and control the collective system management for addressing socio-economic concerns as it relates to LED is fundamental for the system sustainability. The study results indicated a certain degree of performance monitoring and reporting conducted to measure the perceived outcomes of LED institutional arrangements in some of the six municipalities, such as in MBM and HM. There were still cases of lapses established in these municipalities concerning poor coordination of monitoring and reporting. A related study by Mello (2018) suggests that one of the primary reasons why municipalities in South Africa were failing to deliver on their constitutional mandate, was

ineffective monitoring of intervention and poor management of intervention after the transition.

The scholarship of De Coning & Rabie (2014) lamented on some methodologies of the Government-Wide M&E (GWM&E) system proliferated in government CoGTA and municipalities. This accords undue emphasis to descriptive information and outputs measurement rather than information about actual outcomes. As maintained in the conceptual framework of this study, Eun (2010) suggest that to ensure stakeholders responsibilities are performance-oriented, the close monitoring of collaborative processes should be conducted through procedural control through conversation and communication. It was also maintained in this study that coordinating and monitoring collaborative efforts requires formalised institutional arrangements characterised with clear policies, structures and procedures (Austin, 2000; Ales, et al., 2011; Roberts, et al., 2017). Certain rudiments for effective M&E of intervention lack in some of the six selected municipalities.

Provided the latest report on the performance of South African municipalities for the 2017-18 financial year, the Auditor General of South Africa laments on the undesirable deteriorating state of municipalities in their accountability for financial and performance management (National Treasury, 2018). Surprisingly, only 8% (18 municipalities) out of a total of 257 surveyed municipalities, received a clean audit. As emphasised in the report, performance management is essential as it describes the achieved progress on commitments to the community on services and development through the IDP for the 5-year term of the administration. An audit was awarded to municipalities with credible and disciplined records. The AG's audit established flaws in the municipality's performance report was mostly attributable to poor planning, management, and reporting of performance (National Treasury, 2018). These difficulties do not augur well for achieving commitments contained in IDPs.

Stemming from the 2017-18 report, only two from the six selected municipalities (SM and HM) obtained a clean audit report. Although MBM and TM obtained an unqualified report with findings during the year under review, its previous report was astonishing with an unqualified report with no findings. During the same year under review, TM bagged a report of unqualified with findings. Although the audit for KM could not be finalised at the legislated

date, as mentioned in the audit report, KM and OM performance reports hovered between qualified and unqualified for the past five years. These reports confirm the study findings, related to the concern of inadequate coordination of M&E in some of the six selected municipalities.

## **7.8 PULL AND PUSH FACTORS**

This section of the study examined the various pull and push factors responsible for the successes and failures of cooperative governance for LED in the six selected municipalities. The key findings emanating from this study fall into the following thematic areas, indicating legitimacy of purpose; governance; communication; level of trust; partner/role-player's characteristics; partner/role-player's learning outcomes; leadership and motivation. Each of these themes are further discussed below in detail.

### **7.8.1 Legitimacy of purpose**

It is evident from the conceptual framework of this study that legitimacy of purpose as it relates to clarity of visions and shared values is a major determinant to the success of collaborative/cooperative governance endeavours. Having a legitimate sense of purpose is an essential requirement for building a collaborative culture. Legitimacy could be conceptualised as a generalised perception that the actions of a collaborating entity are desirable, proper, or within some system of norms, beliefs, and definitions (O'Leary & Vij, 2012:514). Put differently, a sense of purpose assists the role-players to feel connected to the collaboration and assists to ensure that role-players present their best because they want to, not because they need to. Analytically, it suffices to learn about the source of the sense of purpose. Is it what collaboration has to offer, or is it something the role-players must bring with them? The study concluded on both answers.

Creating a sense of purpose entails the fundamentality of self-awareness concerning role-players knowing who they are, what they care about and who they want to become. This is not something any collaboration can provide. Collaboration can assist a sense of purpose by focusing on two aspects such as, connecting work of the role-players as articulated in their roles and responsibilities to the reason that the collaboration exists, and allowing role-players to observe the direct impact of their work. The legitimacy of collaborative purpose

across the six municipalities was established as fundamentally in the following two dynamics: substantive developmental goals, and clarity of purpose. The discussions on each of these factors is presented below.

#### **7.8.1.1 Substantive developmental goals**

The study findings in this context revealed across the six selected municipalities that the role-players have overwhelmingly acknowledged the fundamental importance of substantive developmental goals to collaborative success. As maintained in the conceptual framework of this study, the shared vision developed at the start of the collaboration, should be constructed on concrete and attainable goals and strategies aligned with the mission, strategies and values of the stakeholders. The study established that the role-players believed in their municipalities' developmental goals and shared purpose to improve the socio-economic conditions of individuals within the municipalities. This shared purpose catalyses them to collaborate in realising the communal good. About setting agenda for collaborative platform, the study established that their agenda lacks developmental issues. This may significantly reduce the sustainability of collaborative momentum that may herald the presence of clear and substantive development goals within municipalities.

#### **7.8.1.2 Clarity of purpose**

The purpose for creating collaboration was frequently maintained as an essential element to ensure collaboration functioning (Eden & Huxham, 2001). Besides the exigence for collaboration to have concrete goals and shared vision (Mattessich & Monsey, 1992; Mattessich, et al., 2001), it must also be characterised by a strong sense of mission and clarity of purpose (Coe, 1998; Hardy, et al., 1992). Regarding the concern of purpose clarity, the results from the study again revealed that some of the six selected municipalities engaged in clear developmental drives and strategies. This could influence the level of buy-in from the role-players/stakeholders. Certain municipalities are progressing more than others.

## 7.8.2 Leadership characteristics

Leadership was identified in the literature of this study as one of the key determinants of effective collaboration. The study contended that effective leadership in the collaboration environment must have certain leadership attributes or characteristics. Cepiku (2014) identifies the fundamentality of leadership style as one of the endogenous factors influencing the performance of network or collaboration/cooperative governance in this context. Collaborative leadership was conceived in some scholarship in a related variety interpretation that epitomise interpersonal leadership styles and processes, characterised by inspirational, supportive, communicative and fostering traits (Agranoff & McGuire, 2001; Crosby & Bryson, 2005). These collaboration leadership features undermined the encompassing role desired from a collaboration leader. A broader concept of collaboration leader was advanced by Vangen, et al. (2016:7), indicating that leadership in this context centres on the mechanism *for making things happen* where the focal point is no longer on leadership delivered by individual only.

Researchers (Ospina & Sorenson, 2006; Ospina & Saz-Carranza, 2010) galvanised the latter attribute by stating that leadership in a network concern collective achievement rather than one man's property. What kind of leadership attributes are desirable in a collaborative environment aimed at improving system management and responsiveness to socio-economic concerns within the six selected municipalities in the context? The study findings revealed some fundamental attributes in the following thematic areas: facilitation related attributes; knowledge related attributes, and related behavioural attributes. Each finding is further discussed below.

### 7.8.2.1 *Facilitation related attributes*

The study participants overwhelmingly endorsed certain facilitation enhancement and its related skills as *must have (sought-after) attributes* for collaborative leaders. The study established the following facilitation attributes as useful: listening skills; facilitating skills; connecting skills; championing skills; strong negotiation skills; relationship and team-building capabilities; influencing skills. The study findings were consonant with Huxham &

Vangen (1996; 2005; 2013) concerning leadership features emphasising facilitation and a focus on interactions as strong qualities for collaboration and leadership characteristics.

### **7.8.2.2 Knowledge related attributes**

The cognitive capacity of collaborative leaders concerning their level of critical theory and reasoning was established in the study to be a force to be considered as another determining leadership attribute for effective collaboration. These knowledge related factors are understanding mandates and other institutions; economic development know-how; local knowledge of the environment; good analysis and decision-making. The study findings corroborate with the hypothesis that achieving collaborative advantage is a product of leadership that conceptualise and construct relational connections and management approaches to achieve desirable synergies for change (Keast & Mandell, 2013:42). It can be deduced that collaborative leaders require the cognitive ability to conceptualise the requirements of their mandates and contextualise it with local dynamics to produced enhanced collaborative leadership and collaboration perceived outcomes.

### **7.8.2.3 Behavioural attributes**

The study established certain behavioural qualities as fundamentally desirable to effective leadership for a collaboration terrain. Such behavioural powered attributes are integrity; honesty and openness; flexibility; compliance to legislation and institutional arrangement; respects and non-autocratic behaviour. Bolden (2004) maintains that the significant nature of social relations in leadership is based on the notion that leadership is more of an interpersonal process. Keast & Mandell (2013) contest that emergent leadership is presented as an interaction of a group of individuals, rather than arising from an individualistic phenomenon or context. This galvanises the imperativeness of behavioural traits required for collaborative leadership to enhance the interpersonal aspects of collaboration.

The interview data also revealed the perceived leadership role of the municipality in a collaborative regime where the municipality plays the role of a facilitator, ensuring the balance of powers between the role-players. To this end, one may simply ask: Has there been a balance of powers between municipality and role-players in a collaborative

endeavour, specifically LED and its related fora? The concern of power imbalance was established as prevalent across the six selected municipalities, as aforementioned. In a related development, most participants echoed that the success of any collaboration is a function of the leader's political and administrative personalities.

### **7.8.3 Governance structure**

It can be maintained that inviting role-players to participate in spaces where decisions were already made, while lacking substantive local development concerns to deliberate upon, may result in role-players losing confidence in local government and collaborative arrangements. An institution should respond effectively to socio-economic challenges within the municipality. From the literature of this study, a good combination of governance structures could indicate success for collaborative efforts. The governance structure described as network management, is observed as a key driver of network interaction and network performance (Kickert, et al., 1997). Cepiku & Giordano (2014) describe it as the structural arrangement/institutional design and the processes of network management strategies, influencing network performance.

According to Provan & Kenis (2008), the structural design of a network could result in a stronger or weaker performance depending on how appropriate they are to the network characteristics. The network strategy employed often characterised the network/collaboration management processes and can result in improved collaborative outcomes (Klijn, et al., 2010a; McGuire 2002, Kickert, et al., 1997). The study findings revealed the following fundamental elements of cooperative/collaborative governance structure as an essential pull and push factors for the success of LED and cooperative governance within the six selected municipalities: operational policies; ground rules; accountability; decision-making process, and conflicts resolution. The discussion on each of these elements are presented below.

#### **7.8.3.1 Operational policies**

Working policies governing the collaborative process were identified in the study as a key requirement for an effective governance collaboration structure, aimed at improving system management for collective decision-making process on matters of development within the

municipalities. These policies are becoming fundamental as determining factors for effective collaboration, especially when providing the effect to the policy principles of participatory development. According to Agranoff (2012), the multiple partnering organisations need to actively articulate and execute policies and processes. The study identified flaws in some municipalities concerning the implementation of these policies/strategies, especially concerning establishing meeting agenda. Since the operational policies/implementation strategies of municipalities were derived from the national legal policy and framework documents, the study established it as outdated. The continued use of these operational policies/implementation strategies within the six selected municipalities to resolve contemporary development is a concern.

### **7.8.3.2 Ground rules**

The conceptual framework of the study established the imperativeness of ground rules in collaboration. The ground-rule contains the do and do nots, aimed at regulating the behavioural conduct of role-players in multi-stakeholders' engagements. The ground rules should amongst other things, define the roles and responsibilities of key role-players, institutional structure and how meetings and reporting need to be conducted. McGuire (2002); Koppenjan & Klijn (2013) describe ground rules as the rules of the game or process rules as an added value, which assists in creating conditions enhancing interactions in a network to achieve good outcomes. These studies demonstrated the fundamentality of the ground rules, collaborating consistently with the research results.

Accordingly, the study findings across the six municipalities and the spectrum of role-players (municipality, private and civil society), revealed that role-players endorsed the catalytic contribution of well-established ground rules to the success of the collaborative arrangement, particularly where roles and responsibilities of role-players were articulated. Most municipalities employ specific mechanism, such as TOR, MoU or partnership agreements. Others do not have any formal ground rules. Concerning the question of articulation of roles and responsibilities in the ground rules, the study established that several municipalities were found wanting. This may be the reason for the mediocre performance of some municipalities in LED fora and other associated institutional arrangements.

### **7.8.3.3 Accountability**

From the study's conceptual framework, it is evident that accountability is one of the factors considered to be a powerful determinant of successful collaboration. The study findings indicated that formidable ground rules which deeply articulate and incorporate the respective roles and responsibilities of the participating role-players and accurate reporting and ongoing interaction with key players, assists in promoting transparency in collaborative or cooperative governance. The study maintained in the conceptual framework that collaborative governance accountability improves when the decision-making process is open and inclusive. Dialogue consistently addresses and represents the interests and desires of individuals in the locality. They are the primary beneficiaries of the goods and services produced through shared governance.

The fairer the process of collecting input from various parties, the more constructive the relationship becomes in achieving a shared goal. To buttress the aforementioned assertions with the scholarship of Pethe, et al. (2011:195 ), the scholars maintained that such a self-organising system would require the creation of a space and channels for communication and feedbacks between agents within the said organisations and citizens as the ultimate beneficiaries of any improvement in the system. The question is: Did these municipalities have in place the appropriate mechanisms for credible reporting and continuous engagement? More details are provided later in the context of communication.

### **7.8.3.4 Decision-making process**

As the literature indicated, the way of decisions at any collective arrangement is critically important to its success. The study revealed that most respondents recognised the imperatives of shared power and inclusiveness as a determinant of collaborative success. The decision-making process as an interaction system constituting an essential element of collaboration (Koppenjan & Klijn, 2013). The study identified lapses in decision-making powers in the selected six municipalities, as the decision-making powers were not usually equitably shared between the role-players and the concerns of inclusiveness. This sentiment was equally shared by the non-state role-players, especially the civil society. When decision-making power remains concentrated in municipalities, and other players

are expected to meet their obligations to achieve the desired goals, the apprehensive attitude of non-state actors towards collaborative agreements increased. That would also expose a 'dark side' concerning growing inequality and a lack of internal democracy and accountability (O'Toole & Meier, 2004; Sørensen & Torfing, 2009).

#### **7.8.3.5 Conflicts resolution mechanism**

The emergence of a second generation of network studies emphasised that networks are inherently full of conflict and tensions (Provan & Kenis, 2008), deficient and may produce unfavourable outcomes (Raab & Kenis, 2009:198). The concern of resolving emerging conflicts between collaborating role-players are conveyed in this context. The study findings indicated no formal mechanism in place in municipalities to resolve emerging conflicts between role-players in collaborative arrangements, especially in LED fora, where participation/representation is based on voluntary will. This does not dilute or negate the importance of conflict management in collaborative endeavours.

#### **7.8.4 Communication**

Another cogent determinant of effective collaboration is communication. Communication with role-players in collaborations should be conducted regularly, efficient, and effective to achieve its objectives. Various communication resources could be employed to communicate with the role-players depending on the context of realities. The study findings revealed that the six municipalities embraced the importance of maintaining a good stakeholder relationship through effective communication for improved collaborative outcomes. Each municipality employed a combination of various communication resources for this purpose such as, newsletters, emails, print media, electronic media, fact sheets and meetings. None of the selected municipalities was in possession of a formalised communication plan. The findings suggested employing a communication plan.

#### **7.8.5 Role-players' characteristics**

In this context, the study pursued to examine the importance of role-player characteristics to the adequate performance of LED-based cooperative governance. This includes their strengths and capabilities to contribute to achieving municipal development goals in the

selected six municipalities. The study findings revealed the presence of a variety of skills and expertise within the local community that can contribute to their local development goals through collaborative/cooperative governance. This research identified a value to hold the right composition of partners in a collaboration. The study findings support the argument of O'Leary & Vij (2012) that membership in a collaboration should include individuals and organisations who can contribute to accomplishing the collaboration's goals. Capacity, such as skills, resources, expertise, experience, knowledge and cultural background, and values, is, therefore, becoming relevant in this context.

Given the perspectives of resource dependence, it was maintained that organisations enter partnership alliances where partners can demonstrate commitment through, amongst other things, the contribution of resources (Lewis, et al., 2017:3). It should be maintained that caution is needed to ensure that the capacity of alliance partners to contribute or contributions to the alliance, is complementary. The study suggests that where partner resource capacity is disproportionate, such practice could create distortions in power and authorities balance amongst role-players. Those with more resources wield more power and authority to themselves to the detriment of the others from a less privileged background. However, this does not dispel an all-inclusive participatory local governance of development in municipalities. Liu & Kuo (2006:298) contend that where the complementarity of resources is built up between partners, a mutual complementary effect may be created to solve the challenge of insufficient partners' resources.

#### **7.8.6 Role-players' learning outcomes**

Provided the conceptual framework of this study, role-player's learning outcomes derived through involvement in collaborations could generate more information and knowledge, employed to develop better-localised solution to societal challenges. The study findings revealed that participants acknowledged that based on the fora, there was an exchange of knowledge and information through collaboration to enhance their understanding. The involvement of municipalities, private and civil society in collaboration (described in this context as cooperative governance), enhances the exchange of information in developing enriched knowledge to improve system management and responsiveness to socio-economic concerns within the municipalities.

The study findings corroborated with the findings of Gazley & Brudney (2007) who indicate that previous collaborations experience between organisations assists building knowledge towards the effective development and system management of the relationship. From the perspective of an organisational learning theory, the primary motive of collaboration is learning and joint knowledge production, which entails participants' learning (accumulation of knowledge) and experience that may contribute to innovation and improved economic performance in subsequent collaborative initiatives. The extent of learning outcomes (knowledge capital) generated because of collaboration, is a function of the efficiency of the collaboration.

#### **7.8.7 Level of trust**

From the conceptual framework of the study, trust as an interactional variable, constituting one of the determinants for the success of a collaboration. It was widely maintained in the literature that trust affects collaborative culture and collaborative culture influences trust Kucharska (2017:no pagination). San Martín-Rodríguez, et al. (2005) established on the determinants of collaboration in the healthcare team, the success of the initiative to develop and consolidate collaborative practices amongst teams' members depends on factors based on, amongst other things, interpersonal processes or interactional determinants, such as mutual trust and respect.

This study established that collaborators may be eager to cooperate in a situation where they assume mutual good intentions based on reciprocity of trust and respect to boost their confidence on the expected performance outcomes of the initiative (Klijn, et al., 2010b). The study findings relating to the current level of trust within the municipalities, were mixed. The level of trust in the six municipalities were established as in dire need of an improvement, apart from TM and MBM, holding a good working relationship and understanding between role-players. This can also assist in galvanising the reasons why the two municipalities succeed in LED-based collaborations.

#### **7.8.8 Motivation**

The conceptual framework of this study maintained that collaborations are powered by a shared purpose amongst the stakeholders to address societal challenges that cannot be

solved single-handedly by one stakeholder/role-player. The organisation collaborates seeking to achieve their organisational benefits. It can be maintained that an overarching reason to collaborate exists; this could also be motivationally related. The achievement or failure to achieve these organisational benefits determines the strength and weakness for future collaboration. Although there may be several reasons for an organisation to join a network, the trade-off between the resources invested and the benefits gained should be positive for all network members (Cepiku & Giordano, 2014). The study findings revealed that the role-players within the six municipalities acquire motivation to participate in LED-powered cooperative governance, based on the premise of attaining perceived organisational benefits, such as organisational benefits derived from resource pooling (resource/capacity benefits) and business promotion. This sentiment was shared across the spectrum of the role-players, the state and non-state roles.

#### **7.8.8.1    *Resource/capacity benefits***

As aforementioned, resource or capacity benefits constitute certain types of motivation laden benefits, notably, an enhanced capacity to be derived from the pooling of resources by participating organisations, improved capabilities from sharing of good practices, knowledge and information (enhanced role-player/partner's learning outcome) and early alerts on potential concerns possibly causing dissatisfaction detected timeously to prevent a surge.

#### **7.8.8.2    *Business promotion***

The study established that some role-players, specifically from the business sector and the civil society across the six municipalities, are concerned about the ability of collaborative governance to establish solutions concerning red tape in the structure and focus on real, local concerns to promote business operations within their municipalities. They stated they might be encouraged to participate if the red tape can be eliminated from the process.

## **7.9 PROPOSED NORMATIVE MODEL/Framework FOR LOCAL ECONOMIC DEVELOPMENT AND COOPERATIVE GOVERNANCE**

The study aimed to contribute to a normative M&E framework by enhancing the option for employing model in guiding the design, implementation, and assessment of LED-based cooperative governance. The fundamental purpose of this section of the study was to present a proposed nomadic model/framework for LED-based cooperative governance practices of selected municipalities in the Western Cape, South Africa. The proposed framework pursued to reinforced and galvanise the utility of the outcomes-based model for measuring cooperative governance performance in LED matters. The conceptual framework discussed in the previous chapters (Chapter 1 to 4) guided the development of the proposed model/framework.

The proposed model/framework was derived from the findings, obtained from various sources through multiple data collection instruments, regarding, documentary reviews, focused group discussion and individual interviews with key informants/stakeholders (municipality, private and civil society) within the selected municipalities. The evolved proposed normative model was compiled and based on the comments, objectives, and anticipated outcomes of LED-based cooperative governance arrangements of selected six municipalities examined in the study. Reviews of several models on determinants of collaborative performance were discussed in the literature review. A multidimensional conceptual framework for determining collaborative/cooperative governance performance (Figure 8.1), emerging from these reviews, provided the basis for the proposed normative model. This approach involved the designing of a model, which illustrates the relationships between the various factors and the perceived results of the collective undertaking (LED-based cooperative government arrangement of comparable municipalities in the Western Cape) as indicated in Figure 7.1 below.

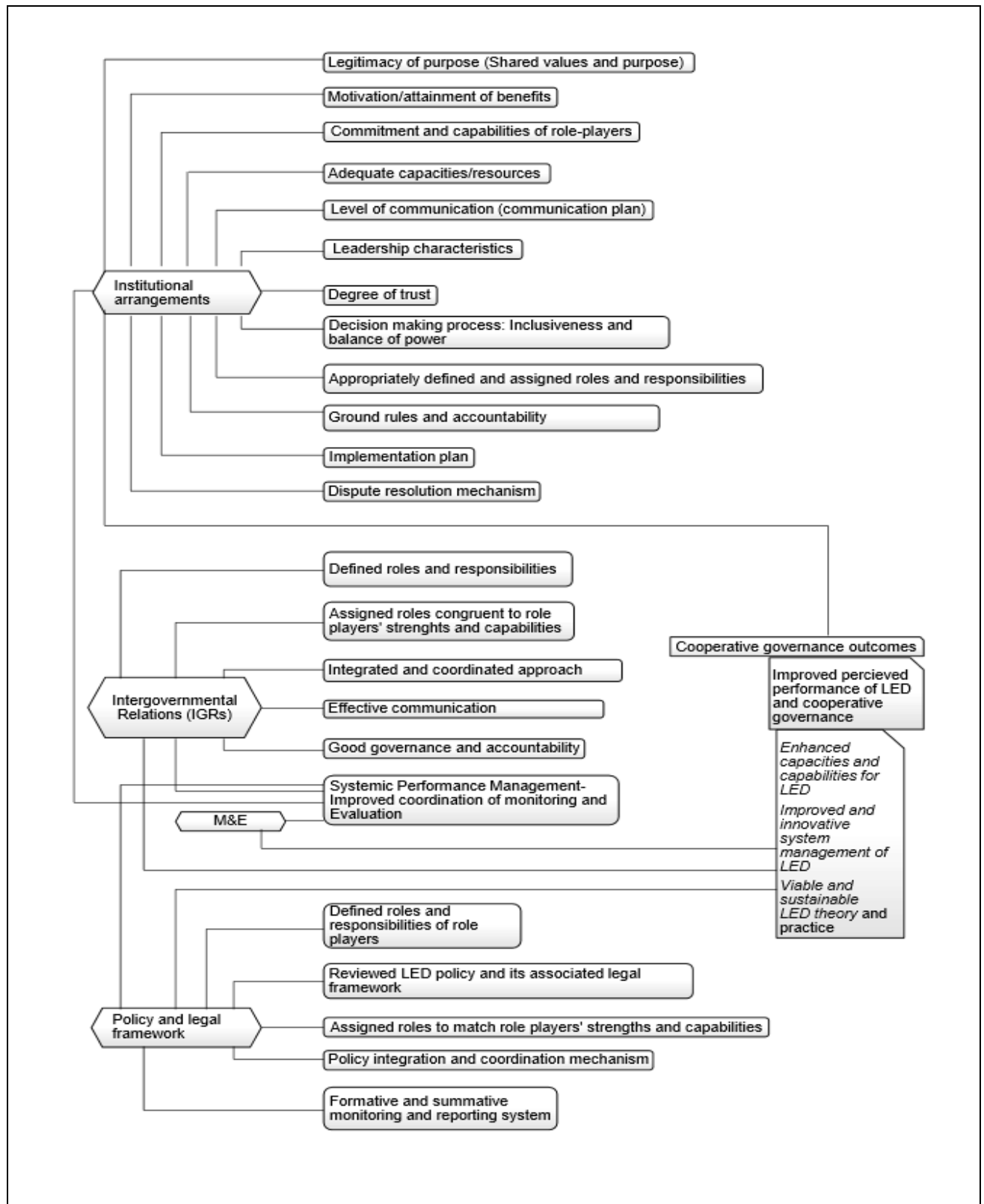


Figure 7.1: Proposed normative framework/model for LED and cooperative governance

### 7.9.1 Description of the proposed normative model/frameworks

Provided the emerged data from the study, the study considered it appropriate to develop a normative framework or model that could be used to examine the cooperative governance of LED in municipalities. The evolved framework is based on the literature reviews, combined with the views and experiences of key role-players in LED and cooperative governance in the six selected municipalities. The study findings were carefully considered to obtain key factors to be considered in the design, implementation and assessment of performance outcomes in LED and cooperative governance in municipalities, especially within the six selected municipalities. These factors were grouped into four main themes, namely: policy and legal framework; institutional arrangements; intergovernmental relations and M&E.

As indicated in Figure 7.1 above, the four themes with corresponding factors (23) are interlinked in a pattern that indicates their relationships. The combined interaction of these factors heralds the perceived LED and cooperative governance outcome. Perceived outcomes, such as improved capacities and capabilities for LED, enhanced an innovative system management of LED, viable and sustainable LED theory and practice.

#### 7.9.1.1 *Policy and legal framework.*

The following factors should be considered in achieving the perceived outcomes of cooperative governance in LED as it relates to policy and legal guidelines:

- reviewed LED policy and its associated legal framework
- defined the roles and responsibilities of role-players
- assign roles to match the role-player's strength and capabilities
- policy integration and coordination mechanism (promotion of policy coordination and better performance of policy)
- formative and summative monitoring and reporting system

### ***Reviewed local economic development policy and its associated legal framework***

The study established LED policy and its associated legal framework as outdated in encountering the realities and complexities of contemporary local government development concerns. The LED national policy structure should be reviewed to reflect the complexities of contemporary development concerns in a global and local context. Therefore, a reviewed policy framework for LED is one of the key determinants of success in collaborative governance for LED.

### ***Defined roles and responsibilities of role-players***

The policy guidelines should articulate the roles and responsibilities of role-players. This assist in mitigating concerns of laissez-faire approach commonly associated with implementation and thus promote accountability amongst role-players.

### ***Assigned roles to match role-player's strength and capabilities***

The policy documents should ensure that assigned roles and responsibilities are congruent/compatible with the role-player's strengths and capabilities. This would assist in minimising problems of incapacity, which often lead to poor implementation, as observed in the study.

### ***Policy integration and coordination mechanism***

Reported cases of fractured and uncoordinated approach could be reduced by introducing measures aimed at facilitating policy alignment and collaboration towards achieving better efficiency.

### ***Formative and summative monitoring and reporting system***

There should be a mechanism prepared for policy evaluation to ascertain its ability to achieve desired objectives. This can be conducted by employing monitoring and reporting tools involving formative and summative assessment

### **7.9.1.2 Institutional arrangements**

The study established that, for LED to be effective, a need exists for functional institutional arrangements within municipalities that can transform policies and strategies into meaningful interventions in conjunction with all relevant stakeholders. The study identified some principal factors to be considered in designing and implementing institutional arrangements to enhance efficiency and effectiveness in collaborative governance for LED. These factors are as follows:

- the legitimacy of purpose (shared values and purpose)
- motivation/attainment of benefits
- commitment and capabilities of role-players
- adequate capacities/resources
- level of communication (communication plan)
- leadership characteristics
- degree of trust
- decision-making process: inclusiveness and balance of power
- ground rules and accountability
- appropriately defined and assigned roles and responsibilities
- implementation plan
- dispute resolution mechanism

#### ***The legitimacy of purpose (Shared values and purpose)***

An essential requirement for building a collaborative culture is the presence of a legitimate sense of purpose. The legitimacy of purpose as it applies to shared values and mission transparency are parameters used by role-players/stakeholders to measure the ability of collaboration to achieve perceived outcomes.

#### ***Motivation/attainment of benefits***

The study established that effective collaboration pursues, amongst other things, to achieve municipal development goals, improve organisational learning and increase interaction between role-players/stakeholders. The study also established that role-players

were interested in participating in a collaborative arrangement, based on perceived benefits. Put simply, the need or the rationale for collaborating as defined by collaboration, provided an impetus to the participation/participation of role-players in collaboration.

### ***Commitment and capabilities of role-players***

The fundamental importance of role-players' commitment and capabilities to the success of collaboration was established in the study. Effective collaboration requires role-players who are willing to commit resources, such as time, knowledge, and capital to collaborative endeavours

### ***Adequate capacities/resources***

The study identified resources/capacity constraints as a major concern for the success of LED arrangements across the six selected municipalities. The availability of adequate resources was considered as a salient variable to be considered in achieving productive collaboration in LED within the municipalities. This can be enhanced through contributions from role-players or by pooling resources from various role-players.

### ***Level of communication (communication plan)***

The study identified communication effectiveness as a fundamental factor for collaboration success, specifying the extent of communication enhancement amongst role-players. An effective communication plan is recommended. The issue of governance in collaborative structures was established as a major determinant for effective LED collaboration within the selected (six) municipalities. The collaborative governance regime can be deconstructed or analysed in this context to include leadership characteristics; definition and assignment of roles and responsibilities; Inclusiveness; level of trust; accountability; implementation plan; dispute resolution mechanism.

### ***Leadership characteristics***

The fundamental importance of facilitative leadership was established in the study as a key element in convening and steering collaborative arrangements. The collaborative process requires a good-spirited, innovative, and entrepreneurial leadership with encompassing

interest to deliver initiatives producing shared benefits through a shared system of actions. These arguments address a fundamental concern that certain facilitative skills and proficiency are required for collaborative leaders to identify, coordinate, and manage the collaborative process proactively. These are facilitative, knowledge and behavioural related attributes. Such facilitating skills emerging from this study are listening skills; enabling skills; connecting skills; championing skills; strong negotiation skills; relationship and team-building skills; and influencing skills. Another required proficiency is knowledge related attributes regarding, understanding mandates and other institutions; economic development knowledge; local knowledge of the environment; effective analytical and decision-making skills. Lastly, related behavioural attributes are required of collaboration leadership such as honesty and openness; flexibility; compliance to legislation and institutional arrangement; respects and democratic behaviour.

### ***Degree of trust***

The study indicated that trust is needed to enhance collaborative outcomes. Provided the level of uncertainties frequently associated with collaborations; therefore, a lack of trust threatens the commitment of role-players to the collaborative process.

### ***Decision-making process: Inclusivity and power balance***

The decision-making process in a collaborative arrangement can be improved through inclusiveness and equitable power-sharing amongst the role-players in the decision-making processes. A collaborative regime must be characterised by a balanced power shared by the role-players.

### ***Ground rules and accountability***

This study indicated that formidable ground rules that profoundly articulate and incorporate the respective roles and responsibilities of the role-players involved, and authentic reporting and iterative engagement with key role-players, assist to foster accountability in collaboration. A ground-rule in collaborative arrangement assists in regulating the behaviour of the role-players in the arrangement.

### ***Appropriately defined and assigned roles and responsibilities***

As already discussed in the context of policy and legal framework, roles and responsibilities of role-players should be articulated to avoid ambiguity and thus promote the coordination of performance. It is essential for role-players in collaborative arrangements to be assigned roles and responsibilities compatible with their strengths and capabilities.

### ***Implementation plan***

A need exists for an implementation plan to guide the processes and procedures of the arrangements regarding the governance structure of the institutional arrangement for LED.

### ***Dispute resolution mechanism***

Concerning governance of the arrangement, the mechanism to resolve arising conflicts in the arrangement must be established.

#### ***7.9.1.3 Intergovernmental relations (IGRs)***

IGRs aim to promote cooperation across the government's three levels. Fundamentally, one of the overarching principles underpinning IGR approach is the nature of supports to be provided to municipalities by the district, provincial and national governments. This study established across the six selected cases that municipalities received inadequate intergovernmental supports to foster developmental and statutory mandates within their municipalities. Provided the myriad of emerged concerns in this context, the following key factors were recommended for consideration in the design of resourceful IGRs aimed at providing adequate support to municipalities. These factors are:

- defined roles and responsibilities
- assigned roles congruent to role-players' strengths and capabilities
- integrated and coordinated approach
- effective communication
- effective governance and accountability

### ***Defined roles and responsibilities***

The role and responsibility of the various levels of government in IGRs need to be defined to avoid ambiguity and fragmentation of roles and responsibilities.

### ***Assigned roles congruent to role-players' strength and capabilities***

In addition to articulation of role and responsibility, delegated tasks, and duties, must match the strength and capability of the participating authority. Put simply, the one-size-fits-all approach of assigning roles and responsibilities should rescind and be replaced by a more flexible context-based approach.

### ***Integrated and coordinated approach***

An integrated and coordinated implementing approach of IGR should be considered, ensuring that responsibilities are not fragmented or duplicated.

### ***Effective communication***

Effective communication between the three branches of government was reported in the study as a crucial requirement for the productive performance of IGRs. A communication plan is required where various channels, ensuring effective communication are structured, enhancing IGR communication.

### ***Good governance and accountability***

Good governance relates to the ability of IGRs to achieve appropriate development policy objectives, aimed at sustainably developing its society. Good governance centres on how efficiently resources are allocated and managed, directed by accountable role-players in IGRs and executed by a resolute team of professionals collectively to address socio-economic concerns within municipalities. The study established that good governance is characterised by specific features, such as participatory, consensus orientation, accountability, transparency, unbiasedness, responsiveness, inclusiveness, and compliance to the rule of law.

#### **7.9.1.4 *Monitoring and evaluation***

Another major factor that emerged from the study was the concern of M&E. In this regard, some rudiments for effective M&E of LED and cooperative governance across the six selected municipalities were established as lacking, resulting in inadequate coordination of monitoring and reporting of municipal performance. The study recommended employing systemic performance management to improve the coordination of monitoring and evaluation systems within municipalities.

- systemic performance management-Improved coordination of monitoring and evaluation system

Provided this recommendation, monitoring and reporting performance should be a belief across the spectrum, regarding, policy and enabling legal frameworks, institutional arrangements, and IGRs. Monitoring and reporting need to be conducted on policy performance as it relates to achieving the desired objectives. Design and implementation of institutional arrangements and IGRs should be regularly monitored and evaluated for performance review. This process would, therefore, assist in providing reports or feedback on the performance of policies, institutional arrangements and IGRs as to determine what is functioning to replicate in the form of good practice and what is under-performing for possible review.

### **7.10 CHAPTER SUMMARY**

This chapter presents discussions on data collected through document review, key informant interviews and focus group discussions with LED key role-players in the six selected municipalities, and data collected through document analysis to address the research objectives of the study. The main themes and sub-themes discussed in the chapter are synthesised from the data, which emanated from the individual interviews, focus group discussions and the desktop review of relevant documents. The findings were used to contribute to a normative outcome-based model/framework for improving and sustaining M&E of LED-based cooperative governance in the selected six municipalities in the Western Cape Province. A normative outcome-based framework for LED-powered cooperative governance was evolved and presented in the preceding chapter. The

conceptual framework of this study discussed in the previous chapters (Chapter 1 to 4) guides the development of the proposed model/framework. The proposed model/framework was derived from the emerged findings obtained from various sources in the study through multiple data collection instruments, regarding, documentary reviews, focused group discussion and individual interviews with key informants/stakeholders (municipality, private and civil society) within the selected municipalities. Conclusions and recommendations on the findings are presented in the subsequent chapter.

## CHAPTER 8: CONCLUSIONS AND RECOMMENDATIONS

### 8.1 INTRODUCTION

It was maintained that LED provides unique opportunities for municipalities, such as local governments, private sectors, and community-based organisations, and for local societies to collaborate to enhance their local economies. A lack of adequate capacities was identified at the municipalities to facilitate this onerous developmental mandate. Various measures were established to address the capacity concerns, such as upskill trainings and other mechanisms to draw support from the other arms of government to the municipalities, such as the IGRFA of 2005, geared towards institutionalising cooperation amongst the three tiers of government. Specifically, in this context it relates to the types of supports that the national and the provincial government should render to the municipalities.

An Economic Development Partnership (EDP) initiative was established in 2012 in the Western Cape, following an agreement between several stakeholders (public, private, academic and civil society), as a collaborative intermediary organisation aimed at providing targeted partnering solution to improve the performance of local and regional economic system. Despite these significant strides attempting to turn around and revitalise local governance practices, the question remains - why are some municipalities successful, and others not in delivering on their developmental mandate? As previously enquired in the introductory chapter - are all municipalities managed in the same way? Obtaining similar resources, the same training, partnering the same way? It is contended why their successes differ while using the same policy frameworks.

Provided this reality, it was rational to assess the specific factors involved in designing and implementing cooperative governance for LED in comparable municipalities in the Western Cape. The urgency of redressing the non-coordinated and fragmented approach in the practice of LED and providing mechanisms aimed at enhancing system management and responsiveness of local municipalities to socio-economic concerns, justified a study of this nature. Six objectives were addressed to achieve the study aim. As a result, this chapter also includes an overview of the study, while summarising and synthesising key findings of each objective, suggestion, and recommendation.

## 8.2 OVERVIEW OF THE RESEARCH

Certain concerns hamper transforming and managing of local government. These concerns range from capacity constraints, clear leadership and poor management, political constraints, a lack of support from other tiers of government or the private sector, overlapping of functions and responsibilities, fragmentation and non-coordination of efforts and responsibilities. Various measures were instituted to address the capacity challenges in municipalities, such as upskill training and other mechanisms designed to obtain support from the other arms of government to the municipalities. The government introduced the Intergovernmental Relations Act of 2005 with the aim of institutionalising cooperation amongst the three tiers of government. An overarching tenet that supported this framework is the types of support to be rendered to the municipalities by the district, provincial and national.

The municipalities do not appear to receive adequate intergovernmental support to foster their developmental and statutory mandates, let alone from other LED stakeholders. Promoting such inclusive representation and participation of all relevant stakeholders provides a viable and complementary alternative to the traditional bureaucratic governance mechanism. Municipalities in the Western Cape of South Africa made considerable progress in exercising their facilitating role in the development process through applying plethora economic development facilitation strategies. These strategies enhanced locational competitive advantages, while supporting the creation of versatile local markets by collaborating with local and regional stakeholders. Despite these great strides by the municipalities in their various attempts to turn around and revitalise their governance practices, there are still some exogenous and internal constraints in the evolving structure which possibly beclouds the holistic transformation of local governance.

Stemming from these challenges, Van Niekerk & Bunding-Venter (2017) lament on the dearth of an integrative institutional framework to promote collaborative participation, aimed at improving system management and responsiveness to developmental concerns in municipalities. Van Niekerk & Bunding-Venter (2017:2) contest that the absence of such encompassing framework represents a vacuum in the collaborative governance

ecosystem, creating challenges for the effective implementation of national and regional economic policy in the local sphere.

Consequently, these fragmented perspectives epitomised by a lack of cooperation and integration of development strategies, render the municipalities, particularly the smaller ones, highly susceptible to myriads of problems ranging from a lack of stakeholders' supports, inadequate capacity resources, inadequate knowledge, poor leadership, poor development planning and implementation. These culminating into poor socio-economic conditions of the citizenry. These conditions are manifested in the continued rise in the country's rate of social discontentment vented by individuals against poor service provision.

There are successful municipalities. Others were unsuccessful in delivering on their developmental mandate. The question remains - why? Are all municipalities managed in the same way? They attain similar resources, similar training, using the same policy frameworks. It is contended why they hold varied successes. Other scholars indicate that the solution to the multidimensional problems in LED encountered by municipalities lies in the context of resilient multi-jurisdictional initiatives of the various key LED stakeholders in both the state and non-state. An emerging need exists for a holistic understanding of the specific collaborative/cooperative governance factors involved in the efficacy and governance of LED, especially in comparable towns which are not well known and understood. Despite the overwhelming proclaimed benefits of collaboration of multi-actors for local governance, the conditions required to ensure its efficacy are challenging.

This study sought to unearth answers to the following questions: What is the current state of cooperation amongst LED stakeholder in the selected municipalities? What are the variable factors relating to success of cooperation amongst LED stakeholders in the six municipalities? What characterised the dynamics design and implementation of plans, policies and procedures for cooperation that results in success of municipalities to foster LED in the six selected municipalities? What are the characteristics of cooperative initiatives resulting in the success of the municipalities in fostering LED in the selected municipalities? What lessons can be learnt from the most successful municipalities on the practices of cooperative initiatives for LED in the selected municipalities that could be replicated by other municipalities? These questions were dealt with by employing a case

study, conducted in six of municipalities in the Western Cape, South Africa. These municipalities are SM, TM, MBM, Oudtshoorn, KM and HM.

The study have gone beyond the discursive consensus on the need and vitality of municipalities to cooperate with other key players in LED, such as business and civil society, and the need to strengthen intergovernmental relations concerning provincial and district municipality to support local municipalities in LED. Provided the specific limitations in LED in the selected municipalities, the study identified divergences/gaps in designing and implementing IGR policy and cooperative governance within the municipalities. This could be observed as a product of a myriad of challenges, ranging from a lack of stakeholder participation, resources/capacity, knowledge, poor leadership, poor development planning and execution. These factors deteriorate the socio-economic conditions of the citizenry.

This study focused primarily on the relationship between LED and cooperative governance. The meaning of these words in contemporary development lexicon were explored and critically assessed. The study contextualised LED through the perspective of current development theory on the capabilities approach. The approach observes development as a means of improving human well-being and agency. Within the capability approach, economic, political, legal, and other social arrangements are evaluated according to how they expand individuals' capabilities or ability to achieve the things they have reason to value. The study maintained that the approach does not offer a uniform solution to the complexity of promoting human well-being. It provides a framework whereby individuals closest to the situation can inductively devise economic and political systems that better serve human growth and development.

The study sustained the cooperative governance regime's ability to produce adaptive capacity, adjusting responses to changing contextual drivers and internal processes, while allowing for development along the stability domain. This includes the adaptive capacity to be sustainably transformed into new developmental pathways. It could be maintained that the task of creating such adaptive *capacity* capable of improving system management and responsiveness to major socio-economic concerns within the six selected municipalities, is a process requiring collective efforts of trio key actors/role-players. These role-players are

the state, private sector and the CSO. The principal concern is about the specific factors to be considered in the design and assessment of such governance system (fundamentally comprised the key trio actors). These factors aim to improve system management and responsiveness to socio-economic concerns in local governance, specifically, within comparable small municipalities.

The study explored these ideas by triangulating diverse research sources. It is imperative to triangulate by obtaining information from various sources to justify the complexity of this subject matter. A case study design with qualitative data sources was employed in the study. An interpretive paradigm was considered appropriate to be used in the research to achieve an in-depth understanding of the participants' views and experiences on LED and cooperative government in the six chosen municipalities. A literature review and documentary analysis, individual key informant interviews and focus group interviews conducted with LED key role-players within the selected six municipalities, formed a part of the methodological approach.

A varied intellectual strand informing LED and collaborative/cooperative governance were analysed through an extensive literature review. This also informed the discussion and analysis on the country's (South Africa) policy and legal framework for IGR, LED, and its related activities. A critical analysis of LED and collaborative/cooperative policies, strategies and practices were undertaken by merging the information collected through various instruments. The study focused on the potential and challenges of LED and the viability and policy rationality for the institutional arrangements of LED and cooperative governance.

A core set of research questions and key concepts derived from the theoretical discussions, constituted the major investigative focus of the field research. The data collected through the field research were assessed, summarised, and synthesised to produce the findings detailed in this study.

Stemming from the conceptual perspectives, the study laid a foundation to understand the nexus between development policies outcomes, specifically in small towns in the Western Cape, South Africa. This provided the basis on what the relationship between LED and

cooperative governance within the six municipalities were assessed and comprehended. The dialectic between theory and practice of LED and cooperative governance is discussed as an empirical study conducted in six selected municipalities in the Western Cape, South Africa.

The study presented evidence from a case study of the six selected municipalities in the Western Cape to achieve the research objectives. The study revealed how diverse dimensions of LED and cooperative governance operate and interact. The findings demonstrated that though LED holds potential within the six municipalities, specific challenges are established in LED and its institutional arrangements. The policy design indicated divergences/gaps. The study indicated the need for a revitalised and concerted policy and practices. The introductory chapter discusses the objectives and the guiding research questions, including the relevance of this study. The detailed methodological approach and delineation of the study provided a synopsis of each chapter.

The chapter provides a historical understanding of the proliferation of development theories over the years enabling a comprehension of the paradigmatic shift in development approaches over the same period. The chapter focuses on the analysis of several selected themes and implicit debates in the development literature with contemporary policy relevance for improving system management and responsiveness to major social and economic concerns within municipalities. The chapter identifies key features of traditional development approaches, the surge of various approaches, and the emergence of post-development and capabilities approaches. The hallmark of these trends is the continued search for more feasible, constructive and sustainable alternative approaches that could withstand the test of time concerning the devastating consequences of climate change, globalisation and the deepening global economic crisis. The chapter contextualised cooperative governance within a contemporary resilience approach of development.

Chapter 3 conceptualises LED by discussing some extant and contemporary views, thoughts and findings of development scholars on the emergence and proliferation of the theory and practice of LED from the global north to the global south, and through the national level and provincial to the municipalities in South Africa. Key features of the differences between LED and traditional development policies were examined as the

traditional roles of key LED stakeholders (state, private and civil sector). Some of the shortcomings of the theory and practice of LED are also discussed in Chapter 3.

Chapter 4 concentrates on the conceptualisation of LED and cooperative government through a detailed review of the various concepts on collaborative governance. This is contained in the literature on the design and assessment of collaborative governance for LED, the nature and role of various stakeholders, specifically, the state, private and civil sectors. A discourse on the advantages and determinants of successful cooperative governance, and the limiting factors affecting its effectiveness in LED local governance, are identified. Although there is a wealth of literature and a model for effective collaborative governance, there are still inadequate empirical studies on collaboration for the local governance of territorial economic development, particularly local towns. Existing and previous literature and models on how to measure outcomes (performance) in collaboration for LED, provided inadequate knowledge.

The arguments and definitions developed in Chapters 2, 3 and 4, provide a framework for an improved understanding how, and under what conditions LED and cooperative governance can contribute to improving system management and responsiveness to socio-economic concerns within the municipalities. This conceptualisation assisted in examining and comprehending the patterns of LED and cooperative governance in six selected municipalities, while assisting in identifying the specific cooperative governance factors involved in the efficacy and governance of LED within comparable, which are not well known and understood. The chapters provide the conceptual framework to examine how much of the discourses in LED and cooperative governance are translated into concrete experiences, and for understanding and assessing their policy and policy outcomes implications. Consequently, key concerns emerging from the theoretical framework are the degree of legitimacy of collaborative purpose; motivation; partner's characteristics; leadership characteristics; governance structure; interpersonal relations/trusts; partner's learning; communication and contextual macro-environment (policy and legal framework). These key concerns formed the basis for this empirical/field study.

Chapter 5 focuses on the research design and methodology employed. The research paradigms of interpretivism and constructivism were conceptualised and contextualised as

a theory and framework, underpinning the study. The chapter identifies the scope and sample of the study undertaken in selected six municipalities in the Western Cape Province. A purposeful sampling strategy of a non-random selection of participants was employed in the study. This chapter further outlines the various instruments employed for data collection, documentary review, individual interviews, and focus group discussions with the key LED stakeholders in the six municipalities. An articulated explanation of how the study data were analysed through Atlas.ti, obtaining the results, is discussed in this chapter. Essential features on some best practice models in collaboration governance were employed to develop a normative performance assessment framework/model for measuring success in LED cooperative governance.

The context and challenges where LED and cooperative governance operate within municipalities are further investigated in Chapters 6 and 7. Key informants' views on the contextual political, legislative and institutional constraints where LED and cooperative governance operates within the municipalities, were investigated. These aspects informed the possibilities of a cooperative governance approach within the municipalities. The research advanced to investigate the theoretical basis and understanding of the notion and practice of LED and cooperative governance by the trio (municipality, private and civil society) within the six municipalities. The relevance of this type of analysis was emphasised by comprehending cooperative governance, by decision-makers and implementers at a local level. They defined the objectives and actions of the municipality concerning promoting cooperative governance within the municipality. An assessment of the policy and legal framework for LED and cooperative governance in municipalities was conducted. In this regard, institutional arrangements, fora, were analysed as defined spaces for cooperative governance.

The analysis conducted in Chapter 6 and 7 provides a holistic understanding of LED and cooperative governance within the six selected municipalities. It provided the basis for a more comprehensive understanding of the nexus between cooperative governance, LED, and outcomes of development policies. These chapters allow for an in-depth assessment of the operationalisation of cooperative governance for LED within the six municipalities.

Lastly, Chapter 8 concludes the study by presenting the key findings and recommendations.

### **8.3 SUMMARY OF THE KEY FINDINGS**

This section presents a summary of the key results. It is sequentially structured, according to the research objectives.

#### **8.3.1 Objective 1: Analyse the main policy and legal frameworks, promoting cooperative governance for economic development in local municipalities**

The section entails the findings from document analysis, focus group discussion and scheduled informants' interviews with key LED stakeholders within the six selected municipalities concerning the first objectives. The aim was to analyse the main policy and legal frameworks, promoting cooperative governance for economic development in local municipalities (Section 1.3). The key findings in this context centre on policy design issues, established as problematic in multifarious ways concerning the articulation of roles and responsibilities of key role-players, policy reviews, policy assessment mechanism, clarity of purpose, promotion of accountability. It also includes the extent to which the policy and legal framework align to other sectoral plans and expenditures of municipalities and additional government spheres. Poor policy implementation is also part of the results in this context. The fundamental findings on each concern are summarised below.

##### **8.3.1.1 Policy design issues**

This study substantiated that despite the efforts to create an inclusive strategy and legal framework for LED and their associated activities, numerous factors were established, influencing the achievement of policy objectives.

##### ***Roles and responsibilities***

The study findings indicated that the LED policy framework and its associated public participation policy, fail to articulate the specific roles and responsibilities of key role-players in LED, especially that of the private sector and civil society. As the study maintained, both sectors increasingly became conspicuously involved in development matters within the

local community. The study demonstrated the need for articulated roles and responsibilities of the various key role-players to prevent incidences of duplication and uncoordinated overlaps of roles and responsibilities. Well-defined roles and responsibilities promote endeavour accountability.

### ***Promoting accountability***

The study findings demonstrated the concern of a policy failure in promoting accountability amongst the key role-players in LED, correctly employing KPIs as mechanism to promote accountability. This is continuously the case in government entities.

### ***Fragmented and uncoordinated policy and legal framework***

The study also indicated the concern of fragmentation and incoordination of policy and legal frameworks, resulting in duplicated roles and responsibilities, and the resultant difficulties in aligning municipalities IDPs to national or provincial department plans.

### ***Clarity of policy and legal framework***

The study established that LED enabling policy and legal frameworks were unclear and ambiguous, failing to define the roles and responsibilities of collaborative role-players. As aforementioned, policy and legal frameworks were established as fragmented and uncoordinated.

### ***Outdated policy***

The study findings also demonstrated that LED and legal frameworks appear outdated, considering modern realities. The study established that the South African's National LED framework released in 2006, is outdated, explaining the considerable change in context for LED planning in several critical dimensions. Considering national development planning and global trends, such as advances in high-tech, specifically in digital, robotics and automated applications, fundamentally reshape individuals' personal and professional lives. This poses a considerable challenge for designing and implementing public policy in development concerns.

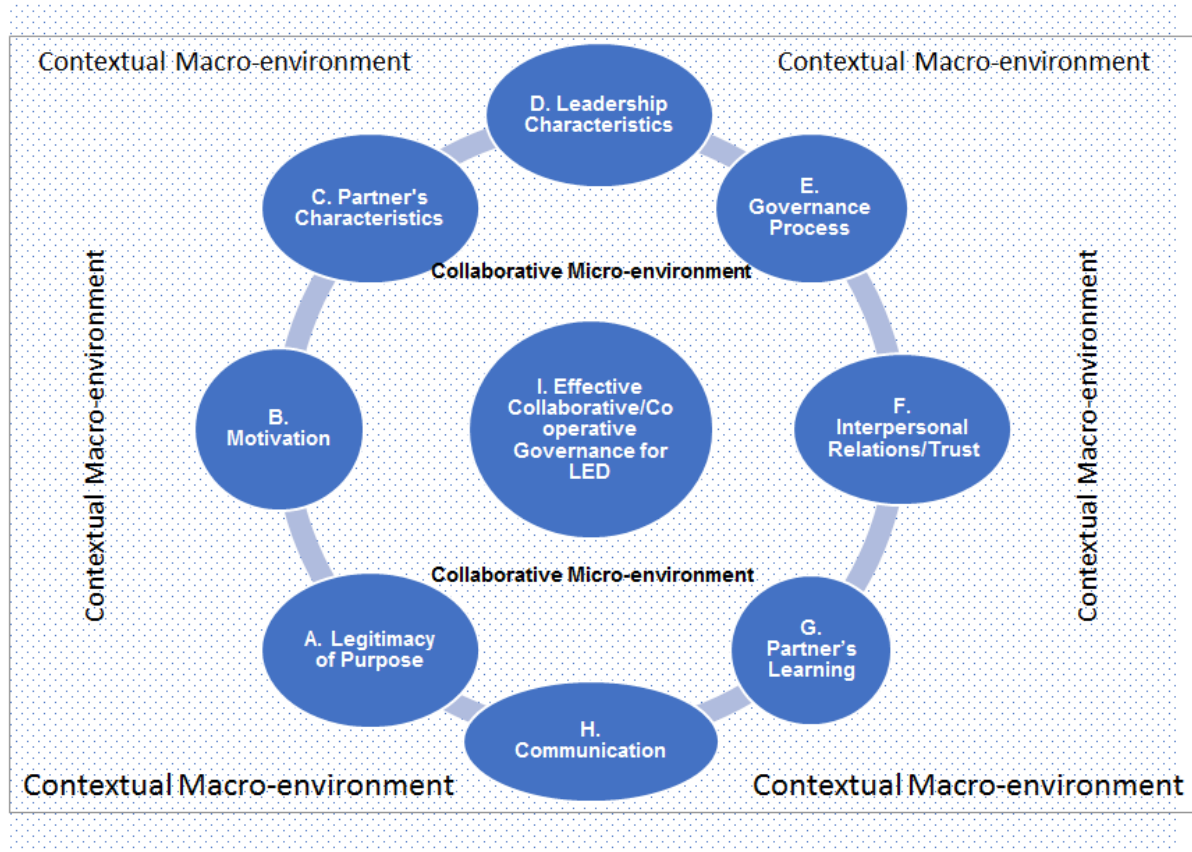
### ***Policy assessment mechanism***

The results from the analysis indicated the challenge of the policy assessment process for monitoring and evaluating policy efficiency. The policy review enables stakeholders to discuss and synchronise the policy while resolving contradictions or disagreements in formulating and implementing the policy. The study maintained that for accountability, informed policymaking, and improved governance of LED, three complementary actions are required, indicating monitoring, analysis and reporting. Monitoring the policy's performance, consequently, justifies the data through analysis and reporting to the policymakers and the public. Collecting and reviewing data encompass the impacts of policies and approaches, addressing socio-economic concerns within local municipalities, and reporting to the state, policymakers, and the public. The study maintained this process as a critical, assessing policies' performance, vital to policymakers in re-prioritising and refining policy instruments and objectives for local development within the municipalities.

#### **8.3.1.2 Policy implementation**

The study established the challenge of poor implementation of LED policy documents, resulting in complex unintended outcomes. Some of the identified reasons are: strong emphasis on delivery goals specified as outputs rather than outcomes (number of set-up fora, rather than an increased level of joint decision-making), financial resources, inadequate institutional capacities for LED implementation, and insufficient capacities, siloed LEDs, ambiguities in policy and strategy, and little monitoring and reporting to provide feedback and support.

### 8.3.2 Objective 2: Develop a conceptual framework and identify factors for the design, implementation, and assessment of cooperative governance for local economic development in small towns



**Figure 8.1: Conceptual framework**

Author's own (2020)

The conceptual framework comprises eight interdependence elements, denoted as A, B, C, D, E, F, G, H, and I. The framework illustrates that achieving effective collaborative/cooperative governance outcomes for LED as a central aspect of the study, denoted by (I) in this context, reflecting the perceived collaborative outcomes. These outcomes, amongst other things, include achievement of developmental goals, improved inter-organisational learning, and increased interactions. Numerous factors may influence the realisation of (I) the basic concepts in this study. First, is the need to collaborate as defined by collaboration concerning its legitimacy and mutual purpose (A) to catalyse or

motivate (B) the involvement or participation of the desired characteristic of partners/ role-players (C) which have to be committed in all ramifications to the processes. The collaborative process needs to be initiated, powered and steered by leaders (motivated and committed role-players) of certain leadership characteristics (D). The governance process (E) may also be influenced by leadership concerning process formulation and management (transparency, definitions of roles and responsibilities, ground rules and accountability).

The efficacy of the governance process may reinforce the legitimacy of the process, enhance interpersonal relations/trusts (F), commitment and the learning outcomes (G) that the role-players could gain from the collaboration, which may enhance their capacity to participate. The last is the fundamentality of effective communication (H) amongst the role-players that should be effective. These endogenous factors impact on enabling collaborative micro-environment for effective/enhanced collaboration outcomes for LED (I) as indicated in Figure 8.1. It is endogenous as it is possible to manage the factors through collaboration. The micro-environment of collaboration is imbedded and surrounded by an external macro-environment. This environment constitutes certain exogenous factors where the collaboration leaders or role-players have little or no control, such as policy regulation, system stability and economic forces. The dynamics of these contextual concerns impact on the outcomes of collaboration.

### **8.3.3 Objective 3: Perform a comparative assessment on the functioning of cooperative governance and local economic development in selected municipalities of a small town**

The findings from document analysis, key informant interviews, and focus group discussions with LED key stakeholders in the six selected municipalities, allowed comprehending cooperative governance and LED's functioning in the selected municipalities as required in the third objective of the study. The study demonstrated key findings, falling into the following thematic areas: nature and potential of LED; specific challenges in LED; LED institutional arrangements; IGR and M&E.

### **8.3.3.1 *Nature and potential of local economic development***

A growing need exists to understand the nature, dynamics, methods, and the promises of LED concerning its ability to contribute to the socio-economic development of a locality. Based on this need, the findings from the document analysis, focus group discussions and key informants' interviews with key LED stakeholders in the six selected municipalities concerning the nature and potential of LED within the six municipalities, indicated the following key findings: LED potential; a common understanding and nature of LED.

#### ***Local economic development potential***

To achieve sustainable development within the six selected municipalities, the potential and competitive advantage of the area should be known and exploited. Provided the economic base of these municipalities, primarily on agriculture, forestry, fishing and tourism, a need exists to work amongst these domains for competitiveness. The study findings indicated hope for these municipalities with inherent capabilities to take advantage of their economies, specifically the 'niche' markets in tourism, progressively attracting private sector investment.

#### ***Common understanding and nature of local economic development***

The study demonstrated that LED practices within the six selected municipalities differ amongst municipalities. While some municipalities were identified as favouring the infrastructure-growth approach, others focus on the competitive advantage and growth potential of towns. LED practices within the municipalities function from a mutual understanding of the LED concept. Additional parameters also indicated similar findings. The parameters are emphasised in the latter part of the chapter. Findings from this study also indicated that the six municipalities require more clarity on LED matters. This may be a reason the level of acceptance and practice of LED differs amongst municipalities. For example, as established in the study, while five municipalities have an established LED unit within their municipalities to deal with LED concerns, there was no such distinct LED unit at SM.

The study findings also demonstrated that some municipalities are exceling in providing the enabling environment for the local economies to flourish. The responsiveness of the private and the civil sectors need to be improved across the six selected municipalities. Although some municipalities perform in creating the framework for their local economies to prosper, a need still exists for more clarity on LED concerns in municipalities.

### ***8.3.3.2 Specific challenges in local economic development***

The study findings identified a need to consider the real limitations and obstacles threatening to disrupt the LED path to the “promised land”. Several constraints were established, such as resources/capacity constraints, implementation concerns, a level of trust, political and socio-economic challenges, and environmental/ecological risks.

#### ***Resources/capacity challenges of local economic development***

Provided the study findings, the challenge of a lack of resources/capacity at local government level was one of the most cited arguments against LED. The responsiveness of the national and sub-national spheres of government to mitigate this difficulty of capacity constraints proclaimed the conception and implementation of a plethora of capacity building initiatives. These are often associated with myopically designed specific training to develop individual capacities at a municipal level. As a result, the concern of capacity constraint remains unresolved, continuing to impair the potential of LED at local government. The study established that concern of resources/capacity constraints is most prominent in funding development projects or endeavours within the municipality, especially in small municipalities with a limited income base.

#### ***Implementation concerns***

The study established that the local municipality plays a pivotal role in designing and implementing LED strategies and interventions. The strategic position of the municipalities provides them the latitude to undertake long-term development planning in collaboration with the private and civil society. The study findings demonstrated that successful implementation of LED strategies within municipalities, specifically within the six selected municipalities, still represents a challenge. Successful implementation is determined by an

interplay of numerous factors. These challenges include, amongst other things, institutional arrangement, a lack of effective collaboration of the trio (local government, private, and civil society), inadequate funding and skill capacity.

### ***Trust level***

The importance of trust in collaboration was expressed in the conceptual framework of this research, indicating that trust contributes to more information and knowledge sharing, resulting in increased problem-solving ability, new insights, creative strength and strengthened partnership outcomes. The study revealed an unacceptable level of trust between role-players/stakeholders in most of the selected municipalities, except for MBM and HM. As a result, a lack of trust inclines to provide rise to silos and a lack of willingness to contribute resources, share knowledge and information, and may negatively affect their commitment to the process.

### ***Exogenous challenges***

The study findings indicated the presence of certain variables in the external environment of the municipality, derailing them from achieving LED objectives within municipalities. These constraints are mostly, political, socio-economic, and ecological/environmental challenges. As widely demonstrated in the study, these contextual constraints are beyond the direct control of the municipality. These factors were established as more prevalent in municipalities such as KM, HM and Oudtshoorn.

#### ***8.3.3.3 Institutional arrangements***

It is key to comprehend within a spectrum, the nature, and dynamics of institutional arrangements for local governance of LED for the effective implementation of LED within the municipality. It assists in providing the insights as to how the interactions between the key role-players assist in shaping and improving the socio-economic outcomes of developmental strategies within the six selected municipalities. The study examined the viability and functional coherence of the key institutional arrangements for LED within the municipalities, such as the LED unit, LED portfolio committee, development fora, ward committee and CDWs, through an integrated approach. The study focused on the

development/engagement fora within the municipalities. Several interactive factors were identified, influencing the effective performance of LED institutional arrangements within municipalities. These factors involve roles and responsibilities; stakeholders' involvement/participation; silos approach; capacity/resources; collaboration structure/governance; stakeholders' willingness and commitment; level of trust; implementation plan; mechanism for dispute resolution; mechanism to promote accountability and attainment of perceived benefits.

### ***Understanding roles and responsibilities***

Understanding within a comprehensive spectrum the nature and dynamics of institutional arrangements for local governance of LED within the municipality has a major role to play for the effective implementation of LED within the municipality. It helps to provide the insights as to how the interactions between the key role-players help to shape and improve the socio-economic outcomes of developmental strategies within the six selected municipalities. This includes role-players with the freedom and opportunity to exercise their respective roles and responsibilities in the arrangement, including the individual and collective performance of the arrangement. This study indicated the efforts of some municipalities (HM, Oudtshoorn, MBM and TM) through applying various mechanism, such as SOP and the Charter or MoU. The study findings reveal an aspect of confusion and repetition of roles and responsibilities with role-players in similar roles, challenging for individuals to distinguish. The study also identified that the ward committee and its related structures are too politically motivated to achieve sustainable and all-inclusive economic growth in the concerned municipalities.

### ***Role-players' involvement/participation***

The study results identified the omnipresent efficiency-centric approach of municipalities' efforts by involving the stakeholders through formal and informal consultations on several concerns. Municipalities identified IDP representative fora as an integrated approach aimed at involving of community/stakeholders in formulating municipal development plans. The study findings also indicated that often effective or meaningful participation lacks. Most municipalities pursue to foster participation through consultations

in a variety of fora, suggestion boxes, hearings, public meetings, and the ward committee to acquire input into the budgetary and IDP processes, appearing as ineffective.

### ***Silos approach***

The study findings in this context of institutional arrangements indicated the concern of silo mentality, established as prevalent amongst role-players/stakeholders, inclined to create barriers in designing and implementing appropriate collective solutions to socio-economic concerns in their localities.

### ***Resources/capacity constraints***

The concern of capacity/resources constraints is prevalent in most municipalities, specifically the under-resourced small municipalities, as aforementioned. The study findings indicated that the six selected municipalities encounter capacity/resource constraints to develop and implement effective and sustainable institutional arrangements for the collective governance of LED within their municipalities. This constraint was more pronounced in three of the six selected municipalities, indicating KM, OM, and SM. No dedicated LED was established in the SM attributable to budget constraints.

### ***Collaboration structure/governance***

The study maintained that the success of an institutional arrangement aimed at improving the system management and responsiveness to socio-economic concerns within the municipalities depends on the structure of the arrangement and its operational policies and procedures. In this regard, several factors were identified with an impact on the success of LED collaborative institutional arrangement in the six selected municipalities, as discussed in the subsequent paragraphs:

- governance system
- inclusivity
- communication
- concerns of leadership
- role-players turnover

**a) Governance system**

The study findings indicated that the decision-making process in the arrangement appears to be undemocratic where the role-players were not provided with the enabling deliberative platform, needed for an effective consensus-driven and deliberative process of collective decision-making. This study also indicated that in all the six selected municipalities, the procedure is bureaucratic, as it is time-consuming to reach a decision. This may also be the reason stakeholders are reluctant to participate in the municipal consultation, hence the concern of poor participation.

**b) Inclusivity**

The concern of inclusiveness in the composition of LED fora was made noticeable. The study results indicated that the methodologies employed by municipalities, specifically MBM and Oudtshoorn, identifying role-players to be invited to participate in fora, and as the outsourcing strategy of TM, concern the inclusiveness of input from the marginalised and historically disadvantaged. The study established that while MBM and OM contemplate major drivers in the economy or global players in a particular sector in choosing forum participants, TM considers service providers to facilitate the process of feedback collection and stakeholder relationships.

**c) Communication**

The study results indicated that various forms of communication were used across the six selected municipalities to reach stakeholders, such as local news media, newsletters, and structured meetings. The study identified an unequal opportunity for access to information between civil society and the private sector, particularly in most disadvantaged small business representatives.

**d) The concerns of leadership**

The study demonstrated the fundamentality of leadership as an essential component of collaborative arrangements in convening and steering. As maintained in the study, certain facilitating qualities are needed to enhance the ability of collaborative leaders to effectively

manage the collaborative process, while maintaining technical credibility. These qualities also ensured the credibility and universality of acceptance of the collaborative outcomes for all stakeholders. A collaborative leader must, therefore, be armed with the necessary skills to facilitate, amongst other things, broad-based inclusiveness and active participation; broad-based influence and control; and, in a productive environment, broaden the scope of the process. The study identified concerns related to the assumption of the Executive Mayor and the convenor and facilitator of development fora or the facilitating role of the ward councillors in municipal participatory processes. They may not have the needed skills to influence and control a broad, inclusive, and active participation in a productive collaborative environment to achieve desirable outcomes.

**e) *High level of role-players turnover***

It can be maintained that consistency and continuity of plans and purpose of institutional arrangement can be unduly interrupted in a high rate turnover of the players involved in the arrangement. It is also problematic in situations where the vacancy of some key municipal staff members remains vacant for an extended period without any suitable replacement. The study revealed that a high rate turnover between key LED municipal staff and stakeholders, inclined to create an emptiness in the arrangement as established in the municipalities of TM and HM. This challenge was also identified amongst business stakeholders, those representing small businesses.

***Role-players' willingness and commitment***

The study findings indicated the extent of the willingness and commitment of key players to institutional arrangements. It became apparent that the role-players appear driven by their willingness and commitment to collaborate. A crucial concern is how to maintain momentum to produce desirable outcomes. In this regard, the study suggested it would be beneficial to combine these activities with other essential requirements, enabling an efficient institutional structure to achieve the requisite outcomes. The momentum of desire and commitment would be difficult to sustain if the ideals of the role-players were unfulfilled.

### ***Implementation plan***

The study indicated that the six municipalities developed their own LED strategies and an implementation plan. The degree to which these plans represent the dynamic reality of development concerns and the ability to respond to the demands of ever-changing circumstances within municipalities is a matter of concern. Some municipalities still rely on their obsolete LED approaches and implementation plans, having outlived their usefulness.

### ***Mechanism for dispute resolution***

The study indicated that some mechanisms appear to be prepared to resolve conflicts through legal means and arbitration. Evidence from the study indicated that in selected municipalities, the resolution of emerging disputes between role-players is still a dilemma, particularly for institutional structures, such as the forum where involvement is fundamental, based on goodwill.

### ***Mechanism to promote accountability***

The study demonstrated a reversible relationship between accountability and institutional arrangements in LED concerns. A well-established institutional arrangement promotes accountability while enhancing the credibility of the institutional arrangement. Contextually, accountability indicates the situation where the functions of role-players in LED arrangements possess an allegiance of good conduct to the whole scheme. The study indicated the presence of a mechanism promoting accountability. Certain differences still need to be addressed, specifically concerning role-players taking joint ownership.

### ***Attainment of perceived benefits***

The analysis indicated a mixed result concerning the efficiency of institutional structures, particularly when it has to be evaluated concerning perceived benefits to stakeholders. While some structures achieved reliable results within certain of the six municipalities, others still need to progress. The study established a case of good practice in the MBM and the TM. The LED unit in TM was noticed to have won public accolades from the community at a certain time for an accomplishment. Conversely, for municipalities, such as

SM, KM and Oudtshoorn, business and civil society actors were unsatisfied with the performance of institutional arrangements within their municipalities.

#### **8.3.3.4 Intergovernmental relations (IGRs)**

Conceptually, intergovernmental relations are based on the concept to collaborate between three levels of government in South Africa. IGR structures were inaugurated at various government levels (national, provincial, and local) as a catalyst for cooperation and collaboration between various spheres of government, ensuring development outcomes are achieved. The mechanisms for IGR primarily comprise consultative intergovernmental fora at various levels of government, in particular, the presidential coordinating committee at a national level, the regional intergovernmental fora, at the provincial level; the district intergovernmental fora and the inter-municipal IGR fora at local government level. These are platforms championing the IGR objectives. Contextually, study findings indicated that several factors continuously affect the effectiveness of IGR in the chosen six municipalities. Such factors are within the following thematic areas: a perceived level of support; execution/implementation issues; exogenous challenge; roles and responsibilities. Each result is assessed and discussed below.

##### ***Perceived level of support***

The study indicated that the six municipalities also receive non-financial support from both provincial and district governments, although the assistance is insufficient and not always provided on time. This was a concern in the selected municipalities, except for MBM and OM.

##### ***Monitoring and reporting***

The study revealed a myriad of concerns regarding monitoring and reporting on IGR outcomes, such as the fragmentation in monitoring activities, a lack of budget, low incentive to track and report on performance, and possible ambiguity concerning the mechanisms needed to monitor and report on IGR performance. The fragmented approach of data collection in IGR matters, especially by local government, continually raised doubts concerning specific types of mechanism for monitoring and reporting. This

may explain the reasons for little incentive in monitoring and reporting on results, most especially, when combined with capacity/resource constraints.

### ***Implementation concern***

The study findings indicated that the IGR structure failed to provide adequate support to local government, attributable to several divergences/gaps in the process implementation. These divergences include, but are not limited to: bottleneck operations; silo approach implementation in IGR structures; fractured and uncoordinated strategy; poor attendance and commitment; a lack of government relations practitioners in municipalities; a lack of effective coordination and follow-up to commitments; weak and non-inclusive agenda and a lack of documenting proceedings.

### ***Exogenous challenge***

On the broader context of IGRs, several variables are functioning in combination to affect the IGR activity results. The study identified some environmental factors, such as the political and administrative instability, and political will, influencing the efficacy of IGRs. The study indicated that the chosen six towns are theoretically vulnerable to this trend.

### ***Clarity of roles and responsibilities***

Functional IGR systems include a clear definition of specific functions of role-players in the diverse realms of government. For role-players to achieve the objectives of intergovernmental relations, they need to understand their responsibilities and have the capacity to perform the tasks assigned efficiently and effectively. In this regard, the study indicated ambiguity in the design and practice of IGR, related to the articulation of specific roles and responsibilities of the three spheres of government in the structures of the IGR. In areas of joint responsibility, this should be delineated.

#### ***8.3.3.5 Monitoring and evaluation***

The study indicated a certain level of performance monitoring and reporting, conducted to measure the performance of LED institutional arrangements in some of the six municipalities, particularly, in MBM and HM. Several cases of lapses were identified

at certain of the six selected municipalities, regarding poor coordination of monitoring and reporting. The study concluded that organising and tracking collaborative efforts includes formalised administrative frameworks defined by clear policies, processes, and procedures.

Regrettably, some rudiments for effective M&E of intervention lacks in some of the six selected municipalities. Provided the latest report on the performance of South African municipalities for the 2017 to 2018 financial year, the Auditor General of South Africa deplores the undesirable deterioration in the municipalities' financial performance management and accountability; 8% (18 municipalities) of the 257 surveyed municipalities received a clean audit. As emphasised in the report, performance management is important in describing the progress on commitments to community service and development through the IDP over a five-year administration period. Clear audit reports were awarded to municipalities with credible and disciplined records. The shortcomings established in the municipality's performance report were primarily attributable to inadequate planning, management, and performance reporting. These difficulties augur ill for achieving the commitments contained in the IDPs.

Provided the 2017 to 2018 results, only two of the six selected municipalities (SM and HM) earned a clean audit report. MBM and TM received an unqualified report with findings during the year under review. Their previous reports were alarming with unqualified reports without findings. During the same year under review, TM obtained a report of unqualified with findings. Although the audit for KM could not be completed by a prescribed date, KM and OM performance reports were loitering between qualified and unqualified for the past five years. These reports appear to confirm the study findings related to the concern of poor coordination of M&E in some of six selected municipalities.

#### **8.3.4 Objective 4: Determine the push and pull factors for the successful functioning of cooperative governance aimed at promoting local economic development in those municipalities**

The specific pull and push factors responsible for the successes and failures of cooperative governance (process) in LED matters in the six selected municipalities were analysed. Key

findings from the research are within the following thematic areas: legitimacy of purpose; governance; communication; leadership; characteristics of role-players/partners; learning outcomes of partners/role-players; level of trust; and motivation.

#### **8.3.4.1 *Legitimacy of purpose***

The research indicated that the legitimacy of collective purpose across the six municipalities is embedded in two dimensions, as follows: substantive policy goals, and clarity of purpose.

##### ***Substantive and clear developmental goals***

The study findings indicated across the six selected municipalities that the role-players overwhelmingly recognised the link between the substantive development goals and the success of collaboration. The role-players believed in the development objectives of their municipalities in improving the socio-economic conditions of individuals within the municipalities. This led to collaboration towards a collective good. The six selected municipalities undertook unmistakable developmental drives and strategies. In this way, the role-players are inspired to buy-in. That influences the degree of buy-in from the role-players/stakeholders. Certain municipalities' performance is progressive comparing to others. The study revealed a difficulty concerning setting agenda for collaborative forum more often lacking in local development concerns. This dampen the sustainability of the collaborative momentum, which may have arisen from the existence of clear and substantive development goals within municipalities.

#### **8.3.4.2 *Leadership characteristics***

Leadership was described as a major determinant of successful cooperation in the study's literature. The question is - what kind of leadership qualities are appropriate in a collaborative environment designed for improving system management and sensitivity to socio-economic concerns within the six selected Western Cape municipalities? The study results indicated certain fundamental attributes within the following thematic areas: facilitation; knowledge; behaviour. Given the structure of the development fora within the context of the six selected municipality, more often the executive Mayor of the municipality

undertakes the facilitative leadership role. Importantly, Mayor or any senior management staff of the municipality such as LED manager, IDP manager should possess the requisite leadership attributes to facilitate a successful collaboration.

### ***Facilitation related attributes***

The study findings indicated that the participants overwhelmingly endorsed certain facilitation (laden) enhancement and its related skills as essential attribute which collaborative leaders must have (sought for). Consequently, the study also indicated a myriad of attributes related to facilitation. These are: abilities to listen; skills to facilitate; abilities to communicate; championing skills; strong negotiation skills; relationship and team builder; good governance and influencing skills.

### ***Knowledge related attributes***

The study findings indicated that the cognitive capacity of collaborative leaders concerning their level of critical theory and reasoning was a force to be reckoned with as another determining variable for successful collaboration. The study indicated certain knowledge related factors to this effect. These factors are as follows: understanding mandates and other institutions; economic development experts; local knowledge of the environment; good analysis and decision-making.

### ***Behavioural attributes***

The study revealed some behavioural laden characteristics to be fundamentally beneficial for effective leadership in a collaborative terrain. Those driven behavioural qualities were as follows: integrity; honesty and openness; flexibility; compliance to legislation and institutional arrangement; respect and non-autocratic behaviour.

The study findings also demonstrated the municipality's perceived leadership role in a collaborative regime. The municipality plays the facilitating role and ensures a balance of power between the actors. The concern of power imbalance was established as prevalent across the six selected municipalities. The study indicated that the success of any collaboration is a function of the personalities of the political and administrative leaders.

### **8.3.4.3 Governance structure**

A good combination of the governance structure could predict success for a collaborative endeavour. Regarding the governance structure, the study demonstrated the dynamics of the following fundamental elements of collaborative/cooperative governance structure as an essential pull and push factor for the success of LED and cooperative governance within the six selected municipalities: operational policies; ground rules; accountability; decision-making process and conflicts resolution.

#### ***Operational policies***

The study demonstrated the imperative of operational policies aimed at governing collaborative processes that became fundamental as a determinant of effective collaboration when it provided effect to the principle of participatory development. Findings from this study revealed flaws in the organisational policies/implementation strategies concerning their continued sensitivity to modern realities in development.

#### ***Ground rules***

The study maintained that the ground rules contain the 'dos and don'ts'. These rules intend to regulate the behavioural conduct of role-players in multi-stakeholder efforts. The ground rules describe, amongst other things, the roles and responsibilities of key players, institutional structure, and how the meetings and reporting should be performed. The study findings indicated that across the six municipalities and the spectrum of role-players (municipality, private and civil society), role-players tremendously endorsed the catalytic contribution of well-established ground rules to the success of the collaborative arrangement, particularly where roles and responsibilities of role-players were defined.

The study also indicated that while most municipalities employ certain mechanism, such as TOR, MoU or partnership agreements, some others do not have any formal ground rules. The study also established that some municipalities fail to articulate role-players' roles and responsibilities in the ground rules, which could be the reason for the poor performance of some municipalities in LED fora and other related institutional arrangements.

### ***Accountability***

The study literature identified accountability as a factor considered a strong determinant of successful collaboration. A formidable ground-rule which profoundly articulated and incorporated the respective roles and responsibilities of participating role-players and factual reporting is required. Continued engagement with key role-players may assist in encouraging accountability in collaboration or cooperative governance.

### ***Decision-making process***

The study established that the manner of decisions in any collaborative organisation is key to its success. The findings indicate that most of the respondents acknowledged the needs for shared power and inclusiveness as powerful determinants of success of collaboration. The study results also indicated several lapses in decision-making powers in most of the six municipalities. The decision-making powers were not equitably divided between the role-players and the concerns of inclusiveness. This sentiment was equally shared by non-state actors, particularly civil society.

### ***Conflicts resolution mechanism***

Concerns about resolving emerging conflicts between collaborating role-players were conveyed. The study findings suggested no structured mechanism is prepared in the six municipalities to address emerging disputes between role-players in collaborative structures, especially in the LED forum, where participation/representation depends on voluntary will. This does not dilute or deny the importance of conflict management in collaborative efforts.

#### ***8.3.4.4 Communication***

Continuous interaction through various communication resources was demonstrated in the study. This served as a determinant of successful collaboration. The study findings indicated that the six municipalities embraced the fundamental importance of keeping strong stakeholder relationship through effective communication. Effective communication would improve partnership outcome through employing a combination of various means of

media for this purpose. Media regarded newsletters; emails; print media, electronic media, fact sheets and meetings. None of the six selected municipalities hold a formalised communication plan. The findings suggested employing a communication plan.

#### **8.3.4.5 *Role-players' characteristics***

The study pursues to establish a correlation between the role-player's characteristics and successful outcomes of LED-powered cooperative governance in the six selected municipalities. This involves the relevance of strength and capabilities of the role-player in achieving municipal development goals in the selected six municipalities. The study results suggested the availability of various skills and expertise within local municipalities, contributing to their local development goals through collaborative/cooperative governance.

#### **8.3.4.6 *Role-players' learning outcomes***

The conceptual framework of this study expressed that the learning outcomes of role-players resulting from collaborations, generate more information and knowledge, employed to develop a better-localised solution to the societal problem. The findings suggested that the 'know-how' (knowledge) of participants is appreciated through the fora. Fora share knowledge and information through collaboration to enhance an understanding. The participation of municipalities, private sector and civil society in cooperation (defined as cooperative governance) facilitates the exchange of information to build enriched knowledge that can be used to strengthen system management and response to socio-economic concerns within municipalities.

#### **8.3.4.7 *Level of trust***

The study findings identified trust as an interactive variable, affecting the collaborative culture, while the collaborative culture influences trust. The study results also indicated that the present level of trust in the six municipalities was mixed. The current level of trust in the six municipalities was established as in dire need of improvement, except for TM and MBM, where there is a good working relationship and understanding between role-players. As

suggested in the study, this may be one of the reasons why these municipalities perform in collaborative ventures concerning LED.

#### **8.3.4.8 Motivation**

The conceptual study framework maintained that collaborations are commonly driven by shared values and a common purpose between stakeholders to address societal concerns that cannot be resolved by one stakeholder/player on their own. Organisations collaborate to ensure achieving their organisational benefits. Findings indicated that role-players across the six municipalities were inspired to engage in LED-powered cooperative governance because of perceived organisational benefits. Organisational advantages derived from merged capital (resource/capacity advantages) and the provision of business opportunities.

#### ***Resource/capacity benefits***

Results of the research revealed several forms of motivational benefits, contributing to the development of collaboration/cooperative governance for LED in the six selected municipalities. Such advantages include, enhanced capacity (derived from the pooling of resources), increased capacity for exchanged best practices, expertise and information (enhanced learning outcomes for role-players/partners) and early warning of potential concerns that could cause discontent to be identified promptly to avoid a disruption.

#### ***Business promotion***

The study findings indicated that some role-players, particularly from the business sector and civil society across the six municipalities, are concerned about the governance system of the current institutional arrangements in their municipalities, the fora that need to abolish the red tape in the system and focus on real concerns.

### **8.3.5 Objective 5: Develop a normative performance framework, influencing the outcomes and devices in the monitoring system of cooperative governance, aimed at achieving appropriate developmental objectives to develop society sustainably**

The findings from the document analysis, individual interviews, and focus group discussion with LED key stakeholders from the selected six municipalities provided an opportunity to understand the desirable performance framework/model to assist in the design, implementation and assessment of cooperative governance outcome aimed at achieving grassroots development objectives in local government. These findings were corroborated by the findings from a systematic review of various models on the determinants of effective collaboration. It is, therefore, advantageous to apply these frameworks to the intervention of LED and cooperative governance in selected municipalities. This has the benefit of integrating theoretical framework with insights that resulted from the case study to provide an in-depth understanding of the enabling conditions for achieving the desired LED governance outcome in selected municipalities.

This developed framework/model relates to policymakers, regional/local development professionals, private and civil society actors involved in the design, implementation and evaluation of development policies and objectives. It would assist in improving their understanding of how and under what conditions cooperative governance can promote the solution of joint problems and contribute to more inclusive economic and social change. Provided the proposed framework (Figure 7.1) presented in Chapter 7, the model has four interlinked components with associated features as follows.

#### ***Policy and legal framework***

- reviewed LED policy, and its associated legal framework
- defined the roles and responsibilities of role-players
- assign roles to match role-player's strength and capabilities
- policy integration and coordination mechanism (promotion of policy coordination and better performance of policy)
- formative and summative monitoring and reporting system

### ***Institutional arrangements***

- the legitimacy of purpose (Shared values and purpose)
- motivation/attained benefits
- commitment and capabilities of role-players
- adequate capacities/resources
- level of communication (communication plan)
- leadership characteristics
- degree of trust
- decision-making process: inclusiveness and balance of power
- ground rules and accountability
- appropriately defined assigned roles and responsibilities
- implementation plan
- dispute resolution mechanism

### ***Intergovernmental relations***

- defined roles and responsibilities
- assigned roles congruent to role-players strength and capabilities
- integrated and coordinated approach
- effective communication
- good governance and accountability

### ***Monitoring and evaluation***

- systemic performance management-improved coordination of monitoring and evaluation system

The framework was accustomed to the six selected municipalities in the Western Cape, regarding TM, HM, SM, MBM, OM, and KM. The framework may be used by comparable municipalities in South Africa, based on adaptation. The structure should be implemented in the form of collective system management and response to socio-economic concerns within the municipality. It should not be used as a one-size-fits-all solution.

### **8.3.6 Objective 6: Provide lessons of experience and recommendations on how cooperative governance and local economic development can be improved in small towns**

This section sought to provide lessons of experience concerning the operationalisation of cooperative governance for LED in small towns. Some of the six municipalities, specifically MBM, HM, and TM, are making efforts to promote cooperative governance and LED within their municipalities. These emulating efforts made by these municipalities appear clouded by the numerous difficulties described in the report. The various areas of strengths/opportunities are presented below.

#### **8.3.6.1 *Strengths/opportunities***

Cases of good practice observed in some of the municipalities are classified into the following thematic areas: LED potential; Provision of business enabling environment; willingness and commitment; Institutional arrangements; substantive and clear developmental goal; motivation; learning outcomes and attainment of benefits. Each theme is discussed below:

##### ***LED potential***

The study has established that the selected six municipalities have inherent capabilities to take advantage of their economies, specifically the 'niche' markets in tourism, progressively attracting private sector investment. Provided the economic base of these municipalities, primarily on agriculture, forestry, fishing and tourism, a need exists to work amongst these domains for competitiveness. There is a hope for success for the six municipalities in this context.

##### ***Provision of business environment***

Stemming from the study, three municipalities are excelling in providing the enabling environment for the local economies to flourish within the municipalities. The responsiveness of the business and the civil sectors should be improved upon across the six selected municipalities. The study maintained that the onus of providing a

developmental enabling environment within the locality is the responsibility of the trio, indicating government, business, and civil society. For example, HM, TM, and MBM have good cases to mention in this context. Various package of incentives has been established by TM to attract and retain investors in the municipality. There was also a reported case of good practice about MBM in ensuring that LED practices within the municipality is focused on creating and enhancing the business environment.

### ***Willingness and commitment***

It became evident from the study that the role-players across the six municipalities have the drives concerning their willingness and commitment to collaborate. Creating the need to maintain such momentum to produce desirable outcomes. Other motivational attributes, such as good governance, legitimacy of purpose and trust are desired to be present in collaboration environment to achieve perceived success.

### ***Existence of fora***

In this context specific reference was geared toward development fora in the six selected municipalities. Understanding the dynamics of institutional arrangements (fora) for local governance of LED within the six selected municipalities provided insights on how the interactions amongst the key role-players assist to shape and improve the socio-economic outcomes of developmental strategies within the six selected municipalities. On a positive note, there is at least one development related forum in each of the six municipalities

### ***Substantive and clear developmental goals***

The role-players believed in the development objectives of their municipalities in improving the socio-economic conditions of individuals within the municipalities. It can be deduced that the degree of their willingness to collaborate is a function of their believes in the development objectives.

### ***Motivation***

The study has indicated that role-players across the six municipalities were inspired to engage in LED-powered cooperative governance because of perceived organisational

benefits. This is a clear manifestation of their willingness to address societal/development concerns that cannot be addressed unilaterally by municipality alone.

### ***Learning outcomes***

The study demonstrated that the 'know-how' (knowledge) of participants is appreciated through the fora.

### ***Attainment of benefits***

The study established a case of good practice in the MBM and the TM. The LED unit in TM was noticed to have won public accolades from the community at a certain time for an accomplishment.

The discussions on the strengths/opportunities available to the respective municipalities to excel in collaborative endeavours were presented in the forgoing section. The ensuing section presents discussions on the weaknesses/threats.

#### ***8.3.6.2 Weaknesses/threats***

Whilst the above strengths/weaknesses demonstrates a clear manifestation of the promises that local governance of LED holds for the future development of localities, cognisance of actual constraints and challenges is needed, that bedevil it, derailing its course to the *promised land*. In this context the weaknesses/threats were policy-related issues, various specific challenges in LED; institutional arrangements issues; IGR issues, and concerns on M&E as it relates to LED and cooperative governance in the six selected municipalities.

#### ***Policy-related issues***

The inconsistencies in the policy, institutional framework and the implementation divergences raised the question concerning the real possibilities of improving the local economy employing an integrated approach. While collaboration/cooperative governance holds the promise for the future development of more democratic and inclusive localities, awareness of actual constraints and challenges is needed. As aforementioned, although

legislative provisions are established for corporate planning and implementation of LED at a sub-national level, the lack of clarity, particularly concerning roles and responsibilities, coupled with the uncoordinated and fragmented approach of policy documents, a lack of accountability and poor implementation hindered these provisions in maximising their capacity. Interestingly some of the selected six municipalities are in the process of revising their strategies towards vision 2030. While MBM revised LED and Tourism strategy, and implementation plan was adopted in 2017, KM and OM were still in the process of reviewing their LED policies, strategies, and operational plans

### ***Specific challenges in LED***

The study revealed some specific challenges in LED that tend to derail its success. These amongst things include capacity/resources challenges, poor implementation, a lack of trust and some exogenous concerns, such as political, socio-economic and ecological/environmental challenges. The concerns of poor implementation can be associated with capacity/resources constraints within the municipality.

#### *a) Capacity/resources challenges*

Funding to this type of initiative is limited across the six municipalities, especially municipalities with low economic base such as KM and OM. It was equally revealed in the study that SM, one of the six municipalities have no well-functioning dedicated LED unit.

#### *b) Poor implementation*

The study revealed that effective implementation of LED across the six municipalities is hampered by lack of capacity/resources. This was learnt to be more precarious in municipalities like KM and SM struggling with implementation problems of LED policy and strategy. Experience from the study have shown that only two out of the selected six municipalities have an updated implementation plan

#### *c) Lack of trust*

The study maintained that the success of institutional arrangement to develop and consolidate collaborative practices amongst team members/role-players depends on

factors based on, amongst other things, interpersonal processes or interactional determinants, such as mutual trust and respect. This relates to a situation where role-players assume good intention on the part of each other based on reciprocity of trust and respect to boost their confidence on the performance outcomes of the arrangement. In municipalities such as Oudtshoorn, KM and SM, the study revealed an instance of mistrust between the role-players.

#### *d) Exogenous concerns*

Two exogenous factors are discussed in this context, namely, ecological/environmental and political concerns.

##### *Ecological/environmental concerns*

This challenge is across the six municipalities as the economies of these municipalities are primarily on agriculture, forestry, fishing and tourism that can easily be impacted upon by environmental/ecological factors like drought, flood and excessive wind. These factors, as revealed in the study, are more prevalent in municipalities, such as KM, HM and Oudtshoorn.

##### *Political concerns*

Political office bearers do not understand their roles and mandate with regards to administration and operational functions causing gross interference in the administration. For the last decade OM encountered unique challenges which include political instability, two periods of Administration and subsequent periods of recovery

#### ***Institutional arrangements***

The empirical study identified various challenges in the current institutional arrangements for LED. Principally, these challenges are understanding roles and responsibilities; silos approach; governance structure; communication and resources/capacity constraints. The role-players' failure to understand their roles and responsibilities in the arrangement can jeopardise the realisation of the arrangement's objectives.

*a) Understanding roles and responsibilities*

It was learned from the study that forum role-players across the six municipalities do not clearly understand their specific roles and responsibilities in the forum, though majority of the six selected municipalities have established mechanism to ensure that parties to LED institutional arrangements in their municipalities understand their respective roles and responsibilities. For example, municipalities like HM, Oudtshoorn, MBM and TM are actively employing tools, such as SOP, charter, or memorandum of understanding for this purpose

*b) Silos approach*

Tendency of working in silos was observed in some of the six selected municipalities

*c) Governance structure (inclusivity)*

In OM and MBM, for example, the study have revealed that although the structure is not all inclusive, specific parameters are taken into consideration in determining who should be invited to participate in any LED institutional arrangement within their municipalities. The Mayor tends to assume the leadership role in forums. The drawback is that he/she may lack the requisite leadership attributes to pilot successful collaboration.

*d) Communication*

Each municipality employed a combination of various communication resources for this purpose such as, newsletters, emails, print media, electronic media, fact sheets and meetings. None of the selected municipalities was in possession of a formalised communication plan. It can be deduced that lack of communication plan regarding the most appropriate means and time to reach out to role-players may jeopardise communication efficacy.

***Intergovernmental relations (IGR)***

The study established some challenges in IGR. This study established across the six selected cases that municipalities received inadequate intergovernmental supports to

foster developmental and statutory mandates within their municipalities. Several factors were established in the study affecting the effectiveness of IGR in the selected six municipalities. These factors fall under the following thematic areas:

*a) Perceived support levels*

This study established that the six municipalities receive non-financial support from the provincial and DMs. The support was established as inadequate and not always received on time. This challenge was indicated across the six selected municipalities, with MBM and OM as the only exceptions.

*b) Monitoring and reporting*

The prevailing theory of this study, coherent with government's outcome approach, is to diverge from assessing compliance to a more outcomes approach whereby the focus would be on developing outcomes-based framework/model that could be employed to assess whether IGR structures achieve their legislative mandate concerning promoting cooperation between spheres of government, aimed at ensuring that developmental outcomes and results are achieved.

Now the analytical question that need to be asked is about the efficacy of such monitoring and reporting system. This was found to be questionable.

*c) Issues of implementation*

Several implementation gaps were established. These divergences/gaps are: bottlenecks operations; silo approach of IGR implementation; fragmented and uncoordinated approach; poor attendance and commitment; a lack of governmental relations practitioners in municipalities, a lack of effective communication and follow-up to commitments; poorly and non-inclusive drafted agenda and a lack of documentation of proceedings.

d) Exogenous challenge

The study revealed the following factors: political and administrative instability and as well as the political will. The selected municipalities were found potentially susceptible to this phenomenon.

e) Roles and responsibilities

The study established that the design and practice are ambiguous of IGR as they relate to the articulation of roles and responsibilities of the three spheres of government in the IGR structures. The research indicated that this should be defined even where an overlap may exist, avoiding duplication of duties and to increase accountability for their actions. As maintained in the study, not one person can be justifiably held responsible for failure to comply with the *bogus* responsibilities.

### **Monitoring and evaluation**

Another concern is M&E where some rudiments for effective M&E of intervention were established as lacking, resulting to inadequate coordination of monitoring and reporting of performance in municipalities, specifically in collaborative endeavours aimed at improving system management and responsiveness to socio-economic concerns within the municipalities.

### 8.3.6.3 Recommendations

**Table 8.1: Recommendations**

Recommendations	Lesson learned	Remarks
<b>Policy and Legal framework</b>		
Reviewed local economic development policy and its associated legal framework	Outdated LED and its associated legal framework.	Revised legal policy framework relevant to modern realities (AI technologies, robotics and automatic applications)
Defined roles and responsibilities of role-players	Lack of clarity concerning roles and responsibilities	Articulated specific roles of the triumvirate in collaboration (municipality, business and the civil society)
Assigned roles to match role-player's strength and capabilities		
Policy integration and coordination mechanism	Uncoordinated and fragmented approach of policy documents, a lack of accountability and poor implementation	Coordination coherence of policies and strategies amongst various government spheres

Recommendations	Lesson learned	Remarks
<b>Institutional arrangements (Fora)</b>		
The legitimacy of purpose (Shared values and purpose)	Role-players' involvement/participation  Silos approach	Capacity building through formal and informal training for role-players/stakeholder; knowledge and information sharing.
Motivation/attainment of benefits	Role-players' involvement/participation	
Defined roles and responsibilities	Understanding roles and responsibilities	Use of Agreements, Memorandum of Understanding or Terms of reference
Adequate capacities/resources	Resources/capacity challenges; issues of implementation	Resources contributions from role-players  Capacity, knowledge, and information sharing
Level of communication (communication plan)	Lack of communication plan	Means of communication compatible to respective role-player's profile

Recommendations	Lesson learned	Remarks
<b>Institutional arrangements (Fora)</b>		
Leadership characteristics  Shared leadership	Issues of leadership attributes:  Facilitative, behavioural and knowledge attributes.	Shared leadership among the trio (municipality, business and civil society)
Degree of trust  Transparency, responsiveness, and accountability	Lack of trust; silos approach	Build trust between municipalities, business, and civil society  Knowledge and information sharing
Decision-making process: Inclusivity and power balance	Issues of inclusivity and power balance	A certain degree of participatory, responsive, and transparent decision-making and respect for the rule of law
Ground rules and accountability	Issues of accountability; roles and responsibilities	Ground rules helps to regulates the behaviour and practice of role-players in collaboration
Implementation plan	Poor implementation	
Dispute resolution mechanism	Lack of formalised dispute resolution mechanism	

Recommendations	Lesson learned	Remarks
<b>Intergovernmental relations (IGRs)</b>		
Defined roles and responsibilities	Clarity of roles and responsibilities	Use of Agreements, MoUs or Terms of Reference
Assigned roles congruent to role-players strength and capabilities	Issues of implementation	Minimise risks of poor implementation associated with incapacity.
Integrated and coordinated approach	Fragmented or duplicated approach	coordination and alignment of plans across government and other stakeholders (business and civil society)
Effective communication	Poor communication	
Good governance and accountability	Exogenous factors:  Political will Political and administration instability	Demonstrate clear benefits to stimulate political self-interest (political and economic benefits and reputations)
<b>Monitoring and evaluation</b>		
Systemic performance management-Use performance measuring indicators	Poor coordination of monitoring and reporting	Routinely assess the performance of cooperative governance for LED

Author's own (2020)

As shown in table 8.1 above the recommendation is grouped into the following thematic areas: Policy and legal framework; institutional arrangement; IGR; M&E

### ***Policy and Legal framework***

Enabling legal and institutional framework provide centrality to collaborative/cooperative governance of LED to function correctly. Below are the following recommendations in this context.

#### *Reviewed local economic development policy and its associated legal framework*

The study established LED policy and its associated legal framework as outdated in encountering the realities and complexities of contemporary local government development concerns. The LED national policy structure should be reviewed to reflect the complexities of contemporary development concerns in a global and local context. Therefore, a reviewed policy framework and strategy for LED is one of the key determinants of success in collaborative governance for LED.

#### *Defined roles and responsibilities of role-players*

The policy guidelines should articulate the specific roles and responsibilities of role-players, municipality, private and civil society. This assist in mitigating concerns of laissez-faire approach commonly associated with implementation and thus promote accountability amongst role-players.

#### *Assigned roles to match role-player's strength and capabilities*

The policy documents should ensure that assigned roles and responsibilities are congruent/compatible with the role-player's strengths and capabilities. This would assist in minimising problems of incapacity, which often lead to poor implementation, as observed in the study.

*Policy integration and coordination mechanism*

Reported cases of fractured and uncoordinated approach could be reduced by introducing measures aimed at facilitating policy alignment and collaboration towards achieving better efficiency.

***Institutional arrangements***

The study established that, for LED to be effective, a need exists for functional institutional arrangements within municipalities that can transform policies and strategies into meaningful interventions in conjunction with all relevant stakeholders. The study identified some principal factors to be considered in designing and implementing institutional arrangements to enhance efficiency and effectiveness in collaborative governance for LED, specifically in the selected six municipalities. These factors are as discussed below:

*The legitimacy of purpose (Shared values and purpose)*

An essential requirement for building a collaborative culture is the presence of a legitimate sense of purpose. The legitimacy of purpose as it applies to shared values and mission transparency are parameters used by role-players/stakeholders to measure the ability of collaboration to achieve perceived outcomes. It is recommended that the purpose of collaboration should be of mutual reflecting local realities.

*Motivation/attainment of benefits*

The study established that effective collaboration pursues, amongst other things, to achieve municipal development goals, improve organisational learning and increase interaction between role-players/stakeholders. Put simply, the need or the rationale for collaborating as defined by collaboration, provides impetus to the participation/involvement of role-players in collaboration. Collaboration is more likely to succeed when the interest/benefits of the respective role-players (municipality, business and civil society) are incorporated in the design, implementation and assessment of the initiative.

*Adequate capacities/resources*

The study identified resources/capacity constraints as a major concern for the success of LED arrangements across the six selected municipalities. The availability of adequate resources was considered as a salient variable to be considered in achieving productive collaboration in LED within the municipalities. This can be enhanced through contributions from role-players or by pooling resources from various role-players.

*Level of communication (communication plan)*

The study identified communication effectiveness as a fundamental factor for collaboration success, specifying the extent of communication enhancement amongst role-players. An effective communication plan is recommended to reach out to role-players.

*Leadership characteristics*

The fundamental importance of facilitative leadership was established in the study as a key element in convening and steering collaborative arrangements. The collaborative process requires a good-spirited, innovative, and entrepreneurial leadership with encompassing interest to deliver initiatives producing shared benefits through a shared system of actions. These arguments address a fundamental concern that certain facilitative skills and proficiency are required for collaborative leaders to identify, coordinate, and manage the collaborative process proactively. These are facilitative, knowledge and behavioural related attributes. Such facilitating skills emerging from this study are listening skills; enabling skills; connecting skills; championing skills; strong negotiation skills; relationship and team-building skills; and influencing skills.

Another required proficiency is knowledge related attributes regarding, understanding mandates and other institutions; economic development knowledge; local knowledge of the environment; effective analytical and decision-making skills. Lastly, related behavioural attributes are required of collaboration leadership such as honesty and openness; flexibility; compliance to legislation and institutional arrangement; respects and democratic behaviour. Given the structure of the development fora within the context of the six selected municipality, more often the executive Mayor of the municipality undertakes the facilitative

leadership role. Mayor or any senior management staff of the municipality such as LED manager, IDP manager should possess the requisite leadership attributes to facilitate a successful collaboration. Importantly, shared leadership is recommended in this context. A municipal representative should co-lead fora with other role-players, specifically representatives from business and civil society.

#### *Degree of trust*

The study indicated that trust is needed to enhance collaborative outcomes. Provided the level of uncertainties frequently associated with collaborations; therefore, a lack of trust threatens the commitment of role-players to the collaborative process. Trust amongst the role-players (Municipality, private and civil society) may be built through good governance where transparency, responsiveness and accountability are highly embedded in the ethos of the institutional arrangement.

#### *Decision-making process: Inclusivity and power balance*

The decision-making process in a collaborative arrangement can be improved through inclusiveness and equitable power-sharing amongst the role-players in the decision-making processes. A collaborative regime must be characterised by a balanced power shared by the triumvirate, municipality, private sector and civil society.

#### *Ground rules and accountability*

This study indicated that formidable ground rules that profoundly articulate and incorporate the respective roles and responsibilities of the role-players involved, and authentic reporting and iterative engagement with key role-players, assist to foster accountability in collaboration. A ground-rule in collaborative arrangement assists in regulating the behaviour of the role-players in the arrangement. Ground rules should reflect the input and concerns of the trio, vis-à-vis, municipality, private sector and civil society.

#### *Implementation plan*

A need exists for an implementation plan to guide the processes and procedures of the arrangements regarding the governance structure of the institutional arrangement for LED.

Implementation plan should reflect input and concerns of all role-players (Municipality, private sector and civil society).

#### *Dispute resolution mechanism*

Mechanism to resolve arising conflicts in the arrangement must be established. Arising conflicts in the arrangement may be resolved through Arbitration process.

#### ***Intergovernmental relations (IGRs)***

IGRs aim to promote cooperation across the government's three levels. Fundamentally, one of the overarching principles underpinning IGR approach is the nature of supports to be provided to municipalities by the district, provincial and national governments. This study established across the six selected cases that municipalities received inadequate intergovernmental supports to foster developmental and statutory mandates within their municipalities. Provided the myriad of emerged concerns in this context, the following key factors were recommended for consideration in the design of resourceful IGRs aimed at providing adequate support to municipalities. These factors are:

##### *Defined roles and responsibilities*

The role and responsibility of the various levels of government in IGRs need to be defined to avoid ambiguity and fragmentation of roles and responsibilities.

##### *Assigned roles congruent to role-players' strength and capabilities*

In addition to articulation of role and responsibility, delegated tasks, and duties, must match the strength and capability of the participating authority. Put simply, the one-size-fits-all approach of assigning roles and responsibilities should rescind and be replaced by a more flexible context-based approach.

##### *Integrated and coordinated approach*

An integrated and coordinated implementing approach of IGR should be considered, ensuring that responsibilities are not fragmented or duplicated.

*Effective communication*

Effective communication between the three branches of government was reported in the study as a crucial requirement for the productive performance of IGRs. A communication plan is required where various channels, ensuring effective communication are structured, enhancing IGR communication.

*Good governance and accountability*

Good governance relates to the ability of IGRs to achieve appropriate development policy objectives, aimed at sustainably developing its society. Good governance centres on how efficiently resources are allocated and managed, directed by accountable role-players in IGRs and executed by a resolute team of professionals collectively to address socio-economic concerns within municipalities. Good governance that is participatory, consensus orientation, accountability, transparency, unbiasedness, responsiveness, inclusiveness, and compliance to the rule of law is recommended in this context.

**Monitoring and evaluation**

Another major factor that emerged from the study was the concern of M&E. In this regard, some rudiments for effective M&E of LED and cooperative governance across the six selected municipalities were established as lacking, resulting in inadequate coordination of monitoring and reporting of municipal performance. The study recommended employing systemic performance management to improve the coordination of monitoring and evaluation systems within municipalities through formative and summative monitoring and reporting system.

Employing an outcome performance measuring framework as advanced in this study, is recommended. In contrast to the orthodox practice of monitoring and reporting in municipalities, with a sharp focus on delivery targets, defined as outputs, the evolved performance measuring framework from this study, focused on the objectives and perceived outcomes of cooperative governance and LED.

Provided this recommendation, monitoring and reporting performance should be a belief across the spectrum, regarding, policy and enabling legal frameworks, institutional arrangements, and IGRs. Monitoring and reporting need to be conducted on policy performance as it relates to achieving the desired objectives. Design and implementation of institutional arrangements and IGRs should be regularly monitored and evaluated for performance review. This process would, therefore, assist in providing reports or feedback on the performance of policies, institutional arrangements and IGRs as to determine what is functioning to replicate in the form of good practice and what is under-performing for possible review.

#### **8.4 STUDY LIMITATIONS**

Focus group discussions with Mayors and Mayoral committee members could only be held in three of the six selected local municipalities. The reason is their lack of willingness to participate in the focus group discussions. This presents the strength of the triangulation outcomes. An alternative focus group was held with municipal officials at the affected municipalities' district offices. Participants provided suitable insights into their views and experiences of LED and cooperative governance in the three local municipalities concerned. Relevant documents were reviewed pertaining to the theory and practice of LED and cooperative governance in the three affected municipalities.

#### **8.5 DIRECTIONS FOR FUTURE RESEARCH**

Provided the importance of the proposed outcome measurement framework/model evolving from this study, aspire to improve the design, implementation, and assessment of LED-based cooperative governance. Subsequent/future research can be conducted to establish common outcome indicators based on the constructed framework in this study. Future research can be conducted to determine whether the methodology exhibited in this study would produce the desired results when evaluated in comparable towns.

#### **8.6 CONCLUDING REMARKS**

The study's main objective was to assess the specific factors involved in designing and implementing cooperative governance for LED in selected, comparable municipalities in

the Western Cape. The study discussed the two concepts, LED and cooperative governance, providing the operationalisation of both concepts to assess the extent of implementing these practices, identifying problems and constraints encountered during implementation. This assisted to comprehend the circumstance and how cooperative governance can contribute to improve system management and responsiveness to socio-economic concerns within municipalities. The study explored the phenomenon of LED and cooperative governance from the perspectives of the LED key role-players/stakeholders within the six municipalities. Findings, insights, theoretical propositions, clarifications, and eventual recommendation/conclusion emerging from the study are grounded in the experiences of the participants on LED and cooperative governance.

This study aimed to develop a conceptual framework while identifying factors for the design, implementation, and assessment of cooperative governance for LED in small towns. This conceptual framework, assessing cooperative governance in LED, provided a model to define the specific concerns to be considered in the design and assessment of cooperative governance strategies for LED. This study created an opportunity to effectively deal with equivocal concepts such as cooperative governance and LED, through a novel developed and implemented approach, employed to assess cooperative governance and LED in South African context, specifically within the six selected municipalities in the Western Cape is considered a relevant contribution. Incorporating this conceptual framework with existing local knowledge, comprehending cooperative governance in South African municipalities, is considered as an additional contribution of the study.

The study sought to establish a normative performance framework with the potential to influence the outcomes and criteria employed in monitoring cooperative governance aimed to achieve the appropriate developmental objectives for sustainable development of its society. In this regard, an outcome measuring framework/model for measuring perceived outcomes in cooperative governance and LED was developed and can be considered as an additional contribution. The study findings also indicated the need to strengthen the monitoring and reporting system within the municipalities established as poorly coordinated and sharply focused on delivery targets, defined as outputs rather than outcomes.

This research explored and discussed the primary policy and legal framework, promoting cooperative governance for economic development in local municipalities. The study comparatively examined cooperative governance and LED's functioning in selected municipalities of a small town. It also explored the pull and push factors for the successful functioning of cooperative governance, aimed at promoting LED in those municipalities. The study identified and analysed the key challenges and constraints in the functioning of LED and cooperative governance within the six municipalities. Following this diagnosis, the study included some suggestions on strategies to overcome the challenges and limitations, explaining the divergence/gaps, policy formulation and practice.

The complex relationships between LED and cooperative governance were examined in the study, evolving a normative framework allowing LED stakeholders' perspectives, problems, views and opportunities, related to cooperative governance approaches to be assessed and recognised. Provided the capabilities perspectives, this study anticipated to provoke critical research and discourse on the potential of cooperative governance to produce the quality of life that individuals deserve. It is expected that the research outcomes would assist in reorienting approaches to locality development, precipitating resilient and sustainable cooperative governance forms, capable of improving system management and responsiveness to socio-economic concerns within the municipalities. The study concludes, endeavouring to uncover the divergencies/gaps in collective local governance matters within the comparable municipalities and advanced context-based recommendations to bridge these identified gaps/divergences.

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## **APPENDICES**

### **APPENDIX A: QUESTIONNAIRE/INTERVIEW SCHEDULE**

#### **QUESTIONNAIRE / INTERVIEW SCHEDULE**

COOPERATIVE GOVERNANCE AND LOCAL ECONOMIC DEVELOPMENT IN SELECTED SMALL TOWNS IN THE  
Western Cape Province

Richard Douglas Kamara

072 6534190

15118843@sun.ac.za

JULY 2018

**GENERAL:**

This questionnaire/interview schedule was developed for the purposes of consulting members of the LED collaborative arrangements and other key LED stakeholders in the selected six municipalities in the Western Cape to determine the specific factors to be considered in the design and the assessment of cooperative governance for LED. The findings will reflect on amongst other things, best practice, lessons of experience for future purposes and the development of normative performance indicators to be used for the design, implementation and assessment of performance in cooperative governance regime in the context of localised economy. The interview schedule covers five dimensions for the practical guide, indicating:

- Nature and potentials of LED
- LED enabling policy and legislation, M&E
- Institutional arrangements for LED and cooperative governance
- Intergovernmental relations
- Push and pull factors for successful LED collaboration

The push and pull factors for successful cooperative governance are further segmented into seven categories, indicating:

- Purpose/perceived legitimacy/shared
- Governance structure

- Communication
- Interpersonal relations/trust/personal characteristic
- Partners characteristics
- Leadership/change management
- Motivation

Further information about the collaborative arrangements can be obtained from government documentation including the LED strategy and framework, Municipal Structure Act, IDP plan, forum Terms of Reference and the MoU. This questionnaire and interview schedule will be used as a framework for both respondents that complete the questionnaire in their own time and for discussion with interviewees in an interview situation. Respondents should note that their confidentiality would be upheld. The identity of interviewees will be protected and individual names or statements will not be used in the report. responses will be consolidated and research findings will be presented in aggregated fashion.

NAME OF RESPONDENT : .....

NAME OF ORGANISATION.....

POSITION IN THE ESTABLISHMENT:.....

DATE OF COMPLETION OF QUESTIONNAIRE/INTERVIEW SCHEDULE:

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## SECTION A:NATURE AND POTENTIAL OF LOCAL ECONOMIC DEVELOPMENT

1. What is LED initiatives in the municipality concerning its potential to contribute to the development of the locality?

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2. Please identify the specific challenges faced in your area as per LED implementation?

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3. How could these challenges be overcome?

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## **SECTION B: POLICY AND LEGISLATION, M&E**

4. What is your own assessment of the LED enabling policy and strategy in promoting cooperative governance for LED? Please comment:

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5. How does the policy promote accountability amongst the state, business and civil society in a collaborative initiative for LED? Please comment:

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6. What are the challenges that needs to be addressed to make the policy and strategy work?

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### **SECTION C: INSTITUTIONAL ARRANGEMENTS FOR LOCAL ECONOMIC DEVELOPMENT AND COOPERATIVE GOVERNANCE**

7. Please identify the specific strength and weaknesses of the various institutional arrangements concerning achieving the objectives of LED:

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8. Please identify how the weaknesses can be overcome

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9. Please describe the mechanism prepared to resolve any arising conflicts between the role-players in the various institutional arrangements

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### **SECTION D: INTERGOVERNMENTAL RELATIONS**

10. Describe the nature of supports that you do receive from the district/provincial/national government through IGR.

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11. Kindly identify in general the most important lesson of experience concerning the good and bad practices of IGR that you were part of?

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12. Please identify the challenges that needs to be addressed to make the IGR work?

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## **SECTION E: PULL AND PUSH FACTORS**

### **Purpose/perceived legitimacy/shared vision**

13. How would you describe the developmental goals of the municipality concerning its legitimacy, clarity of purpose and strategies?

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### **Governance structure**

14. From your own experience, please explain how the operational policies and procedures that governs the collaboration of various institutional arrangements for LED are determined?

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15. How does the structure promote power sharing and inclusiveness in its decision-making process?

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16. Please provide comment on the structure concerning its clarity of ground rules, roles and responsibilities of different role-players?

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17. Please describe the mechanism prepared to promote shared accountability amongst the role-players

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## **Communication**

18. How is communication between the various role-players in the arrangements managed? Please comment:

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### **Interpersonal relations/trust/personal characteristic**

19. Please comment on the level **of trust that** exist between the role-players?

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### **Partners characteristics**

20. Please describe the characteristics of the role-players concerning their capacity (resources) to contribute towards the accomplishment of the municipal developmental goals

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### **Partner's learning/outcomes**

21. Please comment on the ability of collaboration to enhance the knowledge of its role-players

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22. Please describe the process prepared to routinely assess the collaboration and the incorporation of its outcomes into development stream?

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### **Leadership/change management**

23. Please explain the type of leadership characteristics required to drive the various institutional arrangements towards effective collaboration.

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### **Motivation to collaborate**

24. Please comment on the achievement of your organisational perceived benefits to participate in LED collaborative process.

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25. In your own opinion, what do you think are the major factors that determines the efficiency of cooperative governance for LED?

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THANK YOU FOR YOUR PARTICIPATION!

## **APPENDIX B: FOCUS GROUP SCHEDULE**

### **FOCUS GROUP SCHEDULE**

COOPERATIVE GOVERNANCE AND LOCAL ECONOMIC DEVELOPMENT IN SELECTED SMALL TOWNS IN THE  
Western Cape Province

Richard Douglas Kamara

072 6534190

15118843@sun.ac.za

JULY 2018

## **1. Introduction to the session**

Good day. My name is Richard Douglas, a PhD Student at University of Stellenbosch. I would like to start off by thanking each of you for taking your time to participate today. We'll be here for about an hour.

The purpose of this focus group is to gather your opinions and attitudes about the issues related to cooperative governance and local economic development.

I am going to lead our discussion today. I will be asking you questions and then encouraging and moderating our discussion.

I would also like you to know this focus group will be taped recorded. The identities of all participants will remain confidential. The recording allows us to revisit our discussion for developing research and presentation.

Before we start, I would like to know little about each of you. Please can you tell me:

1. Your name
2. What your role is with Municipality

## **2. Focus group questions**

1. What are the specific challenges being faced by the municipality as far as the implementation of LED strategy is concerned?

2. How has the various municipal institutional arrangements for LED been able to foster cooperative governance within the municipality?
3. In your own opinion, what do you think are the major factors that determines the efficiency of cooperative governance for LED?

### **3. Closing**

Thanks for coming today to talk about these issues. Your comments have given me lots of different ways to observe this issue. I thank you for your time.

## APPENDIX C: CORRESPONDENCE LETTERS



11/09/2017

REF: RD/RQL/KANNALAND/001

MNR. REYNOLD STEVEN  
Municipal Manager  
Tel: +27 (0) 28 551 1023  
[mm@kannaland.gov.za](mailto:mm@kannaland.gov.za)

cc  
[wilmie@kannaland.gov.za](mailto:wilmie@kannaland.gov.za)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist you in your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

.....  
Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/HESSEQUA/001

Mr. Johan Jacobs

Municipal Manager

Tel: 028 713 8000

Fax: 086 401 5118

E-mail: [mm@hessequa.gov.za](mailto:mm@hessequa.gov.za)

CC

Secretary

Martha Theart

Tel: 028 713 800

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

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Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/THEEWATERSKLOOF/001

MNR. Jan Barnard  
Acting Municipal Manager  
Tel: 028 214 3300  
Email Address: janba@twk.org.za

cc.  
Annette Swart  
Email Address: annettesw@twk.org.za  
028 214 3363

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

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Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

.....  
Richard Douglas (Student No. 15118843)



11/09/2017

REF: RD/RQL/SWELLENDAM/001

MNR. H. Schlebusch  
Acting Municipal Manager  
Tel: 028 514 8500

Email: [hennies@swellenmun.co.za](mailto:hennies@swellenmun.co.za) / [info@swellenmun.co.za](mailto:info@swellenmun.co.za)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

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Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/SWELLENDAM/001

MNR. H. Schlebusch  
Acting Municipal Manager  
Tel: 028 514 8500

Email: [hennies@swellenmun.co.za](mailto:hennies@swellenmun.co.za) / [info@swellenmun.co.za](mailto:info@swellenmun.co.za)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

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**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

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Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190





11/09/2017

REF: RD/RQL/MOSSEBAY/001

Adv T Giliomee  
Municipal manager

Tel: 044 606 5000  
Fax: 044 606 5062 (Fax)  
[admin@mosselbay.gov.za](mailto:admin@mosselbay.gov.za)

cc  
Secretary: Erlene Westerberg  
Tel: 044 606 5003 (Direct)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

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I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist you in your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/OUDTMUN/001

MNR. Allen Paulse  
Municipal Manager  
Tel: +27 (0) 44 203 3004  
Fax: +27 (0) 44 203 3042  
cc  
Secretary:  
Suerhete Fransman  
E-mail: [suerhete@oudtmun.gov.za](mailto:suerhete@oudtmun.gov.za)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist you in your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/OVERBERG/001

David Beretti  
Municipal Manager  
Overberg District Municipality  
26 Long Street  
Private Bag X22  
Bredasdorp 7280  
Email: [mm@odm.org.za](mailto:mm@odm.org.za)  
Tel: 028 425 115

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR DISTRICT MUNICIPAL AREA**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist you in your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



11/09/2017

REF: RD/RQL/EDEN/001

Mr Monde Stratu  
Municipal Manager

Ms Erina De Villiers  
Executive Personal Assistant  
Tel: +27(0)44 803 1300  
E-mail: [rekords@edendm.gov.za](mailto:rekords@edendm.gov.za)

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR DISTRICT MUNICIPALITY**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

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Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

.....  
Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



21/08/2018

REF: RD/RQL/COGTA/001

Attention: Mr. Dan Metlana Gorbachev Mashitsho

Director General

Department of Cooperative Governance and Traditional Affairs

Pretoria 002

Tel: 012 334 5846

Dear Sir,

**SUB: A REQUEST FOR A PERMISSION TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR DEPARTMENT (COGTA)**

I, RICHARD DOUGLAS KAMARA do hereby humbly request your good office to allow me to conduct a socio-economic research in your national department. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Development Management.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, as indicated in the approved title of my dissertation:

Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape

I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

.....  
Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



27/08/2018

REF: RD/RQP/SALGAWC/001

Attention: Mr. Khalil Mullagie

SALGA Provincial Office

Cape Town

Western Cape

Email address: kmullagie@salga.org.za

Dear Sir

**SUB: A REQUEST FOR A PERMISSION TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN YOUR ORGANISATION (SALGA)**

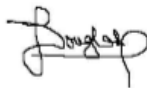
I, RICHARD DOUGLAS KAMARA do hereby humbly request your good office to allow me to conduct a socio-economic research in your national department. I'm currently registered with Stellenbosch University undergoing my Doctoral degree programme in Public and Management and Development.

I will be looking at the specific factors involved in the design and implementation of Cooperative Governance for Local Economic Development (LED) in selected comparable municipalities in Western Cape province, namely, Swellendam, Theewaterskloof, Mossel bay, Oudtshoorn, Hessequa and Kannaland municipalities as indicated in the approved title of my dissertation:

**Cooperative Governance and Local Economic Development (LED) in selected small Towns in Western Cape**

I hope your good office will grant me the permission to go ahead with this research as its outcomes may assist your future design and implementation of Cooperative governance for LED programmes.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Richard Douglas'.

Richard Douglas (Student No. 15118843)

Mobile No: 27726534190



Posbus 30 P.O. Box  
LADISMITH  
6655

[info@kannaland.co.za](mailto:info@kannaland.co.za)  
Tel : (028) 551 1023  
Fax : (028) 551 1766

Kerkstr. 32 Church St.  
LADISMITH  
6655

<i>Verwysing:</i>	<i>Navrae:</i>	<i>Datum:</i>
<i>Reference:</i> 4/4/2/1	<i>Enquiries:</i> Municipal Manager	<i>Date:</i> 09 March 2018

Richard Douglas MA (NMU) PhD Candidate (SU)  
DOUQUALI CONSULTING SERVICES (PTY) LTD  
122 Heron Cove, Gle Road  
Table View 7441  
CAPE TOWN  
8000

Dear Mr Douglas

**RE: PERMISSION TO CONDUCT SOCIO ECONOMIC RESEARCH STUDY IN  
KANNALAND**

This correspondence has reference to above-mentioned request.

Permission is hereby granted to you in order to conduct the research study within the Kannaland Municipal boundaries.

If any assistance is needed concerning municipal statistical information, please do not hesitate to enquire any support in this regard.

We wish you a fruitful and successful journey with you research and the outcome thereof.

Yours faithfully

**R STEVENS  
MUNICIPAL MANAGER**

*Rig alle korrespondensie aan die Munisipale Bestuurder • Address all correspondence to the Municipal Manager*

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**HESSEQUA**  
Munisipaliteit / Municipality / U Masipala



*Rig alle korrespondensie aan die Munisipale Bestuurder  
Address all correspondence to the Municipal Manager*

Tel: (028) 713 8000  
Faks / Fax: 086 401 5193  
Posbus / P.O. Box 29, RIVERSDAL(E), 6670  
E-pos / E-mail: [info@hessequa.gov.za](mailto:info@hessequa.gov.za)  
[www.hessequa.gov.za](http://www.hessequa.gov.za)  
Van den Bergstraat  
RIVERSDAL(E)

Verw. / Ref: Our ref:

Navrae/Enquiries: M GRIESEL

23 August 2018

#### **INSTITUTIONAL PERMISSION LETTER**

**INSTITUTION NAME & ADDRESS:** Hessequa Local Municipality, PO Box 29, RIVERSDALE, 6670

**INSTITUTION CONTACT PERSON:** Municipal Manager: Mr Johan Jacobs

**INSTITUTION CONTACT NUMBER:** 028 713 8001

**INSTITUTION EMAIL ADDRESS:** [mm@hessequa.gov.za](mailto:mm@hessequa.gov.za)

R Douglas MA PhD Fellow (Stellenbosch)

Douquali Consulting Services (Pty) Ltd

122 Heron Cove

Gie Road

Table View 7441 Western Cape SA

Tel: 072 653 4190

Fax2email: 086 611 2288

E-mail adress: [Douqualiconsultingservices@outlook.com](mailto:Douqualiconsultingservices@outlook.com)

Dear Richard Douglas

#### **STREEKKANTORE / REGIONAL OFFICES**

ALBERTINIA  
Tel: (028) 713 7858

STILBAAI  
Tel: (028) 713 7831

SLANGRIVIER  
Tel: (028) 713 7892

JONGENSFONTEIN  
Tel: (028) 713 7850

HEIDELBERG

GOURITSMOND

WITSAND

Scanned with CamScanner

We have reviewed your request to conduct a research project involving Request to conduct Socio Economic Research in Hessequa Municipal area in our Strategic Department, LED Department and our Social Development Department . You have permission to utilize the research for this project as defined in your "Project Proposal".

The following stipulations should be observed:

The etchics code of the Stellenbosch University must apply and the privacy of individual participant will be protected and respected.

Prior permission to access documents will be in writing to Ms Elana Lotteriet ([elana@hessequa.gov.za](mailto:elana@hessequa.gov.za)) and Mr Louw de Villiers ([louw@hessequa.gov.za](mailto:louw@hessequa.gov.za)) and Mr Raymond Heunis at ([raymond@hessequa.gov.za](mailto:raymond@hessequa.gov.za))

Sincerely,

**Name:** Ms Elana Lotteriet, Mr Louw de Villiers and Mr Raymond Heunis.

Signed by the Municipal Manager, mr Johan Jacobs on 2018-08-23.

  
.....  
**J JACOBS**  
**MUNICIPAL MANAGER**

Scanned with CamScanner



**Theewaterskloof**  
Municipality

Theewaterskloof Municipality Head Office  
6 Plain Street  
P.O.Box 24  
Caledon  
7230  
Telephone: +27 (28) 2143300  
Fax: +27 (28) 2141289  
Website: [www.twk.org.za](http://www.twk.org.za)

29 August 2018

Richard Douglas MA PhD Fellow  
122 Heron Cove  
Gle Road  
TABLE VIEW  
7441

E-mail: [douqualiconsulting@outlook.com](mailto:douqualiconsulting@outlook.com)

Dear Mr Douglas

**LETTER OF SUPPORT**

I hereby wish to inform you that the Theewaterskloof Municipality have approved your request of conducting a research study in Cooperative Governance for Local Economic Development (LED) in the Municipality.

You may arrange the interviews during lunch breaks and not during office hours.

Yours faithfully

G F Matthyse  
Municipal Manager

Villiersdorp Tel: (028) 840 1130 | Greyton Tel: (028) 254 9620 | Riviersonderend Tel: (028) 261 1360  
Caledon, Botriver, Tessaarsdal Tel: (028) 214 3365 | Genadendal Tel: (028) 251 8130 | Grabouw Tel: (021) 859 2507

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# OUTDSHOORN

Munisipaliteit • Umasipala • Municipality

69 Voortrekkerweg / Umgago Voortrekker / Road  
Posbus / Ibokhal yeposi / P.O. Box 255  
Tel. nr. / Imfonomfano / Tel. no.: +27(0)44 203 3000  
Faks / I-fax / Fax: +27(0)44 203 3104

OUTDSHOORN 6625  
OUTDSHOORN 6620

A TOWN TO WORK, LEARN, PLAY AND PROSPER

E-mail/E-pos: [post@oudtmun.co.za](mailto:post@oudtmun.co.za)  
Webiste/Webwerf: [www.oudtmun.gov.za](http://www.oudtmun.gov.za)

REFERENCE: SP  
ENQUIRIES : A A PAULSE

OFFICE OF THE MUNICIPAL MANAGER

12 September 2018

Richard Douglas MA PhD Fellow (Stellenbosch)  
122 Heron Cove  
Gie Road  
Table View 7441  
Western Cape  
South Africa

Dear Sir/Madam

## CONDUCT SOCIO-ECONOMIC RESEARCH

This letter serves as confirmation that Mr Richard Douglas has conducted a socio-economic research at Oudtshoorn Municipality.

If you require any additional information, please feel free to contact me at (044 203 3004) or e-mail at [apaulse@oudtmun.gov.za](mailto:apaulse@oudtmun.gov.za).

Yours faithfully

A.A Paulse

Municipal Manager: Oudtshoorn Municipality

Rig alle korrespondensie aan die Munisipale Bestuurder • Thumela yonke imbalelwano ku Mphathi-Masipala  
Address all correspondence to the Municipal Manager

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1

# Swellendam

*Munisipaliteit*

Munisipale Kantoor  
Posbus 20  
SWELLENDAM, 6740  
Tel. (028) 5148500  
Faks No. (028) 5142694



*Municipality*

Municipal Office  
P.O. Box 20  
SWELLENDAM, 6740  
Tel. (028) 5148500  
Fax No. (028) 5142694

e-pos / e-mail : [info@swellenmun.co.za](mailto:info@swellenmun.co.za)

Date : 23 August 2018

Email : [Douqualiconsultingservices@outlook.com](mailto:Douqualiconsultingservices@outlook.com)

Richard Douglas MA PhD Fellow  
Certified Atlas.ti Professional Trainer (CAPT)  
122 Heron Cove  
Gie Road  
TABLE VIEW  
7441

Dear Sir

## REQUEST TO CONDUCT SOCIO-ECONOMIC RESEARCH

We confirm that the Swellendam Municipality granted you approval to conduct research on and in the municipality on the basis that the work conducted does not affect the regulations and legislation governing PAJA and PAIA.

The non-confidentiality of the research will result in the findings of the research being made available in the public domain. In this regard the Swellendam Municipality confirms its approval for the research.

Sincerely

ANTON GROENEWALD  
MUNICIPAL MANAGER

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**MOSSSEL BAY MUNICIPALITY  
MOSSSELBAAI MUNISIPALITEIT  
UMASIPALA MOSSSEL BAYI**

In antwoord verwys na nommer  
In reply quote number  
Xa Uphendula chaza Le Nombolo

4/4/8;12/3/5/18/3/T Giliomee  
C4185038

Tel, imfonomfono: +27 (44) 606 5000  
Fax, ifeksi: +27 (44) 606 5062  
e-mail: admin@mosselbay.gov.za  
web: www.mosselbay.gov.za

30 August 2018

Mr R. Douglas  
Douquali Consulting Services (Pty) Ltd  
122 Heron Cove  
Gie Road  
TABLE VIEW  
7441

By e-mail: douqualiconsultingservices@outlook.com

Dear Sir

**REQUEST TO CONDUCT SOCIO-ECONOMIC RESEARCH: MOSSSEL BAY  
MUNICIPALITY**

Your correspondence dated 11 September 2017 with regards to the above refers.

This serves to confirm that permission was granted by our Local Economic Development Department for you to conduct the socio-economic research with the relevant employees, as requested.

Trusting that the above is in order.

Yours faithfully

**ADV. THYS GILIOME  
MUNICIPAL MANAGER**

101 Marshstraat | Street | Sitalato 101  
Privaatsak | Private Bag | Ingxowa Yeposi Ngu X29  
Mosselbaai | Mossel Bay | Bayi 6500

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NAVRAE: NU Klaas  
ENQUIRIES:  
KONTAKNR: 044 803 1307  
CONTACT NO  
VERW: SP  
REF:  
KANTOOR: GEORGE  
OFFICES:  
DATUM: 6 March 2018  
DATE



Douquali Consulting Services (Pty) Ltd  
122 Heron Cove  
Gie Road  
Table View  
7441  
Email: [Douqualiconsultingservices@outlook.com](mailto:Douqualiconsultingservices@outlook.com)

Dear Mr Douglas,

**PERMISSION TO CONDUCT RESEARCH: EDEN DISTRICT MUNICIPALITY**

Your letter dated 11/09/2017 regarding your request to conduct research has reference.

The municipality hereby grants permission to you to conduct the requested research within the relevant department.

The responsible official for LED is Ms M.Wilson and you may contact her on (044) 803 1354 or [melanie@edendm.gov.za](mailto:melanie@edendm.gov.za).

Hope you will find the above in order.

Yours faithfully

A handwritten signature in black ink, appearing to read "MG STRATU".

**MG STRATU**  
**MUNICIPAL MANAGER**

# OVERBERG



MBLD ASB/PLEASE QUOTE

Ons Verw./Our Ref.:

Navrae/Enquiries: D Beretti

DISTRIKSMUNISIPALITEIT  
DISTRICT MUNICIPALITY  
UMASIPALA WESITHILI

Privaatsak:  
Private Bag: X22  
BREDASDORP  
7280  
Tel.: (028) 4251157  
Faks/Fax: (028) 4251014  
E-mail/E-pos: [info@odm.org.za](mailto:info@odm.org.za)

23 August 2018

Richard Douglas MA PhD Fellow  
122 Heron Cove  
Gle Road  
Table View  
7441

Dear Sir

## LETTER OF SUPPORT

I hereby wish to inform you that the Overberg District Municipality supports your request of conducting a research study in Cooperative Governance for Local Economic Development (LED) in the municipality.

Yours faithfully

  
D P BERETTI  
MUNICIPAL MANAGER

Alle korrespondensie moet aan die Munisipale Bestuurder gerig word.  
All correspondence must be addressed to the Municipal Manager

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## cooperative governance

Department:  
Cooperative Governance  
REPUBLIC OF SOUTH AFRICA

Reference No.:

Dear Mr Douglas

### RE: APPROVAL TO CONDUCT A SOCIO-ECONOMIC RESEARCH

In reference to your email dated 19 September 2018 to our Deputy Minister, Honourable Mr Andries Nel.

We hereby confirm that the approval has been granted to you to conduct interviews with officials from our LED and IGR Chief Directorates.

You are welcome to contact the following Senior Managers:

Mr Kanyiso Walaza, Senior Manager, LED Chief Directorate, Email: [kanyisow@cogta.gov.za](mailto:kanyisow@cogta.gov.za), Tel.: 012 334 0844.

Mr Ashley Losch, Senior Manager, Intergovernmental Policy & Practice Chief Directorate, Email: [ashleyl@cogta.gov.za](mailto:ashleyl@cogta.gov.za), Tel.: 012 334 0793.

We wish you all the best with your research study.

Kind Regards

  
MR-DMG MASHITISHO  
DIRECTOR-GENERAL

DATE: 18/01/2019

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www.stilbaaibusiness.  
admin@stilbaaibusiness.  
admin@stilbaaisakekamer.  
Po Box 707, Stilbaai,

30/04/2019

Dear Mr. Douglas

**RE: APPROVAL TO CONDUCT A SOCIO-ECONOMIC RESEARCH**

With regards to your letter dated 14<sup>th</sup> January 2019,

We hereby confirm that the approval had been granted to you to conduct interviews with our official from the Business Chamber.

We wish all the best on your research project.

Kind regards,

A handwritten signature in black ink, appearing to read "R. Pretorius".

Mr. Ruan Pretorius

Chairman: Stilbaai Business Chamber

At the heart of business and well-being of community  
In die hart van besigheid en welnsyn van die gemeenskap



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Enquiries: Mr Khalil Mullaigie  
Tel : 021 446 9800  
Fax : 021 418 2709  
E-mail: [kmullaigie@salga.org.za](mailto:kmullaigie@salga.org.za)  
Cell: 082 883 8337

DATE: 3 September 2018

**RICHARD DOUGLAS**  
15118843@sun.ac.za

Dear Mr Douglas


**SUB: A REQUEST FOR PERMISSION TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN  
YOUR ORGANISATION (SALGA)**

With reference to your letter in the above-mentioned regard.

We herewith support your research initiative as per your request.

Please contact us if you have any queries.

Yours faithfully

pp   
**KHALIL MULLAGIE**  
PROVINCIAL EXECUTIVE OFFICER



Tel: 021 446 9800 | Fax: 021 418 2709  
PHYSICAL: SALGA House, 7<sup>th</sup> Floor, 44 Strand Street, Cape Town, 8000  
POSTAL: PO Box 185, Cape Town, 8001  
[www.salga.org.za](http://www.salga.org.za)

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Mr. Nezaam Joseph  
Director – Research, Economic Policy and Planning  
Email: [Nezaam.Joseph@westerncape.gov.za](mailto:Nezaam.Joseph@westerncape.gov.za)  
Tel: +27 483 5976

Mr. Richard Douglas  
(Per e-mail: [dougrichy@gmail.com](mailto:dougrichy@gmail.com))

**PERMISSION TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN THE DEPARTMENT OF  
ECONOMIC DEVELOPMENT AND TOURISM**

Dear Mr. Douglas

Your letter addressed to the head of department (Mr. Solly Fourie), dated 21 August 2018 hereby refers.

Kindly be advised that we are happy to assist you and facilitate contact with the relevant municipal officials.

Kind regards

**MR. NEZAAM JOSEPH  
DIRECTOR: RESEARCH, ECONOMIC POLICY AND PLANNING**

Date: 06/09/2018

[www.westerncape.gov.za](http://www.westerncape.gov.za)

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## APPENDIX D: CONSENT FORM



UNIVERSITEIT • STELLENBOSCH • UNIVERSITY  
jou kennisvennoot • your knowledge partner

### STELLENBOSCH UNIVERSITY

#### CONSENT TO PARTICIPATE IN RESEARCH

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Dear Sir

You are invited to participate in a study by Richard Douglas Kamara, from the School of Public Leadership at Stellenbosch University. You were approached as a possible participant because of your capacity as

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#### 1. PURPOSE OF THE STUDY

Essentially, I will be looking at the specific factors involved in designing and implementing cooperative governance for local economic development (LED) within the municipality. Thus, I would be interested in looking at the existing cooperative governance systems and structures prepared within the municipality with a special focus on the previous and existing development forum facilitated by the municipality in the past 5 years concerning its successes and failures and the driving forces behind the outcomes

#### 2. WHAT WILL BE ASKED OF ME?

If you agree to participate in this study, you will be asked to talk about the previous and existing development forum that you have been part of during the past five years. You will be asked to identify the various main stakeholders at the forum and their respective roles and responsibilities. The researcher would be interested in learning from you, your personal views, opinion and experience about the composition of the forum memberships/participants, systems and structures prepared to promote active participation of the main stakeholders in the forum

#### 3. POSSIBLE RISKS AND DISCOMFORTS

There's no possible risk involved as there would be no breach of confidentiality

#### 4. POSSIBLE BENEFITS TO PARTICIPANTS AND TO THE SOCIETY

The study findings will assist to discern between policy and practice of cooperative governance for LED as it pursues to identify the specific factors that determines the efficacy of cooperative governance for LED. As part of the perceived outcomes of the study, certain success indicators would be evolved from the study. These indicators can assist in the design and assessment of cooperative governance for LED aimed at improving system management and responsiveness to major socio-economic concerns within the municipalities.

## **5. PAYMENT FOR PARTICIPATION**

No payment will be received for participating in this research

## **6. PROTECTION OF YOUR INFORMATION, CONFIDENTIALITY AND IDENTITY**

Any information you share with me during this study and that could identify you as a participant will be protected. This will be conducted by treating the information (data) disclosed in a trust relationship and with the expectation that it will not be divulged without permission to others in a ways inconsistency with the understanding of original disclosure.

All human subject's data and associated study documentation are to be treated confidential and be code and stored in a secure manner in a cabinet with a combination lock, or a password-protected encrypted computer. Access will be restricted to only authorised persons

The study is basically for an academic purpose and the output of the study will eventually be published. Thus, copies of the published results could be established in libraries and university repertoires. Participants have the option to opt-out of their information shared.

The participants will have the opportunity to review/edit the recorded audio interview and access will be restricted only to authorised persons. As the data are used for educational purpose, after the study, the data will be de-identified and be stored securely for 5 years before they will be erased.

Concerning the issue about publishing the results, the researcher will ensure that the names of the participants are not being mentioned in the publication and direct quotations will be presented in such a way that prevents direct identification. If long quotations are supplied by participants or the whole texts are required in publications this must be agreed on in advance with the participants

## **7. PARTICIPATION AND WITHDRAWAL**

You can choose whether to be in this study or not. If you agree to participate in this study, you may withdraw at any time without any consequence. You may also refuse to answer any questions you do not want to

answer and still remain in the study. The researcher may withdraw you from this study if you are not following the study procedures or established deliberately providing false information

## **8. RESEARCHERS' CONTACT INFORMATION**

If you have any questions or concerns about this study, please feel free to contact Richard Douglas Kamara at School of Public Leadership, Bellville. Cell:0726534190; e-mail address:15118843@belpark.sun.ac.za, and the Supervisor Prof. Rabie Babette at School of Public Leadership, Bellville. Tel:0219184186, e-mail address:[babette.rabie@spl.sun.ac.za](mailto:babette.rabie@spl.sun.ac.za).

## **9. RIGHTS OF RESEARCH PARTICIPANTS**

You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research participant, contact Ms Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.

### **DECLARATION OF CONSENT BY THE PARTICIPANT**

As the participant I confirm that:

- I have read the above information and it is written in a language that I am comfortable with.
- I have had a chance to ask questions and all my questions were answered.
- All concerns related to privacy, and the confidentiality and use of the information I provide, were explained.

By signing below, I\_\_\_\_\_ agree to participate in this research study, as conducted by Richard Douglas Kamara.

\_\_\_\_\_  
**Signature of Participant**

\_\_\_\_\_  
**Date**

### **DECLARATION BY THE PRINCIPAL INVESTIGATOR**

As the **principal investigator**, I hereby declare that the information contained in this document was thoroughly explained to the participant. I also declare that the participant was encouraged (and was provided ample time) to ask any questions. In addition, I would like to select the following option:

	The conversation with the participant was conducted in a language where the participant is fluent.
	The conversation with the participant was conducted with the assistance of a translator (who has signed a non-disclosure agreement), and this "Consent Form" is available to the participant in a language where the participant is fluent.

30/08/2018

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**Signature of Principal Investigator**

**Date**

## APPENDIX E: RESEARCH ETHICS APPROVAL LETTER



### NOTICE OF APPROVAL

REC: Social, Behavioural and Education Research (SBER) - Initial Application Form

11 May 2020

Project number: 6777

Project Title: COOPERATIVE GOVERNANCE AND LOCAL ECONOMIC DEVELOPMENT IN SELECTED SMALL TOWNS IN THE WESTERN CAPE PROVINCE

Dear Mr Richard Kamara

Your response to stipulations submitted on 10 March 2020 was reviewed and approved by the REC: Social, Behavioural and Education Research (REC: SBE).

Please note below expiration date of this approved submission:

#### Ethics approval period:

Protocol approval date (Humanities)	Protocol expiration date (Humanities)
20 August 2018	19 August 2021

#### GENERAL COMMENTS:

##### 1. SUSPENSION OF PHYSICAL CONTACT RESEARCH ACTIVITIES AT SU

There is a **postponement of all physical contact research activities at Stellenbosch University**, apart from research that can be conducted remotely/online and requires no human contact, and research in those areas specifically acknowledged as essential services by the South African government under the presidential regulations related to COVID-19 (e.g. clinical studies).

Remote (desktop-based/online) research activities, online analyses of existing data, and the writing up of research results are strongly encouraged in all SU research environments.

Please read the REC notice for suspension of physical contact research during the COVID-19 pandemic: <http://www.sun.ac.za/english/research-innovation/Research-Development/sbecovid-19>

If you are required to amend your research methods due to this suspension, please submit an amendment to the REC: SBE as soon as possible. The instructions on how to submit an amendment to the REC can be found on this webpage: [\[instructions\]](#), or you can contact the REC Helpdesk for instructions on how to submit an amendment: [applyethics@sun.ac.za](mailto:applyethics@sun.ac.za).

##### INVESTIGATOR RESPONSIBILITIES

Please take note of the General Investigator Responsibilities attached to this letter. You may commence with your research after complying fully with these guidelines.

**If the researcher deviates in any way from the proposal approved by the REC: SBE, the researcher must notify the REC of these changes.**

Please use your SU project number (6777) on any documents or correspondence with the REC concerning your project.

Please note that the REC has the prerogative and authority to ask further questions, seek additional information, require further modifications, or monitor the conduct of your research and the consent process.

##### CONTINUATION OF PROJECTS AFTER REC APPROVAL PERIOD

You are required to submit a progress report to the REC: SBE before the approval period has expired if a continuation of ethics approval is required. The Committee will then consider the continuation of the project for a further year (if necessary).

Once you have completed your research, you are required to submit a final report to the REC: SBE for review.

#### Included Documents:

Document Type	File Name	Date	Version
Research Protocol/Proposal	R_Douglas_Doctoral_Proposal_SPL_Prof_Coning_Dr. babette	03/04/2018	1
Informed Consent Form	SU_HUMANITIES_Consent_form_template_Written_reviewed]	04/04/2018	v1
Default	draft_letter_reviewed	04/04/2018	v1
Data collection tool	Interview Schedule_QUESTIONNAIRE_Richard_July 25	25/07/2018	v2
Data collection tool	Focus group schedule_Richard_July 25	25/07/2018	v2
Default	scan0469	26/07/2018	v1
Default	Letter of Permission to conduct a socio economic study	26/07/2018	v1
Default	kanaland_letter[1]	26/07/2018	v1
Default	LETTER_EDEN[1]	26/07/2018	v1
Default	letter_hessequa[1]	26/07/2018	v1
Default	LETTER_OUDT[1]	26/07/2018	v1
Default	Letter_overberg[1]	26/07/2018	v1
Default	LETTER_SWELLENDAM[1]	26/07/2018	v1
Default	Letter_theewaterskloof_[1]	26/07/2018	v1
Default	Letter to Mr. Richard Douglas	02/03/2020	v2
Default	MR R DOUGLAS	02/03/2020	v2
Default	ODM Letter Research LED (1)	02/03/2020	v2
Default	Permission to conduct a Socio Economic research in your Organisation - SALGA (1)	02/03/2020	V2
Default	REQUEST TO CONDUCT SOCIO ECONOMIC RESEARCH	02/03/2020	V2
Default	Request to conduct socio-economic research	02/03/2020	V2
Default	scan0469_Eden	02/03/2020	V2
Default	SKM_36718090314260	02/03/2020	V2
Default	SKM_C28718082315000	02/03/2020	V2
Default	SKM_C55819012113570_COGTA	02/03/2020	V2
Default	SSK Richard Douglas Letter	02/03/2020	V2
Default	Response to REC stipulations	02/03/2020	RESPONSE TO STIPULAT
Default	507E677D-E37E-4155-AED3-281A168828EE (1)	02/03/2020	VC1
Default	Consent form_COGTA_CG	02/03/2020	VC1
Default	Consent form_Hope of Hope	02/03/2020	VC1
Default	Consent Letter_Richard_mossel bay_LED officer	02/03/2020	VC1
Default	Consent_form_COGTA_Walaza	02/03/2020	VC1
Default	Consent_form_OASIS	02/03/2020	VC1
Default	Consentform_research_Dedat	02/03/2020	VC1
Default	Oct 30, Doc 1_strategic manager_oudtshoorn	02/03/2020	VC1
Default	ODM_LED	02/03/2020	VC1
Default	Scan1_scap	02/03/2020	VC1
Default	scan0079_fOCOS_EDEN 1	02/03/2020	VC1
Default	scan0080_FOCUS_EDEN2	02/03/2020	VC1
Default	scan0081_focus_Eden	02/03/2020	VC1
Default	Signed Consent Form - Stellenbosch University	02/03/2020	VC1
Default	SKM_C28719103112580_mayor_Hes	02/03/2020	VC1
Default	SKM_C28719103112590_cllr2_hes	02/03/2020	VC1
Default	SKM_C28719103112591_cllr3_Hes	02/03/2020	VC1
Default	SKM_C28719103112592_Cllr1+hese	02/03/2020	VC
Default	SKM_C36819102410500_LED mossel bay	02/03/2020	VC
Default	SSK Stellenbosch Resarch_Bus_STILBAY	02/03/2020	VC1

Default	Stellenbosch University - consent to participate in research_BUS_MOSSELBAY	02/03/2020	VC1
Default	FGF1	02/03/2020	VC1
Default	FGF2	02/03/2020	VC1
Default	FGF3	02/03/2020	VC1
Default	FGF4	02/03/2020	VC1
Default	FGF5	02/03/2020	VC1
Proof of permission	Letter to Mr. Richard Douglas	02/03/2020	VC1
Proof of permission	MR R DOUGLAS	02/03/2020	VC1
Proof of permission	ODM Letter Research LED (1)	02/03/2020	VC1
Data collection tool	Focus group schedule_Richard_July 25 (1)	03/03/2020	v1
Proof of permission	Permission to conduct a Socio Economic research in your Organisation - SALGA (1)	03/03/2020	VC1
Proof of permission	REQUEST TO CONDUCT SOCIO ECONOMIC RESEARCH	03/03/2020	VC1
Proof of permission	Request to conduct socio-economic research	03/03/2020	VC1
Proof of permission	SKM_36718090314260	03/03/2020	VC1
Proof of permission	SKM_C28718082315000	03/03/2020	VC1
Proof of permission	SKM_C55819012113570	03/03/2020	VC1

If you have any questions or need further help, please contact the REC office at [cgraham@sun.ac.za](mailto:cgraham@sun.ac.za).

Sincerely,

Clarissa Graham

REC Coordinator: Research Ethics Committee: Social, Behavioral and Education Research

*National Health Research Ethics Committee (NHREC) registration number: REC-050411-032.  
The Research Ethics Committee: Social, Behavioural and Education Research complies with the SA National Health Act No.61 2003 as it pertains to health research. In addition, this committee abides by the ethical norms and principles for research established by the Declaration of Helsinki (2013) and the Department of Health Guidelines for Ethical Research: Principles Structures and Processes (2<sup>nd</sup> Ed.) 2015. Annually a number of projects may be selected randomly for an external audit.*

## Principal Investigator Responsibilities

### Protection of Human Research Participants

As soon as Research Ethics Committee approval is confirmed by the REC, the principal investigator (PI) is responsible for the following:

**Conducting the Research:** The PI is responsible for making sure that the research is conducted according to the REC-approved research protocol. The PI is jointly responsible for the conduct of co-investigators and any research staff involved with this research. The PI must ensure that the research is conducted according to the recognised standards of their research field/discipline and according to the principles and standards of ethical research and responsible research conduct.

**Participant Enrolment:** The PI may not recruit or enrol participants unless the protocol for recruitment is approved by the REC. Recruitment and data collection activities must cease after the expiration date of REC approval. All recruitment materials must be approved by the REC prior to their use.

**Informed Consent:** The PI is responsible for obtaining and documenting affirmative informed consent using **only** the REC-approved consent documents/process, and for ensuring that no participants are involved in research prior to obtaining their affirmative informed consent. The PI must give all participants copies of the signed informed consent documents, where required. The PI must keep the originals in a secured, REC-approved location for at least five (5) years after the research is complete.

**Continuing Review:** The REC must review and approve all REC-approved research proposals at intervals appropriate to the degree of risk but not less than once per year. There is **no grace period**. Prior to the date on which the REC approval of the research expires, **it is the PI's responsibility to submit the progress report in a timely fashion to ensure a lapse in REC approval does not occur**. Once REC approval of your research lapses, all research activities must cease, and contact must be made with the REC immediately.

**Amendments and Changes:** Any planned changes to any aspect of the research (such as research design, procedures, participant population, informed consent document, instruments, surveys or recruiting material, etc.), must be submitted to the REC for review and approval before implementation. Amendments may not be initiated without first obtaining written REC approval. The **only exception** is when it is necessary to eliminate apparent immediate hazards to participants and the REC should be immediately informed of this necessity.

**Adverse or Unanticipated Events:** Any serious adverse events, participant complaints, and all unanticipated problems that involve risks to participants or others, as well as any research-related injuries, occurring at this institution or at other performance sites must be reported to the REC within **five (5) days** of discovery of the incident. The PI must also report any instances of serious or continuing problems, or non-compliance with the REC's requirements for protecting human research participants.

**Research Record Keeping:** The PI must keep the following research-related records, at a minimum, in a secure location for a minimum of five years: the REC approved research proposal and all amendments; all informed consent documents; recruiting materials; continuing review reports; adverse or unanticipated events; and all correspondence and approvals from the REC.

**Provision of Counselling or emergency support:** When a dedicated counsellor or a psychologist provides support to a participant without prior REC review and approval, to the extent permitted by law, such activities will not be recognised as research nor the data used in support of research. Such cases should be indicated in the progress report or final report.

**Final reports:** When the research is completed (no further participant enrolment, interactions or interventions), the PI must submit a Final Report to the REC to close the study.

**On-Site Evaluations, Inspections, or Audits:** If the researcher is notified that the research will be reviewed or audited by the sponsor or any other external agency or any internal group, the PI must inform the REC immediately of the impending audit/evaluation.

## APPENDIX F: LANGUAGE EDITOR'S CERTIFICATE (ACADEMIC AND PROFESSIONAL EDITING SERVICES)



Nr: 0019304

### Academic and Professional Editing Services

Tel nr: SA +27 82 347 4148/ USA: +1 (773) 217-4568/ NZ: +64 22 359 2202 SA  
[www.apespro.com](http://www.apespro.com); Facebook: [www.facebook.com/apespro](https://www.facebook.com/apespro)

### LANGUAGE EDITING CERTIFICATE

**Research report title:** COOPERATIVE GOVERNANCE AND LOCAL ECONOMIC DEVELOPMENT IN THE SELECTED SMALL TOWNS IN THE WESTERN CAPE PROVINCE

**Author:** Richard Douglas Kamara

**Institution:** Stellenbosch University

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