

**LESSONS FROM THE STRATEGIC MANAGEMENT OF
INTEGRATED DEVELOPMENT PLANNING IN KWAZULU-
NATAL FROM 1994 TO 2006**

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DECLARATION

“I declare that the dissertation/thesis hereby submitted by me for the Philosophiae Doctor degree at the University of the Free State is my own independent work and has not previously been submitted by me at another university/faculty. I further more cede copyright of the dissertation/thesis in favour of the University of the Free State.”

J.H. THERON

“Your position is not really yours until you make it yours through ... study”¹

Oswald Chambers

¹ Chambers, O., 2000.

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“The author or speaker from whom you learn the most is not the one who teaches you something you didn’t know before, but the one who helps you take a truth with which you have quietly struggled, give it expression, and speak it clearly and boldly.”²

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² Chambers O., 2002.

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ABSTRACT

The main aim of the study is to assess the success in performance of the KwaZulu-Natal (KZN) Provincial Government’s strategic management of integrated development planning as was expected by the Constitution and subsequent developmental policies, legislation, programmes and projects from 1994 to 2006.

The literature review indicated that strategic management consists of three phases, namely planning, implementation and control, each phase with its own sub-steps. These elements formed the basis for the development of a Strategic Management Model represented by the following “Key”:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

The Model is then applied to evaluate the strategic management of two KZN Provincial wide programmes, namely the KZN Provincial Growth and Development Strategy (PGDS) from 1994 to 2000, and KZN municipal integrated development planning from 2000 to 2006, both of which aim to substantiate the following four hypotheses:

- (1) The KwaZulu-Natal Provincial Government’s execution of the strategic management of integrated development planning in KZN to advance development in KZN was successful;
- (2) The KwaZulu-Natal Provincial Government undertook successfully an initiative to improve alignment and capacitating of Provincial Departments and Local Government for them to be able to undertake integrated development planning in a sustainable manner;
- (3) The Strategic Management Model for the management of integrated development planning set out in the study is a handy tool could be presented in a narrative format and/or in a matrix or table format, depending on the particular situation or management preferences; and
- (4) The application of the Strategic Management Model in KZN confirms issues and trends highlighted in the literature review of the strategic management of integrated development planning.

The advancement of international theoretical thought on strategic management is also addressed. Several lessons learnt from the strategic management of integrated development planning in KZN are discussed. The study concluded by making several recommendations to improve KZN's performance in the field of the strategic management of integrated development planning.

KEY TERMINOLOGY:

- assess performance
- control
- implementation
- integrated development planning
- KwaZulu-Natal Provincial Growth and Development Strategy
- municipal integrated development planning
- planning
- strategic management
- strategic management model
- strategic planning

OPSOMMING

Die hoof doel van die studie is om die toepassing van die strategiese bestuur van geïntegreerde ontwikkelingsbeplanning, soos uiteen gesit in die grondwet en voortspruitende ontwikkelingsbeleidsrigtings, wetgewing, programme en projekte, deur die KZN Provinsiale Regering vir die tydperk vanaf 1994 tot 2006, te evalueer.

Die navorsingsoorsig dui aan dat strategiese bestuur uit drie fases bestaan, naamlik beplanning, implementering en kontrole. Elke fase is uit sub-fases saamgestel. Uit hierdie elemente is die strategiese bestuursmodel ontwikkel. Die model word deur die volgende “sleutel” verteenwoordig:

SLEUTEL TOT STRATEGIESE BESTUURSMODEL

Fase	Stap	Aktiwiteit en kriteria vir evaluering
Beplanning	1	Inisieer en besluit op strategiese bestuursproses
	2	Vasstel van organisatoriese mandate
	3	Identifisering van sleutel-vraagstukke wat organisasie konfronteer
	4	Formuleer visie en doelwitte
	5	Analiseer interne sterk- en swakpunte, en eksterne geleenthede en bedreigings
	6	Formuleer en aanneem van strategieë om strategiese vraagstukke aan te spreek
Implementering	7	Beplanning van plan implementering
	8	Gefaseerde implementering
Kontrole	9	Monitering
	10	Evaluering
	11	Hersiening

Die model word dan gebruik om die strategiese bestuur van twee van KZN se provinsiale programme te evalueer, naamlik die KZN Groei- en ontwikkelingstrategie vir die periode 1994 tot 2000 en die KZN munisipale geïntegreerde ontwikkelingsbeplanning-inisiatief vanaf 2000 to 2006 om die volgende vier hipotesisse te staaf:

- (1) Die KwaZulu-Natal Provinsiale Regering se uitvoering van die strategiese bestuur van geïntegreerde ontwikkelingsbeplanning in KZN om ontwikkeling in KZN aan te help, was suksesvol;
- (2) Die KwaZulu-Natal Provinsiale Regering het suksesvol ‘n inisiatief onderneem om provinsiale departemente en plaaslike regering met mekaar in lyn te bring en toe te rus om hulle in staat te stel om geïntegreerde ontwikkelingsbeplanning volhoubaar toe te pas;
- (3) Die strategiese bestuursmodel vir die bestuur van geïntegreerde ontwikkelingsbeplanning, soos voorgestel in die studie, is a handige instrument en kan in ‘n beskrywende formaat of a matrics of tabel-formaat aangebied word, en word deur die spesifieke omstandigheid of voorkeure van die bestuursplan bepaal; en
- (4) Die toepassing van die model in KZN bevestig kernvraagstukke en neigings soos uiteengesit in die navorsingsoorsig van die strategiese bestuur van geïntegreerde

ontwikkelingsbeplanning.

Die bevordering van die internasionale teorie van strategiese bestuur word ook aangespreek. Verskeie lesse geleer uit die toepassing van die strategiese bestuur van geïntegreerde ontwikkelingsbeplanning in KZN word uiteengesit. Die studie sluit af deur die maak van wydlopende aanbevelings om KZN se vertoning op die terrein van die strategiese bestuur van geïntegreerde ontwikkelingsbeplanning te verbeter.

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ABBREVIATIONS AND ACRONYMS

ANC	African National Congress
BNA	Basic Needs Approach
CBO	Community Based Organisation
CD:DP	Chief Directorate: Development Planning
CEO	Chief Executive Officer
CRO	Coastal Regional Office
DAC	Development Assistance Committee
DANIDA	Danish International Development Agency
DBSA	Development Bank of Southern Africa
DCD	Department of Constitutional Development
DEAT	Department of Economic Affairs and Tourism (KZN)
DFA	Development Facilitation Act
DG	Director- General (KZN)
DFM	District Family of Municipalities
DLGH	Department of Local Government and Housing (KZN)
DLGTA	Department of Local Government and Traditional Affairs (KZN)
DM	District Municipality
DoP	Department of Premier (KZN)
DoT	Department of Transport (KZN)
DoW	Department of Works (KZN)
DP	Development Planning
DPLG	Department of Provincial and Local Government (National)
DTLGA	Department of Traditional and Local Government Affairs (KZN)
FEPD	Forum for Effective Planning and Development (National)
GAAP	General Accepted Accounting Standards
GEAR	Growth, Economic Development and Redistribution Policy
GM:DP	General Manager: Development Planning
GNP	Gross National Product
HoD	Head of Department
IDP	Integrated Development Plan
IFP	Inkatha Freedom Party
IGF	Inter-governmental Forum (KZN)
ILO	International Labour Organisation
IMF	International Monetary Fund
IPMS	Individual Performance Management System
IRD	Integrated Rural Development
IRDS	Integrated Rural Development Strategy
IRO	Inland Regional Office
KPA	Key Performance Area
KPI	Key Performance Indicator
KZG	KwaZulu Government
KZN	KwaZulu-Natal
LDC	Less Developed Country
LDO	Land Development Objective

LED	Local Economic Development
LM	Local Municipality
LGTA	Local Government Transitional Act
Manco	Management Committee (DLGTA)
MDPCM	Municipal Development Planning Capacity Building Model
MEC	Member of Executive Council (KZN)
MEXCO	Management Executive Committee (KZN)
MFMA	Municipal Financial Management Act
MIDPSP	Municipal Integrated Development Planning Support Programme
MSA	Municipal Systems Act
MTEF	Medium Term Expenditure Framework
NA	National Assembly
NACOP	National Council of Provinces
NEPAD	New Partnership for Africa's Development
NGO	Non-governmental Organisation
NP	National Parliament
NPA	Natal Provincial Administration
NPM	New Public Management
NRC	Natural Resources Committee (USA)
NRO	Northern Regional Office
NSDP	National Spatial Development Framework
NSV	National Strategic Vision
OECD	Organisation for Economic Developed Countries
OoP	Office of the Premier
OPMS	Organisational Performance Management System
PDPMC	Provincial Development Planning Management Committee (KZN)
PIMSS	Planning Implementation Management Support System
PG	Provincial Government
PGDS	Provincial Growth and Development Strategy
RO	Regional Office
PRS	Poverty Reduction Strategy
PSE	Planning, Survey and Establishment
PSEDS	Provincial Spatial Economic Development Strategy
PSGDF	Provincial Spatial Growth and Development Framework
RC	Regional Council
RDP	Reconstruction and Development Programme
REF	Regional Economic Forum (KZN)
RF	Representative Forum (DM and LM)
RSS	Rural Service System
SAP	Structural Adjustment Programme
SAPS	South African Police Services
SC	Steering Committee
SDF	Spatial Development Framework
SDBIP	Service Delivery and Budget Implementation Plan
SPF	Service Providers Forum
TLC	Transitional Local Council

TMC	Transitional Metropolitan Council
TRP	Town and Regional Planning
USA	United States of America
WB	World Bank

PART A: INTRODUCTION TO STUDY

CHAPTER ONE

INTRODUCTION

“... if we generate quality products from Africa, we will earn respect.”¹

- Nceba Gqaleni, Deputy Dean, N.R. Mandela Medical School, Durban

1.1. BACKGROUND

On 27 April 1994, South Africa elected a new government.² The land-mark election brought into being new government institutions³, statutory⁴ and policy changes,⁵ as well as management⁶ and administrative systems and processes.⁷ The aim of this full scale transformation programme⁸ was to establish a state capable of fulfilling a daunting developmental⁹ mandate. The mandate includes the strategic management of integrated development planning¹⁰ across the three spheres of government¹¹ to address the basic needs of the poor¹² and achieve associated vibrant economic growth to fund development and redistribution programs.¹³

¹ Dell, S., 2007:15.

² Chaskalson, M., Kentridge, J., *et.al.*, 2004: 2-12.

³ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Chapter 4 to 7.

⁴ The following legislation serve as examples:

- Republic of South Africa, 1998(b), Municipal Structures Act , Act 117;
- Republic of South Africa, 1998(a) Municipal Government Demarcation Act, Act 27;
- Republic of South Africa, 2000, Municipal Systems Act, Act 32;
- Republic of South Africa, 2003, Local Government Municipal Finance Management Act, Act 56; and
- Republic of South Africa, 2005, Inter-Governmental Relations Act, Act 13.

⁵ Republic of South Africa, 1994(b), White Paper on Reconstruction and Development; and Republic of South Africa, Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government.

⁶ The following are examples:

- Republic of South Africa, 1994(a), Public Service Act;
- Republic of South Africa, 1995(c) White Paper on the Transformation of Public Service; and
- Republic of South Africa, 1997(a), Department of Public Service and Administration, The White Paper on Transforming Public Service Delivery (Batho Pele White Paper), Notice 1459.

⁷ Reddy, P.S., Singh, D., and Moodley. S.: 2003:3.

⁸ Fitzgerald, P., McLennan, A., and Munslow, B., 1999:42.

⁹ Department of Provincial and Local Government, Minister F.S. Mufamadi, Speech, NACOP, 28 June 2004:26 - 27.

¹⁰ KwaZulu-Natal, DLGH, FEPA File, 15/8/2, Vol.1, Draft Agenda, April 1995:2.

¹¹ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Schedule 4 and 5.

¹² ANC, 1994:7.

¹³ ANC, 1994:6 - 7; Fitzgerald, P., *et.al.*, 1999:42.

All available resources¹⁴, albeit limited,¹⁵ were to be mobilised to ensure the efficient,¹⁶ effective,¹⁷ accountable¹⁸ and sustained¹⁹ development of a large segment of the population, without basic services such as housing, water, sanitation, electricity, transport and education.²⁰ The challenge was to take a country characterised by underdevelopment,²¹ with millions of people classified as poor,²² without a proper income and living under the bread line,²³ to an ideal situation where everybody would have a better quality of life.²⁴

Three distinctive although inter-dependent and interrelated spheres of government namely National, Provincial and Local, were established to undertake the developmental mandate.²⁵ The Constitutionally based system of governance replaced the pre-1994 racially based, hierarchical and mostly centralised government arrangement.²⁶ A government system characterised further, by for example, a duplication of government departments, a myriad of local level government administrations and homelands, all of which were supported by their own different planning legislation.²⁷

Integrated development planning, although not mentioned by name, was enshrined in the Constitution²⁸ as the primary developmental instrument. National and provincial spheres of government were assigned concurrent planning competencies, such as regional planning and development, as well as urban and rural development.²⁹ Exclusive to the provinces was provincial planning.³⁰ Municipalities were made responsible for municipal planning and development.³¹

¹⁴ KwaZulu-Natal, DLGH, FEPD File 15/8/2, Vol 1. Draft Report: Workshop on Development Planning, Centurion Lake Hotel, 14 - 16 May 1995, Annexure 2: Opening Remarks: Dr. B.L. Fanaroff, Deputy Director General: Office of Minister without Portfolio, pp 1-3.

¹⁵ KwaZulu-Natal, DLGH, FEPD File 15/8/2, Vol 1. Draft Report: Workshop on Development Planning, Annexure 3: Key Note Address: Naidoo, J., Minister without Portfolio, 14 -16 May 1995, p 6.

¹⁶ Reddy, P.S., *et.al.*, 2003:5.

¹⁷ Reddy, P.S., *et.al.*, S., 2003:5.

¹⁸ Republic of South Africa, 1997(a), Department of Public Service and Administration, The White Paper on Transforming Public Service Delivery (Batho Pele White Paper), Notice 1459.

¹⁹ Parnell, S., Pieterse,, Swilling, M. and Wooldridge, D., 2002:183 - 185.

²⁰ ANC, 1994:7 - 8.

²¹ Aliber, M., Kirsten, M., Maharajh, R., Nhlapo-Hlope, J. and Nkoane, O., 2006:49 - 50.

²² Development Bank of Southern Africa, 2005:5; and May & Meth, 2007:272 - 273.

²³ Development Bank of Southern Africa, 2005:5.

²⁴ ANC, 1994:1.

²⁵ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Section 40(1).

²⁶ The Nationalist Party of South Africa, 1977.

²⁷ Republic of South Africa, Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government:1 - 2.

²⁸ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Schedule 4 and 5.

²⁹ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Schedule 4.

³⁰ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Schedule 5.

³¹ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Section 153 (a).

The Constitution required from the provincial governments to manage the provincial planning process³², and also mandated provinces to supervise, support and monitor the local government sphere.³³ Co-operative governance³⁴ and strong and accountable provincial strategic management of integrated development planning,³⁵ therefore, were unequivocal requirements for the implementation of the development mandate in executing provincial planning and the upliftment of communities that were left behind.³⁶

1.2. AIM OF STUDY

The over-arching aim of the study is to assess the success in performance of the KwaZulu-Natal (KZN) Provincial Government’s strategic management of integrated development planning as was expected by the Constitution and subsequent developmental policies, legislation, programmes and projects from 1994 to 2006. The assessment is done through the application of the Strategic Management Model for the management of integrated development planning (the Strategic Management Model) specifically developed for the purpose of this assessment.

The Strategic Management Model developed in Chapter Three consists of three phases, including planning, implementation and control, each one with sub-steps. The following Key resembles the core elements of the Strategic Management Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues

³² Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Schedule 5 Part A.

³³ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Section 139, 154 and 155; Research File, DTLGA, Minutes meeting between the Minister of Traditional Affairs, Safety and Security and Local Government and the Chairpersons and CEOs of KZN Regional Councils, 17 August 1999: 3 - 5.

³⁴ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Chapter Three.

³⁵ The Constitution of the Republic of South Africa does not refer to integrated development planning, although the legal and policy context in ANC RDP policy and the White Papers define explicitly this provincial responsibility. The Forum for Effective Planning and Development (FEPD) define the concept and was the original driving force to guide provinces to strategically manage integrated development planning. The FEPD’s policy document, The Integrated Development Planning Process in Government, draft August 1995 (a) served as one of the main the guiding instruments on development planning management.

³⁶ KwaZulu-Natal, DLGH, FEPD File 15/8/2, Vol. 1, Draft Report: Workshop on Development Planning, Centurion Lake Hotel, 14 - 16 May 1995, Annexure 2: Opening Remarks: Dr. B.L. Fanaroff, [Deputy-Director General: Office of the Minister without Portfolio]:1- 3; FEPD File 15/8/2, Vol.1, Draft Report, Centurion Lake. Annexure 3: Key Note Address: Mr. J. Naidoo [Minister without Portfolio], May 1995: 2 - 4, 7.

Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

As the main custodians of integrated development planning, the study and Strategic Management Model magnify relevant elements of the Department of the Premier (DoP) and its successor, the Office of the Premier (OoP), as well as the Department of Local Government and Housing (DLGH)³⁷ and its successors, the Department of Traditional and Local Government Affairs (DTLGA) and Department of Local Government and Traditional Affairs (DLGTA), in managing and guiding the strategic integrated development planning process in KZN from the 1994 national election to 2006.³⁸

The study reflects selectively on the Provincial strategic response, guidance and initiation of development actions to achieve the aims of integrated development planning in KZN. These events and associated successes and challenges are analysed, thereby ensuring that the lessons learnt could inform recommendations to improve integrated development planning in KZN. The study also aims to contribute to the advancement of international theoretical thought on strategic management.

Furthermore, the study aims to demonstrate that South Africa is a place of hope and, opportunity and, that others can learn from our Best Practices and mistakes in the field of integrated development planning.

1.3. FOUR HYPOTHESES

The study aims to answer the following four hypotheses:

- 1.3.1 The KwaZulu-Natal Provincial Government's execution of the strategic management of integrated development planning in KZN to advance development in KZN was successful;
- 1.3.2 The KwaZulu-Natal Provincial Government successfully undertook an initiative to improve alignment and capacitating of Provincial Departments and Local Government for them to be able to undertake integrated development planning in a sustainable manner;
- 1.3.3 The proposed Strategic Management Model for the management of integrated

³⁷ The DLGH was established in 1994. A separate Provincial Housing Department was established in 1998. The DTLGA was established in 1998. During 2005 the name of the DTLGA was changed to the DLGTA.

³⁸ After the 1994 election, the DLGH was a regionalised department, with a Co-ordination Office and three regional offices. The Chief Directorate: Development Planning (CD:DP) of the DLGH followed the same institutional arrangement. With effect from 1 January 2006 the CD:DP regions were abolished, because of staff shortages and a departmental restructuring process. The period covered by the study - 1994 to 2006 -, therefore describes and analyses specific events related to the regional arrangement of the CD:DP.

development planning set out in the study is a handy tool as it could be presented in a narrative format and/or in a matrix or table format, depending on the particular situation or management preferences; and

- 1.3.4 The application of the Strategic Management Model in KZN confirms issues and trends highlighted in the literature review of the strategic management of integrated development planning.

1.4. PARTS AND CHAPTERS SUMMARISED

The study comprises 10 chapters, which are grouped into five distinctive parts, namely Part A to E. The chapters are summarised under each of the Parts:

Part A: Introduction to Study. Part A consists of Chapter One which introduces the study by covering the study background, study aim, hypotheses, chapter summaries, study advantages, limitations and opportunities, research methodology and literature and acknowledgements.

Part B: Literature Review. Part B contains Chapter Two and Three respectively, which reflects the theoretical background to the study and leads to the development of the Strategic Management Model. Chapter Two clarifies the key concepts, such as strategic planning, strategic management and integrated development planning, to inform a model for the strategic management of integrated development planning within the international context. Reference is made to the need for capacity building within the context of decentralised governance systems.

Chapter Three describes the impact of New Public Management on the decentralisation of local government institutions. The unfolding strategic management of integrated development planning in South Africa, sequencing and clarification of the strategic management process are highlighted. The chapter concludes with a Strategic Management Model designed specifically as a tool for this study to evaluate the strategic management of integrated development planning in KwaZulu-Natal, with specific emphasis on the Provincial Growth and Development Strategy (PGDS) of 1996 and municipal integrated development planning from 2000 to 2006.

Part C: Provincial Strategic Management. Part C includes Chapters Four to Six, where the Strategic Management Model is applied to the KZN PGDS over the period 1994 to 2000. Chapter Four focuses on the planning phase of the provincial strategic management of integrated development planning. The six steps of the strategic planning phase are highlighted, supported with information that the planning of the KZN PGDS was undertaken in accordance with each of these steps. Under each stage of the strategic planning phase a performance evaluation is undertaken and recommendations made.

Chapter Five highlights the implementation events after the adoption of the KZN PGDS on 3 July 1996. Reference is made to the fact that during step one, namely planning of plan implementation, an institutional structure was established and implementation

framework designed in preparation for implementation. An evaluation of and recommendations on the effectiveness of these actions is made. A detailed breakdown follows phase two, or the phased implementation phase. Under the phased implementation phase, the activities of the actual implementation of the PGDS are discussed, upon which an evaluation is done and recommendations made.

Chapter Six describes the manner in which the three steps of the Control Phase - monitoring, evaluation and review - of the PGDS were undertaken. It evaluates performance and makes recommendations.

Part D: Municipal Strategic Management. Part D consists of Chapters Seven to Nine, in which the Strategic Management Model is applied to integrated development planning in KZN from 2000 to 2006. Chapter Seven focuses on the planning phase of municipal strategic management of integrated development planning in KZN. The way in which the six steps of the strategic planning phase were followed, is evident from the steps taken to plan for the integrated development planning management process. Under each stage of the strategic planning phase an evaluation is done and recommendations made for future application.

Chapter Eight deals with the two implementation steps of strategic management of municipal integrated development planning in KwaZulu-Natal. The research findings on the steps, namely planning of plan implementation and phased implementation, is presented in a tabular or matrix format to demonstrate the flexibility in application of the Strategic Management Model.

Chapter Nine presents the Control Phase of the strategic management of municipal integrated development planning. The information continues to be presented in a matrix format thereby linking Chapters Seven, Eight and Nine, to demonstrate the flexibility of the Strategic Management Model. Each of the three steps of the Control Phase - monitoring, evaluation and review - of the strategic management of municipal integrated development planning is discussed and evaluated, followed by recommendations.

Part E: Lessons, Recommendations and the Way Forward. Part E consists of Chapter Ten. In Chapter 10 the evaluations and conclusions made at the end of the previous chapters is applied to inform the validation of the hypotheses. The Chapter also deals with the lessons learnt from the strategic management of integrated development planning in KwaZulu-Natal from 2000 to 2006. The advancement of international theoretical thought on strategic management is also addressed. A consolidated suite of recommendations are made. The chapter ends with the way forward for KwaZulu-Natal.

1.5. STUDY ADVANTAGES, LIMITATIONS, OPPORTUNITIES AND VALUE

The researcher has been involved in the planning field in KZN since 1991, and this has enabled him to observe and to participate in the implementation of integrated development planning in the Province from 1996 to 2006. The research is thus an end-result of first hand experience and analysis of information mainly contained in the filing

and information system of the Chief Directorate: Development Planning of the KZN DLGTA and its predecessors.

No specific attempt is made to compare the performance of the ANC led Provincial Government which came to power after the 2004 provincial elections and the Inkatha Freedom Party (IFP) Provincial Government governing from 1994 to 2004 with their approach to and management of the PGDS and municipal integrated development planning. In the case of the PGDS the focus is mainly limited to events related to the PGDS from 1994 to 2000.

It should be acknowledged that after 2000, the Department of the Premier (DoP) and its successor, the Office of the Premier (OoP), launched an ongoing process to review the PGDS. However, it should be stated that the PGDS of 1996, the review of which commenced in 2000, was never completed under the current ANC Provincial Government after its election in 2004. The ANC-led provincial Government, however, adopted the Provincial Spatial Economic Development Strategy (PSEDS) towards the end of 2006 to guide economic development and investment in KZN. Despite the PSEDS lack of social and environmental aspects, it could form a basis for a reviewed PGDS. Once a revised PGDS is adopted in future, an opportunity exists for further research investigating the approach and management processes followed in finalising a future PGDS for KZN.

A further limitation of the study is that no comparison is made between the management of the municipal integrated development planning from the introduction of integrated development planning in 1994, to the local government election held on 5 December 2000 after which integrated development planning was introduced in a revised format. In other words, this study does not cover the period prior to the new local government dispensation created under the Municipal Systems Act of 2000, Act 32 of 2000 and the Local Government Transition Act (LGTA) Second Amendment Act of 1996.

This, however, creates the opportunity for another comparative study covering the two distinct periods in the strategic management of integrated development planning. It should be pointed out that under the ANC Government a greater emphasis was placed on municipal integrated development planning after 2004, than under the Inkatha Freedom Party (IFP) Government which governed from 1994 to the election in 2004.

Furthermore, the study has both academic and practical value. From an academic perspective it presents and tests a strategic management model by linking corporate strategic management with integrated development planning, which uniquely contributes to a wealth of literature on integrated development planning. The Strategic Management Model has value for planning practitioners in that it demonstrates that corporate strategic management is a management tool with application to manage integrated development planning policies, programmes and projects in the South African government institutional and development context.

Another advantage of the Strategic Management Model is that it is adaptable in that the

information could be presented in a narrative and/or table format, depending on the circumstances. In this study the research material on the KZN PGDS is reflected in a narrative format, whilst the information on municipal integrated development planning is reflected in tabular format. Notwithstanding the different format of presentation the integrity of the Strategic Management Model stays intact.

1.6. RESEARCH METHODOLOGY AND LITERATURE

Strategic management in itself covers an immense scientific field. Therefore, the scope of the Research Framework in Chapter 2 is broad rather than detailed. International research and case studies are analysed to reflect the researcher's general understanding of the topic itself, and not the detail pertaining to a specific situation. This reflection is then used as the basis for the development of a model for the strategic management of integrated development planning in the KwaZulu-Natal Province. The analysis and evaluation of the unfolding events in KZN, in terms of the model developed for the purposes of this study, in the subsequent chapters is of a detailed nature, to enable the informed formulation of recommendations, based on lessons learnt since 1994.

In addition to primary sources such as legislation, books, and articles (web-based and non-web-based), the study relies heavily on the documentation of the KwaZulu-Natal Provincial Government. The KZN sources are divided into broad categories, namely reports, correspondence, policy guidelines and minutes of meetings and workshops.

The main DLGH file series containing the information related to the three chapters on the PGDS are the following: KwaZulu-Natal DLGH TRP 15/8/3/1 (including 11 volumes), DLGH FEPD 15/8/2 (including 8 volumes) and DLGH PSE 15/8/3 (including 3 volumes). After the initial drafting of these chapters in 2002, the files were handed back to the DTLGA for safekeeping. However, during June and July 2007 the correctness of all references of the PGDS chapters were re-confirmed. The research foundation of three chapters of the PGDS is therefore based on the information contained in the files dated 13 July 2007. The integrity of the information in the said files after the said date cannot be guaranteed by the author as they were handed back to the DLGTA Registry as the custodians thereof.

Additional research material on the PGDS was also obtained from the files of the DoP/OoP. This information was made available to the researcher under condition that the Office of the KZN Director-General (DG) approved the information contained in the thesis. A draft document was submitted to the DGs Office in 2007 for comments. However, no response was received, which as such, would have added value to the end-product.

The research information in Chapter Seven to Nine is contained in a wide spectrum of depositories, such as Government file series, electronic format of documents and unfiled reports and other documents. With the view of limiting the references to these documents in the Reference List, a "Research File" was created for the storage of this information and to make it accessible for reference purposes. The same principle applies to the other

chapters where it was necessary to create a research filing system to store material used for this study.

Written comments were obtained from key stakeholders on the draft research document, followed by unstructured interviews. Notes and observations made by the author over the years are introduced, where applicable.

The reference system in Chapter 1 and 2 needs special clarification. It should be noted that where reference is made to the work of a(n) author(s), the author(s)'s name(s) correspond with the footnote below in the research material, e.g. Conyers, D. and Hills, P. in text corresponds with Conyers, D. and Hills, P., 1994:171 - 174 in the footnote.

In cases where authors quoted authors in their own work and the information is presented in the research text, such secondary authors are not listed as separate references in the footnotes, for example Sotarauta's quotes "Healy. P." as a secondary reference. In this case, the footnote reflects the primary source which the researcher has researched. Here the text would reflect Healy's name and her information, but the footnote reflects Sotarauta. It was decided to use this particular referencing method as the Harvard method would have made the text unreadable because of the substantial footnotes used to verify the text.

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PART B: LITERATURE REVIEW

CHAPTER TWO

LITERATURE REVIEW OF STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

“One can live in the shadow of an idea without grasping it.”¹

- Elizabeth Bowen, Irish author (1890 - 1973)

2.1. INTRODUCTION

This chapter clarifies key concepts, namely strategic planning, strategic management and integrated development planning to inform a generic model for the strategic management of integrated development planning in an international context. Reference is made to the need for capacity building within the context of decentralised governance systems.

2.2 STRATEGIC PLANNING AND STRATEGIC MANAGEMENT

2.2.1 Origin of and need for Strategic Planning

For Dale,² the principal strategy of any organisation is how such an organisation relates to its environment in achieving its aims. In support for his stand point, Dale³ referred to Mintzberg by describing the strategy of an organisation as the mediating force between the organisation and the environment in which it is situated, functions and survives.⁴

Ehlers and Lazenby⁵ concluded that those factors, which made organisations thrive in the past and were even perceived as the norm, are constantly becoming dated.⁶ Public and private organisations alike, therefore, have to plan and manage carefully for their future success by being able to acquire new competencies and fend off potentially crippling unforeseen circumstances. For example, Albrechts⁷ made reference to the private sector in the United States of America (USA) which were obliged to apply strategic planning during the 1950's, that required rapid changing and growing organisations to plan and manage their own activities for securing their own future within a broader changing and mostly uncertain future.

¹ Weekend Witness, 19 August 2006.

² Dale, R., 2004:15.

³ Dale, R., 2004:15.

⁴ Ehlers, M.B., & Lazenby J.A.A. (Eds.), 2004:1.

⁵ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:1.

⁶ Ehlers, M.B., & Lazenby J.A.A. (Eds.), 2004:1.

⁷ Albrechts, L., 2004:746.

In the case of strategic spatial planning undertaken by government institutions in North-West Europe, Albrechts⁸ traced the origin of strategic planning to the 1920s and 1930s, where government institutions gave direction to the activities of others. For Healy,⁹ strategic planning in this instance, was closely linked to the modern nation state where different government authorities, sectors and private sector organisations were guided in the implementation of a series of welfare policies.

Building on the principle of guiding other organisations, another prime example of early strategic planning in the thirties and forties, was the establishment and work of the National Resources Committee (NRC) in the USA during the New Deal Years.¹⁰ According to Abbott,¹¹ the purpose of the NRC was to promote systematic thinking about national economic development, and it served as an umbrella organisation for a number of state and regional or multi-state planning commissions, by identifying regional resources, economic development challenges and social problems.

Eadie elaborated further that the early 1970's was characterised by, amongst others, the oil crises, demographic shifts, changing values and a volatile economy, a situation which made government leaders in the USA look towards strategic planning to address these concerns.¹² In the 1960s and 1970s the drive for strategic planning resulted in numerous Western countries developing comprehensive planning systems at different administrative levels.¹³

However, in the seventies, inflation and economic stagnation became problematic.¹⁴ Influenced by Milton Friedman, the free market as the solution to these problems was encouraged.¹⁵ Policy makers viewed governments as using excess private sector resources and that market-forces should be encouraged.¹⁶ The neo-conservative policies of Reagan and Thatcher influenced by Friedman¹⁷ and the post-modernism scepticism of planning of the 1980s caused a drastic retreat of strategic planning as both approaches inherently viewed progress as something that happens and cannot be planned.¹⁸

Hence, for Motte, urban and regional planning practices focused primarily on projects such as the upgrading of inner-cities and regeneration of deprived regions and land use regulations.¹⁹ In the words of Healy:

“In the 1980s, the practice of spatial or territorial planning in many parts of Europe had

⁸ Albrechts, L., 2004:746.

⁹ Albrechts, L., 2004:746.

¹⁰ Abbott, C., 2006:78.

¹¹ Abbott, C., 2006:78.

¹² Albrechts, L., 2004:746.

¹³ Albrechts, L., 2004:743.

¹⁴ Sunday Times, 2006.

¹⁵ Sunday Times, 2006.

¹⁶ Sunday Times, 2006.

¹⁷ Goldsmith, M., 1992:402 - 403.

¹⁸ Albrechts, 2004:743.

¹⁹ Albrechts, L., 2004:743.

*deserted the conceptions of the strategic development of cities and regions. Instead, the emphasis was on large projects of renewal and transformation of urban landscapes, justified through arguments about the need to break out of strategic spatial organizing ideas locked into the urban plans of an earlier era.”*²⁰

Despite the general anti-planning sentiment of the eighties, Kaufman and Jacobs still argued that strategic planning should become general practice within the USA Government for it to use as a management tool as the private sector has done since the fifties.²¹ Harrison²² pointed towards the consequences of the decentralisation policy under New Public Management (NMP) - institutional diffusion, fragmentation and a growing complexity of governance - of the eighties that made strategic planning acceptable in US Government circles in the nineties.

The Clinton Administration found the solution for co-ordination in Tony Blair’s joined-up government or integration through strategic planning.²³ From 1993 onwards, each Federal Department was required to formulate a strategic plan to manage the execution of its mandates.²⁴ The introduction of strategic planning also shifted the future direction of plan drafting to strategic metropolitan regional planning.²⁵ This type of planning later became known as new regionalism, with the focus, amongst others, on urban areas instead of the dispersed regional planning of the eighties,²⁶ and strategic environmental planning that resulted in state wide land use plans in some American federal states.²⁷

In his seminal article of the early nineties, *The Fall and Rise of Regional Planning*, Glasson²⁸ observed that, by that time strategic planning was back on the agenda of academics, pressure groups, planners and politicians in the United Kingdom (UK). For Breheny, the reason for this change in attitude was a response towards the random development, for example in the south of England where stakeholders groups wanted to oppose unwelcome development and business wanted more certainty from the planning system and additional infrastructure planning.²⁹

By referring to Breheny, Albrechts³⁰ further explained why strategic spatial planning was given again its rightful place to guide planning initiatives during the 1990s onwards. He listed the growing planning and development complexity, the problems caused by

²⁰ Healey, P., 2004:45.

²¹ Albrechts, L., 2004:746.

²² Harrison., P., 2006:189.

²³ Harrison., P., 2006:189 and 191.

²⁴ Harrison., P., 2006:191.

²⁵ Glasson, J., 1992:519.

²⁶ Abbott, C., 2006:91; and Hall, 2006:304 refers to mega-city regions and described them as a series of cities and towns with their spheres of influence. For example in South East England there are 51 functionally interconnected cities and towns and therefore such mega-regions are polycentric in nature.

²⁷ Glasson, J., 1992:519.

²⁸ Glasson, J., 1992:517.

²⁹ Glasson, J., 1992:519.

³⁰ Albrechts, L., 2004:743.

fragmentation and the exponential increase in environmental concerns as the main reasons.³¹ By 2000, Healy³² pointed to another pertinent reason for the revival of the need for strategic spatial planning as the constant challenge of the co-ordination of public policy in specific localities, efforts to make urban regions more economically competitive and improving the access to opportunities for groups residing in specific localities.

Furthermore, according to Healy,³³ strategic spatial planning could strengthen the inputs of municipal government or regional bodies in the multi-level European governance landscape and increases the chances to obtain resources from higher government levels and assist regions and communities repositioning themselves in relation to forces unleashed by, what Goldsmith called the “... *increasing interdependence of the world economy ... (since the 1980s)*”³⁴ or globalisation and local dynamics.³⁵

Dalal-Clayton, *et.al.*³⁶ highlighted the emergence and development of strategic planning in developing countries from independence onwards. Although various approaches were followed over the years, strategic regional plans sought to address a variety of development challenges. These challenges include the ongoing migration of people from rural areas to cities, reducing regional inequality by redistribution, resource allocation and responding to local needs, securing rural livelihoods by more effective service delivery such as health care, education and agricultural extension and limit the degradation of natural resources.³⁷

The demise of strategic planning in the eighties and the need for its resurgence was also observed in the development landscape in the developing world.³⁸ In Zambia, for example, Mulikita, argued that developing countries - emphasising Africa - has to apply long range strategic planning for the formulation and implementation of priority policy objectives.³⁹ He stated that the discrediting of central planning by the introduction of Structural Adjustment Programs (SAPs) made African countries do away with central planning structures.⁴⁰ The absence of a national planning mechanism made the implementation of public policy priorities chaotic and haphazard.⁴¹ Strategic planning, however, gained ground and is currently firmly on the development agenda of developing countries promoting integrated rural development within the context of good governance based, decentralised district and local government structures.⁴²

The reasons listed for the need for strategic planning internationally, supported

³¹ Albrechts, L, 2004:743.

³² Healey, P., 2004:45.

³³ Healey, P., 2004:45.

³⁴ Goldsmith, M., 1993:683.

³⁵ Healey, P., 2004:45.

³⁶ Dalal-Clayton, B., Dent, D., & Dubois, O., 2003:9 - 14.

³⁷ Dalal-Clayton, B., *et.al.*, 2003:9.

³⁸ Mulikita: [s.a]:1.

³⁹ Mulikita: [s.a]:1.

⁴⁰ Mulikita: [s.a]:1.

⁴¹ Mulikita: [s.a]:1.

⁴² Dalal-Clayton, B., *et.al.*, 2003:13 - 14; Mensah, 2005:245 - 247 on Ghana serves as but one example.

Mintzberg's conclusion that private organisations and government institutions found themselves in multifaceted environments during which they have to constantly make sense of a complex flow of events.⁴³ Another example of institutional response to changing environments is Africa, where government institutions were to speed-up the decentralisation of planning and development responsibilities to district level and the formulation of district development plans.⁴⁴

2.2.2 Relationship between Strategic Planning and Strategic Management

Glasson⁴⁵ indicates the shift in the approach towards strategic plan making over the years. The sixties and seventies were characterised by a top-down approach whereby central governments were the main actors in regional strategic plan making and implementation.⁴⁶ In the nineties a shift occurred towards a mixture of top - down and bottom - up approaches in regional strategic planning policy formulation and implementation.⁴⁷

The view of Bateman and Snell⁴⁸ on strategic planning vis-a-viz strategic management opens the door for the researcher to confidently state that the method in which strategic plans were formulated centrally and handed-down to the regional level, either in business or in governmental institutions, was also mirrored in the manner that institutions formulated and passed on their strategic plans from top management to other management levels.

Bateman and Snell⁴⁹ observed that strategic planning from the 1960s to mid-eighties was characterised by a top-down approach. Senior management and strategic planning units formulated the goals and plans for the organisation or business. Middle (operational) and junior (tactical) managers were only receivers of the goals and plans, with their planning activities restricted to defined procedures and budgets related to their management sections. The end-result of this approach was that managers and staff within organisations were alienated and lost commitment to the organisation.

To counter the abovementioned situation within the fast and ongoing changing environment in the eighties and nineties, executives were forced to obtain ideas and innovations from all levels and units of their organisations.⁵⁰ The role of operations and tactical managers to make contributions in the finalisation of the strategic plan were acknowledged and/or they were allowed to draft their own strategic plans. The net result of this change in organisational management made organisations increasingly flexible and responsive, both of which became critical prerequisites for the success of the modern

⁴³ Sotarauta, M., *circa* 1997: 4.

⁴⁴ Dalal-Clayton, B., Dent, *et.al.*, O., 2003:13 - 14.

⁴⁵ Glasson, J., 1992:514.

⁴⁶ Glasson, J., 1992:514.

⁴⁷ Glasson, J., 1992:514.

⁴⁸ Broadly based on information in Bateman, S.T., & Snell S.A., 1999:131.

⁴⁹ Bateman, S.T., & Snell S.A., 1999:130 - 131.

⁵⁰ Bateman, S.T., & Snell S.A., 1999:131.

organisation.⁵¹

Bateman and Snell observed that the developments in the eighties and nineties caused the strategic planning process to become strategic management:

*“(which) involves managers from all parts of the organisation in the formulation and implementation of strategic goals and strategies. It integrates strategic planning and management into a single process. Strategic planning becomes an ongoing activity in which all managers are encouraged to think strategically and to focus on long-term, externally orientated issues as well as short-term tactical and operational issues.”*⁵²

Mintzberg’s view on the nature of strategic planning and management confirms the abovementioned when he stated that strategic management is a constant effort to reconcile intended strategies with the organisation’s structure and culture.⁵³ Strategic management for Mintzberg is therefore the ongoing management of the organisational strategic process.⁵⁴

Albrechts built further on the argument and felt passionately that strategic planning must be action orientated:

*“Strategic planning relates to implementation. Things must get done! This is seen as the pattern of purposes, policy statements, plans, programs, actions (short, medium and long term), decisions and resource allocation that defines what a policy is in practice, what it does, and why it does it ... Strategic ... planning is not just a contingent response to wider forces, but is also an active force in enabling change.”*⁵⁵

2.2.3 Clarification of Strategic Management

David describes strategic management as the art and science of formulating, implementing and evaluating cross-functional decisions that enable an organisation to achieve its objectives.⁵⁶ David clarified “*strategic management*” as the inclusion of strategy formulation, implementation and evaluation, whilst “*strategic planning*” referred to “*strategy formulation*” only.⁵⁷ In turn, Wheeler and Hunger defined strategic management as:

*“...a set of managerial decisions and actions that determines the long-run performance of a corporation. It includes strategy formulation, strategy implementation, and evaluation and control.”*⁵⁸

⁵¹ Bateman, S.T., & Snell S.A., 1999:131.

⁵² Bateman, S.T., & Snell S.A., 1999:131.

⁵³ Sotarauta, M., circa 1997:5.

⁵⁴ Sotarauta, M., circa 1997:5.

⁵⁵ Albrecht, L., 2004:252.

⁵⁶ David, F.R., 2003:5.

⁵⁷ David, F.R., 2003:5.

⁵⁸ Van der Walt, G., & Du Toit, F.F.P., 1997:282.

Hahn's view of the nature and content of strategic management enriches the concept further:

*“Strategic management is based on the fundamental ideas of ‘strategy’ and ‘management’, and includes a wide range of management processes. In addition to planning it includes implementation and supervision. After thorough analysis and projection into the future, the main steps are: (1) identifying the critical issues, then (2) generation, evaluation, selection, implementation and supervision ... Strategic management processes apply to ‘strategies, a term which refers to fundamentally important management decisions and actions. These fundamental decisions affect the organization’s nature and direction.”*⁵⁹

According to Ehlers and Lazenby:

*“Strategic management”⁶⁰ can be defined as the process whereby all the organisational functions and resources are integrated and coordinated to implement formulated strategies which are aligned with the environment, in order to achieve the long-term objectives of the organisation and therefore gain competitive advantage (or edge that an organisation has that others don’t) through adding value for the stakeholders.”*⁶¹

Not everybody agrees with the abovementioned statements on strategic management. David, for example, emphasised that strategic management and strategic planning are synonyms with only one distinction: the term “strategic management” is used by academics and “strategic planning” by the business world.⁶²

2.3 THE CONNECTION BETWEEN DEVELOPMENT AND STRATEGIC MANAGEMENT

2.3.1 Introduction

Over the years various development approaches were introduced, criticised and changed to adapt to changes or to make development better. However, questions on the success of the development approaches are raised inevitably. Notwithstanding, the criticism against government intervention in development governments are required to do that in order to address market failures and to assist the poor.

2.3.2 Overview of Development Approaches, 1945 to 2006⁶³

Soubbotina⁶⁴ and Thomas⁶⁵ highlighted, but do not support the notion, that for many

⁵⁹ Smit, P.J., 1999:45.

⁶⁰ Their emphasis.

⁶¹ Ehlers, M.B., & Lazenby, J.A.A., (Eds),2004:2.

⁶² David, F.R., 2003:5.

⁶³ This section should be read in conjunction with Chapter 2 Section 2.2.1 dealing with the Origin and Need for Strategic Planning.

⁶⁴ Soubbotina, T.P., 2004:8.

years development was seen to be similar to economic growth or efforts to increase the wealth of a nation within the context of an international free market economy. The majority of government and multilateral agencies have for long recognised that economic growth on its own has the potential for solving social problems and reducing poverty.⁶⁶ Thomas⁶⁷ pointed out that poverty under this scenario was seen as the inability of people to meet basic material needs through cash transactions.

However, as Soubotina⁶⁸ emphasised, numerous international case studies have shown in the development debate that economic growth was not always necessarily followed by similar progress in human development. Economic growth was achieved, but at a cost, including glaring inequality between individuals and socio-economic groups, increased unemployment, weakened democracy and an exhaustion of natural resources for future consumption.⁶⁹ In these instances, the quality of life as the goal of all development efforts was not achieved.⁷⁰

In countries with similar average incomes, differences in the geographic or spatial distribution of the quantity of resources cannot be determined when “economic growth” is the sole purpose and measurement of development.⁷¹ Also, quality of life indicators, such as access to education and health services, employment opportunities, clean (piped) water and low crime rates, differ regionally and from country to country.⁷² (Development) indicators other than purely economic growth measures for measuring human development are required, Soubotina concluded.⁷³ Thirlwall⁷⁴ echoed this sentiment by stating that economic growth is not the same as economic development, because the well-being of people is much more inclusive than the level of income.

By the beginning of the seventies disillusionment came with the economic growth approach and its related measuring of society’s progress through the Gross National Product (GNP) per capita.⁷⁵ By the end of the seventies statistics of the time indicated that the orthodox concept of trickle-down did not work:

“Despite impressive rates of growth in GDP per capita enjoyed by developing countries, this success was not reflected in their societies at large, and whilst a minority became substantially wealthier, the mass of the population saw no significant change.”⁷⁶

The South Commission Report reflected that some quarters of society concluded that

⁶⁵ Thomas, C., 2001:562.

⁶⁶ Soubotina, T.P., 2004:8 and Thomas,C., 2001:562.

⁶⁷ Thomas,C., 2001:562.

⁶⁸ Soubotina, T.P., 2004:8.

⁶⁹ Soubotina, T.P., 2004:8.

⁷⁰ Soubotina, T.P., 2004:8.

⁷¹ Soubotina, T.P., 2004:7.

⁷² Soubotina, T.P., 2004:7.

⁷³ Soubotina, T.P., 2004:7.

⁷⁴ Thirlwall, A.P., 2002:42.

⁷⁵ Elliot, J.A., 2002:45 - 46.

⁷⁶ Thomas,C., 2001:568.

growth would reduce poverty only if it is accompanied by specific economic and social policies directed to such ends.⁷⁷

In response the Basic Needs Approach (BNA) was introduced to bring development to the poorest of society because the trickle down effect of the economic growth approach did not always work.⁷⁸ Robert McNamara of the World Bank advocated the BNA approach as early as 1972 by encouraging the developing countries to give greater priority to the determining of targets in terms of essential human needs namely nutrition, housing, health, literacy and employment.⁷⁹

The International Labour Organisation (ILO) clarified the BNA approach as follows:

*“Basic needs ... include two elements. First,...certain minimum requirements of a family for private consumption, adequate food, shelter and clothing, as well as certain household equipment and furniture. Second,...essential services provided by and for the community at large, such as safe drinking water, sanitation, public transport and health, education and cultural facilities.”*⁸⁰

During the seventies, according to Chambers, the BNA introduced development practices based on district and regional planning supported by major international donor organisations, “exponential” growth in field bureaucracies and by development solutions through the targeting of certain social groups (i.e. women and children), sectors and regions to overcome the planning shortcomings of the 1960s.⁸¹

Of equal importance, after the acceptance of the BNA towards development, the NGO movement applied pressure on the World Bank and Governments to accept that development should be undertaken as a broad-based and people-orientated process, thus from the bottom-up.⁸² Fair indicated that this was a solid break with the modernisation theory⁸³ underpinned by the “top-down and filtering-down development approach.”⁸⁴

The eighties was the so-called lost decade for strategic planning and development in the majority of Southern States, especially Sub-Saharan Africa.⁸⁵ Simon⁸⁶ reiterated that the

⁷⁷ Thomas,C., 2001:568.

⁷⁸ Rist, G., 1999:162 -163; and Thirwall, A.P., 2003:107 - 108 advanced the five arguments for the acceptance of the BNA approach as follows (1) Growth strategies usually fails to benefit those intended; (2) the productivity and incomes of the poor is dependent on the provision of health and education facilities; (3) it takes too long for the poor to accumulate sufficient income to be able to afford basic needs; (4) facilities could only be provided publicly, such as water and sanitation; and (5) when basic needs are provided the poor could be assisted in a uniform manner.

⁷⁹ Rist, G., 1999:163.

⁸⁰ Rist, G., 1999:164.

⁸¹ Simon,D., 2002:46.

⁸² Elliot, J.A., 2002:46.

⁸³ Elliot, J.A., 2002:46.

⁸⁴ Davids, I., Theron, F., Maphunye, K.J., 2005:11.

⁸⁵ Thomas,C., 2001:568.

⁸⁶ Simon, D., 2002:86 - 87.

dramatic rise in the oil price in 1973 and 1979 plunged the world economy in a deep recession. These events resulted in the debt-crises in the South during 1981 and 1982. Toward the end of 1981 Brazil, Mexico and Poland indicated that they were unable to honour the repayment of loans granted by the IMF. The IMF stepped in to prevent the collapse of the Northern creditor banks.⁸⁷ The cure was simple: the debtor countries should repay loans and no debts would be written off,⁸⁸ a stance that was partially changed only in 2005 when the debt of the 18 most indebted countries were written off.⁸⁹

The IMF's remedy or policy was called Structural Adjustment Programmes (SAPs) based on a good dose of neo-liberalism.⁹⁰ The SAPs aimed at reducing government expenditure (such as downsizing the civil service and wage cuts of civil servants); reducing the involvement of the state in the economy (through privatisation) and promoting trade liberalisation (by removing import quotas and tariffs).⁹¹ By the 1990s the IMF, World Bank (WB) and Northern donors and banks made SAPs a condition for any further loans.⁹² The economic conditions were complimented with political conditions, namely that donor countries accept and introduce good governance as a national policy.⁹³

Neo-liberalism and good governance programmes associated with the SAPS needs further investigation. Harrison provided very useful background on the origin of neo-liberalism and its related good governance programmes.⁹⁴ Harrison⁹⁵ indicated that New Public Management (NPM) originated in the UK, USA, Australia and New Zealand with radical neo-liberal administrations. In its first wave in the 1980s under NPM attempts were made to foster business like practices and efficiencies into public institutions.⁹⁶

Harrison summarised the strategies associated with the 1980s-NPM approach as follows: professional and flexible top management; separation of policy formulation from operations; public sector departments were carved-up into business units; outsourcing and tendering in service delivery and individual performance management. However, the individual was given preference, fragmented government institutions emerged and strategic planning was replaced by short-term ad hoc projects.⁹⁷

Harrison⁹⁸ indicated that the “traditionally left-leaning parties in the North” realised in the 1990s that a change in strategy was needed urgently. The solution proposed was the so-called Third Way politics. This approach to governance included a mixture of the

⁸⁷ Simon, D., 2002:87.

⁸⁸ Simon, D., 2002:87.

⁸⁹ Sunday Times, 12 June 2005. An amount of \$40 billion was written off.

⁹⁰ Simon, D., 2002:87.

⁹¹ Simon, D., 2002:87 - 88.

⁹² Simon, D., 2002, pp 88. In Desai, p 89, Simon indicated that during 1980 to 1989, 171 SAPs were introduced in Sub-Saharan Africa and by 1996 an additional 57 SAPs has been initiated.

⁹³ Simon, D., 2002:88.

⁹⁴ Harrison., P., 2006:187 -192.

⁹⁵ Harrison., P., 2006:188.

⁹⁶ Harrison., P., 2006:188.

⁹⁷ Harrison., P., 2006:188.

⁹⁸ Harrison., P., 2006:189.

1980 neo-liberalism (i.e. conservative fiscal and monetary policy, welfare-to-work approach and privatisation) and progressive ideals such as public participation or collaborative governance in view of the ever growing network society, need for institutional integration and poverty alleviation.⁹⁹

As one of the “*powerful development agencies*” in support of NPMs 1990’s “*collaborative governance*”,¹⁰⁰ the IMF had to pause and assess the effects of their SAPs application in the third world. The IMF acknowledged that the SAPs were over-emphasising the economy and neglected or retarded social development.¹⁰¹ SAPs did not even increase foreign direct investment as one of the main assumptions of SAPs.¹⁰²

The SAPs also impacted negatively on the urban poor and civil servants that lost their jobs. In addition, it caused high price increases in basic food-stuff, subsidies were slashed and public transport and other utilities commercialised. Food security was threatened as a result of the sudden switch to cash crops production for export and environmental degradation.¹⁰³ Bracking demonstrated that possibly the most important consequence of the SAPs was the direct influence these programmes had over the right of nations to determine their domestic economic and political policies.¹⁰⁴

In countering the negative impacts of the SAPs, the WB introduced Poverty Reduction Strategies (PRSs) during 1999.¹⁰⁵ The WBs assumption that neo-liberal macro-economic reform would reduce poverty because of more efficient economic management and political governance did not occur.¹⁰⁶ Simon concluded:

“... the language and presentation of macro-economic reform programmes have been transformed under the guise of PRSs, but there has been little substantive change.”¹⁰⁷

Rist¹⁰⁸ questioned seriously whether the so-called lost decade of the eighties was really wasted. The development problems of the South became worse and development made a come-back through the Western ecology approach.¹⁰⁹ For Rist development already made a come-back in 1983 when the United Nations (UN) appointed the World Commission on Environment and Development with Mrs G.H. Brundtland, the then Prime Minister of Norway as chairperson.¹¹⁰ The Brundtland Commission had to consider the environment and development at the same time to chart the way forward for development.¹¹¹

⁹⁹ Harrison., P., 2006:189.

¹⁰⁰ Harrison., P., 2006:188 and 192. My emphasis.

¹⁰¹ Simon, D., 2002:90.

¹⁰² Simon, D., 2002:89.

¹⁰³ Simon, D., 2002:89 - 90.

¹⁰⁴ Simon, D., 2002:90.

¹⁰⁵ Simon, D., 2002:90.

¹⁰⁶ Simon, D., 2002:91.

¹⁰⁷ Simon, D., 2002:91.

¹⁰⁸ Rist, G., 1999:178.

¹⁰⁹ Rist, G., 1999:178.

¹¹⁰ Rist, G., 1999:178 - 179.

¹¹¹ Rist, G., 1999:180.

Two opposing concepts had to be reconciled: human activities with its origins from the mode of industrial production synonymous with development resulting in the degradation of the environment, viz-a-viz how could development be slowed down where people were still without access to decent living conditions.¹¹²

A middle of the road solution was proposed, i.e. sustainable development defined as follows:

*“Humanity has the ability to make development sustainable - to ensure that it meets the needs of the present without compromising the ability of future generations to meet their own needs ... poverty is not only an evil in itself, but sustainable development requires meeting the basic needs of all and extending to all opportunity to fulfil their aspirations for a better life. A world in which poverty is endemic will always be prone to ecological and other catastrophes.”*¹¹³

Soubbotina¹¹⁴ is of the view that sustainable development could also be labelled as equitable and balanced development. In other words for development to continue it should balance the interests of groups of people within the same generation and among generations in three interrelated areas, namely economic, social and environmental.¹¹⁵ Sustainable development is about equity - defined as equality of opportunities for well-being - and comprehensiveness of objectives.¹¹⁶ If some of the objectives indicated in Table 2.1 are not taken into account they could reverse development in other development areas.¹¹⁷

TABLE 2.1: OBJECTIVES OF SUSTAINABLE DEVELOPMENT (1)

Economic objectives	Social objectives	Environmental objectives
Growth	Full employment	Healthy environment
Efficiency	Equity	Rational use of renewable resources
Stability	Education	Conservation of non-renewable natural resources
	Health	
Participation (2)		
Participation and sustainable development go hand-in-hand. A consequence of the Rio Earth Summit in 1992 was the adoption of Local Agenda 21, and proposed a phased approach for participation in local development initiatives:		
1. Multi-sectoral engagement in the planning process through a local stakeholder group;		
2. Consultation with community groups to determine a shared vision and identify priorities;		
3. Assessment of local social, economic and environmental needs;		
4. Target setting through negotiations in support of vision and goals; and		
5. Accountable monitoring and reporting procedures during action plan implementation.		

Source: Table based on:

- (1) Soubbotina, 2004:10; and
- (2) Pugh, J., 2002:288.

¹¹² Rist, G., 1999:180.

¹¹³ World Commission on Environment and Development, 1988:8.

¹¹⁴ Soubbotina, T.P., 2004:9.

¹¹⁵ Soubbotina, T.P., 2004:9 - 10.

¹¹⁶ Soubbotina, T.P., 2004:10.

¹¹⁷ Soubbotina, T.P., 2004:10.

Mhone and Edigheji also defined development within the context of sustainable development:

*“The notion of development is understood to refer to the various aspects generally subsumed under the goal of sustainable human development. This encompasses the need to promote economic growth in an inclusive manner, such that the majority of the labour force is involved in contributing to economic growth, and the majority of the population shares the fruit without compromising the needs of future generations to enjoy similar or better living standards of living. Thus, development, as it is generally accepted, has economic, social, human and environmental dimensions, all of which need to be promoted in a mutually sustainable manner.”*¹¹⁸

From the summary, including definitions, of the development approaches followed - even during the so-called lost years of eighties - strategic planning is still well and alive. An adaptation of the definition by Hettne of what development strategies are, provides a cursory answer.¹¹⁹

For Hettne, development strategies are the critical paths to development which *are*¹²⁰ pursued by international agencies, states in the developing and developed world, NGOs and CBOs, or individuals, in an effort to stimulate change within particular nations, regions and continents.¹²¹ What else are the WB and IMF doing with PRSs and the UN, supported by NGOs, in their quest for making sustainable development successful world wide, because it matters for them, even if not all may agree on the success there of, according to Hettne.

2.3.3 The State and Integrated Development Planning

2.3.3.1 Need for Integrated Development Planning

Todaro and Smith¹²² stated that after independence, governments in developing countries held the view that development planning was the surest and most obvious path to economic progress. The Five Year Development Plan, based on the growth and basic needs approach, was the common planning tool to achieve development.¹²³ For drafting such plans a (strategic) planning process was followed during which social objectives, targets, implementation frameworks and monitoring mechanisms were determined.¹²⁴

The majority of development plans are formulated within mixed economies where the public and private sector own and operate resources.¹²⁵ In Less Developed Countries

¹¹⁸ Mhone, G., & Edigheji, O. (Eds.), 2003:4.

¹¹⁹ Desai, V. & Potter, R.B. (Eds.), 2002:61.

¹²⁰ My change and emphasis.

¹²¹ Desai, V. and Potter, R.B. (Eds.), 2002:61.

¹²² Todaro, M.P., & Smith, S.C., 2006:517.

¹²³ Todaro, M.P., & Smith, S.C., 2006:518.

¹²⁴ Todaro, M.P., & Smith, S.C., 2006:518.

¹²⁵ Todaro, M.P., & Smith, S.C., 2006:518.

(LDCs) governments control the majority of resources.¹²⁶ Governments with mixed economies still use the two main instruments of development planning to achieve developmental goals.¹²⁷

On the one hand, economic policy, through stimulation, directing or control are used, to make sure that private economic activity is in harmony with the social objectives of central government. On the other hand, in combination with, Governments deliberately use domestic savings and foreign funding to undertake public investment projects and to channel scarce resources to areas which could contribute the most to the achievement of long-term economic objectives, such as economic infrastructure and import-substitution industries.¹²⁸

Todaro and Smith¹²⁹ and Soubotina¹³⁰ listed the reasons why governments have to involve themselves in development planning (*by formulating strategies in the following areas*):¹³¹

A. Market failures

Soubotina¹³² stated that in this case the private sector, either underproduce or over-produce goods and services. Nijkamp, van der Buch and Vindigni refer to this situation as “*market imperfection(s)*.”¹³³ Soubotina¹³⁴ listed some examples:

- (1) Underproduction of public goods such as roads, health services and education and environmental protection¹³⁵;
- (2) Overpricing and underproduction by monopolies, such as electricity and water utilities;
- (3) Insufficient supply of social services such as pensions or medical and unemployment insurance; and
- (4) Insufficient information on market process, e.g. availability of quality food and medicines.

B. Resource allocation

Investment projects cannot be undertaken by only focussing on the determinants of

¹²⁶ Todaro, M.P., & Smith, S.C., 2006:518.

¹²⁷ Todaro, M.P., & Smith, S.C., 2006:519.

¹²⁸ Todaro, M.P., & Smith, S.C., 2006:519.

¹²⁹ Todaro, M.P., & Smith, S.C., 2006:520.

¹³⁰ Soubotina, T.P., 2004:79.

¹³¹ My addition and emphasis.

¹³² Soubotina, T.P., 2004:79.

¹³³ Nijkamp, van der Buch & Vindigni, G, 2002:1867.

¹³⁴ Soubotina, T.P., 2004:79.

¹³⁵ Meyerson, M., Building the Middle-range Bridge for Comprehensive planning printed in A Reader in Planning Theory, Faludi, A., 1973:133 identified that the market was not allocating land uses in such a way that residential values were guaranteed during the economic life of a property. The planning agency was expected to compensate for the market failure through land use and other controls.

individual industrial capital-output ratios, but have to take into account the overall context, including external economies and long-term objectives.¹³⁶

C. Foreign aid

A development plan is a requirement for foreign aid.¹³⁷

D. Good politics

Development Plans could have the potential to mobilise stakeholders behind government in the search for economic and social progress.¹³⁸

2.3.3.2 Government failures in Integrated Development Planning

Todaro and Smith are not oblivious towards the problems experienced by developing countries during their development planning undertakings. *In other words, governments in developing countries need to formulate strategies to address these challenges indicated in Table 2.2.*¹³⁹

TABLE 2.2: GOVERNMENT FAILURES IN DEVELOPMENT PLANNING AND PROPOSED STRATEGIES

Government failures	Proposed Strategies
Individuals may know more than officials	Public participation
Complex decision making in government	Stream line procedures
Inefficient and unproductive public enterprises	Public-Private-Partnerships
Manipulation of planning processes by the powerful	Anti-corruption strategy

Source: Based on:

Todaro, M.P., and Smith, S.C.:2006:533.

2.3.4 Conclusion

Some perceive strategic planning and strategic management as similar concepts. Others are of the opinion that over time strategic planning evolved into strategic management. Notwithstanding, any of these views, strategic planning and strategic management are concepts that are still applicable to development undertakings and important tools for undertaking integrated development planning. Governments use development planning to intervene in the affairs of their citizenry to counter market failures, allocate resources and secure foreign aid. However, governments, for reasons such complex decision making and inefficiencies in enterprises, fails to undertake successful development planning strategies.

¹³⁶ Todaro, M.P., & Smith, S.C., 2006:520 - 521.

¹³⁷ Todaro, M.P., & Smith, S.C., 2006:521.

¹³⁸ Todaro, M.P., & Smith, S.C., 2006:521.

¹³⁹ My adaptation and emphasis.

2.4 A PHASED APPROACH FOR THE STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

Reference is made to the three general phases of strategic management, namely planning, implementation and control (including monitoring, evaluation and review). An alternative ten step interpretation of the three phases is presented arguably more applicable to governments. Each of the ten steps is discussed in detail as it forms the basis for the development of a Strategic Management Model.

2.4.1 Three Phases Approach

David (2003), Hahn (1991), Ehlers and Lazenby (2004), as well as Bryson (1995), amongst others, wrote comprehensively on strategic planning and strategic management. The wealth of literature on strategic management and planning reveals that the strategic management process contains three identifiable phases, namely strategy (or plan) formulation, implementation and evaluation¹⁴⁰ or supervision.¹⁴¹

Depending on the model proposed, the approach and identification of phase three differs.¹⁴² Table 2.3 indicates the three phases of the strategic management process according to abovementioned authors.

TABLE 2.3: THE THREE PHASES OF STRATEGIC MANAGEMENT: VARIOUS APPROACHES

Strategic Management		
Phase 1: Planning	Phase 2: Implementation	Phase 3
David	David	David: Evaluation
Hahn	Hahn	Hahn: Supervision
Ehlers and Lazenby	Combined Phase 2 and Three: Implementation and Control	
Bryson: Ten step strategic process based on three phases		

Source: Based on information contained in the following sources:

- (1) David, F.R., 2003:13.
- (2) Hahn, D., 1991:45 - 46.
- (3) Ehlers, M.B., and Lazenby, J.A.A., (Eds.), 2004:6.
- (4) Bryson, J.M., 1995:23.

David¹⁴³ reflected as follows on the three generally accepted phases in the strategic management process, namely:

Phase 1: Strategy formulation

During this phase the following takes place, namely the development of a vision and mission, identifying an organisation's external opportunities and threats, determining

¹⁴⁰ David, F.R., 2003:13.

¹⁴¹ Hahn, D., 1991:26 - 39

¹⁴² David, F.R., 2003:13. In contrast with David's three phased approach, Ehlers & Lazenby (Eds.) identified two strategic management "loops" consisting of strategic plan formulation and strategic plan implementation.

¹⁴³ David, F.R., 2003:5.

internal strengths and weaknesses, formulating of long-term objectives, generating alternative strategies and deciding on the most appropriate strategies to follow.¹⁴⁴

Phase 2: Strategy implementation

Also described as the action phase of strategic management, annual objectives are established, policies drafted and resources allocated. The organisational structure is re-confirmed or adjusted for the correct fit, budgets prepared, information management systems developed and applied, and employee remuneration linked to organisation performance.¹⁴⁵

Phase 3: Strategy evaluation

Strategies are assessed for their successful implementation or not, in order to make adjustments thereto. At least three aspects are considered, namely a review of the external and internal factors which determine the strategies, performance measuring and introduction of corrective measures.¹⁴⁶

2.4.2 Alternative Interpretation of Phased Approach into TEN STEPS for Government Model

Bryson¹⁴⁷ put forward a ten step strategic (planning) process which he believes is more suited for government institutions, namely:

- Step 1: Initiate and agree upon a strategic planning process;
- Step 2: Identify organisational mandates;
- Step 3: Clarify organisational mission and values;
- Step 4: Assess the organisation's external and internal environment to identify strengths, weaknesses, opportunities and threats;
- Step 5: Identify the strategic issues facing the organisation;
- Step 6: Formulate strategies to manage these strategic issues;
- Step 7: Review and adopt the strategic plan(s);
- Step 8: Establish an organisational vision;
- Step 9: Develop an effective implementation process; and
- Step 10: Reassess strategies and strategic planning process.

The elements of the business model of David¹⁴⁸ and the government model of Bryson¹⁴⁹ are complementary to each other. Bryson used the term (*corporate*)¹⁵⁰ strategic planning

¹⁴⁴ David, F.R., 2003:6.

¹⁴⁵ David, F.R., 2003:6.

¹⁴⁶ David, F.R., 2003:6.

¹⁴⁷ Bryson, J.M., 1995:23.

¹⁴⁸ See David in Section 2.2.4 above.

¹⁴⁹ Bryson, J.M., 1995:21 - 37.

¹⁵⁰ My insertion.

instead of strategic management.¹⁵¹ For purposes of this study, his model is reflected as strategic management, a view that is based on arguments earlier that corporate strategic planning and strategic management are consistent with each other.

The elements are further defined to provide more clarity on the contents and role of each step in the strategic management process followed by government institutions and development organisations. Additional applicable information from other sources, such as Dale (2004),¹⁵² and Ehlers and Lazenby (Eds.) (2004),¹⁵³ on strategic planning and/or management is incorporated to provide further clarity on the identified strategic management steps.

2.4.3 Clarification of TEN STEPS of Strategic Management

2.4.3.1 Step 1: Initiate and agree on Strategic Planning Process

With the commencement of the strategic planning process, agreement should be reached amongst key decision makers within and outside the organisation on the strategic planning approach and steps to be followed during plan formulation to make the effort successful.¹⁵⁴ Dale had developed the following set of criteria that could inform the initial stakeholder selection process:

- (1) The organisation and unit or person within to be in charge;
- (2) Who the internal participants would be; and
- (3) Who would be involved from other organisations.¹⁵⁵

Written agreements, signed by participants should ensure full commitment, and could include the following elements, namely the:

- (1) Purpose of the initiative;
- (2) Steps within the process;
- (3) Format of reports;
- (4) Time frames for the submission of reports;
- (5) Terms of Reference (TOR) of the strategic planning co-ordinating committee and strategic planning team; and
- (6) Resources committed to plan formulation and implementation.¹⁵⁶

2.4.3.2 Step 2: Identify Organisational Mandates

Government departments are obliged to execute their strategic planning function within the framework set by their organisational mandates. The mandates - formal or informal -

¹⁵¹ Bryson, J.M., 1995:21 - 37.

¹⁵² Dale, R., 2004:26 - 35.

¹⁵³ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004.

¹⁵⁴ Bryson, J.M., 1995:23.

¹⁵⁵ Dale, R., 2004:26 - 36.

¹⁵⁶ Bryson, J.M., 1995:26.

are also the minimum requirements of planning strategies and must be taken cognisance of in the planning phase.¹⁵⁷ The formal mandates are found in applicable legislation, ordinances, charters and contracts.¹⁵⁸ The informal mandates are found in political decisions affecting the institution.¹⁵⁹ The mandates create a point of departure and give direction on the way forward at the early stage of the process.

2.4.3.3 Step 3: Clarify Organisational Mission and Values

The mission in combination with the mandates is the justification for the existence of an organisation.¹⁶⁰ A government institution or department exists primarily for a political or social need or needs that are to be satisfied.¹⁶¹ The overall mission or purpose of a development organisation indicates the justification of its existence.¹⁶² The mission clarifies the role of the organisation in support of the reaching of its vision, for example advocacy work for greater gender equality.¹⁶³

2.4.3.4 Step 4: Assess Organisation's External and Internal Environment: SWOT analysis

The environment inside and outside the organisation should be explored to identify strengths and weaknesses, and opportunities and threats respectively.¹⁶⁴ Cumulatively, this exercise is commonly known by its acronym of "SWOT analysis."¹⁶⁵ The strengths and weaknesses of an organisation are found in the monitoring of resources or inputs, the present strategic process and performance information on outputs and outcomes.¹⁶⁶ Knowledge on philosophy, core values, culture and competencies should also be considered in determining strengths and weaknesses.¹⁶⁷

The opportunities and threats are obtained from various sources such as political, economic, social, technological, educational and physical environmental forces and trends.¹⁶⁸ A balance should be struck by not over-emphasising the threats at the cost of the opportunities each of these factors presents.¹⁶⁹

2.4.3.5 Step 5: Identify Strategic Issues facing Organisation

Strategic issues are focusing the organisation's attention on what is important for its

¹⁵⁷ Bryson, J.M., 1995:26.

¹⁵⁸ Bryson, J.M., 1995:26.

¹⁵⁹ Bryson, J.M., 1995:26.

¹⁶⁰ Bryson, J.M., 1995:26.

¹⁶¹ Bryson, J.M., 1995:26 - 27.

¹⁶² Dale, R., 2004:36.

¹⁶³ Dale, R., 2004:36.

¹⁶⁴ Bryson, J.M., 1995:28.

¹⁶⁵ Kaufman, J.L. & Jacobs, H.M, 1987:24.

¹⁶⁶ Bryson, J.M., 1995:29.

¹⁶⁷ Bryson, J.M., 1995:29.

¹⁶⁸ Bryson, J.M., 1995:29.

¹⁶⁹ Bryson, J.M., 1995:29.

effectiveness and survival.¹⁷⁰ In the context of development planning, where the people-centred approach to development is central, development problems or quality of life deficiencies can be identified, for example a lack of proper nutrition in children in certain socio-economic groups.¹⁷¹

2.4.3.6 Step 6: Formulate Strategies to manage Strategic Issues

(A) Methodology

Since strategies are the cornerstone of the strategic planning process, relevant aspects regarding “strategies” are highlighted, namely what are strategies or a description, schools of strategic thought, differences in strategy formulation in the private and public sector and the development focus of public sector strategy formulation. This section is broken-up into three sub-sections. The first part deals with strategy description, the second part deals with differences in approaches to strategy formulation, and the third part with the public sector focus during strategy formulation.

(B) What are Strategies?

Mintzberg, Lampel, *et.al.*¹⁷² made it clear that no single universally accepted definition of what strategy is, exists, as assumptions and perspectives differ. Mintzberg¹⁷³ supported his view on the existence of different definitions of strategy by identifying five such definitions, namely strategy as plan, ploy, pattern, position and perspective, discussed hereunder.

(i) Strategy as a Plan

Strategy as a plan is some sort of consciously intended course of action or a guideline or set of guidelines to address a particular situation.¹⁷⁴ Strategies are therefore developed in advance and are also developed consciously and purposefully.¹⁷⁵ Strategies as plans may be specific or general.¹⁷⁶

(ii) Strategy as a Ploy

As a plan, a strategy may also be a ploy to outmanoeuvre the opposition.¹⁷⁷ For example, a big corporation may announce an expansion programme to prevent a competitor from constructing a manufacturing plant.¹⁷⁸

¹⁷⁰ Bryson, J.M., 1995:32.

¹⁷¹ Based on Dale, R., 2004:27 -28 & 36.

¹⁷² Mintzberg, H., Lampel, J., Quinn, J.B., and Ghoshal, S., 2003:2 - 3.

¹⁷³ Mintzberg, H., *et.al.*, 2003:3.

¹⁷⁴ Mintzberg, H., *et.al.*, 2003:4.

¹⁷⁵ Mintzberg, H., *et.al.*, 2003:4.

¹⁷⁶ Mintzberg, H., *et.al.*, 2003:4.

¹⁷⁷ Mintzberg, H., *et.al.*, 2003:4.

¹⁷⁸ Mintzberg, H., *et.al.*, 2003:4.

(iii) Strategy as a Pattern

Strategies need to be realised, resulting in behaviour or implementation or a pattern of a stream of actions.¹⁷⁹ Whilst plans or intended strategies may not be realised, patterns or emergent strategies may arise at will.¹⁸⁰ Therefore, Mintzberg describes the situation as follows:

“... we can distinguish deliberate strategies, where intentions that existed previously were realised, from emergent strategies, where patterns develop in the absence of intentions, or despite them (which went unrealised).”¹⁸¹

(iv) Strategy as a Position

The aim of the strategy is to place the organisation in the correct or most favourable relationship with its environment.¹⁸² In management or business terms, it would mean that the organisation is situated where the resources are.¹⁸³ Being a position, a strategy is outward looking to place the organisation in concrete or spatial location in the external environment.¹⁸⁴

(v) Strategy as a Perspective

A strategy as a perspective is where an organisation is viewed from within.¹⁸⁵ Strategy in this instance is where the collective minds of individuals are investigated to ascertain how the intentions of individuals are shared and collectively and consistently executed within an organisation.¹⁸⁶

Bryson¹⁸⁷ defines a strategy as pattern of purposes, policies, programs, actions and decisions or resource allocations which defines the nature (what) of the organisation, its tasks (what it does) and reasons for doing it (why). Strategies vary by the level within, and functions of, an organisation, as well as time frames.¹⁸⁸

Quinn defined strategy as:

“... the pattern or plan that integrates an organization’s major goals, policies, and action sequences into a cohesive whole. A well-formulated strategy helps to marshal and allocate an organization’s resources into a unique and viable

¹⁷⁹ Mintzberg, H., *et.al.*, 2003:5.

¹⁸⁰ Mintzberg, H., *et.al.*, 2003:4.

¹⁸¹ Mintzberg, H., *et.al.*, 2003:5.

¹⁸² Mintzberg, H., *et.al.*, 2003:6.

¹⁸³ Mintzberg, H., *et.al.*, 2003:7.

¹⁸⁴ Mintzberg, H., *et.al.*, 2003:7.

¹⁸⁵ Mintzberg, H., *et.al.*, 2003:7.

¹⁸⁶ Mintzberg, H., *et.al.*, 2003:8.

¹⁸⁷ Mintzberg, H., *et.al.*, 2003:32.

¹⁸⁸ Mintzberg, H., *et.al.*, 2003:32.

*posture based on its relative internal competencies and shortcomings, anticipated changes in the environment, and contingent moves by intelligent opponents.*¹⁸⁹

For Porter the “creation of fit” is strategy, i.e. the creation of fit amongst an institution’s activities.¹⁹⁰ A strategy’s success is to do many things well and in an integrated manner.¹⁹¹ If there is no fit, then there is no strategy and sustainability.¹⁹²

(C) Approaches to Strategy Processes

Much has been written on the approaches to strategies. However, Sotarauta,¹⁹³ brought together the ongoing debate on strategy development in an ever changing environment in an excellent manner.

(i) Ongoing changes

Ongoing environmental changes affecting organisations resulted in subsequent changes in the way that strategies have been formulated or, as Drobny eloquently observed:

“Strategies are born in many different ways.”¹⁹⁴

Based on Sotarauta¹⁹⁵ each one of these strategic approaches - classic strategic planning, procedural¹⁹⁶ strategic planning, communicative strategic planning and soft strategies - is summarised in the sections below. Where necessary, Sotarauta’s summarised information is enriched by referencing other relevant sources such as Drobny and Healy.

(ii) Classic Strategic Planning

Mintzberg, identified the principles upon which the design or classical approach to strategy are based.¹⁹⁷ In this instance, the Chief Executive Officer of the organisation is responsible for strategy formulation.¹⁹⁸ Explicit strategies, built on core competencies, are only mere orders for the organisation to execute, as in the case of the military tradition, with the general at the top of the command

¹⁸⁹ Quinn, J.B., 1980:Chapters 1 and 5.

¹⁹⁰ Mintzberg, H., *et.al.*, 2003:22.

¹⁹¹ Mintzberg, H., *et.al.*, 2003:22.

¹⁹² Mintzberg, H., *et.al.*, 2003:22.

¹⁹³ Sotarauta, M., *circa* 1997:1 - 20 and Sotarauta, M., October 1997:1 - 9

¹⁹⁴ Drobny, N.L., [s.a.]:1.

¹⁹⁵ Sotarauta, M., *circa* 1997:1 - 20 and Sotarauta, M., October 1997:1 - 9

¹⁹⁶ Sotarauta, M., used the word “processual” strategic planning. For clarity the word “procedural” is used in this text.

¹⁹⁷ Sotarauta, M., *circa* 1997:6 - 7.

¹⁹⁸ Sotarauta, M., *circa* 1997:6.

structure.¹⁹⁹

The classical approach requires that strategies are carefully formulated during the planning phase and only implemented when fully developed.²⁰⁰ By paraphrasing Mintzberg further, Sotarauta explained that, during classical strategic formulation, strategies are also conscious, purposeful and made in advance of the specific decisions to which they are applicable.²⁰¹ The strategy is in essence a plan with actions, following from agreed upon strategies.²⁰²

Whittington, according to Sotarauta, pointed out that the classical approach towards strategic planning is fundamentally based on rational planning and its methods.²⁰³ Thus, supporters of the classical approach use strategies partly to shape the future, of which, in the private sector, profit maximisation is the overarching goal, and rational planning the method for achieving this goal.²⁰⁴

In his observation of classical strategic planning, Drobny concluded that this approach is characterised by analysis and reporting.²⁰⁵ A core team of strategic specialists are labouring in semi-isolated conditions during which substantial amounts of information is collected and analysed, resulting in comprehensive strategic plans for managers and employees to implement as is, according to Drobny.²⁰⁶

Drobny²⁰⁷ has homed-in on one of the fault-lines or major gaps of the rational classical strategic planning approach, namely that planning and implementation are separate. Other gaps Sotarauta, has identified are that classicists firmly believe that the quality of the intended strategies guarantees implementation and stakeholders would commit themselves fully to strategies during the strategic plan formulation phase.²⁰⁸ Sotarauta continued by stating that the classical strategic approach emphasised that discussion takes place during the planning process and then the stakeholders committed themselves to implementation.²⁰⁹

(iii) Procedural Strategic Planning

The procedural strategy approach was a reaction against the traps of the classic strategy approach.²¹⁰ In the first instance, the idea of the rational economic man

¹⁹⁹ Sotarauta, M., *circa* 1997:6 - 7.

²⁰⁰ Sotarauta, M., *circa* 1997:7.

²⁰¹ Sotarauta, M., *circa* 1997:6.

²⁰² Sotarauta, M., October 1997:2.

²⁰³ Sotarauta, M., *circa* 1997: 6.

²⁰⁴ Sotarauta, M., *circa* 1997: 6.

²⁰⁵ Drobny, N.L., [s.a.]:1.

²⁰⁶ Drobny, N.L., [s.a.]:1.

²⁰⁷ Drobny, N.L., [s.a.]:1.

²⁰⁸ Sotarauta, M., *circa* 1997:8.

²⁰⁹ Sotarauta, M., 2004:24

²¹⁰ Sotarauta, M., *circa* 1997:8.

was rejected.²¹¹ Markets and organisations, from which strategies emerged, are most often muddled and incoherent in nature.²¹² In order to respond to this reality, strategic organisational focus should be inwards towards building the internal competencies or qualities such as ongoing bargaining, negotiations and learning:²¹³

*“...strategy is not just about choosing markets and then policing performance, but about carefully cultivating internal competencies.”*²¹⁴

A major disadvantage or trap of the procedural approach is that as an approach towards strategy is it always able to create the future itself without designing possible future paths, according to Sotarauta.²¹⁵

(iv) Communicative Strategic Planning

This approach emphasised intra-organisational learning.²¹⁶ It came forward at the beginning of the nineties, signalling the deliberate move away from the classical, top-down approach towards the argumentative aspects of planning.²¹⁷ In this case, organisations are viewed as holding crucial political, social and cognitive characteristics, which should be shared or interact with each other in defining strategy.²¹⁸

Healy searched for starting points for communicative planning:

*“A communicative approach to knowledge production - knowledge of conditions, of cause and effect, moral values and aesthetic world - maintains that knowledge is not pre-formulated but is specifically created anew in our communication ... We cannot, therefore, predefine a set of tasks which planning must address, since these must be specifically discovered, learnt about and understood through inter-communicative process.”*²¹⁹

Based on Healy's view, Sotarauta concluded, therefore, *that planning, policy and strategy*²²⁰ arguments of analysts and policy makers could not be considered as the only truth and that every argument is not as valid as the other one.²²¹ For Forester, according to Sotarauta, planning could no longer be seen a technical problem solver, but rather as questioning and shaping attention and,

²¹¹ Sotarauta, M., *circa* 1997:8.

²¹² Sotarauta, M., *circa* 1997:8.

²¹³ Sotarauta, M., *circa* 1997:8 - 9.

²¹⁴ Sotarauta, M., *circa* 1997:8 - 9.

²¹⁵ Sotarauta, M., *circa* 1997:9.

²¹⁶ Sotarauta, M., *circa* 1997:9.

²¹⁷ Sotarauta, M., *circa* 1997:9.

²¹⁸ Sotarauta, M., *circa* 1997:9 - 10.

²¹⁹ Sotarauta, M., *circa* 1997:8.

²²⁰ My additions for further clarification of the statement.

²²¹ Sotarauta, M., October 1997:6

thereafter, organising it.²²² During public formulation the differences, even sometimes incompatibilities, between the various stakeholders' goals and strategies cause collisions.²²³

Communicative strategy planning seeks to determine the needs of stakeholders in complex networks, reconcile strategies with the needs of the entire sub-region to achieve a balance in various interests, mutual understanding, co-operation and improvement of the strategic policy process.²²⁴ The communicative approach strives for placing policy formulators in the middle of overlapping networks as the core thereof and not the top of the hierarchy as the manner to advance the aforementioned goals.²²⁵ Watson²²⁶ pointed towards the tendency of communicative planning to be attracted towards sub-national government levels and on individual actors, including planners and other stakeholders.

Healy stated another advantage of collaboration during planning:

“Collaborative planning ... in a multi-stakeholder society is justified because it is more efficient ..., because it is more politically legitimate and because it ‘adds value’ to the on-going flow of ... actions, through building shared knowledge and understanding, generating opportunities for creative synergy, and developing capacity among stakeholders to work together ... to solve common problems.”²²⁷

Sotarauta emphasised that during the communicative approach to strategy, commitment goes beyond the planning phase where the idea is created to an ongoing commitment during which the strategy is continuously recreated.²²⁸

The communicative approach, notwithstanding its advantages, has also its disadvantages. The proponents of this approach believe that policy challenges are addressed by the establishment of formal forums and communication channels, during which tremendous amount of time and other resources are spent on interaction between stakeholders, shifting strategy substance to the backstage.²²⁹ This situation causes the danger that the deliberate implementation of strategies could be neglected and nobody would take responsibility for operational and mundane tasks associated with implementation.²³⁰

²²² Sotarauta October 1997:7

²²³ Sotarauta, M., October 1997:7.

²²⁴ Sotarauta, M., October 1997:7.

²²⁵ Sotarauta, M., October 1997:7.

²²⁶ Watson: 2002:31.

²²⁷ Healy, P., 1998:18.

²²⁸ Sotarauta, M., 2004:24.

²²⁹ Sotarauta, M., circa 1997:11.

²³⁰ Sotarauta, M., circa 1997:11.

(v) Softer strategies

Sotarauta argued emphatically that the different approaches to strategy formulation are not mutually exclusive.²³¹ Those elements that are of value within the different approaches should be identified and used in support of each other in particular strategic situations.²³² This approach gives rise to the softer strategic approach that questions the mechanical application of the classic strategic approach.²³³

The point of departure in the softer approach is that inter-organisational and communicative processes characterized by fluctuation are managed.²³⁴ The softer strategic approach is therefore appropriate during any regional strategic process where the aim is to reconcile and balance a series of goals and interests within and across organizations²³⁵, because:

“... it is acknowledged that visions, aims and strategies of other organisations do not necessarily resemble those of one’s own organization ...²³⁶ Programmes and intended (classical) strategies affect the functions of organizations, but during implementation, people, events and actions affect strategies and change them ...²³⁷ Communicative planning is one possible means of holding the diverse process together ...²³⁸ Recognising ... and using this phenomenon to benefit the performance of organizations involved and their interorganisational learning is the key issue in soft strategies.”²³⁹

(vi) Conclusion

The analysis of how strategies develop indicates that each strategy approach has its distinct advantages and disadvantages, and that strategies are not mutually exclusive and are in support of each other.

(D) Strategy formulation in the Public Sector is different from that in the Private Sector

Scott, Reid, *et. al.*²⁴⁰ reflected on the differences between strategy formulation in the public and private sector. They refer to McCaffery who made the clear distinction that in the public sector, strategic planning is underpinned by problems and constraints specific to the public sector such as constitutional arrangements,

²³¹ Sotarauta, M., *circa* 1997:11.

²³² Sotarauta, M., *circa* 1997:11 - 12.

²³³ Sotarauta, M., *circa* 1997:12.

²³⁴ Sotarauta, M., *circa* 1997:12.

²³⁵ Sotarauta, M., *circa* 1997:12.

²³⁶ Sotarauta, M., *circa* 1997:12.

²³⁷ Sotarauta, M., *circa* 1997:14.

²³⁸ Sotarauta, M., *circa* 1997:16.

²³⁹ Sotarauta, M., *circa* 1997:14.

²⁴⁰ Scott, C., Reid, M., Ycabsley, J. & Zöllner, E., 2004:5 - 6.

legislative and judicial mandates, government rules and regulations, scarce resources, political climate and client and constitutional interests.²⁴¹

The work of Moore is further used to advance the argument that there is a clear distinction.²⁴² Moore highlighted the three pillars of public strategy. Firstly, public strategy deals with public value, which means that there must be benefits for the public that can be tested by using the tools of policy analysis, such as programme evaluation, cost-benefit analysis, equity, social justice and rights. In the second place, Moore argues that public strategy must be feasible, which depends on institutions with sufficient resources and competencies to make implementation possible, the helpfulness of the environment and the unpredictability of any unknowns.²⁴³

Thirdly, Moore requires that public strategies have to be legitimate in the sense of being politically sustainable as the political authority provides opportunities for and places limitation or constraints on strategy formulation.²⁴⁴ The outputs and outcomes of public strategy are complex and involve complex social and environmental concerns. This requires that public organisations co-operate or seek co-operation with other public and also private organisations.²⁴⁵

2.4.3.7 Step 7: Review and adopt the Strategic Plan(s)

Upon formulation of the strategies or plan, official approval is needed.²⁴⁶ Strategies or plans are not easily adopted and a knowledgeable champion is needed to sponsor the passage of the plan during the various decision-making bodies and channels.²⁴⁷

2.4.3.8 Step 8: Establishment of Organisational Vision

In this step, the organisation describes what it should look like upon the successful completion or implementation of strategies, and when its full potential has been achieved.²⁴⁸ The primary purpose of the vision is the mobilisation of staff to constantly pursue the purpose of the organisation without ongoing managerial supervision.²⁴⁹ The vision is an expression of what an institution wants and what it can have.²⁵⁰ The vision symbolises a desired outcome that a(n) (development) organisation intends to assist to create, for example equal opportunities for men and women.²⁵¹ Table 2.4 depicts examples of visions:

²⁴¹ Scott, C., *et.al.*, 2004:5

²⁴² Scott, C., *et.al.*, 2004:6.

²⁴³ Scott, C., *et.al.*, 2004:6.

²⁴⁴ Scott, C., *et.al.*, 2004:6.

²⁴⁵ Scott, C., *et.al.*, 2004:6.

²⁴⁶ Bryson, J.M., 1995:34.

²⁴⁷ Bryson, J.M., 1995:35.

²⁴⁸ Bryson, J.M., 1995:35.

²⁴⁹ Bryson, J.M., 1995:35.

²⁵⁰ Bryson, J.M., 1995:35.

²⁵¹ Dale, R., 2004:36.

TABLE 2.4: EXAMPLES OF VISIONS

Country Vision (1)
<p>Ghana: Vision 2020: The Vision is a policy framework for accelerated growth and sustainable development. It gives strategic direction for national development over 25 years from 1996 to 2020. Its main goal is national transformation from a poor, low-income country within a generation. The change is expected to be accomplished through a series of medium-term development plans based on decentralized, participatory planning frameworks which requires priority-setting at the district level. The vision is the result of an extensive consultation and collaborative effort over four years involving many groups and individuals from universities, public sector, private sector and civil society, co-ordinated by the National Development Planning Commission. In May 2001, the new Government rejected the 2020 Vision, reason being that the First Medium Term Development Plan, from 1995 to 2000, did not achieve major targets. A new vision was accepted, namely to develop Ghana into a major agro-industrial nation by 2015 through the golden age of business.</p> <p>Tanzania Vision 2025: The Vision sets targets to achieve a nation characterised by a high quality of life for all citizens; peace, stability and unity; good governance; a well-educated and learning society; and a diversified economy capable of producing sustainable growth and shared benefits. Implementation is to be through short- and medium term strategies such as the National Poverty Eradication strategy, Poverty Reduction Strategy and the Medium Term Plan.</p> <p>Thailand National Vision: The Vision was developed over 18 months as part of a participatory process, involving 50 000 people, to prepare the Ninth Economic and Social Development Plan. A draft vision emerged from the first series of consultations in the People’s Forum on Development Priorities. The draft vision was thereafter subjected to research-based SWOT analysis. The Forum revised the vision further and institutional operational elements were added to the vision.</p>
Regional Vision (2)
<p>Vlaandere, Belgium: (abbreviated) “De visie ... op de ruimtelijke ontwikkeling van Vlaanderen word ... verwoord in de metafoor ‘Vlaanderen open en stedelijk.’ ... In Vlaanderen zijn open en stedelijke ruimten niet duidelijk gescheiden maar sterk ... verweven ... Het Ruimtelijk Structuurplan ... stelt daar een striven naar duidelijke openheid en stedelijkheid tegen over ... Het is deze visie die aan de basis licht van de in het ... Structuurplan ... uitgetekende gewenste ruimtelijke structuur.”</p>
City Vision (3)
<p>Oakland, California: (abbreviated) In the year 2015, Oakland will be a safe, healthy and vital city offering a high quality of life through: - a dynamic economy that taps into Oakland’s great economic potential and capitalises on its physical and cultural assets; - clean and attractive neighbourhoods rich in character and diversity; - a diverse and vibrant downtown with around-the-clock activity; - an active and accessible waterfront; - an efficient transport system that serves the need of all citizens; and - awareness and enjoyment of Oakland’s magnificent physical setting - hills, views, water, estuary - in every district and neighbourhood.</p>

Source:

- (1) Dalal-Clayton, *et.al.*,:2003:71.
- (2) Administratie Ruimtelijke Ordening, Huisvesting en Monumenten en Landschappen, Afdeling Ruimtelijke Planning, 1996:21.
- (3) American Planning Association, 2006:7.

For Campbell and Yeung, a vision refers to a future state - a better condition than the one

in existence.²⁵² When a vision is achieved, a new vision needs to be formulated.²⁵³ According to Lipton²⁵⁴ a vision must focus on the future as an enduring commitment, but does not fluctuate annually. A vision could be as short as four sentences or as long as five pages.²⁵⁵ No template for a vision exists.²⁵⁶ Fulfilling a vision is not that easy: it requires concrete programs and individual support.²⁵⁷

2.4.3.9 Step 9: Develop effective Strategy Implementation Process

(A) Definition

Bryson set the scene for strategy implementation with the following statement:

“A key point (to repeat) again and again and again is that ... strategic thinking and acting ... are important, not strategic planning. Indeed, if any particular approach to strategic planning gets in the way of strategic thought and action, that planning approach should be scrapped!”²⁵⁸

For Ehlers and Lazenby,²⁵⁹ strategic implementation is the process whereby strategic plans are converted into a series of actions or tasks through which the objectives of the strategic plan are realised. Strategy implementation deals with the strategic changes within an organisation to give effect to the planned strategies to accomplish the wanted results.²⁶⁰ In other words, strategic thoughts are turned into action or operationalised.²⁶¹ Implementation is seen as the internal operational activities within an organisation.²⁶²

Reed²⁶³ is unambiguous that the accomplishment of public goals and objectives depends on the ability of public managers to translate policies into coherent actions with the aim of providing services to the general public. Public managers have to formulate strategies which align resources, outputs and responsibilities of mandates of the organisation with the needs of society reflected by the policies adopted by elected representatives.²⁶⁴

Conyers and Hills²⁶⁵ mirrors this view, emphasising that upon (strategic) plan

²⁵² Campbell, A. & Yeung, S., 1999:129.

²⁵³ Campbell, A. & Yeung, S., 1999:129.

²⁵⁴ Lipton, M., 1999:134 - 135.

²⁵⁵ Lipton, M., 1999:135.

²⁵⁶ Lipton, M., 1999:135.

²⁵⁷ Lipton, M., 1999:136.

²⁵⁸ Bryson, J.M., 1995: 36 - 37.

²⁵⁹ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:176.

²⁶⁰ Ehlers, M.B., & Lazenby, J.A.A.,(Eds), 2004:177.

²⁶¹ Ehlers, M.B., & Lazenby, J.A.A., (Eds), 2004:177.

²⁶² Ehlers, M.B., & Lazenby, J.A.A., (Eds), 2004:177.

²⁶³ Reed, B.J., 2004:1.

²⁶⁴ Reed, B.J., 2004:1.

²⁶⁵ Conyers, D. & Hills, P., 1986:80.

formulation, implementation has to commence to realize the changes proposed in the economic, social, and environmental spheres. Otherwise, the major pitfall of the lack of implementation or plan failure that marred or characterizes the development world is just strengthened further.²⁶⁶

Any strategic plan must be transformed into actions or implementation plans, Reed²⁶⁷ argued. Public managers are to ensure that their management strategies and the strategies contained in the strategic plan are supporting each other.²⁶⁸ Managers are to ensure that their day-to-day management decisions and actions are giving effect to the strategic plan.²⁶⁹

According to Reed,²⁷⁰ managers deliberately have to ensure that the organisational strategic choices do not waste scarce public resources. The quality of public goods and services is based on the linkage between policy objectives, the strategies selected to achieve these objectives and the type of project selected to implement the strategy.²⁷¹

For Bryson,²⁷² strategies come alive through action planning for implementation. Such action plans should contain at least the following aspects:

- (1) Roles and responsibilities of oversight bodies, organisational teams and individuals;
- (2) Objectives, milestones and action steps;
- (3) Resource requirements and sources (including personnel, budgets and administrative and other support services); and
- (4) Review, monitoring and midcourse correction procedures.²⁷³

Bryson's minimum requirements for implementation could be expanded and explained further against the drivers and instruments which Ehlers and Lazenby²⁷⁴ have identified to make implementation of the strategic plan a success. Alignment of the organisational structure and the budget, as reflection of resource allocation of funding, physical assets, staff, technology and information in a priority order, in support of the overall strategy is a must.²⁷⁵

Short-term objectives are identified to bring long-term objectives and strategies to fruition.²⁷⁶ These objectives are used for organisational and individual staff

²⁶⁶ See the Section on Evaluation further on in this chapter.

²⁶⁷ Reed, B.J., 2004:1.

²⁶⁸ Reed, B.J., 2004:1.

²⁶⁹ Reed, B.J., 2004:1.

²⁷⁰ Reed, B.J., 2004:1.

²⁷¹ Reed, B.J., 2004:1 - 2.

²⁷² Bryson, J.M., 1995:36.

²⁷³ Bryson, J.M., 1995:2.

²⁷⁴ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:188 & 215.

²⁷⁵ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:214 - 215.

²⁷⁶ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:215.

performance management²⁷⁷ and are indicative of specific staff responsibilities, focus areas, actions required, performance measures and critical time frames.²⁷⁸ In turn, functional tactics give effect to short-term objectives and are those routine activities or action steps/plans to ensure strategic accomplishments.²⁷⁹

Policies, therefore, provide clarity in support of key routine activities²⁸⁰ or action plans. Policies take the form of guidelines, methods, procedure, rules, forms and administrative processes to direct thinking, decisions and actions of managers and staff in support of the implementation of strategies.²⁸¹ Policies have to change in accordance with strategies and objectives²⁸² to stay relevant and to keep staff empowered.²⁸³

In simplistic terms, Conyers and Hills²⁸⁴ describe implementation as the means to make the plan operational or to plan the plan implementation process. This operationalisation of the plan calls for the identification of activities related to the plan of project, drafting of time schedules to schedule activities, mobilization and managing²⁸⁵ of resources such as staff, finances or funding, material and equipment.²⁸⁶ Barret and Fudge, according to Conyers and Hills, describe critical activities for plan implementers as follows:

1. Know what you want to do (i.e. identification of activities);
2. Determine whether the resources required are available;
3. Ability to assemble, control and manage resources to achieve the desired results; and
4. Communicate to the other implementers exactly what is required from them and by when and to control the manner in which they undertake their implementation responsibilities.²⁸⁷

The view taken is that what has been discussed in this section on implementation points towards project management as the primary tool to realise implementation. Turner, according to Burke, defines a project as:

“...an endeavour in which human, (or machine), material and financial resources are organized in a novel way, to undertake a unique scope of work, of given specification, within constraints of cost and time, so as to deliver beneficial change

²⁷⁷ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:188.

²⁷⁸ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:216.

²⁷⁹ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:219.

²⁸⁰ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:220.

²⁸¹ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:220.

²⁸² Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:220 - 221.

²⁸³ Ehlers, M.B., & Lazenby, J.A.A. (Eds), 2004:221.

²⁸⁴ Conyers, D. and Hills, P., 1994:80.

²⁸⁵ Conyers, D. & Hills, P., 1994:155.

²⁸⁶ Conyers, D. & Hills, P., 1994: 80 - 81.

²⁸⁷ Conyers, D. & Hills, P., 1986:155.

defined by quantitative and qualitative objectives.”²⁸⁸

Projects range in scope, size, cost and time, and, will display similar characteristics, namely a start and finish; a life cycle²⁸⁹ (i.e. conceptualization and initiation; design and development; implementation or construction; and commissioning and hand-over); budget with cash-flow; resource co-ordination; single point of responsibility/project manager and specific team responsibilities.²⁹⁰

According to Conyers and Hills,²⁹¹ it is imperative that, after development strategy formulation or plan formulation, implementation has to take place to realize the changes proposed in the economic, social, environmental spheres, of which planners of the plan must form a part. Otherwise, the major pitfall of the lack of implementation or plan failure that marred or characterizes the development world is just strengthened further.²⁹²

(B) Institutional Arrangements

Planning, for Catanese and Snyder, according to Arbour, is complex, involving multiple public and other actors (including, individuals, households, community groups, developers, industries, investors and utility companies)²⁹³, and outcomes are sometimes unexpected and unpredictable.²⁹⁴ Numerous institutions are always involved in planning initiatives. This requires from planners suitable knowledge and skills to enable meaningful participation involving an understanding of the nature of such institutions and institutional politics.²⁹⁵ The complexity within which planners operate is that each of the public institutions has very powerful and equal commonalities to be taken into account²⁹⁶ otherwise initiatives will be derailed or delayed. Arbor²⁹⁷ listed the following characteristics as critical aspects of public sector institutions for consideration by planners as they are all:

- Sources of legitimisation and power;
- Provide the means for co-ordinating and distributing of resources at different levels of governance; and
- Mechanisms for the establishment of agreed-upon standards, rules and intervention strategies.²⁹⁸

²⁸⁸ Burke,R., 2003:2.

²⁸⁹ Burke,R., 2003:28 - 29.

²⁹⁰ Burke,R., 2003:2 - 3.

²⁹¹ Conyers, D. & Hills, P., 1994:80.

²⁹² See the Evaluation section in this Chapter.

²⁹³ Arbor, A., 2002:22.

²⁹⁴ Arbor, A., 2002: 4 -5.

²⁹⁵ Arbor, A., 2002:4 - 5.

²⁹⁶ Arbor, A.,2002:4.

²⁹⁷ Arbor, A., 2002:4.

²⁹⁸ Arbor, A., 2002:4

Arbor²⁹⁹ refers to Healy, who suggested that some political cultures provide more fertile ground for collaborative planning, because their institutional histories have allowed a store of institutional capital to build up which encourages horizontal consensus seeking awareness in planning undertakings.

Rondinelli stated that institutional arrangements for planning have to be appropriate for planners to make the best possible policy formulation and implementation in an ever changing situation.³⁰⁰ In many instances (in the developed world) planning institutional arrangements are predetermined and the planner has to select strategies that match the planning conditions.³⁰¹ In turn, the plan's performance could impact on the existing institutional arrangements and management systems and needs to be accommodated as such.³⁰²

Faludi³⁰³ argued that each planning institution has an action space that overlaps internally, as well as externally and that in both instances co-ordination of their programmes are necessary to make the plan work. Co-ordination should be pursued where two or more agencies are opposing each other over the type of development which is most desirable, i.e. a school or a housing complex on a piece of land.³⁰⁴

Faludi³⁰⁵ proposed two solutions to such situations, namely the outcome would be determined by the relative strength of an agency or, what he described, the joint exploration of the common action space whereby the best solution is found. Within this search for co-ordination, each planning agency will limit the impact thereof on its independence and ability to make its own decisions.³⁰⁶ This situation creates the need for the establishment of an autonomous body to deal with such interrelationships and common interests.³⁰⁷

Such positive co-ordination results in the establishment of a higher order planning agency making decisions one level above the other agencies.³⁰⁸ A framework is set within which lower order agencies' goals are defined, powers of control and resource allocations are determined.³⁰⁹ The lower-order agencies, however, are not only receiving instructions, such as guidelines, from above, they form part of their formulation and revision.³¹⁰

²⁹⁹ Arbor, A., 2002:14. Although Healy refers to spatial "issues", her observation is also applicable to all strategic planning types, including integrated development planning.

³⁰⁰ Arbor, A., 2002:44.

³⁰¹ Arbor, A., 2002:45.

³⁰² Arbor, A., 2002:45.

³⁰³ Faludi, A., 1973:209.

³⁰⁴ Faludi, A., 1973:210.

³⁰⁵ Faludi, A., 1973:210.

³⁰⁶ Faludi, A., 1973:211.

³⁰⁷ Faludi, A., 1973:211.

³⁰⁸ Faludi, A., 1973:211. Faludi refers to "*interdependencies and their common interest.*"

³⁰⁹ Faludi, A., 1973:212.

³¹⁰ Faludi, A., 1973:212 -213.

Faludi³¹¹ argued further that each level within the planning hierarchy has its own status in view of the vital role they have in the planning process. Multi-planning agencies are characterised by a mixture of the elements of traditional hierarchical organisations and matrix organisations, with performance monitoring a vital prerequisite.³¹²

The introduction of NPM in the 1990's in New Zealand, Britain and the USA, embedded planning in a world order, which according to Harrison:

*“... was an attempt to bring a corporate culture - concerned with business like efficiency and outcomes - into public agencies.”*³¹³

Christie, according to Albrechts and Van den Broek, contextualises planning in such an environment:

*“Planning involves a constant struggle to achieve substantive outcomes. This requires elimination of the defensive, inward looking, compartmentalised mentality in the public sector at all levels. It requires a change in the relationship between central and local agencies and the creation of far greater trust, resources and power for innovation and responsibility. It requires new bonds of trust between public agencies and the citizen, and the building of trust and the desire to participate in tackling local problems.”*³¹⁴

A main thrust of the international “bonding” initiative is decentralisation of government institutions since the 1980s, and this is currently standard practice. In 2005, Mensah³¹⁵ confirms the view that over the years, governments, development practitioners and communities favoured decentralised planning and administration. This attitude is in response to the wide-spread disillusionment with the outcomes of central planning, the shift to growth-with-equity policies and the recognition that development is a complex process that cannot be planned and controlled from the centre.³¹⁶

Jackson³¹⁷ reiterated that decentralisation means central government gives up some of its power and money to local authorities. For Smith this implies that a change in power relationships and task distribution between the levels of government occurs.³¹⁸ Decentralisation policies therefore impact directly on urban and regional planning.³¹⁹

³¹¹ Faludi, A., 1973:213.

³¹² Faludi, A., 1973: 218.

³¹³ Harrison, P., 2006:188.

³¹⁴ Albrechts, L., & Van den Broeck, J., 2004:127

³¹⁵ Mensah, J.V., 2005:246.

³¹⁶ Mensah, J.V., 2005:246.

³¹⁷ Jackson, J.T., 2004: 52.

³¹⁸ Mensah, J.V., 2005:246.

³¹⁹ Jackson, J.T., 2004:52.

Jackson amplified Smith in stating that while decentralisation focuses on power and financial relations between central and local government, urban and regional planning focuses more on people's activities and their land use implications.³²⁰ Planning considerations in addition to government affordability of decentralisation have to be taken into account during the decentralisation of policy formulation.³²¹

For Sotarauta,³²² the globalising economy and rapid economic technology changes, pose a challenge to search for new development policies, different manners in which policy formulation is organised and creative policy management processes, all of which aim to give entities, such as regions, the ability to sustain their competition in the global economy.³²³

By using a mixture of the view of Castells and his Network Society, Sotarauta³²⁴ explored further the effects of globalisation on the modern network society. The network society is characterised by a variety of networks, planning and development processes that are set up in support of such networks and participation in networks crucial for their associated dynamics, and too powerful to ignore.³²⁵ The ultra-dynamic development of information technology is driving the ever-increasing interaction in and between networks.³²⁶

In the network society, the very foundations of public institutions are transformed by a shift from government of uncertainty, to governance of ambiguity.³²⁷ In government of uncertainty, the system of government functioned around co-ordination from the centre and sectorally separated. The common belief was and still is, for example in Europe, that goals could be clarified upon which decisions would be taken directly thereafter as a linear process. This model of public management had to change, as many problems or challenges are common, and no single organisation is in a position to solve or address them on their own.³²⁸

Institutions have to share power, where governance is multifaceted, namely co-operation transcends administrative boundaries, takes a multitude of goals into consideration and involves ever changing teams to address challenges.³²⁹ Although Western policy formulation is still using guidance, control and regulation to bring about change, the transition towards more self-guiding, decentralised pluralistic governance systems is highly visible.³³⁰

³²⁰ Jackson, J.T., 2004:52.

³²¹ Jackson, J.T., 2004:52.

³²² Sotarauta, M., August 2004:7.

³²³ Sotarauta, M., August 2004:10.

³²⁴ Sotarauta, M., August 2004:10.

³²⁵ Sotarauta, M., August 2004:10.

³²⁶ Sotarauta, M., August 2004:11.

³²⁷ Sotarauta, M., August 2004:11.

³²⁸ Sotarauta, M., August 2004:12.

³²⁹ Sotarauta, M., August 2004:12.

³³⁰ Sotarauta, M., August 2004:13.

Sotarauta³³¹ concluded that the formal hierarchical policy making method no longer has such an important role as previously. This is a similar view which Faludi had expressed in 1973, namely that the bodies in the multi-planning agencies need to seek co-operation within a common framework *or network*³³² as planning needs to give strategic guidance.³³³ Forester emphasised that in these organisational webs of contacts the different actors are dependent on each other for important information.³³⁴

Harrison³³⁵ referred also to the shift in understanding of the relationships between individuals and society. The views of individuals involved in maximising personal benefit were replaced by an increased observation that agents are bound together in social, economic and governance networks.³³⁶ Simonsen's reference to metaphors of flows and networks, supported by information technology, partially replaced the traditional metaphors of hierarchy and boundaries, and also the atomism, or individualism, of the 1980s.³³⁷

Harrison investigated and presented models of integration and coordination, which are summarised in Table 2.5.

TABLE 2.5: INTERNATIONAL MODELS OF INSTITUTIONAL INTEGRATION AND CO-ORDINATION

Country	Description of model
USA	Loosely formed voluntary cooperation between agencies.
Europe	- European Spatial Development Perspective as a framework for public and private investment and instrument for negotiation. - European Union developed multi-level governance and co-ordination mechanisms to integrate regional, national and supra-national government.
UK	National government sets policy framework. Regional and local government co-ordinate and integrate functions. Continued devolution to sub-national government and partnership structures. Consolidating powers for policy design and financial control at centre. Many national programmes and units established to support decentralised activities and development of local co-ordination instruments. For example Community Strategies: to link with national and regional priorities, participation, preceding capacity building initiatives, link with national and local programmes with area-based dimensions, based on sound research.
Australia New Zealand	National government sets policy framework. Regional and local government co-ordinate and integrate functions.
Africa	New Partnership for Africa's Development (NEPAD): tentative beginnings of multi-level governance and integrated development planning

Source: Based on:
Harrison., P., 2006:190 - 191.

³³¹ Sotarauta, M., August 2004:13.

³³² My insertion and emphasis.

³³³ See authors' interpretation of Faludi in Section 2.4.3.9 (ii) Institutional arrangements above.

³³⁴ Forester, J., 1982:68.

³³⁵ Harrison., P., 2006:189 - 190.

³³⁶ Harrison., P., 2006:190.

³³⁷ Harrison., P., 2006:190.

2.4.3.10 Step 10: Control: Reassess Strategies and Strategic Planning Process

(A) Description and Cycle

Bateman and Snell³³⁸ explain managerial control as the process of measuring progress toward planned performance and, where necessary, taking corrective action. The instruments for such control are usually financial control through budgets, appropriate quality controls and setting of performance standards for staff.³³⁹

Strategic operational control, according to Ehlers and Lazenby,³⁴⁰ gives feed-back on the formulation of implementation phases of strategic management. This is done by evaluating the strategies to determine whether the results of the strategy are those intended³⁴¹ by measuring performance and to determine whether the strategic direction needs to be changed.³⁴² Operation control systems, such as budgets, action or activity schedules and key success factors, consist of four steps, namely:

- (1) Setting of performance standards;
- (2) Measuring actual performance;
- (3) Identifying deviations from the standards; and
- (4) Initiating corrective action.³⁴³

Bryson³⁴⁴ advocates that, during the implementation of the strategic plan, the strategies and strategic planning process should be reviewed continuously to inform the next strategic planning process. Decisions should be taken whether strategies should be continued, replaced or reviewed.³⁴⁵ The strategic planning process itself should be analysed to identify gaps and to propose improvements.³⁴⁶

(B) Control Activities

Control in the development planning field has the same purpose as for business, and the control tools are fairly similar.³⁴⁷ However, the control process in development planning is packaged differently and the control phase is broken up into three distinct activities or steps, namely monitoring, evaluation and review.³⁴⁸

³³⁸ Bateman, T.S., & Snell, S.A., 1999:570.

³³⁹ Bateman, T.S., & Snell, S.A., 1999:570 - 571.

³⁴⁰ Ehlers, M.B., & Lazenby, J.A.A., (Eds) 2004:232 & 234.

³⁴¹ Ehlers, M.B., & Lazenby, J.A.A., (Eds) 2004:232, & 234.

³⁴² Ehlers, M.B., & Lazenby, J.A.A., (Eds) 2004:234.

³⁴³ Ehlers, M.B., & Lazenby, J.A.A., (Eds) 2004:234 and Bateman, T.S., and Snell, S.A., 1999: 545 - 566, use a similar process.

³⁴⁴ Bryson, J.M., 1995:37.

³⁴⁵ Bryson, J.M., 1995:37.

³⁴⁶ Bryson, J.M., 1995:37.

³⁴⁷ Conyers, D. & Hills, P., 1994:169 - 175.

³⁴⁸ Conyers, D. & Hills, P., 1994:169 - 175.

(i) Monitoring

Monitoring could refer to a data gathering exercise on economic, social and environmental information on the area being planned.³⁴⁹ Another meaning of monitoring is to measure progress with plan or project implementation.³⁵⁰ The Danish International Development Agency (DANIDA) describes monitoring as the continuous or periodic surveillance of the progress in a development programme, component thereof, or a project.³⁵¹

According to Conyers and Hills,³⁵² during monitoring, information is gathered on what happens in real time during the implementation process to determine whether or not resources or inputs are utilised, and deadlines and intentions are met. Information collection is ongoing in order to identify changes, make corrective steps and to be a learning experience.³⁵³ Staff involved in the project undertake monitoring, which makes the undertaking an in-house responsibility. Project reports and budgets are the main sources of information for monitoring purposes.³⁵⁴ Monitoring systems should be simple, reports designed for a specific target audience and information available timeously.³⁵⁵

(ii) Evaluation

(a) A Changing Concept

Wentzel³⁵⁶ indicated that evaluation as a discipline corresponds with the changes in the development paradigms over the years as discussed earlier on. The extremely useful narrative of Wentzel is summarised in Table 2.6 by referring to the development approaches and the corresponding evaluation method highlighted.³⁵⁷

TABLE 2.6: SUMMARY OF DEVELOPMENT APPROACH AND CORRESPONDING EVALUATION METHOD

Development approach	Evaluation method
Modernisation: ➤ Development Plans or blue prints ➤ Short-term projects for catch-up through economic growth	Modernisation: ➤ Evaluation viewed as an internal management and control task focusing on effectiveness ➤ Project cycle formed basis for evaluation with emphasis on technical feasibility and cost-benefit analysis ➤ Evaluations to satisfy funding agency
Basic needs:	Basic needs:

³⁴⁹ Conyers, D. & Hills, P., 1994:170.

³⁵⁰ Conyers, D. & Hills, P., 1994:170.

³⁵¹ Danish Ministry of Foreign Affairs, 1999:22 & 114.

³⁵² Conyers, D. & Hills, P., 1994:170.

³⁵³ Conyers, D. & Hills, P., 1994:170.

³⁵⁴ Conyers, D. & Hills, P., 1994:170.

³⁵⁵ Conyers, D. & Hills, P., 1994:170 - 171.

³⁵⁶ Wentzel, P., 2004:1 - 3.

³⁵⁷ Wentzel, P., 2004:1 - 3.

<ul style="list-style-type: none"> ➤ Various combinations of such needs ➤ More aid to poor and rural areas 	<ul style="list-style-type: none"> ➤ Logical Framework ➤ Evaluation still mainly to satisfy donors
<p>Public participation:</p> <ul style="list-style-type: none"> ➤ Outsiders cannot define needs of the poor ➤ Beneficiaries determine needs provision ➤ Development: a learning process or process approach 	<p>Public participation:</p> <ul style="list-style-type: none"> ➤ Evaluation made more participatory ➤ How participation could be measured and evaluated ➤ Introduction of Rapid Rural Appraisal (RRA) ➤ Development of Participatory Rural Appraisal (PRA) ➤ NGO alternative development movement demand new evaluation approach
<p>Structural adjustment:</p> <ul style="list-style-type: none"> ➤ Macro-economic policy reforms ➤ Blue Print methods still in use 	<p>Structural adjustment:</p> <ul style="list-style-type: none"> ➤ Donors shift from project to programme support ➤ Evaluation emphasise quantification and human development indicators (HDIs)

Source: Based on:

Wentzel, P., 2004:1 - 3.

(b) Description

The overall aim of evaluation is still to assist decision makers with applicable information to decide on corrective action.³⁵⁸ In addition, the NPM principles introduced in the nineties require accountability by government officials involved in development activities.³⁵⁹ Hence, the need for evaluation programmes to reflect on the success or failure of development interventions.³⁶⁰

In the early eighties already - prior to NPM - Rakodi identified two evaluation types, namely, on-going evaluation and ex-post evaluation, both of which serve as an appraisal of a plan or project performance.³⁶¹ On-going evaluation is undertaken at periodic intervals, i.e. at the end of phases or stages, during implementation.³⁶² Ex-post evaluation occurs when a plan or project has been operational for a given time.³⁶³ In both instances, evaluation intends to determine the quality of what is occurring on the ground.³⁶⁴ Therefore, according to Rakodi, clarification is to be obtained regarding the achievement of objectives, impacts on target populations and any unintended consequences.³⁶⁵

Wentzel³⁶⁶ argued that the primary aim of evaluation is to scientifically analyse the efficiency and effectiveness of political programmes. Evaluation focuses on the differences between what was planned and the actual

³⁵⁸ Danish Ministry of Foreign Affairs, 1999:50.

³⁵⁹ Harrison, P., 2006:188.

³⁶⁰ Harrison, P., 2006:188.

³⁶¹ Conyers, D. & Hills, P., 1994:171.

³⁶² Conyers, D. & Hills, P., 1994:171.

³⁶³ Conyers, D. & Hills, P., 1994:171.

³⁶⁴ Conyers, D. & Hills, P., 1994:171.

³⁶⁵ Conyers, D. & Hills, P., 1994:171.

³⁶⁶ Wentzel, P., 2004:3.

achievements of goals.³⁶⁷ In order to undertake evaluation of policies, programmes and projects, a full understanding of the nature of such strategies and performance indicators for determining impact are prerequisites.³⁶⁸ Evaluation exercises are time bound, namely project evaluations informed steering committee decision making, whilst end-reviews aim at legitimising and/or learning.³⁶⁹

For DANIDA:

*“Evaluations are primarily concerned about the broad overall assessment of development interventions and less with the implementation of activities as such. In other words, the significance of the process, rather than the process itself.”*³⁷⁰

For example, DANIDA project evaluation approach mirrors, Wentzel when it comes to learning. In the case of project evaluation, DANIDA goes a step beyond what was planned and desirable (i.e. the project objectives) in an attempt to judge the project on the effects or impact on society.³⁷¹ The motivation for the broader perspective during project evaluation is to learn from experience and improve on the design of similar projects in future.³⁷² Successful project evaluation is dependent on a distinction of what was expected from the project and the wider perspective (i.e. impact) of the evaluation.³⁷³

In order to assist DANIDA and other major donor organisations to evaluate development interventions, the Development Assistance Committee (DAC) of the Organisation for Economic Developed Countries (OECD) developed a generally accepted definition in the nineties, which reads as follows:

*“An evaluation is an assessment, as systematic and objective as possible, of ongoing completed aid activities, their design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability.”*³⁷⁴

In Table 2.7 each of the above evaluation criteria is listed and discussed in terms of typology and perspective classification and explanation.

³⁶⁷ Wentzel, P., 2004:4.

³⁶⁸ Wentzel, P., 2004:4.

³⁶⁹ Wentzel, P., 2004:4.

³⁷⁰ Danish Ministry of Foreign Affairs, 1999:66.

³⁷¹ Danish Ministry of Foreign Affairs, 1999:22.

³⁷² Danish Ministry of Foreign Affairs, 1999:22.

³⁷³ Danish Ministry of Foreign Affairs, 1999:22.

³⁷⁴ Danish Ministry of Foreign Affairs, 1999:22.

**TABLE 2.7: ORGANISATION FOR ECONOMIC DEVELOPED COUNTRIES:
EVALUATION CRITERIA**

Typology	Perspective Classification	Perspective Explanation
Efficiency	Operational	<ul style="list-style-type: none"> ➤ Implementation agent ➤ Success with project outputs
Effectiveness	Tactical	<ul style="list-style-type: none"> ➤ Users or primary beneficiaries ➤ Fulfilment of objectives
Impact	Strategic	<ul style="list-style-type: none"> ➤ Society ➤ Positive and negative aspects
Relevance	Strategic	<ul style="list-style-type: none"> ➤ National policy and local needs
Sustainability	Strategic	<ul style="list-style-type: none"> ➤ Whether positive effects will continue after withdrawal of external support ➤ Commitment and ability of parties to keep facilities operational and continue with activities on their own

Source: Based on:

Danish Ministry of Foreign Affairs, 1999:50 - 51 & 61.

The four point matrix developed by Curtis and Watson in the eighties overlaps with the OECD evaluation model and could add value in interpreting the OECD evaluation elements.³⁷⁵ Table 2.8 highlights the main points of the work of Curtis and Watson.

**TABLE 2.8: SIMPLIFIED REPRESENTATION OF THE CURTIS AND WATSON
EVALUATION PROCESS**

<p>Area 1: <u>Review of performance:</u> “providing formal measures of the extent of implementation of the programme”</p> <ul style="list-style-type: none"> ➤ <i>Performance measures:</i> input and outputs of the plan, programme and project
<p>Area 2: <u>Impact analysis:</u> “find out how far the programme has been successful in meeting social, economic or environmental objectives”</p> <ul style="list-style-type: none"> ➤ <i>Impact indicators:</i> - direct through measuring, attaining of project objectives <li style="padding-left: 20px;">- indirect by measuring economic, social, health and environmental impacts
<p>Area 3: <u>Appropriateness assessment:</u> “see how well the programme components equate with the needs and priorities of households or other units in the target population”</p> <ul style="list-style-type: none"> ➤ <i>Measures:</i> - classify beneficiaries or users in social groups <li style="padding-left: 20px;">- gains and losses reflected on a balance sheet
<p>Area 4: <u>Institutional evaluation:</u> “grassroots and higher level institutions involved in service provision”</p> <ul style="list-style-type: none"> ➤ <i>Institutional structure measures:</i> - correct institutional structures in place for implementation <li style="padding-left: 20px;">- sufficient authority <li style="padding-left: 20px;">- appropriate execution of authority

Source: Based on:

Conyers, D. & Hills, P., 1994:171 - 174.

Baer³⁷⁶ investigated another type of evaluation pertinent to the strategic management of integrated development planning by asking what a good plan constitutes. Two categories of evaluation from Baer’s work are discussed, namely plan assessment while plans are prepared, and post ad hoc

³⁷⁵ Conyers, D. & Hills, P., 1994:171 - 174.

³⁷⁶ Baer, W.C., 1997:329 - 344.

plan outcomes.³⁷⁷

Plan assessment is undertaken while plans are prepared.³⁷⁸ Assessments evaluate professional expertise by focussing on the plan as a document to communicate the methodology used to formulate the plan, reasoning behind the plan and plan content. Assessments are applicable at the moment when plans are brought into being.³⁷⁹

The assessment criteria should be designed to indicate what the plan should include and how the professional competence should be judged.³⁸⁰ Baer argued that the assessment criteria should be positive to specify what plans should contain to meet professionally approved standards similar to the accounting's profession "Generally Accepted Accounting Principles (GAAP)."³⁸¹ Assessments could serve a second purpose by comparing assessments of plans to determine whether the art of plan-making has improved over time.³⁸² Baer suggested a set of general criteria which could serve for plan assessment formats of which an abbreviated version is reflected in Table 2.9.

TABLE 2.9: GENERAL CRITERIA FOR PLAN ASSESSMENT

Criteria	Description
1. Adequacy of context	<ul style="list-style-type: none"> ➤ Context of plan: <ul style="list-style-type: none"> - What and why: political, legal and administratively ➤ Aim of Plan ➤ Executive Summary
2. Rational Model Considerations	<ul style="list-style-type: none"> ➤ Type of plan and assessment criteria ➤ Extent which plan and planning approach correspond in following areas: <ul style="list-style-type: none"> ○ Horizontal relationships with adjacent government bodies ○ Vertical relationships ○ Procedural co-ordination with other plans and agencies
3. Procedural Validity	<ul style="list-style-type: none"> ➤ Who involved in plan making? ➤ How selected? ➤ How involved? ➤ Draft circulated?
4. Adequacy of Scope	<ul style="list-style-type: none"> ➤ Scope: <ul style="list-style-type: none"> ○ Pertinent issues considered, e.g. social, economic and physical ○ Efficiency, equity and predictability ○ Financial and legal implications ○ Political feasibility
5. Guidance for Plan Implementation	<ul style="list-style-type: none"> ➤ Instruments considered: legislation and budgets

³⁷⁷ Baer, W.C., 1997:332 - 333 & 337- 339.

³⁷⁸ Baer, W.C., 1997:337.

³⁷⁹ Baer, W.C., 1997:337.

³⁸⁰ Baer, W.C., 1997:337.

³⁸¹ Baer, W.C., 1997:337.

³⁸² Baer, W.C., 1997:337.

	<ul style="list-style-type: none"> ➤ Agencies and responsible persons ➤ Consider Action Plan inclusion
6. Approach, Data and Methodology	<ul style="list-style-type: none"> ➤ Origin of data sets ➤ Does data inform plan?
7. Quality of Communication	<ul style="list-style-type: none"> ➤ Target groups identified ➤ Ideas convincingly presented, bearing in mind target audience ➤ Consistency of recommendations/conclusions with objectives
8. Plan Format	<ul style="list-style-type: none"> ➤ Size and format ➤ Design: text and graphics ➤ Editorial information

Source: Based on:
Baer, W.C., 1997:338 - 339.

Upon the adoption and implementation of plans, they should be empirically evaluated in accordance with their outcomes.³⁸³ The purpose and criteria are to be defined clearly to determine what was expected versus what happened.³⁸⁴ Baer identified approaches towards the evaluation of post ad hoc plan outcomes, of which the following four are relevant:

- (1) Reality or the actual outcomes are compared to the expected outcome if there had been no plan;
- (2) Reality or the actual outcomes can be compared against the intended outcome of the plan;
- (3) Reality could be compared against the plan by emphasising what difference any anticipated consequences from the plan actually made; and
- (4) Reality could be loosely linked to the plan since the existence of many possible reasons besides the plan to account for an outcome.³⁸⁵

(c) Integrated Development Plans: Assessment and Evaluation

(i) **Sixty years of Assessment and Evaluation**

The implementation of development plans has been intensely evaluated since their introduction after World War Two. The work done by, amongst others, Hills and Conyers³⁸⁶ and Todaro and Smith³⁸⁷ reflects in an outstanding fashion the factors that impact on plan making and

³⁸³ Baer, W.C., 1997:332.

³⁸⁴ Baer, W.C., 1997:333.

³⁸⁵ Baer, 1997:332.

³⁸⁶ Conyers, D. & Hills, P., 1994:156 - 159.

³⁸⁷ Todaro & Smith, 2006.

implementation. Mensah's³⁸⁸ study undertaken in 2005 on plan implementation in Ghana confirms the ongoing difficulties experienced with plan formulation and implementation after more than sixty years of development plan implementation.

(ii) **Factors impacting on Plan implementation**

(a) *Unexpected Economic Events*³⁸⁹

The economies of Less Developed Countries (LDCs) are extremely vulnerable because of the unpredictability of international trade patterns, donor aid availability and requirements, and lack of private investment³⁹⁰ or foreign direct investment.³⁹¹ The extreme oil price increases from the seventies onwards³⁹² and the ongoing impact of globalisation on the prices of natural resources³⁹³ affecting the LDCs incomes are two prime examples of external factors outside the control of LDCs.³⁹⁴

(b) *Lack of Political and Technical will*³⁹⁵

Plans failed because politicians and other high-level decision makers continued to fall into one of the traps of classical strategic planning, namely, to separate plan or strategy formulation and plan implementation,³⁹⁶ or their lack of support of one, or both phases of the two inter-linked processes,³⁹⁷ as reiterated by Kabra:

*“Generally the goals selection and programme preparation are taken to constitute the essence of planning. It is conveniently assumed that somehow the programmes prepared by the planning agencies with a view to achieve goals will be carried out by the implementing agencies ... The process of plan formulation cannot be said to be complete unless it also makes a choice of or indicates the criteria for choice with respect to instruments, methods and agencies capable of translating the planned tasks into reality according to the decisions of planners.”*³⁹⁸

Without political support for development initiatives, specifically where

³⁸⁸ Mensah, J.V., 2005:245 - 270.

³⁸⁹ Todaro, M.P., & Smith, S.C., 2006:530.

³⁹⁰ Todaro, M.P., & Smith, S.C., 2006:530.

³⁹¹ Todaro, M.P., & Smith, S.C., 2006:530

³⁹² Todaro, M.P., & Smith, S.C., 2006:530 - 531.

³⁹³ Todaro, M.P., & Smith, S.C., 2006:531.

³⁹⁴ Todaro, M.P., & Smith, S.C., 2006:531.

³⁹⁵ Todaro, M.P., & Smith, S.C., 2006:531.

³⁹⁶ Todaro, M.P., & Smith, S.C., 2006:531.

³⁹⁷ Based on Todaro, M.P., & Smith, S.C., 2006:531.

³⁹⁸ Kabra, K.N., 1997:168 - 169.

projects would benefit all stakeholders in the long-term at the expense of short-term losses by some, they fail.³⁹⁹ Political interference and personality problems or clashes amongst stakeholders are well-known factors for plan failure.⁴⁰⁰

The lack of commitment to national goals as opposed to regional, departmental objectives of politicians and civil servants, who put their own interest above the public good and the pervasive corruption in government institutions are major contributors to plan failure.⁴⁰¹ Mensah⁴⁰² reveals a situation whereby only Executive Committee members and the planning unit of district municipalities are familiar with the plan, and that the plan was not made available to the remainder of the council members.

(iii) **Lack of Institutional Capacity, Administrative Support and Management Skills**⁴⁰³

(a) *Lack of co-ordination between Stakeholders*

Planning as a cyclical process involves various individuals and organizations.⁴⁰⁴ Therefore, political and administrative or organisational capacity is essential for successful planning.⁴⁰⁵

The inter-relationships between stakeholders in the plan formulation and implementation phases impacts on the plan content and the actual implementation.⁴⁰⁶ Organisational or institutional arrangements such as lack of co-ordination between individual staff and organizations or institutions, specifically government institutions, determine the implementability of a plan even prior to its drafting.⁴⁰⁷ Inter-ministerial, ministerial and departmental rivalries between, e.g. finance ministries and planning agencies, worsen plan failure in LDCs.⁴⁰⁸

There is a general failure of planners, administrators and political leaders to engage with ongoing dialogue and communication about goals and strategies.⁴⁰⁹ A major contributor to this situation is where the planning

³⁹⁹ Todaro, M.P., & Smith, S.C., 2006:531.

⁴⁰⁰ Conyers, D. & Hills, P., 1994:159.

⁴⁰¹ Todaro, M.P., & Smith, S.C., 2006:531.

⁴⁰² Mensah, J.V., 2005:258.

⁴⁰³ Based on Conyers, D. & Hills, P., 1994:156 - 157; and based on Todaro, M.P., & Smith, S.C., 2006:531.

⁴⁰⁴ Conyers, D. & Hills, P., 1994:156.

⁴⁰⁵ Conyers, D. & Hills, P., 1994:157.

⁴⁰⁶ Conyers, D. & Hills, P., 1994:156.

⁴⁰⁷ Conyers, D. & Hills, P., 1994:156 - 157.

⁴⁰⁸ Todaro, M.P., & Smith, S.C., 2006:531.

⁴⁰⁹ Todaro, M.P., & Smith, S.C., 2006:531.

agency is located outside the day-to-day decision-making machinery of government.⁴¹⁰

(b) *Lack of Skilled staff*

The lack of qualified economists, statisticians and other planning staff *frustrates* the formulation and implementation of development plans.⁴¹¹ In addition, civil servants are seen as incompetent and unqualified.⁴¹² Mensah⁴¹³ concluded that planning units were staffed inadequately and that the overwhelming majority of the staff in planning positions were not trained planners.

(iv) **Plan Content**⁴¹⁴

(a) *Insufficient and unreliable Data*⁴¹⁵

The value of any development plan is directly related to the quality of the data it is based on, as Todaro and Smit emphasised:

*“When (statistical) data (is) weak, unreliable, or simply nonexistent, as in many poor countries, the accuracy and internal consistency of economy wide quantitative plans are greatly diminished.”*⁴¹⁶

(b) *Too many objectives*⁴¹⁷

Some plans are based on unrealistic expectations.⁴¹⁸ Therefore, plans are over ambitious and grandiose.⁴¹⁹ Plans have too many objectives, some of which are sometimes inconsistent with each other.⁴²⁰ The requirements of the World Bank and IMF range from 60 to 100 or more issue areas to be included in plans if countries want to qualify for conditional donor funding.⁴²¹ Plans with unrealistic targets are doomed as they do not correspond with the available resources required for implementation.⁴²²

⁴¹⁰ Based on Todaro, M.P., & Smith, S.C., 2006:531.

⁴¹¹ Todaro, M.P., & Smith, S.C., 2006:530.

⁴¹² Todaro, M.P., & Smith, S.C., 2006:531.

⁴¹³ Mensah, J.V., 2005:257.

⁴¹⁴ Conyers, D. & Hills, P., 1994:157.

⁴¹⁵ Todaro, M.P., & Smith, S.C., 2006:530.

⁴¹⁶ Todaro, M.P., & Smith, S.C., 2006:530.

⁴¹⁷ Todaro, M.P., & Smith, S.C., 2006:530.

⁴¹⁸ Todaro, M.P., & Smith, S.C., 2006:530.

⁴¹⁹ Todaro, M.P., & Smith, S.C., 2006:530.

⁴²⁰ Todaro, M.P., & Smith, S.C., 2006:530.

⁴²¹ Todaro, M.P., & Smith, S.C., 2006:530.

⁴²² Conyers, D. & Hills, P., 1994:157.

(c) *Role identification*⁴²³

Plans which are presented in a complex manner and do not indicate the role of individuals and/or organisations clearly, will not secure the necessary support from implementing agencies.⁴²⁴

(v) **Public participation**⁴²⁵

Without community participation in all stages of plan making, such plans will without a doubt not succeed.⁴²⁶ Mensah⁴²⁷ found that well into the era of public participation, the majority of stakeholders were not consulted during plan formulation, because it was too expensive and time-consuming.

(vi) **Management of Implementation**⁴²⁸

In most instances, plans are not implemented because of a severe lack of funding,⁴²⁹ and other resources required which are not at hand in the right quantity, right place and right time.⁴³⁰ This is caused by a lack of co-ordination between the drafting of plans and the procurement procedures used for resource allocation, such as the lengthy process to appoint staff in government institutions.⁴³¹

Sometimes organisations or individuals are unwilling to participate in the implementation process.⁴³² Poor project management could be singled out as a major contributing factor in plan failure, including the wrong sequencing of activities of the project process.⁴³³ Mensah⁴³⁴ reported that land disputes caused a waste of resources, low investment attraction and loss of property. Chieftaincy disputes hindered plan implementation as they led to friction, confrontation and loss of life, within the communities where projects were implemented.⁴³⁵

⁴²³ Based on Conyers, D. & Hills, P., 1994:157.

⁴²⁴ Based on Conyers, D. & Hills, P., 1994:157.

⁴²⁵ Based on Conyers, D. & Hills, P., 1994: 157.

⁴²⁶ Based on Conyers, D. & Hills, P., 1994:157. Notwithstanding the critical importance of community participation in planning in KZN, this aspect is not a focus area of this study.

⁴²⁷ Mensah, J.V., 2005:257.

⁴²⁸ Conyers, D. & Hills, P., 1994:158.

⁴²⁹ Mensah, J.V., 2005:264.

⁴³⁰ Conyers, D. & Hills, P., 1994:158.

⁴³¹ Conyers, D. & Hills, P., 1994:158.

⁴³² Conyers, D. & Hills, P., 1994:158.

⁴³³ Conyers, D. & Hills, P., 1994:159.

⁴³⁴ Mensah, J.V., 2005:265.

⁴³⁵ Mensah, J.V., 2005:265.

(iii) Review

DANIDA⁴³⁶ defines “review” as a comprehensive internal assessment of progress of a programme or component during implementation.⁴³⁷

Dale does not distinguish between monitoring, evaluation and review as he uses the umbrella term “monitoring” for these three activities. The way that Dale explained the purpose of “monitoring” is an appropriate prelude to what he sees “review” entails:

*“The purpose of monitoring is to know whether or to what extent the programme or project proceeds according to the plans and creates what it is intended to create, and to provide information that may be needed for any changes - regarding plans, mode of implementation or outputs. This is (the) feedback link to planning - particularly operational planning, but sometimes even strategic planning.”*⁴³⁸

The abovementioned views on review confirm that “review” is an ongoing process which culminated in reviewed development policies, strategies, plans and programmes.⁴³⁹

2.4.4 Meaning for Study

The overview on the three phases of strategic management - planning, implementation and control – sets the general framework within which the ten step “government model” could be discussed. Through clarifying the meaning of key concepts such as strategies and approaches to strategies, institutional arrangements and monitoring, evaluation and review of control functions, the scene is set to develop the Strategic Management Model for integrated development planning in South Africa and KwaZulu-Natal.

2.5 MANAGEMENT OF STRATEGIC MANAGEMENT

2.5.1 Strategic Management Models

Hahn⁴⁴⁰ has developed a very useful corporate framework which links the 3 general phases of strategic management - planning, implementation and control - with the roles and responsibilities of managers to manage or to give effect to strategic management. He characterised management as a complex process of decision making and control.⁴⁴¹

The decision making process equals strategic plan formulation, whilst control includes

⁴³⁶ Danish Ministry of Foreign Affairs, 1999: 2.

⁴³⁷ Danish Ministry of Foreign Affairs, 1999:116.

⁴³⁸ Dale, R., 2004:63.

⁴³⁹ FEPA, 1995, (Draft) Guidelines for the Development Planning Process in Government:13.

⁴⁴⁰ Hahn, D., 1991:44.

⁴⁴¹ Hahn, D., 1991:45.

implementation and supervision.⁴⁴² Supervision includes, amongst others, the analysis of deviations of actual and planned performance.⁴⁴³ The management process consists of the formulation, implementation and supervision of goals (objectives), activities and resources.⁴⁴⁴ A simplified interpretation of Hahn's Strategic Management Model is reflected in Table 2.10.

TABLE 2.10: SIMPLIFIED INTERPRETATION OF HAHN'S STRATEGIC MANAGEMENT MODEL

Management = Decision Making + Control: Other Persons		
Decision making process = Plan formulation for identification of goals-activities-resources + co-ordination and integration	Control	
	Implementation of strategies	Supervision includes analysis of deviations of actual and planned performance
Management Systems and Organisational Structure		

Source:

Hahn, D., 1991:26 - 39.

Dale observed and cautioned that the divide between strategic planning and operation planning or planning for implementation is not always that clear:

*"In other words, one may rarely say exactly where strategic planning of a development scheme ends and operational planning begins."*⁴⁴⁵

In this instance, all planning aspects are done by the same persons during one continuous planning activity.⁴⁴⁶ Dale,⁴⁴⁷ however, pointed out that in other instances, the distinction between strategic and operational planning is clearer.⁴⁴⁸ The general aspects are set out in a framework document, whilst the projects are contained in a separate document.⁴⁴⁹ A prime example is the formulation of a regional development plan which is followed by more detailed planning for implementation purposes.⁴⁵⁰

2.5.2 Leadership versus Management

Hahn⁴⁵¹ emphasised the need for an increasingly co-operative style of leadership for ensuring motivation, commitment of subordinates and innovation. Fast and ongoing changes in organisations and the environment in which they operate create general or all round managers and specialist managers for specialist or line functions activities.⁴⁵²

⁴⁴² Hahn, D., 1991:44 - 45.

⁴⁴³ Hahn, D., 1991:45.

⁴⁴⁴ Hahn, D., 1991:45.

⁴⁴⁵ Dale, R., 2004:38.

⁴⁴⁶ Dale, R., 2004:38.

⁴⁴⁷ Dale, R., 2004:38.

⁴⁴⁸ Dale, R., 2004:38.

⁴⁴⁹ Dale, R., 2004:38.

⁴⁵⁰ Dale, R., 2004:39 - 40.

⁴⁵¹ Hahn, D., 1991:45.

⁴⁵² Hahn, D., 1991:57.

Organisations must have capable strategic leaders to drive strategic management to achieve the desired organisational change and vision.⁴⁵³ Strategic leaders articulate the vision and motivate all to buy into the vision.⁴⁵⁴ Strategic leaders must have the capability to obtain commitment from all internal and external stakeholders to undertake⁴⁵⁵ the three phases of strategic management.

Kotter differentiated between leadership and management.⁴⁵⁶ Management is how to cope with complexity, and leadership is how to cope with change.⁴⁵⁷ Management is whereby others are directed to achieve ends and by using means, determined by the manager.⁴⁵⁸ Managers are more inclined to be analytical, structured, controlled and see their work as a quantitative science.⁴⁵⁹ Managers focus on details, instruct and apply authority.⁴⁶⁰

Leadership focuses on guiding, encouragement and facilitation of others by means which they have selected or approved to achieve their aims.⁴⁶¹ Leaders are more experimental, visionary, flexible, creative and intuitive.⁴⁶² Leaders concern themselves with the bigger picture, inspire and apply influence.⁴⁶³ Ehlers and Lazenby (Eds.)⁴⁶⁴ made the point that leadership and management complement each other to ensure adaptation to change, repositioning and survival of the organization.

With decentralisation and delegation, key considerations for management and participation, decentralised organisations have to have systems for planning, control and co-ordination, ensuring an integrated, functional institution.⁴⁶⁵ Cross-cutting functions require further integration and co-ordination through the use of committees, project groups and multiple mandates from top management.⁴⁶⁶

Mintzberg⁴⁶⁷ did not agree with the views expressed on leadership and management as expressed by Ehlers and Lazenby (Eds.). According to Mintzberg,⁴⁶⁸ Zaleznik introduced the separation during the second half of the 1970s, namely that there is a distinct difference between management and leadership. Mintzberg used “management” and “leadership” interchangeably:

“Leadership is supposed to be something bigger, more important. I reject this distinction,

⁴⁵³ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁴ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁵ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁶ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁷ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁸ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁵⁹ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁶⁰ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:182.

⁴⁶¹ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:181.

⁴⁶² Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:182.

⁴⁶³ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:182.

⁴⁶⁴ Ehlers, M.B., & Lazenby, J.A.A. (Eds.), 2004:182.

⁴⁶⁵ Hahn, D., 1991:45.

⁴⁶⁶ Hahn, D., 1991:45.

⁴⁶⁷ Mintzberg, H., 2004:6.

⁴⁶⁸ Mintzberg, H., 2004:6.

*simply because managers have to lead and leaders have to manage. Management without leadership is sterile; leadership without management is disconnected and encourages hubris. We should not be ceding management to leadership ... anywhere ...*⁴⁶⁹

2.5.3 Value of Public Sector Strategic Management

After all the discourse on strategic management and/or planning, the question should be asked whether this approach towards planning has advantages for the public sector. From the vast array of international literature, two proponents thereof are referred to, to showcase the point of value.

Steiner⁴⁷⁰ confirmed that strategic management has substantial value in the public sector, namely:

1. Improved decision-making on future opportunities and threats facing the institution;
2. Development of appropriate aims and objectives serving as strong motivation and incentive;
3. Promotion of communication, co-ordination and participation within the organisation;
4. Enable an institution to implement proactively and influence the institutional environment; and
5. Ensure an objective basis for the management of decision-making, where improved decision-making results in the improved attainment of objectives, resource utilisation and personnel motivation.

Kaufman and Jacobs⁴⁷¹ participated in 1987 in the debate on the value of strategic planning, which emerged according to them then about twenty years before in the private sector. They have identified the following distinctions of private or corporate strategic planning from convention public planning, namely that strategic planning:⁴⁷²

1. Is orientated more towards action, results and implementation;
2. Promotes broader and more diverse participation in the planning process;
3. Emphasises the external context, determines opportunities and threats by environmental scanning;
4. Embraces competitive behaviour between groups; and
5. Highlights strengths and weaknesses against the background of opportunities and threats.

Kaufman and Jacobs highlighted the value of strategic planning further:

“... traditional public planning (i.e. long-range comprehensive or master planning) too often perceives the world around and within as one-dimensional. That is, goals,

⁴⁶⁹ Mintzberg, H., 2004: 6.

⁴⁷⁰ Van der Waldt, G. and Du Toit, F.F.P., 1997:282.

⁴⁷¹ Kaufman & Jacobs:1987:24.

⁴⁷² Kaufman & Jacobs:1987:25.

objectives, and policies that are developed and stated in a plan too often seem to cover all topics of possible concern to the locality and assume that the planning, policy and administrative units of the government have equal capacity and incentive to act on the plan's recommendations."⁴⁷³

A former Deputy-Director of the American Planning Association, Frank S. So,⁴⁷⁴ held the view that strategic planning could be done faster than the traditional comprehensive plan. For example, existing data and studies are used to arrive at results or plans.⁴⁷⁵ In addition, the strategic planning process is dependent on the specific knowledge of participants to avoid that the obvious being studied.⁴⁷⁶

2.5.4 Strategic Management Challenges

Van der Waldt and du Toit⁴⁷⁷ identified variables in the application of strategic management, and highlighted in their work short comings of strategic management which Mercer had identified. In combination, the variables and short comings are classified as challenges of strategic management for the purposes of this study, namely:

1. The inability of public institutions to formulate a long-term vision;
2. The inability of institutions to react quickly to change;
3. Internal resistance to change may emerge;
4. Forecasts may not be achieved;
5. The process is time-consuming, expensive and relatively complicated, which requires managerial talent for application;
6. Various strategic plans may be difficult to reconcile with central government's objectives and budget;
7. Training on strategic management skills is essential; and
8. Information gathering and analysis are to be effective.

Kaufman and Jacobs⁴⁷⁸ summarised also the short-comings of strategic planning by highlighting that it could be very time consuming, difficulty is experienced to maintain the ongoing interest of top decision makers, the cost involved, and

*"(it) seriously underestimated the problem of implementing priority actions in the decentralised, pluralistic decision-making system of the public sector."*⁴⁷⁹

2.5.5 Value for study

Effective management is crucial for the success of strategic management. The leaders

⁴⁷³ Kaufman & Jacobs:1987:27.

⁴⁷⁴ So, F.S.:1984:18.

⁴⁷⁵ So, F.S.:1984:18.

⁴⁷⁶ So, F.S.:1984:18.

⁴⁷⁷ Van der Waldt, G., & Du Toit, F.F.P., 1997:282.

⁴⁷⁸ Kaufman & Jacobs:1987:30.

⁴⁷⁹ Kaufman & Jacobs:1987:30.

and/or managers with the best attitude and aptitude toward strategic management would eventually ensure the success of the management programme. Experience with strategic management over the years has demonstrated the value thereof, as well as its pitfalls. Strategic managers need to learn from these lessons and thereby improve their own strategic management processes.

2.6 A GENERIC MODEL FOR THE EVALUATION OF STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

2.6.1 Motivation for development of a Strategic Management Model

The Strategic Management Model for integrated development planning will be developed (in Chapter Three) to assess whether, and to what extent the KwaZulu-Natal Provincial Government has been successful in the strategic management of integrated development planning from 1994 to 2006. Any strategic management process occurs on the three levels of government. Generally, a decentralised government system in the developing world has capacity constraints that need to be addressed; also in South Africa and KwaZulu-Natal. Any Strategic Management Model for integrated development planning consists of the planning, implementation and control phase and are reflected upon in this section.

2.6.2 Institutional Structures and Strategic Functions

Dalal-Clayton, *et.al.* have developed a model setting out the different levels and related roles and responsibilities of government.⁴⁸⁰ The model is represented here in an adapted format. Significantly, it is the international trend to decentralise management and planning from central government to local government and at each level, strategic planning and operational activities are executed:⁴⁸¹

- On a national level, government functions include strategic planning and policy formulation. In most countries, line ministries are still the principal service providers with staff presence in provincial locations.⁴⁸²
- On a provincial level it undertakes strategic planning, co-ordinates district plans and provides certain services in support of districts, including engineering and veterinary services.⁴⁸³
- The local level represents the local constituents and undertakes strategic planning for infrastructure and land use planning.⁴⁸⁴

⁴⁸⁰ Dalal-Clayton, *et.al.*, 2003:7.

⁴⁸¹ Dalal-Clayton, *et.al.*, 2003:7.

⁴⁸² Dalal-Clayton, *et.al.*, 2003:7.

⁴⁸³ Dalal-Clayton, *et.al.*, 2003:7.

⁴⁸⁴ Dalal-Clayton, Dent and Dubois:2003:7.

Albrechts⁴⁸⁵ used Belgium as an example of the shift away from a central state towards decentralisation. In this case, Brussels, Flanders and Wallonia have substantial autonomy with responsibility for regional aspects of economic policy, amongst others.⁴⁸⁶ Each region has a parliament, provincial government and municipalities.⁴⁸⁷ In Flanders, for example, with an area of 13 552 km² and ±6 million residents in 2001, a three tier, planning system was adopted with structure plans and spatial implementation plans at each level.⁴⁸⁸

Since the nineties, the renewed interest in strategic regional planning is evident, according to Holliday.⁴⁸⁹ This kind of planning focuses on spatial planning and the structural funds of the European Union requires regional plans before any fund could be made available for any development project.⁴⁹⁰ The European Spatial Development Perspective requires spatial planning on all vertical levels starting at European level (i.e. level one) to local levels (i.e. level three) and horizontal alignment across sectors, such as agriculture, transport and housing.⁴⁹¹ In 2003, Albrechts, Healy and Kunzmann, discussed three examples of strategies for cities, sub-regions and regions in relation to the revived need for strategic spatial requirements in the Europe, namely the City Region of Hanover, Germany, Flanders in Belgium and Northern Ireland.⁴⁹²

In Britain, regional frameworks, spanning 15 - 20 years for the drafting of local authority plans are required.⁴⁹³ Regional planning bodies, consisting of local planning authorities, develop regional plans to be approved by the Minister responsible for planning.⁴⁹⁴ In Canada, regional strategic plans have been introduced.⁴⁹⁵ In British Columbia, for example, the Land Use Co-ordination Office is the agency that oversees, coordinates and evaluates the formulation of the provincial land use strategy.⁴⁹⁶ The strategy is enacted on a provincial, regional and sub-regional level.⁴⁹⁷ With strategic regional planning central in government actions, all countries in the European Union and the USA draft such strategic plans.⁴⁹⁸

⁴⁸⁵ Albrechts, L, 2003:252.

⁴⁸⁶ Albrechts, L, 2003:252.

⁴⁸⁷ Albrechts, L, 2003:252.

⁴⁸⁸ Albrechts, L, 2003:252.

⁴⁸⁹ Holliday, S, 2001:26.

⁴⁹⁰ Holliday, S, 2001:26.

⁴⁹¹ Holliday, S, 2001:27.

⁴⁹² Albrechts, Healy & Kunzmann: 2003:113 - 129.

⁴⁹³ Holliday:S, 2001:27.

⁴⁹⁴ Holliday:S, 2001:27.

⁴⁹⁵ Holliday:S, 2001:27.

⁴⁹⁶ Holliday:S, 2001:27.

⁴⁹⁷ Holliday:S, 2001:27.

⁴⁹⁸ Holliday:S, 2001:26.

2.6.3 Disadvantages of Decentralised Government and Planning System in Developing Countries

2.6.3.1 Prescript

The reasoning behind the discussion on capacity building in the sections below, is that this aspect is addressed in Chapters Seven to Nine with the emphasis on how the strategic management process was utilised to address capacity constraints of municipal integrated development planning in KZN.

2.6.3.2 Lack of Capacity

Holliday stated that a common complaint during the layered planning process is that once the plan was formulated, it is not implemented:

*“A plan without a way to implement it is a waste of everyone’s time.”*⁴⁹⁹

As stated above in Section 2.6.1, the local level represents the local constituents and undertakes strategic planning for infrastructure and land use planning.⁵⁰⁰ As Razin and Obirih-Operah pointed out that in recent decades, decentralisation was a major driving force in developed and developing countries.⁵⁰¹ The expectation in developing countries, such as Ghana, was improved service provision amongst others, but that was not always the case.⁵⁰²

Fiscal disparities meant that some local governments could not undertake their statutory development⁵⁰³ function,⁵⁰⁴ including planning.⁵⁰⁵ This calls for capacity building, as Poppe has identified already in 1998 in a study on the decentralised planning system in Indonesia as he concluded:

*“So planners need guidance about the immediate training needs of ill-equipped local government staff as they try to cope with the functions allocated to them and about the resulting gap between actual and desired performance.”*⁵⁰⁶

In 2005, Chinsinga found that the decentralised planning system in Malawi was so weak that donors and NGOs circumvent the District Assemblies.⁵⁰⁷ For Chinsinga, a way of building capacity is for the decentralised system to be used and that capacity has to be built up over time.⁵⁰⁸ Otherwise, poverty alleviation would be ad hoc and duplicated.⁵⁰⁹

⁴⁹⁹ Holliday, S, 2001:28.

⁵⁰⁰ Dalal-Clayton, B. , *et.al.*, 2003:7.

⁵⁰¹ Razin, E. & Obirih-Operah, N.,2000:411.

⁵⁰² Razin, E. & Obirih-Operah, N.,2000:411.

⁵⁰³ Razin, E. & Obirih-Operah, N.,2000:430.

⁵⁰⁴ Razin, E. & Obirih-Operah, N.,2000:411 & 413.

⁵⁰⁵ Eriksen, S.S., 1997:267.

⁵⁰⁶ Poppe,M., 1998:340.

⁵⁰⁷ Chinsinga,B., 2005: 540.

⁵⁰⁸ Chinsinga,B., 2005: 541.

2.6.3.3 Capacity building as a Concept

Chambers described the development of the concept of capacity building by highlighting that the expression “capacity building” entered the developmental field in the eighties.⁵¹⁰ However, the focus was narrow in that training was central and not the building of the capacity of local institutions and to solve problems.⁵¹¹ In the nineties, the concept changed to ensure that the competence and problem-solving capabilities of people and institutions were made the focal point of capacity building initiatives.⁵¹² Capacity building evolved into capacity development emphasising adaptation, evolution, growth and facilitation.⁵¹³ Capacity development therefore, for Chambers:

*“Aim(s) ... to improve the organisation’s potential performance - its ability to apply skills and resources to accomplish its goals and satisfy the expectations of its stakeholders”*⁵¹⁴

Chambers uses Campilan’s view to further postulate that, by pointing out that a capacity building development programme contributed to the capacity development of individuals and organisations.⁵¹⁵ In turn, that would make a contribution to work performance with the aim of contributing changes for those who are to benefit from the programme.⁵¹⁶

Similarly, Dale also gives a broad perspective on what capacity building entails.⁵¹⁷ When capacity focuses on organisations, topics include policy analysis, strategic and operational planning and individual skills, amongst others.⁵¹⁸ Organisational capacity building is undertaken by outside organisations, which add additional capacity such as staff training, improvement of administrative systems and process, and to assist with learning experiences.⁵¹⁹

Dale further argues that institutions are wider than organisations.⁵²⁰ To support his argument, he cited the example that institution building for a more democratic society goes beyond focusing on organisations. In this instance, new laws and regulations may be promulgated and training programmes should include items on governance and democratic values.⁵²¹

In the context of a decentralised governance system, Hussein highlights that capacity

⁵⁰⁹ Chinsinga,B., 2005: 543.

⁵¹⁰ Chambers, O., 2005:48.

⁵¹¹ Chambers, O., 2005:48.

⁵¹² Chambers, O., 2005:48.

⁵¹³ Chambers, O., 2005:48.

⁵¹⁴ Chambers, O., 2005:48.

⁵¹⁵ Chambers, O., 2005:48.

⁵¹⁶ Chambers, O., 2005:48.

⁵¹⁷ Dale, 2004:188.

⁵¹⁸ Dale, R., 2004:188.

⁵¹⁹ Dale, R., 2004:188.

⁵²⁰ Dale, R., 2004:188.

⁵²¹ Dale, R., 2004:188.

building includes the improvement of the general abilities of local government institutions, development of the competencies and skills of officials and provision of sufficient funding.⁵²² In Malawi, however, despite the assistance from donor agencies, inadequate human resources, the shortage of technical skills and appropriate competencies and a lack of finances, exist.⁵²³

Hussein refers to the high vacancy rate in the Malawian Ministry of Local Government and Rural Development, that impacts negatively on the management and implementation of the decentralised governance system.⁵²⁴ Examples are the poor quality of public service delivery and ineffective co-ordination between the Ministry and municipalities.⁵²⁵ In the Districts themselves, capacity constraints exist, for example in 2003, of 27 Districts, 11 did not have a Director: Planning and Development.⁵²⁶

Hussein pointed out that to supplement staff shortages, the Malawian central government second staff to Districts, whilst internal staff transfers are taking place.⁵²⁷ The success rate is not very high, however. To make matters worse, staff are not attracted or retained because of the poor working conditions, low salaries and lack of equipment in District municipalities.⁵²⁸

Dalal-Clayton, Dent and Dubois refer to the Rural Development Capacity Building Programme which was to be implemented in Zimbabwe prior to the current political chaos to demonstrate that such programmes are indeed comprehensive in nature.⁵²⁹ The 2001 “*capacity building model*”⁵³⁰ included three programmes, namely institutional development, human resource development and funding, the aim of which was to develop the capacity of Rural District Councils to plan, implement and manage development programmes and to maintain essential rural services.⁵³¹

2.6.4 Generic Strategic Management Process

2.6.4.1 Description

Swilling and Wooldridge summarised the typical strategic management process in a decentralised government system:

“... (as) an ongoing process of re-positioning the government in relation to the public it interfaces with ... and other tiers of government in a changing socio-economic environment. Strategic management ... is about aligning and re-aligning the objectives,

⁵²² Hussein, M.K., 2006: 377.

⁵²³ Hussein, 2006: 376.

⁵²⁴ Hussein, 2006: 378.

⁵²⁵ Hussein, 2006: 378.

⁵²⁶ Hussein, 2006: 378.

⁵²⁷ Hussein, 2006: 378.

⁵²⁸ Hussein, 2006: 378 - 379.

⁵²⁹ Dalal-Clayton, B, *et.al.*, 2003:62.

⁵³⁰ My emphasis.

⁵³¹ Dalal-Clayton, B. *et.al.*, 2003:63.

*outputs, and activities of the different components of the organization ... Strategic management entails the development of a strategic vision of what government is, what it does, and how it does it. The ... vision can be used ... to measure and monitor impact on development ...*⁵³²

The abovementioned summary of Swilling and Wooldridge of the concept of strategic management could be expanded to a process during which steps followed during any strategic management process are basically the same. Hahn (1991) and Bryson (1995) are examples in this regard. The context and purpose of the initiative would determine the sequencing of the steps. Based on the argument of the revival of the strategic planning paradigm since the nineties, it could be safely said that the various plans drafted in Europe, the USA, Australia, Britain and developing countries are drafted through strategic planning processes containing more or less the identified phases and/or steps. Thus, the three phased process of Hahn (1991), as well as Ehlers and Lazenby (2004) in Section 2.4.1 could be combined with the ten steps of Bryson discussed in Section 2.4.2.

The strategic management process is therefore presented as follows:

Phase 1: Planning Phase

- (1) Initiate and agree on strategic management process;
- (2) Clarify organisational mandates;
- (3) Identify strategic issues facing the organisation;
- (4) Formulate vision and goals;
- (5) Undertake SWOT analysis; and
- (6) Formulate and adopt strategies to address strategic issues.

Phase 2: Implementation Phase

- (7) Planning of plan implementation; and
- (8) Phased implementation.

Phase 3: Control Phase

- (9) Monitoring;
- (10) Evaluation; and
- (11) Review.

2.6.4.2 Strategic Step Activity and Evaluation Criteria

Based on the literature review, the activities under each step are summarised hereunder to reflect the minimum step requirements for evaluating the strategic management of integrated development planning.

⁵³² Swilling, M. & Wooldridge, D., 1997:492.

(A) Planning Phase

(i) Step 1: Initiate and agree on strategic management process

The communicative turn in strategy formulation requires prior agreement on the strategic management process and the involvement of key stakeholders. Governments, departments, institutions and individuals within initiate the process by deciding on a strategic management process and who should be invited to participate. Written agreements are desirable, but not always secured to ensure commitment during the planning phase. Resources for the entire strategic process should be available at commencement of the strategic initiative. A dedicated management team is to be appointed to manage the process in accordance with project management practices.

(ii) Step 2: Clarify organisational mandates

Formal and informal mandates are the minimum preconditions informing the strategic planning process. Formal mandates are found in applicable national and provincial legislation and contracts. Informal mandates are found in the political decisions affecting departments and institutions.

(iii) Step 3: Identify strategic issues facing the organisation

Strategic issues focus on what is important for an institution to be a developmental agent.

(iv) Step 4: Formulate vision and goals

A vision is an expression of what an organisation wants for itself and other stakeholders.

(v) Step 5: Undertake SWOT analysis

The environment inside and outside a department should be explored to identify Strengths, and Weaknesses and Opportunities and Threats, also known as the SWOT analysis. A definite balance should be struck by not over-emphasising threats at the cost of opportunities.

(vi) Step 6: Formulate and adopt strategies to address strategic issues

As a plan, a strategy is a deliberate course of action or guideline to address a specific developmental situation. Organisational strategies are developed in advance and with a specific purpose to achieve a desired outcome.

(B) Implementation Phase

(vii) Step 7: Planning of plan implementation

Prior to plan implementation, planning for plan implementation is undertaken. Strategies are converted into a series of actions or tasks to realise the objectives of the strategic plan. This process results in a series of action plans containing at least the following aspects, namely roles and responsibilities of managing committees and individuals; objectives, milestones and actions steps; resource requirements; and control measures.

(viii) Step 8: Phased implementation

The action plans drafted during the planning of plan implementation step is managed into action, or operationalised in practice to achieve the wanted results. The correct application of project management practices are to be followed for achieving success.

(C) Control Phase

(ix) Step 9: Monitoring

Monitoring is the collection of data on economic, social and environmental information and/or to measure performance with programme or project implementation. Monitoring tools are budgets and specifically designed monitoring schedules. The monitoring process consists of four general steps, namely to set performance standards, measure real time performance, identify deviations from standards set and initiate corrective measures.

(x) Step 10: Evaluation

Evaluation is the appraisal of the performance or quality of a plan, programme or project informed by the data or other information collected during monitoring. Two types of evaluation exist, i.e. on-going evaluation and ex-post evaluation. On-going evaluation is undertaken during implementation and corresponds generally, but not always, with the end of project phases. On-going evaluation should result in immediate corrective action. Ex-post evaluation takes place after the completion of a plan programme or project for learning purposes.

(xi) Step 11: Review

The information gathered, feeds into the review and/or the adjustment of development plans, strategies and project implementation and action plans.

2.7 CONCLUSIONS

From the literature review the following is concluded on strategies, strategic planning, strategic management and integrated development planning, namely that:

- 2.7.1 Mintzberg, as paraphrased by Dale,⁵³³ described organisational strategy as the mediating force between the organisation and the environment in which it is situated, functions and survives.
- 2.7.2 The conservative policies of Reagan and Thatcher⁵³⁴ and the post-modernism scepticism of planning of the 1980s caused a drastic retreat of strategic planning as both approaches inherently viewed progress as something that cannot be planned.⁵³⁵
- 2.7.3 Harrison⁵³⁶ pointed towards the consequences of the decentralisation policy under New Public Management (NMP) - institutional diffusion, fragmentation and a growing complexity of governance - of the eighties that made strategic planning acceptable in US Government circles in the nineties.
- 2.7.4 During 2000, Healy⁵³⁷ pointed to another pertinent reason for the revival of the need for strategic spatial planning as the constant challenge of the co-ordination of public policy in specific localities, efforts to make urban regions more economically competitive and improving the access to opportunities for groups residing in specific localities.
- 2.7.5 Bateman and Snell⁵³⁸ observed that the developments in the eighties and nineties caused the strategic planning process to become strategic management,
*“(which) involves managers from all parts of the organisation in the formulation and implementation of strategic goals and strategies. It integrates strategic planning and management into a single process.”*⁵³⁹
- 2.7.6 Not everybody necessarily agrees with the abovementioned statements on strategic management. David,⁵⁴⁰ for example, emphasised that strategic management and strategic planning are synonyms with only one distinction: the term *“strategic management”* is used by academics and *“strategic planning”* by the business world.

⁵³³ Dale, R., 2004:15.

⁵³⁴ Goldsmith, M., 1992:402 - 403.

⁵³⁵ Albrecht, L., 2004:743.

⁵³⁶ Harrison., P., 2006:189.

⁵³⁷ Healey, P., 2004:45.

⁵³⁸ Bateman, S.T. & Snell, S.A., 1999:131.

⁵³⁹ Bateman, S.T. & Snell, S.A., 1999:131.

⁵⁴⁰ David, F.R., 2003:5.

- 2.7.7 The need for integrated development planning stemmed from factors such as market failures, resource allocation, foreign aid and practical (good) internal politics.⁵⁴¹
- 2.7.8 The research supports the manner in which David⁵⁴² reflected on the three generally accepted phases of the strategic management process⁵⁴³, namely: Phase 1: Strategy formulation, Phase 2: Strategy implementation and Phase 3: Strategy evaluation.
- 2.7.9 The ten step strategic planning process developed by Bryson⁵⁴⁴ is more suited for government institutions, namely:
- Step 1: Initiate and agree upon a strategic planning process;
 - Step 2: Identify organisational mandates;
 - Step 3: Clarify organisational mission and values;
 - Step 4: Assess the organisation's external and internal environment to identify strengths, weaknesses, opportunities and threats;
 - Step 5: Identify the strategic issues facing the organisation;
 - Step 6: Formulate strategies to manage these strategic issues;
 - Step 7: Review and adopt the strategic plan(s);
 - Step 8: Establish an organisational vision;
 - Step 9: Develop an effective implementation process; and
 - Step 10: Reassess strategies and strategic planning process.
- 2.7.10 Four types of strategic approaches evolved over time namely classic strategic planning, procedural strategic planning, communicative strategic planning and soft strategies.⁵⁴⁵
- 2.7.11 Five approaches towards development were conceptualised and implemented over time, namely modernisation, basic needs, public participation, sustainable development and structural adjustment.
- 2.7.12 The implementation of development plans has been intensely evaluated since their introduction after World War Two, which includes the lack of co-ordination between stakeholders and lack of skilled government staff to undertake strategic management.
- 2.7.13 The context and purpose of the initiative determines the sequencing of the strategic management steps, namely:

⁵⁴¹ Todaro, M.P., & Smith, S.C., 2006:520 - 521.

⁵⁴² David, F.R., 2003:5 - 6

⁵⁴³ David, F.R., 2003:5.

⁵⁴⁴ Bryson, J.M., 1995:23.

⁵⁴⁵ Based on Sotarauta's work summarised in Section 2.4.3.6 (b).

(A) Planning Phase

- (i) Initiate and agree on strategic management process;
- (ii) Clarify organisational mandates;
- (iii) Identify strategic issues facing the organisation;
- (iv) Formulate vision and goals;
- (v) Undertake SWOT analysis; and
- (vi) Formulate and adopt strategies to address strategic issues.

(B) Implementation Phase

- (vii) Planning of plan implementation; and
- (viii) Phased implementation.

(C) Control Phase

- (ix) Monitoring;
- (x) Evaluation; and
- (xi) Review.

2.7.14 National states are organised into three levels of government, and internationally strategic planning follows the same arrangements and plan making on these levels follows a strategic management process. Decentralisation caused mismatches in institutional and individual capacity, which needs to be addressed through capacity building models and programmes.

2.8 MEANING OF CHAPTER

In this chapter, key concepts such as strategic planning, strategic management, integrated development planning and capacity building are clarified, the aim of which is to inform a generic model for the strategic management of integrated development planning. This forms the backdrop for the development of a model specifically designed for the study to evaluate the strategic management of integrated development planning of the Provincial Growth and Development Strategy (PGDS) from 1994 to 1996, and municipal integrated development planning from 2000 to 2006.

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CHAPTER THREE

A STRATEGIC MANAGEMENT MODEL FOR INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA AND KWAZULU-NATAL

“They liked the notion of jumping into the story with blind faith, passion and a dream.”¹

- Diony Kempen, South African Film-maker

3.1 INTRODUCTION

This chapter describes the impact of New Public Management on the decentralisation of local government institutions. The unfolding strategic management of integrated development planning in South Africa, sequencing and clarification of the strategic management process are highlighted. The chapter concludes with a model specifically designed for the study to evaluate the strategic management of integrated development planning in KwaZulu-Natal, with specific emphasis on the Provincial Growth and Development Strategy of 1996, and municipal integrated development planning from 2000 to 2006.

3.2 INFLUENCE OF NEW PUBLIC MANAGEMENT

The South African Constitution of 1996 introduced a government system consisting of three spheres of government, namely national, provincial and local², and with that, according to Harrison,³ integrated development planning as the new country-wide planning approach. The new arrangements were in accordance with the New Public Management approach with examples found in European countries where integrated area planning is undertaken.⁴ Robinson, *et. al.*⁵ concluded that the introduction of integrated development planning in South Africa conforms to the international trends away from ad hoc hierarchical planning approaches.

¹ Weekend Witness, 7 July 2007.

² Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108: Section 40; and McKenzie, 2007: 14. During the constitutional negotiations at the beginning of the 1990s, the debate was whether to centralise or federalise the future democratic state. The outcome was a compromise consisting of the nine provinces, where each province should have a provincial government and constitution.

³ Harrison, P., 2001:185.

⁴ Harrison, P., 2001:4 - 5.

⁵ Robinson, P.S., Brown, A.L., Todes, A.E., & Kitchin, F., 2003: 263.

3.3 UNFOLDING STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

3.3.1 Decentralised Institutional Governance Structures

The national sphere of government consists of the National Parliament, comprising the National Assembly and (later on) the National Council of Provinces, totalling between 350 and 400 elected members.⁶

The second or provincial sphere of government consists of nine Provinces.⁷ Provincial Governments were given the responsibility to make provincial laws, for example those matters⁸ indicated in Schedule 4 (Part B) of the Constitution, including provincial planning.⁹ Provinces have concurrent competencies with National Parliament to draft laws in respect of matters specified in Schedule 4 (Part A) of the Constitution, including environment, housing, regional planning and development, and urban and rural development.¹⁰

The third sphere of government or Local Government sphere is in direct contact with communities.¹¹ In accordance with Section 156 and 157 of the Constitution, this sphere of government has, therefore, a developmental role to fulfil,¹² including the provision of basic services, such as water and sanitation, transport systems, housing and electricity to people, and to facilitate local economic development (LED).¹³

From 1994 to 2000 local government institutions were in a phase of transition.¹⁴ During this period KZN had a Metropolitan Council, 61 x Transitional Local Councils (TLCs) and 7 x Regional Councils (RCs).¹⁵ The completion of the transition process culminated in the establishment of a single system of wall-to-wall municipalities for the entire South Africa¹⁶ on 5 December 2000 after the Local Government elections.¹⁷ In total, 6 x

⁶ Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:16 - 17.

⁷ Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:17.

⁸ Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:17.

⁹ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108, Schedule 4 (Part B).

¹⁰ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108, Schedule 4 (Part A).

¹¹ Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:19.

¹² Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:19.

¹³ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108, Section 156 and 157.

¹⁴ Republic of South Africa, Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government:3 - 4.

¹⁵ Republic of South Africa, Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government:142 - 143.

¹⁶ Republic of South Africa, Ministry for Provincial Affairs and Constitutional Development, 1998, The

Metropolitan Municipalities, 47 x District Municipalities (DMs) and 231 x Local Municipalities (LMs) were established country wide. In KZN, the arrangement was mirrored with one Metropolitan Municipality and 10 groups of DMs and 50 LMs. The General Manager: Development Planning (GM:DP), Frikkie Brooks, nick-named the arrangement of a DM with its LMs, “a family of municipalities.”¹⁸

3.3.2 Institutional Functions, Legislation and Policies

3.3.2.1 Strategic Management Responsibilities

Dalal-Clayton, *et. al.* reiterated that different levels of government have different management, planning and operational responsibilities.¹⁹ The manner in which they set out the aforementioned activities equates to strategic management.²⁰ Hence, their observation that the handing-down or shifting of these responsibilities from central to local government requires strategic planning at all levels, could be broadened to encompass strategic management of integrated development planning at all levels or by all three spheres of government in South Africa.²¹ The institutional management model followed in South Africa, according to Harrison, corresponds, generally with the UK model summarised in Table 2.6.

3.3.2.2 National Government Sphere

(A) Parliament

National Parliament’s main role is to formulate policy, developing national standards and norms, and rules and regulations.²² In 1995, for example, the White Paper on the RDP was legislated as the guiding policy to guide the developmental vision and programmes of the state.²³ According to Harrison, the role of integrated development planning as the new planning paradigm was embedded in the RDP White Paper to achieve the aims of the developmental state as he quoted an FEPD document:

*“...the RDP White Paper advocates a major shift towards progressive planning approaches which are integrated, multi-faceted, participatory and long-term.”*²⁴

The prominence of the RDP White Paper became de-tuned with the closure of the

White Paper on Local Government:57 - 80.

¹⁷ Brooks, F.R., 2007.

¹⁸ Brooks, F.R., *circa* 2002.

¹⁹ Dalal-Clayton, B., *et.al.*, 2003:7.

²⁰ Dalal-Clayton, B., *et.al.*, 2003:7.

²¹ Dalal-Clayton, *et.al.*, 2003:7.

²² Department of Public Service and Administration, The Machinery of Government. Structures and Functions, [s.a.]: 15.

²³ Republic of South Africa,1994(b),White Paper on Reconstruction and Development.

²⁴ Harrison, P., 2001:185.

RDP Office in 1996.²⁵ However, the developmental principles of the RDP White Paper are still evident in current policy and legislation.

As progress was made with the transformation of local government into developmental local government, Parliament adopted The White Paper on Local Government of 1998,²⁶ and enacted the following important pieces of legislation, namely the:

- Municipal Structures Act of 1998;²⁷
- Municipal Demarcation Act of 1998;²⁸
- Municipal Systems Act of 2000;²⁹
- Municipal Planning and Performance Management Regulations, 2001;³⁰
- Local Government Municipal Finance Management Act of 2003;³¹ and
- Inter-Governmental Relations Framework Act of 2005.³²

The following legislative requirements impacted directly on integrated development planning:

➤ **Municipal Structures Act of 1998**

The Structures Act determines amongst others, the type of municipalities and the related powers and functions.³³

➤ **Municipal Demarcation Act of 1998**

The Act established the Demarcation Board, which demarcated the new municipal boundaries prior to the LG elections in 2000.³⁴

➤ **Municipal Systems Act of 2000**

The MSA introduced the IDP and organisational performance management for municipalities.³⁵

²⁵ Based on Harrison, P., 2001:185 - 186.

²⁶ Republic of South Africa, 1994(b), White Paper on Reconstruction and Development.

²⁷ Republic of South Africa, 1998(b), Municipal Structures Act, Act 117.

²⁸ Republic of South Africa, 1998(a), Municipal Demarcation Act, Act 27.

²⁹ Republic of South Africa, 2000, Municipal Systems Act, Act 32.

³⁰ Republic of South Africa, 2001, Local Government: Municipal Planning and Performance Management Regulations.

³¹ Republic of South Africa, 2003, Local Government Municipal Finance Management Act, Act 56.

³² Republic of South Africa, 2005, Inter-Governmental Relations Framework Act, Act 13.

³³ Republic of South Africa, 1998(b), Municipal Structures Act, Act 117, Section 9 & 10, & Chapter 5.

³⁴ Republic of South Africa, 1998(a), Municipal Demarcation Act, Act 27 Section 2 & 21 .

³⁵ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Chapter 5 and 6.

➤ **Local Government Municipal Finance Management Act of 2003**

The MFMA introduced performance budgeting aimed at ensuring that municipalities managed their finances appropriately, sustainable and effectively.³⁶

➤ **Inter-Governmental Relations Framework Act of 2005**

The IGR Act formalised IGR between the three spheres of government to address the challenges of consultation, co-ordination and participation.³⁷

(B) National Cabinet

Upon its abolition in 1996, the strategic management of integrated development planning nationally was the responsibility of the RDP Office situated in the Office of the Presidency.³⁸ The RDP Office's most important strategic management decision was the establishment of the Forum for Effective Planning and Development (FEPD) in 1995, with wide ranging responsibilities, such as to define integrated development planning and to spear-head and co-ordinate the drafting of the National Strategic Vision (NSV) and the Provincial Growth and Development Strategies of the Provinces during 1995 and 1996.³⁹

With the closure of the RDP Office, important development planning functions were taken over by the Office of the Presidency, such as the introduction of GEAR in 1996 to replace the NSV⁴⁰ and later on the National Spatial Development Perspective (NSDP).⁴¹

3.3.2.3 National Departments

For Davids, *et.al.*, sectoral Departments are responsible for the formulation, implementation and enforcement of policies and programmes to promote the political objectives and ideologies of government, reflecting socio - economic development goals.⁴² For effective integrated development planning, the Departmental actions are to be aligned and co-ordinated with development plan formulation and implementation.⁴³

Under the RDP, National Departments were members of the FEPD and contributed to the

³⁶ Republic of South Africa, 2003, Local Government Municipal Finance Management Act, Act 56, Chapter 1: Object of Act.

³⁷ Republic of South Africa, 2005, Inter-Governmental Relations Framework Act, Act 13, Chapter 1: Promoting object of Act.

³⁸ Harrison, P., 2001:186.

³⁹ Harrison, P., 2001:186.

⁴⁰ See Chapter Four, Section 4.3.6.5.

⁴¹ The Presidency Republic of South Africa, National Spatial Development Perspective (NSDP), 4 September 2003:3.

⁴² Based on Davids, I., *et.al.*, 2005:53 - 54.

⁴³ Based on Davids, I., *et.al.*, 2005:54.

formulation of integrated development planning guidelines, including its definition:

“ ... a participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and marginalized.”⁴⁴

With the RDP Office managing the co-ordination of the drafting of the NSV and Provincial GDSs, it was expected that National Departments participate and implement their respective inputs.⁴⁵ With the implementation of GEAR, the NSV and National Growth and Development Strategy fell away together with Departments’ responsibilities in this regard.⁴⁶

With the introduction of IDPs in 1996 by the Local Government Transition Act Second Amendment Act, 1996,⁴⁷ and its strengthening through the Municipal Systems Act in 2000, National Departments were required to participate in the formulation and implementation of the plans.⁴⁸ Robinson, *et. al.*, concluded early in the IDP process that vertical integration between municipalities and national and provincial departments was a cause for concern.⁴⁹ The IDP assessments undertaken from 2002 to 2006 in KZN confirmed Robinsons, *et.al.*’s observation that National Departmental participation has to improve exponentially to ensure vertical alignment, including policies, programmes, projects and budgets, between Departments and municipalities.⁵⁰ The implementation of the Intergovernmental Relations Framework Act envisaged the future improvement of Departmental-municipal co-operation.⁵¹

With the RDP Office phased out, the Department of Constitutional Development (DCD),⁵² and its successor, the Department of Provincial and Local Government (DPLG), became the National Department responsible for integrated development planning.⁵³

⁴⁴ KwaZulu-Natal Provincial Cabinet, The Provincial Growth and Development Strategy for KwaZulu-Natal approved as per Resolution No. 236 of 3 July 1996:1.

⁴⁵ See Chapter Four, Section 4.3.1.3.

⁴⁶ See Chapter Four, Section 4.3.1.3.

⁴⁷ Republic of South Africa, 1996, Local Government Transition Act, Section 10D(4)(b).

⁴⁸ Republic of South Africa, 2000, Municipal Systems Act, Act 32:Section 24.

⁴⁹ Robinson, P.S., *et.al.*, 2003:263.

⁵⁰ Department of Traditional and Local Government Affairs, IDP Assessment Report, 2nd Draft, 9 November 2002, p 9; Department of Local Government and Traditional Affairs, (Draft) Report on the Review of 2005/06 Municipal IDPs, 31 January 2006; Department of Local Government and Traditional Affairs, (Draft) KwaZulu-Natal 2006/07 IDP Review Assessment Report. Release 5.1, 7 November 2006, of which all three reports serve as examples on the lack of Departmental participation and alignment during the IDP process from 2001 to 2006.

⁵¹ Republic of South Africa, 2005, Inter-Governmental Relations Act Framework, Act 13, Chapter 1: Promoting object of Act.

⁵² Research File, Decentralised Development Project, Planning for Delivery, [s.a]:14.

⁵³ Research File, Department of Provincial and Local Government, IDP Brochure, [s.a].

A main drive of the DPLG was to develop guidelines for drafting IDPs.⁵⁴ The first set was finalised in 1998⁵⁵ and tested through a municipal pilot programme.⁵⁶ The DPLG responded and a simplified IDP Guide Packs Series of six documents were developed to assist municipalities with formulating IDPs in terms of the MSA in 2001.⁵⁷ The Guide Packs were still in use during the 2006/07 Financial Year for IDP development.⁵⁸

The DPLG assisted with providing IDP assessment guidelines to Provinces to assess the 2001/02 IDP.⁵⁹ In 2005, in collaboration with Provinces, the DPLG conducted IDP hearings based on the district family of municipality basis.⁶⁰ In an effort to improve the quality of IDPs further, the DPLG initiated joint IDP assessments and engagements with Provinces in 2006 to make IDPs more “credible”, based on the IDP Credibility Assessment Framework of March 2006.⁶¹

3.3.2.4 Provincial Government Sphere

(A) KwaZulu-Natal Provincial Legislature

Since 1994 in KZN the DLGH, and its successors, i.e. the DTLGA and DLGTA, were the custodians of municipal integrated development planning.⁶² Annually the KZN Minister for Local Government as political head, reported to Provincial Legislature during the budget speech on the progress with municipal integrated development planning in the Province.⁶³

Senior Departmental officials of the Department report regularly during the financial year to the Portfolio Committee on Local Government, on the progress or lack thereof with integrated development planning.⁶⁴ Items covered include amongst others the progress with the formulation of IDPs, Municipal Organisational Performance Management Systems (OPMSs), Municipal Capacity Building initiatives in support of municipal integrated development planning, and transfer and municipal expenditure of conditional grant funding.⁶⁵

⁵⁴ Research File, Decentralised Development Project, Planning for Delivery, [s.a.]:8 -9.

⁵⁵ Research File, Integrated Development Planning: The Way Forward, 23 February 1998:1.

⁵⁶ Research File, Decentralised Development Project, Planning for Delivery, [s.a.]:8 -9.

⁵⁷ Department of Provincial and Local Government, Six IDP Guide Packs.

⁵⁸ Research observation.

⁵⁹ This support was rendered in the form of a standardised Municipal IDP Assessment/ Evaluation Framework.

⁶⁰ Research File, Department of Local Government and Traditional Affairs/DPLG, 2005 IDP Hearings (Panel Reports).

⁶¹ Research File, IDP Credibility Assessment Framework and IDP Road Map, 2006.

⁶² Research File, Proposed Organisation of the Department of Local Government and Housing:1 - 18; The MSA, No 32 of 2000, confirms this as a responsibility of the Provincial Local Government Departments.

⁶³ Brooks, F.R., 2007.

⁶⁴ Brooks, F.R., 2007.

⁶⁵ Brooks, F.R., 2007.

(B) KwaZulu-Natal Provincial Cabinet

In 1994 a Provincial Parliament, Cabinet and 12 Departments were established to govern KZN.⁶⁶ At the time a political decision was taken to administer the Province from both Pietermaritzburg and Ulundi,⁶⁷ until it was resolved in 2002 that Pietermaritzburg would be the Provincial capital.⁶⁸

The KZN Provincial Parliament consists of 80 members, elected by voters on a political party proportional basis.⁶⁹ In 1994 the Provincial Cabinet consisted of a Premier and 9 Ministers.⁷⁰ The Ministries were as follows:⁷¹

- Premier and Minister of Finance;
- Works;
- Traditional and Environmental Affairs, and Safety and Security;
- Social Welfare and Population Development;
- Education and Culture;
- Local Government and Housing;
- Agriculture;
- Economic Affairs and Tourism; and
- Roads, Transport and Traffic Control; and Health.

The KZN Provincial Cabinet determines the provincial laws and policies,⁷² and as a result approved the formulation, implementation and control of the PGDS.⁷³ During the RDP Office period of 1994 to 1996, amongst others, a RDP related Cabinet Committee was established to manage the implementing of the RDP in KZN.⁷⁴

The lack of the adoption of the draft reviewed PGDS and the finalisation of an implementation structure by the end of 2006, still hampers the effective strategic management of integrated development planning in KZN.⁷⁵ Instead, the Provincial Spatial Economic Development Strategy (PSEDS), adopted by Cabinet in October 2006, determines where the future provincial priority areas and related departmental and municipal expenditure should occur for economic development purposes.⁷⁶

⁶⁶ Resource File, Department of the Premier, KwaZulu-Natal. A Profile. April 1997:1 - 2.

⁶⁷ Resource File Department of the Premier, KwaZulu-Natal. A Profile. April 1997:1.

⁶⁸ The Witness, 1 July 2005.

⁶⁹ KwaZulu-Natal Provincial Administration, Office of the Premier, Directorate: Human Resource Development, Orientation and Re-orientation Course Manual, 2005:13 & 16.

⁷⁰ Resource File, Department of the Premier, KwaZulu-Natal. A Profile. April 1997:1.

⁷¹ Resource File, Department of the Premier, KwaZulu-Natal. A Profile. April 1997:1.

⁷² KwaZulu-Natal Provincial Administration, Office of the Premier, Directorate: Human Resource Development, Orientation and Re-orientation Course Manual, 2005:13.

⁷³ See Chapter Four, Five and Six of this study.

⁷⁴ KwaZulu-Natal, DLGH, PSE File 15/8/2, Vol. 1., Draft Report: Workshop on Development Planning, 14 to 16 May 1995, Annexure 16.3: KwaZulu-Natal, p 1.

⁷⁵ Brooks, F.R., 2007.

⁷⁶ KwaZulu-Natal, Provincial Spatial Economic Development Strategy (PSEDS), October 2006; and Brooks, F.R., 2007.

(C) Provincial Sectoral Departments

In 1994, the former Natal Provincial Administration (NPA) and the then Kwazulu Government were disbanded and reorganised into 12 Provincial Departments.⁷⁷

The Departments, listed in Table 3.1 hereunder, and their successors, were, and still are guided by the Provincial Director-General (DG) with respect to aspects transversal to all Departments.⁷⁸ The co-ordinating mechanism established to manage this responsibility is the Management Executive Committee (MEXCO), of which all Heads of Departments (HoDs) were members.⁷⁹

The respective purpose and role⁸⁰ of the Departments are also referred to, in an attempt to give an understanding of how they could participate in the strategic management of integrated development planning in the Province.

TABLE 3.1: KWAZULU-NATAL PROVINCIAL GOVERNMENT DEPARTMENTS: PURPOSE AND ROLE, 1994

Department	Purpose and Role
Premier	Committed to providing and promoting efficient and effective Public Sector Governance within KZN.
Agriculture	To foster an improvement in the quality of life and promote the development of a progressive and prosperous agricultural community by promoting the implementation of appropriate economically viable and environmentally responsible production systems.
Economic Affairs and Tourism	To promote, facilitate and co-ordinate the socio-economic development of the people of KZN within the guiding policies and strategies set by the RDP.
Education and Culture	To create an effective and efficient education system by developing and nurturing professional expertise and administrative competence.
Finance and Auxiliary Services	To ensure the effective formulation of financial and fiscal policies and to provide auxiliary services for the Province.
Health	To provide comprehensive health care service that includes primary health care, provision of clinics,

⁷⁷ Resource File Department of the Premier, KwaZulu-Natal. A Profile. April 1997:2.

⁷⁸ Resource File Department of the Premier, KwaZulu-Natal. A Profile. April 1997:2 and KwaZulu-Natal Provincial Administration, Office of the Premier, Directorate: Human Resource Development, Orientation and Re-orientation Course Manual, 2005:18 - 19. Here is indicated that KZN had 14 Departments with 11 Ministries. The Revised Executive Council Manual, 2004:2 & 29 reflected that 11 Ministries were introduced after the Provincial level 2004 elections.

⁷⁹ KwaZulu-Natal Provincial Administration, Office of the Premier, Directorate: Human Resource Development, Orientation and Re-orientation Course Manual, 2005:20

⁸⁰ Resource File Department of the Premier, KwaZulu-Natal. A Profile. April 1997:2 - 5.

	hospitals, ambulance and related services.
Local Government and Housing	To promote, facilitate and manage the institutional, infrastructural and social development of communities; to facilitate provision of affordable housing; to promote security of land tenure and orderly land usage; and to promote and manage integrated development planning.
Safety and Security	To create a safe and secure environment for all people.
Social Welfare and Population Development	To provide, promote and develop a comprehensive, people-controlled, social welfare service to the community in order to maximise the inherent potential of every individual.
Traditional and Environmental Affairs	To promote traditional customs and indigenous law; facilitate physical development of tribal areas; protect the environment and promote nature conservation.
Transport	To provide and manage a safe, efficient and effective land transport system for the benefit of the public and the economy through innovative approaches.
Works	To satisfy the official accommodation needs of all Departments and to promote development opportunities.

Source:

Department of the Premier, KwaZulu-Natal. A Profile, April 1997:5 - 6.

Provincial Departments played a major role in the formulation of the PGDS from 1994 to 1996.⁸¹ The DoP, DLGH and DEAT provided capacity for its implementation during 1996 to 2000.⁸² The OoP led the initiative to review the PGDS of 1996, from 2000 to 2004.⁸³ In 2004, the Cabinet adopted the draft reviewed PGDS, but it was never implemented during the period covered by this study.⁸⁴

The DLGTA has aligned its programmes and budget since 1996 to support the drafting and implementing of the PGDS and municipal IDPs.⁸⁵ During 2006, the DLGTA was still supporting municipalities with integrated development planning capacity building programmes focussing on inputs such as the drafting of IDP guidelines, technical planning advice, training, appointment of development

⁸¹ Chapter Four of the study deals with the formulation of the PGDS.

⁸² Chapter Five of the study deals with the implementation of the PGDS.

⁸³ The researcher is in possession of a set of the PGDS review documents covering the review period. In view of the comprehensive nature of the material the review process is excluded from this study.

⁸⁴ The Revised PGDS was presented at a provincial wide Road Show to Departmental representatives in 2004. However, thereafter the policy document was not implemented by Departments by the end of 2006.

⁸⁵ Brooks, F.R., 2007.

planners, and town and regional planners, as well as grant funding.⁸⁶

From a monitoring and evaluation perspective, the Department assessed the 2001/02 IDPs and their subsequent reviews required by the MSA.⁸⁷ In all, the Department's Municipal IDP support programme fulfilled the Constitutional obligation, that provinces should support municipalities to enable them to undertake their development responsibilities.⁸⁸

(D) Local Government Sphere

Constitutionally, municipalities are obliged to be developmental or to ensure sustainable development of communities living in their areas of jurisdiction.⁸⁹ The provision of basic services, based on BNA, and LED programmes are fundamental pillars of this integrated approach to development.⁹⁰ The IDP is the management and planning instrument to achieve the developmental goals and objectives of municipalities.⁹¹

The DTLGA/DLGTA and KZN Municipalities were in constant communication on the formulation of IDPs and jointly agreed, with the DPLG as a third partner, on how IDPs and subsequent Reviews and assessments should be undertaken from 2002 to 2006.⁹² Through the Municipal IDP Support Programme Municipalities in KZN were supported and encouraged to appoint IDP managers, and draft and review their IDP in-house.⁹³

3.4 KEY STRATEGIC PROCESSES IN THE MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

3.4.1 Strategic Management Process

The strategic management framework described in the abovementioned Section 3.3, demonstrates that within each sphere of government, strategic management is undertaken

⁸⁶ See Chapters Seven, Eight and Nine of this study that covers the strategic management of integrated development planning in KZN.

⁸⁷ Department of Traditional and Local Government Affairs, IDP Assessment Report, 2nd Draft, 9 November 2002:9; Department of Local Government and Traditional Affairs, (Draft) Report on the Review of 2005/06 Municipal IDPs, 31 January 2006; and Department of Local Government and Traditional Affairs, (Draft) KwaZulu-Natal 2006/07 IDP Review Assessment Report. Release 5.1, 7 November 2006, of which all three reports serve as examples of the ongoing assessments of IDPs from 2002 to 2006.

⁸⁸ Based on Department of Public Service and Administration, The Machinery of Government. Structure and Functions of Government, [s.a.]:18.

⁸⁹ A. Sekhesa, 2007.

⁹⁰ Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government:23 - 25.

⁹¹ Ministry for Provincial Affairs and Constitutional Development, 1998, The White Paper on Local Government:27 - 28

⁹² Brooks, F.R., 2007.

⁹³ Brooks, F.R., 2007.

in a cascading manner to achieve specific integrated development planning results. An example is the implementation of the RDP White Paper through the proposed NSV and Provincial Growth and Development Strategies in the mid-nineties. From the literature review, the conclusion is that the strategic management processes on the three levels are in essence similar to that described in Chapter Two, Section 2.6.3. The context and purpose of the initiative determines the sequencing of the strategic management steps.

3.4.2 Sequencing of Strategic Management Process

The generic strategic management process was developed in Chapter Two and is used as basis to develop a Model for the Strategic Management of Integrated Development Planning in KZN.

(A) Planning Phase

- (i) Initiate and agree on strategic management process;
- (ii) Clarify organisational mandates;
- (iii) Identify strategic issues facing the organisation;
- (iv) Formulate vision and goals;
- (v) Undertake SWOT analysis; and
- (vi) Formulate and adopt strategies to address strategic issues.

(B) Implementation Phase

- (vii) Planning of plan implementation; and
- (viii) Phased implementation.

(C) Control Phase

- (ix) Monitoring;
- (x) Evaluation; and
- (xi) Review.

3.4.3 A Strategic Management Model for Integrated Development Planning in KwaZulu-Natal

3.4.3.1 A Coherent Model

In this section the management component, phases, steps, activity and evaluation criteria are integrated to form a coherent Strategic Management Model reflected in Table 3.2 for the purpose of analysis, evaluation and recommending on the dynamic and ever unfolding KZN integrated development planning process from 1996 to 2006 discussed in Chapters 3 - 9.

TABLE 3.2: MODEL FOR STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING: KWAZULU-NATAL PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY AND STRATEGIC MUNICIPAL INTEGRATED DEVELOPMENT PLANNING

Strategic Management Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process: The Communicative turn in strategy formulation requires prior agreement on the strategic management process and the involvement of key stakeholders in KZN. Government Departments and institutions, and individuals within, initiate the process by deciding on a strategic management process and who should be invited to participate. Written agreements are desirable, but not always secured, to ensure commitment during the planning phase. Resources for the entire strategic process should be available at commencement of the strategic initiative. A dedicated management team is to be appointed to manage the process in accordance with project management practices.
	2	Clarify organisational mandates: Formal and informal mandates are the minimum prescripts informing the strategic planning process of KZN Government Departments and institutions. Formal mandates are found in applicable national and provincial legislation and contracts. Informal mandates are found in the political decisions affecting KZN Departments and institutions.
	3	Identify strategic issues facing the organisation: Strategic issues focus Provincial Government on what is important for it to be a developmental agent.
	4	Formulate vision and goals: A vision is an expression of what Provincial Government wants for itself, municipalities and other stakeholders.
	5	Undertake SWOT analysis: The environment inside and outside Provincial Government should be explored to identify Strengths, Weaknesses, Opportunities and Threats. A definite balance should be struck by not over-emphasising threats at the cost of opportunities.
	6	Formulate and adopt strategies to address strategic issues: As a plan, a strategy is a deliberate course of action or guideline to address a specific developmental situation. Provincial strategies are developed in advance and with a specific purpose to achieve a desired outcome.
Implementation	7	Planning of plan implementation: Prior to plan implementation, Provincial Government undertakes planning for plan implementation. Provincial strategies are converted into a series of actions or tasks to realise the objectives of the strategic plan. This process results in a series of action plans containing at least the following aspects, namely roles and responsibilities of managing committees and individuals;

		objectives, milestones and actions steps; resource requirements; and control measures.
	8	Phased implementation: The action plans drafted during the planning of plan implementation step are managed into action, or operationalised to achieve the wanted results in practice. The correct application of project management practices must be followed for achieving success.
Control	9	Monitoring: Monitoring is the collection of data on economic, social and environmental information and/or to measure performance with programme or project implementation. Monitoring tools are budgets and specifically designed monitoring schedules. The monitoring process consists of four general steps, namely, to set performance standards, measure real time performance, identify deviations from standards set, and initiate corrective measures.
	10	Evaluation: Evaluation is the appraisal of the performance or quality of a plan, programme or project informed by the date or other information collected during monitoring. Two types of evaluation exist, i.e. on-going evaluation and ex-post evaluation. On-going evaluation is undertaken during implementation and corresponds generally, but not always, with the end of project phases. On-going evaluation should result in immediate corrective action. Ex-post evaluation takes place after the completion of a plan, programme or project for learning purposes.
	11	Review: The information gathered feeds into the review and/or the adjustment of development plans, strategies and project implementation and action plans.

3.4.3.2 Key to Strategic Management Model

For ongoing orientation, easy reading and saving space in the subsequent chapters, the Model is simplified into what is called a Key to Strategic Management Model (or the Key) containing the following elements as illustrated in Table 3.3.

TABLE 3.3: KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

3.5 KWAZULU-NATAL AS AREA OF APPLICATION OF STRATEGIC MANAGEMENT MODEL

3.5.1 Locality and Description

This section is based on A Profile Analysis of KZN of 2004.⁹⁴ Under the heading, The Province and People, it is stated that KZN is one of South Africa's nine provinces and located on the Indian Ocean, forming part of the East Coast.⁹⁵ The topography varies from a sub-tropical coast line, savannah in the east and the Drakensberg mountain range in the west, bordering Lesotho.⁹⁶

The Province is home to 21% of the country's total population, although it is the third smallest Province in South Africa.⁹⁷ The Census of 2001 indicated that KZN is predominantly Black, with Blacks making up 85 % of the population of 9.4 million.⁹⁸ The Indians make up 8.5%, Whites 5.1% and Coloureds 1.5%. KZN is a rural province with 54% of the population residing in rural areas.⁹⁹

White, Coloured and Indians live mainly in the Province's urban areas, with Blacks mainly in the rural areas.¹⁰⁰ The rural areas are characterised by scattered settlements with high densities, high levels of malnutrition and poverty,¹⁰¹ and a lack of infrastructure.¹⁰²

The dependency ratio is high with 3.3 million people 15 years and younger and 437 000, 65 years and older.¹⁰³ The dependency is bigger when the large number of unemployed is taken into account, namely +- 1.5million and +- 470 000 disabled.¹⁰⁴

3.5.2 Development Status Quo

Table 3.4 gives a birds' eye view of the development status of KZN in 1996, the year in which the PGDS was adopted. The development challenges faced by the KZN Provincial Government were daunting as these statistics of the early nineties revealed.

⁹⁴ KwaZulu-Natal Province, A Profile Analysis, April 2004 and adopted by the KZN MEXCO on 6 May 2004.

⁹⁵ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

⁹⁶ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

⁹⁷ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

⁹⁸ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

⁹⁹ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

¹⁰⁰ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

¹⁰¹ KwaZulu-Natal Province, A Profile Analysis, April 2004:4. In the rural areas up to 74% of the population lives on incomes below the poverty line.

¹⁰² KwaZulu-Natal Province, A Profile Analysis, April 2004:3.

¹⁰³ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

¹⁰⁴ KwaZulu-Natal Province, A Profile Analysis, April 2004:2.

TABLE 3.4: KWAZULU-NATAL DEVELOPMENT OVERVIEW, 1996

Area	91 480 km ²	Population	8.5 million
Population density	93.5 persons per km ²	Nominal GGP (1991)	R 41 467.4 million
Labour force (1993)	2.83 million	Unemployment rate (1994)	32.2%
Labour absorption capacity (1991)	44.8%	Male absenteeism rate	-14.5%
Labour force participation rate (1991)	53.6%	Dependency ratio	2.3 persons
Income per capita	R 5 924	Life expectancy rate	62.6 years
Functional urbanisation	77.9%	HDI	0.602
Literacy rate (1991)	58.7%	No access to electricity (rural areas)	75.9%
Non-school attendance rate (1991)	11.3%	No access to piped water (rural areas)	69.4%

Source:

Moller, V., 1996:14.

With the institutional mechanisms in place and KZN as the geographic area of focus specified and described, the scene is set to apply the Strategic Management Model in the study.

3.6 APPLICATION OF STRATEGIC MANAGEMENT MODEL IN STUDY

The Model is applied to evaluate the strategic management of two KZN Provincial wide programmes, namely the:

- (a) KZN Provincial Growth and Development Strategy (PGDS) from 1994 to 2000 in Part B, incorporating Chapters Four to Six; and;
- (b) KZN municipal integrated development planning from 2000 to 2006 set out in Part C and D, which includes Chapters Seven to Nine.

Chapter Ten in Part E deals with the verification of the hypotheses, lessons learnt, contribution to international theoretical thinking and recommendations.

3.7 CONCLUSIONS

From the literature review the following is concluded regarding the South African evolving governance system, strategic management model for South Africa and KZN, development challenges faced in KZN and the application of the Model in KZN, namely that:

- 3.8.1 The South African Constitution of 1996 introduced a federal governance system consisting of three spheres of government, namely national, provincial and local,¹⁰⁵ and integrated development planning as the new country-wide planning

¹⁰⁵ Republic of South Africa, 1996, The Constitution of the Republic of South Africa , Section 40.

approach.¹⁰⁶

- 3.8.2 Robinson, *et. al.*¹⁰⁷ concluded that the introduction of integrated development planning in South Africa conforms with the international trend away from ad hoc hierarchical planning approaches.
- 3.8.3 The Constitution allocates respective roles and responsibilities to the three spheres of government.
- 3.8.4 Within the national sphere of government the institutional bodies are the National Parliament, Cabinet and Government Departments.
- 3.8.5 In the provincial sphere of government the following governance bodies exist, namely the Provincial Legislature, Cabinet and Departments.
- 3.8.6 In the local sphere of government District and Local Municipalities were established.
- 3.8.7 A coherent Strategic Management Model could be developed consisting of the following elements depicted in the Key to the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

- 3.8.8 The KZN Development Overview of 1996 reflected various backlog statistics posing challenges for the KZN Provincial Government to address through the application of the Model.
- 3.8.9 The Model would be applied to evaluate the strategic management of the:
- 3.8.9.1 KZN Provincial Growth and Development Strategy (PGDS) from 1994 to 2000 in Part B, incorporating Chapters Four to Six; and

¹⁰⁶ Harrison, P., 2000:17.

¹⁰⁷ Robinson, P.S., *et.al.*, 2003:263.

3.8.9.2 KZN municipal integrated development planning from 2000 to 2006 set out in Part C and D, which includes Chapters Seven to Nine.

3.8.10 Chapter Ten in Part E would deal with the verification of hypotheses, lessons and recommendations.

3.9 MEANING OF CHAPTER

This chapter highlighted the fundamental impacts of New Public Management (NMP) on government institutions. The generic strategic management process could be linked to the unfolding strategic management of integrated development planning in South Africa. Therefore, it is possible to develop a strategic management model for the study to evaluate the strategic management of integrated development planning in KwaZulu-Natal suited for the Provincial Growth and Development Strategy (PGDS) of 1996 and municipal integrated development planning from 2000 to 2006. The application of the Strategic Management Model related to the PGDS is found in Chapters Four to Six, and for the municipal integrated development planning process in Chapters Seven to Nine.

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PART C: PROVINCIAL STRATEGIC MANAGEMENT

CHAPTER FOUR

PLANNING OF PROVINCIAL STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING

“What is civilization (or planning)? It is a bundle of ideas and its character depends on the quality of ideas on which it is based. Such ideas are, for example ... order, compassion ... and the pursuit of truth ... Civilisation (or planning) will not perish but will change its form and will construct a new society based on these ideas, which make the difference between (the quality of peoples lives)”¹

- W. McGrath, Witness Reader

4.1. INTRODUCTION

The focus of the chapter is on the planning phase of provincial strategic management of integrated development planning. The six steps of the strategic planning phase are highlighted, supported with information that the planning of the KwaZulu-Natal Provincial Growth and Development Strategy was undertaken in accordance with each of these steps. Under each stage of the strategic planning phase a performance evaluation is undertaken and recommendations made.

4.2 PLANNING PHASE

4.2.1 Focus of Strategic Management Model

The focus is on the **planning phase** of the Model in relation to the drafting of the KZN PGDS from 1994 to 1996 and is highlighted on the Key:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation

¹ The Witness, 1 June 2005. My adaptation of McGraths' view.

4.2.2 Evaluation Methodology

Under each strategic management step the Model requirements are repeated as set out in Chapter 3, Section 3.4, actions taken to meet the specific step requirements are described, evaluated and recommendations made with the aim of answering the following evaluation criteria:

“How and to what extent did the planning (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic planning step in this chapter are repeated or listed again in Chapter Ten, with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

4.3 STEPS OF STRATEGIC PLANNING PHASE

4.3.1 Step One: Initiate and agree on Strategic Management Process

The Key highlights the *“Planning Phase: Step 1”* of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

4.3.1.1 Strategic Management Model Evaluation Criteria

The Communicative approach in strategy formulation requires prior agreement on the strategic management process and the involvement of key stakeholders in KZN. Government Departments and institutions, and individuals within, initiate the process by deciding on a strategic management process and who should be invited to participate. Written agreements are desirable, but not always secured to ensure commitment during the planning phase. Resources for the entire strategic process should be available at commencement of the strategic initiative. A dedicated management team is to be

appointed to manage the process in accordance with project management practices.

4.3.1.2 Initiate and agree on Strategic Management Process

For the strategic management process to commence, agreement had to be reached both on a national² and provincial³ level between stakeholders. On the national level this was achieved at the Forum for Effective Planning and Development (FEPD).⁴ In KZN the Regional Economic Forum (REF) was used for this purpose.⁵

(A) National agreement

Mabin, *et.al.*, sketched the KZN provincial backdrop to the formulation of the PGDS as follows:

*“The amalgamation of KwaZulu and Natal in 1994 provided the first real opportunity for genuinely integrated development planning to be undertaken on a provincial scale. It was from the Regional Economic Forum (REF) and from the (DoP) that provincial initiatives to develop strategies for economic growth and social development began to cohere. The labour and business lobbies represented on the REF recognised the need to formulate common strategies for economic growth and development, and proposals in this regard were tabled.”*⁶

On a national level, the RDP Office and Provinces, including KZN, used the Forum for Effective Planning and Development (FEPD)⁷ to work together on the development of a nation-wide medium term development planning system.⁸

The intention was to put such a national system in place within eighteen months⁹ commencing from 27 March 1995, when the FEPD Technical Committee took a resolution to this effect.¹⁰ The main reason for the 18 month period, which would end in November 1996 was that the planning process contribution for the first multi-year budget 1997/98 could be made:¹¹

“... the Department of State Expenditure have indicated that in order to impact on

² DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995, p 1.

³ Mabin, A., Harrison, P., & Williamson, A.,2000:39.

⁴ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995:1; and Mabin, A, *et.al.*, 2000:39.

⁵ Mabin,A, *et.al.*, 2000:39.

⁶ Mabin, A, *et.al.*, 2000:39.

⁷ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995:1; and Mabin, A, *et.al.*, 2000:39.

⁸ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:3.

⁹ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:8.

¹⁰ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995:1.

¹¹ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Draft Report: Workshop on Development Planning, Centurion Lake Hotel, 14 to 16 May 1995, Annexure 3. Key Note Address: Mr. Jay Naidoo (Minister without Portfolio):10.

the 1997/98 budget(,) initial provincial plans should be completed by the end of December 1995.”¹²

Integral to the national planning system was for Provinces to integrate sectoral planning,¹³ link visions with programmes and budgets, as well as to develop¹⁴ and link national plans.¹⁵

The provincial plans were to be based on a systematic link of planning actions, or in the researcher’s view, the classical strategic planning process, namely:¹⁶

- Vision and goal setting;
- Policy and strategy formulation;
- Development of programmes and projects;
- Articulation of programmes and projects into budgets; and
- Performance monitoring.

During the development of the integrated development planning system public participation, local economic development, and linking planning and community needs to the budget were crucial aspects.¹⁷

The national strategic planning framework would contain a long-term national vision¹⁸ (i.e. a National Strategic Vision (NSV),¹⁹ including goals and critical success factors, macro-economic and expenditure guidelines, priority focus areas, define intergovernmental relationships, and set guidelines for the utilisation of government resources.²⁰

From Provinces, including KZN, it was required that they each determine a three

¹² KwaZulu-Natal, DLGH PSE File15/8/2, Vol. 3. Draft Agenda FEPD meeting, 3 July 1995, Annexure 6: 5; and KwaZulu-Natal, DLGH PSE File15/8/2. Vol.2. Memorandum to Town and Regional Planning Commission, 21 July 1995:8.

¹³ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995:1. Sectoral planning includes economic, social, physical and financial planning.

¹⁴ My addition and interpretation of the process.

¹⁵ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Letter from DDG: Office of the Minister without Portfolio to Director: General KZN, 20 April 1995:1.

¹⁶ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.2. Memorandum to Town and Regional Planning Commission, 21 July 1995:8; KwaZulu-Natal, KwaZulu-Natal, DLGH PSE File15/8/2. Vol. 2. FEPD Draft Agenda meeting, 17 July 1995, Annexure 6: Draft Business Plan for support to Development Planning in Provinces:1 - 2; and KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:6.

¹⁷ KwaZulu-Natal, DLGH PSE File15/8/2. Vol. 2. FEPD Draft Agenda meeting, 17 July 1995, Annexure 6: Draft Business Plan for support to Development Planning in Provinces:1 - 2; and KwaZulu-Natal, DLGH PSE File15/8/2. Vol.2. Memorandum to Town and Regional Planning Commission, 21 July 1995:8.

¹⁸ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:2.

¹⁹ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Draft Report: Workshop on Development Planning, Centurion Lake Hotel, 14 to 16 May 1995, Annexure 3. Key Note Address: Mr. Jay Naidoo (Minister without Portfolio):25.

²⁰ KwaZulu-Natal, DLGH PSE File15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:3.

year programme, including a spatial plan, as well as an annual business plan.²¹ The provincial plan was to cover all the constitutional competencies of provinces and municipalities.²² In this way, development plans must form the basis of all budgeting, or development planning was the starting point for all budgeting.²³

(B) Provincial agreement

Prior to the FEPP development strategy process, the KZN Regional Economic Forum (REF) emerged in the early nineties as the key provincial negotiator on a future economic development strategy in KZN.²⁴ The REF was ideally positioned to undertake such a conciliatory role as it had been established during the politically unstable transitional period to find consensus amongst business, labour, civil society and government regarding future economic and development policy.²⁵ At a consultative workshop in November 1994, the DoP and the REF jointly initiated the formulation of a coherent provincial growth and development strategy for KZN.²⁶

(C) Management activities

The management activities consisted of the allocation of the responsibility of the formulation of the PGDS to the DEAT and REF in December 1994.²⁷ Thereafter, the Provincial Development Planning Management Committee (PDPMC) was established to undertake the actual drafting of the PGDS.²⁸ A three phased approach was followed to draft the KZN PGDS.²⁹

(i) Political mandate

On 14 December 1994,³⁰ the KZN Provincial Government gave the task of compiling the Provincial Development Policy/Strategy, as the PGDS was first

²¹ KwaZulu-Natal, DLGH PSE File 15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:3.

²² DLGH PSE File 15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995:3.

²³ KwaZulu-Natal, DLGH PSE File 15/8/2. Vol.1. Naidoo and Fanarof presentation, 3 March 1995, p 5.

²⁴ Mabin,A, *et.al.*, 2000:39.

²⁵ Mabin,A, *et.al.*, 2000:39.

²⁶ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Progress on issues identified for action from the KwaZulu-Natal Economic Workshop held on 7 & 8 November 1994:1.

²⁷ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter G. Coleman and R.Persad to N.P.Fox, 12 September 1995:1; KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 2. Memorandum to Cabinet, 15 September 1995:1 & 15; and KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. KwaZulu-Natal: Provincial Development Strategy (Copy-typed version), 28 July 1995:1.

²⁸ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter from Ministry of Economic Affairs and Tourism to Provincial Line Departments, 23 August 1995:2; and KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):6.

²⁹ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

³⁰ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter G. Coleman and R.Persad to N.P.Fox, 12 September 1995:1; and KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 2. Memorandum to Cabinet, 15 September 1995:1 & 15.

known, to the DEAT and the REF.³¹

(ii) Provincial Development Planning Management Committee managed the KwaZulu-Natal Provincial Growth and Development Strategy

The Interdepartmental RDP Co-ordinating Committee approved the organisational structure for guiding and managing the task of formulating the PGDS on 21 August 1995.³² The Committee was hierarchical in nature: the Management Team was responsible for managing the process of drafting the PGDS by finding agreement on the project brief, monitoring the work progress and providing strategic guidance to the Policy and Strategy Drafting Team.³³

The Management Team, in turn, was eventually accountable to the RDP Cabinet Committee.³⁴ The Management Team was renamed and was henceforth known as the PDPMC.³⁵ All HoDs were invited to nominate Departmental representatives for the first meeting scheduled for 31 August 1995.³⁶

Attendance at the first meeting of the PDPMC on 31 August 1995, were as follows: Departments: Works, Transport, DLGH, Premier, Traditional and Environmental Affairs, Economic Affairs and Tourism; and others: Regional Economic Forum (REF), Regional Consultative Forum on Rural Development, National Business Initiative (NBI) and National RDP Office.³⁷

The Technical Committee was made up of specialists, from bodies which could make a contribution to the drafting of the PGDS, such as existing provincial government structures, para-statals (such as Eskom and Telkom)³⁸, as well as academic institutions,³⁹ (such as the University of Natal).⁴⁰ Any specialists from the private sector could be co-opted to the team to add value to the document.⁴¹ The REF was tasked to make sure that civil society would be

³¹ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. KwaZulu-Natal: Provincial Development Strategy (Copy-typed version), 28 July 1995:1.

³² KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter from Ministry of Economic Affairs and Tourism to Provincial Line Departments, 23 August 1995:2.

³³ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):6.

³⁴ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):6.

³⁵ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter from Ministry of Economic Affairs and Tourism to Provincial Line Departments, 23 August 1995:1.

³⁶ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Letter from DEAT to Provincial Line Departments, 23 August 1995:3.

³⁷ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1. Minutes of the 1st meeting of the PDPMC, 31 August 1995:1.

³⁸ My insertion.

³⁹ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1, KwaZulu-Natal: Provincial Development Strategy (Copy-typed version), 28 July 1995:5.

⁴⁰ My insertion.

⁴¹ KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1, KwaZulu-Natal: Provincial Development Strategy

involved through workshops, to reach consensus on needs to be reflected in the Strategy.⁴²

(iii) Immediate advantages of process

The drafting of the proposed PGDS enabled a process whereby political differences between the ANC and the IFP could be set aside, and the common goal of the up-liftment of the majority poor people in KZN be given priority.⁴³ The process also enabled officials serving under the ex-NPA, former KwaZulu territory and appointed from outside,⁴⁴ for example officials from the REF and DEAT and the DLGH, to work together in the (Multi-sectoral) Steering Committee guiding the PGDS drafting process.⁴⁵ The PGDS contributed to the co-operation between the DEAT and DLGH, which were allocated to political heads from the two major opposition parties in KZN.⁴⁶

(iv) A three phased approach

The PDPMC adopted a three phased approach to draft the provincial policy and development strategy,⁴⁷

*“...because it (will allow) decision makers to build up and adopt a development strategy in a logical sequential manner ... and (to) use ... quality information and specialist input for fast track decision making.”*⁴⁸

This approach could guarantee the facilitation of the integration of the Province’s needs and available resources into the national processes for the formulation of the country’s Development Strategy, as well as to ensure the allocation of resources to achieve the optimal impact for interim KZN Provincial programmes and projects.⁴⁹

The three phases were the following:⁵⁰

- **Phase 1:** The drafting of the Provincial Development Perspective, comprising several elements, such as the preparation of a Matrix of Basic Needs and the

(Copy-typed version), 28 July 1995:5.

⁴² KwaZulu-Natal, DLGH PSE File 15/8/3, Vol. 1, KwaZulu-Natal: Provincial Development Strategy (Copy-typed version), 28 July 1995:5.

⁴³ Mabin, A., *et.al.*, 2000:39.

⁴⁴ Sekhesa, A., 2007.

⁴⁵ Mabin, A., *et.al.*, 2000:39.

⁴⁶ Mabin, A., *et.al.*, 2000:39.

⁴⁷ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

⁴⁸ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

⁴⁹ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

⁵⁰ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

formulation of an integrated Provincial Development Strategy for KZN.⁵¹

- **Phase 2:** Based on the Development Perspective, the identification of a development strategy by identifying targeted interventions by stakeholders such as government, business, labour and service providers⁵²; and⁵³
- **Phase 3:** This phase was the test of success of the Strategy, namely, to integrate the Development Strategy into the activities of Government Departments as the basis for re-prioritisation of Government expenditure.⁵⁴ This phase deals in essence with the implementation of the PGDS and is discussed in Chapters Five and Six.

4.3.1.3 Evaluation and Recommendations

(A) Evaluation

The drafting of the PGDS was a new dawn for planning and development in KZN. Not only was it aimed at integrating the former Natal Province and the ex-KwaZulu territory from a planning perspective, but it was to be an instrument to pool the scarce human and financial resources of the Province to ensure economic direction, growth and development of the people living in KZN. In this manner, the PGDS had the potential to uplift and improve quality of life for millions living in poverty, and to ensure the Province's economic competitiveness locally and abroad.

The communicative strategic approach towards the formulation or planning of the PGDS made the Strategy an instrument for co-operative governance between the spheres of government. The establishment of the multi-sectoral PDPMC was the institution where governance relations could be fostered in the first ever attempt in KZN to undertake provincial-wide planning and development, based on the development planning approach, as required by the Constitution. The PGDS offered Departments the "open-ended opportunity" to undertake development programmes and projects in accordance with the principles and practices of integrated development planning.

In the era of public participation, the KZN Provincial Government was forced to solicit, at additional cost and time, the support of civil society to formulate the Strategy for KZN. In view of the divisive past, the REF was ideally positioned to undertake a crucial facilitation role. The REF's dedication was successful,

⁵¹ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

⁵² KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

⁵³ For purposes of the study, each constituent part or document resultant from Phase 1 and 2 are discussed separately in the rest of the chapter to demonstrate that the strategic planning phases of the Model were followed during the plan formulation phase.

⁵⁴ KwaZulu-Natal, DLGH PSE File 5/8/3, Vol. 2. Matrix of Basic Needs and Strategic Vision Report, September 1995:1.

considering the non-governmental stakeholders lively interest in formulation of the vision and the strategies proposed. The over-subscription of 1 000 persons for the Summit on 11 and 12 April 1995, is another example of the public interest in an initiative aiming at economic growth and the addressing of service backlogs.

Through the PGDS process, Departments were able to join hands with the private sector to formulate the Strategy. The private sector could observe what the public sector envisaged. This could have been the beginning of joint public-private partnerships in support of worthwhile economic endeavours. Again, the REF played a major role in securing private sector support for the PGDS during its finalisation.

A critical element of the success of the drafting of the PGDS was the dedicated “champions”, namely Messrs. Rohan Persad, Advisor to the Minister of DEAT and Gareth Coleman - Chief Executive Officer of the REF, identified to manage and drive the process. Mr. Frikkie Brooks, the then Chief Director: Development Planning, DLGH/DTLGA, made invaluable inputs from a planning perspective⁵⁵ All three had a very good understanding of the concept of integrated development planning, and as such the principles and practices associated with drafting a growth and development strategy for KZN were included in the final document.

Supported by knowledgeable consultants and representatives of various Provincial Government Departments, albeit not all members of senior management, as well as the necessary budget, the PDPMC was able to assemble a document which had the support of a wide spectrum of stakeholders in the Province. Fundamental to the success of the formulating or planning, the strategic plan was the ongoing communication between the PDPMC and Provincial Cabinet to ensure political support and to keep Cabinet members informed on the progress with the drafting process.

However, the drafting process was plagued by various challenges regarding the involvement, or lack of involvement of Provincial Departments. At critical stages, Departments were not represented at PDPMC meetings, and if they were, officials, without the necessary decision-making mandates attended meetings. It was clear that what was discussed at the meetings was not reported to the upper management of Departments.

In some cases, departmental management was not interested to participate in the initiative, for various reasons, of which the statutory responsibility of the HoDs as the accounting officers of Departments was a main factor. Some HODs were of the opinion that they would decide on budget priorities themselves, and did not need the guidance of the PGDS. Mabin’s research revealed the following:

“... some individuals believe that the preparation of the PGDS was overly consultant-driven and still too technicist in approach. Some departments allege that

⁵⁵ Mabin, A., *et.al.*, 2000:40.

they were not sufficiently consulted in the process of drawing up the PGDS and that too much power rested with key officials in the (DEAT), and (DLGH).”⁵⁶

In general, it was unreasonable to expect that HODs and other officials could commit themselves to, for them, an unproven new planning approach overnight. However, it was a concern that the message of the importance of the PGDS and the need for Departments to participate at the appropriate levels, was repeated several times. It was clear that the PGDS would only become another paper tiger and doomed for failure. Hence, Persad’s early urgent appeal to HoDs to fully participate in the plan formulation of the PGDS.

(B) Recommendations

To inform the review of the KZN Provincial Growth and Development Strategy the following is recommended:

- (i) Upon commencement, all key stakeholders have to be involved in the drafting of the Reviewed PGDS;
- (ii) Prior agreement needs to be reached on the drafting process;
- (iii) A politically and administratively mandated and dedicated management team for managing the drafting process has to be established;
- (iv) The team identified to manage and support the drafting of the Reviewed PGDS has to have strong project management skills with, preferably, knowledge of strategic and integrated development planning;
- (v) Financial and human resources to draft the Reviewed PGDS are to be identified beforehand; and
- (vi) To secure written agreements to bind stakeholders to the process.

4.3.2 Step Two: Clarify Organisational Mandates

The Key highlights the *Planning Phase: Step 2”* of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis; determine internal strengths and weaknesses, external opportunities and threats

⁵⁶ Mabin, A., *et.al.*, 2000:40.

	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

4.3.2.1 Strategic Management Model Evaluation Criteria

Formal and informal mandates are the minimum prescripts informing the strategic planning process of KZN Government Departments and institutions. Formal mandates are found in applicable national and provincial legislation and contracts. Informal mandates are found in the political decisions affecting KZN Departments and institutions.

4.3.2.2 Clarify Organisational Mandates

The PDPMC recognized that integral to the drafting of the Development Perspective, was a synthesis of national and provincial policy.⁵⁷ During this phase, the relevant national and provincial development policies were collected and analysed to determine their possible implications *or mandates*⁵⁸ for the Province.⁵⁹ The main mandate for the formulation of the PGDS was Schedule 6 of the Constitution of Republic of South Africa Amendment Act, 1994 (Act No.2 of 1994), that made Regional Planning and Development, as well as Urban and Rural Development, a legislative competence of KZN.⁶⁰

The RDP White Paper spelt out the need for a National Strategic Framework and Provincial RDPs.⁶¹ Therefore, the initiative of the FEPA to facilitate the formulation of provincial growth and development strategies and drafting the National Strategic Vision (NSV).⁶² The NSV set out provisional targets for growth with development.⁶³ Five preliminary targets were included in the draft NSV, namely to:⁶⁴

- Provide basic services to all in 10 years;

⁵⁷ KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. DEAT, Terms of Reference for a Development perspective for KwaZulu-Natal, 16 August 1995:8.

⁵⁸ My interpretation.

⁵⁹ KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. Project Brief for the preparation of a provincial Development Perspective for KwaZulu-Natal. Roles and Responsibilities of Second and Third Tier of Government team, *circa* August 1995, pp 1 - 3; and KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. DEAT, Terms of Reference for a Development perspective for KwaZulu-Natal, 16 August 1995:8. A copy of this document was not included in the records of the KwaZulu-Natal, DLGH. Hence, the researcher listed examples of policy documents which were prevalent at that time.

⁶⁰ Republic of South Africa, 1996, The Constitution Republic of South Africa, Act 108.

⁶¹ Republic of South Africa, 1994(b), White Paper of Reconstruction and Development: 6 & 36.

⁶² In Section 4.3.1.3 the initiation and agreement of the process is discussed.

⁶³ KwaZulu-Natal, DLGH FEPA File 15/8/2, Vol. 7. Draft Minutes FEPA meeting, 22 January 1996, Annexure 5, Towards a National Strategic Vision: Discussion document:1 - 20.

⁶⁴ KwaZulu-Natal, DLGH FEPA File 15/8/2, Vol. 7. Draft Minutes FEPA meeting, 22 January 1996, Annexure 6, South Africa 2020, Presentation to IGF Conference on Development Planning, 27 November 1995, "Setting Targets."

- Achieve sustainable growth of 6% by the year 2000;
- Reduce unemployment to undetermined % by 2005;
- Increase the share of national income to persons in poorest 40% of households to a still to be determined % by 2005; and
- Increase HDI for the whole of SA and the nine provinces.

The Development Facilitation Act was also one of the major mandates informing the PGDS drafting process.⁶⁵

4.3.2.3 Management Activities

The KZN PDPMC ensured that the Synthesis of Policy and the determination of the developmental roles and responsibilities of second and third tier of Government, formed part of the drafting of the Development Perspective.⁶⁶ The comprehensive search for provincial mandates in the series of White Papers, Green Papers and discussion documents, warranted that a research team was dedicated to the task.⁶⁷

4.3.2.4 Evaluation and Recommendations

(A) Evaluation

The drafters of the PGDS met the Model requirement by identifying all formal mandates. This set the framework for drafting the PGDS. However, the major shortcoming was that the PGDS did not have any legal status, whereby para-statal organisations, such as Eskom, and HoDs of Provincial Departments, were obliged to participate and support its drafting. Therefore, for some the PGDS was mainly a wish list: HoDs did not see the need to adjust their priorities, as was envisaged in the PGDS, to at least undertake pilot projects.

(B) Recommendations

To improve the standing of a reviewed Provincial Growth and Development Strategy it is recommended that:

- Provincial and national legislation makes the drafting of PGDS a statutory obligation;
- A revised PGDS be integrated into the Departmental Strategic or Business

⁶⁵ Republic of South Africa, 1995, Development Facilitation Act, Act 67; and KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 5. Draft Minutes FEED meeting, 16 October 1995, p 1. At the meeting it was reported that the DFA at that stage was promulgated by Parliament and that it would be implemented in 1996.

⁶⁶ KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:3 - 4.

⁶⁷ KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. Brief for the preparation of a Provincial Development Perspective for KwaZulu-Natal. Synthesis of Policy Team, *circa* August 1995:1 - 3; and KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. Terms of Reference for a Development perspective for KwaZulu-Natal, 16 August 1995:8.

Plans, and Performance Plans in order to ensure that it is not “an-add on” to daily line function activities and its implementation is regularly monitored;

- (iii) Departmental budgets should be aligned to a reviewed PGDS;⁶⁸ and
- (iv) Treasury will only allocate additional funding to Departments if projects are aligned to PGDS.⁶⁹

4.3.3 Step Three: Identify Strategic Issues facing the Organisation

The Key highlights the “*Planning Phase: Step 3*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

4.3.3.1 Strategic Management Model Evaluation Criteria

Strategic issues focus the KZN Provincial Government on what is important for it to address to be a development agent.

4.3.3.2 Identify Strategic Issues facing the Organisation

The Matrix of Basic Needs of 1995 reflected the status quo regarding the provision of basic services and facilities in KZN.⁷⁰ The document set out the development backlogs in the provision and access to basic infrastructure (e.g. water and sanitation), housing and social facilities (such as clinics and police stations) on a magisterial district level in KZN.⁷¹

The document informed on the capital and operating costs if the Province was to address

⁶⁸ Thibaud, C., 2007.

⁶⁹ Thibaud, C., 2007.

⁷⁰ Research File, Matrix of Basic Needs and Strategic Vision Report, Summary Report on the Matrix of Basic Needs, September 1995:2.

⁷¹ KwaZulu-Natal, DLGH PSE File 15/8/2, Vol. 2, Matrix of Basic Needs and Strategic Vision Report, September 1995:3.

the backlogs over a 20 year period,⁷² and is highlighted in Table 4.1. In total an amount of R 20,2 billion was estimated to meet the basic needs in KZN.

TABLE 4.1: ABSOLUTE BACKLOGS AND ASSOCIATED COSTS OF MEETING BASIC NEEDS IN KWAZULU - NATAL, 1995

Housing and Infrastructure	Persons without adequate access in %	Cost of meeting backlog in Rand	Community Facilities	Facilities required in numbers	Cost of meeting backlog in Rand
Housing	51	1.9 bn	Post Offices	179	0,2 bn
Water	39	0.9 bn	Secondary Schools	207	1.4 bn
Sanitation	40	0.9 bn	Primary Schools	616	2.4 bn
Waste removal	50	0,3 bn	Creches	3 971	2.3 bn
Roads	34	1.2 bn	Clinics	277	0.5 bn
Electricity	54	1.3 bn	Aged care	257	0.8 bn
Telecomms.	77	1.3 bn	Police Stations	173	0.2
		10.1 bn			10.1 bn

Source:

Matrix of Basic Needs and Strategic Vision Report, September 1995, Summary Report on the Matrix of Basic Needs:3, 11 & 17.

4.3.3.3 Management Activities

Since the identification of the strategic issues facing KZN formed part of the formulation of the drafting of the Development Perspective, the management activities will be discussed in the next section (Section 4.3.4: Formulate provincial vision and goals). Suffice to say that the task of identifying the development issues was daunting, as two dedicated teams of consultants were designated the task of compiling the Matrix of Basic Needs.⁷³

4.3.3.4 Evaluation and Recommendations

(A) Evaluation

The Matrix of Basic Needs revealed the state of underdevelopment in the Province during 1995. It served as a solid base for formulating the Vision and Strategies of the PGDS to address the development challenges over a 20 year period. However, the PGDS was not linked to a budget and, therefore, it was not possible to

⁷² Research File, Matrix of Basic Needs and Strategic Vision Report, , Summary Report on the Matrix of Basic Needs, September 1995:17.

⁷³ KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:3 - 4.

determine the origin of the budget to address the determined needs. The Matrix of Basic Needs was also no reviewed during the PGDS implementation process dating 1996 to 2000.

(B) Recommendations

To ensure the integrity of provincial development data, it is recommended that:

- (i) The Reviewed Provincial Growth and Development Strategy should be based on the latest GIS based information sets available in all Provincial Departments.

4.3.4 Step Four: Formulate Provincial Vision and Goals

The Key highlights the “*Planning Phase: Step 4*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Preparation	Step	Political and administrative prerequisites for strategic management of integrated development planning
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate provincial vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

4.3.4.1 Strategic Management Model Evaluation Criteria

A vision is an expression of what the KZN Provincial Government wants for itself, the municipalities and other stakeholders in the KZN Province.

4.3.4.2 Provincial Vision for KwaZulu-Natal

The Provincial Vision for KwaZulu-Natal forming part of the PGDS of 1996, read as follows:

“The dynamic Province of KwaZulu-Natal will be characterised by a peaceful, secure, prosperous, healthy, educated and democratic society, and as being attractive and competitive both in local and global terms.”⁷⁴

⁷⁴ KwaZulu-Natal Provincial Cabinet, 1996:3.

In order to achieve this, the KZN Cabinet resolved that:⁷⁵

- The Provincial Government will create an environment which will provide the opportunity to earn a basic sustainable living, thus allowing the individual and the community to give expression to their preferred quality of life;
- A competitive and entrepreneurial economic environment will be created, which will attract business and investment to the Province by the provision of, amongst others, a multifaceted development strategy, supporting infrastructure and strategic alliances, for example, partnerships between the KZN Government and other main stakeholders; and
- Accepted minimum standards will be determined for services such as health, education, water, sanitation, safety and security, welfare and shelter, and basic infrastructure will be provided to satisfy these needs.

“By 2020, all the people of KwaZulu-Natal will be sharing the benefits of this vision. Through sustainable economic growth which is grounded on agriculture, industrial and tourism strengths of the province, and on the development of new opportunities, the province will be fully integrated into the national and global economy. There will be high levels of employment, high levels of productivity, a living wage and proactive development initiatives. The province would have achieved a balance between growth and redistribution. The strategies adopted by the province will have resulted in employment, access to water, primary health care and primary education for all communities, and the promotion of peace and good citizenship ... Progress towards the realisation of the vision will be continually reviewed to monitor the development of the province.”⁷⁶

The Vision was supported by seven normative, guiding principles to give the direction to the implementation of the PGDS itself and to ensure in turn that the implementation action plans were in support of and aligned with the Vision.⁷⁷

The seven principles supporting “*The Provincial 2020 Vision*” and Strategy itself, is therefore paraphrased and summarised hereunder:⁷⁸

- ✓ The PGDS should promote the rapid growth and access to economic opportunities of the existing human, natural and infrastructure resources of the Province;
- ✓ New areas for economic development need to be identified and industries reshaped, to enable KZN to participate fully and competitively in the changing global economy;

⁷⁵ KwaZulu-Natal Provincial Cabinet, 1996:3 - 4.

⁷⁶ KwaZulu-Natal Provincial Cabinet, 1996:5.

⁷⁷ KwaZulu-Natal Provincial Cabinet, 1996:4 - 5.

⁷⁸ KwaZulu-Natal Provincial Cabinet, 1996:7.

- ✓ Redressing of social inequities should take place through meeting basic needs, supporting poor and marginalised areas and job creation;
- ✓ The constraints to development should be addressed through extending infrastructure, skills development, reducing violence and improving of labour relations;
- ✓ Economic and social development, for example the reduction in crime and delivery, management and payment for services, would not be possible without the commitment, co-operation, partnerships, joint decision making and joint investment between Provincial Government, business, labour and communities;
- ✓ The identification of key development levers or driving forces to achieve maximum impact for economic growth, redistribution and access to essential services; and
- ✓ The creation of conditions conducive to the establishment of appropriate policies, spatial framework and institutional implementation structures, and integrating growth and redistributive elements.

4.3.4.3 Management Activities

The PDPMC guided the team of consultants which was appointed to draft the Development Perspective⁷⁹, including the Vision⁸⁰ and Matrix of Basic Needs.⁸¹

(A) Drafting Methodology

At the PDPMC meeting of 31 August 1995, the DEAT acknowledged that, since the workshop in May 1995 at Centurion, no steps were taken to put in place a provincial growth strategy; hence the pressure to finalise the Strategy.⁸² The meeting was, therefore, convened by the Ministry of Economic Affairs and Tourism and the REF to take the process forward, bearing in mind that a provincial submission was to be made at the workshop during September 1995 in Cape Town and the (national) Inter-Governmental Forum (IGF) in December 1995.⁸³

The PDPMC resolved that the process for formulating the vision followed a rational process,⁸⁴ namely that the Vision be based on the assessment of needs (by using the Matrix of Basic Needs) and the availability of resources, and the consideration of a

⁷⁹ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:3.

⁸⁰ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8 - 10.

⁸¹ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8 - 10.

⁸² KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

⁸³ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:3 - 4.; and KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. December (1995) Conference on Development Planning, Proposal for process leading up to and beyond December Conference:2.

⁸⁴ My observation.

variety of strategic choices to address the developmental needs of the Province.⁸⁵ The visioning process thus went beyond only setting goals, but also took into account the development paths for achieving these goals.⁸⁶

The consultants commissioned by the DEAT to support the drafting of the Development Perspective did not have much time to complete their task.⁸⁷ The PDPMC resolved at the meeting, on 31st August 1995, to convene a provincial stakeholder workshop on 20 September 1995 to discuss the proposed Development Perspective in preparation for the workshop in Cape Town to be held on 26 - 28 September 1995.⁸⁸ The KZN Minister of Economic Affairs and Tourism therefore appointed the consortium responsible for co-ordinating the drafting of the Perspective (including the Matrix of Basic Needs and the Vision), during the latter half of August 1995.⁸⁹

Departmental and other representatives were well in attendance at the first meeting of the PDPMC on 31 August 1995.⁹⁰ The Committee scrutinized the project briefs and gave its support to the process.⁹¹ The Committee made it clear that the work should reflect the social organisation of the rural areas.⁹²

The drafting process commenced with the finalisation of the project briefs to give guidance to the other specialists, grouped in seven teams.⁹³ The specialists were organised into teams of various sizes, dealing with a specific aspect of the components of the Development Perspective.⁹⁴ Seven persons alone dealt with the formulation of the Provincial Vision.⁹⁵ The other teams dealt with the Matrix of Basic Needs (two teams), Synthesis of Policy, Developmental roles and responsibilities of second and third tiers of Government and the Peer Review of the draft Development Perspective.⁹⁶

⁸⁵ KwaZulu-Natal, DLGH, PSE File 15/8/2, Vol. 1, Project Brief for the preparation of a provincial perspective for KwaZulu-Natal, Envisioning Team, August 1995:2.

⁸⁶ KwaZulu-Natal, DLGH, PSE File 15/8/2, Vol. 1, Project Brief for the preparation of a provincial perspective for KwaZulu-Natal, Envisioning Team, August 1995:2.

⁸⁷ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes of PDPMC meeting, 31 August 1995:3.

⁸⁸ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes of PDPMC meeting, 31 August 1995:3.

⁸⁹ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8 - 10.

⁹⁰ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes PDPMC meeting, 31 August 1995, p 1.

⁹¹ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes PDPMC meeting, 31 August 1995, pp 3 - 4.

⁹² KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes PDPMC meeting, 31 August 1995, pp 4.

⁹³ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8.

⁹⁴ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8.

⁹⁵ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8.

⁹⁶ KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Minutes of PDPMC meeting, 31 August 1995, pp 3 - 4; and KwaZulu-Natal, KwaZulu-Natal, DLGH, PSE File 15/8/3, Vol. 1, Terms of Reference for a Development Perspective for KwaZulu-Natal: Proposal prepared for the ODA, (1995):8.

The team of consultants met the tight time frames of the PDPMC, and completed a discussion document, consisting of a Matrix of Basic Needs and Strategic Vision, prior to the consultation workshop on 21 September 1995.⁹⁷ The proposed vision sparked off a wide interest, intense debate and general support amongst stakeholders, such as the Regional Economic Forum, organised business, as well as community groups.⁹⁸

The PDPMC was obliged to deal with the comprehensive comments on the proposed vision in two stages.⁹⁹ Firstly, the comments prior to, and made during the workshop on 21 September 1995, were incorporated, where after additional comments were considered or incorporated into the proposed vision.¹⁰⁰ At least 14 submissions were received from a wide spectrum of groupings in labour and organised business, provincial government departments and community groupings.¹⁰¹

The comments, in general, supported the draft vision and suggested improvements to the document and the process to be followed to finalise the vision statement. Another step during the process took place on 3 October 1995, when members of the PDPMC met with members of the Good Governance Management Committee, including Prof O. Nxumalo, DG of KZN, to integrate the vision of the Cabinet (developed through the Good Governance programme) and the PDPMC effort.¹⁰²

(B) Implementation Fundamentals

The PDPMC identified co-ordination of the spheres of government,¹⁰³ representation of all KZN Departments on the PDPMC,¹⁰⁴ and the support of the Provincial Treasury¹⁰⁵ as critical implementation factors

(i) Capacity and alignment

At the PDPMC, the availability of resources and the sectoral or departmental

⁹⁷ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Matrix of Basic Needs and Strategic Vision, 21 September 1995:1 - 35.

⁹⁸ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Submissions on Provincial Vision for KwaZulu-Natal, December 1995, unnumbered index pages.

⁹⁹ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Submissions on Provincial Vision for KwaZulu-Natal, December 1995:1.

¹⁰⁰ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Submissions on Provincial Vision for KwaZulu-Natal, December 1995:1.

¹⁰¹ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Submissions on Provincial Vision for KwaZulu-Natal, December 1995, unnumbered index pages.

¹⁰² KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Submissions on Provincial Vision for KwaZulu-Natal, December 1995:1.

¹⁰³ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

¹⁰⁴ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Notes of PDPMC meeting, 3 October 1995; and KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 2. Minutes PDPMC meeting, pp 3 - 4; Letter Persad to Provincial Departments, 9 October 1995:1 - 2.

¹⁰⁵ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995: 2.

alignment were discussed as crucial during the formulation and implementation of the Provincial Growth and Development Strategy.¹⁰⁶ The capacity of delivery agencies should be assessed in-depth.¹⁰⁷ The Committee further acknowledged that the co-ordination and alignment of planning and development at a national, provincial and regional level would be a major challenge.¹⁰⁸ The securing of the commitment of top management was crucial to the success of the development planning process in KZN, specifically to co-ordinate line function activities to avoid fragmentation¹⁰⁹ (*and duplication during project implementation.*)¹¹⁰

(ii) Representation of Senior Management on the Provincial Development Planning Management Committee (PDPMC)¹¹¹

During the drafting of the Vision/Strategy, it emerged that the Provincial Development Planning Management Committee did not have key Provincial Department managers as members.¹¹² In response, the Committee resolved on 21 August 1995 to request Departments to put forward the names of senior management as Committee members. Notably absent were the Departments of Education and Culture, Health and Social Welfare and Population, which had not nominated any representatives since the envisioning, commenced. The Provincial Department of Finance was also not present at the PDPMC meetings, which was of concern as the link between budgets and the Strategy needed strengthening:

“... (at the moment) the link is still shaky ... (in the) past budgeting was done without planning, usually on a historical and incremental basis.”¹¹³

(iii) Treasury support

The Committee agreed that the development planning process had to have the support of Provincial Treasury, without which it would be impossible to make the Plan work.¹¹⁴ The resulting implementation process is discussed in Chapters Five and Six.

¹⁰⁶ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

¹⁰⁷ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

¹⁰⁸ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

¹⁰⁹ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995:2.

¹¹⁰ My insertion.

¹¹¹ Research note. During the 2002 - 2003 research and drafting of the section the original sources were in the relevant Departmental file. However, during the researchers' verification of the sources during June and July 2007, the two documents were missing from the DTLGA Departmental file. In view of the crucial arguments contained in the sources, only a core of the information of the original research findings are reflected in this section.

¹¹² KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Notes of PDPMC meeting, 3 October 1995; and KwaZulu-Natal, DLGH PSE File 15/8/3. Vol. 2. Minutes PDPMC meeting, pp 3 - 4; Letter Persad to Provincial Departments, 9 October 1995:1 - 2.

¹¹³ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 2. Letter Persad, 9 October 1995:1 - 2.

¹¹⁴ KwaZulu-Natal, DLGH, PSE File 15/8/3. Vol. 1. Minutes of PDPMC meeting, 31 August 1995: 2.

4.3.4.4 Evaluation and Recommendations

(A) Evaluation

The basic value of the process of drafting the PGDS, was for it to serve as a conduit to assist Provincial Government Departments and other stakeholders to determine jointly the economic and developmental vision and future of the Province. However, it was not an easy task, because Departments were used to working on their own. Officials were not familiar with the new planning approach where budget alignment between implementing agents was paramount. A concern, however, was expressed at one of the PDPMC meetings that the vision was tainted with academic jargon and that it was unrealistic to attain. In the end, a vision was formulated to the satisfaction of the majority of stakeholders.

(B) Recommendations

A Reviewed Provincial Growth and Development Strategy Vision should be:

- (i) Rather a short and succinct statement to attract stakeholder attention; and
- (ii) Used to secure the support of all stakeholders through an ongoing and widely publicised public debate.

4.3.5 Undertake SWOT analysis: Determine internal Strengths and Weaknesses, external Opportunities and Threats

The Key highlights the “*Planning Phase: Step 5*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

4.3.5.1 Strategic Management Model Evaluation Criteria

The environment inside and outside Provincial Government should be explored to identify Strengths, Weaknesses, Opportunities and Threats. A definite balance should be struck by not over-emphasising threats at the cost of opportunities.

4.3.5.2 SWOT Analysis

A standard SWOT analysis was undertaken in June and August 1998, of which some of the relevant elements are highlighted:¹¹⁵

(A) Strengths

The PGDS was a legitimate document with broad based support, including Provincial Cabinet, political and Departmental support; the Strategy provided a structure to achieve the Provincial 2020 Vision; a framework for greater inter-departmental co-ordination was provided; an improved use of limited provincial resources; the provision of greater clarity on Provincial development expenditure patterns, locations and possible future trends; and sufficient technological support such as a GIS for development information management requirements.

(B) Weaknesses

Absence of some Departments on PDPMC drafting the PGDS; time constraints of the Committee members to dedicate themselves to the PGDS; lack of resources for implementation; absence of identification of Departmental needs in relation to the PGDS; and slow decision making processes.

(C) Opportunities

The PGDS brought clarity to the development confusion in the market place; the support for the PGDS should be capitalized on; concerns of investors were addressed regarding Provincial consistency and commitment; the guidance provided to development agents to ensure co-ordinated service delivery; the exploitation of the Province's competitive advantages and subsequent enhancement of job creation; budgets to be linked to the PGDS; and the potential of the PGDS to become the Provincial Development Plan (PDP).

(D) Threats

The ongoing changing global economic situation; unavailability of private sector funds for PGDS projects; limited management capacity in Departments in support of the PGDS; absence of a provincial legal mandate in support of the PGDS; lack of recognition and commitment, including the unwillingness of Departments to align by acting outside their silos¹¹⁶, to the PGDS as the Provincial Strategy to achieve

¹¹⁵ The documents containing the SWOT analysis was not available during the research period. The contents of the SWOT in this section is based on the SWOT undertaken in June and August 1998 during the implementation of the PGDS. See KwaZulu-Natal, TRP File 15/8/3/1, Vol. 10, PGDS Task Team SWOT meeting, 24 June 1998:1 - 2 for results of the 1998 SWOT Analysis. Progress on the implementation of the strategies emanating from the SWOT was recorded in KwaZulu-Natal, TRP File 15/8/3/1, Vol.11, Revised presentation for MEXCO, slide 16, 18 - 19, 21 - 22.

¹¹⁶ Thibaud, C., 2007.

the 2020 Vision.

4.3.5.3 Evaluation and Recommendations

(A) Evaluation

The 1996 PGDS was formulated under the majority IFP Government in partnership with the ANC Cabinet members. When drafted, the PGDS was the only credible provincial planning instrument to bring all stakeholders together, including political opponents, to work under a new planning paradigm. The test for any plan lies in ongoing political, administrative and financial support for it to be implemented, taking into account that the PGDS was given a 20 year implementation period which could span over different political regimes. In KZN, the ANC, for example took over the Provincial Government in 2004.

(B) Recommendations

To ensure commitment to a Reviewed PGDS it is recommended that:

- (i) All stakeholders be made aware that sufficient human, financial and capital resources¹¹⁷ are required to implement a provincial plan with a 20 year horizon;
- (ii) Stakeholders participate and are constantly informed about the changing environment within which the plan functions; and
- (iii) Political regimes that come into power should adhere to the vision or put a new vision in place with general support.

4.3.6 Step Six: Formulate and adopt Strategies and Plans to address Strategic Issues

The Key highlights the *Planning Phase: Step 6*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring

¹¹⁷ Sekhesa, A., 2007.

	10	Evaluation
	11	Review

4.3.6.1 Strategic Management Evaluation Criteria

As a plan, a strategy is a deliberate course of action or guide to address a specific developmental situation. Provincial strategies are developed in advance and with a specific purpose to achieve a desired outcome.

4.3.6.2 Main elements to formulate and adopt Strategies to address Strategic Issues

Phase Two of the PDPMC's three phased approach to draft the provincial policy and development strategy, culminated in finalisation of the KZN PGDS, 1996, of which the two main elements are the principles and seven strategies with their related objectives:

(A) Important principles informing the Strategy

The adopted PGDS contained the following principles,¹¹⁸ namely that the Strategy should:

- Be built on the dynamism and vibrancy of the provincial economy;
- Seek and create new areas for development;
- Redress social inequities;
- Be rooted in shared responsibility for economic development;
- Focus on identification of instruments of growth and redistribution; and
- Integrate growth and redistribution.

(B) Seven programmes and their objectives

The PGDS consisted of seven programmes with related objectives.¹¹⁹ Programmes One to Five are the areas of intervention, with a growth and redistribution objective.¹²⁰ Programmes Six and Seven were identified as two pre-conditions to ensure the future success of the PGDS.¹²¹

➤ Programme One: Building the Winning Province:

The objective is to open KZN to economic opportunities presented by trade and tourism.¹²²

➤ Programme Two: Enabling Local Economic Development:

The objective is to provide a framework for the formulation of local strategies for

¹¹⁸ KwaZulu-Natal Provincial Cabinet, 1996:4 - 5.

¹¹⁹ KwaZulu-Natal Provincial Cabinet, 1996:7.

¹²⁰ KwaZulu-Natal Provincial Cabinet, 1996, 1996:7.

¹²¹ KwaZulu-Natal Provincial Cabinet, 1996:7.

¹²² KwaZulu-Natal Provincial Cabinet, 1996:7. Under each of the seven program a section "Concept" is included and the short description of the seven programmes is contained in this section on the PGDS.

economic development, which are based on the wide-scale delivery of basic services and facilities.

➤ **Programme Three: Fuelling the Powerhouse:**

The objective is to move industry into the Province to an investment-driven stage of competitive advantage, while contributing towards the sustainable development of the Province.

➤ **Programme Four: Addressing the Needs of the Poor:**

The objective is to alleviate poverty on a sustainable basis by enhancing productive activities and to ensure the adequate provision of social welfare.

➤ **Programme Five: Preparing the People through the Development and Utilisation of Human Resources:**

The objective is to develop a human resource strategy to be included into the PGDS upon completion.

➤ **Programme Six: The Formulation of an Appropriate Spatial Framework:**

The objective is to set policy for spatial distribution of development, ensure co-ordination and set a framework for lower order planning.

➤ **Programme Seven: The Development of Institutions and Implementation Capacity:**

The objective is to establish functioning institutions within the Provincial Government and between the stakeholders in KZN.¹²³

4.3.6.3 Management Aspects

(A) Management Committee

The PDPMC was also used as the mechanism to formulate the Strategies of the PGDS.¹²⁴

(B) Drafting methodology

The PGDS drafting process consisted of six phases,¹²⁵ including the convening of Provincial Economic and Development Summit, 11 - 12 April 1996,¹²⁶ and completed with the approval of the final document by Provincial Cabinet on 3 July

¹²³ KwaZulu-Natal Provincial Cabinet, 1996:7.

¹²⁴ The PDPMC was in place to complete the PGDS until the adoption of the PGDS in 1996.

¹²⁵ KwaZulu-Natal, PSE File 15/8/3. Vol. 2. Invitation to Tender. The Compilation of a Provincial Development Strategy for KZN, 4 October 1995:4 - 5.

¹²⁶ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Letter from I. Taylor to Management Team: Economic Development Summit, 25 February 1996:2.

1996.¹²⁷

(i) A six phased approach

The KZN PDPMC envisaged six stages for drafting the Provincial Strategy.¹²⁸ This included the convening of a development summit at the end of November 1995, and the final report to be submitted on 1 March 1996.¹²⁹ On 19 March 1996, at a special workshop, Departments were given a final opportunity to make input into the draft Strategy.¹³⁰

The task of securing departmental support was difficult. In a letter, dated 13 November 1995, the DEAT:

*“... appeal(ed) to (Heads of Departments) to be more co-operative.”*¹³¹

Failing in this regard would make it totally impossible to link the planning and budgeting processes.¹³² Consequently, a tailor-made and affordable strategy, including the implementation of pilot programmes during the 1996/97 financial year, was already out of reach to make the Strategy a success.¹³³

Local Economic Development (LED) was later added as an additional programme, which gave the Strategy this particular approach to economic dimension.¹³⁴ Without this programme, the Strategy would have been weakened to address the plight of the poor and to re-build local economies in the small towns in the Province.¹³⁵ The Forum for Effective Planning and Development’s definition of development planning was also included into the document, which ensured that the Provincial Strategy would be in line with the thinking of the FEPD.¹³⁶

¹²⁷ KwaZulu-Natal Cabinet, 1996.

¹²⁸ KwaZulu-Natal, PSE File 15/8/3. Vol. 2. Invitation to Tender. The Compilation of a Provincial Development Strategy for KZN, 4 October 1995:4 - 5.

¹²⁹ KwaZulu-Natal, PSE File 15/8/3. Vol. 2. Invitation to Tender. The Compilation of a Provincial Development Strategy for KZN, 4 October 1995:4 - 5.

¹³⁰ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Notice and Agenda, Development Strategy for KZN. Growth and Redistribution Synthesis Workshop, 19 March 1996:1.

¹³¹ KwaZulu-Natal, PSE 15/8/3, Vol. 2, Letter from Ministry of Economic Affairs and Tourism to Departments:2.

¹³² KwaZulu-Natal, PSE 15/8/3, Vol. 2, Letter from Ministry of Economic Affairs and Tourism to Departments:1.

¹³³ KwaZulu-Natal, PSE 15/8/3, Vol. 2, Letter from Ministry of Economic Affairs and Tourism to Departments:1.

¹³⁴ Researcher’s recollection of Stanley Mccatywa of the DEATs’ input at the workshop dated 19 April 1996.

¹³⁵ Research observation.

¹³⁶ KwaZulu-Natal, PSE 15/8/3, Vol. 2, Letter from Ministry of Economic Affairs and Tourism to Departments:1.

(ii) Provincial Economic and Development Summit, 11 - 12 April 1996

The DEAT initiated the establishment of the so-called Management Team of the Provincial Economic Development Summit to be held in Durban, in KZN, to discuss the arrangements for the Summit.¹³⁷

Four-hundred (400) delegates were invited,¹³⁸ including Provincial Cabinet Ministers, HoDs, Transitional Local Councils (TLCs), Joint Services Boards (JSBs), Regional Authorities, Portfolio Committees, the Natal Municipal Association, additional Government officials, Para-statals, Labour, Business, Development Forums and NGOs.¹³⁹ That there was immense interest in the Summit was evident from the fact that more than 1 000 additional persons expressed interest in attending.¹⁴⁰ They were eventually requested not to attend.¹⁴¹

On 11 April 1996, KZN Premier Mdlalose¹⁴² opened the Summit, by stating, amongst others, that the purpose of the Summit was to assess the progress made since the November 1994 Provincial Economic workshop.¹⁴³ In this regard, a comprehensive progress report, dealing with a variety of economic and development programmes (including SMME, Transport, Housing and the Matrix of Basic Needs), was submitted to the delegates.¹⁴⁴ The Provincial Vision was “unveiled” at the summit, which demonstrated that the main aim of the 1994 workshop, namely to develop a vision for KwaZulu, was achieved.¹⁴⁵

The Premier was action orientated in that the delegates had to agree further on the direction of the Province’s economic development, and stakeholders were requested to determine short and medium term priorities.¹⁴⁶ These recommended priorities would impact directly on the 1997/98 Provincial budget.¹⁴⁷ The Premier:

“ ... urge(d) delegates to put aside general talk and come up with concrete projects and programmes necessary for economic development of the

¹³⁷ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Letter from I. Taylor to Management Team: Economic Development Summit, 25 February 1996:2.

¹³⁸ KwaZulu-Natal, PSE File 15/3/8. Vol. 3. Report back meeting of the Management Team of the Provincial Economic Development Summit, 5 March 1996:1.

¹³⁹ KwaZulu-Natal, PSE File 15/3/8. Vol. 3. List of Invitees.

¹⁴⁰ KwaZulu-Natal, PSE File 15/3/8. Vol. 3. Report back meeting of the Management Team of the Provincial Economic Development Summit, 5 March 1996:1.

¹⁴¹ KwaZulu-Natal, PSE File 15/3/8. Vol. 3. Report back meeting of the Management Team of the Provincial Economic Development Summit, 5 March 1996:2.

¹⁴² Premier Frank Mdlalose was the first KZN premier and belonged to the Inkatha Freedom Party (IFP).

¹⁴³ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Address by Premier F.T. Mdlalose, Durban, 11/12 April 1996:1.

¹⁴⁴ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Progress on issues identified for action from the KwaZulu-Natal Economic Workshop held on 7 & 8 November 1994:2 - 12.

¹⁴⁵ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Address by Premier F.T. Mdlalose, Durban, 11/12 April 1996:5.

¹⁴⁶ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Address by Premier F.T. Mdlalose, Durban, 11 April 1996:1.

¹⁴⁷ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Address by Premier F.T. Mdlalose, Durban, 11 April 1996:6.

Province."¹⁴⁸

The Provincial Strategy or PGDS was unveiled after the premier's opening.¹⁴⁹ The remainder of day one was used to discuss the Provincial Strategy in breakaway groups.¹⁵⁰ Six groups were formed to discuss the document in accordance with its first six proposed programmes. In view thereof that Programme 7, Human Resource Development, was not properly finalized, it was not discussed.¹⁵¹ On day two (i.e. 12 April 1995), the findings of the "commissions" were presented and discussed by all delegates in a plenary session.¹⁵²

(iii) Finalisation and adoption of the Strategy by Provincial Cabinet

After the summit, the KZN Provincial Development Planning Management Committee ensured that the comments of the Summit was incorporated into the final document, entitled the Provincial Growth and Development Strategy, or PGDS, which was adopted by the Provincial Cabinet, on 3 July 1996, by Cabinet Resolution No. 236.¹⁵³

4.3.6.4 Agenda change for the Forum for Effective Planning and Development (FEPD)

Despite the commitments made at the highest political level, and contrary to the initial optimistic objectives,¹⁵⁴ both initiatives, namely to finalise all provincial growth strategies and the NSV or National Growth and Development Strategy, the process was never completed as intended.¹⁵⁵ At the FEPD meeting of 19 August 1996, it was noted that only three provinces - KwaZulu-Natal, Western Cape and Mpumalanga - submitted their growth and development strategies to the FEPD.¹⁵⁶ It was reported at the meeting that the other six Provinces were completing their strategies at their own pace.¹⁵⁷ The meeting expressed the concern that such a situation would not make it possible to align the Provincial Strategies with the National Growth and Development Strategy.¹⁵⁸

¹⁴⁸ KwaZulu-Natal, PSE File 15/8/3. Vol. 3. Address by Premier F.T. Mdlalose, Durban, 11/12 April 1996:6.

¹⁴⁹ Brooks, F.R., General Manager: Development Planning, Department of Local Government and Traditional Affairs Unstructured Interview, 15 August 2007.

¹⁵⁰ Brooks, F.R., 2007.

¹⁵¹ Brooks, F.R., 2007.

¹⁵² Brooks, F.R., 2007.

¹⁵³ KwaZulu- Natal Cabinet, 1996.

¹⁵⁴ Draft Agenda FEPD meeting, 22 January 1996, p 3 and Annexure 4: Report on Progress with the Growth and Development Strategy, 16 January 1996:1- 9.

¹⁵⁵ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

¹⁵⁶ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

¹⁵⁷ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 6. South Africa 2020, Presentation to IGF Conference on Development Planning, 27 November 1995. Under "The Way Forward" it was stated that Provincial GDS would be completed by April 1996.

KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

¹⁵⁸ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

Therefore, the FEPD resolved that the item dealing with the strategies be removed from the agenda of the FEPD.¹⁵⁹ The follow-on resolution authorised Provinces to liaise with the Deputy President's Office and the relevant Ministers about the transfer of the management of the growth and development strategies from the FEPD to the Inter-Governmental Forum (IGF).¹⁶⁰

In 2005, Hirsch¹⁶¹ shed some light on why the National Growth and Development Strategy was never completed in 1996. He pointed out that the initiative of the RDP Office to develop a macro-economic policy was not to the satisfaction of departments and down-played by national government.¹⁶² An initiative which started in 1995 under the auspices of the National Department of Finance and the Development Bank of Southern Africa (DBSA) resulted in the well-known and sometimes controversial Growth, Economic Development and Redistribution: A Macro-Economic Strategy (GEAR) in 1996.¹⁶³

By 2006 the GEAR policy was still in place as an official economic policy of the National Government. From February 2006, GEAR is supported by the Accelerated and Shared Growth Initiative for South Africa (ASGISA) for ensuring a 6% annual growth rate.¹⁶⁴ Gelb¹⁶⁵ indicated that ASGISA is based on President Thabo Mbeki's notion of dual economy thereby highlighting the South African Government's commitment to address poverty. In addition to ASGISA, from March 2006 onwards, GEAR was supported by the Joint Initiative on Priority Skills Acquisition (JIPSA) with the main aim of acquiring the skills required to achieve the growth target of 6%.¹⁶⁶

4.3.6.5 Evaluation and Recommendations

(A) Evaluation

For all intents and purposes the researcher classifies the PGDS of 1996 as a plan with intended strategies. The strategies were programmed as a result of national legal and policy requirements. The PGDS strategies covered comprehensively the development challenges that lay ahead in recognition that the backlogs identified need to be addressed.

The composition of the PGDS, namely the dual emphasis on growth and development, including redistributive aspects,¹⁶⁷ made the PGDS an acceptable

¹⁵⁹ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

¹⁶⁰ KwaZulu-Natal, DLGH, FEPD File 15/8/2. Vol. 8. Draft Minutes FEPD meeting, 19 August 1996:2.

¹⁶¹ Hirsch, A., 2005:97 - 98.

¹⁶² Hirsch, A., 2005:97.

¹⁶³ Hirsch, A., 2005:98.

¹⁶⁴ Accelerated and Shared Growth Initiative for South Africa (ASGISA), Feb 2006.

¹⁶⁵ Gelb, S., 2006:5.

¹⁶⁶ Fabricius, P., 2007.

¹⁶⁷ KwaZulu-Natal Provincial Cabinet, 1996:7.

document to the major stakeholders.¹⁶⁸

The FEPA's requirement that the PGDS served as a tool for the alignment of macro-economic, social, institutional, financial, physical, spatial, human resource and information planning processes in the Province,¹⁶⁹ was not achieved. The main explanation is that, taking into consideration the complexity of such a task, namely for all Departments to agree on new programme and project priorities, it was not possible in such a short space of time. Although an implementation plan was included in the PGDS, the resources allocated to the implementation of the separate strategies, programs and plans for implementation were not identified with the adoption of the PGDS in June 1996.

A pertinent concern, according to Mabin, *et. al.*,¹⁷⁰ was that the PGDS was merely an unattainable wish list, which could not be implemented. According to this view the PGDS was too comprehensive and the way it was to be implemented was not clearly defined. For example, no mention was made about the mechanisms for co-operation between Departments, how budgets needed to be aligned and, amidst budgetary constraints, where the funding would come from to implement the PGDS.¹⁷¹ The fact was that, although Departments in general accepted the PGDS, they were not geared for its implementation after adoption thereof.

The existing budgets at that stage (i.e. 1997/98 financial year) did not take the requirements and priorities of the PGDS into account. It was, then, even premature to beg an answer for another FEPA requirement of the PGDS, by asking at the end of the drafting process:

“Have provinces developed a system, which effectively links the processes of needs identification in communities to the budgeting process in government?”¹⁷²

The DEAT was aware that it was to be a difficult task to succeed with comprehensive alignment between Departments as envisaged by the National RDP Office. Such a process should begin on a small scale. Therefore, the PDPMC opted for pilot projects, to commence jointly between Departments during the 1996/97 financial year to test inter-departmental alignment.¹⁷³ The wish list perception was further strengthened in that the PGDS did not prioritise elements within, which needed to be addressed immediately, on the medium and long term.

Provincial Treasury stated in 2002, amongst others, that for a provincial strategy the document was too long and too detailed, touching on every conceivable aspect of

¹⁶⁸ Sekhesa, A., 2007.

¹⁶⁹ KwaZulu-Natal, DLGH, PSE File 15/8/2. Vol. 2. Draft Business Plan for support to development planning in Provinces. Draft Agenda FEPA, 17 July 1995, Annexure 6.

¹⁷⁰ Mabin, A., *et. al.*, p 40.

¹⁷¹ Mabin, A., *et. al.*, p 40.

¹⁷² KwaZulu-Natal, DLGH, PSE File 15/8/2. Vol. 2. Draft Business Plan for support to development planning in Provinces. Draft Agenda FEPA, Annexure 6, 17 July 1995.

¹⁷³ See Chapter Five Section 5.3.2.2.

the social and economic life of the Province.¹⁷⁴ The PGDS dealt with every sector and sub-sector, without any reference to provincial priorities.¹⁷⁵ The Vision was not supported by clearly defined goals or measurable objectives.¹⁷⁶ The way in which the strategies were formulated made them difficult to understand and hence not implementable.¹⁷⁷ The lack of a performance management system to monitor progress was implied, by Treasury.

(B) Recommendations

To ensure the ongoing support for the formulation of a Reviewed PGDS the following is recommended:

- (i) Prior to the actual commencement of the revision of the PGDS, the OoP should inform the Provincial Cabinet and HODs regarding the purpose of the Plan, the methodology to be followed, and what resources (financial and human) are required, thereby obtaining much needed political support for the process and product (i.e. the final document).
- (ii) During the review process, the PGDS should follow the integrated development planning process set out in Chapter Two, be more realistic, and with limited pre-determined priorities, budgets allocated by the different service providers and a performance management system; and
- (iii) Resources for drafting and implementing the PGDS need to be identified prior to the drafting process and for the implementation process.¹⁷⁸

4.4 CONCLUSIONS

The following conclusions are made with regards to the six steps of the Planning Phase of the strategic management of the provincial planning process, 1994 to 1996, namely:

4.4.1 Planning Phase: Step 1: Initiate and agree on strategic management process

4.4.1.1 The Department of the Premier (DoP) and the Regional Economic Forum (REF) jointly met the requirements of the communicative approach towards the initiation

¹⁷⁴ (KwaZulu-Natal) Provincial Treasury, Towards a new Provincial Growth and Development Strategy. Issues and Suggestions, December 2002:28.

¹⁷⁵ (KwaZulu-Natal) Provincial Treasury, Towards a new Provincial Growth and Development Strategy. Issues and Suggestions, December 2002:28.

¹⁷⁶ (KwaZulu-Natal) Provincial Treasury, Towards a new Provincial Growth and Development Strategy. Issues and Suggestions, December 2002:29.

¹⁷⁷ (KwaZulu-Natal) Provincial Treasury, Towards a new Provincial Growth and Development Strategy. Issues and Suggestions, December 2002:29.

¹⁷⁸ Thibaud, C., 2007. In her comments, she fully supported the recommendation in principle, but pointed out that it would not be so easy to achieve the objective in practice.

of the formulation of a coherent KZN Provincial Growth and Development Strategy (PGDS), by convening the consultative workshop in November 1994 thereby involving key stakeholders in the drafting process. Two key stakeholders participating in the PGDS drafting process were the African National Congress (ANC) and the Inkatha Freedom Party (IFP). The PGDS process made them then to set aside their political differences for the common goal of the Reconstruction and Development Programme, namely the up-liftment of the majority of the poor and disadvantaged people of KZN over the period under discussion, namely 1994 to 2000.

4.4.1.2 The KZN Provincial Government appointed a dedicated management team to manage the drafting process in accordance with project management practices by first delegating on 14 December 1994 the task of compiling the Provincial Growth and Development Strategy (PGDS) to the Department of Economic Affairs and Tourism (DEAT) and the REF. Thereafter, from these two bodies and the Department of Local Government and Housing (DLGH), the Provincial Development Planning Management Committee (PDPMC) was established for the day-to-day management of the drafting process. Although written agreements were not secured, all HoDs were invited to nominate Departmental representatives for the first meeting of the PDPMC scheduled for 31 August 1995.

4.4.1.3 Not all Departments were present at the first PDPMC meeting. This was a prevailing pattern during the PGDS drafting process, which was detrimental to the principle of participation and alignment throughout the PGDS formulation process. This trend manifested itself in that Departments were not represented at PDPMC meetings, and if they were, officials, without the necessary decision-making mandates attended meetings. It was also clear that what was discussed at the PDPMC meetings was not reported to the upper management of Departments.

4.4.1.5 The PDPMC was from the beginning committed to a crucial aspect of the communicative approach to strategy formulation, namely, the ongoing communication between the PDPMC and KZN Provincial Cabinet to ensure political support and to keep Cabinet members informed on the progress with the PGDS drafting process.

4.4.2 Planning Phase: Step 2: Clarify organisational mandates

4.4.2.1 The PDPMC recognized that integral to the drafting of the Development Perspective, was a synthesis of the formal and informal mandates by collecting and analysing the relevant acts and development policies. Pertinent examples were the Constitution, the RDP White Papers and the Development Facilitation Act.

4.4.3 Planning Phase: Step 3: Identify strategic issues facing the organisation

4.4.3.1 For the KZN Government to be an effective development agent, the Matrix of Basic Needs was an ideal instrument to reflect the status quo regarding the

provision of basic services and facilities in the Province. The document was the result of a thorough analysis of the then existing information, and informed the capital and operating costs if the Province was to address the service backlogs over a 20 year period. The Matrix then served, therefore, as a solid base for formulating the Provincial Vision and supporting strategies to address the identified development challenges over the envisaged 20 year period.¹⁷⁹

4.4.4 Planning Phase: Step 4: Formulate vision and goals

4.4.4.1 The Provincial Vision included in the PGDS was drafted during a comprehensive consultative process, which included a wide range of stakeholders. The Vision could be seen as an expression of what the KZN Provincial Government wanted for itself, municipalities and other participating stakeholders.

4.4.5 Planning Phase: Step 5: Undertake a SWOT analysis

4.4.5.1 A standard SWOT analysis was undertaken during the drafting process to inform the PGDS Strategies. The environment inside and outside Provincial Government was explored to identify the Strengths, Weaknesses, Opportunities and Threats. A definite balance was struck by not over-emphasising the threats at the cost of opportunities.

4.4.6 Planning Phase: Step 6: Formulate and adopt strategies to address strategic issues

4.4.6.1 The adopted Provincial Growth and Development Strategy (PGDS) contained six principles informing the vision and strategy, including seeking and creating new areas for development, redressing of social inequities and integration of growth and redistribution. The PGDS consisted of seven programmes with related objectives. Programmes One to Five are the areas of intervention, with a growth and redistribution objective. Programmes Six and Seven were identified as two pre-conditions to ensure the future success of the PGDS.

As a plan, the PGDS was a deliberate course of action or guide, to address KZNs' specific developmental situation. The Provincial strategies were developed in advance and with a specific purpose to achieve a desired outcome. The Provincial Government could thus adopt the generally accepted PGDS, after the Provincial Economic and Development Summit, 11 - 12 April 1996 in its' final format, entitled the Provincial Growth and Development Strategy, or PGDS, on 3 July 1996, by Cabinet Resolution No. 236.

¹⁷⁹ The Matrix was never revised after it was initially drafted in September 1995, and hence outdated in 2006.

4.4.7. Strategic Management Model Presentation Format

4.4.7.1 The manner in which the six steps of the strategic planning phase of the Provincial Growth and Development Strategy (PGDS) was presented in Section 4.4.1 to 4.4.6 is evidence that the strategic management information pertaining to the PGDS planning phase, could be presented in a narrative format in accordance with the six Planning steps of the Model.

4.5 MEANING OF CHAPTER

The focus is on the first or planning phase of provincial strategic management of integrated development planning under an IFP Provincial Government. The chapter confirms the six steps of the strategic planning phase and that the planning of the KwaZulu-Natal Provincial Growth and Development Strategy (PGDS) was undertaken in accordance with each of the six strategic planning steps. The PGDS, adopted in 1996, by the IFP-led KZN Provincial Cabinet, was reviewed from 2000 to 2004. However, a second generation PGDS was never approved by the ANC-led Provincial Government by 2004 when the draft reviewed PGDS was finalised. In 2006, the Provincial Spatial Economic Development Strategy was adopted by Provincial Cabinet to guide economic development in KZN.

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CHAPTER FIVE

IMPLEMENTATION OF THE PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY

“There seems to be a conflict between people’s expectations and what government can deliver. People’s expectations are not being met, for example, everyday jobs are lost at an alarming rate, even though one hears about job creation.”¹

- Thembeni Mhlongo, Psychologist

5.1. INTRODUCTION

After the adoption of the KZN PGDS on 3 July 1996, the implementation process commenced. Reference is made to the fact that during step one, namely planning of plan implementation, an institutional structure was established and implementation framework designed in preparation for implementation. An evaluation of and recommendations on the effectiveness of these actions is made. A detailed breakdown follows of phase two, or the phased implementation phase. Under the phased implementation phase, the activities of the actual implementation of the PGDS are discussed, upon which an evaluation is done and recommendations made.

5.2 IMPLEMENTATION PHASE

5.2.1 Focus of Strategic Management Model

The focus of this section is on the **implementation phase** of the management model in relation to the implementation of the KZN Provincial Plan or KZN PGDS from 1996 to 2000² and is highlighted in the Key:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

¹ Mhlongo, T, 2007:1.

² The strategic management of the KZN Provincial Plan or Provincial Growth and Development Strategy (PGDS) for the period 1996 to 2000 is addressed in Chapters Three to Five, the strategic management of integrated development planning from 2000 to 2006 is discussed in Chapters Six to Nine.

5.2.2 Evaluation Methodology

Under each strategic management step the Model requirements are repeated as set out in Chapter 3, Section 3.4, actions taken to meet the specific step requirements are described, evaluated and recommendations made, with the aim of answering the following evaluation criteria:

“How and to what extent did the implementation (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic implementation step in this chapter are repeated or listed again in Chapter Ten with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

5.3 STEPS OF IMPLEMENTATION PHASE

5.3.1. Step Seven: Planning of Plan Implementation

The Key highlights the *“Implementation Phase: Step 7”* of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

5.3.1.1 Strategic Management Model Evaluation Criteria

Prior to plan implementation, the Provincial Government undertakes planning for plan implementation. Provincial strategies are converted into a series of actions or tasks to realise the objectives of the strategic plan. This process results in a series of action plans containing at least the following aspects, namely roles and responsibilities of managing committees and individuals; objectives, milestones and actions steps; resource requirements; and control measures.

5.3.1.2 Task Team and Secretariat

In 1996, Provincial Cabinet made the Provincial Management Executive Committee (MEXCO) responsible for implementing the Strategy.³ The MEXCO was assisted by a PGDS Task Team,⁴ with specific functions and activities.⁵ The Task Team was chaired by the Premier's Department⁶ and supported by a dedicated secretariat.⁷ An Implementation Framework was adopted to guide the implementation of the PGDS.⁸ A communication strategy was also developed to communicate the PGDS as wide as possible.⁹

(A) Establishment

On 3 July 1996, the Provincial Cabinet gave the responsibility to implement the PGDS to the MEXCO, chaired by the KZN DG, and consisting of the Provincial HoDs.¹⁰ For the facilitation, co-ordination and monitoring of the implementation of the PGDS programmes, the MEXCO was assisted by a small PGDS Task Team (the Task Team), consisting of senior staff members (i.e. Chief Director or above) of the DEAT and DLGH, as well as the Regional Economic Forum (REF).¹¹ The MEXCO handed the task of chairing the Task Team to the DoP.¹²

The Task Team would report to MEXCO once every quarter on progress made, and difficulties experienced during the implementation process.¹³ Furthermore, each Department was required to identify and nominate an individual at Director level and higher, to manage the respective department's role in implementing the PGDS.¹⁴

The MEXCO resolved on 11 November 1996, that the DoP would be responsible for chairing the PGDS Task Team.¹⁵ To assist the Task Team with secretariat

³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:1 - 3.

⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:1 - 2.

⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:1 - 6; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 1. Minutes Task Team meeting, 27 November 1996:1.

⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol.1. PGDS: Proposed Implementation Framework, December 1996.

⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:1 - 2.

¹⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:1 - 3.

¹¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:1 - 2.

¹² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Background and progress on implementation of the Provincial Growth and Development Strategy (PGDS), 12 February 1997:2.

¹³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:2.

¹⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1. Memorandum to MEXCO, 30 September 1996:3.

¹⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 1. Minutes Task Team meeting, 27 November 1996:1. In the same Task Minutes on page 1 the DEAT " ... *expressed reservations regarding the co-ordination*

functions, the Task Team resolved to appoint a consultancy of which its Terms of Reference was discussed on 27 November 1996.¹⁶ However, the DLGH offered as an interim arrangement the services of one staff member to assist with the secretariat function.¹⁷ The DLGH and DEAT agreed to co-fund the consultancy based secretariat or project management function.¹⁸

(B) Functions and activities

The MEXCO, at its meeting, dated 9 December 1996, approved the proposals tabled by the Task Team on its functions, the appointment of the Secretariat and the communication strategy.¹⁹ The six main functions of the Task Team were identified as the following,²⁰ namely to:

- Liaise with, and secure participation of, the implementation Departments;
- Render support to Departments in building their development planning capacity, on request;
- Ensure the submitting of reports to the MEXCO via the Director-General;
- Ensure that a proper communication strategy is in place to create awareness of the PGDS, and to ensure effective communication between Government Departments, and between the MEXCO as the manager of the PGDS, and other institutions and organizations;
- Appoint the Secretariat consisting of the Project Manager and a personal assistant; and
- Ensure sustained administrative support.

To meet the requirements of the first bullet above, the Task Team identified at least five major activities: The Task Team would provide feed-back from the Provincial Cabinet, the MEXCO, Departments, REF and other meetings to the Provincial Departments.²¹ The Task Team could decide on further actions relating to the implementation of the PGDS programmes and/or projects.²²

The Task Team was to oversee, monitor and evaluate the performance of individual Departments through the Departmental representatives, in conjunction with the project manager, with the focus on the planning, implementation, budgeting,

function of the Department of the Premier since the ... (DEAT) is also responsible for co-ordination of activities in the Province.”

¹⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 1. Minutes Task Team meeting, 27 November 1996:1.

¹⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 1. Minutes Task Team meeting, 27 November 1996:2.

¹⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 1. Minutes Task Team meeting, 27 November 1996:1 - 2.

¹⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, 9 December 1996:1 - 3.

²⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:1 - 6.

²¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

²² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

monitoring and evaluation of programmes and/or projects, which were identified in the PGDS.²³ It could request Provincial Departments to identify new programmes and/or projects consistent with the PGDS.²⁴ The Task Team would also function as a co-ordination mechanism between the PGDS and the national initiatives and stakeholders.²⁵

(C) The Secretariat

The main responsibility of the Secretariat, consisting of a consultant, was to assist the Task Team to facilitate the implementation of the PGDS. To support the Task Team, the Secretariat's main functions were twofold, namely:²⁶

- Liaison and co-ordination of actions of all stakeholders related to the implementation of the PGDS; and
- Assisting with the planning, implementation, monitoring and evaluation of programmes and/or projects identified in the PGDS.

The secretariat activities related to bullet one above, dealt with the setting up of meetings of the Task Team, preparation of agendas and minutes of meetings, and submissions for the MEXCO, corresponding with the designated Departmental representatives and to make information available in accordance with the proposed Communication Strategy.²⁷

Activities related to the second bullet above dealt with project management monitoring tools such as Gantt Charts and Pert Diagrams.²⁸ The Project Manager could assist with the appointment of consultants for the Task Team and Departments related to PGDS projects.²⁹ Stakeholders should be supported in their development planning capacity building by making documentation, such as the PGDS base document, Regional Plans and Integrated Development Frameworks, available to them.³⁰

²³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

²⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

²⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:2.

²⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure A, 9 December 1996:4.

²⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure B, 9 December 1996:4.

²⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure B, 9 December 1996:4 - 5.

²⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure B, 9 December 1996:5.

³⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, Annexure B, 9 December 1996:5.

(D) Placement of co-ordination function

It was evident that the DEAT had strong reservations regarding the decision of the MEXCO to place the co-ordination/chairing function for the PGDS implementation with the Premier's Department.³¹ The DEAT argued that the Provincial RDP co-ordination function was within the DEAT.³² The DEAT was to be responsible for co-ordination of development activities in the Province.³³ The DEAT was of the opinion that the Task Team should approach the MEXCO, to review the decision of the final placement of the Secretariat, especially in view of the dual funding arrangement.³⁴

Another view expressed was that the appointed project manager (to manage the secretariat services) would be managed by the Task Team, notwithstanding its placement in a particular Department.³⁵ The Project Manager would work for the Task Team, but only be attached to a specific department for administration purposes.³⁶

The function of chairing the PGDS Task Team was still with the DoP in 1999 when the first concerted attempt was made to review the PGDS.³⁷ The major change was effected on 15 February 1999, when the DEAT transferred the Secretariat function from the appointed Project Manager to two officials within the DEAT.³⁸

(E) Implementation Framework

A framework - developed by the REF - was put forward to, and accepted by, the Provincial Cabinet as the instrument for guiding and monitoring the implementation of the PGDS on December 1996.³⁹ The Implementation Framework listed the 37 programmes, and/or projects, which make up the PGDS, assigned responsibilities to Departments and allocated time frames for implementation.⁴⁰ The idea was that the Framework would be updated as Departments continued with the implementation of the 37 elements, and submitted to the Cabinet to monitor the PGDS implementation programme.⁴¹ Table 5.1 contains an example of one such element.

³¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:1.

³² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:1.

³³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:1.

³⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:1.

³⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:2.

³⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 27 November 1996:2.

³⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2 - 11. Task Team Minutes, Cabinet Memorandums and Reports.

³⁸ KwaZulu-Natal, DLGH File 8/2/3/2/3/2. Letter from the DEAT to the PGDS Extended Task Team members, 8 February 1999.

³⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol.1. PGDS: Proposed Implementation Framework, December 1996.

⁴⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. PGDS: Proposed Implementation Framework, December 1996.

⁴¹ An overview of the documents on the reporting to the KZN Provincial Cabinet and MEXCO on the implementation of the PGDS took on different formats and this schedule was not used to the extent

**TABLE 5.1: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY:
PROPOSED IMPLEMENTATION FRAMEWORK**

PROGRAMME ONE: BUILDING A WINNING PROVINCE							
STRATEGY	ACTIONS	PRODUCT	TIME FRAME S	AGENT	NEXT STEP	DATE	AGENT
1.Port development	Establish a task team to focus on integrated ports and transportation development	Integrated strategy and plan for port and transportation in KZN	August 1997	DEAT/KNZREF	1. Draft Terms of Reference 2. Identify role players	Nov 1996	REF

Source:

PGDS: Proposed Implementation Framework, December 1996:1.⁴²

(F) Communication Strategy Proposal

The introduction to the proposed Communication Strategy prepared by the REF⁴³ for the Task Team started with a very prominent statement:

*“A key to the success of the implementation of the (Strategy) is (communication)!!! Communication is imperative not only within provincial government departments, but also at the political and civil society levels.”*⁴⁴

Therefore, the objectives of the Strategy were to create awareness of, and secure support for the PGDS amongst the citizenry of the Province.⁴⁵ It aimed to assist in building strategic alliances and partnerships between Provincial Government and other stakeholders during the implementation of the PGDS.⁴⁶ The Strategy was intended to be a reporting and monitoring tool for the PGDS’s implementation.⁴⁷

The ultimate aim was to ensure that each citizen became actively involved in the implementation of the PGDS.⁴⁸ In addition to the general public, the target groups were members of the National and Provincial Parliament, Regional and Local Councils, National, Provincial and Local Government Officials, business, labour,

envisaged at its inception.

⁴² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol.1. PGDS: Proposed Implementation Framework, December 1996.

⁴³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:1 - 9.

⁴⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:1.

⁴⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:2.

⁴⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:2.

⁴⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:2.

⁴⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:3.

CBO's/NGO's, international agencies/Governments and the media.⁴⁹

The Task Team envisaged that each Department would identify an individual to manage that specific Department's responsibility in implementing the PGDS.⁵⁰ Such champion should allocate resources to the Communication Strategy, and ensure that each programme undertaken within the ambit of the PGDS includes a communication element.⁵¹

A variety of communication mediums were proposed and were categorised into four groups, namely publications, audio-visual material, electronic media (including the internet) and personal communication.⁵²

The MEXCO approved the Communication Strategy as requested on 9 December 1996.⁵³ A further recommendation was that the MEXCO support an application by the DoP for additional funds from Treasury for its communications budget, to support the PGDS Communication Strategy.⁵⁴ The estimated cost of R 1 560 000.00 for the implementation of the Communication Strategy was thus secured in principle.⁵⁵

5.3.1.3 Establishment of PGDS Extended Task Team

To establish the institutional structure for what was to become the PGDS Extended Task Team (the Extended Task Team), the DoP sent out invitations to each HoD to nominate departmental champions, which would facilitate the implementation of the PGDS by the respective Departments.⁵⁶ However, at the second meeting of the PGDS Task Team on 27 November 1996 it became clear that the Task Team already had the challenge to obtain the full support of the HoDs for the implementation of the PGDS.⁵⁷ Only four of the HoDs responded to the invitation of the Task Team to nominate departmental champions.⁵⁸

⁴⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:3.

⁵⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:4.

⁵¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:4.

⁵² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:7 - 9.

⁵³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Memorandum for MEXCO, 9 December 1996:3 as reflected in Annexure C:1- 9.

⁵⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Communications Strategy for the PGDS prepared for MEXCO, November 1996:5.

⁵⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2 PGDS Communication Campaign, 3 March 1997; KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 11. Minutes Task Team meeting, 11 February 1999:3. The Communication Strategy was never implemented as envisaged and was finally shelved at the meeting of 11 February 1999.

⁵⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2, Minutes Task Team, 27 November 1996:2.

⁵⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2, Minutes Task Team, 27 November 1996:2.

⁵⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2, Minutes Task Team, 27 November 1996:2.

This lack of interest by some Departments would hamper the future efforts of the Task Team to facilitate and co-ordinate the implementation of the PGDS effectively.⁵⁹ At this very early stage many of the HoDs had an apparent lack of interest in the PGDS implementation, despite the fact that they were members of the MEXCO.⁶⁰

The lukewarm reaction of the HoDs towards the commencement of the PGDS implementation did not discourage the Task Team with the process of identifying and appointing the PGDS Secretariat or project manager.⁶¹ On 19 December 1996, an advertisement was placed in the press calling for proposals by interested parties.⁶² The selection process continued whereafter the best qualified consultants' appointment was ratified on 17 February 1997.⁶³ The Secretariat/Programme Manager was established within the DEAT.⁶⁴

Furthermore, the Task Team continued to seek the involvement of the Provincial Departments with the PGDS implementation.⁶⁵ On 23 December 1996, a letter went out to all Department HoDs inviting representatives with the rank of Director and higher to participate in a workshop on 13 February 1997, to discuss the implementation of the PGDS.⁶⁶ This invitation was supported by the MEXCO in a resolution taken on 11 November 1996.⁶⁷

As scheduled, the workshop took place on 13 February 1997.⁶⁸ The central aim of the workshop was to identify role players in Departments to implement the PGDS, collectively known as the PGDS Extended Task Team (henceforth Extended Task Team).⁶⁹ This workshop was necessary, because not all Departments had participated in the PGDS thus far, and it was essential that Provincial Departments shared the

⁵⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2, Minutes Task Team, 27 November 1996:2.

⁶⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2, Minutes Task Team, 27 November 1996:2.

⁶¹ The Natal Witness, Advertisement, 19 December 1996.

⁶² The Natal Witness, Advertisement, 19 December 1996.

⁶³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2 KwaZulu-Natal, The Provincial Growth and Development Strategy Inception Report. Draft Document, *circa* May 1997:3.

⁶⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Minutes Task Team, 10 February 1997:1; KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2. KwaZulu-Natal, The Provincial Growth and Development Strategy Inception Report. Draft Document, *circa* May 1997:18 and Appendix 1. To distinguish between Departmental project management and PGDS project management task, the responsibility of the Secretariat was converted from project management to programme management of the seven PGDS Programmes. Mr. Rowan Shuttleworth was appointed as PGDS Programme Manager; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 6. Minutes Task Team, 30 January 1998:4. From this meeting onwards DEAT staff took over the secretariat function for the PGDS until 2000 when the DEAT withdrew from the 1996 PGDS process because of restructuring. See Chapter Six, Section 6.3.2.2 (B) (ii).

⁶⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Letter from Chairman: PGDS Task Team to Secretary: Department of Agriculture:1 - 2.

⁶⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Letter from Chairman: PGDS Task Team to Secretary: Department of Agriculture:1 - 2.

⁶⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Letter from Chairman: PGDS Task Team to Secretary: Department of Agriculture:2.

⁶⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:1.

⁶⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Letter from Deputy Director: Planning Policy and Research to Housing Branch, DLGH:2 - 3.

responsibility of implementing the PGDS.⁷⁰

Departments represented at the workshop were the following, namely the DoP, DLGH, DEAT, Education, SAPS, Welfare and Population Development, Public Works and Health. Not present were the Departments of Finance, Agriculture, Economic Affairs and Tourism, as well as Transport.⁷¹ The Department of Health indicated that, through the District Health System, it was already implementing aspects of the PGDS.⁷²

For the Task Team, interaction at the workshop with Departments was decisive in determining the process for ensuring that the implementation of the PGDS was undertaken in a co-ordinated manner. Departments were requested to determine their respective roles in the PGDS implementation, given their resource and personnel constraints, and how budgets should be re-prioritised to realize the PGDS implementation.⁷³

The Task Team was careful in the approach towards Departments in that it made an effort not to appear to be prescriptive to Departments.⁷⁴ Departments were requested to indicate progress, by asking whether time frames for projects were “reasonable”, and whether they agreed with proposed actions for implementation.⁷⁵ They were also requested to make any additions they considered necessary to the PGDS.⁷⁶ The absence of a representative from Treasury was specifically a concern for the Task Team, because the presence of Treasury in the PGDS implementation process was essential.⁷⁷ Hence, the resolution that the MEXCO should be requested again to ensure that the Treasury Secretary (or Treasury HoD) be accommodated on the Task Team.⁷⁸

The Task Team convened a follow-up workshop on 1 March 1997.⁷⁹ The Department of Public Works and the Department of Finance tendered apologies.⁸⁰ The background and contents of the PGDS were highlighted again, as well as the fact that Departments were already undertaking certain programmes.⁸¹ It was pointed out that the assistance of Departments was needed to initiate other elements of the PGDS. In this regard it was stated:

“... all departments, which have a similar objective should come together, identify

⁷⁰ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷¹ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷² KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷³ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷⁴ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷⁵ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2; and

KwaZulu-Natal, DLGH TRP 15/8/3/1. Vol. 2. Special meeting Task Team, 13 February 1997:1- 2.

⁷⁶ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2.

⁷⁷ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2

⁷⁸ KwaZulu-Natal, DLGH TRP File Vol.15/8/3/1. Vol. 2. Report on Workshop, 13 February 1997:2

⁷⁹ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:1 - 5.

⁸⁰ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:1.

⁸¹ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:1.

*opportunities and work together in a co-operative spirit.”*⁸²

The existing lack of co-operation between Departments led to one delegate expressing a rather despondent view of Provincial Departments’ effectiveness with service delivery:

*“... there is ... disillusionment in the business sector about the performance of the KZN Government.”*⁸³

At the meeting, it was highlighted that the alignment between Provincial and National Departments was an absolute prerequisite for the future success of the PGDS.⁸⁴ Another delegate emphasised that community needs had to be taken into account during the planning and implementation of development initiatives.⁸⁵

The Provincial Secretariat for Safety and Security indicated that an eighth Programme, “*Safety and Security*”, should be included in the PGDS.⁸⁶ The proposed name for such programme was entitled: “*Ensuring Safety for a Winning Province.*”⁸⁷ The Provincial Secretariat for Safety and Security was of the opinion that without a crime prevention strategy, no implementation would take place.⁸⁸ Although an eighth programme was never included into the PGDS base document, a Safety and Security Workgroup was established, which actively participated throughout the PGDS implementation process.⁸⁹

5.3.1.4 Securing support of each Provincial Department

After March 1997, the Task Team changed strategy in order to obtain the full buy-in of Departments for the PGDS implementation process.⁹⁰ The approach shifted to an individual approach towards Departments.⁹¹ For this purpose, the Secretariat developed a framework indicating each Department’s role and responsibilities regarding the PGDS, reflected in Table 5.2.

⁸² KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:2 - 3.

⁸³ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:3.

⁸⁴ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:4.

⁸⁵ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:4.

⁸⁶ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:4.

⁸⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 9 April 1997:3.

⁸⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Departmental Workshop Notes, 13 March 1997:4.

⁸⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 10. PGDS Status Quo Report August 1998. The Safety and Security Work Group submitted its first Progress Report in August 1998 to the Extended Task Team.

⁹⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. PGDS Secretariat and Department and Safety and Security meeting, 2 April 1997:1.

⁹¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. PGDS Summary:2.

**TABLE 5.2: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY:
DEPARTMENTAL RESPONSIBILITIES**

DEPARTMENTS	DEVELOPMENT STRATEGY PROGRAMMES						
	1	2	3	4	5	6	7
Agriculture				X			
Economic Affairs and Tourism	X	X	X	X	X	X	
Education and Culture					X		
Finance ⁹²	X	X	X	X	X	X	X
Health				X			
Regional Economic Forum	X	X	X				
Local Government and Housing	X	X	X	X		X	X
Office of the Premier							X
Provincial Secretariat for Safety and Security ⁹³	X		X	X		X	
Traditional and Environmental Affairs			X	X		X	
Transport	X			X			
Welfare and Population				X			
Works		X					

Programme 1: Building a Winning Province

Programme 2: Enabling Local Economic Development

Programme 3: Fuelling the Powerhouse

Programme 4: Addressing the needs of the Poor

Programme 5: Development and Utilisation of Human Resources

Programme 6: Formulation of an appropriate Spatial Framework

Programme 7: The Development of Institutional and Implementation Capacity

Source:

PGDS Development Strategy Programmes, *circa* March 1999:1.⁹⁴

During the meetings with Departments, the Secretariat tabled the aforementioned document as basis for discussion.⁹⁵ Departments were requested to submit the organizational structures, operational boundaries (of which it transpired that most were not aligned with the Regional Council boundaries), budgetary commitments, future development initiatives, current development priorities, anticipated role in the implementation of the PGDS, the anticipated human resource programme and budgetary

⁹² Research observation. The row was not completed. However, Finance would be involved in all programs.

⁹³ J. Martin, 2007, indicated that although the PGDS documentation refers to the South African Police Services (SAPS) the correct reference was the Provincial Secretariat for Safety and Security; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. PGDS Secretariat and Department and Safety and Security meeting, 2 April 1997:5. The contribution of the Safety and Security Secretariat to the PGDS programmes was clarified at this meeting.

⁹⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. PGDS Development Strategy Programmes, *circa* March 1997: p 1.

⁹⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Agenda for Departmental meetings.

adjustments.⁹⁶

The results of the survey were made known to the Extended Task Team on 9 April 1997.⁹⁷ Some Departments indicated and/or reconfirmed their responsibility and/or involvement in the respective programmes of the PGDS.⁹⁸ Whilst some Departments were clear about their own Departmental initiatives, some of them, at that stage, did not finalise their own annual development programmes (i.e. Department of Education and Culture, DEAT, Traditional Affairs and Welfare and Population).⁹⁹

Departments highlighted the anticipated constraints in the implementation of the PGDS, of which the following were the main points:¹⁰⁰

- A lack of finance (bearing in mind the scale of the backlogs identified in the Matrix of Basic Needs);
- The shortage of skilled personnel (especially project managers);
- Governmental red tape (budgeting processes and lengthy appointment procedure of consultants to assist with project implementation);
- The lack of reliable data base (e.g. location of existing infrastructure);
- Lack of clarity on how the different Departments would work together (taking into account Departments were responsible for spending their own money, because the HoDs were the accounting officers); and
- Resistance of Departments to take on outside assistance (or Departments did not want the Team to encroach on their territory).¹⁰¹

A general concern was expressed that the PGDS could become “... *another ‘White Elephant’ that would not be able to sustain itself.*”¹⁰²

Although Departments were committed to the PGDS, they highlighted anticipated constraints during the PGDS implementation phase.¹⁰³ Therefore, the Departments expected the PGDS Task Team to attend to the following integrated development planning imperatives:¹⁰⁴

- Facilitation of discussion between, and, within Departments;
- Facilitation of co-operation between Provincial and National Departments;
- Providing training to staff to enable implementation of the Strategy;
- Establishment of a reliable, up-to-date Provincial Geographic Information System (GIS); and

⁹⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Proposed Agenda for Departmental meetings.

⁹⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:1 - 28.

⁹⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:14 - 23.

⁹⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:14 - 23.

¹⁰⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:24.

¹⁰¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. The researcher inserted the examples to clarify the meaning and contexts of each statement based on his knowledge of the situation at that time.

¹⁰² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:24.

¹⁰³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:25.

¹⁰⁴ KwaZulu-Natal, LGH TRP File 15/8/3/1. Vol. 2. Presentation on PGDS, 9 April 1997:25.

- Encourage the Provincial Department of Finance to be seen to be more actively involved in the PGDS.

As a way forward, the Departments proposed the following actions:¹⁰⁵

- Departments to identify PGDS champions. At that time the Department of Education and Culture, DEAT and Welfare and Population Development had not yet nominated their “departmental champions”;
- Interdepartmental Programme Teams were to be established;
- Pilot projects were to be identified to assist with Departmental co-operation; and
- The Task Team was to initiate consultation with National Department, organised labour, organized business and NGO’s.¹⁰⁶

5.3.1.5 Evaluation and Recommendations

(A) Evaluation

The institutional structures for the planning of plan implementation were established, namely the Task Team, Extended Task Team and Secretariat. The establishment of the Task Team and Secretariat was undertaken first with the view to plan the rest of the implementation activities. The PGDS Implementation Framework reflecting the 37 elements of the PGDS that needed implementation, was developed to assist the implementation process.

The main activities during the planning for plan implementation focussed on alignment. The Task Team interacted with the Provincial Departments to determine their involvement in the PGDS implementation through the establishment of the Extended Task Team. The matrix reflected in Table 5.1 indicated the role of each Department in the implementation of the PGDS and assisted in this regard. The matrix identified also at an early stage the resource constraints that might hamper the successful implementation of the PGDS.

Although Departments indicated support for the PGDS, the finalisation of the 1997/98 budget indicated that Department’s re-prioritisation had not been achieved to the extent required. This development indicated at an early stage that alignment between the PGDS and Departmental programmes would need on-going communication, and a sensitive careful negotiation approach to achieve alignment, support and general co-operation.

The basic requirements for the successful planning for plan implementation of the PGDS, namely the allocation of roles and responsibilities between Departments, were achieved. The private sector was not part of this initiative, which is indicative of a gap in the integrated development planning process. The rest of the planning of

¹⁰⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2, Presentation on PGDS, 9 April 1997:27.

¹⁰⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 2, Presentation on PGDS, 9 April 1997.

plan implementation requirements, namely the determination of specific objectives, milestones and action steps; resource requirements and control measures were not met which made the implementation process open-ended and difficult to manage by the Task Team.

(B) Recommendations

To ensure improved planning for plan implementation the following is recommended:

- (i) Prior to any implementation of a Reviewed Provincial Growth and Development Strategy, the steps of planning for plan implementation need to be agreed upon by all stakeholders to prevent a lack of commitment¹⁰⁷;
- (ii) During the annual Departmental Strategic Planning sessions the Provincial Growth and Development Strategy aspects relevant to a sector department should be included in the adopted Departmental Annual Strategic Plan;¹⁰⁸ and
- (iii) Written agreements between stakeholders are signed to secure sectoral or line function commitment for the planning for plan implementation process and actual implementation.

5.3.2 Step Eight: Phased Implementation

The Key highlights the “*Implementation Phase: Step 8*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

¹⁰⁷ Thibaud, C., 2007. She fully supported the recommendation, but pointed out that it would not be so easy to obtain such joint Departmental support.

¹⁰⁸ Martin, J.W, 2007.

5.3.2.1 Strategic Management Model Evaluation Criteria

The action plans drafted during the planning of plan implementation step are managed into action or operationalised to achieve the desired results in practice. The correct application of project management practices are to be followed for achieving success.

5.3.2.2 Pilot Projects and lack of Co-ordination

At the Extended Task Team meeting of 9 April 1997, the chairperson summarised the working relationship between Departments as follows:

*“... there seems to be a lack of overall co-ordination between the various Departments.”*¹⁰⁹

The solution to this situation was put forward as the initiation of pilot projects in each of the seven DCs, to encourage Departments to work together and re-prioritise their budgets.¹¹⁰ The ideal vehicle for the pilot initiative would be the Rural Service Centre/System (RSC/RSS) concept.¹¹¹ The DLGH and DEAT were mandated at the meeting of 9 April 1997, to identify such pilot projects in consultation with the Regional Councils (RCs), and based on the Matrix of Basic Needs.¹¹²

The study undertaken by Professor Peter Robinson of the then University of Natal, on a hierarchy of urban centres¹¹³ was the ideal instrument to identify the location of such centres.¹¹⁴ Stanley Mcetywa, the DEAT Task Team member, summarised the RCS/RSS concept as follows:

*“The Rural Service Centres will undertake public services ... For instance pension payout points, amongst others need to be strategically located (for achieving) integrated development.”*¹¹⁵

In Robinson's own words, the RSC concept is:

“a focal point at which a comprehensive range of essential services can be obtained by

¹⁰⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2. Minutes Extended Task Team meeting, 9 April 1997:4.

¹¹⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2. Minutes Extended Task Team meeting, 9 April 1997:4.

¹¹¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2. Minutes Extended Task Team meeting, 9 April 1997:4.

¹¹² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 2. Minutes Extended Task Team meeting, 9 April 1997:5.

¹¹³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 4. Minutes Task Team meeting, 11 June 1997:4. At this meeting Robinson made a presentation on the RSC four tier model for KZN, namely cities/major towns, towns, rural centres and other settlements.

¹¹⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 4. Minutes Task Team meeting, 15 May 1997:2.

¹¹⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 4. Minutes Task Team meeting, 11 June 1997:5.

people living in its vicinity. Each rural service centre will act as a pool of human and physical resources from which the inputs necessary for rural development can be distributed efficiently, and from which rural people can draw to promote their development."¹¹⁶

The extent to which Departments were undertaking projects, without necessarily involving others therein, was revealed when the KZN Premier requested on 21 April 1997 for a comprehensive report by 5 May 1997, on rural development projects undertaken in the Province.¹¹⁷ Each Department was requested to provide information on projects, including a brief description, location, budget, and starting and completion date.¹¹⁸

Not all Departments submitted the required information timeously. By 15 May 1997, submissions were made by the DEAT, Health, DLGH, Secretariat for Safety and Security, DoT and Regional Economic Forum.¹¹⁹ Departments continued to submit their contributions by July 1997.¹²⁰ The final report, dated August 1997, contained information on 2 677 projects (which were implemented/to be implemented over a two year period) at a value of R 1.54 billion.¹²¹

Based on the interim results of the rural projects survey, three views emerged on the interpretation of the information.¹²² The one, that delivery was indeed taking place in the rural areas, and the other that the available information was to be analysed to determine emerging trends, and possible additional Rural Service Systems may emerge.¹²³

In contrast, another view was that the project and expenditure information was reflecting historical patterns and that a study be commissioned on a hierarchy of places, could be more reliable to determine the location of emerging centres.¹²⁴ The RCs, which had completed their sub-regional demarcation process, should be utilized in identifying such

¹¹⁶ Robinson, P., 2005: 363 - 364.

¹¹⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 3. Letter from Chief Director: Government Policy and Co-ordination to Secretary: DLGH:1 - 2.

¹¹⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 3. Letter from Chief Director: Government Policy and Co-ordination to Secretary: DLGH:1.

¹¹⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task meeting, 15 May 1997:3 - 4.

¹²⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Letter Programme Manager: PGDS to Chief Director: Land, Planning and Survey, 17 June 1997, p 1. To that date 1 400 projects to the value of more than R 800 million was recorded by ten Provincial Departments; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 4. Minutes Extended Task Team meeting, 3 July 1997:3 - 4.

¹²¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 8. The Status Quo of Rural Projects in KwaZulu-Natal, Executive Summary, August 1997:2; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 6. The Provincial Growth and Development Strategy, January 1998:2. Reference is made to the identification of over 2 400 rural development projects to the value of R 1.6 billion that were to be implemented over a two year period.

¹²² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 15 May 1997:3.

¹²³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 15 May 1997:3.

¹²⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 15 May 1997:3.

centres in each sub-region for investment purposes.¹²⁵ The Task Team thereafter oversaw the management of the Rural Service System project¹²⁶ through the establishment of the Rural Service System Workgroup, which included several sector Departments.¹²⁷

5.3.2.3 Further decisions to improve relationship with Management Executive Committee (MEXCO)

Despite the efforts by the Task Team and the Secretariat to obtain buy-in and market the PGDS to Departments, at the May 1997 meeting of the Task Team, the concern was raised that senior officials in the Province still had no idea of the PGDS, and that the Strategy would get nowhere.¹²⁸ Thibaud even went as far as saying that the PGDS was ultimately doomed to fail, if this aspect was not addressed in future.¹²⁹ Albrechts echoed this sentiment that planning has to be about the implementation of strategies, but that the power to allocate resources for implementation is usually found in a number of sectors and departments.¹³⁰

The Task Team also expressed concern about the relationship between itself and the MEXCO.¹³¹ The following three events were evident in this regard, namely:

- The Task Team was not invited to the Provincial Budget Indaba (held over the period 24 - 26 June 1997), and hence not involved in the drafting of the Medium Term Expenditure Framework (MTEF) to align the PGDS objectives with the MTEF;¹³²
- The development priorities identified by the Departmental Secretaries on 3 July 1997 were not based on the PGDS¹³³; and
- There was not sufficient support from the MEXCO for the PGDS which created the perception that Cabinet was not informed about the status of the PGDS.¹³⁴ The Task Team was of the view that the 3 months period that lapsed between the submission of PGDS progress reports to the MEXCO, contributed to this situation.¹³⁵

The Task Team considered several proposals to improve the communication and relationship with the Cabinet and MEXCO.¹³⁶ The easiest way of achieving this was to request that members of Cabinet and each HoD, became the PGDS Departmental

¹²⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 15 May 1997:3.

¹²⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 15 May 1997:3.

¹²⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 6. Letter Programme Manager to DLGH:1 - 3; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 6. Letter Programme Manager to DLGH:1.

¹²⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team, 15 May 1997:4.

¹²⁹ Thibaud, C., 2007.

¹³⁰ Albrechts, L., 1999: 599.

¹³¹ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team, 11 June 1997:2 - 3.

¹³² KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team, 11 June 1997:2

¹³³ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 18 July 1997:4.

¹³⁴ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:2.

¹³⁵ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:3.

¹³⁶ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:2 - 3.

champions.¹³⁷

The MEXCO would receive monthly progress reports and, in turn the MEXCO needed to approve/reject definite PGDS proposals, thus ensuring its commitment to the PGDS.¹³⁸ The Provincial Director-General should encourage the MEXCO members to submit Departmental progress reports on implementing the PGDS to the MEXCO.¹³⁹ The focus of the reports was on progress made with integrating PGDS objectives into the budgetary process.¹⁴⁰

The Task Team would initiate the improved communication effort by submitting regular Status Quo Reports on the PGDS to MEXCO.¹⁴¹ These reports would be based on information received from HODs on progress with the implementation of the Seven Programmes of the PGDS.¹⁴² The Reports should indicate areas for MEXCO members where resources had to be concentrated.¹⁴³

The Task Team wanted to make absolutely sure that the Cabinet and MEXCO did not see the PGDS as an add-on to existing Departmental programmes.¹⁴⁴ Aware of the difficulty experienced in obtaining support for the PGDS, a Safety and Security Secretariat member put forward the notion that no Provincial Department budget could be approved, unless it was aligned with the PGDS.¹⁴⁵ However, no record in the PGDS documentation exists that this proposal was ever implemented.¹⁴⁶

5.3.2.4 Progress with Implementation

Progress was made with the implementation of programs related to the PGDS¹⁴⁷ and an improvement in communication between Provincial Departments and Regional Councils was observed.¹⁴⁸

(A) Programs

Not all was bleak for the PGDS implementation programme. The DLGH reported on progress and stated that the Cabinet approved the Provincial Spatial Growth and Development Framework (PSGDF) of the PGDS.¹⁴⁹ Kwazulu-Natal was the first Province to adopt such a framework¹⁵⁰ for guiding public and private investment.¹⁵¹

¹³⁷ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:3.

¹³⁸ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:3.

¹³⁹ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:3.

¹⁴⁰ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 18 July 1997:3.

¹⁴¹ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 June 1997:3.

¹⁴² KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 July 1997:3.

¹⁴³ KwaZulu-Natal, TRP File 15/8/3/1. Vol. 4. Minutes of Task Team meeting, 11 July 1997:3.

¹⁴⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 18 July 1997:2.

¹⁴⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:6.

¹⁴⁶ Research observation.

¹⁴⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:7 as an example.

¹⁴⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 10. Draft Cabinet Memorandum, 16 July 1998:2.

¹⁴⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:7.

¹⁵⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:7.

The Provincial Rural Development Strategy and the Spatial Development Initiatives (SDIs) proceeded well at the time.¹⁵² One of the departmental representatives suggested that other provinces be contacted regarding their efforts to implement their PGDS.¹⁵³ In reply one of the Task Team members stated that it was not necessary:

*“... as KwaZulu-Natal was considered to be the leading Province in implanting the PGDS principles. Other Provinces were looking at KwaZulu-Natal for leadership.”*¹⁵⁴

(B) Improved communication between Departments and Regional Councils (RCs)

(i) Departmental views

The compilation of the first PGDS Status Quo Report, dated September 1997,¹⁵⁵ revealed a different picture to the Task Team on how the PGDS was perceived by HoDs and other stakeholders.¹⁵⁶ Departmental participants, in finalising the report, expressed appreciation for the need for the development of a co-ordinated overview or Report on development in the Province that could be an instrument for reporting and creating synergies between stakeholders.¹⁵⁷ The Report, however, identified three major factors, without which the PGDS could not be successfully implemented, namely the need to:¹⁵⁸

- Secure greater political and line function commitment;
- Strengthen communication systems between role players; and
- Appoint qualified and experienced personnel within Provincial and Local Government structures.¹⁵⁹

The draft Status Quo Report of September 1997, acknowledged an existing challenge regarding the status of the PGDS amongst Departments in project

¹⁵¹ KwaZulu-Natal PGDS, Provincial Spatial Growth and Development Framework, Executive Summary, February 1997:1 - 9; and KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 11 July 1997:6. The press release of the PSGDF was on 18 August 1997.

¹⁵² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:7.

¹⁵³ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Task Team meeting, 3 July 1997:7.

¹⁵⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 4. Minutes Extended Task Team meeting, 3 July 1997:7.

¹⁵⁵ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:(i) - 27.

¹⁵⁶ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:(i).

¹⁵⁷ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:(i).

¹⁵⁸ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:(i).

¹⁵⁹ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:(ii).

implementation:

*“...few, if any, projects, initiatives or programmes listed in the Status Quo Matrix (10 September 1997) can presently be accredited to the PGDS.”*¹⁶⁰

Furthermore, the Report also:

*“... suggested that the Status Quo Matrix and the PGDS Base document should not be considered as the only source of key strategic elements that will have an impact on the Province’s economic growth.”*¹⁶¹

With reference to the Cabinet’s political commitment to the PGDS, the Task Team expressed satisfaction that it was strong, because the MECs raised the PGDS in many speeches during 1997.¹⁶² However, it started to acknowledge that the PGDS base document was dated in certain respects.¹⁶³ The Task Team was extremely pleased that the RSS, as a so-called cluster development concept, was widely supported by Departments.¹⁶⁴

Based on the outcome of the Status Quo Report, the Task Team concluded that the PGDS implementation would be more successful by focussing on less elements of the Strategy, and thereby enabling Departments to prioritise projects.¹⁶⁵ Twelve (12) key catalytic elements within each programme of the seven Programmes were identified for this purpose.¹⁶⁶ The Task Team, furthermore, identified four lagging elements which required greater attention in future.¹⁶⁷

In support of the implementation of the 12 elements, the Task Team envisaged closer inter-governmental co-operation.¹⁶⁸ Hence, an Inter-Governmental Forum (IGF), consisting of the Provincial Cabinet, 7 Regional Councils and 61 Transitional Local Councils (TLCs) in KZN, was proposed.¹⁶⁹ The agenda of the Forum would be based on the future enhancement of the PGDS’s implementation programme.¹⁷⁰ The Task Team proposed to Cabinet that such an IGF be convened in future.¹⁷¹ However, on 11 March 1999 it became clear that the IGF could not take place:

¹⁶⁰ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:2.

¹⁶¹ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 4: Provincial Growth and Development Strategy Status Quo Report, September 1997:4.

¹⁶² KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 5. Minutes Task Team meeting, 28 August 1997:2.

¹⁶³ KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 5. Minutes Task Team meeting, 28 August 1997:2.

¹⁶⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 5. Minutes Task Team meeting, 28 August 1997:3 - 4.

¹⁶⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 5. Minutes Task Team meeting, 28 August 1997:2.

¹⁶⁶ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:4.

¹⁶⁷ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 5. PGDS Draft Status Quo Report, September 1997:8. The four lagging elements are discussed in Section 5.3.2.5(A).

¹⁶⁸ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:3.

¹⁶⁹ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:3.

¹⁷⁰ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:3.

¹⁷¹ KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 3, Cabinet Memorandum:6.

*“In whatever way we would want it, the KZN Co-operative Government forum process would not move until after the elections.”*¹⁷²

(ii) Regional Council views

The framework for the RCs co-operation with the PGDS structures is found in Schedules 4 and 5 of the Constitution.¹⁷³ Local government bodies were made implementing agents, and their inclusion within the PGDS structures would avoid the creation of parallel structures within municipal areas.¹⁷⁴

It was, however, decided initially not to include the RCs on the Extended Task Team, because these bodies were regularly informed about the PGDS and its initiatives.¹⁷⁵ For this purpose, the RC Chief Executive Officers (CEOs) meeting was the forum to give feedback on developments related to the PGDS.¹⁷⁶

Notwithstanding the constitutional rights and responsibilities of the RCs to make developmental decisions in terms of Schedules 4 and 5 of the Constitution,¹⁷⁷ the task of the RCs was not made easier because of the lack of co-operation between the Provincial Departments and RCs on planning and development programmes and projects within the area of jurisdiction of RCs.¹⁷⁸

On 5 March 1998, two of the seven RC Chief Executive Officers (CEOs) were invited to present their case before the Task Team that Departments including Transport, Public Works and Economic Affairs and Tourism did not involve the RCs in the decisions on projects in Council areas.¹⁷⁹ The democratically elected Councillors had to explain at length to their constituents why the Departmental projects were given preference, whilst RC identified priorities were ignored.¹⁸⁰ It was clear that National and Provincial Departments failed to observe Section 154(1) of the Constitution, which states that Departments must support and strengthen the capacity of municipalities to manage their own affairs.¹⁸¹ The manner in which Departments acted was contrary to this constitutional principle, they argued.¹⁸²

¹⁷² KwaZulu-Natal, TRP File 15/8/3/1, Vol. 11. Minutes Task Team meeting, 11 March 1999:4. The Forum was never convened and the research material did not make any further reference on this aspect of the PGDS.

¹⁷³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:6; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 9. MEXCO memorandum, 17 March 1998:4.

¹⁷⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 20 November 1997:5.

¹⁷⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:2.

¹⁷⁶ Brooks, F.R., 2007.

¹⁷⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:6.

¹⁷⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:6.

¹⁷⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

¹⁸⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

¹⁸¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

¹⁸² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

Inter-governmental co-operation was sought throughout the creation of synergies in policy implementation on a regional and local level.¹⁸³ Once the Regional Plans were completed, the implementation thereof would be impossible without co-operation of Provincial and National Government.¹⁸⁴ The RCs were not in a position to enforce co-operation.¹⁸⁵ Still:

*“A perception exists that Provincial Departments are ‘superior’ to the Regional Councils. Old style government thinking did not contribute to the process of co-ordinated regional development.”*¹⁸⁶

The RCs submissions to the Task Team highlighted the lack of alignment between the Provincial and Local spheres of government, and that the Task Team in turn was convinced that the establishment of a Provincial Inter-governmental Forum (IGF) could partly resolve the concerns.¹⁸⁷

5.3.2.5 A FOCUSED APPROACH

The PGDS Task Team identified sixteen strategic elements from the PGDS for priority attention.¹⁸⁸ An uneven response was received for the establishment of the 16 PGDS Work Groups.¹⁸⁹ An important work group was the ad hoc Finance Work Group.¹⁹⁰

(A) Identification of Sixteen Strategic Elements within the PGDS Programmes

The Task Team differentiated between catalytic and lagging elements in the PGDS.¹⁹¹ It was envisaged that the catalytic projects would have a fundamental impact on development Provincial wide, whilst the lagging elements had no momentum and required serious attention.¹⁹²

The 12 catalytic and 4 lagging elements, which the Task Team had identified, are

¹⁸³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:5.

¹⁸⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

¹⁸⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:4.

¹⁸⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:6.

¹⁸⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 10. Draft Cabinet Memorandum, 16 July 1998:2.

¹⁸⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Draft MEXCO Memorandum, 25 September 1997: 2 - 5; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:4 - 6.

¹⁸⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Letter from Chairman PGDS to Mr. v.d. Walt, HoD, DLGH, 12 December 1997:2.

¹⁹⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Draft Terms of Reference of the PGDS Finance Workgroup:1-2.

¹⁹¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Draft MEXCO Memorandum, 25 September 1997: 2 - 5; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:4 - 6.

¹⁹² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Draft MEXCO Memorandum, 25 September 1997: 2 - 5; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:4 - 6.

listed and described in Table 5.3.¹⁹³ The PGDS Status Quo Report highlighted the importance of prioritising 16 PGDS elements to achieve the full co-operation between the PGDS Task Team, HoDs and the Medium Term Expenditure Framework (MTEF), the so-called PGDS enabling framework elements, as follows:

*“In order to consolidate and strengthen this environment it would be appropriate ...to raise the profile of (these) elements from the seven PGDS programmes.”*¹⁹⁴

**TABLE 5.3: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY:
12 CATALYTIC AND 4 LAGGING ELEMENTS**

A. 12 X CATALYTIC ELEMENTS
PGDS Programme One: Building the Winning Province
(1) Departments were required to give more support and prominence to the Spatial Development Initiative (SDI) with the emphasis on Richards Bay, Durban and Lubombo in the Uthungulu Regional Council. Greater emphasis should be placed on the development of the La Mercy Airport north of Durban.
(2) The Department of Economic Affairs and Tourism had to promote the Small, Micro and Medium Enterprises (SMMEs) process more vigorously.
(3) Tourism initiatives in the Natal Midlands, Richards Bay, Durban and Lobombo needed further development injections.
PGDS Programme Two: Local Economic Development
(4) The existing ten Local Economic Development (LED) pilots had to be complemented by other initiatives.
(5) The expansion of the GIS pilot study in the Indlovu Regional Council to the remaining 6 Regional Councils and the Durban Metropolitan area.
Programme Three: Fuelling the Powerhouse
(6) Private and public sector constraints blocking housing delivery had to be addressed.
(7) The release of Ingonyama Trust ¹⁹⁵ land in especially the urban context was of critical importance.
(8) To take the Rural Service System concept further the appointment of the Integrated Rural Development Task was a prerequisite. The pilots Ingwavuma, Swayamani/Infayani and Lower South Coast, which were identified in the study by Robinson, needed support by all provincial stakeholders. ¹⁹⁶
Programme Five: Development and utilization of Human Resources
(9) KwaZulu-Natal Interim Consultative Council for Education and Training (KICCET):

¹⁹³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Draft MEXCO Memorandum, 25 September 1997: 2 - 5; and KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Minutes Task Team meeting, 28 August 1997:4 - 6.

¹⁹⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Status Quo Report, September 1997:7.

¹⁹⁵ The Ingonyama Trust administers the Traditional Authority land in KZN on behalf of the Zulu Monarch or King.

¹⁹⁶ Research Note: It should be noted that research reveals that the Task Team did not identify any catalytic element(s) from Programme 4.

policy pursued ASAP.
Programme Six: The Formulation of an Appropriate Spatial Framework
(10) With regard to the Provincial Spatial Growth and Development Framework it was critical that the MEXCO made sure that all Departments adhered to the Cabinet resolution, whereby all Departments aligned their budgets to the Spatial Framework.
(11) The recommendations contained in the Integrated Rural Development Policy should be considered by National and Provincial Departments.
(12) Departments were to align budgets with the PGDS and the MTEF.
B. 4 X LAGGING ELEMENTS
The Task Team recognized the following four strategic elements: (13) Establishment of an Agricultural Task Team; (14) Support for survivalist enterprises; (15) Disaster Relief Strategy; and (15) Preparation of a training and educational database.

Source:

- (1) DLGH TRP File 15/8/3/1, Vol. 5, Minutes Task Team meeting 28 August 1997:2 - 6.
- (2) KwaZulu-Natal, Provincial Growth and Development Strategy, September 1997, Appendix 3, Cabinet Memorandum:2 - 5.

Upon the finalisation of the Status Quo Report, dated September 1997, the Task Team presented its proposal on the catalytic and lagging elements to the MEXCO on 13 October 1997 for consideration.¹⁹⁷ The Task Team was successful in soliciting MEXCO's support for the Report (dated September 1997), the facilitation of the 12 catalytic and four lagging elements, as well as the promotion of the cluster paradigm and the creation of a Provincial IGF.¹⁹⁸

There was a considerable delay regarding the way forward in regard to the establishment of the Forum. Only on 11 February 1999 the Premier's Department gave some direction by stating:

*"...it was very urgent that the process starts as soon as possible and that the Office of the Premier had allocated part of their budget to assist in holding the Forum ..."*¹⁹⁹

According to the Minutes dated 11 February 1999, the convening of the proposed Forum was, however, dependent on the outcome of the national and provincial elections scheduled for 2 June 1999.²⁰⁰ Notwithstanding this, the Task Team was of the opinion that it had fulfilled the task of drafting the Terms of Reference of the

¹⁹⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. Letter from J. Martin, PGDS Chairman, to J.J. v.d. Walt, Secretary DLGH:1.

¹⁹⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 5. MEXCO Memorandum, 12 September 1997:6.

¹⁹⁹ KwaZulu-Natal, DLGH TRP FILE 15/8/3/1, Vol. 11. Minutes Task Team meeting, 11 February 1999:4.

²⁰⁰ KwaZulu-Natal, DLGH TRP FILE 15/8/3/1, Vol. 11. Minutes Task Team meeting, 11 February 1999:4. The Forum was not convened and research material made no reference further to this aspect.

Forum, and that the prerogative of taking it forward was that of the Provincial Cabinet.²⁰¹

(B) Response towards Workgroups' establishment

The response of key stakeholders' to the Task Team's initiative to establish PGDS Workgroups to solicit further support for the PGDS was not very encouraging in two ways. In the first instance, by 30 January 1998, the DGs Office had not submitted the Task Team's Cabinet Memorandum, dated 12 September 1997, to Cabinet.²⁰²

A key issue in the Cabinet Memorandum was to give information on the 16 Strategic elements, requesting support for their implementation:

*“The need (exists) to address and facilitate the strengthening of political and administrative support and approval for the identified catalytic strategic (and lagging) elements within the PGDS's ... programmes.”*²⁰³

The updated document was only tabled at the Cabinet Committee meeting, dated 24 January 1998.²⁰⁴ At the Cabinet Committee meeting of 24 January 1998 it became evident that some²⁰⁵ of the Ministers and HoDs were not fully familiar with the PGDS objectives and process.²⁰⁶ The Cabinet, therefore, requested that the Task Team make a presentation on the PGDS at a future Cabinet meeting.²⁰⁷ The positive development for the PGDS implementation process was that the Premier indicated to Ministers and HoDs that they had to align their future budgets with the PGDS programs.²⁰⁸

The second mixed response regarding the Task Team's Workgroups was the Provincial Departments' reaction to the letter requesting them to nominate by 23 January 1998, mandated representatives to manage the Workgroups.²⁰⁹ The HoD of the Department of Agriculture and Environment Affairs (DAEA) did not reply.²¹⁰ The PGDS Task Team chairperson was delegated to meet with the Department Head to facilitate greater commitment of the Department towards the

²⁰¹ DoP File 3/1/1/14/1/5. Minutes Task team meeting, 11 March 1999. Hand-written amendment on the Task Team Minutes, dated 11 March 1999:4.

²⁰² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:3.

²⁰³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Cabinet Memorandum, 12 September 1997:2 & 5.

²⁰⁴ KwaZulu-Natal, DLGHTRP File 15/8/3/1, Vol. 6 Minutes Task Team meeting, 30 January 1998:3.

²⁰⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 7. Minutes Extended Task Team meeting, 12 February 1998:3.

²⁰⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:3.

²⁰⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:3.

²⁰⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 7. Minutes Extended Task Team meeting, 12 February 1998:3.

²⁰⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Letter from Chairman PGDS to Mr. v.d. Walt, HoD, DLGH, 12 December 1997:2.

²¹⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

implementation of the PGDS.²¹¹ The DAEAs request to serve on the Task Team was also discussed.²¹² The DAEA eventually established a workgroup²¹³ and its initial request to serve on the Task Team was not granted.²¹⁴

Correspondence, however, was received from the following Departments, namely Health, Education & Culture, Transport, Local Government and Housing and Finance:

*“ (It was) noted that the 5 departments that had submitted information had clearly given the correspondence much thought and the resulting submissions had been of a high quality. ”*²¹⁵

Information from the Department of Economic Affairs and Tourism and Department of Traditional and Local Government Affairs by 30 January 1998 was pending.²¹⁶ Another disappointment was that no correspondence was received from the Department of Welfare and the Works Department.²¹⁷ By 5th March 1998, there was still no reply from these two Departments.²¹⁸

The sensitive approach by the Task Team could be found in the discussions within the Task Team on the inclusion of stakeholders into PGDS structures.²¹⁹ The meeting of the Task Team, on 2 December 1997, re-established the principle of inclusivity.²²⁰ It was stated that the danger of excluding key Provincial Departments from the Task Team was noted and the reporting structures of the PGDS had to make provision for input by the private sector and other stakeholders.²²¹

The mechanism to secure involvement of these stakeholders in the PGDS was through the establishment of the Workgroups,²²² as it was not practical to accommodate all of them in one implementation structure:

“As a general rule, other bodies would not be included on the PGDS Extended Task Team ...(T)he correct place for them to link in with the PGDS was in the various Work Groups ...or through the relevant Provincial Line function Departments they

²¹¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

²¹² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

²¹³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 7. Minutes Extended Task Team meeting, 5 March 1998:1.

²¹⁴ See Task Team attendance on minutes from 1998 to 2000.

²¹⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

²¹⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

²¹⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 30 January 1998:2.

²¹⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998.

²¹⁹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:2.

²²⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:2.

²²¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 2 December 1997:2.

²²² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes Task Team meeting, 5 March 1998:2.

dealt with.”²²³

(C) Ad-hoc Finance Workgroup

(i) New budget approach

A major achievement for the PGDS was the establishment of the Ad-hoc Finance Workgroup²²⁴ of which the first meeting was convened on 24 February 1998.²²⁵ As a first task, the Workgroup considered an abstract from a document dealing with a new approach to budgeting, namely Performance - based Budgeting.²²⁶ The document, amongst others, contained proposals, which were significant to the PGDS objective of aligning KwaZulu-Natal Provincial planning with its budgeting process, including the following:²²⁷

- The implementation of a performance-based budgeting pilot programme within particular departments, geographical areas, etc; and
- The evaluation of Government performance against performance indicators on a departmental and project-by-project basis.

On 23 April 1998, the Provincial Treasury made a presentation on the Medium Term Expenditure Framework (MTEF) to the Task Team.²²⁸ It was confirmed that the MTEF would bring in the concepts of aligning budgets with predetermined objectives and concurrent initiatives, and to guide on revenue available on a multi-year basis.²²⁹ A future financial alignment process was spelt out, namely:²³⁰

- Budget scrutiny, that is the evaluation of the current year’s budget or 1998/1999 in terms of the intended output of the PGDS programmes;
- Factoring priorities of the PGDS into allocation processes, namely the alignment of budgets in contributing to the attainment of the PGDS objectives; and
- Monitoring and reporting on achievements.

²²³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 7. Minutes Task Team meeting, 12 February 1998:4.

²²⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Draft Terms of Reference of the PGDS Finance Workgroup:1-2.

²²⁵ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Minutes PGDS Ad-hoc Finance Workgroup, 24 February 1998:1 - 3.

²²⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 8. Andrews, M., In search of Effective Budget Reform: The MTEF and an Alternative, 2. Towards a Performance Based Budget, *circa* 1997:15 - 23.

²²⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 8. Andrews, M., In search of Effective Budget Reform: The MTEF and an Alternative, 2. Towards a Performance Based Budget, *circa* 1997:23.

²²⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 7. Presentation to PGDS Task Team, 23 April 1998:1 - 13.

²²⁹ KwaZulu-Natal, LGH TRP File 15/8/3/1. Vol. 7. Presentation to PGDS Task Team, 23 April 1998:3 & 9.

²³⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 7. Presentation to PGDS Task Team, 23 April 1998:12.

(ii) Further financial alignment

To ensure further financial alignment, on 22 June 1998, the PGDS Secretariat made a presentation to all Provincial Department’s financial managers and other senior departmental staff members at the Provincial Treasury to disseminate information on the PGDS, and to request the alignment of Departmental budgets and performance measurement criteria with the PGDS objectives.²³¹ It was pointed out that the 16 Workgroups and their objective, was the central point of alignment between Departments.²³² The Financial Managers were requested to contact the Workgroup conveners with the aim of linking Departmental outputs/objectives and performance measurements with that of the Workgroups.²³³

The further effort to align the PGDS and the Provincial MTEF for the period 1998/99 with Departmental MTEFs came forward when the Secretariat compiled a checklist for the alignment of the MTEF and PGDS.²³⁴ The Checklist, summarised in Table 5.4, identified in a matrix format the six National MTEF objectives, and indicated how it coincided with the seven (7) existing programmes and one (1) proposed programme of the PGDS.²³⁵

**TABLE 5.4: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY:
ADAPTED CHECKLIST FOR ALIGNMENT WITH MEDIUM
TERM EXPENDITURE FRAMEWORK (MTEF)**

OBJECTIVES OF MEDIUM TERM EXPENDITURE FRAMEWORK (MTEF)	CORRESPONDING PROGRAMME OF THE PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY (PGDS)
1. Meeting the basic needs of the poor	<u>Programme 4</u> : To eradicate poverty in the province by promoting the transfer and use of assets to poor people and through the provision of social welfare.
2. Accelerating infrastructure development	<u>Programme 1</u> : To enable KwaZulu-Natal to take advantage of economic opportunities presented by trade and tourism. <u>Programme 3</u> : To provide an environment, which will promote competitive advantages for provincial industries, while contributing to high levels of employment and production and a living wage .

²³¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol.10, Letter from R. Shuttleworth to Department of Local Government and Housing, 23 June 1998:1.

²³² KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol.10, Letter from R. Shuttleworth to Department of Local Government and Housing, 23 June 1998:1.

²³³ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol.10, Letter from R. Shuttleworth to Department of Local Government and Housing, 23 June 1998:1.

²³⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 11, Checklist for the alignment of the MTEF with the PGDS (final draft), 21 September 1998:1 - 6.

²³⁵ KwaZulu-Natal, DLGH TRP 15/8/3/1, Vol. 11, Checklist for the alignment of the MTEF and PGDS, 21 September 1998, (final daft):1- 6.

3. Laying the basis for sustained economic growth and job creation	<p><u>Programme 2:</u> To stimulate economic growth in specific localities through delivery of basic needs to encourage local and foreign investment in such areas.</p> <p><u>Programme 6:</u> To set policy in terms of the overall spatial distribution of development; to respond to the spatial implications and synergy arising from the Strategy and other policies and to set frameworks and to co-ordinate planning .</p>
4. Developing human resources	<p><u>Programme 5:</u> To formulate a co-ordinated approach to the enhancement of KwaZulu-Natal's human resources in terms of capacity and utilisation.</p>
5. Ensuring safety and security of citizens and State	<p><u>(Proposed) Programme 8:</u> Co-ordination of the efforts of all role-players in various aspects of crime prevention through the Provincial Crime Prevention Committee, directing the implementation of the National Crime prevention Strategy and participating in crime prevention initiatives.</p>
6. Transforming organs of Government to reflect the development and people centred nature of our democratic State	<p><u>Programme 7:</u> To set policy in terms of the overall distribution of development; to respond to the spatial implications and synergy arising from the strategy and other policies and to set frameworks and co-ordinate planning.</p>

Source:

DLGH TRP File 15/8/3/1, Vol. 11, Checklist for the alignment of the MTEF and PGDS, 21 September 1998 (final draft), 21 September 1998:1 - 6.

The aim of the guideline was to assist Departments in the preparation of the MTEF to ensure alignment of Provincial budgets with PGDS objectives.²³⁶ The checklist would ensure that Departments considered all aspects of the PGDS during the MTEF formulation process. An additional advantage of the checklist was that the six national MTEF objectives and the PGDS programmes were aligned.²³⁷ Departments were to indicate whether the MTEF objective/PGDS programme was applicable to them, how the Department(s) would be involved, and whether an amount was budgeted for the relevant projects.²³⁸

(iii) Alignment challenges

Provincial Treasury had the intention of giving the PGDS more prominence in budget allocations by itself and Departments. It was, however, easier said than

²³⁶ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 6, Minutes Task Team meeting, 5 March 1998:2.; and Checklist for the alignment of the MTEF and PGDS, 21 September 1998 (final draft), 21 September 1998:1.

²³⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 11, Checklist for the alignment of the MTEF and PGDS, 21 September 1998 (final draft), 21 September 1998:1.

²³⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 11, Checklist for the alignment of the MTEF and PGDS, 21 September 1998 (final draft), 21 September 1998:1.

done.²³⁹ To begin with, by 1998 still 98% of the KZN Provincial income came from the National Treasury.²⁴⁰ Attached to these national allocations were conditions on how the funds should be spent by the Province.²⁴¹

Moreover, the National Treasury did not have a free hand, as it was still bound by spending which was committed in the past, the so-called “historical spending patterns.”²⁴² Statistics revealed that +- 90% of the provincial budget was spent on social services, i.e. health, welfare and education.²⁴³ Only 9% of the total provincial budget was allocated for capital projects.²⁴⁴ The Province, therefore, did not have not much room for allocating the budget as it deemed appropriate in support of specific requirements such as the PGDS.²⁴⁵

Another factor which influenced that allocation of funding in KZN was the huge deficit of R 1. 707 billion of the 1997/98 Financial Year (Excluding the 1996/97 Financial Year deficit of R 264 million).²⁴⁶ The aim was therefore to ensure that by the 2001/02 Financial Year, the deficit was reduced - which in fact happened²⁴⁷ - and that 85% be spent on social services and 15% of the budget on other services.²⁴⁸ As part of this strategy during the 1997/98 and 1998/99 Financial Year, the Treasury systematically analysed Departmental budgets, which included the identification of the major cost items and to committed activities (i.e. critical overhead costs) from a zero base.²⁴⁹ Then, Treasury allocated funds to Departments for the 1998/99 Financial Year.²⁵⁰

According to Treasury, after the allocations had been made, it could not do much to ensure that the funding was spent on specific projects and programmes,²⁵¹ which are for example, in line with the PGDS. At the same time, Treasury prepared the Fiscal Plan providing guidelines for Departments to prepare their budgets for the next Financial Year (1998/99, etc.)²⁵² The Task Team certainly would have hoped that during this period the Departments could adjust their programmes to accommodate the PGDS. From the research material available, it is clear that proper budget

²³⁹ Mabin, A., *et.al.*, 2000:41.

²⁴⁰ Mabin, A., *et.al.*, 2000:41.

²⁴¹ Mabin, A., *et.al.*, 2000:41.

²⁴² Mabin, A., *et.al.*, 2000:41.

²⁴³ Mabin, A., *et.al.*, 2000:41.

²⁴⁴ Mabin, A., *et.al.*, 2000:41.

²⁴⁵ Mabin, A., *et.al.*, 2000:41.

²⁴⁶ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999:16.

²⁴⁷ Thibaud, C., 2007.

²⁴⁸ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999:31.

²⁴⁹ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999:17.

²⁵⁰ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999:17.

²⁵¹ Mabin, A., *et.al.*, 2000:41 - 42.

²⁵² Mabin, A., *et.al.*, 2000:41.

alignment never happened during the existence of the PGDS as anticipated by the Task Team.²⁵³ Notwithstanding the Premiers' indication on 24 January 1998, that Provincial Ministers and HoDs should take steps to align their budgets with the PGDS programmes.²⁵⁴

On 30 April 1999 in a discussion²⁵⁵ between the Task Team and Provincial Treasury, Treasury made it clear that it could not bring all Departments in line, as it was the responsibility of the HoDs as Accounting Officers, as well as the Provinces political leadership.²⁵⁶ Provincial Treasury stated a further limiting factor was the Public Service law that strengthened the division between Departments, which had to perform and account for their own actions.²⁵⁷

Contributing to the lack of budget alignment in KZN was National Treasury's conditional grants, guiding provincial spending.²⁵⁸ Provincial Treasury and Departments had to follow these prescripts and it did not accommodate the PGDS²⁵⁹. The PGDS' disadvantage in the debate was the lack of focus or priorities to guide expenditure, which the PGDS did not provide for in the base document.²⁶⁰ In *circa* June 1999, the PGDS Task Team concluded the following in this regard:

*“While the Provincial Government has adopted the PGDS programmes, there has been a weakness in these programmes as they were not adequately integrated with the MTEF process. The current MTEF according to which the provincial departments are required to prepare their medium term budgets does not address the (aspect) of integrating budgets with the PGDS programmes. That is, while the MTEF calls for budget allocation to be in line with the PGDS policy, it is not clear whether (all) departments do this in practice.”*²⁶¹

Shuttleworth emphasised the same by stating that budget alignment was not an easy task.²⁶² Departments were used to working on their own, and officials were not familiar with the new planning paradigm. It was relative easy to draft programmes.

²⁵³ Mabin, A., *et.al.*, 2000:42.

²⁵⁴ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 7. Minutes Extended Task Team meeting, 23 April 1998:3.

²⁵⁵ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999, Meeting Notes captured in cover page, 30 April 1999.

²⁵⁶ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999, Meeting Notes captured in cover page, 30 April 1999; and KwaZulu-Natal, TRP File 15/8/3/1, Vol. 8. Minutes Extended Task Team meeting, 3 July 1997:4. Allan Thompson from the Provincial Department of Transport remarked that political issues sometimes influenced the priority of developments.

²⁵⁷ KZN Treasury, Province of KZN, Medium Term Fiscal Plan, 1999/2000 - 2001/2002, February 1999, Meeting Notes captured in cover page, 30 April 1999.

²⁵⁸ Mabin, *et.al.*, 2000:41 - 42.

²⁵⁹ Mabin, *et.al.*, 2000:42.

²⁶⁰ Mabin, *et.al.*, 2000:46.

²⁶¹ KwaZulu-Natal, DoP File 3/1/1/14/1/5. Draft Discussion Document on the Review of the PGDS, *circa* June 1999, p 1. Between 2000 and 2006 no budget alignment with the PGDS was undertaken as the document was under review and never finalised or adopted by Cabinet.

²⁶² Shuttleworth, R., 2005:1.

However, it was an ongoing nightmare to even talk of aligning budgets.²⁶³

5.3.2.6 Sixteen Workgroups Established

At the Task Team meeting, on 5 March 1998, it was reported that for each of the 16²⁶⁴ envisaged Workgroups, the lead Departments and the respective conveners were identified and indicated in Table 5.5.²⁶⁵

**TABLE 5.5: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY:
STRATEGIC ELEMENT WORKGROUPS AND CORRESPONDING
LEAD DEPARTMENT**

STRATEGIC ELEMENT WORKGROUP	LEAD DEPARTMENT
1.Spatial Development Initiative	Department of Economic Affairs and Tourism
2.Small, Medium and Micro Enterprises	Department of Economic Affairs and Tourism
3.Tourism Development	Department of Economic Affairs and Tourism
4.Local Economic Development	Department of Economic Affairs and Tourism
5.Information Technology/ Geographic Information System	Department of Local Government and Housing
6.Provincial Housing Board	Department of Local Government and Housing
7.Ingonyama Trust	Department of Local Government and Housing
8.Rural Service Centre	Department of Local Government and Housing
9.Human Resource Development Strategy	KwaZulu-Natal Regional Economic Forum
10.Provincial Spatial Growth and Development Framework	Department of Local Government and Housing
11.Integrated Rural Development Strategy	Department of Local Government and Housing
12.Medium Term Expenditure Framework	Department of Finance
13.Agriculture	Department of Agriculture
14.Support for Survivalist Enterprises	Department of Economic Affairs and Tourism
15.Disaster Relief Strategy	Department of Local Government and Housing
16.Training and Education Database	KwaZulu-Natal Regional Economic Forum
17. Provincial Crime Prevention Strategy	Provincial Secretariat for Safety and Security ²⁶⁶

Source:

TRP File 15/8/3/1, Vol. 6, Minutes Task Team meeting, 5 March 1998:2.

The adoption of the National Safety and Security Strategy made it possible for a 17th Workgroup, namely the Provincial Crime Prevention Strategy Workgroup, to be established.²⁶⁷ The total lack of environmental aspects in the PGDS base document called

²⁶³ Shuttleworth, R., 2005:1.

²⁶⁴ The names and end-total of the original Workgroups changed over time as new ones were created and some workgroups amalgamated with others. Table 5.5 contains the final Workgroup listing.

²⁶⁵ KwaZulu-Natal, TRP File 15/8/3/1, Vol. 6, Minutes Task Team meeting, 5 March 1998:2.

²⁶⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. MEXCO Memorandum, 19 March 1998:3 - 4. The MEXCO was advised to establish the 17th workgroup after the initial 16 Workgroups were established.

²⁶⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6, Draft MEXCO Memorandum, dated 17 March 1998:

for the establishment of an Environmental Workgroup, which had its first meeting on 27 October 1998.²⁶⁸ However, this workgroup was never fully functional, evident from the PGDS Status Quo Reports.²⁶⁹

Although the original 16 prioritised elements were to be the focus of the PGDS structures, the remaining 21 strategic elements were monitored by the Task Team²⁷⁰ from 1996 to 2000.²⁷¹

5.3.2.7 Workgroup Organisational Arrangements

The PGDS Work Groups consisted of Departmental representatives²⁷² and institutional aspects were addressed to make them function.²⁷³

(A) Composition

(i) Membership

The different Workgroups consisted of staff from Provincial Departments:

*“who will be in a position to contribute to each Work Group meeting its objectives.”*²⁷⁴

For monitoring the initial representation at the Workgroup, the names of representatives were submitted to the Task Team.²⁷⁵

(ii) Institutional aspects

It was required that Workgroups identified its own secretariat and adopted a Terms of Reference, upon which the document was submitted to the Task Team for information and monitoring purposes.²⁷⁶

(B) Report-back mechanism

(i) Bi-monthly Status Quo Reports

Conveners were required to report back on a regular basis at the Extended Task

3.

²⁶⁸ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Extended Task Team Meeting, 1 October 1998:2.

²⁶⁹ See Chapter 6, Section 6.3.2.3.

²⁷⁰ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 6. Extended Task team meeting, 25 November 1997:20.

²⁷¹ Martin, J.W.:2007.

²⁷² KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10.

²⁷³ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10.

²⁷⁴ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10.

²⁷⁵ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10.

²⁷⁶ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10.

Team meetings by submitting Status Quo Reports.²⁷⁷ The first report, entitled The PGDS Draft Status Quo Report, was dated June 1998,²⁷⁸ and the last “semi-comprehensive report” was submitted on 29 May 2000, a total of 9 Reports.²⁷⁹

(ii) Reporting format and benefits

(a) Reporting format

The reporting format was standardised covering the following topics:²⁸⁰

- Name of the Workgroup convener;
- Objectives;
- Milestones achieved;
- Planned Milestones;
- Performance Measurement Criteria;
- Identification of constraints and strategies to rectify; and
- Date of next Workgroup meeting.

(b) Benefits

After the first progress report, entitled PGDS Draft Status Quo Report, on the activities of the Workgroups (submitted in June 1998), the Task Team clarified the benefits of the effective functioning of the Workgroups as follows, namely:²⁸¹

- To provide common focus areas for stakeholders with tangible objectives;
- To facilitate cluster methodology officially sanctioned by Premier, Cabinet, MEXCO, Departments and business;
- That the Workgroups became the first point of entry of any national, provincial and local resources and any outside resources secured by government structures; and
- To encourage Workgroups, through effective co-ordination and marketing, to develop instruments that would provide leverage for additional funds and enhance investor interest.

²⁷⁷ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10; KwaZulu-Natal, DLGH TRP File 15/8/3/1; and DoP File 3/1/1/14/5 containing Status Quo Reports spanning 1998 to 2000.

²⁷⁸ The PGDS. Draft Status Quo Report, June 1998.

²⁷⁹ KwaZulu-Natal, DoP File 3/1/1/14/1/5. Minutes Combined Task Team and Extended Task Team meeting, 17 May 2000, Annexure D.

²⁸⁰ KwaZulu-Natal, DLGH TRP 15/8/3/1. The PGDS Progress as of April 1998. Draft. April 1998:10. A discussion document, entitled, PGDS Reporting Format Motivation, *circa* April 1998: 1 - 2 reasoned the inclusion of each topic into the reporting format.

²⁸¹ KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol. 10, Minutes Extended Task Team meeting, 2 July 1998:2 - 3.

5.3.2.8 Evaluation and Recommendations

(A) Evaluation

Without a multi-stakeholder agreed upon framework to plan the PGDS plan implementation, the Task Team used the political mandate given to it by the Provincial Cabinet to design its own plan implementation plan. For this purpose the Task Team selected the 12 leading and 4 lagging elements from the original implementation framework, to serve as the programme for implementing the PGDS. Of significance was the prioritised approach followed, i.e. the focus shifted from 37 to 16 projects, which made more sense in terms of effective project management.

The thrust during the PGDS implementation process was the following, namely:

- (1) A pilot approach by establishing the Rural Service System;
- (2) Improved communication between the MEXCO and Task Team;
- (3) Improved communication with RCs;
- (4) Establishment of Workgroups accompanied by focus on alignment and clusters; and
- (5) Improved liaison with Treasury on budget alignment.

The Task Team supported by the Secretariat, applied project management principles in achieving the abovementioned objectives.

(B) Recommendations

To improve project management during the implementation of any adopted, reviewed PGDS, it is recommended that:

- (i) Dedicated project managers be appointed or identified in support of the process; and;
- (ii) Project management is supported by persons familiar with the Microsoft project programme.

5.4 CONCLUSIONS

Based on the research the following conclusions are made with regards to the implementation of the Provincial Growth and Development Strategy, 1996 to 2000:

5.4.1. Implementation Phase: Step 7: Planning of plan implementation

5.4.1.1 The KZN Provincial Government undertook planning for plan implementation by allocating the responsibility for the implementation of the Provincial Growth and Development Strategy (PGDS), to the Provincial Management Executive Committee (MEXCO), chaired by the KZN DG, consisting of KZN Provincial HoDs, on 3 July 1996. The management responsibility was further cascaded

downwards for the facilitation, co-ordination and monitoring of the implementation of the PGDS programmes.

In this instance the MEXCO was assisted by a small PGDS Task Team, consisting of senior staff members of the DEAT and DLGH, as well as the REF. The MEXCO handed the task of chairing the Task Team to an individual in the Department of the Premier (DoP) in 1996, where it stayed until 2000. In this manner the role and responsibilities of management committees and individuals were allocated.

5.4.1.2 The allocation of responsibilities to the HoDs did not go ahead as the Task Team intended. This lack of interest by some Departments during the establishment of the PGDS Extended Task Team, would be the first indication that future efforts of the Task Team to facilitate and co-ordinate the implementation the PGDS effectively, would be an ongoing challenge. To address the challenge further, after March 1997 the Task Team changed strategy in order to obtain the full support of Departments for implementing the PGDS by introducing an individual approach towards Departments.

5.4.1.3 The PGDS Task Team effected a major structural change in the management of the PGDS on 15 February 1999, when the DEAT transferred the Secretariat function from the appointed Project Manager to two officials within the DEAT. In this way the secretariat resource requirements were met, albeit not on a full time basis as was the case with the appointed Project Manager.

5.4.1.4 The milestones, action steps and control measures (mainly dates for completion) were reflected in the Implementation Framework. The Framework listed the 37 programmes, and/or projects, which made up the PGDS, assigned responsibilities to Departments and allocated time frames for implementation, with the intention of having it regularly updated for submission to Provincial Cabinet. The Implementation Framework did not contain objectives, as the PGDS was not explicit regarding specific objectives.

5.4.2 Implementation Phase: Step 8: Phased implementation

5.4.2.1 The lack of co-ordination between Provincial Departments led to the first steps of phased implementation within the PGDS structures. The discussion at the Extended Task Team meeting of 9 April 1997 culminated in the decision for pilot projects to be undertaken to improve inter-departmental co-ordination;

5.4.2.2 Even at the stage that implementation commenced, the Task Team and the Secretariat had difficulty to obtain the support of all Departments for the Provincial Growth and Development Strategy (PGDS). By May 1997, the Task Team was fully aware that senior officials in the Province still had no idea of the PGDS. The Strategy would get nowhere unless the situation was addressed. The situation was further alarming when the Task Team members determined that some members, including Provincial Ministers and HODs, at the Cabinet

Committee meeting of 24 January 1998, were not fully familiar with the PGDS and its objectives and processes. As such, this could lead to a situation where the PGDS could come to nothing. The absence of Cabinet and HoD support for the PGDS meant that the action plans drafted by the Task Team, could not be executed to achieve the desired results.

5.4.2.3 Not all was bleak for the PGDS implementation programme, however. The DLGH reported on progress and stated that the Cabinet approved the Provincial Spatial Growth and Development Framework (PSGDF) of the PGDS. The Provincial Rural Development Strategy and the Spatial Development Initiatives (SDIs) proceeded well at the time. This is evidence that some PGDS related actions were implemented or operationalised.

5.4.2.4 Notwithstanding the constitutional rights and responsibilities of the Regional Councils (RCs), to make developmental decisions in terms of Schedules 4 and 5 of the Constitution, their task was not made easier because of the lack of co-operation between the Provincial Departments and RCs on planning and development programmes and projects within the area of jurisdiction of RCs. This consequential lack of co-ordination and alignment, impacted directly on the plan implementation, for the PGDS Task Team, RCs and Departments.

5.4.2.5 The Task Team made a huge leap forward with the operationalisation of planned action, with the differentiation between the 2 catalytic and 4 lagging elements of the PGDS. It was envisaged that the catalytic projects would have a fundamental impact on development actions Provincial wide, whilst the lagging elements had no momentum and required serious attention or actions for it to be operationalised.

5.4.2.6 A fundamental action orientated approach towards financial alignment was sought in three ways, namely:

- (A) The establishment of an Ad-hoc Finance Workgroup;
- (B) The presentation made on 22 June 1998 by the PGDS Secretariat, to all Provincial Department's financial managers and other senior departmental staff members, requesting the alignment of Departmental budgets and performance measurement criteria with the PGDS objectives; and
- (C) To make the 16 Workgroups the central point of alignment between Departments.
- (D) The Workgroups ceased to function when the review process was commenced during 2000.

5.4.3 Strategic Management Model Presentation Format

The strategic management information pertaining to the PGDS Implementation phase is

presented in a narrative format, in accordance with the two Implementation steps of the Model.

5.5 MEANING OF CHAPTER

On 3 July 1996, the Provincial Cabinet approved the Provincial Growth and Development Strategy (PGDS). The Province followed the two-step implementation process thereafter, namely the planning of plan implementation and phased implementation phase. The chapter demonstrates that phase two or the implementation phase of the Strategic Management Model was given effect. Resource constraints and selected prioritisation made that only certain aspects of the PGDS was implemented, which diminished the envisaged impact of a rather comprehensive Provincial Strategy.

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CHAPTER SIX

PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY: CONTROL PHASE

“... it is all too easy to become so committed to ideals and goals that we fail to notice when our clients’ interests and goals no longer coincide with ours.”¹

- Derrick Bell

6.1 INTRODUCTION

The manner in which the three steps of the Control Phase - monitoring, evaluation and review - of the Provincial Growth and Development Strategy (PGDS) were undertaken are discussed, evaluated and recommendations made.

6.2 CONTROL PHASE

6.2.1 Focus of Strategic Management Model

The focus is on the “*Control Phase*” of the Model in relation to the implementation of the KZN Provincial Plan or PGDS from 1996 to 2000 and is highlighted in the Key:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

6.2.2 Evaluation Methodology

Under each strategic management step, the Model requirements are repeated as set out in Chapter 3, Section 3.4, actions taken to meet the specific step requirements are described, evaluated and recommendations made with the aim of answering the following evaluation criteria:

¹ Bell, D., 2002:161.

“How and to what extent did the control (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic control step in this chapter are repeated or listed again in Chapter Ten with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

6.3 STEPS OF CONTROL PHASE

6.3.1 Step Nine: Monitoring

The key highlights the “Control Phase: Step 9” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

6.3.3.1 Strategic Management Model Evaluation Criteria

Monitoring is the collection of data on economic, social and environmental information and/or to measure performance with programme or project implementation. Monitoring tools are budgets and specifically designed monitoring schedules. The monitoring process consists of four general steps, namely to set performance standards, measure real time performance, identify deviations from standards set and initiate corrective measures.

6.3.3.2 Monitoring Tools and Frequency

The following are examples of the mechanisms used for monitoring of the PGDS implementation:

- After the establishment of the Workgroups in 1997, the Secretariat had co-ordinated the drafting of eight Workgroup Progress Reports or Status Quo Reports for discussion and approval at the Extended Task Team meetings.² With the review

² KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 10 - 11. Draft Status Quo Report, June 1998, August 1998, October 1998, December 1998, April 1999; KwaZulu-Natal, OoP File, Draft Progress Report, June

process picking up momentum, the last one of these Reports was submitted at the 5 April 2000 meeting of the Extended Task Team;³ and

- Various Cabinet Memorandums and other reports were submitted to the MEXCO and Provincial Cabinet.⁴

The SWOT analyses undertaken in June and August 1998, as described in Chapter Four Section 4.3.5.2 were critical monitoring milestones to determine whether the implementation of the PGDS was going in the right direction, and where the necessary changes should be made.⁵

6.3.3.3 Management Activities

Since its inception in 1996, the Task Team continuously executed operational monitoring as a management activity by approving the scheduling of meetings, approving of minutes and the Extended Task Team Progress Reports and presentations prepared for different government target audiences.⁶ By April 2000, the Task Team had submitted a memorandum to Provincial Cabinet for the review of the PGDS.⁷ The resolution to review the PGDS redirected the Task Team monitoring activities, in that the monitoring focus was on the review process from May 2000 onwards.⁸ This trend was noticeable notwithstanding the principle agreed upon in the PGDS structures, namely:

“In the interim the work of the PGDS Task Teams are to continue so as not to lose momentum with current activities.”⁹

1999, August 1999, October 1999.

³ KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Extended Task Team, 5 April 2000, Attachments. Only three of the original 17 PGDS Workgroups submitted reports, namely Social Crime Prevention, Integrated Rural Development and Development Information System.

⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 10. Draft Copy, PGDS Progress as of April 1998:1 -11; and KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 11. PGDS Strategic Report, October 1998:1 - 11.

⁵ KwaZulu-Natal, DTLGA TRP File 15/8/3/1 Vol. 10. PGDS Task Team SWOT meeting, 24 June 1998:1 - 2.

⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1. Vol. 1 - 11.

⁷ KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Task Team, 5 April 2000:2.

⁸ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes (Combined) PGDS Task Team and Extended Task Team, 17 May 2000; KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Combined PGDS Task Team and Extended Task Team, 27 June 2000; KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined PGDS Task Team and Extended Task Team, 10 August 2000; KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined PGDS Task Team and Extended Task Team, 19 September 2000; and KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Combined PGDS Task Team and Extended Task Team, 2 November 2000.

⁹ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined PGDS Task Team and Extended Task Team, 17 May 2000, Annexure B:5.

6.3.3.4 Evaluation and Recommendations

(A) Evaluation

The lack of a performance management system made it impossible to monitor progress with the outcomes of the project outputs. During the implementation of the PGDS, the absence of monitoring of economic, social and environmental data was evident. In other words, there was no reconciliation between what the PGDS intended and what was achieved.

(B) Recommendations

It is recommended that:

- (i) A Reviewed PGDS should incorporate a fully functional performance management system to measure the long-term outcomes of the Strategy.

6.3.2 Step Ten: Evaluation

The Key highlights the “*Control Phase: Step 10*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

6.3.2.1 Strategic Management Model Evaluation Criteria

Evaluation is the appraisal of the performance or quality of a plan, programme or project informed by the data or other information collected during monitoring. Two types of evaluation exist, namely on-going evaluation and ex-post evaluation. On-going evaluation is undertaken during implementation and corresponds generally, but not always, with the end of project phases. On-going evaluation should result in immediate corrective action. Ex-post evaluation takes place after the completion of a planned programme or project for learning purposes.

6.3.2.2 Evaluation

The PGDS undertook a SWOT analysis to determine its status in relation to its surrounding environment¹⁰ and need arose to amalgamate the Task Team and Extended Task Team.¹¹

(A) Process

Eighteen months after the formation of the Task Team and the subsequent implementation of the PGDS, the Task Team felt that stocktaking or evaluation was necessary to determine where the PGDS stood in relation to its internal and external environment. To this end, a SWOT analysis was undertaken on 24 June 1998 of the PGDS base document.¹²

(i) SWOT Analysis

The Task Team undertook the standard SWOT analysis on 24 June 1998, of which the following important elements are summarised hereunder:¹³

(a) Strengths

The PGDS had broad based support, including Provincial Cabinet and political support; a functional PGDS institutional framework, including a small, flexible and well resourced Task Team, consisting of 6 committed members, 1 part time Secretary and 1 full time Project Manager; access to, and support of external role players by Task Team and 16 Workgroups; some Departments created links to PGDS projects; and GIS support for development information management.

(b) Weaknesses

The PGDS institutional structure did not always function properly; the Extended Task Team and Workgroups were not always managed effectively; time constraints of the Task Team, Extended Task Team and Workgroup members to dedicate themselves to PGDS projects; a non-existent marketing function; lack of resources for project implementation; lack of capacity of the Task Team; and the absence of identification of Departmental needs in relation to the PGDS.

(c) Opportunities

The Departmental support for the PGDS should be expanded; Departmental

¹⁰ DLGH TRP File 15/8/3/1 Vol. 10. PGDS Task Team SWOT meeting, 24 June 1998:1- 2.

¹¹ KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Task Team meeting, 5 April 2000:1; and KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Extended Task Team meeting, 5 April 2000:2.

¹² DLGH TRP File 15/8/3/1 Vol. 10. PGDS Task Team SWOT meeting, 24 June 1998:1- 2.

¹³ DLGH TRP File 15/8/3/1 Vol. 10. PGDS Task Team SWOT meeting, 24 June 1998:1- 2.

budgets could be aligned to the PGDS projects; and the PGDS had the potential to become the Provincial Development Plan (PDP).

(d) Threats

The increasing impact of globalization on the KZN regional economy; a continued lack of private sector and other donor funding for PGDS priority projects; the perception that the PGDS was a talk shop; the lack of general and project management skills in Departments for implementing PGDS initiatives; and the absence of a provincial legal mandate in support of the PGDS.¹⁴

(B) Amalgamation of Task Team and Extended Task Team

(i) Motivation

On 5 April 2000, the poor attendance of the Extended Task Team meetings were recorded and it was resolved that the following meetings, from 17 May 2000 onwards, would be Combined Task Team and Extended Task Team meetings.¹⁵ This decision was in line with the view expressed at the Task Team meeting on 11 February 1999, namely that all Departments should be represented on one PGDS management body.¹⁶ An Executive Committee could be elected to manage the day to day affairs and give guidance to members¹⁷. It was felt that this arrangement would ensure improved participation of all Departments as some of them felt excluded from the Task Team, PGDS activities and committees.¹⁸

(ii) Combined Task Team and Extended Task Team

The combined meetings were directly affected by the review debate as reflected in the minutes of the first combined meeting on 17 May 2000:

“The feasibility of submitting progress reports at every meeting was discussed. Consideration was also given to the current focus on the review process and the preparatory work which is required for the various consultative workshops ... It is agreed that progress reports will only be submitted when a consolidated progress report is to be submitted to Mexco and Cabinet; and issues emanating from Work Groups which require attention will be dealt with under the Additional Items section of the Agenda.”¹⁹

¹⁴ KwaZulu-Natal, DLGH TRP File 15/8/3/1 Vol. 10, PGDS Task Team SWOT meeting, 24 June 1998:1- 2.

¹⁵ KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Task Team meeting, 5 April 2000:1; and KwaZulu-Natal, DTLGA PGDS File (T)8/2/2/3/2. Minutes Extended Task Team meeting, 5 April 2000:2.

¹⁶ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Extended Task Team meeting, 11 February 1999:4.

¹⁷ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Extended Task Team meeting, 11 February 1999:4.

¹⁸ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Extended Task Team meeting, 11 February 1999:4.

¹⁹ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined Task Team and Extended Task Team, 17 May 2000:2.

The poor attendance of the Extended Task Team required a new approach, namely that a representative from the DoP would visit each Workgroup to re-iterate the continuation of their tasks, despite the ongoing review debate.²⁰ Six of the Workgroups were visited during May to August 2000 and reported on, namely:

- Spatial Development Initiative;
- Small, Medium and Micro Enterprises;
- Local Economic Development;
- Integrated Rural Development Strategy;
- Safety and Security; and
- Disaster Management.²¹

Of significance was that the Workgroups which were the responsibility of the DEAT, namely Spatial Development Initiative, Small, Medium and Micro Enterprises and Local Economic Development, did not officially participate any further in any PGDS activities from 4 May 2000, except in activities related to the review process.²² The reason for this stance was given as:

“... due to the restructuring which is in progress in the (DEAT), officials from this department can not form part of the current (i.e. 1996²³) PGDS.”²⁴

The Combined Task Team and Extended Task Team’s progress with facilitating the first review process made the curtain fell on the PGDS’s institutional structures itself. The reason for this development is found in the 2 November 2000 conclusion by the Combined Task Team and Extended Task Team:

“As the work of the PGDS Task Team and Extended Task Team has reached a point where meaningful progress can only be made once the Cabinet approval for the (review) process has been obtained, it was agreed that the next meeting will be held early in 2001.”²⁵

6.3.2.3 Workgroup Achievements

It is evident that much time and effort went into the activities of the PGDS Workgroups,

²⁰ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Minutes Combined Task Team and Extended Task Team meeting, 5 April 2000:2.

²¹ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined Task Team and Extended Task Team, 17 May 2000:2 - 3; and OoP File 3/1/1/14/5. Minutes Combined Task Team and Extended Task Team, 10 August 2000:3.

²² KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Feedback on meetings with Head of Departments, circa May 2000:1.

²³ My insertion.

²⁴ KwaZulu-Natal, OoP File 3/1/1/14/5. Minutes Combined Task Team and Extended Task Team, 17 May 2000:2 - 3.

²⁵ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2 Minutes Task Team and Extended Task Team meeting, 2 November 2000:3.

as reflected in the reports submitted at the Extended Task Team meetings.²⁶ Table 6.1, analyses and rates the functionality of the Workgroup in order to present an overview of the legacy of the Workgroup as it currently influences planning and development in KZN.

**TABLE 6.1: PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY
WORKGROUPS: ACHIEVEMENTS AND LEGACY**

Workgroup	Achievements and legacy	Rating
1.Spatial Development Initiative	The initial economic aims were achieved, namely the construction of the SDI road in Northern Natal, linking Hluhluwe with Mozambique, and the declaration of the Greater St Lucia Wetland Park as an International Heritage site. Later on, the Trans-national Initiative between South Africa, Swaziland and Mozambique followed.	Very well
2.Small, Medium and Micro Enterprises, including Support for Survivalist Enterprises	The DEAT established a SMME Desk, which launched various projects, established networks with finance organisations and organised two summits.	Well
3.Tourism Development	The KZN Tourism Authority Board was announced on 10 May 1999, and KZN Tourism Business Council was formed. KZN Tourism is implementing the Provincial Tourism Development Strategy, which included the “branding of DCs” as particular holiday destinations. Grouped DCs were expected to publish a comprehensive tourism brochure marketing the holiday products and destinations. The Tourism Plans also give effect to the Municipalities’ IDPs.	Very well
4.Local Economic Development	The knowledge gained from the 10 pilots was extremely useful in informing the formulation of the Provincial LED Strategy. Municipalities are required to draft and implement a LED Strategy as a critical component of the IDP.	Well
5.Geographic Information System	The DTLGA established a wide ranging on- line internet-based GIS, which links to other data managers in	Very well

²⁶ KwaZulu-Natal, DLGH TRP File 15/8/3/1 and DoP File 3/1/1/14/5 containing Status Quo Reports from 1998 to 2000.

	KZN. The system is fully functional without which various stakeholders, including provincial planners, developers and Municipalities cannot undertake planning and development initiatives. For example, the IDP and annual reviews are available on the web, which assist Departments with the assessment process.	
6.Provincial Housing Plan	The Provincial Housing Strategy was completed, and being implemented by the DoH in Municipalities through the Housing Plans formulated to inform the IDPs. Detailed housing policies were formulated to guide future housing planning and provision in the Province.	Satisfactorily
7.Ingonyama Trust	The Workgroup achieved all its objectives, namely to facilitate the amendment to the Act, establishment of the Board and ensure appropriate land use management on Trust land in towns.	Very well
8.Rural Service Centre	The Workgroup achieved the objective of establishing a pilot project at Mbazwana in the Uthungulu RC. The pilot project influenced the Spatial Frameworks of Municipalities contained in the Regional Development Plans and still fundamentally those SDFs of the IDPs. A strong link exists between the Multi-Purpose Community Centre (MPCC) program driven by the Government Information Communication System (GCIS) on behalf of the Presidency.	Very well
9.Human Resource Development Strategy, including the Training and Education Database	The Workgroup did not achieve its objectives.	Very poor
10.Provincial Spatial Growth and Development Framework	The DLGH facilitated the formulation of the PSGDF, in 1997 prior to the establishment of the Workgroup. The document still needs to be reviewed based on the reviewed PGDS dated January 2005. The Framework was made available to RCs to inform the formulation of their Regional Plans,	Very well

	over the period 1997 to 1999.	
11.Integrated Rural Development Strategy	The Strategy was completed and a Workgroup established for its subsequent implementation.	Very well
12.Medium Term Expenditure Framework	The initial aim was to convince Provincial Treasury to link Departmental budgets with a spatial component. Eventually, in 2005 Treasury indicated that it was prepared to reach an agreement with Departments that budgets would be done on a District Municipality basis.	Satisfactorily
13.Agriculture	The Workgroup was extremely active and implemented a series of programmes and projects, including the publication of The White Paper on Agriculture for KZN, launching of the <i>Xoshindlala</i> (Chase Away Hunger) Campaign, approval of The Policy on Urban Agriculture and development of land capacity and bio-resource classification system. The last mentioned project is currently extremely helpful as Local Municipalities are formulating Land Use Management Systems (LUMS).	Very well
14.Disaster Relief Strategy	The Workgroup was not very active and report-backs were minimal, despite a disaster prone Province. The reason for inactivity was given as the ongoing process of finalisation of the Disaster Management Act, which was promulgated only in 2004.	Very poor

Source:

- (1) Province of KwaZulu-Natal, Department of Economic Affairs and Tourism, the Provincial Growth and Development Strategy. Summary Report. Draft Document, February 1999, Annexure 4.
- (2) Workgroup Status Quo Reports submitted to the PGDS Extended Task Team, 1998 - 2000;²⁷
- (3) Summary of the Implementation Assessment of the 1996 PGDS for KZN, included in the document, The New KwaZulu-Natal Provincial Growth and Development Strategy (PGDS), circa 2002;²⁸ and
- (4) Brooks, F.R., 2007.

²⁷ KwaZulu-Natal, DLGH TRP File 15/8/3/1 and DoP File 3/1/1/14/5 containing Status Quo Reports covering the period 1998 to 2000.

²⁸ Sub-committee of MEXCO: PGDS Project Team. The New KwaZulu-Natal Provincial Growth and Development Strategy (PGDS). 1st Draft Report, circa 2002, Table 1:7/8.

6.3.2.4 Evaluation and Recommendations

(A) Evaluation

The Task Team continued to undertake an evaluation of the progress of the implementation process. Eventually in 2000, the Task Team concluded that the momentum gained for the review of the PGDS had overtaken the work of the Task Team and Extended Task Team, leading to lack of interest and participation in Workgroup activities by Departments. The work of the PGDS structures therefore ceased in anticipation of the review process.

(B) Recommendations

It is recommended that:

- (i) Despite events within the environment in which a Reviewed Provincial Growth and Development Strategy would function, ongoing evaluation should be undertaken in order to make the necessary adjustments to ensure that the Strategy survives unexpected changes.

6.3.3 Step Eleven: Review

The Key highlights the “*Control Phase: Step 11*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

6.3.3.1 Strategic Management Model Evaluation Criteria

The information gathered feeds into the review and/or the adjustment of development plans, strategies and project implementation and action plans.

6.3.3.2 First Review Attempt, June 1998 to February 2000

With the commencement of the PGDS Review in 1999, a review process was decided upon²⁹ and various topics within the review debate was identified and discussed.³⁰

(A) Introduction

During 1999 and 2000 the review of the PGDS was a major point of discussion at the PGDS meetings, especially the impact of the proposed promulgation of the Regulations of the KZN Provincial Planning and Development Act during 1998.³¹

(B) Process

The urgent need to clarify whether or, not the reviewed PGDS, or an amended PGDS, would be the Provincial Development Plan, or part thereof, as set out in the Provincial Planning and Development Act, was largely determined by 1 July 1999 as the proposed date of implementation of the KZN Planning and Development Act Regulations.³² The Task Team was rather pro-active in this regard by requesting the Town and Regional Planning Commission to undertake the aforementioned research project by Mabin, *et. al.*³³ After an in-depth discussion of the Provincial Development Plan elements, namely:

- A Co-ordinated Policy Framework: vision, key strategies and a spatial framework;
- An Implementation Framework: An operational plan taking available resources into account; and
- A Monitoring, Evaluation and Review Framework,

the Task team reached mutual agreement that the existing PGDS contained most of these elements.³⁴

The DoP demonstrated commitment to the review process as it succeeded in securing R 750 000.00 grant funding from the British Department for International Development (DFID) to assist with the review, for which a Terms of Reference was formulated.³⁵

The DEAT did work to inform, what was called key substantive issues set out in a

²⁹ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 11 March 1999:4 - 5.

³⁰ See Section 6.3.3.2 (C) for more discussion on these aspects.

³¹ For example as minuted in the following documents: KwaZulu-Natal, DLGH TRP File 15/8/3/1, Vol.11. Minutes Task Team meeting, 1 October 1998:2; DLGH TRP File 15/8/3/1, Vol.11 Minutes Task Team meeting, 2 December 1998:3; and DLGH TRP File 15/8/3/1, Vol.11 Minutes Task Team meeting, 8 April 1999:5.

³² KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 11 March 1999:4 - 5.

³³ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 11 March 1999:4 - 5.

³⁴ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 11 March 1999:5.

³⁵ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 13 May 1999:3.

draft discussion document³⁶, which was submitted on 15 July 1999 to the Task Team for debate.³⁷

Thereafter, the first time that the Task Team's discussion on the review was recorded was at a meeting convened on 5 April 2000.³⁸ Meanwhile the PGDS chairman made it his task to take the review process forward by having submitted to the Premier a Cabinet Memorandum requesting the approval of the review of the PGDS.³⁹ The review process proposed consisted of 8 phases, which were to be undertaken from April 2000 to December 2001⁴⁰. These were:

- ❖ A submission to the Premier and Cabinet to obtain approval for review;
- ❖ Preparatory research to identify additional provincial priorities by reviewing other documents;
- ❖ Undertake a gap analysis to correlate Provincial priorities with the PGDS;
- ❖ Convene a workshop with Cabinet, HoDs and senior officials;
- ❖ Arrange a workshop to determine Provincial priorities;
- ❖ Convene a workshop with stakeholders in Regional Councils;
- ❖ Convene a provincial summit to approve Macro Provincial Plan; and
- ❖ Cabinet to approve Plan.⁴¹

With Provincial Cabinet approval imminent, by May 2000, the DoP representative tasked with assisting the PGDS review⁴² had already proceeded with the visits and obtained the departmental source documents such as strategic plans and ministerial budget speeches.⁴³ By 21 September 2000, all 10 HoDs gave their respective input on a reviewed PGDS process and what should inform the contents of such Plan.⁴⁴

With the consultation process completed, the next step was to inform Cabinet thereof, and request approval for the way forward by way of submitting a Cabinet Memorandum. This pending approval led the Task Team and Extended Task members to conclude at the November 2000 meeting:

³⁶ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Draft Discussion Document on the Review of the PGDS, *circa* July 1999.

³⁷ KwaZulu-Natal, OoP File 3/1/1/14/1/5. Minutes Task Team meeting, 15 July 1999:2.

³⁸ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Minutes Task Team meeting, 5 April 2000:2; and Minutes Extended Task Team meeting, 5 April 2000:3.

³⁹ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Minutes Extended Task Team meeting, 5 April 2000:3; and Memorandum for Cabinet, *circa* February 2000.

⁴⁰ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. PGDS Review process. Initial discussions with HoDs, 17 May 2000:4 - 5.

⁴¹ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. PGDS Review process. Initial discussions with HoDs, 17 May 2000:4 - 5.

⁴² KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. Minutes Task team meeting, 5 April 2000:1.

⁴³ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Minutes Combined Task Team and Extended Task team meeting, 17 May 2000:1.

⁴⁴ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. Minutes Task Team and Extended Task Team meeting, 10 August 2000:2 and Annexure B; and Registry File 8/2/3/2/3/2. Vol. 3. Minutes Task Team and Extended Task Team meeting, 2 November 2000, Annexure B.

“As the work of the PGDS Task Team and Extended Task Team has reached a point where meaningful progress can only be made once the Cabinet approval for the (review) process has been obtained, it was agreed that the next meeting will be held early in 2001.”⁴⁵

(C) Substance of the review debate in PGDS structures

(i) Confirmation of the integrated development planning methodology

The instant that the Provincial Cabinet gave the approval in 1996 for the PGDS to be implemented, the Task Team and later the Extended Task Team were faced with the ongoing evaluation and monitoring of actions taken. This would eventually lead to a debate on the review of the PGDS and actual review process itself. This development confirmed the integrated development planning methodology, which requires ongoing assessment of progress made with the implementation of any plan, in order for it be adapted to accommodate changing circumstances impacting on the plan itself and how it is implemented.

(ii) Contribution to the Review Debate

The essence of the lengthy and substantive review debate within the PGDS Task Team and Extended Task Team is reflected in this section, so as to give them a chance to speak for themselves. These institutions were *per se*, the two that did ground-breaking work and need to get full credit for what was achieved between 1996 and the beginning of 2001.

(iii) Elements identified for informing Review

The elements, which were identified, critically analysed and highlighted as to be relevant for a PGDS review are as follows:

(a) Cabinet and MEXCO endorsement and leadership

The ongoing commitment by Provincial Cabinet and the MEXCO was essential to the success of the implementation of the PGDS.⁴⁶ It was, however, perceived that not all members of the Provincial Cabinet and MEXCO fully recognise and support the PGDS.⁴⁷ This resulted in management and implementation agents within government structures being reluctant to fully identify and commit resources to the PGDS process.⁴⁸ Mabin, *et.al.*, confirmed this view:

⁴⁵ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Minutes Task Team and Extended Task Team meeting, 2 November 2000:3. This meeting did not take place because the DoP used alternative structures and processes to review the PGDS.

⁴⁶ DEAT, PGDS Summary Report. (1st) Draft. February 1999:17.

⁴⁷ DEAT, PGDS Summary Report. (1st) Draft. February 1999:17.

⁴⁸ DEAT, PGDS Summary Report. (1st) Draft. February 1999:17.

“Some long-standing participants in the (PGDS) process believe that (Provincial) political support is lukewarm and that the burden of sustaining the process is being carried by a few officials ... The commitment of the political leadership is questionable.”⁴⁹

The former Project manager responsible for the PGDS Secretariat, Rowen Shuttleworth, echoed the same sentiments:

“Without political sanction of the PGDS contents and the implementation process, it would be impossible to make the Plan work, as it was proved during the implementation from July 1996 to 2000.”⁵⁰

In a memorandum to Provincial Cabinet in February 2000, the Task Team identified the lack of physical involvement and motivation by the leadership of the Province in the PGDS, a key short coming during the PGDS implementation process.⁵¹

(b) Stakeholders committed support

The initial support by stakeholders during the visioning and drafting process of the PGDS was overwhelming.⁵² When implementation commenced, the focus was mainly internally or governmentally orientated, reason being,

“... for (P)rovincial (G)overnment to prepare itself to engage other social partners for full scale implementation of the PGDS.”⁵³

Consequently it delayed the participation of stakeholders, which led to the conclusion that the:

“Strategy has not been fully implemented as a partnership policy.”⁵⁴

The successful implementation of the PGDS required the ongoing participation and co-operation by all key stakeholders⁵⁵ (i.e. local government, labour, business and NGOs).⁵⁶ The lack of the identification of the responsibilities of

⁴⁹ Mabin, A., *et. al.*, Options for Provincial Plans in Terms of the Planning and Development Act (No.5 of 1998), 2000:43.

⁵⁰ Shuttleworth, R., 2005:1.

⁵¹ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. Memorandum for Cabinet, *circa* February 2000:3.

⁵² DEAT, PGDS Summary Report. (1st) Draft. February 1999:5.

⁵³ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:1.

⁵⁴ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:1.

⁵⁵ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:3.

⁵⁶ DEAT, PGDS Summary Report. (1st) Draft. February 1999:5.

the private sector was a major impediment.⁵⁷

(c) Agreement on aim, framework and content of revised Plan or Strategy

As part of the plan's framework, the aspect of flexibility and the easy adjustment of a plan, highlighted by Mabin, *et.al.*,⁵⁸ was emphasised. In practice, it entailed that the revised PGDS had the capability of incorporating new policies and development issues identified as time goes on, for example HIV/AIDS, Disability, Gender, etc.⁵⁹

(d) Institutional arrangements

The PGDS was never adequately provided with dedicated human resources to implement the plan, either in the secretariat or in Departments.⁶⁰ The management responsibilities of HODs and other departmental staff as set out in the Public Service Regulations were put forward as a solution to strengthen the ownership and the role in implementation by officials, specifically to bind staff starting from the HOD, by an organisational performance management system thereby taking responsibility for the PGDS to be implemented.⁶¹

On other words, the Task Team concluded in this regard:

*“Whilst the Premier and the Director General are ultimately responsible for (the) provincial macro strategy, without the full cooperation of all departments, the chances of successfully implementing such a strategy are not good.”*⁶²

(e) Communication and Marketing

From the beginning of the PGDS implementation process, the Task Team concluded that effective communication would ensure successful implementation.⁶³ Throughout implementation, specifically the Task Team identified the main communication challenge as:

“... to strengthen the flow of information through the system and ... to expand

⁵⁷ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:3.

⁵⁸ Mabin, A., *et. al.*, Options for Provincial Plans in Terms of the Planning and Development Act (No.5 of 1998), 2000, Executive Summary:1.

⁵⁹ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:8.

⁶⁰ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. Memorandum for Cabinet, *circa* February 2000:7 - 8.

⁶¹ Discussion based on KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:7.

⁶² KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. Memorandum for Cabinet, *circa* February 2000:6.

⁶³ DEAT, PGDS Summary Report. (1st Draft), February 1999:9 - 10.

the flow of information to draw from and inform a wider audience."⁶⁴

The PGDS structures identified and admitted eventually that there was a general lack of understanding by virtually all stakeholders caused by an inadequate communication and marketing strategy.⁶⁵

A direct consequence within the Provincial Government was that certain officials became involved in the implementation.⁶⁶ However, even where they were dedicated to the process, some of them were not fully mandated by their Departments and able to make decisions on behalf of their Departments, nor was there a Departmental structure or authorised person to which they could report to give effect to resolutions.⁶⁷

Closely linked to the institutional structures and successful communication therein, the PGDS structures aimed to facilitate and co-ordinate implementation actions.⁶⁸ These two concepts were clarified as follows, namely:

- *“co-ordination was to bring into a proper relationship, to work or cause to work together”*; and
- *“facilitation was to make easy or to lessen the burden of.”*⁶⁹

In the case of the private sector and other social partners, it was acknowledged that their involvement in the PGDS was limited through invitation by some Workgroups.⁷⁰ In relation to government institutions, the principles were adhered to as much as possible, with the success measured by the effectiveness or non-effectiveness of the Workgroups and their interaction within the PGDS structures.⁷¹

(f) Identification of Provincial Priorities

The PGDS structures identified the lack of prioritisation of programmes and projects early on in the implementation process.⁷² To address this critical short-

⁶⁴ DEAT, PGDS Summary Report. (1st Draft), February 1999:27.

⁶⁵ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:3.

⁶⁶ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:3 - 4.

⁶⁷ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:4.

⁶⁸ DEAT, The PGDS Summary Report. Draft, February 1999:8.

⁶⁹ DEAT, The PGDS Summary Report. Draft, February 1999:8.

⁷⁰ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:1.

⁷¹ Compare Table 6.1 for a measure of success.

⁷² KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS, *circa* June 1999:2.

coming of the PGDS was the establishment of the Workgroups, based on priorities identified by the PGDS structures and approved by the Cabinet and MEXCO.⁷³ As indicated in Table 6.1 some of the PGDS Workgroups left an enduring legacy, which still needs to be studied. Examples of successful Workgroups are the following, namely the Integrated Rural Development Strategy and Rural Service System.⁷⁴

The Task Team's early attempt to rectify the lack of identification of Provincial priorities during the finalisation of the PGDS in 1996 was not completely successful, as in their own assessment, the

*"... all-inclusive and comprehensive (document) tended to dilute the focus of the Strategy ..."*⁷⁵

Mabin, A., *et.al.* concluded in 2000 regarding PGDS priorities :

*The PGDS has not really succeeded in transforming the focus of provincial government's work. The identification of the critical strategic elements (i.e. priorities)⁷⁶ to be dealt with by the working groups was made on a pragmatic basis. It was largely based on existing initiatives and programmes of departments, and what would most likely succeed in terms of existing provincial structures."*⁷⁷

Hence, Mabin, *et.al.*, observation that a reviewed PGDS should advance beyond vague statements of intent to more definite policy, strategies and prioritisation of development interventions.⁷⁸

However, Briassoulis cautioned that notwithstanding careful planning:

*"Very rarely, plans are implemented as originally designed and means used as intended..."*⁷⁹

as numerous outside influences make implementation complicated.

(g) Lack of budget alignment

Although the KZN Cabinet adopted the PGDS, Departmental programmes were not integrated with the MTEF process.⁸⁰ Mabin, *et.al.* identified a variety of

⁷³ See Chapter 5, Section 5.3.2.6 - 5.3.2.7.

⁷⁴ See Table 6.1.

⁷⁵ KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:3.

⁷⁶ My insertion.

⁷⁷ Mabin, A., *et. al.*, 2000:44.

⁷⁸ Mabin, A., *et. al.*, 2000:46.

⁷⁹ Briassoulis, H., 2001:414.

⁸⁰ KwaZulu-Natal, OoP File 3/1/1/14/3/2. Draft Discussion Document on the Review of the PGDS,

reasons for the lack of budget alignment, including the PGDS base document did not provide sufficient information for budget allocations, some politicians and departments did not want to relinquish budget decision-making powers and conditional grants from National Treasury.⁸¹

(h) Development of Organisational Performance Management System

Constitutionally, the Premier with the MECs⁸² was collectively responsible for co-ordinating the development functions of National and Provincial Departments.⁸³ The DG has been given the responsibility of co-ordinating the actions of Provincial Departments.⁸⁴ The DoP would therefore be responsible for the co-ordination of the implementation of the PGDS.⁸⁵ The revised Strategy should identify Key Performance Areas (KPA) to be allocated to each MEC for implementation, with pre-identified milestones.⁸⁶ Each KPA and KPI should be reflected in turn, in the Provincial Departments' Strategic Plans.⁸⁷

6.3.3.3 Evaluation and Recommendations

(A) Evaluation

The PGDS review debate which commenced in 2000 still did not result in a Provincial Cabinet reviewed Strategy, nor a Provincial Spatial Framework by the end of 2006.⁸⁸ A contributing factor is the change in Provincial Government after the 2004 election which delayed the process, as well as debate on the nature of the document.⁸⁹ In 2004, a draft Reviewed PGDS was work shopped with Departments, and noted by Provincial Cabinet in 2005.⁹⁰ It should be noted the Private Sector was not part of the review process.⁹¹

To make up for the gap in the KZN Provincial hierarchy of plans, towards the end of 2006, the Provincial Cabinet approved the Provincial Spatial Economic

circa June 1999:2.

⁸¹ Mabin, A., *et. al.*, 2000:45.

⁸² KwaZulu-Natal, DLGTA Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:5.

⁸³ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:5.

⁸⁴ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:5.

⁸⁵ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:5.

⁸⁶ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:6

⁸⁷ KwaZulu-Natal, DLGTA, Registry File 8/2/3/2/3/2. Vol. 3. PGDS Memorandum for Cabinet, *circa* February 2000:6.

⁸⁸ Brooks, F.R., 2007.

⁸⁹ Brooks, F.R., 2007.

⁹⁰ Brooks, F.R., 2007.

⁹¹ Brooks, F.R., 2007.

Development Strategy (PSEDS) to promote economic development that will be implemented in the absence of an adopted KZN PGDS.⁹² The PSEDS acknowledges also the need for the development of social and environmental strategies, which still needs to be included in the PSEDS.⁹³

(B) Recommendations

To ensure the credibility of the KZN Provincial Growth and Development Strategy process is recommended that:

- (i) The Provincial Government revives the process of finalising and implementing a Reviewed Provincial Growth and Development Strategy, which has the support of all major stakeholders as required by the Communicative Strategic approach; and;
- (ii) In Table 6.2, a planning framework is proposed to inform the formulation of a reviewed KZN Provincial Growth and Development Strategy. The process and resultant products or milestones are based on the phase and steps of the Strategic Management Model advocated in the study

TABLE 6.2: FRAMEWORK AND PROCESS FOR A REVIEWED PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY

Strategic Management Phase	Step	Description
Planning	1	<p>Initiate and agree on strategic management process:</p> <ul style="list-style-type: none"> ➤ Draft management or process plan setting out time scales of review process; ➤ Compile an unambiguous project Terms of Reference; ➤ Obtain full support of political leadership, Heads of Departments and other stakeholders; ➤ Identify mandated PGDS drafting champion, who has good project management skills; ➤ Identification of a steering committee consisting of various stakeholders; ➤ Stakeholders to make regular input into drafting process; ➤ Institute regular feed-back to Cabinet via the Steering Committee, and to other stakeholders; ➤ Development of a communication plan; and ➤ Securing of funding for the review process and communication strategy.
	2	<p>Clarify organisational mandates:</p> <ul style="list-style-type: none"> ➤ The reviewed document has to be informed by the Departmental Strategies and Integrated Development plans (which are both annually reviewed).
	3	<p>Establish vision and goals:</p> <ul style="list-style-type: none"> ➤ The vision has to be short and striking; and

⁹² Brooks, F.R., 2007.

⁹³ Brooks, F.R., 2007.

		➤ Goals should be limited to five.
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats: ➤ Review Provincial Growth and Development Strategy against the background of a changed context, including relevant key international influences, new legislation, policies, programmes and development trends, etc.
	5	Identify strategic issues facing the organisation: ➤ Determine a maximum of six strategic development issues, for example poverty alleviation, service delivery and economic growth.
	6	Formulate and adopt strategies to address strategic issues: ➤ The document needs to be clear and unambiguous, ⁹⁴ strategic in nature, based on the national and provincial priorities, development objectives, strategies and responsibilities allocated for implementation in accordance with the Provincial Clusters; and ➤ The final document should be adopted by Cabinet and widely advertised
Implementation	7	Planning of plan implementation: ➤ Guidelines, for example on Provincial Growth and Development Strategy and Integrated Development Plans alignment, Provincial Growth and Development Strategy and budget alignment and Provincial Growth and Development Strategy and Organisational Performance Management System alignment need to be developed, and training undertaken to assist stakeholders for implementation; ➤ Key Performance Areas and Key Performance Indicators need to be determined to inform an Organisational Performance Management System; ➤ A flexible Implementation Plan linked to a budget needs to be identified and agreed upon (i.e. to link planning with budget through the Medium Term Expenditure Framework); ➤ Committed champions within institutions, which have been identified and trained, with approved mandates should be responsible for implementation; ➤ Appropriate and prior determined institutional structures should manage the process; and ➤ A mandated, dedicated and adequately resourced Secretariat should support the Provincial Growth and Development Strategy. ⁹⁵
	8	Phased implementation: ➤ Ongoing communication of reviewed Provincial Growth and Development Strategy and progress with implementation; and

⁹⁴ Martin, J.W., 2007.

⁹⁵ Martin, J.W., 2007.

		<ul style="list-style-type: none"> ➤ Ensure that all stakeholders are involved on an ongoing basis.
Control	9	Monitoring: <ul style="list-style-type: none"> ➤ Ongoing (monthly) monitoring of progress has to take place by using a Geographic Information System, coupled with budget expenditure, and reported to management.
	10	Evaluation: <ul style="list-style-type: none"> ➤ Continued (quarterly) evaluation of information has to be undertaken in accordance with the Organisational Performance Management System and stakeholders informed.
	11	Review: <ul style="list-style-type: none"> ➤ Adjustments of objectives and Provincial Growth and Development Strategy in general, needs to be undertaken when circumstances necessitate such actions to keep the document relevant and to accommodate new developments and programmes; ➤ Objectives achieved should be recorded, but removed from the Strategy and replaced by new ones; and ➤ The Strategy should be reviewed annually.
<p>Note: When Departments do not follow the agreed strategic management process the Office of the Premier (OoP) will be notified for it to take corrective action against such Departments.</p>		

6.4 CONCLUSIONS

The following conclusions are made with regards to the Control Phase of the Provincial Growth and Development Strategy, 1996 to 2000:

6.4.1. Control: Step 9: Monitoring

6.4.1.1 The Task Team, supported by the programme manager, had an excellent track record in monitoring programme or project related activities as the following three examples demonstrated, namely:

- (A) The mechanisms used for PGDS implementation such as the Workgroup Progress Reports or Status Quo Reports, Cabinet Memorandums and other reports submitted to the MEXCO and Provincial Cabinet;
- (B) The SWOT analyses undertaken in June and August 1998 were outstanding monitoring milestones to determine whether the implementation of the PGDS was going in the right direction, and where the changes should be made; and
- (C) On 5 April 2000, the poor attendance of the Extended Task Team meetings were recorded and it was resolved that the following meetings, from 17 May 2000

onwards, would be Combined Task Team and Extended Task Team meetings, an arrangement that should ensure improved participation of all Departments as some of them felt excluded from the Task Team, PGDS activities and committees.

6.4.1.2 A major gap in the PGDS monitoring efforts was the lack of any coherent Performance Management System (PMS) consisting of the four general steps, namely to determine performance standards for the PGDS projects as per Workgroup, measurement of real time performance, identification of deviations from standards set and initiation of corrective measures. The absence of the PMS meant that no monitoring was done through the collection of data on economic, social and environmental information and/or to measure performance with programme or project implementation. Monitoring tools such as budgets were not at all utilised to monitor the activities of the Workgroups on a coherent and ongoing basis.

6.4.2. Control: Step 10: Evaluation

6.4.2.1 Ongoing evaluation of the functioning of the Task Team, Extended Task Team and Workgroups were undertaken. One of the key results of the ongoing program management evaluation was the amalgamation of the Task Team and Extended Task Team meetings in May 2000. Ex-post evaluation of the PGDS Workgroup activities still needs attention in 2006 and should inform the review of the PGDS. The PGDS Workgroup had mixed results and some of the Workgroups' impacts such as the Rural Service System (RSS) and Integrated Rural Development Strategy (IRDS) are still felt and need further in-depth investigation.

6.4.3. Control: Step 11: Review

6.4.3.1 Any review of the PGDS needs to take into account the 1999 and 2000 review debate within the PGDS, amongst others, as well as the impact that the current formulation of the Provincial Development Bill would have on the formulation and implementation of a reviewed PGDS.

6.4.3. Strategic Management Model Presentation Format

6.4.3.1 The strategic management information pertaining to the PGDS Control phase could be presented in a narrative format in accordance with the two Control steps of the Model.

6.5 MEANING OF CHAPTER

The Control Phase of the Strategic Management Model consists of monitoring, evaluation and review. The chapter demonstrated that the biggest draw-back of the Provincial Growth and Development Strategy (PGDS) was the absence of an Organisational Performance Management System (OPMS), linked to the Department or Office of the Premier (DoP/OoP), to monitor progress of implementation undertaken by the PGDS

Work Groups. Whilst the PGDS review process was ongoing, the Municipal Systems Act, Act 32 of 2000, introduced Integrated Development Plans (IDPs) for the newly demarcated municipalities. The next chapter focuses thus on the planning phase of municipal integrated development planning in KwaZulu-Natal, which introduces integrated development planning in the Province.

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PART D: MUNICIPAL STRATEGIC MANAGEMENT

CHAPTER SEVEN

PLANNING OF STRATEGIC MANAGEMENT OF THE MUNICIPAL INTEGRATED DEVELOPMENT PLANNING PROCESS

“In a society as unequal as South Africa, where ...political activity and civil society activism is highly contested by the state and the market, the contradictions in attempting to address poverty will be with us for a long time.”¹

- Imraan Buccus, Political Researcher

7.1. INTRODUCTION

In order to implement integrated development planning in KZN, the strategic management process should also be introduced on a municipal level. Hence, the focus on the planning phase of municipal strategic management of integrated development planning in the Province. The way in which the six steps of the strategic planning phase were followed, is evident from the steps taken to plan for the integrated development planning management process. Under each stage of the strategic planning phase an evaluation is done and recommendations made for future application.

7.2 PLANNING PHASE

7.2.1 Focus of Strategic Management Model

The focus is on the **planning phase** of the Model in relation to the strategic management of municipal integrated development planning in KZN from 1994 to 2006 and is highlighted on the Key:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation

¹ Buccus, I., 2007.

Control		9	Monitoring
		10	Evaluation
		11	Review

7.2.2 Evaluation Methodology

Under each strategic management step the Model requirements are repeated as set out in Chapter 3, Section 3.4, actions taken to meet the specific step requirements are described, evaluated and recommendations made with the aim of answering the following evaluation criteria:

“How and to what extent did the planning (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic planning step in this chapter are repeated or listed again in Chapter 10 with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

7.3. STEPS OF STRATEGIC PLANNING PHASE

7.3.1 Step One: Initiate and agree on Strategic Management Process

The Key highlights the *“Planning Phase: Step 1”* of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.1.1 Strategic Management Model Evaluation Criteria

The Communicative approach in strategy formulation requires prior agreement on the strategic management process and the involvement of key stakeholders in KZN. Government Departments, institutions and individuals within these organisations initiate the process by deciding on a strategic management process and who should be invited to participate. Written agreements are desirable, but not always secured to ensure commitment during the planning phase. Resources for the entire strategic process should be available at commencement of the strategic

initiative. A dedicated management team is to be appointed to manage the process in accordance with project management practices.

7.3.1.2 Initiate and agree on Strategic Management Process

The strategic management process includes national and provincial agreement,² provincial and local agreement³ and the confirmation and/or establishment of provincial management structures.⁴

(A) National and Provincial Agreement

Prior to the commencement of the integrated development planning process the Department of Constitutional Development (DCD) invited representatives of Provinces for a preparatory session from 23 to 27 October 2000, to achieve a common understanding and approach on the way forward.⁵ The result of the session was the drafting of the KZN Provincial IDP Management Plan as the point of departure upon which the guidance, support and monitoring of municipalities in preparing IDPs was clarified, and time frames linked.⁶

(B) Provincial and Local Agreement

At Provincial level, the IDP Management Plan set the framework for the establishment of a co-operative and consultative structure consisting of KZN Parliamentarians, namely the Local Government Portfolio Committee members, KwaZulu-Natal Local Government Association (KWANALOGA) and DLGTA, to oversee the implementation of municipal integrated development planning in the Province.⁷

By 2000, the provincial integrated development planning support structure was in operation in its sixth year since the amalgamation of the former Natal Provincial Administration (NPA) and KwaZulu Government in 1994 after the elections. The Chief Directorate: Development Planning consisted of a Co-ordination Office located in Pietermaritzburg, and three Regional Offices, situated respectively in Pietermaritzburg, Ulundi and Durban.⁸

² Research File, (Report on) Management Training for Provincial Officials, Pretoria, 23 - 27 October 2000:1 - 7.

³ KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/2001:35.

⁴ See paragraph 7.3.1.2 (C) for the various management structures.

⁵ Research File, (Report on) Management Training for Provincial Officials, Pretoria, 23 - 27 October 2000:1 - 7.

⁶ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 7 December 2000: 1- 18; and KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/2001:35.

⁷ KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/2001:35.

⁸ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 23 - 27 October 2000:3.

The Development Planning: Co-ordination Office provided planning guidance on a provincial scale, whilst the Regional Offices functioned on a geographic basis.⁹ The Inland Region served four District “family of municipalities” or groups of municipalities from Pietermaritzburg, the Coastal Region, three District “family of municipalities” and the Durban Metropolitan Municipality, and the Northern Office three District “family of municipalities.”¹⁰ Between 1994 and 2000, planning staff were responsible for assisting municipalities on a regional basis with major planning programs, namely municipal integrated development planning, capacity building and spatial or land use planning.¹¹

With the new municipal dispensation effected on 5 December 2000, the decentralized provincial planning structure remained intact.¹² However, the roles and responsibilities of the respective offices were immediately re-orientated in support of municipal integrated development planning envisaged in the Municipal Systems Act (No 32 of 2000).¹³ The increased responsibilities related to municipal strategic development planning and spatial planning caused the DTLGA to separate the two planning functions from each other, and sub-directorates in the Co-ordination Office were established on 1 June 2002.¹⁴

The co-ordination office-geographic municipal support arrangement ended on 31 December 2006.¹⁵ Even though the municipal support arrangement was the most suitable with a full planning compliment, other factors impacted on its effectiveness.¹⁶ Severe planning staff shortages in the CD:DP and the delayed restructuring of the DLGTA called for a new interim CD:DP structure to enable it to continue its integrated development planning functions in KZN.¹⁷ The new CD:DP structure contained line function directorates for each of its functions, including integrated development planning, spatial planning and organisational performance management.¹⁸

⁹ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 23 - 27 October 2000:4.

¹⁰ Henman, L., 2007.

¹¹ Henman, L., 2007.

¹² Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 23 - 27 October 2000:4.

¹³ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 7 December 2000:3.

¹⁴ Research File, Letter Chief Director: Corporate Services to CD: DP, 13 June 2002.

¹⁵ DLGTA File HO/13/6/5/2/IDP, CD:DP Guidelines for Interim Structure, 8 December 2006:1-2.

¹⁶ Henman, L., 2007.

¹⁷ KwaZulu-Natal, DLGTA, File HO/13/6/5/2 IDP Team Manco, Letter General Manager: Development Planning to Staff: Development Planning Co-ordination, 18 November 2006:1.

¹⁸ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP, Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006:2 -3.

(C) Provincial Management Structures

Various Structures were established within the CD:DP to strategically manage the integrated development planning process in KZN.

(i) Chief Directorate: Development Planning

For the effective and efficient strategic management of the Municipal IDP support programme from 2000 to 2006, various individuals or IDP champions were identified¹⁹ and management committees established and/or again confirmed within the CD:DP.²⁰

(a) Provincial and Regional IDP Co-ordinators

Flowing from the first KZN IDP Management Plan, dated 7 December 2000, IDP Co-ordinators were identified within the CD:DP.²¹ Within the Co-ordination Office, the Provincial IDP Co-ordinator, was identified to assist and co-ordinate the provincial integrated development planning process²² and liaise with, and report on progress primarily to the CD:DP Management²³ and DPLG.²⁴ In each of the three Regional Offices, Regional IDP Co-ordinators were identified to co-ordinate the integrated development planning support programme within each Region.²⁵

(b) IDP Management Committee

During the latter half of 2001, the IDP Management Committee (IDP Manco) was established within the CD:DP to co-ordinate the IDP support programme.²⁶ The Provincial IDP Co-ordinator chaired the IDP Manco.²⁷ In the beginning, the Committee consisted of the Regional Office IDP Co-ordinators and other line function staff responsible for IDP support.²⁸

The momentum of the process required new management strategies and decisions to be made by the Chief Director: Development Planning management. By 2004, the three Regional Directors, Director: Policy and

¹⁹ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 7 December 2000:4.

²⁰ Henman, L., 2007.

²¹ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 7 December 2000:4.

²² Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 23 - 27 October 2000:4.

²³ KwaZulu-Natal, DLGTA., Electronic repository with Daly, M, CD: Manco Minutes, 2001- 2006.

²⁴ Research File, e-mail message, Y. Matshekwa to Y. Patel, 29 July 2002.

²⁵ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 23 - 27 October 2000:4.

²⁶ The researcher was in attendance at the inaugural meeting in 2001.

²⁷ Ms. Bongwiwe Mculu was the first Chair person of the IDP Steering Committee.

²⁸ Personal observation of chairing and attendance of meetings.

Co-ordination and the Chief Director: Development Planning were fully fledged members of the Committee. The advantage of this arrangement was that policy decisions were made instantly, as managers and line functionaries were present together.²⁹

During 2005, the name of the IDP Manco was changed to the IDP Steering Committee, but this name change was only cosmetic in nature.³⁰

By 2006, the Terms of Reference of the Committee were revisited and its functions were determined as the following:³¹

- Draft, approve, implement, monitor and review the Provincial IDP Management Plan;³²
- Formulate provincial guidelines for the submission and assessment of IDPs;
- Provide input into national guidelines for submission and assessment of IDPs;
- Develop, comment and approve any other guidelines informing the integrated development planning process;
- Draft and approve correspondence to Sector Departments and Municipalities regarding integrated development planning process;
- Monitor the submission of draft and adopted IDPs and Reviewed IDPs to the Department;
- Ensure the co-ordinated assessment and monitoring of adopted IDPs and Reviewed IDPs within predetermined time frames;
- Support IDP District Growth and Development Summits and IDP Engagements; Support compilation and monitoring implementation of District Action Plans (DAPs); and
- Compile and review Provincial IDP and Regional Reports.

The restructuring of the CD:DP brought to an end the IDP Steering Committee on 31 December 2006.³³ With the essence of the Steering Committee's Terms of Reference still applicable, the responsibilities of the IDP Steering Committee were transferred to the Directorate: Municipal Strategic Planning with effect from 1 January 2007.³⁴

²⁹ From the latter half of 2004 to 2006, the researcher was chair person of the IDP Management Committee which enabled him to closely monitor the proceedings and attendance pattern of the meetings.

³⁰ KwaZulu-Natal, DTLGA, File No HO13/6/5/2. Second Draft Terms of Reference of the KwaZulu-Natal IDP Steering Committee, 2 October 2000; and Henman, L., 2007.

³¹ KwaZulu-Natal, DTLGA, File No HO13/6/5/2, Second Draft Terms of Reference of the KwaZulu-Natal IDP Steering Committee, 2 October 2006.

³² Research File. The KZN Provincial IDP Management Plan was continuously updated with a releases dated 26 November 2002, 21 December 2004, 13 July 2005 and 6 September 2006.

³³ KwaZulu-Natal, DLGTA, File No HO/13/6/5/2/IDP Team Manco, Minutes IDP Team meeting, 4 December 2006.

³⁴ KwaZulu-Natal, DLGTA, File No HO/13/6/5/2/IDP Team Manco, Minutes IDP Team meeting, 4 December 2006.

(c) Management Committees of the Chief: Directorate: Development Planning

Although prominence has been given thus far to the role of the IDP Manco in the municipal integrated development planning strategic management process, further debate, decisions taken and recommendations made, also occurred at the following CD:DP Management Committee (Manco) meetings:

- Regional and Co-ordination Office Manco;
- Planning Manco;
- Directors/Managers Manco; and
- CD:DP Manco.³⁵

The final ratification of management decisions - policy and operational - on strategic management of integrated development planning in the CD:DP, were the responsibility of the Chief Director/General Manager: Development Planning, Mr Frikkie Brooks and his Directors, later renamed Managers, Mrs Aah Sekhesa (Policy and Co-ordination Office), Messrs Neil Fox (Inland Office), initially Makenethi Maduna, and thereafter Thulani Bhengu (Coastal Office) and Mark Povall (Northern Office).³⁶

(ii) IDP Assessment Structures

Initially municipalities were to submit for assessment their 2001/02 IDPs and Reviewed IDPs to the Provincial Multi-Sectoral IDP Forum established in 2002 and operated in its centralised form until 2004.³⁷ The Forum consisted of National and Provincial Departments and para-statals such as Eskom, Telkom and Umgeni Water.³⁸

An outstanding achievement of the 2001/02 IDP process in KZN was reported in the Annual Budget Speech of the KZN Minister of Local Government delivered in the Provincial Legislature on 15 April 2002:

*“With regards to Development Planning ... that although (KZN) has more municipalities than any other province, we were the first where all municipalities had adopted the (IDPs) and where these IDPs were assessed and commented on a provincial level as required by the (MSA). This achievement is largely due to the ... technical and financial support provided by (the DTLGA) to all municipalities ...”*³⁹

³⁵ The agenda and minutes of these meetings support these observations.

³⁶ Research File, DLGTA, Chief Directorate Development Planning, Our Structure, April 2005.

³⁷ DPLG, KwaZulu-Natal's Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006:4.

³⁸ DPLG, KwaZulu-Natal's Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006:4.

³⁹ Research File, Ilanda, Autumn Edition, Issue 2, 2003:2.

In 2005, 10 Decentralised District IDP Forums were established for IDP assessment purposes.⁴⁰ This approach made it easier for “District Family of Municipalities” IDPs to be assessed as a group and assisted with inter-municipal alignment.⁴¹

With regards to the 2006/07 IDP process, the KZN Minister of Local Government announced in his Budget Speech for the 2007/08 Financial Year on 17 April 2007es that all 61 IDPs were submitted for assessment to the DLGTA, although one was four months late. The Minister said further:

*“The 2006/07 IDPs, adopted by the newly elected Councils in June 2006 were thoroughly assessed by an inter-departmental team presenting both national and provincial departments and more than 60% of the IDPs in this Province were found to be credible.”*⁴²

7.3.1.3 Evaluation and Recommendations

(A) Evaluation

The evaluation is based on pertinent extracts from an unpublished case study undertaken by the DPLG on the KZN cascading IDP Support.⁴³

The cascading of the strategic management of integrated development planning from a central provincial office into regions and “families of municipalities” resulted in the following positive outcomes, namely:⁴⁴

- The hands-on approach contributed to planners gaining a deeper understanding of the challenges in a local context;
- The direct monitoring of the IDP planning and implementation process;
- Early identification of problems and immediate advice and corrective action possible; and
- An ongoing exchange of information and networking between planning and municipal staff thereby narrowing the distance between municipal and planning staff.

The following conclusion is significant:

“One of the key successes of the KZN’s approach has been the fact that the provincial planning office at DLGTA has been proactive, enthusiastic and

⁴⁰ DPLG, KwaZulu-Natal’s Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006:4.

⁴¹ Coastal Office Director’s Manco File, Directorate: Development Planning: Coastal Region, Management Committee Meeting Minutes, 30 April 2004:2.

⁴² Research File, DLGTA, MEC for Local Government, Housing and Traditional Affairs, in KwaZulu-Natal, 2007/08 Budget Policy Speech, 17 April 2007:7.

⁴³ DPLG, KwaZulu-Natal’s Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006.

⁴⁴ DPLG, KwaZulu-Natal’s Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006:5.

relatively well-capacitated. Officials in this office identified co-ordination and alignment as one of the key outstanding issues to be addressed in order for IDPs to result in more integrated service delivery. They have worked hard to ensure that regional and decentralized structures have been put in place, and they have the requisite support and capacity to fulfil their mandate of supporting municipalities.”⁴⁵

(B) Recommendations

For supporting municipalities with quality planning services it is recommended that:

- (i) Chief Directorate: Development Planning staff are trained on an ongoing basis; and
- (ii) Staff replacements should be focused on attracting qualified and experienced planners.

7.3.2 Step Two: Clarify Organisational Mandates

The Key highlights the “*Planning Phase: Step 2*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.2.1 Strategic Management Model Evaluation Criteria

Formal and informal mandates are the minimum prescripts informing the strategic planning process of KZN Government Departments and institutions. Formal mandates are found in applicable national and provincial legislation and contracts. Informal mandates are found in the political decisions affecting KZN Departments and institutions.

⁴⁵ DPLG, KwaZulu-Natal’s Cascading Support: From Province to Regions, Sub-Regions and families of Municipalities, 19 January 2006:8.

7.3.2.2 Clarify Organisational Mandates

The foremost mandate for the DTLGA was the Constitution which made Regional Planning and Development, as well as Urban and Rural Development a legislative competence for KZN.⁴⁶ Following from that, the Municipal Demarcation Act, Municipal Structures Act, Municipal Systems Act, Municipal Financial Management Act and Intergovernmental Relations Framework Act set the framework within which the DTLGA and its successor the DLGTA strategically managed the integrated development planning process in KZN.⁴⁷

The legal requirements pertinent to the integrated development planning function are captured in Chapter Five of the MSA.⁴⁸ The Act brought into being IDPs for drafting by each municipality.⁴⁹ The first IDPs were drafted during the 2001/02 Financial Year, for implementation from the beginning of the 2002/03 Financial Year onwards.⁵⁰ The lifespan of this first generation of IDPs was five years, which corresponds with the term of the elected Council.⁵¹

The Municipal Systems Act also makes provision for ongoing amendments and annual reviews.⁵² The MEC for Local Government is given powers to comment on adopted IDPs, amendments and annual reviews.⁵³ The formulation of the second generation IDPs was undertaken during the 2006/07 Financial Year for implementation during the 2007/08 Financial Year and onwards⁵⁴ upon the second local government elections which took place on 1 March 2006.⁵⁵

7.3.2.3 Evaluation and Recommendations

(A) Evaluation

The CD:DP has always made sure that the IDP mandates of the Municipal Systems Act were taken into account during the annual Strategic Planning session, as the support in drafting IDPs was a core function of the

⁴⁶ Republic of South Africa, 1996, The Constitution of the Republic of South Africa, Act 108, Schedule 4 and 5.

⁴⁷ See Chapter 3, Section 3.3.2.2 (A) for references to the legislation; and Research File, DPLG, Delivery. A Useful Guide. Everything you need to know about being councillor in 2006:4 - 9.

⁴⁸ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Chapter Five.

⁴⁹ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 23.

⁵⁰ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 23; and Research File, DPLG, Delivery. A Useful Guide. Everything you need to know about being councillor in 2006:1.

⁵¹ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 25; and Research File, DPLG, Delivery. A Useful Guide. Everything you need to know about being councillor in 2006, p 1.

⁵² Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 34.

⁵³ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 23.

⁵⁴ Research File, DLGTA, The Impact of the 2006 Local Government Elections on the Integrated Development Planning Process, 2006/06 – 2006/07, 7 June 2005:1 - 6.

⁵⁵ Research File, DPLG, Delivery. A Useful Guide. Everything you need to know about being councillor in 2006:1.

DTLGA/DLGTA. The Annual Departmental Reports have included the full array of mandates, both formal and informal.

(B) Recommendations

To keep fulfilling its legal obligations, it is recommended that:

- (i) The Chief Directorate: Development Planning continues to ensure that its Annual Business Plan takes cognisance of the Departmental mandates thereby fulfilling its legal obligations in service delivery.

7.3.3 Step Three: Identify Strategic Issues facing the Organisation

The Key highlights the “*Planning Phase: Step 3*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.3.1 Strategic Management Model Evaluation Criteria

Strategic issues focus Provincial Government on what is important for it to be a developmental agent.

7.3.3.2 Identify Strategic Issues facing the Organisation

Flowing from the mandates, the DTLGA/DLGTA clarified its key integrated development planning responsibilities for attention from 2001 to 2006.⁵⁶ The main focus of the DTLGA/DLGTA was to address poverty in the Province through the incorporation of its development programmes into the IDPs in support of municipalities.⁵⁷ However, the task was difficult to begin with. In 2001, the DTLGA was faced with 61 newly established municipalities, of which 17 LMs were classified as non-viable institutional entities.⁵⁸ During 2004, the DLGTA

⁵⁶ KZN DTLGA and DLGTA Annual Reports, 2000 - 2001 to 2005/06.

⁵⁷ KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/2001:10.

⁵⁸ KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/2001:10.

reported that 65% of municipalities passed the financial viability test and the same number the operational test.⁵⁹

The institutional and human resource capacity in DM and LMs was largely lacking to address effectively and efficiently infrastructure backlogs.⁶⁰ The municipal capacity constraints within which the Department was operating was challenging as a result of the general lack of municipal financial, technical and administrative skills. It was more challenging as the DLGTA indicated that it did not have sufficient human capacity, skills, and funding to provide this multitude of assistance to each municipality in need.⁶¹

Other hindrances to service delivery included the provincial topography and dispersed settlement pattern,⁶² belated completion or the absence of IDPs,⁶³ lack of budget alignment of sector Departments and para-statal, such as Eskom, with municipalities and the absence of municipal organisational performance management systems.⁶⁴ The aforementioned factors resulted in the province and municipalities not being able to meet the basic needs of most previously disadvantaged persons, including the delivery of free basic services (i.e. water, sanitation and electricity from 2004 onwards), and to contribute to local economic development (LED), such as skills development.⁶⁵

In 2005, the DLGTA reported that 52.9% of households were still without electricity and 53.1% were dependent on pit latrines and other sanitation forms.⁶⁶ Public facilities largely also lacked basic services in 2005: 60% of schools did not have any power supply, 51% used pit latrines and 34% were without water. Sixty-nine percent of clinics in KZN did not have piped water.⁶⁷

In 2005, the DLGTA also found that 30% of the 61 municipalities provided 66% of services to beneficiaries.⁶⁸ Despite progress made with supporting municipalities in the addressing of the service backlogs, the DLGTA acknowledged in 2006 that it was highly unlikely that KZN will achieve the

⁵⁹ Department of Local Government and Traditional Affairs, Annual Report 2003/2004, p 24.

⁶⁰ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:35.

⁶¹ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:6 & 35.

⁶² Department of Local Government and Traditional Affairs, Annual Report 2005/2006:13.

⁶³ Department of Local Government and Traditional Affairs, Annual Report 2003/2004:25. For example during the 2003/2004 FY the Department reported that nine IDPs were not submitted on time.

⁶⁴ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:9.

⁶⁵ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:6 - 8.

⁶⁶ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:8.

⁶⁷ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:8.

⁶⁸ KwaZulu-Natal Provincial Government. Department of Local Government and Traditional Affairs, Annual Report 2004/2005:8.

Millennium Development Goals (MDGs) for water in 2008, sanitation in 2010 and electrification in 2012.⁶⁹

In 2006, the DLGTA summarised the situation as follows:

“The promotion of socio-economic development, poverty alleviation and job creation are hindered by lack of infrastructure such as water and electricity in support of the notion of a developmental local government.”⁷⁰

Furthermore, service delivery was hampered by the high turn-over of senior municipal staff, and the high incidence of mismanagement and mal-administration in municipalities stretched DLGTA resources further.⁷¹ In the 2004/2005 Financial Year, the DLGTA undertook 17 forensic investigations into the affairs of municipalities resulting in substantial financial irregularities uncovered and municipal officials suspended.⁷²

7.3.3.3 Evaluation and Recommendations

(A) Evaluation

The IDP is the principal planning instrument to indicate what the service backlogs were and how they should be addressed. The information presented regarding the service backlog and the shortage of DLGTA resources is a frustration for the DLGTA who knew its mandates and development challenges, but is hampered by resource constraints. In principle, the DLGTA was on the right track to support municipalities. However, the development statistics revealed that the MDG would not be met. Both the Department and municipalities are affected by this reality and expectations could be tempered.

(B) Recommendations

To improve service delivery, it is recommended that:

- (i) The DLGTA increases its internal and external capacity to be able to meet service backlogs; and
- (ii) The statistics on service backlogs is carefully maintained to monitor progress of service delivery in KZN.

7.3.4 Step Four: Formulate Vision and Goals

The key highlights the “*Planning Phase: Step 4*” of the Model:

⁶⁹ Department of Local Government and Traditional Affairs, Annual Report 2004/2005:13.

⁷⁰ Department of Local Government and Traditional Affairs, Annual Report 2005/2006:13.

⁷¹ Department of Local Government and Traditional Affairs, Annual Report 2003/2004:9.

⁷² Department of Local Government and Traditional Affairs, Annual Report 2004/2005:7.

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision
	5	Undertake SWOT analysis: determine internal strengths and weakness, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.4.1 Strategic Management Model Evaluation Criteria

A vision is an expression of what the Provincial Government wants for itself, municipalities and other stakeholders.

7.3.4.2 Formulate Vision and Goals

The DLGTA revised its vision after the 5 December 2000 Local Government elections to meet the service delivery demands of the new municipal dispensation to read as follows:

*“Sithuthuka Nomphakthi: We develop with communities.”*⁷³

During the 2002/03 Financial Year the Vision was revised as follows:

*“Intuthuko Emphakatin: Prosperous and harmonious communities.”*⁷⁴

Subsequently, in 2005 it was again revised, namely:

*“People-centred sustainable local governance.”*⁷⁵

7.3.4.3 Evaluation and Recommendations

(A) Evaluation

The DTLGA/DLGTA reviewed its vision three times since 2001 to be able to create a future reality for the Department and municipalities, its major clients. It is therefore evident that the Department is adapting to constant changes in the environment in which it is functioning.

⁷³ KwaZulu-Natal. Department of Traditional and Local Government Affairs, Annual Report 2000/200:2.

⁷⁴ Department of Traditional and Local Government Affairs, Annual Report 2002/2003:2.

⁷⁵ DLGTA letterhead, 2006.

(B) Recommendations

Because the DLGTA has repositioned itself recently, it is recommended that the vision to be kept intact but that the actions in support of the vision is changed where necessary.

7.3.5 Step Five: Undertake SWOT analysis: determine internal Strengths and Weaknesses, external Opportunities and Threats

The Key highlights the “*Planning Phase: Step 5*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weakness, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.5.1 Strategic Management Model Evaluation Criteria

The environment inside and outside the Provincial Government should be explored to identify Strengths, and Weaknesses and Opportunities and Threats. A definite balance should be struck by not over-emphasising threats at the cost of opportunities.

7.3.5.2 Undertake SWOT Analysis

The consolidated key results of the SWOT analyses⁷⁶ within the DTLGA/DLGTA related to integrated development planning are summarised hereunder:

(A) Strengths

From 2000 to 2006 there was full ministerial and management support for the integrated development initiatives, clear legislative and policy mandates, adequate financial and capital resources and quality developmental

⁷⁶ The DLGTA Strategic Plan for 2000:33 and 2002/3:84 respectively contains a formal SWOT Analysis. From the 2003/04 FY the format of the Strategic Plan document has changed and the information pertaining to the elements of a SWOT analysis is contained under various topics within the Departments Annual Reports 2001/02 to 2005/06 and Performance Plan for 2005 - 2010. In order to reflect a coherent picture of the external environment within which the Department functioned, the SWOT analysis in this section is supplemented by extracts from the relevant information from the Annual Reports.

information and sufficient numbers of skilled staff until the 2005/06 Financial Year.

(B) Weaknesses

The Department experienced a high turn-over of staff, with many staff members being “poached” by municipalities; inadequate administrative support for line function activities and some staff adapted slowly to the new planning approach. A healthy core of planning staff existed in 2000. However, after April 2004 a moratorium on staff appointments was introduced by the then MEC for Local Government which resulted in planning staff capacity of +- 50% by May 2006. This situation impacted seriously on service delivery by the DTLGA/DLGTA.

(C) Opportunities

In general, municipalities had accepted the integrated development planning approach, which created an atmosphere in municipalities conducive to the drafting of IDPs. Municipalities viewed the CD:DP as a credible agent to support and facilitate the integrated development planning process. The CD:DP established sound relationships with municipalities. Challenging capacity building and partnership opportunities existed.⁷⁷ The regional institutional arrangements made the DLGTA accessible to its clients.

(D) Threats

Some municipalities were under-resourced and not able to attract suitably qualified staff. Municipal Councils experienced political instability, and corruption⁷⁸ became more evident. The lack of clarity of municipal powers and functions caused uncertainty in municipalities, and inter-municipal conflict,⁷⁹ which impacted directly on the formulation of IDPs. Contrary to the philosophy of integrated development planning the lack of co-ordination between national and provincial development initiatives occurred in many instances over the years.⁸⁰

7.3.5.3 Evaluation and recommendations

(A) Evaluation

A major disadvantage for the DLGTA was the lack of experienced staff by the end of 2006 to support municipalities with drafting IDPs and to implement basic service programmes.

⁷⁷ DTLGA, Strategic Plan 2002/03:84.

⁷⁸ Department of Local Government and Traditional Affairs, Annual Report 2004/2005:7.

⁷⁹ Department of Traditional and Local Government Affairs, Annual Report 2003/2004:10.

⁸⁰ Chief Directorate: Development Planning. Business Plan 2002/2003. Draft as on 05 March 2002:15.

(B) Recommendations

It is recommended that once the DLGTA's new organogram has been approved that:

- (i) The senior posts are filled firstly; and
- (ii) Training programmes to be undertaken for staff to capacitate them on their role and responsibilities in municipal support, and thereby assisting rebuilding the institutional memory of the DLGTA.

7.3.6 Step Six: Formulate and adopt Strategies and Plans to address Strategic Issues

The Key highlights the "Planning Phase: Step 6" of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

7.3.6.1 Strategic Management Model Evaluation Criteria

As a plan, a strategy is a deliberate course of action or guideline to address a specific developmental situation. Provincial strategies are developed in advance and with a specific purpose to achieve a desired outcome.

7.3.6.2 Formulate and adopt Strategies to address Strategic Issues

For purposes of this research the strategic objective of the Province was to assist municipalities to fulfil their Constitutional obligation to become socially, economically and environmentally sustainable, developmental and good governance based institutions.⁸¹

For achieving the strategic objective a multi-pronged approach was followed,

⁸¹ The researcher based this particular formulation of the provincial strategic objective on the requirements of the Agenda 21 approach, the RSA Constitution, the White Paper on Local Government, 1998, the MSA and Strategic Plans of the DTLA and DLGTA, 2000 - 2006, amongst other documents.

consisting of the following strategies, namely:⁸²

- (a) **Strategy 1:**
“To make internal preparations in the Chief Directorate: Development Planning to manage and align the Municipal IDP support programme.”⁸³”
- (b) **Strategy 2:**
“To build and align the integrated development planning capacity of municipalities to formulate, implement and monitor IDPs”⁸⁴; and
- (c) **Strategy 3:**
“To establish and support provincial and municipal integrated development planning inter-governmental forums to facilitate sectoral and municipal alignment and evaluate IDPs and IDP reviews.”⁸⁵”

7.3.6.3 Evaluation and Recommendations

(A) Evaluation

The strategies are the result of the ongoing DLGTA strategic planning process. In accordance with the communicative strategic approach, municipalities were consulted, and supported the strategies in meeting their constitutional obligations. The consultation process is ongoing and undertaken during the ongoing contact between officials of both spheres of government. The strategies have been in place for some years now - in one way or another - and it is envisaged that they would be in place as long as municipalities need capacity support for drafting IDPs.

(B) Recommendations

It is recommended that the DLGTA:

- (i) Continue with its development planning capacity building strategy to ensure that the ongoing capacity needs of municipalities are met;

⁸² DTLGA and DLGTA Annual Reports, 1999/2000 - 2005/6, report comprehensively on the actions taken during the implementation of the three Strategies for the period under discussion in the Chapter Six.

⁸³ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, 7 December 2000:4; Research File, DTLGA, Northern Office, 2000, Strategic Plan, Action Plan: Strategy: Harmonize National, Provincial and Municipal Planning, Action Steps, [s.a]; and DTLGA, Northern Office 2000, Strategic Plan4, 2000, Strategy Transform Planning Process, Activity 1 - 6:1.

⁸⁴ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, DTLGA Strategic Objectives (2000/01 Financial Year), 23 - 27 October 2000:8 - 9.

⁸⁵ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, DTLGA Strategic Objectives (2000/01 Financial Year), 23 - 27 October 2000:9.

and

- (ii) Develop strategies in consultation with municipalities thereby ensuring a communicative approach in strategy formulation.

7.4 CONCLUSIONS

The following conclusions are made with regards to the Planning Phase of the strategic management of municipal integrated development planning process, 2000 to 2006:

7.4.1 Planning Phase: Step 1: Initiate and agree on strategic management process

7.4.1.1 For managing the strategic management of municipal integrated development planning, in line with the Communicative strategic planning approach, key stakeholders were involved in the process. For this purpose a wide range of institutional structures were established in the Department of Traditional and Local Government Affairs (DTLGA) and Local Government and Traditional Affairs (DLGTA). The most important structures were the Chief Directorate: Development Planning: Management Committee (CD:Manco), IDP Management Committee/Steering Committee (IDP Manco) and Planning Management Committee. Agreement on the strategic management process was reached at these meetings prior to implementation.

7.4.1.2 Written agreement was reached for the strategic management of the municipal integrated development planning in KwaZulu-Natal (KZN). In this case, the Provincial IDP Management Plan was the fundamental instrument for reaching such an agreement annually from 2000 to 2006. The IDP Management Plan was the primary tool guiding the IDP Management Committee, which managed the process in accordance with project management principles and practices; and

7.4.1.3 An aspect which needed prior agreement as it impacted on resource allocation and management processes by Departments and Municipalities were the gradual evolvement of the IDP assessments from 2002 to 2006. The Multi-Sectoral Provincial IDP Management Committee assessed the 2001/02 IDPs and their reviews centrally from 2002 to 2004. Thereafter, the Forum evolved into a decentralized Forum whereby 10 x District wide IDP assessments were undertaken from 2005 to 2006, impacting on strategic planning, resources and management processes.

7.4.2. Planning Phase: Step 2: Clarify organisational mandates

7.4.2.1 The most important formal mandates informing the strategic planning process of KZN Government Departments and institutions were the Constitution, Municipal Structures Act, Municipal Systems Act (MSA),

Municipal Financial Management Act (MFMA) and Intergovernmental Relations Framework Act (IGRA).

7.4.3 Planning Phase: Step 3: Identify strategic issues facing the organisation

7.4.3.1 Poverty, job creation and service backlogs, particularly water and sanitation, were the most important strategic development challenges for the Provincial Government as a developmental agent.

7.4.3.2 The lack of timeous completion of IDPs or sometimes their absence in a particular year, and the lack of budget alignment of Departments and parastatals with municipalities in KZN hindered the delivery of basic services.

7.4.4. Planning Phase: Step 4: Formulate vision and goals

7.4.4.1 The Department of Traditional and Local Government Affairs (DTLGA) and Local Government and Traditional Affairs (DLGTA) amended its vision three times between 5 December 2000 to December 2006 to reflect the expression of what it wants for itself, municipalities and other stakeholders. The words “communities” and “people-centred” indicated that governance was a central aspect during the delivery of basic services.

7.4.5 Planning Phase: Step 5: Undertake a SWOT analysis

7.4.5.1 The SWOT analyses over the years demonstrated the full ministerial and management support for integrated development planning initiatives. However, a critical weakness was the small pool of skilled staff in the Department of Traditional and Local Government Affairs (DTLGA) and Local Government and Traditional Affairs (DLGTA) and municipalities. In the DTLGA/DLGTA the experienced staff numbers dwindled to the detriment of basic service delivery. By undertaking the annual SWOT analysis the DTLGA/DLGTA was positioning itself with its outside environment.

7.4.6 Planning Phase: Step 6: Formulate and adopt strategies to address strategic issues

7.4.6.1 The Provincial Government formulated in advance its annual plans or strategies as the deliberate course of action or guideline to address the Provincial specific developmental situation for the period 2000 to 2006. For the Provincial purpose to achieve the desired outcome, the strategies were embarked upon, including internal preparations, building and aligning the integrated development planning capacity of municipalities to formulate, implement and monitor IDPs and establishment of development planning inter-governmental forums for alignment and assessments.

7.4.7 Strategic Management Model Presentation Format

7.4.7.1 The strategic management information pertaining to the Planning Phase of the strategic management of municipal integrated development planning could be presented in a narrative format in accordance with the six Planning steps of the Model.

7.5 MEANING OF CHAPTER

This chapter highlighted that the planning phase of municipal strategic management of integrated development planning in KZN was undertaken in accordance with the Strategic Management Model requirements. Under each stage of the strategic planning phase an evaluation is done and recommendations formulated. This paved the way for a discussion on the two implementation phases of strategic management of municipal integrated development planning in the next chapter. The material on planning of plan implementation and phased implementation in the next chapter is presented in a tabular or matrix format demonstrating the flexibility of the Strategic Management Model.

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CHAPTER 8

IMPLEMENTATION OF STRATEGIC MANAGEMENT OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING

“... honest and hard-working civil servants ... keep the ...spheres of government afloat, not to mention the service parastatals ... We’re talking about the Trojans who keep the turbines turning and have to do so with slashed budgets and less personnel, who somehow have to meet operational end without maintenance spending ... they are the people who slave away ... who still take pride in what they do, and that under conditions that would drive lesser mortals to drink.”¹

- Derek Alberts, Columnist

8.1 INTRODUCTION

The chapter deals with the two implementation steps of strategic management of municipal integrated development planning in KwaZulu-Natal. The research findings on the steps, namely planning of plan implementation and phased implementation is presented in a tabular or matrix format to demonstrate the flexibility in application of the Strategic Management Model.

8.2 STEPS OF IMPLEMENTATION PHASE

8.2.1 Focus of Strategic Management Model

The Key focus is on the **implementation phase** of the management model in relation to the implementation of the strategic management of municipal integrated development planning from 2000 to 2006, and is highlighted in the Key. The presentation of the material in the chapter is mainly non-narrative and in tabular format to demonstrate the built-in flexibility of the Model in reflecting upon the strategic implementation process.

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

¹ Alberts, D., 2006.

8.2.2. Evaluation Methodology

Under each strategic management step the Model requirements are repeated as set out in Chapter 3, Section 3, actions taken to meet the specific step requirements are described, evaluated and recommendations made with the aim of answering the following evaluation criteria:

“How and to what extent did the implementation (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic implementation step in this chapter are repeated or listed again in Chapter 10 with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

8.3 IMPLEMENTATION PHASE

8.3.1 Step Seven: Planning of Plan Implementation

The Key highlights the *“Implementation Phase: Step 7: Planning of plan implementation”* of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

8.3.1.1 Strategic Management Model Evaluation Criteria

Prior to plan implementation, the Provincial Government undertakes planning for plan implementation. Provincial strategies are converted into a series of actions or tasks to realise the objectives of the strategic plan. This process results in a series of action plans containing at least the following aspects, namely roles and responsibilities of managing committees and individuals; objectives, milestones and actions steps; resource requirements; and control measures.

8.3.1.2 Tabular or Matrix Format

The presentation of the material in this chapter (Chapter Eight) and the next

chapter (Chapter 9) is mainly in tabular or matrix format to demonstrate the built-in flexibility of the Model in reflecting upon the strategic implementation process. In Table 8.1 the sub-key explains the linkages between the subsections of Chapters 7, 8 and 9:

TABLE 8.1: SUB-KEY LINKING CHAPTER SEVEN, EIGHT AND NINE

Chapter	Section	Description			
Chapter Seven	7.3.6.2	Formulate and adopt Strategies to address Strategic Issues: Strategies 1 to 3 have been identified under this step.			
Chapter Eight	7.3.6.2	Chief Directorate: Development Planning: Internal preparations through Strategy One			
		(A) Strategy 1		(B) Objectives	
		(C) Action Plans			
		Actions Steps	Responsible Person	Key Performance Indicators (KPI)	
	8.3.2.2	Table 8.13: Implementation Matrix, 2000 - 2006			
		Action Steps	Implementation Process	Key Performance Indicators (KPI)	
Chapter Nine	9.3.1.2	Table 9.1: Monitoring Matrix, 2000 - 2006			
		Monitoring		Evaluation and Review	
		KPIs	Type	Verification	See Table 9.2
Chapter Nine	9.3.2.2	Table 9.2: Evaluation and Review Matrix, 2000 - 2006			
		KPIs	Type	Evaluation	Review
Chapter Nine	9.3.2.5	Table 9.3: Research Evaluation and Recommendations			
		KPIs	Review	Evaluation & Recommendations	

8.3.1.3 Chief Directorate: Development Planning: Internal preparations through Strategy One

In this section Strategy 1, identified in Chapter 7, Section 7.3.6.2, is highlighted with its implementation elements including objectives, action plans and steps, and responsible persons and KPIs:

This programme aimed at implementing **Strategy 1**, namely:

“To make internal preparations in the Chief Directorate: Development Planning to manage the Municipal integrated development planning support programme.”²

(A) Objectives

The Chief Directorate: Development Planning identified the following objectives for Strategy 1:

- To establish and maintain dedicated provincial planning teams to support municipalities³; and

² Research File, DTLGA, Northern Office, 2000, Strategic Plan, Action Plan: Strategy: Harmonize National, Provincial and Municipal Planning, Action Steps, [s.a.]; and DTLGA, Northern Office 2000, Strategic Plan⁴, 2000, Strategy Transform Planning Process, Activity 1 - 6:1.

³ Research File DTLGA, Northern Office, 2000, Strategic Plan, Action Plan: Strategy:, Support

- To develop and maintain a Chief Directorate: Development Planning Strategic Operational Plan.⁴

(B) Action Plans

The Chief Directorate: Development Planning finalised four Action Plans to achieve the objectives for the plan implementation phase of Strategy 1, in which planning support staff were identified, IDP guidelines drafted, training undertaken and an operational plan developed.

(i) Action Plan 1.1: Planning staff identified in three Regional Offices to support municipalities with integrated development planning⁵

(a) Planned Action Steps

The Chief Directorate: Development Planning planned the following action steps:

- Confirm the regional grouping of District Municipalities to support the three Regional Offices;⁶
- Agreement on and allocation of particular staff members to specific District Municipality support teams;⁷ and
- Approval of internal staff arrangements.⁸

(b) Responsible Persons and Key Performance Indicators

The responsible persons and Key Performance Indicators (KPIs)⁹ within

and built capacity of Municipalities, Action Step 5, [s.a.]; and DTLGA, Northern Office, 2000, Strategic Plan4, 2000, Strategy Transform Planning Process, Activity 1:1.

⁴ Research File, CD:DP Key Results Areas for the period 01 April 2006 to 31 March 2007 was the official name of the Operational Plan. It was only used for the one Financial Year, namely 2006/07, and informally known as the “Smiley face” document.

⁵ Henman, L., 2007; and Research File, Chief Directorate: Development Planning, How are we structured, June 2001.

⁶ Henman, L., 2007; Research File, Chief Directorate: Development Planning, How are we structured, June 2001.

⁷ DTLGA, IDP Assessment Report. 2nd Draft, 9 November 2002;; and DPLG, Updated IDP Information for provincial Conferences, KwaZulu-Natal, *circa* 2003:3.

⁸ DLGTA, Coastal Office, Director’s Manco File, On the Agenda dated July 2000 under “Organisational structure” reference was made to a Northern and Southern Team and New Structure and on the Minutes dated 2 August 2000:2 it was reported that the two teams were combined under one team leader, all of which indicates actions for institutional preparedness for IDP support.

⁹ The KPIs indicated in Tables 8.2 - 8.12 are not indicated all as such in the CD:DP Annual Business Plans immediately after the introduction of Strategic Business Planning in the Department in 2000. The awareness of performance management terminology developed over time. The motivation for including all the KPIs into Tables 8.2 - 8.12 is to demonstrate that

the Chief Directorate: Development Planning are indicated in Table 8.2.

**TABLE 8.2: ACTION PLAN 1.1: DEDICATED PROVINCIAL PLANNING
SUPPORT STAFF: RESPONSIBLE PERSONS AND KEY
PERFORMANCE INDICATORS (KPIs)**

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Confirm the regional grouping of District Municipalities to be supported by the three Regional Offices Target date: 2001	Chief Director: Development Planning	KZN Map with Regional Office boundaries: x 1
(ii) Agreement on and allocation of particular staff members to specific District Municipality support teams Target date: 2001	Regional Office: Directors	Functional Regional support teams: x 2 per Regional Office
(iii) Approval of internal staff arrangements: Target date: 2001	Regional Office: Directors	Approved Regional Office organograms: x 3

Source:

- (i) DTLGA, Chief Directorate: Development Planning, How are we structured, June 2001.¹⁰
- (ii) DTLGA, Directorate Development Planning: Coastal Region, Director's Manco File; DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, *circa* 2003:3.¹¹
- (iii) DTLGA, Directorate Development Planning: Coastal Region, Director's Manco File.¹²

(ii) Action Plan 1.2: Drafting of IDP Guidelines

(a) Planned Action Steps

The Chief Directorate: Development Planning sequenced the in-house drafting of the following guidelines:

- IDP Framework Guideline on legislation applicable to IDPs; and¹³
- IDP Process Plan example.¹⁴

outputs targets were (unknowingly) determined and completed without it being identified as a pertinent performance measure during the planning of activities. With the introduction of the CD:DP Operational Plan in 2004, each key activity and KPI were carefully planned and included into the Chief Directorate's Performance Management System prior to actual implementation.

¹⁰ Research File, Chief Directorate: Development Planning, How are we structured, June 2001.

¹¹ DLGTA, Coastal Office, Director's Manco File, Agenda, 21 July 2000 and Minutes, 2 August 2000:2; Research File, DPLG, Updated IDP Information for provincial Conferences, KwaZulu-Natal, *circa* 2003:3.

¹² DLGTA, Coastal Office, Director's Manco File, Agenda 21 July 2000 and Minutes, 2 August 2000:2.

¹³ Research File, DTLGA, Chief Directorate Development Planning, IDP Framework Guideline: Applicable Legislation and Policies for KwaZulu-Natal Municipalities for the IDP process, 25 June 2001.

¹⁴ Scholtz, I., 2007:1 - 2.

(b) Responsible Persons and Key Performance Indicators

The responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.3.

**TABLE 8.3: ACTION PLAN 1.2: DRAFTING OF IDP GUIDELINES:
RESPONSIBLE PERSONS AND KEY PERFORMANCE
INDICATORS**

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) IDP Framework Guideline on legislation applicable to IDPs Target date: 2001	Co-ordination Office: Director	IDP Guideline on legislation: x 1
(ii) IDP Process Plan example Target date: 2001	Sub-Directorate: Planning: Inland Region	Process Plan Guideline: x 1

Source:

- (i) DTLGA, Chief Directorate Development Planning, IDP Framework Guideline: Applicable Legislation and Policies for KwaZulu-Natal Municipalities for the IDP process, 25 June 2001.¹⁵
- (ii) e-communication, Scholtz, I., PIMSS Manager, Amajuba District Municipality to Researcher, 23 May 2007.¹⁶

(iii) Action Plan 1.3: Planning Staff Training

(a) Planned Action Steps

The Chief Directorate: Development Planning identified action steps for conducting separate training sessions on the following topics:

- IDP legislation, process and products;¹⁷ and
- Project Management.¹⁸

(b) Responsible Persons and Key Performance Indicators

The responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.4.

¹⁵ Research File, DTLGA, Chief Directorate Development Planning, IDP Framework Guideline: Applicable Legislation and Policies for KwaZulu-Natal Municipalities for the IDP process, 25 June 2001:1 - 5.

¹⁶ Scholtz, I., 2007:1 - 2.

¹⁷ Research File DTLGA, IDP Assessment Report. 2nd Draft, 9 November 2002:3.

¹⁸ DTLGA, The Newsmonger, Edition 4, 2001:5.

**TABLE 8.4: ACTION PLAN 1.3: PLANNING STAFF TRAINING:
RESPONSIBLE PERSONS AND KEY PERFORMANCE
INDICATORS**

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) IDP legislation, process and products Target date: 2001	Regional Offices: Directors	Regional Office training sessions: x 3
(ii) Project Management Target date: 2001	Inland Regional Office: Director	Chief Directorate: Development Planning training sessions: x 2

Source:

(i) DTLGA, IDP Assessment Report. 2nd Draft, 9 November 2002:3.¹⁹

(ii) DTLGA, The Newsmonger, Edition 4, 2001:5.²⁰

**(iv) Action Plan 1.4: Chief Directorate: Development Planning:
Operational Plan**

(a) Planned Action Steps

The Chief Directorate: Development Planning identified the development of a management tool to strategically manage planning for plan implementation objectives, related action plans and monitoring major milestones per objective (which links to the key milestones on the action plan).²¹

(b) Responsible Persons and Key Performance Indicators

The responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.5.

**TABLE 8.5: ACTION PLAN 1.4: CHIEF DIRECTORATE: DEVELOPMENT
PLANNING: OPERATIONAL PLAN: RESPONSIBLE
PERSONS AND KEY PERFORMANCE INDICATORS**

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Development and maintain Chief Directorate: Development Planning: Operational Plan Target date: 2005	General Manager: Development Planning	Chief Directorate: Development Planning: Operation Plan: x 1

Source:

(i) Chief Director: Development Planning, Key Results Areas for the period 01 April 2006 to 31 March 2007, Key Result Area 3.²²

¹⁹ Research File, DTLGA, IDP Assessment Report. 2nd Draft, 9 November 2002:3.

²⁰ Research File, DTLGA, The Newsmonger, Edition 4, 2001:5.

²¹ Research File, Chief Director: Development Planning, Key Results Areas for the period 01 April 2006 to 31 March 2007, Key Result Area 3.

²² Research File, Chief Director: Development Planning, Key Results Areas for the period 01 April 2006 to 31 March 2007, Key Result Area 3.

8.3.1.4 Preparation of Municipal Support Programme through Strategy Two

In this section Strategy 2, identified in Section 7.4.6.2, is highlighted with its implementation elements including objectives, action plans and steps, and responsible persons and KPIs:

This programme aimed at implementing **Strategy 2**, namely:

“To build the integrated development planning capacity of municipalities to formulate, implement and monitor IDPs.”²³

(A) Objectives

The Chief Directorate: Development Planning identified the following objectives for Strategy 2:

Support municipalities to build their capacity in support of the formulation and monitoring of IDPs and draft Reviewed IDPs by June each year.²⁴

(B) Action Plans

The Chief Directorate: Development Planning finalised four Action Plans for achieving the pre-determined objectives during the planning for plan implementation phase. This entails the drafting of guidelines, municipal training, technical support and transfer of funds.

(i) Action Plan 2.1: Drafting of Guidelines

(a) Planned Action Steps

The Chief Directorate: Development Planning identified the following action steps aimed for the drafting of guidelines to inform municipalities on two pertinent integrated development planning topics:

- Municipal Development Planning Capacity Building Model²⁵; and
- Organisational Performance Management Systems.²⁶

(b) Responsible Persons and Key Performance Indicators

The responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.6.

²³ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, DTLGA Strategic Objectives (2000/01 Financial Year), 23 - 27 October 2000:8 - 9.

²⁴ DTLGA, Municipal Development Planning Capacity Building Model, 2000; and Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 32.

²⁵ DTLGA, Municipal Development Planning Capacity Building Model, January 2001.

²⁶ DTLA, Organisational Performance Management System Best Practice Guideline, 2003.

TABLE 8.6: ACTION PLAN 2.1: DRAFTING OF GUIDELINES: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Municipal Development Planning Capacity Building Model Target date: 2001	Co-ordination Office: Director	Capacity building guideline: x 1
(iii) Organisational Performance Management System Target date: 2003	Co-ordination Office: Director	Performance Management guideline: x 1

Source:

(i) DTLGA, Municipal Development Planning Capacity Building Model, January 2001.²⁷

(ii) DTLGA, Sectoral Guidelines for the Review of IDPs in KwaZulu-Natal, 4 March 2003.²⁸

(iii) DTLA, Organisational Performance Management System Best Practice Guideline, June 2003.²⁹

(ii) Action Plan 2.2: Municipal Training

(a) Planned Action Steps

The Chief Directorate: Development Planning scheduled the following action steps in relation to training on IDP related topics and target groups:

- Training on the IDP Guide Packs to DTLGA staff and, councillors and municipal staff;³⁰
- Training on the Municipal Development Planning Capacity Building Model to councillors and municipal staff;³¹
- Training on the Organisational Performance Management Best Practice Guide to councillors and municipal staff;³² and
- Training of the Planning Implementation Management Support System) (PIMSS) staff on IDP Guidelines.³³

(b) Responsible Persons and Key Performance Indicators

²⁷ DTLGA, Municipal Development Planning Capacity Building Model, 2000.

²⁸ Research File, DTLGA, Sectoral Guidelines for the Review of IDPs in KwaZulu-Natal, 4 March 2003.

²⁹ DTLA, Organisational Performance Management System Best Practice Guideline, 2003.

³⁰ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.

³¹ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.

³² Brooks, F.R., 2007. A once of provincial Training session was convened in March 2003 in Durban for all Municipalities.

³³ Research File, e-communication, Scholtz, I. to Schoeman, B., The PIMSS training session was convened on 13 and 14 August 2002; and KwaZulu-Natal, DLGTA File No HO 13/6/5/2 PIMSS Forum: Training undertaken at the PIMSS Forum dated 9 - 10 December 2004:4 -5.

The responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.7.

TABLE 8.7: ACTION PLAN 2.2: TRAINING: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) IDP Guide Packs Target date: 2001	Regional Office: Directors	District Municipality training sessions: x 10
(ii) Municipal Development Planning Capacity Building Model Target date: 2001	Regional Office: Directors	District Municipality training sessions: x 10
(iii) Organisational Performance Management System Best Practice Guide Target date: 2003	Regional Office: Directors	Provincial training session: x 1
(iv) Training of the Planning Implementation Management Support System (PIMSS) staff on IDP Review Guidelines Target date: 2002 - 2004	Planning staff	PIMSS training sessions: x 3

Source:

- (i) 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.³⁴
- (ii) 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.³⁵
- (iii) Brooks, F.R., General Manager: Development Planning, Unstructured Interview, 15 August 2007.
- (iv) e-communication, Scholtz, I. to Schoeman, B.; For example a PIMSS training session was convened on 13 and 14 August 2002; Minutes PIMSS Forum, 27 November 2002:5.³⁶

(iii) Action Plan 2.3: Technical Support

(a) Planned Action Steps

Technical support was to be done through a hands-on approach. Hence, the Chief Directorate: Development Planning staff planned to undertake the following action steps:

- Attend IDP related meetings within Municipalities;³⁷ and

³⁴ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.

³⁵ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.

³⁶ Research File, e-communication, Scholtz, I. to Schoeman, B., The PIMSS training session was convened on 13 and 14 August 2002.

³⁷ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8; and DPLG, Updated IDP Information for

- Prepare IDP assessment or MEC letters.³⁸
- (b) Responsible Persons and Key Performance Indicators

The related responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.8.

TABLE 8.8: ACTION PLAN 2.3: TECHNICAL SUPPORT: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Comment on IDPs at Representative Forum (RF) meetings Target date: 2001 - 2006	Planning staff	Municipal Representative Forums: Meetings determined by process plan
(ii) Prepare IDP assessment or MEC letters Target date: 2001 - 2006	General Manager: Development Planning	x 61 letters: - 1 per District Municipality x 10 - 1 per Local Municipality x 50 - 1 per Metropolitan Municipality

Source:

- (i) 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8, DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, *circa* 2003:3 - 4.³⁹
- (ii) 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8 and further.⁴⁰

(iv) Action Plan 2.4: Transfer of Funds

- (a) Planned Action Steps

The Chief Directorate: Development Planning identified several action steps for the transfer of grant funding to municipalities to:

- Appoint consultants to draft IDPs and Reviewed IDPs;⁴¹
- Appoint dedicated IDP Managers⁴² in the 10 DMs;⁴³ and

Provincial Conferences, KwaZulu-Natal, *circa* 2003:3 - 4.

³⁸ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8.

³⁹ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8; and DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, *circa* 2003:3 - 4.

⁴⁰ Research File, 2001/2002 Performance Agreement Chief Director: Development Planning and Director Inland, 1 April 2001 to 31 March 2002:8 onwards.

⁴¹ Brooks, F.R., 2007.

⁴² An IDP Manager could be a town and regional planner and/or a development planner who supports the Municipal manager with the drafting and/or review of the IDP.

⁴³ Research File, DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, *circa* 2003:2 - 3.

- Appoint IDP Managers in 51 LMs to replace dependency on consultants in the long - run.⁴⁴

(b) Responsible Persons and Key Performance Indicators

The related responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.9.

TABLE 8.9: ACTION PLAN 2.4: TRANSFER OF FUNDS: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Appoint consultants to draft IDPs and Reviewed IDPs Target date: 2001 - 2006	Municipal Managers	1 x consultant or consortium, where required
(ii) Appoint dedicated IDP Managers in the 10 District Municipalities Target date: 2002	Regional Office Managers and Municipality	10 District Municipality: 1 x IDP Manager per District Municipality
(iii) Appoint IDP Managers in 50 Local Municipalities Target date: 2001 - 2006	Regional Office Managers and Municipality	50 Local Municipalities: 1 x IDP Manager per Local Municipality

Source:

- (i) Brooks, F.R., 2007
- (ii) DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, circa 2003:2 - 3.⁴⁵
- (iii) Shared Services Provincial Steering Committee meeting:2.⁴⁶

8.3.1.5 Preparation of Departmental Support Programme through Strategy 3

In this section Strategy 3, identified in Section 7.4.6.2, is highlighted with its implementation elements including objectives, action plans and steps, and responsible persons and KPIs:

This programme aimed at implementing **Strategy 3**, namely:

“To establish and support provincial and municipal integrated development planning inter-governmental forums to facilitate sectoral and municipal alignment and evaluate IDPs and IDP reviews.”⁴⁷

⁴⁴ Research File, Minutes Provincial Shared Service Steering Committee meeting, 9 October 2006:2.

⁴⁵ Research File, DPLG, Updated IDP Information for Provincial Conferences, KwaZulu-Natal, circa 2003:2 - 3.

⁴⁶ Research file, Meeting Shared Services Provincial Steering Committee: October 2006:2.

⁴⁷ Research File, Department of Traditional and Local Government Affairs, Chief Directorate: Development Planning, KwaZulu-Natal Provincial IDP Management Plan, DTLGA Strategic

(A) Objectives

The Chief Directorate Development Planning identified the following objectives for Strategy 3:

- To establish and maintain the Provincial Multi-Sectoral IDP Forum⁴⁸ and Provincial PIMSS Forum;⁴⁹
- To support the establishment of, and participate in municipal Representative Forums (RFs), DM wide alignment committees, DM wide IDP Engagement Forums and DM wide Shared Service concept;⁵⁰ and
- To make Departments and other stakeholders aware of their role and responsibilities in the integrated development planning process and structures.⁵¹

(B) Action Plans

The Chief Directorate: Development Planning finalised three Action Plans for achieving the objectives during the planning for plan implementation phase. These Action Plans include the drafting of IDP guidelines, training on IDPs, and the convening of Provincial and municipal planning forums.

(i) Action Plan 3.1: Drafting of IDP Guidelines

(a) Planned Action Steps

The Chief Directorate: Development Planning identified action steps for the in-house drafting of an information package to inform Departments on the IDP process and their roles and responsibilities therein, with a specific emphasis of (budget) alignment.⁵²

(b) Responsible Persons and Key Performance Indicators

The related responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.10.

Objectives (2000/01 Financial Year), 23 - 27 October 2000:9.

⁴⁸ Research File, DPLG, Updated information for Provincial Conferences, KwaZulu-Natal, 2003:2 - 6.

⁴⁹ Brooks, F.R., 2007.

⁵⁰ Brooks, F.R., 2007.

⁵¹ Research File, Agenda Institutionalising IDP process in Sector Departments meeting , 22 September 2006 serve as an example of this capacity building initiative.

⁵² Research File, Draft Guidelines, September to October 2004.

TABLE 8.10: ACTION PLAN: 3.1: DRAFTING OF IDP GUIDELINES: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps (abbreviated)	Responsible person	Key Performance Indicators (KPIs)
(i) Drafting of an information package to inform Departments and other stakeholders on the IDP process Target date: 2004	Co-ordination Office: Manager	IDP Guideline: x 1

Source:

(i) Research File, Draft Guidelines, September to October 2004.⁵³

(ii) Action Plan 3.2: Training on IDPs

(a) Planned Action Steps

The Chief Directorate: Development Planning scheduled action steps for training sessions on the following documents, namely:

- IDP Guide Packs,⁵⁴ and
- IDP Guidelines.⁵⁵

(b) Responsible Persons and Key Performance Indicators

The related responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.11.

TABLE 8.11: ACTION PLAN 3.2: TRAINING: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Schedule training sessions on IDP Guide Packs Target date: 2001 - 2002	Co-ordination Office: Chief Director: Development Planning	Department and para-statal training: 1 x session
(ii) Schedule training sessions on IDP Guidelines Target date: 2004 - 2006	Co-ordination Office: Manager	-Departments and para-statal: x 3 sessions -Departments on individual basis: x 2 sessions

Source:

(i) Brooks, F.R., 15 August 2007.

(ii) DTLGA, Co-ordination Office, Activity List, October 2004:1 - 2.⁵⁶

⁵³ Research File, Draft Guidelines, September to October 2004.

⁵⁴ Brooks, F.R., 2007.

⁵⁵ Research File, DTLGA, Co-ordination Office, Activity List, October 2004:1 - 2.

⁵⁶ Research File, DTLGA, Co-ordination Office, Activity List, October 2004:1 - 2.

(iii) Action Plan 3.3: Provincial and Municipal Planning Forums

(a) The Chief Directorate: Development Planning agreed upon the following action steps, namely to:

- Convene the Provincial Multi-Sectoral IDP Forum and provide a secretariat;⁵⁷
- Provide advice to, taking up membership of and participate actively in municipal IDP RFs, alignment committees and Service Providers Forums (SPFs);⁵⁸
- Provide advice on DM wide IDP Engagement process and structures;⁵⁹
- Participate in Municipal Managers meetings;⁶⁰ and
- Chair and maintain the KZN Provincial PIMSS Forum.⁶¹

(b) Responsible Persons and Key Performance Indicators

The related responsible persons and Key Performance Indicators (KPIs) within the Chief Directorate: Development Planning are indicated in Table 8.12.

TABLE 8.12: ACTION PLAN 3.3: PROVINCIAL AND MUNICIPAL PLANNING FORUMS: RESPONSIBLE PERSONS AND KEY PERFORMANCE INDICATORS

Action steps	Responsible person	Key Performance Indicators (KPIs)
(i) Convene the Multi-Sectoral Provincial IDP Forum and provide a secretariat Target date: 2001 - 2004	- Chief Director: Development Planning - Co-ordination Office: Manager	- Forum: x 1 - Secretariat: x 1
(ii) Established District Municipal IDP alignment structures Target date: 2001 - 2006	- Chief Director: Development Planning - Regional Office: Managers	- Functioning DM IDP alignment structures: x 10
(iii) Provide advice on District Municipal IDP Engagement process and structures Target date: 2006	- General Manager: Development Planning - Regional Office: Managers	- Provincial Support Team: x 1 Provincial - Provincial DM Preparatory meetings: x 10
(iv) Participate in monthly Municipal	- Regional Office:	- Functional meetings:

⁵⁷ DTLGA, Chief Directorate: Development Planning and DDP Task Team, Integrated Development Planning in KwaZulu-Natal, March/April 2003, Annexure A: ToR for Multi-Sectoral Provincial IDP Forum.

⁵⁸ Brooks, F.R., 2007.

⁵⁹ DLGTA, File HO/13/6/6/2 IDP Review. This file series contains the ongoing communication between the DLGTA and KZN Municipalities on the IDP process.

⁶⁰ DTLGA, The Newsmonger, Edition 4, 2001:7.

⁶¹ Research File, PIMSS Agendas and Minutes, 2002 - 2003; and KwaZulu-Natal, DLGTA, File HO/13/6/5/2, PIMSS Forum Agendas and Minutes, 2002 - 2004.

Managers meetings Target date: 2000 - 2006	Managers	x 3 per region per quarter
(v) Chair and maintain the KZN Provincial Planning Implementation Management Support System (PIMSS) Forum Target date: 2001 - 2005	Co-ordination Office: Manager	Functional Forum: x 1

Source:

- (i) DTLGA, Chief Directorate: Development Planning and DDP Task Team, Integrated Development Planning in KwaZulu-Natal, March/April 2003, Annexure A: ToR for Multi-Sectoral Provincial IDP Forum.⁶²
- (ii) Brooks, F.R., General Manager: Development Planning, Department of Local Government and Traditional Affairs, Unstructured Interview, 15 August 2007.
- (iii) DLGTA, File HO/13/6/6/2 IDP Review. This file series contains the ongoing communication between the DLGTA and KZN Municipalities on the IDP process.⁶³
- (iv) DLGTA, The Newsmonger, Edition 4, 2001:7.⁶⁴
- (v) PIMSS Agendas and Minutes, 2002 - 2003; and DLGTA, File HO/13/6/5/2, PIMSS Forum Agendas and Minutes, 2002 - 2004.⁶⁵

8.3.1.6 Evaluation and Recommendations

(A) Evaluation

From the menu of activities shown in the above table on planning for plan implementation, the conclusion could be made that the Chief Directorate: Development Planning carefully planned the activities to be implemented. All available energy, resources and personal initiatives were mobilized to assist municipalities to make IDPs a reality. The identification and planning of a wide range of activities, demonstrated that the entire development planning staff was geared up for actual implementation in accordance with the strategies.

(B) Recommendations

To improve the ability of planning staff to plan for plan implementation, it is recommended that:

- (1) Staff be made aware of this phase of strategic management and that the quality of sequencing actions for actual implementation will improve the success rate; and

⁶² Research File, DTLGA, Chief Directorate: Development Planning and DDP Task Team, Integrated Development Planning in KwaZulu-Natal, March/April 2003, Annexure A: ToR for Multi-Sectoral Provincial IDP Forum:1 & 5.

⁶³ KwaZulu-Natal, DLGTA, File HO/13/6/6/2 IDP Review. This file series contains the ongoing communication between the DLGTA and KZN Municipalities on the IDP process.

⁶⁴ Research File, DLGTA, The Newsmonger, Edition 4, 2001:7.

⁶⁵ Research File, PIMSS Agendas and Minutes, 2002 - 2003; and KwaZulu-Natal, DLGTA, File HO/13/6/5/2, PIMSS Forum Agendas and Minutes, 2002 - 2004.

- (2) Development planning staff are trained in the MicroSoft project (MS project) program to enable them to improve the planning of multiple projects prior to commencement.

8.3.2 Step Eight: Phased Implementation

The Key highlights the “*Implementation Phase: Step Eight: Phased implementation*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

	Step	
Preparation		Political and administrative prerequisites for strategic management of integrated development planning
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Identify strategic issues facing the organisation
	4	Formulate vision and goals
	5	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

8.3.2.1 Strategic Management Model Evaluation Criteria

The action plans drafted during the planning of plan implementation step is managed into action, or operationalised to achieve the wanted results in practice. The correct application of project management practices are to be followed for achieving success.

8.3.2.2 Implementation Matrix, 2000 - 2006

(A) Reporting Method

For effecting actual implementation, the Chief Directorate: Development Planning further broke down the action steps identified in the above Actions Plans. The break down resulted in what is called “sub-action activities”, or the next layer of sub-activities that describe real implementation in space and time. Only the major sub-action activities undertaken are reflected upon, based on the Management Model requirements. These activities are unpacked in the “Implementation Matrix, 2000 to 2006” per Action Plan in Table 8.13 hereunder.

(B) Implementation Matrix, 2000⁶⁶ to 2006

In Section 8.3.1.3, the action steps of the Chief Directorate: Development Planning are identified and reflected subsequently in Table 8.2 to 8.12. In the Implementation Matrix, Table 8.13, hereunder the action steps are repeated in the left hand-column and then linked to the middle column, Implementation process, containing the sub-action activities affecting actual implementation. In the right hand column the Key Performance Indicators for the action step and sub-activities are indicated.

TABLE 8.13: IMPLEMENTATION MATRIX, 2000 TO 2006

Action steps	Implementation process ⁶⁷	Key Performance Indicators (KPIs)
Action Plan 1.1: Dedicated provincial planning staff		
(i) Confirm the regional grouping of District Municipalities to be supported by the three Regional Offices Target date: 2000	- Obtain Department of Traditional and Local Government Affairs proposals on revised regional boundary demarcation - Compare existing staff arrangements with new Departmental boundaries	KZN Map with Regional Office boundaries: x 1
(ii) Agreement on and allocation of particular staff members to specific District Municipality support teams Target date: 2001	- Staff generate proposals for revised staff structure in accordance with new Department of Traditional and Local Government Affairs boundaries - Agreement on and designation of particular staff members to support specific District Municipalities - Organogram revised	Functional Regional support teams: x 2 per Regional Office
(iii) Approval of internal planning staff Target date: 2001	- Regional Management meeting to discuss and adopt revised organogram - New staffing arrangement	Approved Regional Office organograms: x 3
Action Plan 1.2: Drafting of IDP guidelines		
(i) IDP Framework Guideline on legislation applicable to IDPs Target date: 2001	- Identify scope and title of guidelines - Review research material - Finalise draft document - Disseminate final document to staff	IDP Guideline on legislation: x 1
(ii) IDP Process Plan example Target date: 2001	- Review research material (i.e. IDP Guide Packs and MSA) - Compile draft document - Obtain comments on draft document	Process Plan Guideline: x 1

⁶⁶ The year 2000 is the starting point as the IDP concept was introduced upon the promulgation of the Municipal Systems Act in 2000 and the introduction of IDPs in KZN municipalities after the Local Government elections on 5 December 2000.

⁶⁷ The information contained in this column is generalised, but based on the sub-activities identified in the Personal Business Plans of the level 12 and lower level staff within the Chief Directorate: Development Planning for the period 1999/2000 - 2006/7.

	<ul style="list-style-type: none"> - Disseminate final document to DM - District Municipality adopt Process Plan based on example 	
Action Plan 1.3: Planning staff training		
(i) IDP legislation, process and products Target date: 2001	<ul style="list-style-type: none"> - Identify targets groups in Regions - Convene training sessions - Apply knowledge in support of municipal IDP process 	Regional Office training sessions: x 3
(ii) Project Management Target date: 2001	<ul style="list-style-type: none"> - Identify targets groups in Regions - Convene two training sessions - Complete individual assignments - Apply knowledge in support of municipal IDP process 	Chief Directorate: Development Planning training sessions: x 2
Action Plan 1.4: Chief Directorate: Development Planning: Operational Plan		
(i) Develop and maintain Chief Directorate: Development Planning Operational Plan Target date: 2005/06	<ul style="list-style-type: none"> - Discuss purpose and format - Chief Directorate: Development Planning approval - Implementation - Monthly updating 	Chief Directorate: Development Planning Operational Plan: x 1
Action Plan 2.1: Drafting of guidelines		
(i) Municipal Development Planning Capacity Building Model Target date: 2003	<ul style="list-style-type: none"> - Determine aim and scope - Compile draft documents - Obtain comments - Finalise documents - Disseminate to municipalities and train Departments - Documents on web-site - Apply guidelines to build municipal IDP capacity (i.e. appointment process of IDP Managers) 	Capacity building guideline: x 1
(ii) Organisational Performance Management System Target date: 2003	<ul style="list-style-type: none"> - Determine aim and scope - Compile draft documents - Obtain comments - Finalise documents - Disseminate to municipalities and train Departments - Documents on web-site - Apply guidelines during IDP process 	Performance management guideline: x 1
Action Plan 2.2: Municipal training		
(i) IDP Guide Packs Target date: 2001	<ul style="list-style-type: none"> - Identify target groups in municipalities - Prepare training material - Convene training sessions per District Municipality - Trainees to apply knowledge in support of municipal IDP process 	District Municipality training sessions: x 10
(ii) Municipal Development Planning Capacity Building Model Target date: 2001	<ul style="list-style-type: none"> - Identify target groups in municipalities - Prepare training material - Convene training sessions per District Municipality - Trainees to apply knowledge in support of municipal capacity 	District Municipality training sessions: x 10

	building	
(iii) Organisational Performance Management System Best Practice Guide Target date: 2003	-Identify target groups in municipalities - Prepare training material - Convene training sessions per District Municipality - Trainees to apply knowledge in support of development of Organisational Performance Management System	Provincial training session: x 1
(iv) Training of the Planning Implementation Management Support System (PIMSS) staff on IDP Review Guidelines Target date: 2002 - 2004	- Identify need and opportunity - Share information informally	Planning Implementation Management Support System PIMSS training sessions: x 2
Action Plan 2.3: Municipal technical support		
(i) Comment on IDPs at Representative Forum meetings Target date: 2001 - 2006	- Obtain meeting dates and documentation - Attend IDP Representative Forum and other alignment meetings - Report back to management on pertinent aspects	Municipal Representative Forums: meetings determined by Process Plans
(ii) Prepare IDP assessment as basis of MEC letters Target date: 2002 - 2006	- Review adopted IDPs in accordance with agreed assessment framework - Formulate comments applicable to municipal IDPs - Format information into a letter format - Submission of letter to Member of Executive Committee for Local Government for approval and dissemination to municipalities	x 61 letters: - 1 per District Municipality x 10 - 1 per Local Municipality x 50 - 1 x Metropolitan Municipality
Action Plan 2.4: Transfer of funds to municipalities		
(i) Appoint consultants to draft IDPs and Reviewed IDPs, where required Target date: 2001 - 2006	- Finalise Business Plan - Obtain certified copy of council resolution accepting conditional grant funding - Initiate and manage funding transfer - Monitor spending	Consultant or consortium per Local Municipality: where required
(ii) Appoint dedicated IDP Managers in the 10 DMs Target date: 2002	- Finalise Business Plan - Obtain certified copy of council resolution accepting conditional grant funding - Initiate and manage funding transfer - Assist municipality with appointment - Monitor spending	10 District Municipality: 1 x IDP Manager
(iii) Appoint IDP Managers in 50 LMs Target date: 2001 - 2006	- Finalise Business Plan - Obtain certified copy of council resolution accepting conditional grant funding - Initiate and manage funding transfer	50 Local Municipalities: 1 x IDP Manager

	<ul style="list-style-type: none"> - Assist municipality with appointment - Monitor spending 	
Action Plan 3.1: Drafting IDP guidelines		
(i) Drafting of information package to inform Departments and stakeholders on the IDP process Target date: 2004	<ul style="list-style-type: none"> - Determine aim and scope - Compile draft documents - Obtain comments - Finalise documents - Disseminate to municipalities and Train Departments - Documents on web-site - Apply guidelines during IDP process 	IDP Guideline: x 1
Action Plan 3.2: Departmental and para-statal training		
(i) Schedule training sessions on IDP Guide Packs Target date: 2001 - 2002	<ul style="list-style-type: none"> - Identify target groups - Prepare training material - Convene training session - Trainees to apply knowledge in support of own and municipal capacity building 	Departmental and para-statal training: x 1 session
(ii) Schedule training sessions on IDP Guidelines Target date: 2004 - 2006	<ul style="list-style-type: none"> - Identify target groups - Prepare training material - Convene training sessions - Trainees to apply knowledge in support of own and municipal capacity building 	<ul style="list-style-type: none"> - Departments and para-statal: x 3 sessions - Departments on an individual basis: x 2 sessions
Action Plan 3.3: Provincial and municipal planning forums		
(i) Convene the Multi-Sectoral IDP Forum by invitation and provide Secretariat Target date: 2002 - 2004	<ul style="list-style-type: none"> - Identify membership - Invite representatives of Departments - Convene meetings - Assess and comment on IDPs - Provide secretariat staff - Prepare and disseminate minutes 	<ul style="list-style-type: none"> - Forum: x 1 - Secretariat: x 1
(ii) Establish District Municipal IDP alignment structures Target date: 2001 - 2006	<ul style="list-style-type: none"> - Taking up membership of IDP structures - Make input at meetings - Ensure that input is reflected in IDPs - Ensure functionality of structures 	Functioning District Municipality alignment structures: x 10
(iii) Provide advice on District Municipal wide Engagement process and structures Target date: 2006	<ul style="list-style-type: none"> - Make guidelines and documents available - Make preparations for engagements in conjunction with municipalities and Departments - Select chairpersons - Municipalities convene events - Reports drafted and disseminated 	<ul style="list-style-type: none"> - Provincial Support Team: x 1 - Provincial - District Municipality preparatory meetings: x 10
(iv) Participate in monthly Municipal Managers meetings Target date: 2001 - 2006	<ul style="list-style-type: none"> - Convene and chair meetings - Provide secretariat - Prepare documentation (including minutes) - Monitor implementation of resolutions 	Functional meetings: x 1 per Region per quarter
(v) Chair the KZN Provincial Planning Implementation Management Support System (PIMSS) Forum	<ul style="list-style-type: none"> - Invite District Municipal PIMSS staff as members of Forum - Provide secretariat - Convene meetings 	Functional Forum: x 1

Target date: 2001 - 2005	- Prepare presentations - Invite speakers and presenters - Table and discuss IDP material - Prepare and disseminate minutes - Monitor application of IDP information in IDP process	
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Source:

- (1) "Action Steps" and "Key Performance Indicators": see sources listed for Table 8.1.1 to 8.1.11 in Section "8.5.3.3 Chief Directorate: Development Planning: Internal preparations" above.
- (2) "Implementation process": Loosely based on DTLGA/DLGTA, Job Descriptions (JDs) and Personal Business Plans (PBPs); and Henman, L., 17 August 2007.

8.3.2.3 Evaluation and Recommendations

(A) Evaluation

Through a project management approach, planning staff were able to implement the planned activities to achieve the objectives of the IDP support programme. Planning staff were able to achieve the objectives set, albeit not always in accordance with the original time frame set, and adaptation of the original project design was also necessary. The completion of many of the projects was determined by planning staff capacity and municipalities' ability to meet objectives, and having the necessary (skilled) staff to complete integrated development planning projects supported by the Department.

(B) Recommendations

To ensure effective project implementation, the following is recommended:

- (i) The amount of projects undertaken should be in relation to the resources available in the Department and municipalities; and
- (ii) Municipal and DLGTA staff should be well versed in project management.

8.4 CONCLUSIONS

The following conclusions are made with regards to the implementation of the strategic management of municipal integrated development planning, 2000 to 2006:

8.4.1 Implementation: Step 7: Planning of plan implementation

8.4.3.1 For each of the three main provincial integrated development planning strategies (namely, internal preparations, building and aligning the integrated development planning capacity of municipalities to formulate, implement and monitor IDPs, and establishment of development planning inter-governmental forums for alignment and assessments identified in Chapter Seven, Section 7.3.6.2), objectives were identified, as well as various Action Plans, with Key Performance Indicators (KPIs) and responsible persons to execute the identified actions. The manner in which

this was undertaken and reflected in this Chapter conforms to the elements of the Model, namely that planning of plan implementation included a series of actions to realise objectives of the strategic plan.

8.4.3.2 Further requirements of the Model with respect to planning for plan implementation, namely the development of action plans were also achieved. The elements of the action plan, such as roles and responsibilities of committees and individuals, milestones, resource requirements and control measures were undertaken.

8.4.2 Implementation: Step 8: Phased implementation

8.4.2.1 Plan implementation required that each step planned during planning for plan implementation is operationalised. The Provincial Government succeeded in undertaking the sub-activities of the identified Action Plans as reflected in Chapter Seven. The Implementation Matrix, 2000 to 2006, (Section 8.3.2.2 or Table 8.13) linked the Action Steps, Implementation process and Key Performance Indicators (KPIs) as required in the Model, to demonstrate that project management practices were followed during plan implementation.

8.4.3 Strategic Management Model Presentation Format

8.4.3.1 Table 8.13 in Section 8.3.2.2 reflected that the strategic management information pertaining to the Implementation Phase of the strategic management of municipal integrated development planning, could be presented in a tabular or matrix format in accordance with the two Implementation steps of the Model (i.e. planning for plan implementation and actual implementation).

8.5 MEANING OF CHAPTER

The value of the planning of plan implementation and phased implementation, the two implementation steps of strategic management of municipal integrated development planning in KwaZulu-Natal, are described and evaluated. The research findings related to the two implementation steps are presented in a tabular or matrix format for demonstrating the application flexibility of the Strategic Management Model in the KwaZulu-Natal context. The information in the next chapter is also presented in a matrix format linking Chapters Seven, Eight and Nine to demonstrate the flexibility of the Strategic Management Model.

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CHAPTER NINE

CONTROL OF THE STRATEGIC MANAGEMENT OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING

“This year (2006), despite heavy rains, not a single informal settlement was flooded as the city was able to clean out storm water drains long before the winter rainy season.”¹

- Helen Zille, Mayor of the Cape Town Metropolitan Council

9.1. INTRODUCTION

The Control Phase of the strategic management of municipal integrated development planning is discussed. The information continued to be presented in a matrix format thereby linking Chapters Seven, Eight and Nine to demonstrate the flexibility of the Strategic Management Model. Each of the three steps of the Control Phase - Monitoring, Evaluation and Review - of the strategic management of municipal integrated development planning is discussed and evaluated, followed by recommendations.

9.2 CONTROL PHASE

9.2.1 Focus of Strategic Management Model

The focus is on the “*Control Phase*” of the Model in relation to the strategic management of municipal integrated development planning in KZN from 2000 to 2006, and is highlighted on the Key:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

¹ Thamm, M., 2006.

9.2.2 Evaluation Methodology

Under each strategic management step, the Model requirements are repeated as set out in Chapter 3, Section 3.4. Actions taken to meet the specific step requirements are described, evaluated and recommendations made with the aim of answering the following evaluation criteria:

“How and to what extent did the control (phase) of the provincial strategic management of integrated development planning meet the requirements of each step of the strategic planning phase as set out in the Model and how could it be improved in future?”

The recommendations made for each strategic control step in this chapter are repeated or listed again in Chapter Ten with the purpose of developing an action plan consisting of a suite of recommendations made throughout the study.

9.2.3 Tabular or Matrix Format

In this chapter (Chapter Nine) there is a continuation of the material presented in the previous chapter (Chapter Eight) in tabular or matrix format, to demonstrate the linkages in the strategic process set out in Chapters Seven, Eight and Nine and set out in the Sub-key:

TABLE: 9.1: SUB-KEY LINKING CHAPTERS SEVEN, EIGHT AND NINE

Chapter	Section	Description			
Chapter Seven	7.3.6.2	Formulate and adopt Strategies to address Strategic Issues: Strategy 1 to 3 have been identified under this step.			
Chapter Eight	7.3.6.2	Chief Directorate: Development Planning: Internal preparations through Strategy One			
		(A) Strategy 1		(B) Objectives	
		(C) Action Plans			
		Actions Steps	Responsible Person	Key Performance Indicators (KPI)	
	8.3.2.2	Table 8.1.12: Implementation Matrix, 2000 - 2006			
		Action Steps	Implementation Process	Key Performance Indicators (KPI)	
Chapter Nine	9.3.1.2	Table 9.1: Monitoring Matrix, 2000 - 2006			
		Monitoring		Evaluation and Review	
		KPIs	Type	Verification	See Table 9.2
Chapter Nine	9.3.2.2	Table 9.2: Evaluation and Review Matrix, 2000 - 2006			
		KPIs	Type	Evaluation	Review
Chapter Nine	9.3.2.5	Table 9.3: Research Evaluation and Recommendations			
		KPIs	Review	Evaluation & Recommendations	

9.3 STEPS OF CONTROL PHASE

9.3.1 Step Nine: Monitoring

The Key highlights the “*Control Phase: Step Nine: Monitoring*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

9.3.1.1 Strategic Management Model Evaluation Criteria

Monitoring is the collection of data on economic, social and environmental information and/or to measure performance with programme or project implementation. Monitoring tools are budgets and specifically designed monitoring schedules. The monitoring process consists of four general steps, namely to set performance standards, measure real time performance, identify deviations from standards set, and initiate corrective measures.

9.3.1.2 Monitoring Matrix, 2000 to 2006

(A) Linkages between Matrices

Table 9.2 contains the Monitoring Matrix, 2000 to 2006,² and sets the framework for monitoring the Action Plans contained in the Implementation Matrix, 2001 to 2006 (See Chapter Eight, Table 8.13). The Monitoring Matrix also contains an empty “evaluation and review” column to indicate the relationship between the Monitoring Matrix and the Evaluation and Review Matrix reflected in Table 9.3.³ In turn, the “review” column on the “Evaluation and Review Matrix” is carried over to Table 9.4, which contains the research evaluation and recommendations.⁴

² The Monitoring Matrix is developed to reflect the monitoring steps taken by the Chief Directorate: Development Planning from 2000 to 2006.

³ The Evaluation and Review Matrix is developed to reflect the evaluation and review actions taken by the Chief Directorate: Development Planning from 2000 to 2006.

⁴ The research evaluation and recommendations are based on the Monitoring Matrix and Evaluation and Review Matrix developed for the Chief Directorate: Development Planning.

(B) Monitoring Matrix explained

The Monitoring Matrix is contained in Table 9.2 hereunder. The Matrix is developed from different data sets to assist Senior Management with the monitoring of the integrated development planning process. For purposes of the research only output indicators are discussed. The Key Performance Indicators (KPIs), carried over from the Implementation Matrix in Table 8.13, are indicated in the left column and linked here to the type of indicator. The means of verification refers to the product expected from the process linked to a target or completion date. The Evaluation and Review column is expanded in Table 9.3, the Evaluation and Review Matrix, containing detailed information.

TABLE 9.2: MONITORING MATRIX, 2000 TO 2006

Monitoring				Evaluation and Review
Key Performance Indicators (KPIs)¹	Type²	Means of verification³ (reference)	Target date⁴	See Table 9.2: Evaluation and Review Matrix
Action Plan 1: Dedicated planning staff				
(i) KZN Map with Regional Office boundaries: x 1	Output	DLGTA, 2005/06 Consolidated Annual Municipal Performance Report, Period ending June 2006, p 26.	2000	See Table 9.2: Evaluation and Review Matrix
(ii) Functional regional support teams: x 2 per Regional Office	Output	Activities of teams monitored at monthly Regional Management Committee meetings	2001	
(iii) Approved Regional Office organograms: x 3	Output	Updated Regional Office organograms	2001	
Action Plan 1.2: Drafting of guidelines				
(i) IDP Guideline on legislation: x 1	Output	DLGTA, CD:DP, IDP Framework Guidelines: Applicable Legislation and Policies for KZN Municipalities for the IDP Process, 25 June 2001	2001	See Table 9.2: Evaluation and Review Matrix
(ii) Process Plan Guideline: x 1	Output	Process Plan Guideline, 2001	2001	
(iii) IDP Management tool: x 1	Output	78 Step Process Plan (template), 2001	2001	
Action Plan 1.3: Planning staff training				
(i) Regional Office training sessions: x3	Output	Training material	2001	See Table 9.2: Evaluation and Review Matrix
(ii) Chief Directorate: Development Planning: training sessions: x 2	Output	Training programme	2001	
Action Plan 1.4: Chief Directorate: Development Planning: Operational Plan				
(i) Develop and maintain Chief	Output	CD:DP: Key Result Areas, 2005 to 2006	2005/06	See Table 9.2:

¹ Researchers' Note: The references verifying the KPIs are the same as those listed in Chapter 8, Table 8.2 to 8.12 in Section 8.3.1.4 Chief Directorate: Development Planning: Internal preparations through Strategy One.

² Researchers' Note: The indicator type is in accordance with the classification used in the DTLGA, Best Practice Guide for Municipal Organisational Performance Management in KwaZulu - Natal, June 2003:51. The research does not endeavour to deliberate on the other types of indicators, namely, input, process and outcome indicators..

³ Researchers' Note: The means of verification correspond with the sources or references listed in Table 8.2. to 8.12, Researchers' observations and Henman, L., 2007.

⁴ Researchers' Note: Target dates corresponds with target dates indicated in Table 8.2 to 8.12.

Directorate: Development Planning Operational Plan: x 1				Evaluation and Review Matrix
Action Plan 2.1: Drafting of guidelines				
(i) Capacity building guideline: x 1	Output	Municipal Development Planning Capacity Building Model	2003	See Table 9.2: Evaluation and Review Matrix
(ii) Performance management guideline: x 1	Output	Best Practice Guideline for Municipal Organisational Performance Management in KwaZulu-Natal , 2003	2003	
Action Plan 2.2: Training				
(i) District Municipality IDP training sessions: x 10	Output	Training program	2001	See Table 9.2: Evaluation and Review Matrix
(ii) District Municipality capacity building training sessions: x 10	Output	Training program	2001	
(iii) Provincial Organisational Performance Management System (OPMS) training sessions: x 1	Output	Training program	2003	
(iv) Planning and Implementation Management Support System (PIMSS) training session: x 2	Output	Training program	2002 - 2004	See Table 9.2: Evaluation and Review Matrix
Action Plan 2.3: Municipal technical support				
(i) Municipal Representative Forums: meetings determined by Process Plans	Output	Municipal Process Plans	2002- 2006	See Table 9.2: Evaluation and Review Matrix
(ii) x 61 MEC letters: - 1 x District Municipality: x 10 - 1 x Local Municipality: x 50 - 1 x Metropolitan Municipality	Output	MEC letters to municipalities	2002- 2006	
Action Plan 2.4: Transfer of funds to municipalities				
(i) Appoint consultant or consortium to draft IDP and Reviewed IDPs: per Local Municipality, where required	Output	Municipal Project Business Plans	2001 -2006	See Table 9.2: Evaluation and Review Matrix
(ii) Appoint 10 District Municipality: 1 x IDP Manager	Output	District Municipality Project Business Plans	2002	
(iii) Appoint 50 Local Municipality:	Output	Local Municipality Project Business Plans	2002 -2006	

1 x IDP Manager				
Action Plan 3.1: Drafting IDP guidelines				
(i) IDP guideline: x 1	Output	Guidelines for Service Providers and Municipalities on how to engage in the IDP Process of the 2005/06 IDP Review, 12 November 2004	2004	See Table 9.2: Evaluation and Review Matrix
Action Plan 3.2: Departmental and para-statal training				
(i) Department and para-statal training: 1 x session	Output	Training program	2001	See Table 9.2: Evaluation and Review Matrix
(ii) - Departments and para-statal: x 3 sessions - Departments on individual basis: x 2 sessions	Output	Training program	2004 - 2006	
Action Plan 3.3: Provincial and municipal planning forums				
(i) -Multi-Sectoral IDP Forum: x 1 - Secretariat: x 1	Output	Forum minutes and agendas	2001 - 2004	See Table 9.2: Evaluation and Review Matrix
(ii) - Functioning District Municipality alignment structures: x 10	Output	Minutes and agendas	2001 - 2006	
(iii) -Provincial Support Team: x 1 - Provincial - District Municipality preparatory meetings: x 10	Output	Minutes and agendas	2006	
(iv) Functional Municipal Managers meetings: x 3 per Region per annum	Output	Minutes and agendas	2000 - 2006	
(v) Functional Planning and Implementation Management Support System (PIMSS) Forum: x 1	Output	Minutes and agendas	2001 - 2005	

Source:

- (i) KPIs: Sources verifying the KPIs are the same as those listed in Table 8.1.2. to 8.12 in Section 8.3.1.4 Chief Directorate: Development Planning: Internal Preparations through Strategy One.
- (ii) (Indicator) Type: The indicator type is in accordance with the classification used in the DTLGA, Best Practice Guide for Municipal Organisational Performance Management in KwaZulu-Natal, June 2003:51.
- (iii) Researchers' Note: The means of verification corresponds with the sources or references listed in Table 8.2 to 8.12, and interviews and researcher observations.
- (iv) Target dates corresponds with target dates indicated in Table 8.2 to 8.12.

9.3.1.3 Evaluation and Recommendations

(A) Evaluation

The manner in which the Chief Directorate: Development Planning was structured ensured monitoring at a variety of levels and places. Each Directorate has its monthly Management Committee meeting where data collected was submitted and discussed. Monitoring activities took place at the IDP Steering Committee, Planning Manco and Chief Directorate: Development Planning Manco.

The monitoring schedules were designed for a specific integrated development planning project, for example the progress with transfer of funding to municipalities to draft IDPs and/or progress made with the drafting of IDPs or Reviewed IDPs. A major restriction during the monitoring process was the ability of municipalities to submit information on time, because of a lack of capacity.

With organisational performance management obtaining more prominence lately and a future focus area in the Department, the monitoring function will become more pertinent, requiring data gathering formats and processes to obtain quality information timeously. This conclusion should be read against the backdrop that an analysis of the current Chief Directorate: Development Planning Business Plan, revealed that the overwhelming majority of planned activities are initiating or implementation activities, whilst the overall focus is shifting towards monitoring and evaluation.

(B) Recommendations

To give monitoring and data gathering more prominence the following is recommended:

- (i) The Chief Directorate: Development Planning to determine in advance what type of data should be gathered to satisfy certain reporting requirements and formats;
- (ii) Projects focus to emphasise monitoring activities; and
- (iii) Municipalities and the Department agreed on the shift to data gathering, and that processes is designed as such to accommodate such change.

9.3.2 Steps Ten and Eleven: Evaluation and Review

The Key highlights the “*Control Phase: Step Ten and Eleven: Evaluation and Review*” of the Model:

KEY TO STRATEGIC MANAGEMENT MODEL

Phase	Step	Activity and Evaluation Criteria
Planning	1	Initiate and agree on strategic management process
	2	Clarify organisational mandates
	3	Establish mission, vision and goals
	4	Undertake SWOT analysis: determine internal strengths and weaknesses, external opportunities and threats
	5	Identify strategic issues facing the organisation
	6	Formulate and adopt strategies to address strategic issues
Implementation	7	Planning of plan implementation
	8	Phased implementation
Control	9	Monitoring
	10	Evaluation
	11	Review

9.3.2.1 Strategic Management Model Evaluation Criteria

(A) Combined presentation of Monitoring and Evaluation elements

The Strategic Management Model presented in this research distinguishes between the three control steps. In this section this principle is still applied. However, the usage of matrixes to reflect information makes it practical to reflect on the valuation and review activities together as set out in Table 9.3, Evaluation and Review Matrix, 2000 to 2006.

(B) Evaluation

Evaluation is the appraisal of the performance or quality of a plan, programme or project informed by the data or other information collected during monitoring. Two types of evaluation exist, i.e. on-going evaluation and ex-post evaluation. On-going evaluation is undertaken during implementation and corresponds generally, but not always, with the end of project phases. On-going evaluation should result in immediate corrective action. Ex-post evaluation takes place after the completion of a planned programme or project for learning purposes.

(C) Review

The information gathered feeds into the review and/or the adjustment of development plans, strategies and project implementation and action plans.

9.3.2.2 Evaluation and Review Matrix, 2000 to 2006

The Evaluation and Review Matrix in Table 9.3 sets out the steps taken by the Chief Directorate: Development Planning to evaluate and review its actions in relation to the information contained in the Monitoring Matrix, 2000 to 2006 set out in Table 9.2 The Key Performance Indicators (KPIs) carried over from the Monitoring Matrix in Table 9.2 are indicated in the left column and linked to only output indicators. The evaluation column indicates the progress made with implementation of the respective projects. In the Review column, the actions taken

by the Chief Directorate: Development Planning to rectify the situation based on the evaluation results.

TABLE 9.3: EVALUATION AND REVIEW MATRIX, 2000 TO 2006

Key Performance Indicators (KPIs) ¹	Type ²	Evaluation ³	Review ⁴
Action Plan 1: Dedicated provincial planning staff			
(i) KZN map with Regional Office boundaries: x 1	Output	The study gave various options on how the DTLGAs Regional boundaries be changed to improve support to municipalities in accordance with the 2000 demarcation of municipalities. ⁵ Upon choosing the most appropriate boundaries the DLGTA Planning Regional Offices geared up for support to municipalities. ⁶ Subsequently, from 2001 - 2006 planning support was given to municipalities on this regional support model. Staff shortages up to 60% in the CD:DP ⁷ and the objective to improve service delivery to municipalities caused the CD:Manco to resolve on 7 August 2006 to initiate a review of the CD:DP regional support arrangements and institutional structures. ⁸	The review proposals made on 4 October 2006 made provision for the replacement of the Regional Offices with centralised business units supporting the entire Province. ⁹ With the DLGTA structure still being finalised, an interim arrangement for the CD:DP was finalised during December 2006 in an effort to address the general staff shortages in the CD:DP. ¹⁰ For the strategic management of municipal integrated development planning, a central Strategic Planning Unit or Directorate: Strategic Planning was established. ¹¹ For effective management two regions were established with staff allocated to a specific region, but not to a regional office. ¹²
(ii) Functional Regional support	Output	Staff in the three Regional Offices supported between 3 to	By December 2006 it was envisaged that the

¹ Researchers' Note: The references verifying the KPIs are the same as those listed in Chapter 8, Table 8.2. to 8.12 in Section 8.3.1.4 Chief Directorate: Development Planning: Internal preparations through Strategy One.

² Researchers' Note: The indicator type is in accordance with the classification used in the DTLGA, Best Practice Guide for Municipal Organisational Performance Management in KwaZulu - Natal, June 2003:51.

³ Researcher's Note: The references in support of the Evaluation are listed in the footnotes and not at the bottom of Table 9.2.

⁴ Researcher's Note: The references in support of the Review are listed in the footnotes and not at the bottom of Table 9.2.

⁵ Brooks, F.R., 2007.

⁶ Brooks, F.R., 2007.

⁷ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006:1.

⁸ Research File. CD:DP: Restructuring, 18 September 2006:1.

⁹ Research File. CD:DP: Restructuring, 23 September 2006:1 - 4. Discussion notes and resolution, 2006/07 Adjustment Budget meeting, 4 October 2006.

¹⁰ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. CD:DP Guidelines for Interim Structure, 8 December 2006:1 - 2.

¹¹ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006:2 -3.

¹² KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006:1 - 3.

teams: 2 per Regional Office		4 District Municipalities with their Local Municipalities since 2001. ¹³ With the dwindling staff numbers and the proposed revised DLGTA staff structure, the CD:DP felt the urgent need to revisit the geographic split contrary to a functional split of staff and other resources. ¹⁴	Directorate: Strategic Planning would consist of 5 planners in support of the two regions, 1 co-ordination staff member and 1 manager. ¹⁵ Two administrative staff members were attached to the unit. ¹⁶
(iii) Approved Regional Office organograms: x 3	Output	As and when required, the staff structure within the CD:DP was internally amended. ¹⁷ After the local government elections in December 2000, Managers ensured that Regional Office staff were allocated in such a manner that the municipalities in the new regions could be functionally supported. ¹⁸	During the last quarter of 2006, the CD:DP restructured itself whereby the Co-ordination and Regional Offices were abolished. ¹⁹ In December 2006 the General Manager: Development Planning and the DLGTA HoD approved the revised interim structure for the CD:DP. ²⁰ The new CD:DP structure was made operational the next month. ²¹
Action Plan 1.2: Drafting of guidelines			
(i) IDP Guideline on legislation: x 1	Output	The first IDP Sectoral Guidelines for the Review of Integrated Development Plans in KwaZulu-Natal was ready by March 2003 and disseminated to municipalities for assisting them with the review of the 2001/02 IDPs. ²²	Components of the Guidelines have been revised and applied on a continuous basis within the CD:DP to inform the formulation of IDPs. ²³
(ii) Process Plan Guideline: x 1	Output	The Guideline was drafted for application by the Amajuba	The “review” of the Process Plan template was done

¹³ Henman, L., 2007.

¹⁴ Research File. CD:DP: Restructuring, 23 September 2006:1 - 4; and Discussion notes and resolution, 2006/07 Adjustment Budget meeting, 4 October 2006.

¹⁵ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006, pp 2 - 3.

¹⁶ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006, pp 2 - 3.

¹⁷ Henman, L., 2007.

¹⁸ Henman, L., 2007.

¹⁹ DLGTA File HO/13/6/5/2/IDP. Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006:2 -3.

²⁰ CD:DP staff meeting: Communication by GM:DP, 8 December 2006.

²¹ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. CD:DP Guidelines for Interim Structure, 8 December 2006:1- 2.

²² Research File, DTLGA, The Sectoral Guidelines for the Review of Integrated Development Plans in KwaZulu-Natal, 4 March 2003.

²³ Research File, Draft Assessment Framework for the Review of Spatial Development Frameworks, December 2004:1 - 4, which were applied to assess the municipal Spatial Development Frameworks as part of the 2005/06 IDP Review process, serves as one example of a revised IDP component.

²⁴ Scholtz, I., 2007.

		District Municipality as a pilot study. ²⁴	through the upgrading of the Amajuba District Municipal Process Plan. ²⁵ The 2005/06 Amajuba DM Process Plan served as a best practice of KZN Process Plans, ²⁶ which had its origins in the original Process Plan template. ²⁷
Action Plan 1.3: Planning staff training			
(i) Regional Office training sessions: x 3	Output	Provincial staff did not have much time to prepare themselves for supporting municipalities on the IDP process in terms of the MSA and IDP Guide Packs. ²⁸ The DPLG did provide a training session to provincial staff on a national level for such purposes in April 2001. ²⁹ In turn, the DPLG training material (i.e. a slide presentation) was adapted and used to capacitate the Regional Office planning staff on the IDP methodology. ³⁰	The training material was adjusted to train councillors and senior municipal staff on IDPs in 2001. ³¹ The original DPLG training material thereafter was adapted in various ways to inform follow-up training sessions over the years. ³² After the Local Government elections in March 2006, the DPLG - based training material was incorporated into a presentation prepared to train Councillors and municipal staff on IDPs. ³³
(ii) Chief Directorate: Development Planning training sessions: x 2	Output	Upon the introduction of the IDP process in 2001, the need was identified to train staff in project management to assist them with supporting municipalities to draft IDPs and the transfer of grant funding from the province to municipalities. ³⁴ During 2001, 52 Chief Directorate: Development Planning staff members were trained in a	After the two training sessions no further sessions of this nature were scheduled for CD:DP staff. ³⁶ During September 2006, a training session was conducted for staff on how to assist municipalities to link planning and budgets. ³⁷

²⁵ Research File, Amajuba PIMMS Centre, *The Process Plan for the 2007/8 Amajuba Integrated Development Plan and Budget*, July 2006, pp 1 - 27.

²⁶ Upon request of Best Practice IDP Process Plans, the researcher recommended the Amajuba District IDP Process be disseminated to less capacitated municipalities.

²⁷ Scholtz, I., 2007.

²⁸ Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3.

²⁹ Vosloo, U., 2007.

³⁰ Vosloo, U., 2007.

³¹ Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3.

³² Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3; and DLGTA, CD on Municipal Councillor Training Presentations, March 2006.

³³ Research File, Presentation, "Training of Trainers on Municipal Integrated Development Plans", 17 February 2006.

³⁴ Research File, DTLGA, *The Newsmonger*, Edition 4, 2001:5.

³⁵ Research File, DTLGA, *The Newsmonger*, Edition 4, 2001:5.

		tailor-made project management course. ³⁵	
Action Plan 1.4: Chief Directorate: Development Planning: Operational Plan			
(i) Develop and maintain Chief Directorate: Development Planning Operational Plan: x 1	Output	The document was developed and implemented during the 2005/06 Financial Year. ³⁸ The tool gave an instant overview of progress made with CD:DP projects over the 2005/06 Financial Year per region. ³⁹ The monthly updating of the schedule required dedication by staff, good co-ordination to reflect the activities of all four offices and time management as it took time to “populate” the schedule with updated information monthly. ⁴⁰	The schedule was updated ongoing to reflect progress made with the projects. ⁴¹
Action Plan 2.1: Drafting of guidelines			
(i) Capacity building guideline: x 1	Output	The Municipal Development Planning Capacity Building Model was completed in 2001, and, to begin with applied in District Municipalities. ⁴² On 15 April 2002 the MEC for Local Government reported to Provincial Legislature: <i>“The implementation of the (Model) has been successful and has now reached a stage where all ten (10) District Councils have established fully functional development planning components. These municipalities are now in a position to manage their own IDP process and to provide support to weaker Local Municipalities.”</i> ⁴³	In 2005 it was resolved that Shared Services be established in each District Municipality, to encourage the municipalities within a District Municipality to work together to share amongst others, strategic planning functions. ⁴⁷ A Shared Services pilot was established in the following the Ugu DM in 2006. ⁴⁸

³⁶ Research did not provide any evidence of other internal Project Management Courses presented. General Human Resource Management policies later-on made any in-house training impossible as all training programmes were centralised.

³⁷ Research File, Staff training. IDP, (Draft) Presentation, 21 September 2006:1 - 19.

³⁸ Research File, Chief Director: Development Planning, Key Result Areas for the period 01 April 2005 to 30 March 2006.

³⁹ Daly, M, Personal Assistant to the Senior General Manager: Development Planning was responsible for the updating of the schedule.

⁴⁰ Daly, M, Personal Assistant to the Senior General Manager: Development Planning requested prior to the monthly CD:DP Manco meetings updates from planning staff, which she consolidated into the monthly updated schedule.

⁴¹ The new tool is known as the Management Monitoring Mechanism and Daly, M is also maintaining the document on a monthly basis.

⁴² Research File, DPLG, Updated IDP Information for Provincial Conferences, circa 2003:2 - 3.

⁴³ Research File, Ilanda, Autumn Edition, Issue 2, 2003:2.

		The Model's technical preference for the establishment of an IDP Office within or linked to the Municipal Managers office was not realised in most local municipalities. ⁴⁴ Salary packages and the remote rural municipalities were not attractive enough to attract qualified staff for planning positions for a long period, if at all. ⁴⁵ In 2005 the realisation dawned that the ideal of having 60 filled IDP Managers posts filled in District and Local Municipalities in KZN was not feasible. ⁴⁶	
(iii) Organisational Performance Management guideline: x 1	Output	After a provincial launch in 2003 and numerous follow-up efforts, 32 municipalities had a functional Organisational Performance Management System (OPMS) in place by 2006. ⁴⁹	In 2004 a decision was taken to simplify the Organisational Performance Management (OPMS) Best Practice Guide, and the OPMS Starter Pack was developed. ⁵⁰ The Service Delivery and Budget Improvement Plan (SDBIP) required by the MFMA, and the decision that the DLGTA would also be supporting municipalities with their staff's individual performance management systems led to the review of the Starter Pack in 2005. The new document is known as the Guideline Document Developing Organisational Performance Management Systems, 15 August 2005. ⁵¹
Action Plan 2.2: Municipal training			
(i) District Municipality IDP training sessions: x 10	Output	The DPLG provided training material (i.e. the slide presentation used for provincial staff on a national level) was adapted by planning staff to train councillors and	The original DPLG training material was adapted in various ways to inform follow-up training sessions over the years. ⁵³ After the Local Government elections in

⁴⁴ Brooks, F.R., 2007.

⁴⁵ Brooks, F.R., 2007.

⁴⁶ Brooks, F.R., 2007.

⁴⁷ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

⁴⁸ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:3.

⁴⁹ DLGTA, 2005/06 Consolidated Annual Municipal Performance Report. Period ending June 2006:26.

⁵⁰ Organisational Performance Management Systems, Starter Pack Model, Final Draft, September 2004.

⁵¹ Guideline Document on Developing Organisational Performance Management Systems, 15 August 2005.

		municipal staff, to prepare them for drafting the IDPs during the 2001/02 Financial Year. ⁵²	March 2006, the DPLG based training material was incorporated into a presentation, prepared to train Councillors and municipal staff on IDPs. ⁵⁴ This time, the material was prepared with the input of municipal staff and made available to municipalities to do the training themselves. ⁵⁵ Where the 2002 training sessions were conducted by provincial planning staff, in 2005 the training was decentralised to municipalities for self-capacitating of municipalities. ⁵⁶
(ii) District Municipality capacity building training sessions: x 10	Output	Consultants were appointed to assist the CD:DP to train certain Local Municipalities on the Capacity Building Model during 2002 to 2004, and to negotiate Business Plans for the appointment of IDP managers and/or other planning staff. ⁵⁷	With the dwindling capacity in Local Municipalities, the Shared Service concept was introduced whereby District and local Municipalities would share development planning services. ⁵⁸
(iii) Provincial performance management training session: x 1	Output	At the beginning of 2003, Municipalities were invited to a provincial launch of the Best Practice Guide. ⁵⁹ Thereafter, between May and September 2003, an intensive training programme was undertaken involving the 10 District Municipalities and the Metropolitan Municipality. ⁶⁰	Despite all the training since 2003, in 2006, only 32 municipalities had functional Organisational Performance Management Systems (OPMSs) in place. ⁶¹

⁵² Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3.

⁵³ Research File, Compare various presentations; and e-data bank of presentations in researchers F-drive under "Presentations."

⁵⁴ Research File, Presentation, "Training of Trainers on Municipal Integrated Development Plans", 17 February 2006.

⁵⁵ The training session was convened on 17 February 2006 in the Mayville Regional Office of the DLGTA under the chairmanship of Brooks, F.R., General Manager: Development Planning.

⁵⁶ Compare Action Plan 1.3: Planning staff training above for the change in training approach.

⁵⁷ Research File, DTLGA, Close Out Report. Implementation of Development Planning Capacity Building Model, April 2004:1 - 37.

⁵⁸ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

⁵⁹ Brooks, F.R., 2007.

⁶⁰ Research File, DTLGA, Closeout Report on the Second Wave: Implementation of the Best practice Guide on Municipal Organisational Performance Management, 6 October 2003:7 - 8.

⁶¹ DLGTA, 2005/06 Consolidated Annual Municipal Performance Report, Period ending June 2006:26.

(iv) Planning Implementation Management Support System (PIMSS) training sessions: x 2	Output	At all PIMSS Forum training sessions were conducted to improve IDP quality. ⁶²	To focus training, two special training sessions were undertaken on Development Best practice and Project Management. ⁶³
Action Plan 2.3: Municipal technical support			
(i) Municipal Representative Forums: meetings determined by Process Plans	Output	In 2001 provincial planning staff attended IDP Representative Forum meetings to ensure that they were constituted and functioning properly. ⁶⁴ The ideal was to attend all District and Local Municipal Representative Forums. ⁶⁵	Capacity constraints due to staff losses, in some instances caused planning staff to focus on attending mainly, but not to exclusively, District Municipality Representative Forums. ⁶⁶
(ii) x 61 MEC letters: - 1 per District Municipality x 10 - 1 x Local Municipality x 50 - 1 x Metropolitan Municipality	Output	The Municipal Systems Act (MSA) requires that the MEC for Local Government comments on the IDPs upon its completion or annual review in June each year. ⁶⁷ Such letters were forwarded to municipalities, albeit sometimes too late for them to inform the next IDP Review. ⁶⁸ Reason being that municipalities fell behind in completing the reviews timeously, especially during the 2002/03 to 2004/05 IDPs review process. ⁶⁹	An “IDP catch-up” ⁷⁰ was undertaken during the 2005/06 review process. ⁷¹ Municipalities succeeded in maintaining the drafting process thereafter, and during the review of the 2006/07 IDP only one municipality did not submit a review. ⁷²

⁶² DLGTA, File HO 13/6/5/2. PIMSS Forum Agenda and Minutes from 2004 onwards as examples.

⁶³ Research File, Project Management Presentation, 19 - 21 September 2005 and Minutes PIMSS Forum, 10 December 2004.

⁶⁴ Henman, L., 2007.

⁶⁵ Henman, L., 2007.

⁶⁶ Research File, Presentation, Directorate Development Planning, Inland Region, “Aim of Directorate”, circa 2001, slide 6.

⁶⁷ Republic of South Africa, 2000, Municipal Systems Act, Act 32, Section 32.

⁶⁸ DLGTA, Guidelines for the submission of the IDPs drafted for Implementation during 2005/2006 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum , 12 November 2004:1 - 2.

⁶⁹ DLGTA, Guidelines for the submission of the IDPs drafted for Implementation during 2005/2006 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum , 12 November 2004:2 - 3.

⁷⁰ “Catch-up” means that municipalities were municipalities fell behind in completing IDPs, they were required to complete IDPs the documents on time as required by Section 32 of the Municipal Systems Act.

⁷¹ DLGTA, Guidelines for the submission of the IDPs drafted for Implementation during 2005/2006 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum , 12 November 2004:3 - 4.

⁷² DLGTA, File containing 2005/06 MEC IDP letters.

Action Plan 2.4: Transfer of funds to municipalities			
(i) 1 x consultant or consortium	Output	With the commencement of the IDP drafting process by municipalities in 2001/02 about 90% of IDPs were prepared with the assistance of consultants. ⁷³ The CD:DP transferred funding to municipalities to appoint such consultants to complete the task at hand. ⁷⁴	The CD:DP was adamant that the IDP as a management tool should be drafted by municipal staff themselves. ⁷⁵ The funding model regime changed therefore, in that municipalities were encouraged to appoint IDP Managers to undertake the task. ⁷⁶ The Planning Implementation and Management Support System (PIMSS) concept was also supported as a resource to assist municipalities to draft the reviews of the IDPs from 2001/02 onwards. ⁷⁷
(ii) 10 District Municipalities: 1 x IDP Manager	Output	From the 2000/01 Financial Year funding was transferred to DM municipalities to appoint IDP Managers. ⁷⁸ The CD:DP provided funding for a three year period after which the District Municipalities were required to take over the funding of their IDP Managers. ⁷⁹ The CD:DP Mid-Year Review 2005/06 revealed that by mid-2006 all 10 District Municipalities in KZN had IDP Managers, as planned. ⁸⁰	The District Municipality model was successful in its application. ⁸¹ The CD:DP held the view that the District Municipalities should have an IDP Manager and that a strong centre would be the future basis for the establishment of the Shared Services Concept ⁸² within a family of municipalities. ⁸³
(iii) 51 Local Municipalities: 1 x	Output	From the 2001/02 Financial Year, the CD:DP transferred	The general lack of skills in South Africa, including

⁷³ Brooks, F.R., 2007.

⁷⁴ Brooks, F.R., 2007.

⁷⁵ Brooks, F.R., 2007.

⁷⁶ Brooks, F.R., 2007.

⁷⁷ Research File, Presentation, Directorate Development Planning, Inland Region, "Aim of Directorate", circa 2001, slide 6.

⁷⁸ Brooks, F.R., 2007.

⁷⁹ Brooks, F.R., 2007.

⁸⁰ Brooks, F.R., 2007.

⁸¹ Brooks, F.R., 2007.

⁸² The Shared Service Concept entails that a district family of municipalities shares development planning functions amongst them such as drafting IDPs, because of a lack of staff in such municipalities thereby ensuring that Reviewed IDPs are completed each year.

⁸³ Brooks, F.R., 2007.

IDP Manager		funding to Local Municipalities to appoint IDP Managers. ⁸⁴ The CD:DP 2005 Mid-year review indicated that 66% of 2006/07 Reviewed IDPs were prepared by consultants and that it was realised that not all 51 Local Municipalities would have appointed IDP Managers for reasons of remote locations and unattractive remuneration packages of under resourced rural municipalities. ⁸⁵	lack of IDP Managers in Local Municipalities, led to the introduction of the Shared Service concept in 2005 in KZN. ⁸⁶
Action Plan 3.1: Drafting IDP guidelines			
(i) IDP guideline: x 1	Output	The 2004 Guidelines were drafted in-house. ⁸⁷ As with any policy document it went through several drafts during its formulation from September to November 2004. ⁸⁸	The 2004 Guidelines were not reviewed by December 2006, as they were mostly applicable for the drafting and/or review of IDPs. ⁸⁹
Action Plan 3.2: Departmental and para-statal training			
(i) Department and para-statals training: 1 x session	Output	The CD:DP identified the need for Departments to be trained on the IDP process in 2001. ⁹⁰ During a once off session in May 2001, approximately 120 staff members from Departments were trained. ⁹¹ The idea behind the training was that the Departmental representatives were to pass on the information to the staff in Departments, to enable effective participation in the IDP process. ⁹²	By 2005/06, however, there was still a general lack of alignment between Departments and municipalities, and the DLGTA had to call for special sessions to make Departments aware of the IDP process. ⁹³
(ii) - Departments and para-statals: x 3 sessions	Output	During the three November 2004 regional sessions, +-120 representatives from municipalities and Departments were	By 2005/06, however, there was still a general lack of alignment between Departments and municipalities and

⁸⁴ Brooks, F.R., 2007.

⁸⁵ Brooks, F.R., 2007.

⁸⁶ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

⁸⁷ Research File, Various draft documents.

⁸⁸ Research File, Various draft documents.

⁸⁹ Viljoen, W., 2007.

⁹⁰ Brooks, F.R., 2007.

⁹¹ Brooks, F.R., 2007.

⁹² Brooks, F.R., 2007.

⁹³ Research File, Agenda institutionalising IDP process in Sector Departments, 22 September 2006, is an example of such sessions.

<p>- Departments on individual basis: x 2 sessions</p>		<p>trained, and the sessions were based on, amongst others, the following two IDP guidelines,⁹⁴ namely:⁹⁵</p> <ul style="list-style-type: none"> ➤ Guidelines for Service Providers and Municipalities on how to engage in the IDP process of the 2005/06 review; and ➤ Guidelines for the alignment of a Disaster Management Plan with the 2005/06 Municipal Integrated Development Plans. <p>The aim of the training was to capacitate Departmental staff, who supported municipalities directly, i.e. departmental staff responsible for particular District Municipalities and/or Local Municipalities were targeted, to improve their understanding of the IDP process and how they could support municipalities better.⁹⁶</p>	<p>the DLGTA had to call for special sessions to make Departments aware of the IDP process.⁹⁷</p>
<p>Action Plan 3.3: Provincial and municipal planning forums</p>			
<p>(i) - Provincial Multi-Sectoral IDP Forum: x 1 - Secretariat: x 1</p>	<p>Output</p>	<p>The Provincial Multi-Sectoral IDP Forum was established in 2001 to guide the KZN IDP assessment process centrally.⁹⁸ A need to decentralise the Forum's functions arose, and consideration was given to decentralise the Forum to the District Families of Municipalities in 2004.⁹⁹ The first decentralised Forums were convened in February and March 2005.¹⁰⁰</p>	<p>The Provincial Multi-Sectoral IDP Forum role and function will be reviewed in future, once a provincial planning Inter-governmental (IGR) IDP Forum is considered.¹⁰¹</p>

⁹⁴ Researcher Diary, 2004.

⁹⁵ Research File, Guidelines for the submission of the IDP drafted for implementation during 2005/06 Financial Year, September 2005.

⁹⁶ Research File, Guidelines for the submission of the IDP drafted for implementation during 2005/06 Financial Year, September 2005.

⁹⁷ Research File, Agenda institutionalising IDP process in Sector Departments, 22 September 2006, is an example of such sessions.

⁹⁸ Research File, DLGTA, Chief Directorate: Development Planning and DDP Task Team and DDP Task Team, Integrated Development Planning in KwaZulu-Natal, March/April 2003, Annexure A, TOR for Multi-Sectoral provincial IDP Forum:1 & 5.

⁹⁹ Research File, Guidelines for the submission of IDPs drafted for implementation during the 2005/6 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum, 12 November 2004:4 - 5.

¹⁰⁰ Research File, Guidelines for the submission of IDPs drafted for implementation during the 2005/6 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum, 12 November 2004:4 - 5.

¹⁰¹ DLGTA, Chief Directorate: Development Planning: Management, Measurement and Monitoring tool, 2007/08 Financial Year.

(ii) – Functioning District Municipality alignment structures: x 10	Output	In 2004, provincial staff encouraged District Municipalities to establish planning alignment committees or structures functioning as alignment committees between municipalities. ¹⁰² The District Municipal Service Providers Forums (SPFs) in municipalities functioned not always to its maximum, if at all. ¹⁰³ Municipalities approached Departments in a variety of ways to request sectoral support. ¹⁰⁴	For example, the Amajuba District Municipality changed the format and agenda of Municipal Service Providers Forums (SPFs) by giving Departments allocated time-slots which save the time of Departmental staff. ¹⁰⁵ Departments resolved mainly to attend SPFs at a District Municipal and not Local Municipal level, and make available information to District Municipalities for all municipalities in DM area. ¹⁰⁶
(iii) -Provincial District wide Growth & Development Summits Support Team: x 1 - Provincial - District Municipality Preparatory meetings: x 10	Output	The Provincial Support Team was established in September 2006 to manage the joined PG&D Summits and IDP Engagements, undertaken in November 2006. ¹⁰⁷	With the Summits and IDP Engagements in the making by the end of 2006, the future of the Provincial Support Team could only be considered later on. ¹⁰⁸
(iv) Functional meetings: x 1 per region per quarter	Output	The Municipal Managers meetings were established in 2002 continued to be convened during 2006. ¹⁰⁹	The usefulness of the discussion at the meeting prompted the DLGTA to schedule meetings still in 2006.

¹⁰² Brooks, F.R., 2007.

¹⁰³ Brooks, F.R., 2007.

¹⁰⁴ Brooks, F.R., 2007.

¹⁰⁵ Scholtz, I., 2007.

¹⁰⁶ Brooks, F.R., 2007.

¹⁰⁷ Research File, Letter Manager Development Planning: Inland to Municipal mayors and Municipal Managers, 29 September 2006:1- 4.

¹⁰⁸ Brooks, F.R., General Manager: 2007.

¹⁰⁹ Brooks, F.R., 2007.

v) Functional Provincial Planning Implementation Management System (PIMSS) Forum: x 1	Output	<p>The KZN Provincial Planning Implementation Management System (PIMSS) Forum was established in +- 2001.¹¹⁰ The body met every regularly to discuss operational issues, such as national grant funding, staffing requirements, and planning topics.¹¹¹</p> <p>The Forum was chaired by the DPLG until 7 March 2002 from where the DTLGA took over the chairmanship.¹¹²</p> <p>The Forum was attended by PIMSS and provincial planning staff¹¹³ & the exchange of information on planning topics aimed to add value to the improvement of the IDP.¹¹⁴</p> <p>The DPLG announcement in December 2004¹¹⁵ that the PIMSS Offices would take on a new role (meaning to be phased out)¹¹⁶ in the 2007/08 Financial Year and the commencement of the preparations of the KZN's Shared Service initiative to replace the PIMSS Offices in 2005,¹¹⁷ the PIMSS Forum held it's last session in September 2005.¹¹⁸</p>	<p>The KZN District Municipality wide Shared Services Concept would absorb PIMSS functions and some of the staff.¹¹⁹ Lessons learnt from the PIMSS model would be incorporated into the Shared Services Concept.¹²⁰</p>
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Source:

- (i) KPIs: Sources verifying the KPIs are the same as those listed in Table 8.2. to 8.12 in Section 8.3.1.4 Chief Directorate: Development Planning: Internal preparations
- (ii) (Indicator) Type: The indicator type is in accordance with the classification used in the DTLGA, Best Practice Guide for Municipal Organisational Performance Management in KwaZulu- Natal, June 2003:51.
- (iii) Evaluation: The references in support of the Evaluation are listed in the footnotes related to Table 9.3.
- (iv) Review: The references in support of the Review are listed in the footnotes related to Table 9.3.

¹¹⁰ Dirker, L., 2007.

¹¹¹ KwaZulu-Natal, DLGTA, File HO/13/6/5/2 PIMSS Forum, Minutes and Agendas; and Research File: PIMSS Forum Terms of Reference, January 2005.

¹¹² Research File, e-communication, S. Botha to N. Fox, 8 March 2002:1.

¹¹³ DLGTA, File HO/13/6/5/2 PIMSS Forum, Minutes and Agendas.

¹¹⁴ Based on Research File: PIMSS Forum Terms of Reference, January 2005.

¹¹⁵ KwaZulu-Natal, DTLGA, File HO/13/6/5/2 PIMSS Forum, Minutes PIMSS Forum meeting , 10 -11 December 2004:8.

¹¹⁶ Research File, Discussion document on Development Planning Shared Services, [s.a.]:2.

¹¹⁷ Research File, Minutes Shared Services Provincial Steering Committee meeting, 9 October 2006:2.

¹¹⁸ Research File, PIMSS Project Management Presentation, September 2005.

¹¹⁹ Research File, Discussion document on Development Planning Shared Services, [s.a.]:2.

¹²⁰ Brooks, F.R., 2007.

9.3.2.3 Evaluation and Recommendations

(A) Evaluation

On-going evaluation is inherent to the work of the Chief Directorate: Development Planning as the following examples illustrate:

- The updating of the Operational Plan;
- Transfer payment budgets;
- The IDP policies were evaluated to determine their applicability, including the Municipal Development Planning Capacity Building Model and the Organisational Performance Management System Best Practice Guidelines; and
- The IDP Assessment process from the 2001/2 Financial Year to the 2006/07 Financial Year.

(B) Review

The results of the ongoing evaluation were as follows, namely:

- The updating of the Operational Plan resulted in a monthly assessment of integrated development planning related projects, to ensure that projects were on track and that adjustments were timeously made;
- The monitoring of the transfer payment budgets attempts to ensure that municipalities utilised grant funding in accordance with the agreed business plans;
- The IDP policies were evaluated to determine their applicability, including the Municipal Development Planning Capacity Building Model, which resulted in the introduction of Shared Services for DMs and their LMs and the OPMS guidelines following from the OPMS Best Practice Guidelines; and
- The IDP Assessment process, as the most comprehensive evaluation process from the 2001/2 FY to the 2006/07 FY, informed the municipal IDPs to improve plan making and monitoring implementation.

(C) Recommendations

It is recommended that the Chief Directorate: Development Planning:

- (i) Continue to monitor project activities by means of the Operational Plan; and
- (ii) IDP related policies be subjected to ex-post evaluation, for example the Municipal Development Planning Capacity Building, which needs adjustment to the Shared Services concept.

9.3.2.4: Research Evaluation and Recommendations

Table 9.4 contains the research evaluation and recommendations for the future improvement of the strategic management of municipal integrated development planning in KZN. The point of departure is the review proposals made by the Chief Directorate Development Planning as set out in Table 9.3 in Section 9.3.2.2.

TABLE 9.4: RESEARCH EVALUATION AND RECOMMENDATIONS

Key Performance Indicator (KPIs) ¹	Review ²	Research Evaluation and Recommendations ³
Action Plan 1.1: Dedicated planning staff		
(i) KZN Map with Regional Office boundaries: x 1	<p>The review proposals made on 4 October 2006 made provision for the replacement of the Regional Offices with centralised business units supporting the entire Province.⁴ With the DLGTA structure still being finalised, an interim arrangement for the CD:DP was finalised during December 2006, in an effort to address the general staff shortages in the CD:DP.⁵</p> <p>For the strategic management of municipal integrated development planning a central Strategic Planning Unit (SPU) or Directorate: Strategic Planning was established.⁶ For effective management, two regions were established with staff allocated to a specific region, but not to a regional office.⁷</p>	<p>Research Evaluation: The new functional CD:DP organisational structure impacts on the management, staff allocations, relationships, communication and staff assessment within the CD:DP. The Strategic Planning, OPMS and Spatial Planning units need to develop and maintain effective co-ordination systems and channels to integrate and align activities in order to provide coherent service to municipalities.</p> <p>Recommendations: 1. Progress with the implementation of the new CD:DP management structure needs to be closely monitored.</p> <p>2. An alignment mechanism should be established to co-ordinate the Strategic Planning, OPMS and Spatial Planning functional activities in addition to the monthly CD:DP Manco meetings.</p>
(ii) Functional Regional support teams: x 2 per Regional Office	By December 2006 the Directorate: Strategic Planning consisted of 5 planners in support of the two regions, 1 co-	<p>Research Evaluation: Within the former regions various levels of exposure of</p>

¹ Researchers' Note: "Key Performance Indicators": the sources corresponds with the references listed under Table 8.2 to 8.12 in Chapter 8, Section "8.5.3.3 Chief Directorate: Development Planning: Internal preparations".

² Researchers' Note: The references for the "Review" column are captured in the footnotes to avoid a too long list of sources under Table 9.3 itself.

³ Researchers' Note: The Research Evaluation and Recommendations are those of the researcher and is new additions to the existing body of academic knowledge.

⁴ Research File. CD:DP: Restructuring, 23 September 2006:1 - 4. Discussion notes and resolution, 2006/07 Adjustment Budget meeting, 4 October 2006.

⁵ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. CD:DP Guidelines for Interim Structure, 8 December 2006:1 - 2.

⁶ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006:2 -3.

⁷ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006:1 - 3.

⁸ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006:2 - 3.

	ordination staff member and 1 manager. ⁸ Two administrative staff members were attached to the unit. ⁹	staff to IDPs and different approaches in technical support to municipalities exists. ¹⁰ Recommendations: 1. The Strategic Planning Unit have to convene a training session to update staff on IDPs and the approach to follow in future. 2. Regular monitoring is to be undertaken to determine success and introduce subsequent changes.
(iii) Approved Regional Office organograms: x 3	During the last quarter of 2006, the CD:DP restructured itself whereby the Co-ordination and Regional Offices were abolished. ¹¹ In December 2006, the General Manager: Development Planning and the DLGTA HoD approved the revised interim structure for the CD:DP. ¹² The new CD:DP structure was made operational the next month. ¹³	Research Evaluation: The CD:DP was the first business unit in the DLGTA that had restructured itself on a functional basis. The other CDs within the DLGTA will use this arrangement as a tracer study, and successful implementation is paramount for other units to follow. Recommendations: 1. The implementation of the new CD:DP structure is to be closely monitored, adaptations made and information feedback regularly to the DLGTA Management structures.
Action Plan 1.2: Drafting of IDP Guidelines		
(i) IDP Guideline on legislation: x 1	Components of the Guidelines have been revised and applied ongoing within the CD:DP to inform the formulation of IDPs. ¹⁴	Research Evaluation: As the first set of KZN IDP guidelines, they were a useful starting mechanism to capacitate staff and municipalities in

⁹ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. E-mail communication T. Bhengu to H. Theron, Re: IDP Team, 5 December 2006:2 - 3.

¹⁰ Naidoo, N.,2006.

¹¹ KwaZulu-Natal, DLGTA File HO/13/6/5/2/IDP. Letter GM:DP to All Staff: Development Planning Co-ordination, 18 November 2006, pp 2 -3.

¹² CD:DP staff meeting: Communication by GM:DP, 8 December 2006.

¹³ DLGTA File HO/13/6/5/2/IDP. CD:DP Guidelines for Interim Structure, 8 December 2006:1- 2.

¹⁴ Research File, Draft Assessment Framework for the Review of Spatial Development Frameworks, December 2004, pp 1 - 4, which were applied to assess the municipal Spatial Development Frameworks as part of the 2005/06 IDP Review process, serves as one example of a revised IDP component.

		support of the newly introduced IDP process in 2000. Recommendations: 1. A tracer study could be undertaken to determine the application and success of the guidelines.
(ii) Process Plan Guideline: x 1	The “review” of the Process Plan template was done through the upgrading of the Amajuba District Municipal Process Plan. ¹⁵ The 2005/06 Amajuba DM Process Plan served as a best practice of KZN Process Plans, ¹⁶ which had its origins in the original Process Plan template. ¹⁷	Research Evaluation: The 2006/07 IDP assessments revealed that a large number of Process Plans are lacking critical elements, the main one being the alignment of the IDP, OPMS and budget processes. Recommendations: 1. Another Process Plan template is to compiled and disseminated to municipalities to improve the quality of the PPs the IDP management tool during the 2007/08 review process.
Action Plan 1.3: Planning staff training		
(i) Regional Office training sessions: x 3	The training material was adjusted to train councillors and senior municipal staff on IDPs in 2001. ¹⁸ The original DPLG training material thereafter was adapted in various ways to inform follow-up training sessions over the years. ¹⁹ After the Local Government elections in March 2006, the DPLG - based training material was incorporated into a presentation prepared to train Councillors and municipal staff on IDPs. ²⁰	Research Evaluation: The availability of the DPLG training material in 2001 ensured that KZN was of the same standard as the national training requirements. The material saved time for planning staff who were not required to compile a set from scratch. The 2001 training sessions were classroom orientated and reached Councillors and municipal staff in all municipalities. Recommendations: 1. The hands-on approach to training should be expanded

¹⁵ Research File. Amajuba PIMMS Centre, The Process Plan for the 2007/8 Amajuba Integrated Development Plan and Budget, July 2006:1 - 27.

¹⁶ Upon request of Best Practice IDP Process Plans, the researcher recommended the Amajuba District IDP Process be disseminated to less capacitated municipalities.

¹⁷ Scholtz, I., 2007.

¹⁸ Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3.

¹⁹ Research File, DTLGA, IDP Assessment Report, 2nd Draft, 9 November 2002:3; and DLGTA, CD on Municipal Councillor Training Presentations, March 2006.

²⁰ Research File, Presentation, “Training of Trainers on Municipal Integrated Development Plans”, 17 February 2006.

		to make training more interactive and avoid lecture situations, where practically possible. 2. The DPLG certificated IDP training programme should be supported in 2007, to assist with reaching staff in all municipalities and Departments in support of IDPs.
(ii) Chief Directorate: Development Planning training sessions: x 2	After the two training sessions no further sessions of this nature were scheduled for CD:DP staff. ²¹ During September 2006, a training session was conducted for staff on how to assist municipalities to link planning and budgets. ²²	Research Evaluation: The project management training was successful and planning staff were capacitated to support IDPs at the time. The total trainees in comparison to the cost incurred, made the course extremely cost effective. Recommendations: 1. Consideration should be given to design and implement an in-house project management programme again, to capacitate new staff to support IDPs on a project management basis. 2. Alternatively, consultants should be appointed to compile and present a tailor made project management course for the Strategic Planning Unit staff.
Action Plan 1.4: Operational Plan		
(i) Chief Directorate: Development Planning Operational Plan: x 1	The schedule was updated ongoing to reflect progress made with projects. ²³	Research Evaluation: The Operational Plan is a successful instrument in guiding project implementation and subsequent monitoring. Recommendations: 1. The Plan should be maintained regularly to ensure effective project implementation and monitoring.

²¹ Research did not provide any evidence of other internal Project Management Courses presented. General Human Resource Management policies later-on made any in-house training impossible as all training programmes were centralised.

²² Research File, Staff training. IDP, (Draft) Presentation, 21 September 2006:1 - 19.

²³ The new tool is known as the Management Monitoring Mechanism and Daly, M, Personal Assistant to the General Manager: Development Planning, is maintaining the document on a monthly basis.

Action Plan 2.1: Drafting of guidelines		
(i) Capacity building guideline: x 1	In 2005 it was resolved that Shared Services concept be established in each District Municipality, to encourage the municipalities within a District Municipality to work together, to share amongst others strategic planning functions. ²⁴ A Shared Services Concept pilot was established in the Ugu DM in 2006. ²⁵	<p>Research Evaluation: The Municipal Development Planning Capacity Building Model (MDPCB)M was a useful model to guide staff capacity building in municipalities in KZN. However, inability of many local municipalities to attract sufficient numbers of experienced staff, required an adjustment to the model in favour of the Shares Service concept.</p> <p>Recommendations: 1. The Shared Service Concept should be implemented in 2007/08 in accordance with the project programme, to ensure that IDP capacity is maintained in municipalities.</p>
(ii) Organisational performance management guideline: x 1	In 2004 a decision was taken to simplify the Organisational Performance Management (OPMS) Best Practice Guide, and the OPMS Starter Pack was developed. ²⁶ The Service Delivery and Budget Improvement Plan (SDBIP) required by the Municipal Financial Management Act and the decision that the DLGTA would also be supporting municipalities with their staff's individual performance management systems, led to the review of the Starter Pack in 2005. The new document is known as the Guideline Document on Developing Organisational Performance Management Systems, 15 August 2005. ²⁷	<p>Research Evaluation: The Guideline Document on Developing Organisational Performance Management Systems, 15 August 2005 is ready for implementation in the 2007/08 Financial Year.</p> <p>Recommendations: 1. The Guidelines have to reach each municipality without an Organisational Performance Management System (OPMS), to ensure that a functional OPMS is implemented by the end of the 2007/08 Financial Year in all municipalities.</p> <p>2. The Strategic Planning Unit and Organisational Performance Management Unit have to ensure alignment between the IDP and Organisational Performance Management System Guidelines to ensure a common approach.</p>

²⁴ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

²⁵ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:3.

²⁶ Organisational Performance Management Systems, Starter Pack Model, Final Draft, September 2004.

²⁷ Guideline Document on Developing Organisational Performance Management Systems, 15 August 2005.

Action Plan 2.2: Municipal training		
(i) District Municipality training session: x 10	<p>The original DPLG training material was adapted in various ways, to inform follow-up training sessions over the years.²⁸ After the Local Government elections in March 2006, the DPLG based training material was incorporated into a presentation, prepared to train Councillors and municipal staff on IDPs.²⁹</p> <p>This time, the material was prepared with the input of municipal staff, and made available to municipalities to do the training themselves.³⁰ Where the 2002 training sessions were conducted by provincial planning staff, in 2005 the training was decentralised to municipalities for self-capacitating of municipalities.³¹</p>	<p>Research Evaluation:</p> <p>1. Municipalities should undertake the training on their own to enable the DLGTA to focus on other aspects, such as the Shares Services Concept.</p> <p>Recommendations:</p> <p>1. Municipalities should develop their own IDP training material in future.</p>
(ii) Provincial training session: x 1	<p>With the dwindling capacity in Local Municipalities, the Shares Service Concept were introduced whereby District and Local Municipalities would share development planning services.³²</p>	<p>Research Evaluation:</p> <p>1. The DLGTA should ensure that the Shares Service Concept is implemented at the earliest time possible, to alleviate the capacity constraints.</p> <p>Recommendations:</p> <p>1. The procurement process for appointing consultants is finalised to enable projects to be implemented.</p>
(iii) Planning Management Implementation	During September 2006, the last PIMSS training session	Research Evaluation:

²⁸ Research File, Compare various presentations; and e-data bank of presentations in researchers F-drive under "Presentations."

²⁹ Research File, Presentation, "Training of Trainers on Municipal Integrated Development Plans", 17 February 2006.

³⁰ The training session was convened on 17 February 2006 in the Mayville Regional Office of the DLGTA under the chairmanship of Brooks, F.R., General Manager: Development Planning.

³¹ Compare Action Plan 1.3: Planning staff training above for the change in training approach.

³² Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

³³ Research File, Project Management Presentation, 19 -21 September 2005.

Support System (PIMSS): training session: x 2	was undertaken. ³³ The other notable training session was on Best Practices on 10 December 2005. ³⁴	With the planned closure of the PIMSS in 2008, no further training was necessary. Recommendations: 1. Any further training should be focussed on the Shares Services Concept.
Action Plan 2.3: Municipal technical support.		
(i) Municipal Representative Forums: meetings determined by Process Plans	Capacity constraints due to staff losses in some instances, caused planning staff to focus on attending mainly, but not exclusively, District Municipality Representative Forums. ³⁵	Research Evaluation: The lack of provincial planning staff capacity will continue. The hands-on approach will require provincial staff presence in municipalities. Recommendations: 1. At least DM IDP Representative Forums should be attended. 2. LMs which needs or requested specific assistance are to be supported on an individual basis.
(ii) x MEC 61 letter: - 1 x District Municipality x 10 - 1 x Local Municipality x 51 - 1x Metropolitan Municipality	An “IDP catch-up” was undertaken during the 2005/06 review process. ³⁶ Municipalities succeeded in maintaining the drafting process thereafter, and during the review of the 2006/07 IDP only one municipality did not submit a review. ³⁷	Research Evaluation: The Municipal Systems Act required a letter drafted by the Member of the Executive Council for each municipality upon completion of the document or review in June each year. Impacting on sustaining the drafting of the letter timeously, is the other work pressures and also the changing national guidelines or requirements during 2005 and 2006. Belated letters did not serve much purposes, hence the CD:DP appointment of consultants to assist with the letters in 2006.

³⁴ Research File, Minutes PIMSS Forum Meeting, 10 December 2004.

³⁵ Research File, Presentation, Directorate Development Planning, Inland Region, “Aim of Directorate”, circa 2001, slide 6.

³⁶ DLGTA, Guidelines for the submission of the IDPs drafted for Implementation during 2005/2006 Financial Year for assessment by the KZN Provincial Multi-Sectoral IDP Forum, 12 November 2004:3 - 4.

³⁷ DLGTA, File containing 2005/06 MEC IDP letters.

		Recommendations: 1. The practice of compiling MEC letters should continue, even with the assistance of consultants.
Action Plan 2.4: Transfer of funds to municipalities		
(i) Consultant or consortium per Local Municipality: where required	<p>The CD:DP was adamant that the IDP as a management tool should be drafted by municipal staff themselves.³⁸ The funding model regime changed therefore, in that municipalities were encouraged to appoint IDP Managers to undertake the task.³⁹</p> <p>The Planning Implementation and Management Support System (PIMSS) concept was also supported as a resource to assist municipalities to draft the reviews of the IDPs from 2001/02 onwards.⁴⁰</p>	<p>Research Evaluation: In 2001, municipalities had to rely mostly on consultants to compile IDPs. The CD:DP did not have a choice but to assist municipalities financially, and funds were transferred for such purposes. Over the years municipalities did commence to take responsibility for drafting their IDPs. However in 2006, some municipalities were still not able to draft their own IDPs or a quality IDP, if done in-house.</p> <p>Recommendations: 1. Funding should not be transferred to municipalities for IDP drafting.</p>
(ii) 10 District Municipality: 1 x IDP Manager	<p>The District Municipality model was successful in its application.⁴¹ The CD:DP held the view that the District Municipalities should have an IDP Manager, and that a strong centre would be the future basis for the establishment of the Shared Services within a family of municipalities.⁴²</p>	<p>Research Evaluation: The Municipal Development Planning Capacity Building Model (DPCPM) was successful in all DMs, in that all DMs currently have an IDP Manager. A contributing factor is the attractive salary, and the location of the DM in a major city or town in the Province.</p> <p>Recommendations: 1. The province and DMs should ensure at all costs that an IDP manager is appointed in DMs.</p>
(iii) 51 Local Municipalities: 1 x IDP	The general lack of skills in South Africa, including lack of	Research Evaluation:

³⁸ Brooks, F.R., 2007.

³⁹ Brooks, F.R., 2007.

⁴⁰ Research File, Presentation, Directorate Development Planning, Inland Region, "Aim of Directorate", circa 2001, slide 6.

⁴¹ Brooks, F.R., 2007.

⁴² Brooks, F.R., 2007.

Manager	IDP Managers in Local Municipalities led to the introduction of the Shared Service concept in 2005 in KZN. ⁴³	The Shared Service concept will combine scarce resources in a DM and ensure that municipalities could fulfil their IDP responsibilities. Recommendations: 1. The aim to implement the concept in 2007/08 should be achieved at all costs to avoid further capacity challenges in least capacitated municipalities.
Action Plan 3.1: Drafting IDP guidelines		
(i) IDP guideline: x 1	The 2004 Guidelines were not reviewed by December 2006, as they were still applicable for the drafting and/or review of IDPs. ⁴⁴	Research Evaluation: By the end of 2006, the document still had value and could serve to inform stakeholders on the IDP process. Recommendations: 1. To keep up with changes in the IDP contents and process, the document should be reviewed.
Action Plan 3.2: Departmental and para-statal training		
(i) Department and para-statals training: 1x session	By 2005/06, however, there was still a general lack of alignment between Departments and municipalities and the DLGTA had to call for special sessions to make Departments aware of the IDP process. ⁴⁵	Research Evaluation: The training sessions assisted with IDP awareness and emphasises the need for Departments participating in the IDPs process. Recommendations: 1. The approach where Departments are invited to smaller meetings on IDP is recommended for the future, and that the mass training session be avoided from 2007 onwards. 2. The DLGTA should continue to encourage Departments to identify mandated IDP champions in Departments on

⁴³ Research File, Minutes Provincial Shared Services Steering Committee, 9 October 2006:2.

⁴⁴ Viljoen, W., 2007.

⁴⁵ Research File, Agenda institutionalising IDP process in Sector Departments, 22 September 2006, is an example of such sessions.

		various functional levels.
(ii) - Departmental and para-statal: x 3 sessions - Departments on an individual basis: x 2 sessions	By 2005/06, however, there was still a general lack of alignment between Departments and municipalities, and the DLGTA had to call for special sessions to make Departments aware of the IDP process. ⁴⁶	Research Evaluation: The special session had its value and assisted with alignment. Recommendations: 1. The DLGTA should continue with special training sessions to accommodate staff changes.
Action Plan 3.3: Provincial and municipal planning forums		
(i) - Provincial Multi-Sectoral Forum: x 1 - Secretariat: x 1	The Provincial Multi-Sectoral IDP Forum role and function should be reviewed in future, once a provincial planning Inter-governmental (IGR) IDP Forum is considered. ⁴⁷	Research Evaluation: The Provincial Multi-Sectoral IDP Forum played a major role from 2001 to 2004, to guide the IDP process in the Province. The Decentralised Forums, however, needs co-ordination and combined decision making opportunities. Recommendations: 1. The Forum could be reconstituted as part of the Premiers Co-ordinating Forums IGR Technical Forums.
(ii) - Functioning District Municipality alignment structures	For example, the Amajuba District Municipality changed the format and agenda of Municipal Service Providers Forums (SPFs), by giving Departments allocated time-slots which save the time of Departmental staff. ⁴⁸ Departments resolved mainly to attend SPFs at a District Municipal and not Local Municipal level, and make available information to District Municipalities for all municipalities in the DM area. ⁴⁹	Research Evaluation: SPFs are crucial alignment instruments between Departments and municipalities, and played a major role in aligning budgets. Recommendations: 1. The SPFs should be given more status by linking them to a municipal planning structure into the Intergovernmental Relations Framework Act.
(iii) -Provincial District wide Growth and Development Summits Support Team:	With the Summits and IDP Engagements in the making by the end of 2006, the future of the	Research Evaluation: The Provincial Support Team ensured the success of the

⁴⁶ Research File, Agenda institutionalising IDP process in Sector Departments, 22 September 2006, is an example of such sessions.

⁴⁷ DLGTA, Chief Directorate: Development Planning: Management, Measurement and Monitoring tool, 2007/08 Financial Year.

⁴⁸ Scholtz, I., 2007.

⁴⁹ Brooks, F.R., 2007.

<p>x 1 - Provincial - District Municipality preparatory meetings: x 10</p>	<p>Provincial Support Team could only be considered in the next year.⁵⁰</p>	<p>arrangement made for the District wide Growth and Development Summits and IDP Engagements in 2006/07.</p> <p>Recommendations: 1. The Provincial Support Team arrangement should stay in place to further ensure the implementation of the District wide Growth and Development Summits and IDP Engagement process in future.</p>
<p>(iv) Functioning Municipal Managers meetings: x 1 per Region per quarter</p>	<p>The usefulness of the discussions at the meetings prompted the DLGTA to schedule meetings for 2007.⁵¹</p>	<p>Research Evaluation: The Municipal Managers meetings are a useful co-ordination mechanism between the Province and municipalities.</p> <p>Recommendations: 1. The meeting should continue until a forum in accordance with the Intergovernmental Relations Framework Act could be established.</p>
<p>(v) Functional Planning Implementation Management Support System Forum (PIMSS): x 1</p>	<p>The KZN District Municipality wide Shared Services would absorb PIMSS functions and some of the staff.⁵²Lessons learnt from the PIMSS model would be incorporated into the Shared Services concept.⁵³</p>	<p>Research Evaluation: The Provincial Shared Service concept Forum which has been established in 2006, will serve as a co-ordination instrument and think-tank for provincial and municipal staff.</p> <p>Recommendations: 1. The Shared Service concept Forum should be formalised with a Terms of Reference and full time secretariat.</p>

Source:

- (1) Key Performance Indicators (KPIs): “Key Performance Indicators”: see sources listed for Table 8.2 to 8.12 in Chapter 8, Section 8.3.1.4 Chief Directorate: Development Planning: Internal preparations through Strategy One.
- (2) Review: The references for this column are captured in the footnotes to avoid a too long list of sources under the Matrix itself.
- (3) The Research Evaluation and Recommendations are those of the researcher, and are new additions to the existing body of academic knowledge.

⁵⁰ Brooks, F.R., 2007.

⁵¹ Brooks, F.R., 2007.

⁵² Research File, Discussion document on Development Planning Shared Services, [s.a.]:2.

⁵³ Brooks, F.R., 2007.

9.4 CONCLUSIONS

The following conclusions are made with regards to the Control Phase of the strategic management of municipal integrated development planning, 2000 to 2006:

9.4.1 Control: Step 9: Monitoring

9.4.1.1 The Monitoring Matrix, 2000 - 2006, reflected in Section 9.3.1.2 and Table 9.2, links the Key Performance Indicators (KPIs) per Action Plan, Means of Verification and target (or completion) dates of Actions Plans. The Matrix is a specifically designed as a monitoring schedule, to measure performance with the integrated development programmes and project implementation. The Matrix focuses mainly on the performance standards in relation to the Action Plans identified in Chapter Seven.

9.4.1.2 The Department of Traditional and Local Government (DTLGA) and Local Government and Traditional Affairs (DLGTA) ensured that monitoring mechanisms were placed to monitor that Departmental boundaries, and staff resources were allocated and aligned to support municipalities, IDP Guidelines drafted and reviewed to assist Municipalities and Departments, comprehensive training programmes were undertaken for Departments and Municipalities, funding transferred to municipalities for IDP purposes and that inter-governmental forums were established and participated in for various reasons, including consultation and alignment of budgets and other activities.

9.4.2 Control: Step 10: Evaluation and Step 11: Review

9.4.2.1 The Evaluation and Review Matrix, 2000 to 2006, set out in Section 9.3.2.2 or Table 9.3, highlights the steps taken by the Chief Directorate: Development Planning to evaluate and review its actions, in relation to the planning and monitoring activities of the strategies and related objectives, which are reflected in a matrix format.

9.4.2.2 The Evaluation and Review Matrix, 2000 to 2006, confirms that the Department of Traditional and Local Government (DTLGA) and Local Government and Traditional Affairs (DLGTA) that the Departmental boundaries and staff resources were allocated and aligned to support municipalities, IDP Guidelines drafted and reviewed to assist Municipalities and Departments, comprehensive training programmes were undertaken for Departments and Municipalities, funding transferred to municipalities for IDP purposes and that inter-governmental forums were established and participated in for various reasons, including consultation and alignment of budgets and other activities.

9.4.3 Strategic Management Model Presentation Format

As demonstrated through the Monitoring Matrix, 2000 to 2006 and Evaluation and Review Matrix, 2000 to 2006, the strategic management information pertaining to the Control Phase (Step 9: Monitoring, Step 10: Evaluation and Step 11: Review) of the strategic management of municipal integrated development planning could be presented in a matrix or tabular format.

9.5 MEANING OF CHAPTER

The Control Phase of the strategic management of municipal integrated development planning could be presented in a matrix or tabular format. In this manner, Chapters Seven, Eight and Nine are linked to highlight the flexibility of the Model. Each of the three steps of the Control Phase - of the strategic management of municipal integrated development planning is evaluated, followed by recommendations. The final foundation was laid for Chapter Ten, where the evaluation and conclusions made at the end of the previous chapters are applied, to inform the validation of the hypotheses.

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PART E: LESSONS, RECOMMENDATIONS AND THE WAY FORWARD

CHAPTER 10

RECOMMENDATIONS ON AND LESSONS FROM THE STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING IN KWAZULU-NATAL FROM 1994 TO 2006 AND THE WAY FORWARD

“Contrary to what politicians believe, laws are not surgical instruments that deliver exact results. To remake society and excise the bad while leaving the good, is not a simple matter of a firm, unhesitating hand on the legislative scalpel. It is more like trying to do an appendectomy with an axe. Laws are blunt instruments and leave a lot of unintended collateral damage ...”¹

- W. Saunderson-Meyer, Editor, The Witness.

10.1 INTRODUCTION

In this chapter the evaluations and conclusions made at the end of the previous chapters are applied to inform the validation of the hypotheses. The Chapter also deals with the lessons learnt from the strategic management of integrated development planning in KwaZulu-Natal from 2000 to 2006. The advancement of international theoretical thought on strategic management is also addressed. A consolidated suite of recommendations are made. The chapter ends with the way forward for KZN.

10.2 FOUR HYPOTHESES

As postulated in Chapter Two the following four hypotheses informed the study:

- 10.2.1 The KwaZulu-Natal Provincial Government’s execution of the strategic management of integrated development planning in KZN to advance development in KZN was successful;
- 10.2.2 The KwaZulu-Natal Provincial Government successfully undertook an initiative to improve alignment and capacitating of Provincial Departments and Local Government for them to be able to undertake integrated development planning in a sustainable manner;
- 10.2.3 The proposed Strategic Management Model for the management of integrated development planning set out in the study is a handy tool as it could be presented in a narrative format and/or in a matrix or table format,

¹ Saunderson-Meyer, 2006.

depending on the particular situation or management preferences; and

10.2.4 The application of the Model in KZN confirms issues and trends highlighted in the literature review of the strategic management of integrated development planning.

10.3 VALIDATION OF HYPOTHESES AND LESSONS LEARNT

10.3.1 Hypothesis One

The KwaZulu-Natal Provincial Government's execution of the strategic management of integrated development planning in KZN to advance development in KZN was successful. The validation of the hypothesis and lessons learnt follow hereunder.

The lessons learnt are categorised in two parts, namely lessons learnt based on activities undertaken during the PGDS and municipal integrated development planning process, and activities which were not undertaken and observed during research. Where the validation and lessons learnt are based on activities undertaken, is referenced by referring to the relevant chapters. Research observations will be discussed without any specific reference to preceding chapters.

10.3.1.1 Strategic Planning Phase

(A) Provincial Growth and Development Strategy Validation

Chapter Four, Section 4.3.1.2 highlights that the KwaZulu-Natal Provincial Government embarked on a strategic planning initiative to formulate the PGDS during 1994 to 1996. The six steps of the planning phase of the Model were adhered to during the plan drafting phase. Importantly, the management structure to undertake the plan formulation phase was established to manage the process. Thereafter, consultation structures were installed, comprehensive consultation took place and the Provincial Plan or Strategy was adopted with the support of the major stakeholders from government, labour and private sector or business.

Section 4.3.4.1(B)(ii) of Chapter Four indicates that already during the plan making process, not all Departments were participating fully in the process and/or did not make the necessary information available to the Provincial Development Planning Management Committee (PDPMC) for it to inform the plan formulation process. This situation impacted, causing that already during the planning phase of the Strategy, full alignment did not take place hampering the planning process of the PGDS.

According to Section 4.3.1.3(A), even where Departments were present at the PDPMC meeting, decisions were not reported to Departmental management. In turn, the aforementioned led to the conclusion that the PGDS formulation

process was not fully operational, in view of the absence and/or non-participation of major Departments during the plan formulation phase.

(B) Provincial Growth and Development Strategy Lessons Learnt

A lesson learnt from Section 4.3.1.2(C)(ii) of Chapter 4 on the PGDS Planning Phase is that management committee consisting of key stakeholders and decision makers in Provincial Government should be appointed to manage the plan formulation process.

Another lesson derived from Chapter Four is that notwithstanding the absence of key Departments, is that the plan formulation process should continue for a strategy to be formulated, and put in place to guide other participating stake holders and address development challenges.

(C) Municipal Integrated Development Planning Validation

The Provincial Government initiated the process to develop a plan or strategy for integrated development planning in KZN. As indicated in Chapter Seven, Section 7.3.1.2, the major tool in this undertaking was the IDP Management Plan. Furthermore, steps were taken to successfully establish and maintain institutional structures such as the Chief Directorate Development Planning Management Committee and IDP Management Committee/Steering Committee to manage the integrated development planning process.

(D) Municipal Integrated Development Planning Lessons Learnt

The lessons learnt from Chapter Seven on the municipal integrated development Planning Phase are the following, namely that:

- (i) Management structures be established and mandated to manage the planning of plans or strategies, based on Section 7.31.2; and
- (ii) Based on Section 7.3.1.2(B), a written agreement or plan, such as the IDP Management Plan, clarifies the strategic planning process, roles and responsibilities and important milestones to be achieved in advance for stakeholders.

10.3.1.2 Implementation Phase

(A) Provincial Growth and Development Strategy Validation

Section 5.3.1.3 of Chapter Five indicated that in the case of the Provincial Growth and Development Strategy (PGDS) it is evident that not all Departments practically supported the Strategy's implementation. The PGDS implementation structures were in place and a PGDS Implementation Framework developed for plan implementation. The PGDS structures never included the Regional Councils, contributing to Departmental projects to be

implemented in Regional Council areas without the knowledge of the municipal council and or community, according to Section 5.3.2.4(B)(ii). Well structured inter-governmental structures were absent and the reliance on goodwill for alignment proved to be difficult.

(B) Provincial Growth and Development Strategy Lessons Learnt

The lessons learnt from the PGDS Implementation Phase set out in Chapter Five are the following, namely that:

- (i) Dedicated implementation management structures must be established, prior to the implementation process [Section 5.3.12];
- (ii) The PGDS Implementation Framework or planning for plan implementation matrix was a useful tool to indicate in which direction implementation should be directed [Section 5.3.1.2(E)]; and
- (iii) The lack of inter-governmental structures hampered alignment between the PGDS, Provincial Departments and Municipalities [Section 5.3.1.2(E)].
- (iv) Despite the lack of some Departments and/or their staff not participating in the PGDS implementation, implementation should continue without those as the whole Plan or Strategy could not be put on hold for a few as the majority are awaiting implementation [Section 5.3.1.5];

(C) Municipal Integrated Development Planning Validation

Chapter Eight, Section 8.3.1.3(A) to 8.3.1.4(A) focuses on the development of three strategies with objectives to implement municipal integrated development planning provincial wide. The planning for plan implementation is reflected in Action Plans linked to responsible persons/and structures to effect implementation.

(D) Municipal Integrated Development Planning Lessons Learnt

The lessons learnt from Chapter Eight dealing with the municipal integrated development planning Implementation Phase are the following, namely that:

- (i) Implementation structures need to be developed to implement the action plans [Section 8.3.1.3(B)]; and
- (ii) Clear objectives linked to strategies would enhance implementation of action plans [Section 8.3.1.5(A)].

10.3.1.3 Control Phase

(A) Provincial Growth and Development Strategy Validation

In Chapter Six, Section 6.3.3.(C) gives attention to the Control Phase, with the emphasis on the review debate within the PGDS structures. The PGDS Programme Manager monitored and evaluated the activities of the PGDS structures in an outstanding fashion. However, the major draw back of the PGDS was the absence of an integrated, coherent and fully functional Organisational Performance Management System (OPMS) Nationally, Provincially (i.e. in KZN) and locally (i.e. in all KZN Municipalities), which made it impossible to control performance by Provincial Departments and Municipalities.

(B) Provincial Growth and Development Strategy Lessons Learnt

The lesson learnt from Section 6.3.3.2 (C)(h) of the PGDS Control Phase highlighted in Chapter Six is that a coherent OPMS should be developed to monitor provincially, with the emphasis on any future PGDS implementation activities.

(C) Municipal Integrated Development Planning Validation

In Chapter Nine, Section 9.2 focuses on the three steps of the Control Phase. The identification of Key Performance Indicators (KPIs) assisted the Provincial Government to execute its control function. However, again the lack of a functional Organisational Performance Management System (OPMS) provincially (i.e. in KZN) and locally (i.e. in all KZN Municipalities) made it extremely difficult to manage performance.

Table 9.2 in Section 9.3.2.2, Action Plan 3.3 in Chapter Nine, indicates that, amongst all the control activities, the IDP assessments from 2002 to 2006 were very pertinent. The body of knowledge gathered during the IDP assessments is extremely valuable to improve the quality of plans and to identify priority areas. However, the assessment results would become useless information if Departments and municipalities did not act on it on an ongoing basis. The assessments have already indicated that issues are recurring from year to year without any action or alignment by some of the responsible institutions, namely Provincial Departments and Municipalities reflected in Section 9.3.2.2, Table 9.2, Action Plan 3.2.

(D) Municipal Integrated Development Planning Lessons Learnt

The lessons learnt from Chapter Nine on the municipal integrated development planning Control Phase are the following, namely that:

- (i) Control measures were put in place to undertake the three control steps [Table 9.1 to 9.2: Key Performance Indicators]; and

- (ii) The absence of a comprehensive OPMS linking the Province and Municipalities hampered Control Phase activities [Table 9.2, Action Plan 2.2(iii)].

Another lesson learnt is that IDP assessments as a strategic management activity could improve the strategic management of integrated development planning province wide if all stakeholders participate, and assessment results are implemented as they are identified.

10.3.1.4 Conclusion

The Provincial Government was successful in the formulation of the PGDS. However, the PGDS implementation was less successful, because not all Provincial Departments participated in the implementation process. The least success was achieved with the control phase as no Organisational Performance Management System (OPMS) was developed and the review phase of the PGDS was never concluded.

The Provincial Government prepared a comprehensive plan with strategies and objectives for the strategic management of municipal integrated development planning. The plan was subsequently implemented and control measures applied. However, the success of the program was hampered because no provincial wide OPMS was developed and a lack of Departmental participation in IDP processes existed. Overall, it is therefore concluded that the strategic management of integrated development planning in KZN was only partially successful.

10.3.2 Hypothesis Two

The KwaZulu-Natal Provincial Government successfully undertook an initiative to improve alignment and capacitating of Provincial Departments and Local Government, for them to be able to undertake integrated development planning in a sustainable manner. The validation of the hypothesis follows hereunder.

10.3.2.1 Strategic Planning Phase

(A) Provincial Growth and Development Strategy Validation

Section 4.3.1.2 in Chapter Four refers to the establishment of a management structure to manage the PGDS formulation. The Provincial Development Planning Management Committee capacitated its members with the concept of development planning during the phases of the planning process. The stakeholders were also capacitated during the plan formulation phase on development planning, which made them interested in and “aligned” with the PGDS itself.

(B) Provincial Growth and Development Strategy Lessons Learnt

The lessons learnt from the PGDS Planning Phase based on Chapter Four are the following, namely that:

- (i) Capacitating does not necessarily involve formal training sessions;
- (ii) In the PGDS planning phase capacitating was an informal process, which made stakeholders aware of the Strategy and its intentions.

(C) Municipal Integrated Development Planning Validation

Chapter Seven, Section 7.3.2(B) indicated that from 2000 to 2006, the strategy or plan of the Department of Traditional and Local Government Affairs (DTLGA) and Department of Local Government and Traditional Affairs (DLGTA) was to ensure that Municipalities received direct staff support, by giving planning assistance to mainly the District level. The DTLGA/DLGTA strategy was that its Departmental boundaries and budgets were aligned to Municipalities to ensure appropriate support and co-ordination of planning activities.

Despite the DLGTA efforts, by 2006 not all other Departments had aligned their staff structures, training programmes, budgets and boundaries with Municipalities, according to Section 7.3.3.2, paragraph 3, of Chapter Seven. This severely hampered the operationalisation of province wide strategic management of integrated development planning.

(D) Municipal Integrated Development Planning Lessons Learnt

The lessons learnt from the municipal integrated development planning, Planning Phase discussed in Section 7.3.3.2, paragraph 2, of Chapter Seven are the following, namely that:

- (i) Alignment is a multi-pronged approach including aspects such as staff structures, boundaries, training programmes and budgets [Section 7.3.3.2, paragraph 2];
- (ii) Lack of alignment of needs to be addressed in the planning phase to ensure maximum impact during implementation [Section 7.3.3.2(A) and (B)];
- (iii) Despite a dedicated effort, by 2006, future alignment still needs to be effected by many KZN Provincial Departments [Section 7.3.3.2].

10.3.2.2 Implementation Phase

(A) Provincial Growth and Development Strategy Validation

Chapter Five, Section 5.3 deals with the Implementation Phase of the PGDS. This phase was the ideal situation to capacitate stakeholders to participate and align themselves with the Strategy. The PGDS structures such as the Task Team, Extended Task Team and Workgroups were the ideal breeding ground for such an initiative.

The results of the capacitating were not always negative, and many factors determined the lack of success thereof. Section 5.3.2.3 of Chapter Five emphasised that the Task Team also did what it could to make the Provincial Cabinet and Management Executive Committee (MEXCO) aware of the need for participation in the strategic management of integrated development planning, for the benefit of the Provincial populace.

(B) Provincial Growth and Development Strategy Lessons Learnt

A lesson learnt for the PGDS Implementation Phase based on Section 5.3.2.3 of Chapter Five is the following, namely that the PGDS Task Team did what it could with limited resources to make stakeholders within provincial Government aware of the need to align themselves with the Strategy's implementation.

(C) Municipal Integrated Development Planning Validation

Table 8.13 in Section 8.3.2.1 of Chapter Eight highlighted that Provincial Government implemented the plan and strategies to achieve alignment in the field of municipal integrated development planning. The activities such as training, funding and forum establishment were "actioned into action", based on pre-determined implementation steps/processes on an ongoing basis.

(D) Municipal Integrated Development Planning Lessons Learnt

The Chapter Eight lesson, based on Table 8.1, learnt from the municipal integrated development planning, Implementation Phase is the following, namely that when actions are planned they should be implemented by determining in a logical order the respective implementation steps or processes.

10.3.2.3 Control phase

(A) Provincial Growth and Development Strategy Validation

A main focus of Chapter Six is on the review debate. In Section 6.3.3.2 the pertinent aspects of the PGDS raised during the event were also a platform

for the advancement of the PGDS through raising alignment issues. The steam of the PGDS ran out in 2000 in view of the review debate outside the 1996 PGDS structures.

(B) Provincial Growth and Development Strategy Lessons Learnt

The Chapter Six, Section 6.3.3.2(C)(iii)(b) - (c), lesson learnt for the PGDS Control Phase is the following, namely that unless stakeholders are constantly reminded to align themselves with the PGDS process, such alignment might not take place, or would take place at the wrong time.

(C) Municipal Integrated Development Planning Validation

Chapter Nine, Section 9.3.2.1, demonstrated that the Provincial Government was constantly fulfilling its control functions in the areas identified for strengthening alignment on a provincial basis, including training [Table 9.2, Action Plan 2.2], funding [Table 9.2, Action Plan 2.4] and establishment of inter-governmental forums [Table 9.2, Action Plan 3.3]. The Provincial Control efforts caused a shift in emphasis in certain areas highlighted in Section 9.3.2.2, such as the decentralisation of the IDP Forum assessment activities [Table 9.3, Action Plan 3.3(i)] and the introduction of the Shared Services concept [Table 9.3, Action Plan 2.2(ii)].

(D) Municipal Integrated Development Planning Lessons Learnt

The Chapter Nine, Section 9.3.2.2, lesson learnt from the municipal integrated development planning, control phase is the following, namely that the Provincial Government should constantly control its integrated development planning alignment functions to determine the status quo to make the necessary changes as set demonstrated in the Evaluation and Review columns in Table 9.3.

10.3.2.4 Conclusion

During the formulation, implementation and control of the PGDS no formal capacitation of provincial staff involved was undertaken. Hence not all Departmental staff was aware of the urgency to built capacity within their respective Departments to understand the PGDS process and the need to participate fully in the PGDS during all its phases.

During the municipal integrated development planning process substantial resources was allocated to capacitate municipalities to be able to draft their own IDPs and to align with other municipalities and Departments. This did not always occur as planned or envisaged. Eventually, the capacity building model whereby each municipality would have an IDP manager would have to be changed to the Shared Service Concept. This is an acknowledgement that the original plan did not always worked. Therefore, the initiative to improve alignment and capacitating of Provincial Departments and Municipalities were partially successful.

10.3.3 Hypothesis Three

The proposed Strategic Management Model for the management of integrated development planning (the Model) set out in the study is a handy tool as it could be presented in a narrative format, and/or in a matrix or table format, depending on the particular situation or management preferences. The validation of the hypothesis follows hereunder.

10.3.3.1 Strategic Planning Phase

(A) Provincial Growth and Development Strategy Validation

The manner in which the six steps of the PGDS strategic planning phase was presented in Section 4.3 of Chapter Four, is indicative that the information relevant to the PGDS planning phase required by the Model could be presented in a narrative format.

(B) Provincial Growth and Development Strategy Lessons Learnt

The lessons learnt for the PGDS Planning Phase described in Chapter Four, Section 4.3, are the following, namely that:

- (i) The narrative format of presenting the information allows for more information to be contained in the study;
- (ii) The narrative format makes it possible for a more comprehensive understanding of the planning phase of the PGDS versus a matrix format; and
- (iii) The narrative format separates artificially the three strategic planning phases as each phase is described separately, which for example, excludes to a large extent raising the PMS during the planning stage.

(C) Municipal Integrated Development Planning Validation

The strategic management information of the Planning Phase of municipal integrated development planning contained in Chapter Seven, Section 7.2 to 7.3, which is in accordance with the Strategic Management Model, could be presented in a narrative format.

(D) Municipal Integrated Development Planning Lessons Learnt

A Chapter Seven, Section 7.2 to 7.3, lesson learnt from the municipal integrated development planning, Planning Phase is the following, namely that the narrative format of Chapter Seven sets the scene for the introduction of the matrix or tabular presentation of the subsequent information in Chapter Eight and Nine.

10.3.3.2 Implementation Phase

(A) Provincial Growth and Development Strategy Validation

The way in which the two steps of the PGDS Plan Implementation Phase were presented in Chapter Five, Section 5.3.1 and 5.3.2 is an indication that the information relevant to the PGDS of this phase required by the Model could be presented in a narrative format.

(B) Provincial Growth and Development Strategy Lessons Learnt

The lessons learnt for the PGDS implementation phase highlighted in Chapter Five, Section 5.3, are the following, namely that:

- (i) The narrative format of presenting the information allows for more information to be contained on the planning of plan implementation phase of the Model [Section 5.3.1 and 5.3.2]; and
- (ii) The narrative format makes it possible for a more comprehensive understanding of the planning of plan implementation phase of the PGDS versus a matrix format [Section 5.3.1 and 5.3.2].

(C) Municipal Integrated Development Planning Validation

The municipal strategic integrated development information of the Model related to the two implementation steps could be presented in a matrix or tabular format as demonstrated in Chapter Eight, Section 8.3.1 and 8.3.2. The need, however, exists to have a gradual transition from the narrative, from the beginning of the chapter until the Implementation Matrix, 2000 - 2006, in Table 8.13 is presented.

(D) Municipal Integrated Development Planning Lessons Learnt

The lessons learnt from Section 8.3.1 of Chapter Eight, the municipal integrated development planning Implementation Phase are the following, namely that:

- (i) A gradual transition from strictly narrative to a matrix format is required to obtain the maximum effect [Section 8.3.1 and 8.3.2];
- (ii) It is necessary to explain why and where the narrative format translated into a matrix format to avoid confusion [Table 8.1]; and
- (iii) The scene should be set in Chapter Eight to prepare the reader that Chapter Nine would be only a matrix format [Section 8.3.2, Table 8.13:].

10.3.3.3 Control Phase

(A) Provincial Growth and Development Strategy Validation

The manner in which the three steps of the PGDS Control Phase were presented in Section 6.2 of Chapter Six is a clear indication that the information pertaining to the PGDS control phase as required by the Model could be presented in a narrative format.

(B) Provincial Growth and Development Strategy Lessons Learnt

Chapter Six, Section 6.3, lessons learnt on the PGDS Control Phase are the following, namely that:

- (i) The narrative format of presenting the information allows for more information to be contained on the control phase of the Model [Section 6.3.1, 6.3.2.4 and 6.3.3.2]; and
- (ii) The narrative format could create the opportunity for too lengthy explanations, whilst a matrix format should restrict the amount of information required to explain a certain aspect of the Control Phase [Section 6.3.1, 6.3.2.4 and 6.3.3.2].

(C) Municipal Integrated Development Planning Validation

The Monitoring Matrix, 2000 - 2006, and Evaluation and Review Matrix, 2000 - 2006 related to the Control Phase of the Municipal Integrated Development Planning of the Model set out in Chapter Nine, Section 9.3.1.2, Table 9.2 and Section 9.3.2.2, Table 9.3 respectively, demonstrates that the information could be presented in a matrix format.

(D) Municipal Integrated Development Planning Validation Lessons Learnt

Chapter Nine, Section 9.3.1.2 and 9.3.2.2 lessons learnt from the municipal integrated development planning Control Phase are the following, namely that:

- (i) The intention, format and contents of the Monitoring Matrix should be unambiguous in design [Section, 9.3.1.2, Table 9.2];
- (ii) At the end of Chapter Nine the link between the narrative in Chapter Seven, the transition from the narrative to the matrix in Chapter Eight and the full application of the matrix in Chapter Nine be clearly explained, to ensure that the reader follows the pertinent arguments through-out the strategic management chapters related to municipal strategic planning [Chapters Seven to Nine].

10.3.3.4 Conclusion

The Strategic Management Model is a very helpful tool in that it was applied to determine in what manner did the KZN Provincial Government undertake the strategic management of provincial and municipal integrated development planning. The Strategic Management Model revealed that in both cases the accepted strategic management approach was followed and that the Model was flexible enough to be used on a provincial and municipal, level without difficulty by either using a descriptive or a tabular or matrix format.

10.3.4 Hypothesis Four

10.3.4.1 Approach

The application of the Model in KZN confirms issues and trends highlighted in the literature review of the strategic management of integrated development planning.

The validation of this hypothesis follows more or less the headings in Chapter Two and not within the framework followed for Hypothesis One to Three. The value of this approach is that the information could be presented and compared with the framework of Chapter Two and that the differences between the PGDS and municipal strategic management chapters could be compared within the framework of Chapter Two.

The validation of the hypothesis follows hereunder.

10.3.4.2 Validation per selected headings contained in Chapter Two

(A) Chapter Two: Section 2.2.1: Origin and Need for Strategic Planning

The post 1994-election political, administrative and planning requirements in KZN sought refuge in strategic management to relate to the Province's external environment for survival, formulating strategies and ultimately achieving strategic developmental objectives and projects. The KZN approach corresponds with the trend in developed and developing countries from the eighties onwards, which recognised the need for strategic planning within a globalised international environment.

As a result of the activities and changing relationships within the three spheres of government in KZN the various government structures and stakeholders require strategic planning to make sense of a complex situation. The complexity manifested in the establishment and re-establishment of partnerships and the formation and re-formation of networks. Strategic planning was the instrument seeking co-ordination between spheres of government and involved other partners in attempting to achieve the required strategic results during the PGDS formulation, implementation and control process.

The partnership and network formation between the Provincial Government and municipalities during the strategic management of the municipal integrated development planning process was complicated. The process had to lean on strategic planning to unravel strategic objectives, and determine the strategic way forward during the capacity building process of municipalities as developmental institutions.

(B) Chapter Two: Section 2.2.2 - 2.2.3: Relationship between Strategic Planning and Strategic Management and Clarification of Strategic Management

Strategic planning must be translated into strategic implementation and control, which is strategic management. In the case of the PGDS of 1996 and strategic management of the municipal integrated development planning programme, the three elements are clearly distinguished. This confirms that both initiatives were undertaken in such a manner that the three elements of the strategic management process were touched upon. In this manner both programmes confirmed that they were undertaken to satisfy the three key elements of the theory on strategic management.

(C) Chapter Two: Section 2.3.2: Overview of Development Approaches

In KZN, a mixture of the Basic Needs Approach (BNA), sustainable development and local economic development (LED) was applied as the approach to development in the PGDS. This is in line with international trends that moved away from the notion that economic development is the only measure of development. The PGDS confirmed that KZN was in line with the international views on development.

(D) Chapter Two: Section 2.3.3: The State and Integrated Development Planning

In KZN, the need for the application of integrated development planning stemmed from the extreme poverty and the high figure of those without jobs. This is an indication that the market is failing [Section 2.3.3.1(A)] and that the Provincial Government had to plan for the increase in resource allocation in the field of health, welfare and education through the PGDS, and by supporting municipalities in drafting IDPs to accommodate these concerns. The PGDS of 1996 was also a good political tool [(Section 2.3.3.2(D))] for securing stakeholder support for its initiatives, specifically during the PGDS formulation stage.

(E) Chapter Two: Section 2.4: A Phased Approach for the Strategic Management of Integrated Development Planning

In Section 2.4.1 the three phases of strategic management are discussed again, but in the context of presenting models for strategic management. In

Section 2.4.2 a model with 10 sub-steps was identified. One could view these sections as the transition from the theory to the practice of strategic management. The KZN Province learnt from this by applying a similar model during the PGDS programme and the strategic management of municipal integrated development planning. The application of the model is an indication that the KZN experience was in line with international trends and that it could be replicated in other parts of the world.

In Section 2.4.3.6(B) the question is asked: “What are Strategies?”, and Mintzberg answered by listing that they are plans, ploys, patterns, positions and perspectives. The research confirmed that in KZN a mixture of these were identified during the strategic management process. For example the PGDS was a plan developed for specific actions. In addition, the PGDS implementation specifically served as a perspective on how the collective minds of the KZN politicians and MEXCO functioned at that time.

The strategic management of municipal integrated development planning strategy was also designed to be a plan with deliberate intentions, which placed the DTLGA/DLGTA in a specific relational position with regard to the KZN Municipalities. This position was reviewed annually to place the Department in the best possible position in its environment, with the best possible strategies to create the best possible results.

Section 2.4.3.6(C) deals with the approaches toward strategic planning, namely the Classic, Procedural and Communicative Approach. The research revealed there was a move away from the classical to the procedural and communicative approach. The PGDS was not developed in isolation, but involved a range of stakeholders. Efforts were made in line with the procedural approach to build internal institutional capacity to formulate, implement and evaluate the PGDS. The communicative approach succeeded between the DTLGA/DLGTA and KZN Municipalities in building municipal capacity. Strategies were formulated whereby the needs of municipalities were taken into account and clarified in a communicative institutional environment.

Section 2.4.3.6 (D) informs that Strategy formulation in the Public Sector is different from that in the Private Sector. The research confirms this position as the PGDS and municipal strategic programme had to function within a specific institutional milieu with certain rules and regulations with the aim of adding value to the public in general. To a certain degree the requirement that strategies should be politically sustainable was demonstrated in that the PGDS was formulated and implemented, but not reviewed, which impacted on political sustainability. The municipal strategic management programme was politically supported, hence sustainable until 2006.

Section 2.4.3.9 Step 9 (B) deals with the development of effective strategy implementation processes and related institutional arrangements. The research highlighted the requirement for strong planning agencies within a

relational context of higher and lower orders seeking for the establishment of networks. The PGDS established more or less a hierarchical structure, and never succeeded in developing a fully fledged network during implementation, especially with the private sector.

The strategic management of municipal integrated development planning was based on a two-way relationship between the DTLGA/DLGTA and Municipalities, not requiring the input of outsiders. With the KZN Province the stronger one in the partnership, a hierarchical relationship will prevail for some time in the future.

Section 2.4.3.10, sub-section 2.4.3.10(C)(i) deals with sixty years of development plans assessment and evaluation internationally. The PGDS process in KZN built on that experience, in that an evaluation of the PGDS process identified similarities, for example the lack of political and technical will to implement and review the PGDS, lack of co-ordination between stakeholders during the process, lack of skilled staff to make the PGDS work, a problematic PGDS plan content, which were not focussed enough and lacked specific objectives, and the absence of public participation during the PGDS implementation phase.

(F) Chapter Two: Section 2.5: Management of Strategic Management

Section 2.5.3 confirmed that for strategic management, proper leadership and management is necessary as the process encounters many challenges (Section 2.5.4) notwithstanding the extreme value of public sector strategic management (Section 2.5.3). The research confirms that strategic management in the public sector promotes participation within the organisation, for example the management committees established for the PGDS (Chapter 5 and 6) and municipal strategic process (Chapter 7) and the impact the programmes had on the institutional structures such as the MEXCO and KZN Municipalities to start to function differently.

(G) Chapter Two: Section 2.6: A Generic Model for the Evaluation of Strategic Management of Integrated Development Planning

(i) Chapter Two: 2.6.1 Institutional Structures and Strategic Functions

As the second sphere or level of government, the KZN Provincial Government forms part of the standard international arrangement to have three levels of government. This arrangement is internationally a requirement within nation states to make strategic management possible. The question, however, is how strong the second layer should be to have an effective and positive impact on the surrounding national and local developmental environment.

(ii) Chapter Two: 2.6.2 Generic Strategic Management Process

The strategic management process distilled from the literature review for the purpose of the study is presented hereunder:

- **Phase 1: Planning Phase**
 - (1) Initiate and agree on strategic management process;
 - (2) Clarify organisational mandates;
 - (3) Identify strategic issues facing the organisation;
 - (4) Formulate vision and goals;
 - (5) Undertake SWOT analysis; and
 - (6) Formulate and adopt strategies to address strategic issues.

- **Phase 2: Implementation Phase**
 - (7) Planning of plan implementation; and
 - (8) Phased implementation.

- **Phase 3: Control Phase**
 - (9) Monitoring;
 - (10) Evaluation; and
 - (11) Review.

The process corresponds with the theory and practice of strategic management models and it was applied successfully in this study in both the PGDS and municipal integrated development programme. The application of the process in KZN is within the realm of international experience and confirms that strategic management is highly valued for the management of development programmes, such as these in KZN.

(H) Chapter Two: Section 2.7: Disadvantages of a Decentralised Government and Planning System

No capacity building programme was undertaken prior to or during the formulation of the 1996 PGDS. Those officials of the new order brought in applied principles and practices of integrated development planning during the formulation of the document. The old order officials were required to catch-up and capacitate themselves as the document or strategy was formulated. Organisational behavioural change was therefore extremely slow and difficult and in many cases did not take place.

During the PGDS implementation phase from 1996 to 2000 the familiar concept of project management ensured that officials were more at ease in the integrated development planning process - in essence a new concept for many. The capacity problem was experienced in the lack of sufficient skilled staff to undertake project management and implement projects related to the

PGDS. The prime example was the 4 lagging projects, as well as the other more than 20 projects identified in the PGDS and never implemented as part of the PGDS (See Section 5.3.1.3 (F) Implementation Framework).

The lack of knowledge of the PGDS by Provincial Cabinet and MEXCO only aggravated the capacity problem and made it difficult for the Strategy to be implemented. To an extent, the lack of the comprehensive implementation of the PGDS placed it in the category of plans drafted and not implemented as it should have been. The PGDS definitely does not fall in the category of a plan drafted, but not implemented, as has happened to many development plans internationally.

The PGDS control phase included an intense debate on various review aspects. This assisted with building institutional knowledge within the Provincial Government. This knowledge is captured in the study in Chapter Six and could be applied to finalise a reviewed PGDS for KZN in future. Of value to the capacitating is the notion that no PGDS should be formulated without the development of a Provincial Organisational Performance Management System to monitor progress with implementation.

The strategic management of municipal integrated development in KZN was in essence an intensive capacity building programme of the DTLGA/DLGTA and municipalities. The main aim of the programme was organisational behavioural change through training of individuals, to enable municipalities to formulate and adopt quality IDPs on an annual basis. The capacity building programme was in line with the international views and could be used as a best case study for the conducting of similar programmes in developing countries.

10.3.4.3 Conclusion

The KZN approach towards the strategic management of integrated development planning corresponds with the trend in developed and developing countries from the eighties onwards, which recognised the need for strategic planning within a globalised international environment. Strategic planning must be translated into strategic implementation and control, which is strategic management. In this manner both programmes, namely the PGDS and municipal integrated development planning, confirmed that they were undertaken to satisfy the three key elements of the theory on strategic management.

10.4 ADVANCEMENT OF INTERNATIONAL THEORETICAL THOUGHT ON STRATEGIC MANAGEMENT

10.4.1 Priority Areas

The research findings demonstrated that the theory of the strategic management of integrated development planning in KZN has been advanced in several priority areas and is discussed below under headings selected from Chapter Two.

10.4.2 Chapter Two: Section 2.2.1: Origin and Need for Strategic Planning

After the 1994 election, the KZN Provincial Government had to integrate fragmented and racially orientated institutional structures into a coherent system enabling the strategic management of integrated development planning on a provincial wide scale. Strategic planning enabled the organisation to organise itself internally to be in a position to interact with its surrounding environment to survive amidst globalisation and meet developmental objectives in the province related to primarily the Basic Needs Approach (BNA) approach.

The three spheres of government operated in KZN and at each level, strategic planning was required to execute developmental mandates resulting in KZN in the PGDS and municipal integrated development planning program. These initiatives mirrored the view of Healy² in 2000 that strategic spatial planning emerged as necessary to co-ordinate public policy in specific localities, improve access to opportunities for groups in specific geographic locations and obtain resources from higher levels of government.

These initiatives should take place within the context of a view confirmed by Mulikita³ that a national planning mechanism is required to avoid chaotic and haphazard implementation of national policies. The formulation of the National Strategic Vision /National Growth and Development Strategy (NSV/ NGDS) under the auspices of the Forum for Effective Planning and Development (FEPD) was a move into such direction.

10.4.3 Chapter Two: Section 2.2.2 - 2.2.3: Relationship between Strategic Planning and Strategic Management and Clarification of Strategic Management

The three distinct phases of strategic management were present during the PGDS and municipal integrated development planning program. The literature review almost expected that each phase with its related steps were to receive equal treatment from managers. However, in both cases the observation was made that the attention given to each phase was not equal.

The planning phase received substantial attention whilst the implementation phase was considered to be important to draw upon required resources. The control phase received the least attention as no formal provincial Organisational Performance Management System (OPMS) was developed and implemented. The measuring of objectives is only possible with a sound OPMS. The successes of the PGDS for the period 1996 to 2000 was never measured properly, and theorists and practitioners have to caution that all three phases of the strategic management process have to receive equal attention for ensuring successful outcomes.

² Healey, P., 2004:45.

³ Mulikita: [s.a]:1.

10.4.4 Chapter Two: Section 2.3.2: Overview of Development Approaches

The underlying principles of the PGDS and municipal integrated development planning program was a mixture of the Basic Needs Approach (BNA) and sustainable development incorporating LED approaches. Informed by these national policies, the development path in KZN for the time being would follow the lines of the combined development arguments. By applying the case of KZN the literature review could be strengthened by incorporating this mixed approach as the literature review reveals a clear distinction of development approaches whilst that was not the case in KZN.

10.4.5 Chapter Two: Section 2.3.3: The State and Integrated Development Planning

A fundamental principle for the success of any provincial planning initiative is political support. The research confirmed that such support should be secured prior to any planning programs being launched. The literature should be expanded by referring to techniques or best case studies on how to ensure ongoing political support for planning programs stretching over many years. In addition, the literature should continue to inform how politicians and planners should act after elections or change in government and policies effecting existing programs, such as the PGDS, to ensure the program's survival in a changing environment.

10.4.6 Chapter Two: Section 2.4: A Phased Approach for the Strategic Management of Integrated Development Planning

By carefully analysing the phases of strategic management conclusions should be made regarding the attention each phase should receive during the process thereby ensuring that sufficient funding and administration support are provided, where necessary. Theorists should link these aspects to the planning process to make sure that practitioners give attention to crucial success factors once a program is launched.

Currently the communicative approach resulting in networks is favoured in strategy formulation and the PGDS and municipal integrated development planning program took that into consideration. In the case of the PGDS a major flaw was not to involve the private sector in plan implementation. The international literature should emphasise again and again the importance of such undertaking as the private sector is critical for the success of plans.

10.4.7 Chapter Two: Section 2.5: Management of Strategic Management

The literature in this case focuses on the value or advantages of strategic management. A list of disadvantages or pitfalls could be of value to assist with the improvement of strategic management on a provincial level. Without the frequent monitoring of the implementation of the strategic plan, managers and staff would tend to forget their own targets. A uniform monitoring system is crucial to enable the monitoring of progress made by different components in a unit.

A major threat to successful strategic management is the lack of resources to support the process. The sudden change in priorities could upset the strategic plan and could lead to an adjustment or full scale review that could lead in missing targets. Strategic planning should take place as early as possible to ensure that the plan is relevant. Avoid having too many objectives and targets - be strategic and focussed in this regard.

10.4.8 Chapter Two: Section 2.6: A Generic Model for the Evaluation of Strategic Management of Integrated Development Planning

10.4.8.1 Chapter Two:Section 2.6.1 Institutional Structures and Strategic Functions

Generally the literature refers to the levels of government in states and that strategic management is following a hierarchical pattern whereby the higher structure informs the activities of the lower structures. In South Africa the spheres of government are attempting to move away from the hierarchical organisational and planning system, although not always successfully. The case of South Africa needs to be explored in an effort to understand that a mixture of “hierarchical and spheric” elements exists and that network formation is crucial to make strategic management works between national, provincial and municipalities.

10.4.8.2 Chapter Two: Section 2.6.2: Generic Strategic Management Process

The strategic management process and model distilled form the literature review for the purpose of the study is presented hereunder and should be considered during literature reviews of strategic management:

- **Phase 1: Planning Phase**

- (1) Initiate and agree on strategic management process;
- (2) Clarify organisational mandates;
- (3) Identify strategic issues facing the organisation;
- (4) Formulate vision and goals;
- (5) Undertake SWOT analysis; and
- (6) Formulate and adopt strategies to address strategic issues

- **Phase 2: Implementation Phase**

- (7) Planning of plan implementation; and
- (8) Phased implementation.

- **Phase 3: Control Phase**

- (9) Monitoring;
- (10) Evaluation; and
- (11) Review.

10.4.9 Chapter Two:Section 2.7: Disadvantages of a Decentralised Government and Planning System

An immediate disadvantage of a decentralised system of governance is a lack of capacity in all levels or spheres of government and that requires a capacitating programme. The question then is how to approach such initiative? Should the focus be brought or should only certain strategically placed staff form part of such programme? Notwithstanding the approach chosen capacity building program are to be repeated in view of the high turn-over of staff and the availability of new information or program adjustments. Capacitating of politicians and officials should be undertaken prior to the initiation of major planning programs to ensure meaningful support and participation.

10.4.10 Conclusion

After the 1994 election, the KZN Provincial Government had to integrate fragmented and racially orientated institutional structures into a coherent system enabling the strategic management of integrated development planning on a provincial wide scale. The strategic management process and model distilled from the literature review for the purpose of the study was developed and should be considered during literature reviews of strategic management elsewhere. Capacitating of politicians and officials should always be undertaken prior to the initiation of major planning programs to ensure meaningful support and participation.

10.5 CONSOLIDATED LIST OF RECOMMENDATIONS

Table 10.1 is a consolidated list of the recommendations made in the study, with target dates and responsibilities, and is based on the evaluations, conclusions, lessons learnt and hypotheses' validations.

TABLE 10.1: CONSOLIDATED LIST OF RECOMMENDATIONS

CHAPTER FOUR		
PLANNING OF PROVINCIAL STRATEGIC MANAGEMENT OF INTEGRATED DEVELOPMENT PLANNING		
Recommendations	Target date	Responsibility
Section 4.3.1:⁴		
Step One: Initiate and agree on Strategic Management process		
(i) Upon commencement of the review process all key stakeholders have to be involved in the drafting of the Reviewed Provincial Growth and Development Strategy	- Resolution to commence + 1 month	- Office of the Premier

⁴ The Section numbering of Chapter Four to Six in the table relates to the heading numbering in the Chapters, and does not reflect the section in the Chapters listing the recommendations. The section containing the recommendations are at the end of each Section within the Chapters.

(ii) Prior agreement needs to be reached on the drafting process	- Resolution to commence + 1 month	- Office of the Premier
(iii) A politically and administratively mandated and dedicated management team for managing the drafting process has to be established	- Resolution to commence + 1 month	- Office of the Premier
(iv) The team identified to manage and support the drafting of the Reviewed Provincial Growth and Development Strategy have to have strong project management skills, with preferably knowledge of strategic management and integrated development planning	- Resolution to commence + 1 month	- Office of the Premier
(v) Financial and human resources to draft the Reviewed Provincial Growth and Development Strategy are to be identified beforehand	- Resolution to commence + 1 month	- Department of Premier
(vi) To secure written agreements to bind stakeholders to the process	- Resolution to commence + 1 month	- Office of the Premier
Section 4.3.2:		
Step Two: Clarify Organisational Mandates		
(i) Provincial and national legislation makes the drafting of the Provincial Growth and Development Strategy a statutory obligation	- Resolution to commence + 22 months	- Department of Provincial and Local Government - Department of Local Government and Traditional Affairs
(ii) A revised Provincial Growth and Development Strategy be integrated into Annual Departmental Strategic or Business Plans and Performance Plans in order to ensure that the Provincial Growth and Development Strategy is not an “add-on” to daily line function activities, and its implementation is regularly monitored	- Resolution to commence + 9 months	- All Provincial Departments
(iii) Departmental budgets should be aligned to a reviewed PGDS	- Once PGDS is reviewed	- All Provincial Departments

(iii) Treasury will only allocate additional funding to Departments if projects are aligned to PGDS	- Once PGDS is reviewed	- All Provincial Departments
Section 4.3.3:		
Step 3: Identify Strategic Issues facing the Organisation		
(i) The Reviewed Provincial Growth and Development Strategy should be based on the latest Geographic Information System based information sets available in all Provincial Departments	- Resolution to commence + 5 months	- Provincial Departments
Section 4.3.4:		
Step 4: Formulate Provincial Vision and Goals		
(i) The Vision should rather be a short and succinct statement to attract attention	- Resolution to commence + 6 months	- Office of the Premier
(ii) Used to secure the support of all stakeholders through an ongoing and widely publicised public debate	- Resolution to commence + 6 months	- Office of the Premier
(iii) Political regimes that come into power should adhere to the vision or put a new vision in place with general support.	- Upon Provincial elections	- Provincial Cabinet
Section 4.3.5:		
Step 5: Undertake SWOT analysis: Determine internal Strengths and Weaknesses, external Opportunities and Threats		
(i) All stakeholders be made aware that sufficient human, financial and capital resources are required to implement a provincial plan with a 20 year horizon	- Resolution to commence + 6 months	- Office of the Premier
(ii) Stakeholders participate and be constantly informed about the changing environment within which the plan functions	- Resolution to commence + 6 months	- Office of the Premier
Section 4.3.6:		
Step 6: Formulate and adopt Strategies and Plans to address Strategic Issues		
(i) Prior to the actual commencement of the revision of the Provincial Growth and Development Strategy, the Office of the Premier should inform the Provincial Cabinet and Provincial Heads of Department regarding the purpose of the Plan, the methodology to be followed, and what resources (financial and human) are required, thereby obtaining much needed political support for the process and product (i.e. the final document)	- Resolution to commence + 7 months	- Office of the Premier

(ii) During the review process, the Provincial Growth and Development Strategy should follow the integrated development planning process set out in Chapter Two, be more realistic, and with limited predetermined priorities, budgets allocated by the different Departments and a performance management system	- Resolution to commence + 6 months	- Office of the Premier
(iii) Resources for drafting and implementing the Provincial Growth and Development Strategy need to be identified prior to the drafting process and for the implementation process	- Resolution to commence + 6 months	- Office of the Premier
CHAPTER FIVE		
IMPLEMENTATION OF THE PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY		
Section 5.3.1:		
Step 7: Planning of Plan Implementation		
(i) Prior to any implementation of a Reviewed Provincial Growth and Development Strategy the steps of planning for plan implementation needs to be agreed upon by all stakeholders to prevent a lack of commitment	- Resolution to commence + 7 - 8 months	- Office of the Premier
(ii) During the annual Departmental Strategic Planning sessions the Provincial Growth and Development Strategy aspects relevant to a sector department should be included in the adopted Departmental Annual Strategic Plan	- Resolution to commence + 9 months	- All Provincial Departments
(iii) Written agreements between be signed to secure sectoral or line function commitment for the planning of plan implementation process and actual implementation	- Resolution to commence + 9 months	- All Provincial Departments
Section 5.3.2:		
Step Eight: Phased Implementation		
(i) Dedicated project managers be appointed or identified in support of the process	- Resolution to commence + 10 months	- All Provincial Departments
(ii) Project management support be supported by persons familiar with the Microsoft project programme	- Resolution to commence + 10 months	- All Provincial Departments
CHAPTER SIX		
CONTROL OF THE PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY		
Section 6.3.1:		
Step Nine: Monitoring		
(i) A Reviewed Provincial Growth and	- Resolution to	- Office of the

Development Strategy should incorporate a fully functional Organizational Performance Management System to measure the long-term outcomes of the Strategy	commence + 8 months	Premier
Section 6.3.2: Step Ten: Evaluation		
(i) Despite events within the environment in which a Reviewed Provincial Growth and Development Strategy would function, ongoing evaluation should be undertaken in order to make the necessary adjustments to ensure that the Strategy survives unexpected changes	- Resolution to commence + 7 to 16 months	- Office of the Premier
Section 6.3.3: Step Eleven: Control		
(i) The Provincial Government revives the process of finalizing and implementing a Reviewed Provincial Growth and Development, which has the support of all major stakeholders as required by the Communicative Strategic approach	- Resolution to commence + 1 month	- Office of the Premier
(ii) The planning framework to be used to inform the formulation of a reviewed Provincial Growth and Development Strategy to follow the phases and steps of the Strategic Management Model advocated in Table 6.2	- Resolution to commence + 3 months	- Office of the Premier
CHAPTER SEVEN		
PLANNING OF STRATEGIC MANAGEMENT OF THE MUNICIPAL INTEGRATED DEVELOPMENT PLANNING PROCESS		
Section 7.3.1: Step One: Initiate and agree on Strategic Management process		
(i) Chief Directorate: Development Planning staff are trained on the strategic management of integrated development planning	- April 2008 - October 2009	- Manager: Municipal Strategic Planning
(ii) Staff replacements should be focused on actively attracting qualified and experienced planners	April 2008 onwards	- General Manager: Development Planning
Section 7.4.2: Step Two: Clarify Organisational Mandate		
(i) The Chief Directorate: Development Planning continues to ensure that its Annual Business Plan takes cognisance of the Departmental mandates thereby fulfilling its legal obligations in services delivery	- March 2008 - March 2009 - March 2010	- General Manager: Development Planning

Section 7.4.3:		
Step Three: Identify Strategic Issues facing the Organisation		
(i) The Department of Local Government and Traditional Affairs should increase its internal and external capacity to be able to meet service backlogs	- April 2008 to December 2008	- DLGTA: Human Resource Management
(ii) The statistics on service backlogs be carefully maintained to monitor progress of service delivery in KwaZulu-Natal	- July 2008	- DLGTA - Municipalities
Section 7.4.4:		
Step Four: Formulate Vision and Goals		
(i) The Vision to be kept intact but that the actions in support of the vision be changed, where necessary	- March 2008 - March 2009 - March 2010	- General Manager: Development Planning
Section 7.4.5:		
Undertake SWOT analysis: determine internal Strengths and Weaknesses, external Opportunities and Threats		
(i) The senior posts are filled firstly	- April to June 2008	- DLGTA: Human Resource Management
(ii) Training programs to be undertaken for staff to capacitate them on their role and responsibilities in municipal support, and thereby assisting rebuilding the institutional memory of the Department of Local Government and Traditional Affairs	- March 2008 - October 2009	- Manager: Municipal Strategic Planning
Section 7.4.6:		
Formulate and adopt Strategies and Plans to address Strategic Issues		
(i) Continue with its development planning capacity building strategy to ensure that the ongoing capacity needs of municipalities are met	- March 2008 - March 2009 - March 2010	- Manager: Municipal Strategic Planning
(ii) Develop strategies in consultation with municipalities thereby ensuring a communicative approach in strategy formulation	- March 2008 - March 2009 - March 2010	- Manager: Municipal Strategic Planning
CHAPTER EIGHT		
IMPLEMENTATION OF STRATEGIC MANAGEMENT OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING		
Section 8.2.3:		
Step Seven: Planning of Plan Implementation		
(i) Staff be made aware of this phase of strategic management and that the quality of sequencing actions for actual implementation	- March 2008 - March 2009 - March 2010	- General Manager: Development

will be improve the success rate		Planning - Manager: Municipal Strategic Planning
(ii) Development planning staff are trained in the Microsoft project program to enable them to improve the planning of multiple projects prior to commencement	- April 2008 - November 2009	- Manager: Municipal Strategic Planning
Section 8.5.4: Step Eight: Phased Implementation		
(i) The amount of projects undertaken should be in relation to the resources available in the Department and municipalities	- March 2008 - March 2009 - March 2010	- General Manager: Development Planning
(ii) Municipal and Department of Local Government and Traditional Affairs should be well versed in project management	- April 2008 - November 2008 - March 2009	- Manager: Municipal Strategic Planning - Municipalities
CHAPTER NINE		
CONTROL OF THE STRATEGIC MANAGEMENT OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING		
(i) Section 9.3.3.4: Step Nine: Monitoring		
(i) The Chief Directorate: Development Planning to determine in advance what type of data should be gathered to satisfy certain reporting requirements and formats	- March 2008 - March 2009 - March 2010	- General Manager: Development Planning - Manager: Municipal Strategic Planning
(ii) Projects focus to emphasise monitoring activities	- March 2008 - March 2009 - March 2010	- General Manager: Development Planning - Manager: Municipal Strategic Planning - Municipalities
(iii) Municipal and the Department of Local Government and Traditional Affairs agree on	- October 2008	- Manager: Municipal

the shift to data gathering and that process be designed as such to accommodate such change		Strategic Planning - Municipalities
(ii) Section 9.3.2: Step Ten and Eleven: Evaluation and Review		
(i) Continue to monitor project activities by means of the Operational Plan	-Monthly	- General Manager: Development Planning - Manager: Municipal Strategic Planning
(ii) IDP related policies be subjected to ex-post evaluation, for example the Municipal Development Planning Capacity Building Model, which needs adjustment to the Shared Service Concept	- March 2008	- Provincial Planning and Development Planning Commission
9.3.3.5 Research Evaluation and Recommendations: Table 9.3		
Action Plan 1: Dedicated planning staff:		
(i) Map with Regional Office: x 1		
(i) Progress with the implementation of the new Chief Directorate: Development Planning management structure needs to be closely monitored	- Monthly	- General Manager: Development Planning - Manager: Municipal Strategic Planning
(ii) An alignment mechanism should be established to co-ordinate the Strategic Planning, Organisational Performance Management System and Spatial Planning functional activities in addition to the monthly Chief Directorate: Development Planning Management meetings	- September 2007	- Manager: Municipal Strategic Planning
(ii) Regional Support Team: x 3		
(i) The Directorate: Municipal Strategic Planning have to convene a training session to update staff on IDPs and the methodological and support approach to follow in future	- June 2008	- Manager: Municipal Strategic Planning
(ii) Regular monitoring is to be undertaken and changes introduced	- Monthly	- Manager: Municipal Strategic Planning
(iii) Approved Regional Office Organogram		

(i) The implementation of the new Chief Directorate: Development Planning structure is to be closely monitored, adaptations made and information feed-back given to the Department of Local Government and Traditional Affairs Management	- Quarterly	- General Manager: Development Planning
Action Plan 1.2: Drafting IDP Guidelines		
(i) IDP Guideline: x 1		
(i) A tracer study be undertaken to determine the application and success of the guidelines' application	- November 2008	- Provincial Planning and Development Planning Commission
(ii) Process Plan Guideline: x 1		
A revised Process Plan has to be compiled and disseminated to municipalities to improve the quality of the Process Plans as the IDP management tool during the 2008/09 review process	- July 2008	- Manager: Municipal Strategic Planning
(iii) IDP Guideline: x 3		
(i) All (new) staff should familiarize themselves with the IDP 2004 guidelines since they have not been revised	- April 2008 - September 2008	- Manager: Municipal Strategic Planning
Action Plan 1.3: Training		
(i) Regional Office training sessions: x 1		
(i) The hands-on approach to training should be expanded to make training more interactive and avoid lecture situations, where practically possible	- May 2008 - October 2008	- Manager: Municipal Strategic Planning
(ii) The Department of Provincial and Local Government training program certificated in 2006 should be supported in 2007 to assist with training staff in all municipalities and Departments in support of IDPs	- May 2008 - July 2008 - August 2008 - November 2008	- Manager: Municipal Strategic Planning
(ii) Chief Directorate: Development planning training sessions: x 2		
(i) Consider feasibility of designing and implementing an in-house project management program again to capacitate new staff to support IDPs on a project management basis	- October 2008	- Manager: Municipal Strategic Planning
(ii) Alternatively, consultants should be appointed to compile and present a tailor made project management course for the	- June 2008	- Manager: Municipal Strategic Planning

Directorate: Strategic Planning		
(iii) Training sessions: -Municipalities: x 3 -Planning staff		
(i) IDP Guidelines are to made available to key staff in Departments and municipalities	- September 2008	- Manager: Municipal Strategic Planning
(ii) A provincial-municipal workshop should be convened to determine the effectiveness of the guidelines and to obtain inputs for improvements	- November 2008	- Manager: Municipal Strategic Planning
Action 1.4: Chief Directorate: Operational Plan		
(i) Develop and maintain Chief Directorate: Development Planning: Operational Plan		
(i) The Chief Directorate: Development Planning: Operational Plan should be updated monthly to ensure effective project implementation and monitoring	- Monthly	- General Manager: Development Planning - Manager: Municipal Strategic Planning
Action Plan 2.1: Drafting Guidelines		
(ii) Capacity building guideline: x 1		
(i) The Shared Service concept should be implemented in 2007/08 Financial Year in accordance with the project program to ensure that capacity for IDPs is maintained in municipalities	- March 2008	- Manager: Municipal Strategic Planning
(ii) Organisational Performance Management Guideline: x 1		
(i) The Guidelines have to be made available to municipalities without an Organisational Performance Management System and to be implemented by the end of the 2007/08 Financial Year in all municipalities	- June 2008	- Manager: Municipal Performance Management
(ii) The Directorate: Strategic Planning and Directorate: Municipal Performance have to ensure alignment between the IDP and Organisational Performance Management to ensure an integrated approach	- March 2008	- Manager: Municipal Performance Management
Action Plan 2.2: Training		
(i) District Municipality training session: x 10		
(i) Municipalities should develop their own IDP training material	- March 2008	- Municipal IDP Managers
(ii) Provincial training session: x 1		

(i) The procurement process for appointing consultants is finalised to enable project to be implemented	- June 2008	- Manager: Municipal Strategic Planning
(iii) Planning Implementation and Management System: x 1		
(i) Any further training should be focussed on the Shared Services Concept	- January 2008 onwards	- Manager: Municipal Strategic Planning
Action Plan 2.3: Municipal technical support		
(i) District and Local IDP Representative Forum: meetings as set out in Process Plan		
(i) At least District RFs should be attended	- January to December 2008	- Staff: Municipal Strategic Planning
(ii) x 61 IDP letters: 1 letter x 10 District Municipalities, 1 letter x 50 Local Municipalities and x 1 letter per Metropolitan Municipality		
(i) The legal requirement of compiling Member of Executive Committee for Local Government letters for municipalities should continue, even with the assistance of consultants	- September 2008	- Manager: Municipal Strategic Planning
Action Plan 2.4: Transfer of funds		
(i) 1 x consultant or consortium		
(i) Funding should not be transferred to municipalities for IDP formulation	- 2008	- Manager: Municipal Strategic Planning
(ii) 10 District Municipality: 1 x IDP Manager		
(i) The Department of Local Government and Traditional Affairs and District Municipalities should ensure that an IDP Manager is appointed in District Municipalities	- Ongoing	- Manager: Municipal Strategic Planning
(iii) 50 Local Municipalities: 1 x IDP Manager		
(i) The implementation of the concept of Shared Services Concept in 2007/08 and 2008/09 should be achieved in all municipalities to address capacity challenges in less capacitated municipalities	- 2008 - 2010	- Manager: Municipal Strategic Planning
Action Plan 3.1: Drafting guidelines		
(i) IDP Guideline		
(i) To keep up with changes in the IDP contents and process the document should be reviewed	- September 2008	- Manager: Municipal Strategic Planning
Action Plan 3.2: Department and para-statal training		

(i) Department and para-statal training for all: x 1 session		
(i) The approach where Departments are invited to smaller meetings on IDPs is recommended for the future and that training session be avoided	- 2008 onwards	- Manager: Municipal Strategic Planning
(ii) - Department and para-statal training: x 3 sessions		
- Departments on an individual basis: x 2 sessions		
(i) The Department of Local Government and Traditional Affairs should continue with special training sessions to accommodate staff changes	- 2008 onwards	- Manager: Municipal Strategic Planning
Action Plan 3.3: Provincial and municipal planning forums		
(i) - Forum: x 1		
- Secretariat with staff: x 1		
(i) The Provincial IDP Forum should be reconstituted to serve as the IDP Technical Forum of the Premiers Co-ordinating Forum	- March 2008	- General Manager: Development Planning
(ii) Functioning District Municipality IDP alignment structures and Service Providers Forums: x 10		
(i) The District Municipal Service Providers Forums should be given more status by linking them to a municipal planning structure in terms of the Intergovernmental Relations Act	- March 2008	- Department of Local Government and Traditional Affairs - District Municipalities
(iii) - Provincial Growth and Development Support Team: x 1		
- Provincial - District Municipality preparatory meetings: x 10		
(i) The Provincial Support Team should be re-established to further ensure the planning co-ordination of the Combined District Growth and Development and IDP Engagement process	- June 2008	- General Manager: Development Planning - Manager: Municipal Strategic Planning
(iv) Functioning meetings: x 3 per region		
(i) The Municipal Managers meeting should continue until a similar forum could be established in future in terms of the Intergovernmental Relations Act	- 2008 - 2009	- Chief Directorate: Local Government, Department of Local Government and Traditional Affairs
(v) Functioning Forum: x 1		

(i) The Shared Service Concept Provincial Forum should be established by building on the existing Shared Services Steering Committee	- April 2008	- Manager: Municipal Performance Management
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10.6. THE WAY FORWARD FOR KWAZULU-NATAL

In an effort to improve the future strategic management of integrated development planning in KZN, the Provincial Government needs to adopt a reviewed Provincial Growth and Development Strategy (PGDS) as indicated in the recommendations in Section 10.5, and implement the recommendations in Section 10.5 to advance the strategic management of municipal integrated development planning.

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