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**SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT:  
A COMPARATIVE PERSPECTIVE**

by

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Submitted in fulfilment of the requirements in respect of the Degree Doctor of Philosophy  
in the Department of Public Administration and Management  
in the Faculty of Economic and Management Sciences  
at the University of the Free State

January 2018

**PROMOTER: PROF. L. LUES**

**BLOEMFONTEIN**

## DECLARATION

“I, Maréve Biljohn, declare that the thesis (and the interrelated, publishable manuscripts/published articles) that I hereby submit for the Degree Doctor of Philosophy at the University of the Free State is my independent work, and that I have not previously submitted it for a qualification at another institution of higher education.”



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**MIM Biljohn**

**25 January 2018**

**Date**

## **ACKNOWLEDGEMENTS**

Foremost to God be the glory for sustaining me on this journey to complete this PhD study.

This research is dedicated to my mother, Evelyn Pietersen, and my late father, Markus Biljohn. No words or acts will ever be able to express the gratitude and appreciation that I have for every sacrifice you made for me. To Mummy, Aunty Pearly, Enrique, Kay, Denovan and Drew, thank you for your love and support whilst I completed my PhD in South Africa and abroad.

This thesis would not have been possible without the guidance, support and motivation of my promoter, Professor Liezel Lues. Professor, your remarkable direction and encouragement helped me to persevere and to succeed. My sincere thanks also goes to Professor Doctor Joris Voets at Ghent University in Belgium for his insightful comments and assistance in approaching this study from a different perspective.

I would like to express my deepest gratitude for the support received from the Department of Public Administration and Management (University of the Free State) to complete this thesis. Finally, my heartfelt appreciation goes out to the officials and citizens respectively of the City of Ghent (Ghent, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa) whose participation made it possible for me to complete this research.

## SUMMARY

Orientation: An increase in the world population, estimated at 7.3 billion mid 2015 (United Nations, Department of Economic and Social Affairs 2015:1), inevitably puts pressure on the availability of resources (food, water, energy, and shelter, to name a few). Successfully meeting this demand for resources, and ultimately delivering sustainable services to societal needs, will depend to a large extent on the processes that are implemented by local government(s) (LG/LGs) and on how these needs are met through citizen participation and innovation. It is noted, therefore, that social innovation (SI) is often utilised by LGs to address the demand for resources and ultimately deliver sustainable services to societal needs of the twenty-first century (Sørensen & Torfing 2011:847; Organisation for Economic Cooperation and Development (OECD) 2014; Cipolla & Moura 2012:44; Novy & Leubolt 2005:2023–2034; Hart, Jacobs, & Mhula 2013:29). The real measure of SI is in its application resulting in sustainable services for its users (European Foundation for the Improvement of Living and Working Conditions 2013:7), which is often seen as the creation of public value (Meričkova, Nemeč, & Svidronova 2015:532). Providing sustainable services and creating public value through service delivery seem to confront LGs globally with the challenge of how to effectively use SI in the improvement of service delivery. In light of this, this thesis investigates the use of SI in the service delivery of LG through a comparative look at the City of Ghent (CoG) (East Flanders province, Belgium) and the Mangaung Metropolitan Municipality (MMM) (Free State province, SA).

Research purpose: The purpose of this study is embedded in contextual research, explanatory research, and generative research. Through *contextual research*, the use of SI during LG service delivery (referred to as *the* or *a* phenomenon), as well as how it exists within the different LG contexts, was explored. *Explanatory research* highlighted the driving forces behind the use of SI during LG service delivery and its occurrences, examining reasons for associations between what exists regarding the nature of the phenomenon and how the phenomenon is organised in different local contexts. *Generative research* was used in respect of the public administration and SI discourses, the policy and LG spheres in Belgium (East Flanders province) and SA (Free State province), the LG service delivery environments in the CoG and the MMM, and the framework for the enhanced use of SI in LG service delivery.

Motivation for the study: This study was carried out in view of SI remaining a latent area in the South African LG sphere despite its growing use in public sector service delivery globally, with specific reference to LG. The increased utilisation of SI in LG service delivery globally thus warrants exploration. A comprehensive understanding of the use of SI in LG service delivery was therefore deemed important in order to inform a framework for the enhanced use of SI during LG service delivery. Lastly, service delivery challenges in the MMM makes it prudent to investigate alternative strategies, such as SI, in order to improve LG service delivery.

Research design, approach and method: Through a qualitative research design, combined with a case study approach, the use of SI during service delivery was explored as a phenomenon about which little is known and which requires a holistic understanding. Qualitative research methods were used to both collect and analyse the

data, and data collection instruments included documents (naturally occurring data), semi-structured interviews (generated data), and focus group discussions (generated data).

Main findings: From the shortcomings of traditional Public Administration (PA), New Public Management (NPM), and New Public Governance (NPG) regarding citizen participation in LG service delivery, it is clear that a Public Administration and governance theory should be developed that will be able to position citizen participation as central to LG service delivery. The findings illustrate that open governance systems would not automatically result in sustainable, quality, and quantity service delivery, as this depends extensively on who participates in devising solutions as well as on the delivery and governance of services. During the governance of services in the LG service delivery system, social systems and technical systems should be used in equilibrium in order to address the complex societal challenges of the twenty-first century. In respect of collaboration, this study highlighted that the use of SI during the co-production of LG service delivery is premised on a symbiotic, interdependent, and reciprocal relationship between citizens, LG officials, and politicians.

Practical implications: The practical implications highlighted by this study include, first, the meticulous planning of citizen participation when SI is used during the respective stages of the co-production service delivery cycle. Further, a conducive internal organisational context is required that advances citizen participation in the governance and decision-making of service delivery but which is likewise optimal for enhancing the use of SI during the respective co-production service delivery stages. Adding to this, LG officials and politicians have an important role to play in understanding the value proposition of participation in service delivery to citizens. This value proposition is integral to building and establishing a relationship of trust between citizens, LG officials and politicians. Lastly, consensus concerning the concept of SI, its use, and its implementation is important in light of its consistent use and application within a municipality.

Contribution: Over decades, public sector organisations globally have been undergoing various transformations in attempts to improve how they exercise their primary responsibility of service delivery. These transformations influenced the functioning of these organisations, their service delivery processes and systems, their policy implementation, and their governance of decision-making. In the main, these transformations were guided by the introduction of public administration and governance theories, amongst which PA, NPM, and NPG, that influenced the practice of public administration and management during certain timeframes. Amidst these transformations, meaningful citizen participation has not been receiving the attention it deserves, although the implementation of citizen participation by public sector organisations has evolved immensely since the introduction of PA. These organisations are challenged with finding a balance between meeting citizens' growing service delivery demands and expectations, whilst simultaneously facilitating meaningful citizen participation in governing service delivery and deriving solutions to complex societal and service delivery challenges confronting citizens. To strike this balance, the present thesis presents the use of SI during LG service delivery in order to stimulate the discourse regarding the use of SI within the academic discipline of PA as well as in its practice. It is hoped that this will

encourage scholars to investigate the relevance of the conventional PA and governance theories for addressing the complex service delivery problems of the twenty-first century. Further, the study aims to establish the use of SI in LG service delivery as a priority on the PA research agenda. Adding to this, the study presents novel insights regarding similarities as well as differences in the use of SI through a comparative perspective between two LGs, namely the MMM and CoG.

Based on the findings from the focus groups and semi-structured interviews, a framework is introduced for the adoption of an SI strategy. This strategy offers a practical approach to the use of SI by outlining the respective roles of citizens, LG officials, and politicians as the triad that underlies the use of SI during service delivery. The framework provided through the adoption of this SI strategy gives citizens political and administrative accountability, builds trust, gives citizens ownership in joint problem solving, empowers citizens through participatory decision-making processes, and advances democratic principles and values. This strategy proposes that convergence between the technical and social systems is central to the use of SI and its use in improving service delivery.

## OPSOMMING

Oriëntering: 'n Toename in die wêreldpopulasie, wat in die middel van 2015 op 7,3 miljard geskat is (Verenigde Nasies, Departement Ekonomiese en Maatskaplike Sake 2015: 1), plaas noodwendig druk op die beskikbaarheid van hulpbronne (kos, water, energie en skooling, onder andere). Om met sukses vir hierdie aanvraag na hulpbronne te voorsien, en uiteindelik volhoubare dienste vir die samelewing se behoeftes te lewer, sal tot 'n groot mate afhang van die prosesse wat plaaslike regerings in werking stel en hoe burgerdeelname en innovasie in hierdie behoeftes voorsien. Sosiale innovasie (SI) word gereeld deur plaaslike regerings gebruik om die aanvraag na hulpbronne aan te spreek en uiteindelik volhoubare dienste vir die maatskaplike behoeftes van die een-en-twintigste eeu te lewer (Sørensen & Torfing 2011:847; Organisasie vir Ekonomiese Samewerking en Ontwikkeling 2014; Cipolla & Moura 2012:44; Novy & Leubolt 2005:2023–2034; Hart, Jacobs, & Mhula 2013:29). Sosiale innovasie kan gemeet word wanneer die toepassing daarvan tot volhoubare dienste lei vir dié wat dit gebruik (Europese Stigting vir die verbetering van die lewens-en arbeidsomstandigheden 2013:7), wat dikwels as die skep van waarde vir die publiek gesien word (Meričkova, Nemeč, & Svidronova, 2015:532). Die vraag oor hoe om volhoubare dienste te lewer en waarde vir die publiek te skep daag plaaslike regerings wêreldwyd uit om SI doeltreffend in die verbetering van dienslewering te gebruik. Aan die hand hiervan ondersoek hierdie proefskrif die gebruik van SI in die dienslewering van plaaslike regerings, deur 'n vergelyking tussen die Stad Gent (SG) (Oos-Vlaandere, België) en die Mangaung Metropolitaanse Munisipaliteit (MMM) (Vrystaat, Suid-Afrika) te tref.

Navorsingsdoel: Die doel van hierdie studie spruit uit kontekstuele navorsing, verklarende navorsing en generatiewe navorsing. Deur *kontekstuele navorsing* is die gebruik van SI tydens dienslewering in plaaslike regerings (*die of 'n* fenomeen genoem) ondersoek, asook hoe dit in die verskillende plaaslike regeringskontekste bestaan. Deur *verklarende navorsing* het die studie uitgelig wat die drywers van die gebruik van SI in dienslewering in plaaslike regerings is en hoe dit voorkom, en is redes ondersoek vir die verband tussen die aard van die fenomeen en hoe dit in verskillende plaaslike kontekste georganiseer word. *Generatiewe navorsing* is gebruik in die bespreking van die openbare administrasie- en SI-diskoerse, die beleid en plaaslike regeringsfere in België (Oos-Vlaandere) en Suid-Afrika (Vrystaat), die omstandighede rondom dienslewering deur plaaslike regerings in die SG en MMM, en die raamwerk vir die versterkte gebruik van SI in dienslewering deur plaaslike regerings.

Motivering vir die studie: Hierdie studie is onderneem aan die hand daarvan dat SI 'n onontwikkelde area in die Suid-Afrikaanse plaaslike regeringsfeer bly, ten spyte daarvan dat dit wêreldwyd toenemend in dienslewering in die openbare sektor gebruik word, veral in plaaslike regerings. Die toenemende wêreldwye gebruik van SI in dienslewering in plaaslike regerings verdien dus om ondersoek te word. Dit is daarom belangrik om die gebruik van SI in dienslewering in plaaslike regerings ten volle te verstaan om uiteindelik 'n raamwerk vir die versterkte gebruik van SI tydens dienslewering in plaaslike regerings op te stel. Laastens is dit wys om aan die hand van uitdagings in dienslewering in die MMM, alternatiewe strategieë soos SI te ondersoek ten einde dienslewering in plaaslike regerings te verbeter.

Navorsingsontwerp, benadering en metodes: Deur middel van 'n kwalitatiewe navorsingsontwerp tesame met 'n gevallestudie-benadering, is die gebruik van SI in dienslewering ondersoek as 'n fenomeen waarvoor min bekend is en wat holisties verstaan moet word. Kwalitatiewe navorsingsmetodes is gebruik om die data te versamel sowel as te ontleed, en die instrumente wat gebruik is om data te versamel het dokumente (data wat natuurlik voorkom), semi-gestruktureerde onderhoude (gegenereerde data) en fokusgroep-gesprekke (gegenereerde data) ingesluit.

Hoofbevindinge: Aan die hand van die tekortkominge van tradisionele Openbare Administrasie (OA), Nuwe Openbare Bestuur (NOB) en Nuwe Openbare Regering (NOR) in terme van burgerdeelname in dienslewering in plaaslike regerings, is dit duidelik dat 'n openbare administrasie- en regeringsteorie ontwikkel moet word wat in staat sal wees om burgerdeelname die kern van dienslewering in plaaslike regerings te maak. Die studie het bevind dat oop regeringstelsels nie outomaties tot volhoubare, kwaliteit en kwantiteit dienslewering lei nie, want dit hang af van wie in die soek na oplossings deelneem en van hoe dienste gelewer en bestuur word. Wanneer plaaslike regerings dienste in die diensleweringstelsel bestuur moet sosiale sisteme en tegniese sisteme in ewilibrum gebruik word ten einde die komplekse maatskaplike uitdagings van die een-en-twintigste eeu die hoof te bied. In terme van samewerking het hierdie studie uitgewys dat die gebruik van SI tydens die medeproduksie van dienslewering in plaaslike regerings op 'n simbiotiese, interafhanklike en wedersydse verhouding tussen burgers, plaaslike regeringsamptenare en politici gebaseer is.

Praktiese implikasies: Die praktiese implikasies van hierdie studie se bevindings is, eerstens, dat burgerdeelname noukeurig beplan moet word wanneer SI in die respektiewe stadiums van medeproduksie in die diensleweringssiklus gebruik word. Verder moet die interne konteks van die organisasie burgerdeelname in die bestuur van en besluitneming rakende dienslewering bevorder, maar moet tegelykertyd optimaal wees om die gebruik van SI tydens die respektiewe stadiums van medeproduksie in die diensleweringssiklus te versterk. Daarby moet plaaslike regeringsamptenare en politici 'n belangrike rol speel en moet die waarde wat deelname aan dienslewering vir burgers bied verstaan. Hierdie waarde is noodsaaklik om 'n verhouding van vertroue tussen burgers, plaaslike regeringsamptenare en politici te bou. Laastens is ooreenstemming rakende die konsep van SI en hoe dit gebruik en toegepas word belangrik sodat 'n munisipaliteit dit konsekwent kan gebruik en toepas.

Bydrae: Oor dekades en regoor die wêreld ondergaan organisasies in die openbare sektor verskeie transformasies in 'n poging om te verbeter hoe hulle hulle vernaamste verantwoordelikheid, naamlik dienslewering, op hulle neem. Hierdie transformasies het die funksionering van hierdie organisasies, hulle diensleweringssproesse en -sisteme, hulle beleidstoepassing en hoe hulle besluitneming bestuur beïnvloed. Oor die algemeen geskied hierdie transformasies deur die bekendstelling van nuwe teorieë van openbare administrasie en regering, onder andere OA, NOB en NOR, wat almal op spesifieke tye die praktyk van openbare administrasie en -bestuur beïnvloed het. Te midde van hierdie transformasies het betekenisvolle burgerdeelname nie die aandag ontvang wat dit verdien nie, alhoewel die implementering van burgerdeelname aansienlik ontwikkel het sedert OA voorgestel is. Hierdie organisasies word dus uitgedaag om 'n balans te kry tussen om aan burgers se behoeftes en verwagtinge te

voldoen, en om tegelykertyd betekenisvolle burgerdeelname te bevorder ten einde dienslewering te bestuur en oplossings te soek vir komplekse maatskaplike en dienslewerings-uitdagings wat burgers ondervind. Om hierdie balans te kry, stel hierdie proefskrif die gebruik van SI tydens dienslewering in plaaslike regerings voor ten einde die diskoers aangaande SI in die akademiese vakrigting sowel as die praktyk van openbare administrasie te stimuleer. Hopelik sal dit vakkundiges aanmoedig om die konvensionele openbare administrasie- en regeringsteorieë te ondersoek om vas te stel of hulle toepaslik is om die komplekse diensleweringsprobleme van die een-en-twintigste eeu aan te spreek. Verder sal die studie hopelik die gebruik van SI in dienslewering in plaaslike regerings as 'n prioriteit vestig op openbare administrasie se navorsingsagenda. Daarby bied die studie nuwe insig in die ooreenkomste sowel as verskille in die gebruik van SI deur middel van 'n vergelyking tussen die twee plaaslike regerings, naamlik die MMM en die SG.

Met die bevindinge van die fokusgroepe en semi-gestruktureerde onderhoude as vertrekingspunt, word 'n raamwerk vir die aanneem van 'n SI-strategie voorgestel. Hierdie strategie bied 'n praktiese benadering tot die gebruik van SI deur die respektiewe rolle van burgers, plaaslike regeringsamptenare en politici te beskryf as die triade wat die basis van die gebruik van SI in dienslewering vorm. Die raamwerk wat deur die aanneem van hierdie SI-strategie verskaf word gee aan burgers politieke en administratiewe aanspreeklikheid, bou vertroue, gee aan burgers eienaarskap wanneer hulle gesamentlik probleme oplos, bemagtig burgers deur deelnemende besluitnemingsprosesse, en bevorder demokratiese beginsels en waardes. Hierdie strategie stel voor dat die ineenloping van die tegniese en sosiale sisteme die kern van die gebruik van SI is, sowel as van die gebruik daarvan om dienslewering te verbeter.

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**LIST OF ABBREVIATIONS AND ACRONYMS**

<b>CoG</b>	– City of Ghent
<b>LG(s)</b>	– local government(s)
<b>MMM</b>	– Margaung Metropolitan Municipality
<b>OECD</b>	– Organisation for Economic Cooperation and Development

<b>PA</b>	– Public Administration (as discipline)
<b>SI</b>	– Social Innovation
<b>SA</b>	– South Africa
<b>SINGOCOM</b>	– Social Innovation Governance and Community Building research project

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## CHAPTER 1: OVERVIEW, DEMARCATION OF THE STUDY FIELD

### 1.1 INTRODUCTION

The world today is in a continuous situation of “adapt or die”. The growing impact of global markets, competition, and financial mobility, together with the worsening economic crisis in the world, are some examples to illustrate this state of affairs. An increase in the world population, estimated at 7.3 billion mid 2015 (United Nations, Department of Economic and Social Affairs 2015:1), inevitably puts pressure on the availability of resources (food, water, energy, and shelter to name a few). Successfully providing for this demand for resources, and ultimately delivering sustainable services to societal needs, will depend to a large extent on the processes that are implemented by local government(s) (LG/LGs) and on how solutions to these needs are derived through citizen participation and innovation. The concept of innovation refers to the identification and implementation of a novel or significantly enhanced service or process, or to a new method in professional practices, workplace organisation, or external relations (UNESCO 2012:7). According to Swanepoel *et al.* (2014:178), innovation “as a grand strategy entails growing by being first into the market with new or vastly improved products or services”. Cajiaba-Santana (2014:42) argues for a novel theoretical as well as practical use of innovation, namely SI, also supported by The European Foundation for the Improvement of Living and Working Conditions (Eurofound 2013:1).

It is noted therefore that SI is often utilised by LGs to address the demand for resources and ultimately deliver sustainable services to societal needs of the twenty-first century (Sørensen & Torfing 2011:847; O’Byrne *et al.* 2014:59, 69; Organisation for Economic Cooperation and Development (OECD), 2014; Cipolla & Moura 2012:44; Novy & Leubolt 2005:2023–2034; Hart, Jacobs, & Mhula 2013:29). The real measure of SI is in its application resulting in sustainable services for its users (Eurofound 2013:7), which is often seen as the creation of public value (Meričkova, Nemeč, & Svidronova 2015:532). For the purpose of this study, sustainability or sustaining relates to aspects of continuity and to upholding, preserving (currently and in the future), and improving the status quo in the application of a concept. Sustainability, for the purpose of this thesis, will refer to activities or services that use resources and build capacity in such a manner that these activities or services can be maintained over time.

Providing sustainable services, however, seems to present contemporary LG with the challenge of how to use SI effectively in service delivery. Nonetheless, the significance of using SI lies in the fact that citizens now also participate in the planning, design, delivery, and evaluation of services. Citizen participation in SI has therefore become central to LG service delivery (OECD 2011:16). This is premised on the fact that citizens are in the best position to identify solutions to the service delivery problems they encounter, and that the central area of knowledge regarding service delivery needs is vested in the ideas and contribution of citizens (Tholen 2015:11). Hence, according to Tholen (2015:11), citizens’ preferences as well as their ideas and contributions should play a more prominent role in service delivery. Citizen participation can result in high-quality service delivery and good governance (through partnerships and networks between community organisations, business corporations, and

government) (Pollitt & Bouckaert 2011:21) by fostering informed and responsible citizen participation (Lee & Thynne 2011, cited in Jing & Gong 2012:234). However, this notion of a partnership between government and citizens, which Long (2002, cited in Linders 2012:453) describes as *We-Government*, is easier said than done, and Gaventa (2004, cited in Waheduzzaman & Mphande 2014:39) contends that establishing these relations between LG and citizens poses a challenge for twenty-first-century LGs.

The denotative meaning of citizen is:

an inhabitant of a city or town; especially: one entitled to the rights and privileges of a freeman; 2a: a member of a state b: a native or naturalized person who owes allegiance to a government and is entitled to protection from it; 3: a civilian as distinguished from a specialized servant of the state (Merriam-Webster Online Dictionary 2017).

The plural is citizenry. Often the word community is used to refer to the citizenry. A community is defined as:

a: unified body of individuals; b: the people with common interests living in a particular area; c: an interacting population of various kinds of individuals (as species) in a common location d: a group of people with a common characteristic or interest living together within a larger society; 2: society at large <the interests of the community> (Merriam-Webster Online Dictionary 2017).

A civil society is defined as “a: civilized *civil society*: of, relating to, or involving the general public, their activities, needs, or ways, or civic affairs as distinguished from special (such as military or religious) ...” (Merriam-Webster Online Dictionary 2017). For the purpose of this study, the concepts of citizen (single format) and citizenry (plural format), community as well as civil society will be used.

From literature, it was noted that contrary to the international practice of the use of SI by LGs, some LGs, such as in the case of South Africa (SA), appear not to be following suit. This situation is acknowledged in the South African Ministerial Review Committee on Science, Technology and Innovation’s final report of 2012, which endorses the use of SI for improved service delivery (DST 2012:26). A case is made in this report for SA LGs to become more innovative in their approaches to render sustainable services and also for citizens to play an indispensable role in innovation (DST 2012:27).

Against this background, the present thesis aims to investigate the use of SI in the service delivery of LG through a comparative perspective between the City of Ghent (CoG) (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (MMM) (Free State province, SA). The South African government is reported to have had long-standing successful bilateral relationships with the Flemish Government of Belgium over the past years (RSA 2016). The Belgian Association of Flemish cities and Municipalities, also referred to as the *Vereniging van Vlaamse Steden en Gemeenten*, has been collaborating with municipalities in SA. These collaborations include city-to-city cooperation between the CoG in Belgium and the MMM in SA since 2004 (Association of Flemish cities and Municipalities n.d.:4; Janssens n.d.:236; MMM 2016b:141). The use of SI in LG service delivery has not been

investigated within the framework of the city-to-city cooperation between the CoG and the MMM. Furthermore, whilst the CoG appears to have been using SI in its service delivery practices, this use of SI seems to be lagging in the case of the MMM. In light of the apparent successes of the CoG in utilising SI to address similar service delivery challenges experienced by the MMM, a comparative perspective can be beneficial.

In the case of the CoG as well as the MMM, service delivery will be confined to what are considered municipal services in the context of the respective LG settings. For this purpose, this study will use the definition of a municipal service as proposed by Craythorne (2006:158–159). According to this author, a municipal service includes those services rendered by an LG authority in respect of its powers and functions, or those services rendered by an LG authority to its responsibility area or for the benefit of such an area, regardless of whether these services are rendered through delivery mechanisms internal to the LG authority or external to it, and irrespective of whether service charges are raised for such services (Craythorne 2006:158–159). The point of departure that services (whether poor, mediocre, or excellent) are rendered by LG to citizens, is a given. In the case of LG, citizens can be regarded as the users of these services. Whether these services are received and in fact used by citizens is not as clear. The combined use of the words “service” and “user”, as reflected throughout this study, attempts to emphasise the need for active participation (use) by the citizens (users) and therefore culminates in the concept of service user.

This chapter introduces the demarcation of the reason for the study (section 1.2), the statement of the research problem (section 1.3), the aim and supporting objectives (section 1.4), and the research questions (section 1.5). To highlight the significance of the study, section 1.6 captures its contribution in respect of the public administration and SI discourses, the policy sphere, the LG sphere, and the LG service delivery environments. Chapter One concludes with section 1.7, which outlines the chapter demarcation in terms of how the thesis is structured.

## **1.2 RATIONALE**

The application of SI to address many of the social and economic challenges facing citizens in the twenty-first century has been receiving increased attention in countries belonging to the European Union (EU). It is noted from literature that recently, SI has been placed high on the agenda and captured in EU policies (Pisano, Lange, & Berger 2015:10) as a vehicle that could introduce, amongst other things, new modes of service delivery (Oeij, Dhondt, & Korver 2011:33). Oeij *et al.* (2011:33) confirm that SI has even been considered as an alternative to traditional urban development. A supportive example is the introduction of SI under the SI, Governance and Community Building research project (SINGOCOM). Under the SINGOCOM, SI has been applied to satisfy citizens’ needs. Moolaert, Martinelli, González, and Swyngedouw (2007:196) report that under the SINGOCOM, SI led to the integration of alternative strategies and trajectories to re-socialise and rebuild neighbourhoods and cities in Europe. In this context, SI thus forms the foundation of the so-called Integrated Area Development approach, and stresses the need for a “socially innovative view to development” (Moolaert *et al.* 2007:196).

In EU countries, such as Italy, a Civic Evaluation Initiative was launched in 2008 with the aim of promoting collaboration between citizens as service users and the government (OECD 2011:54). This initiative engaged citizens in partnership with civic associations and the administration to evaluate public services through a two-phase process, of which the first phase entailed the citizens' evaluation of front-office services such as tax payments, general information, and school services in selected municipalities (OECD 2011:54). In the second phase, which commenced in 2009, the focus was exclusively on urban quality and the aim was to evaluate services such as urban waste, the state of public buildings, road maintenance, and street lighting in the urban areas of local municipalities (OECD 2011:54). In the city of Milan, SI was applied in the provision of social and cultural services by the Leoncavallo social centre (Membretti 2007, cited in Moulaert *et al.* 2007:205). Through a process of flexible institutionalisation, SI was applied in the provision of these services. Moulaert *et al.* (2007:205) are of the view that this flexible institutionalisation is connected to the main characteristics of SI and that it facilitated (i) innovative social relationships within the organisation as well as with users and the citizenry and (ii) attempted to disperse participation in governance processes. In this case, Moulaert *et al.* (2007:205) report that the Leoncavallo centre was successful in "avoiding fixed procedures for responding to human needs".

The Netherlands adopted a collaborative user approach premised on citizens' involvement in the co-planning and co-design of their localities in 2011 (OECD 2011:57). Titled "The Netherlands Virtual City", this collaborative user approach involved the use of information communication technology as the basis for the planning, re-designing, and reconstruction of projects for the city (OECD 2011:57). The citizens took an online tour of the virtual city that allowed them to become acquainted with proposals and ideas for improvements. In addition to this, they engaged in debates with other citizens and finally also voted for different designs (OECD 2011:57). Implemented in cities in the Netherlands such as Tilburg, Apeldoorn, and Helmond, through online voting, debates and discussions, SI resulted in the reconstruction of a marketplace after a ten-year process. Driven by new citizen thinking in service innovation, debates have resulted in sustainable solutions, proposals have become transparent, and there have been fewer court interdicts to stop redevelopment plans. It has been reported that the success of the virtual city approach has resulted in its adoption in a number of cities that experienced planning challenges, and it ultimately culminated in acceptable solutions for all stakeholders (OECD 2011:57). The concept of stakeholder(s), for the purpose of this study, will include those (LG officials, academics, and citizens) with an interest or stake in LG (Swanepoel *et al.* 2014:9–10).

Developing countries affiliated to BRICS (Brazil, Russia, India, China, and South Africa) have, to a lesser extent, adopted the use of SI by its LGs. In China, for example, the process of so-called "managed innovation" emerged, where government plays a supporting role by providing funding and leadership, as well as fulfilling a monitoring and management role (Jing & Gong 2012:234). This managed innovation process facilitates inclusive participation in innovation, where citizens become more involved in service delivery and its regulation. Similar inclusive approaches have also been adopted in other developing countries affiliated to BRICS (Cipolla & Moura 2012:44; Hart, Jacobs, & Mhula 2013:29).

In Brazil, SI programmes have even been embarked on in collaborations with other developing countries in Africa (Cipolla & Moura 2012:44). Amongst these is the promotion of “direct dialogues between creative communities” in Africa and Brazil through the “Africa-Brazil Dialogs” project (Cipolla & Moura 2012:46). Through this project a reciprocal exchange of solutions and ideas occurs between African and Brazilian communities who then apply these ideas to their contexts or use them to improve current solutions (Cipolla & Moura 2012:46). The design-for-SI approach, which entails stimulating new SI processes, whose outcome is new connections between social actors resulting in local social change, has also been explored in Brazil (Cantù, Corubolo, & Simeone 2012, cited in Cipolla *et al.* 2016:366). Amidst an increased demand for services for Brazil’s ageing population, through this approach, new forms of collaboration are planned and structured between the ageing population and companies in order to develop new services incorporating new approaches that embrace active aging of the Brazilian population (Cipolla *et al.* 2016:370, 373).

India has likewise adopted SI practices to improve the livelihoods of poor communities and to address their needs (Hart, Jacobs, & Mhula 2013:29). This approach to innovation has resulted in India adapting its National System of Innovation (NSI) through the incorporation of policies suited to address its local challenges (Hart, Jacobs, & Mhula 2013:29), instead of merely basing its policies on western methodologies. India has also launched a national contest on SI, hosted in January 2017, with the objective to identify innovators who are making a social impact on India’s socio-economic problems through the development of “commercially viable solutions” to these problems (Government of India 2016).

In Russia, the potential of SI is explored with the development of the Russian civil society in mind (National Research University Higher School of Economics 2014). Further, the potential of Russian non-profit organisations, as well as their contributions in developing social innovations, has been examined (Krasnopolskaya & Mersyanova 2014:40). Social innovation activities in Russia feature a website where citizens can report holes in and damage to roads (Kwasnicki 2014). A similar project is a crowdsourcing website, where Russian citizens can report problems linked to public spaces. Once the problem has been reported, the system notifies state and LG authorities, after which a service organisation eliminates the problem (Kwasnicki 2014).

Three statements support the rationale for this study

- (i) An increased use of SI in LG service delivery globally warrants exploration of its use Grimm *et al.* (2013:437) assert that it is imperative that SI should become the driver of systemic changes in the twenty-first century.

To this extent, SI has become a driver of change in how LG renders services. Through SI, it has become possible for LG to look beyond its own resource framework in its efforts to improve service delivery and to find appropriate solutions to service delivery challenges. This is of particular relevance to LG, where the use of SI appears to hold significant value for communities and LGs themselves and for improving service delivery. Furthermore, SI has been demonstrated to have positive impacts on LGs globally. These positive impacts

include, amongst other things, social needs being identified more efficiently and speedily, solutions that are better targeted, improved efficiency of services, cheaper services, the promotion of an active citizenry, and “easing the adverse social effects of existing budget cuts” (Lauritzen 2012:5; Phills, Deiglmeier, & Miller 2008, cited in Grimm *et al.* 2013:438). Despite the significant value of SI for communities and LG service delivery improvements, its positive impacts, and its growing prominence in LG service delivery, SI has not been prioritised in the research agenda of Public Administration (PA) as a discipline and public administration as practice (Venter & Landsberg 2011:84). Public administration as practice refers to an open, interactive and dynamic system in which state authority is used in diverse ways in order to achieve public results (Bourgon 2010:205). A system refers to “a set of rules, and arrangement of things, or a group of related things” working towards a common goal (YourDictionary 2017a). A system is also defined as a method or organised scheme and “a set of procedures and principles” forming the basis of how things are done (YourDictionary 2017a). As such, public administration as practice as an open, interactive, dynamic system comprises a method to organise, manage, administer, and control the state and involves interaction between public institutions and stakeholders (Venter & Landsberg 2011:84). For the purpose of this study, “LG administration” will be used henceforth to encapsulate this definition.

- (ii) A comprehensive understanding of the use of SI in LG service delivery is deemed important in order to inform a framework for the enhanced use of SI during LG service delivery.

The use of SI as a policy instrument by some LGs does not mean that it can simply be duplicated in different LG settings. The reason for this is that the local context determines the use of SI as well as the potential actors who may participate in SI. Research is therefore required to inform the development of a framework for enhancing the use of SI in a particular LG setting where it is currently underutilised. Furthermore, it is necessary to develop a framework that would benefit an LG setting that is challenged with providing sustainable service delivery (South African Customer Satisfaction Index (SACSI) 2015). A study of this nature will allow a comprehensive understanding of the use of SI in LG service delivery by and between the CoG (EU) and the MMM (BRICS) respectively. Future collaboration between the CoG and the MMM based on their similarities and differences will benefit immensely from a study of this nature.

- (iii) Service delivery challenges in the MMM (FS province, SA) make it prudent to investigate alternative strategies, such as SI, to improve local government service delivery.

Managa (2012:3) states that the challenge of quality service delivery in SA over the years called for intervention in LG authorities – amongst which the Free State – by the South African government, in terms of the Constitution section 100(1) (b). It is reported that service delivery protests have increased in the past few years. These service delivery protests are attributed to (i) a lack of access to services such as electricity, water, and sanitation and (ii) a lack of responsiveness to citizen needs, amongst other things (Atkinson 2007, cited in Marais *et al.* 2008:55; Department of Cooperative Governance and Traditional Affairs (COGTA 2012). As a result of these service delivery protests and the South African Auditor General’s Report on the financial state

of Free State municipalities, the Free State Provincial Department of the Premier took a decision in 2012 to improve the capacity of its municipalities as well as its responsiveness. The improvement in municipal capacity would include stabilising and strengthening the management within municipalities in the Free State province (COGTA 2012).

Despite these efforts from the Free State province, recent statistics from Municipal IQ for the period January to September 2015 state that the Free State province is still experiencing service delivery protests (Municipal IQ 2015), and this indicates that there is still dissatisfaction amongst citizens in terms of the responsiveness of the Free State LG (FSLG) to their service delivery needs (Municipal IQ 2015). In 2015 the MMM, according to the South African Customer Satisfaction Index (SACsi), was ranked the second-worst performing of the eight South African metropolitan local authorities regarding citizen satisfaction. According to SACsi (2015), this performance of the MMM was attributed to a “lack of delivering municipal services”, amongst which the provision of potable water, problems with “storm water drainage pipes, roads that are of a deteriorating nature and the removal of refuse” (SACsi 2015). Despite improvements in the quality of services, fewer complaints per year and an improvement in the handling of these complaints, the MMM continues to be amongst the South African municipalities where the service delivery expectations of citizens are least satisfied (htxt.africa 2016; SACsi 2016).

In view of the increased need for the South African government to use innovation for purposes of service delivery (DST 2012:49), the need to induce LG participation in innovation (DST 2012:26), and the lack of municipal service delivery by the MMM, it is not only an opportune time but prudent to investigate SI as a strategy for improving LG service delivery. Given the challenges identified in the MMM as well as the apparent successes of the CoG in utilising SI to address similar challenges, a comparative perspective will be beneficial.

### **1.3 RESEARCH PROBLEM**

Social innovation appears only recently to have gained prominence in the South African policy environment as a vehicle for improving service delivery (Hart, Jacobs, Ramoroka *et al.* 2014:s.n.; Walwyn & Hagendijk 2012:13). It could therefore be expected that research reports appear to be limited pertaining to (i) how SI has influenced South African LG, (ii) the degree of citizen participation during service delivery, (iii) the use of SI by South African LG, and more specifically, (iv) the selected LG cases which are the focus of this study, namely the MMM and the CoG. The underlying under-conceptualisation of SI in policy documents and the lack of integration of SI in the South African NSI are also evident. This predicament persists even though the use of SI in the South African context appears to be consistent with the dual purpose of solving societal problems – including the delivery of services – as well as being a process to address societal problems (Grimm *et al.*, 2013:438; Chalmers, 2012:19).

Secondary research problems can be outlined in terms of (i) the relevance of conventional PA (nineteenth century and the first half of the twentieth century) (Osborne 2010a:10; Katsamunskaja 2012:75) and governance theories (ii)

the annual increase in South African LG service delivery protests, and (iii) the relevance of the IDP process when it comes to citizen participation.

(i) As for the difficulty governments have to remain responsive to complex societal problems, Bourgon (2010:207) lays this at the door of conventional PA and governance theories that are not effective in supporting twenty-first-century public service delivery complexities. A common shortcoming of the traditional public service delivery cycle and the New Public Management Theory (NPM) is they do not incorporate a shift to greater citizen participation in public service delivery. Citizen participation was eventually highlighted in the New Public Governance (NPG) Theory. This is amidst the contracting out of services and the application of competitive and non-competitive approaches to service delivery under NPM (Adams & Hess 2010:148). Adams and Hess (2010:148) suggest that societal problems remained unresolved under the NPM Theory and even increased due to the absence of citizen input. These conventional PA and governance theories appear to be ineffective in addressing the complex service delivery problems of the twenty-first century in that they neglect citizen participation.

(ii) A lack of quality service delivery has been a fundamental concern for South African citizens and has resulted in service delivery protests annually since 2004 (Kotze & Taylor 2010:199; Zama 2012:s.n.; Managa 2012:2–3). Alexandra, Runciman, and Ngwane (2013, cited in Netswera & Kgalane 2014:267) identify poor delivery of basic municipal services as the biggest reason for these service delivery protests in the South African LG. This is confirmed by Zama (2012:s.n.), who contends that non-transparent, ineffective and intermittent communication between government, as the provider of services, and citizens, as the users of services, has been identified by two Citizen Report Card Surveys carried out in SA as the core reason for service delivery protests in selected South African LGs (Zama 2012:s.n.). This disconnect between South African citizens and their government is exacerbated by a lack of accountability and a lack of LG administration capacity due to vacancies in key positions and the appointment of LG staff members who are not suitably qualified for the positions they occupy (SAIRR, n.d.:16). A further addition to this disconnect is that South African citizen participation in LG service delivery appears to be understood as the mere consultation of citizens during the planning phase of the LG integrated development planning (IDP) process.

(iii) The consultation of citizens through the IDP process results in their remaining passive recipients of South African LG services (Stumbraitė-Vilkišienė 2010:78), instead of actively participating in service delivery by influencing its direction and quality. This passiveness appears to be embedded in the political mandate of politicians, who often deliberately do not develop communities to take informed decisions. The mere fact that communities still see the IDP as a wish list is clearly an indication that they are ill informed. The question arises whether this situation is due to (i) a lack of municipal funding and unrealistic budget forecasts, (ii) a lack of sincere community consultation (Department of Provincial and Local Government 2008:2), or (iii) a lack of capacity and capabilities to implement the IDP (Department of Provincial and Local Government 2008:5).

## **1.4 AIM AND OBJECTIVES**

The aim of this study is to investigate the use of SI in LG service delivery through a comparative perspective between the CoG (East Flanders province, Belgium) and the MMM (Free State province, SA). A qualitative research design using a case study approach (Rule & John 2011:9) was applied. The methodology employed to support the achievement of this aim comprised a three-stage process, namely a conceptual stage, theoretical stage, and empirical stage, and will be discussed in Chapters 5 and 6 respectively. Within the framework of these three stages, the objectives of the study are:

- (i) to analyse PA and governance literature and theories influencing the use of SI (this objective will be addressed in Chapter 2)
- (ii) to delineate the extent to which citizen participation underpins SI during LG service delivery (this objective will be addressed in Chapters 2, 3, 5, and 6)
- (iii) to determine the nature of co-production in SI during LG service delivery (this objective will be addressed in Chapters 2, 5, and 6)
- (iv) to investigate the extent to which governance systems influence the use of SI in LG service delivery (this objective will be addressed in Chapters 3, 5, and 6)
- (v) to present a framework for enhancing the use of SI for improved service delivery by the MMM (this objective will be addressed in Chapter 7).

## **1.5 RESEARCH QUESTIONS**

The research questions that emerge from the conceptual framework are:

- (i) How do governance systems influence the use of SI during LG service delivery?
- (ii) How does citizen participation underpin SI during LG service delivery?
- (iii) How does co-production underpin the use of SI during LG service delivery?

## **1.6 SIGNIFICANCE OF THE RESEARCH**

This study is significant in four domains (as identified in Table 1): stimulating discourse within the PA discipline, South African policy agenda setting, LG use of SI, and LG service delivery. The research claims significance because it will present novel insights regarding similarities as well as differences in the use of SI by the MMM and the CoG. Adding to this, from a comparative perspective, this study provides evidence pertinent to the use of SI in LG service delivery in these demarcated areas by presenting lessons learnt from the MMM for CoG and vice versa, lessons learnt for practice, as well as possibilities for future research. Furthermore, SI is a nascent area for which the discourse is still under development, and it is a concept that is often the subject of debate in literature. Adding to the aforementioned, given the service delivery challenges in the MMM, the municipality could benefit from a framework regarding the use of SI for improving service delivery. The lack of literature and research regarding the use of SI for improved South African LG service delivery further underline the significance of the study. These contributions are outlined as follows:

**Table 1: Contribution of the research**

<b>PA discipline</b>
<ul style="list-style-type: none"><li>▪ Stimulate the discourse regarding the use of SI in the discipline of PA as well as in practice.</li><li>▪ Establish the use of SI in LG service delivery as a priority on the PA research agenda.</li><li>▪ Encourage scholars to investigate the relevance of the conventional PA and governance theories for addressing the complex service delivery problems of the twenty-first century.</li></ul>
<b>South African policy agenda-setting</b>
<ul style="list-style-type: none"><li>▪ Generate research that could contribute to the policy agenda pertaining to LG service delivery in the MMM (Free State province) and CoG (EF province).</li><li>▪ Contribute to a paradigm shift in the existing South African policy environment regarding the use of SI in service delivery.</li></ul>
<b>LG use of SI</b>
<ul style="list-style-type: none"><li>▪ Introduce the importance of co-production (see Figure 2) in SI during LG service delivery.</li><li>▪ Present a framework for enhancing the use of SI for improved service delivery by the MMM.</li><li>▪ Present novel insights that could inform future collaboration between the CoG and the MMM based on exchanges aimed at improving LG service delivery.</li></ul>
<b>LG service delivery</b>
<ul style="list-style-type: none"><li>▪ Promote the integration and inclusion of citizens in service delivery and SI.</li><li>▪ Establish a platform for future collaboration between the CoG and the MMM, specifically with regard to the use of SI during LG service delivery.</li><li>▪ Present novel insights regarding similarities as well as differences in the use of SI by the MMM and CoG.</li></ul>

## **1.7 CHAPTER OUTLINE**

The thesis comprises seven chapters. Chapter 1 provided a broad outline of this study. It comprised a rationale for the study (section 1.2), the research problem (section 1.3), the aim and objectives (section 1.4), the research questions (section 1.5), the significance of the research (section 1.6), the outline of the respective chapters (section 1.7) as well as some concluding remarks (section 1.8).

Chapter 2 will present a conceptual framework for using SI in LG service delivery, and is the first stage (conceptual stage) of three in the qualitative research design used for this study. The chapter commences with an introduction (section 2.1.) and in section 2.2, PA and governance literature and theories with an impact on the use of SI in public sector service delivery will be analysed. Section 2.3 contains an investigation of how SI is conceptualised, and section 2.4 offers a conceptual framework for using SI in LG service delivery. In section 2.5, concluding remarks are offered to Chapter 2.

Chapter 3 will address the second stage (theoretical stage) of the research design, which is to provide perspectives on local governance and the use of SI in LG service delivery. Chapter 3 will further address the three research questions. This chapter comprises an introduction in section 3.1 and a discussion of the complexity of local governance (section 3.2). Section 3.2 reflects on PA theory and governance systems (section 3.2.1), governance models (section 3.2.2), decentralisation (section 3.2.3), and power structure (section 3.2.4). Local governance systems and the use of SI during LG service delivery is probed in section 3.3, which focuses on governance systems and service delivery (section 3.3.1). In section 3.3.1 the nexus between good governance and service delivery (section 3.3.1.1), as well as service delivery in open and closed governance systems (section 3.3.1.2) are reflected on. Subsequently, section 3.3.2 analyses governance systems and the use of SI in LG service delivery and specifically reflects on the nexus between good governance and citizen participation (section 3.3.2.1), and SI in both open and closed governance systems. In section 3.4, the internal organisational context needed for the use of SI during local government service delivery is reflected on. This section includes actions underpinning the use of SI in LG service delivery (section 3.4.1), the LG internal environment conditions for SI (section 3.4.2), and twenty-first-century challenges impeding the use of SI by LG (section 3.4.3). In section 3.5 concluding remarks to Chapter 3 are made.

Chapter 4 presents the research approach, design and methodology chosen for the study, all of which will be validated in section 4.2. Following the introduction, in section 4.2 the methodology as well as the stages in the research design are explained. Within the framework of the selected research approach, the qualitative research design using a case study approach will be explained (section 4.3). The population and sample size are presented in section 4.4, followed by descriptions of the method of data collection (section 4.5) and the data analysis strategy (section 4.6). The reliability and validity of the data collection instruments that were used are discussed in section 4.7. Ethical considerations are discussed in section 4.8, and concluding remarks to Chapter 4 are made in section 4.9.

Chapter 5 address the third, empirical, stage (Table 5) of the research design, and focuses on the three research questions relevant to this study. Chapter 5 starts with an introduction in section 5.1, and the response results in section 5.2. Sections 5.3 to 5.5 report the responses of the participants (the academic's, officials', and citizens' perspectives respectively) on SI and service delivery by the CoG. Subsequent to this, section 5.6 presents a critical analysis of the findings from the case of the CoG. In section 5.7, concluding remarks to Chapter 5 are offered.

Chapter 6, which also addresses the third stage (empirical stage, Table 5), and also focuses on the three research questions relevant to this study, reports the findings of the case of the MMM. Following the introductory remarks in section 6.1, section 6.2 reports the response results. Thereafter, the academic's perspective (section 6.3), officials' perspective (section 6.4) and citizens' perspective (section 6.5) on SI and service delivery by the MMM

are reported. Subsequently, a critical analysis of the findings from the case of the MMM is presented (section 6.6). In section 6.7, concluding remarks to Chapter 6 are made.

Chapter 7 presents a framework for enhancing the use of SI for improved service delivery. In section 7.1 introductory remarks are presented, followed by respondents' perspectives concerning a framework for enhancing the use of SI for improved service delivery (section 7.2). Section 7.3 presents lessons learnt from a comparative perspective (section 7.3.1), from the CoG for the MMM (section 7.3.1.1), from the MMM for the CoG (section 7.3.1.2), for practice (section 7.3.1.3), and finally for future research (section 7.3.1.4). Subsequently, the achievement of the aim, objectives and research questions is discussed in section 7.4. Section 7.5, which makes recommendations, presents a framework for enhancing the use of SI for improved service delivery in LG by the MMM (section 7.5.1). Section 7.6 concludes this chapter as well as the dissertation.

## **1.8 CONCLUDING REMARKS**

In this chapter, section 1.2 outlined the rationale for this study, namely (i) an increased use of SI in LG service delivery globally warrants exploration of its use, (ii) a comprehensive understanding of the use of SI in LG service delivery is deemed important in order to inform a framework for the enhanced use of SI during LG service delivery, and (iii) service delivery challenges in the MMM makes it prudent to investigate alternative strategies such as SI in order to improve local government service delivery.

Section 1.3 discussed the main research problem as well as secondary research problems which were outlined in terms of (i) the relevance of conventional PA and governance theories, (ii) the annual increase in South African LG service delivery protests, and (iii) the relevance of the IDP process when it comes to citizen participation. Subsequently, the aim and objectives (section 1.4) of the study were discussed, followed by the research questions (section 1.5). The fourfold contribution of this research was presented in section 1.6 in respect of its areas of significance, namely stimulating discourse within the PA discipline, South African policy agenda-setting, LG use of SI, and LG service delivery. Finally, the layout of this thesis was discussed in the chapter outline in section 1.7.

## **CHAPTER 2: CONCEPTUAL FRAMEWORK FOR USING SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

### **2.1 INTRODUCTION**

Traditional ideas and conceptions regarding the planning, design, delivery, and evaluation of services in the public sector have become ineffective (Bovaird 2007:846). This implies that conventional approaches to service delivery in the public sector may no longer be relevant, and calls for a reform in public sector service delivery that incorporates innovation. Bartlett and Dibben (2010:108) affirm this and further argue that with increased fiscal pressure, it has become requisite for the public sector to investigate new, innovative ways to “achieve more with less”. For the purpose of this study, the public sector, as explained by Venter and Landsberg (2011:83), refers to individuals employed in the local governments and provincial administrations, the public service, the national Botanical Institute, parastatal institutions of the state and their employees, and public corporations such as the SABC and Eskom and their employees. In this respect, Osborne (2010b:5) contends that innovation is featuring prominently in the discourse of public policy. Adams and Hess (2008:1) also report that the interface between the community and public management shows an increased interest in SI to address policy deficits, specifically in using SI in LG service delivery.

Chapter 2 begins with a theoretical background in section 2.2, which is achieved by analysing PA and governance literature and theories that influence the use of SI in public sector service delivery. Section 2.3 investigates the conceptualisation of SI, and section 2.4 offers a conceptual framework for using SI in LG service delivery. Finally, section 2.5 offers concluding remarks to Chapter 2.

### **2.2 PUBLIC ADMINISTRATION AND GOVERNANCE THEORIES INFLUENCING THE USE OF SOCIAL INNOVATION IN PUBLIC SECTOR SERVICE DELIVERY**

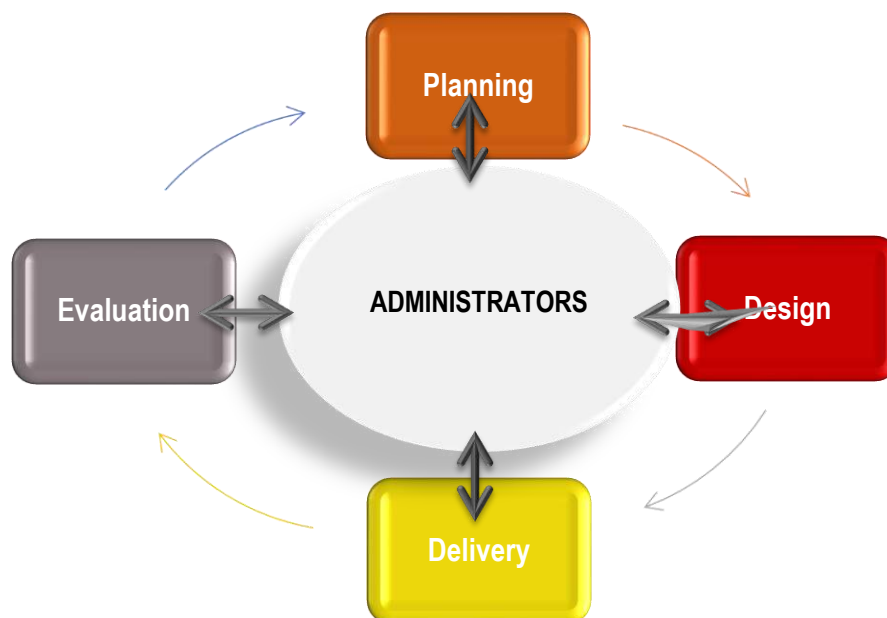
Bourgon (2010:207) is of the view that the difficulties governments face in responding to the complex societal problems in the context of public service delivery do not primarily emanate from a lack of knowledge. Instead, Bourgon (2010:207) lays this difficulty at the door of conventional PA and governance theories, which appear not to be effective for public service delivery complexities of the twenty-first century (also supported by Osborne 2010b:1). These conventional theories do not adequately consider the role of citizens in deriving solutions to complex societal problems. This highlights the significance of PA theories influencing the use of SI in public sector service delivery.

Section 2.2 investigates PA and governance theories that have highlighted the need for a shift in government responsiveness to complex societal problems through collaboration with citizens in public sector service delivery. Aspects considered in the investigation are the theoretical roots and key elements of these theories, and their significant contributions and shortcomings are reflected on (Table 3). In this regard, section 2.2.1 focuses on the

public service delivery cycle. Sections 2.2.2 and 2.2.3 are dedicated to the theories considered fundamental to innovation in public service delivery, namely NPM and NPG.

### 2.2.1 Traditional public service delivery cycle

Traditionally public service delivery has been conceptualised as a cycle comprising four consecutive stages, namely “planning, design, delivery, and evaluation” (OECD 2011:37), as illustrated in Figure 1. In this traditional cycle, the prominent role of administrators in service delivery is still dominant in all four stages. When public administrators plan, design, deliver, and evaluate services (Pestoff 2014:1416, 1419; Fledderus, Brandsen, & Honingh 2014; Torfing & Triantafillou 2013, cited in Fledderus & Honing, 2015:2) and citizens as service users do not participate in the stages, the latter become passive recipients of services. Furthermore, participation should not be limited to only selected stages as this would influence the degree to which citizens are likely to participate and may even discourage them from participating.



**Figure 1: Traditional service delivery cycle** (Source: Adapted from OECD, 2011:37)

A further concern pertaining to this traditional approach lies in the separation of these consecutive stages. If the administrators separated these stages, it would have a direct impact on the effectiveness of the use of SI in service delivery. This separation could further have an impact on sustainable and quality service delivery. Against this background, the following PA and governance theories are investigated: PA theory, NPM theory, and NPG theory.

### 2.2.2 Public Administration theory

Conventional PA theory has its theoretical roots in public policy and political science (Osborne 2010a:10; Katsamunska 2012:75). According to Osborne (2010a:8), PA theory was concerned with making and implementing policy through a closed system of government. This closed system translated into the rule of law being dominant;

the administering of set guidelines and rules; the bureaucracy assuming a central role in the making and implementation of policy; and professionals being central to public service delivery (Frederickson *et al.* 2012:2; Osborne 2010a:2–3). All of these are regarded as key elements of PA theory, but apart from these key elements, PA theory has also made significant contributions with reference to service delivery, though it has some shortcomings (Table 3). One significant contribution of PA is the shaping of democratic participation amongst citizens (Ariely 2013:752). Public Administration theory has further contributed towards a framework for the functions of government (Rosenbloom 2013:386) and introduced the separation of powers, namely legal (judiciary), political (legislature), and managerial (executive) approaches to government (Rosenbloom 2013:386).

Public Administration theory, however, emerged as hegemonic in the public sector with regard to service delivery (Osborne 2010a:8), as illustrated in Figure 1. Though this hegemony could be premised on public administrators acting in the interest of the public (Bovaird 2007:846) by placing them central to public service delivery, it, however, excluded citizens as service users from any participation in the service delivery cycle (Fledderus *et al.* 2014; Torfing & Triantafyllou 2013, cited in Fledderus & Honing 2015:2). This exclusion can be highlighted as the second shortcoming of PA theory with regard to service delivery.

Pollitt, Bouckaert, and Löffler (2006:6) refer to public sector organisations as closed systems comparable to “black boxes” in which the mentioned stages of the service delivery cycle (Figure 1), as executed by the administration, were dependent on internal relationships. There has been a call to replace this passive role of citizens as service users in the traditional cycle of public service delivery with a model in which co-participation is central (OECD 2011:37). This led to the development of the concept of so-called co-production. This effort was a response to the complex demands and needs of heterogeneous societies, perceived changes to the legitimacy of government, and citizens demanding increased transparency from public sector organisations (Pollitt *et al.* 2006:6). Thus, co-production directly contributed to a closed system of government opening up (Pollitt *et al.* 2006:6). What this highlights is that a closed governance system that is predicated on administrative hegemony of the administration restricts citizen participation and SI in public sector service delivery.

### **2.2.3 New Public Management theory**

According to Osborne (2010a:10) and Thoenig (2011:6), NPM has its theoretical roots in relational as well as public choice theory and management studies. New Public Management, which spread from the latter part of the 1970s, contributed to the development of a new discourse for the implementation of public policy and service delivery in the public sector (Diefenbach 2009b:892; Osborne 2010a:3; Denhardt & Catlaw 2015:131). Osborne, Radnor, and Nasi (2012:137) contend that NPM was introduced in response to the critique of traditional PA theory, which perceived government officials as self-serving individuals who advance their own needs above those of the citizens. Adding to this, Diefenbach (2009b:893) states that the introduction of NPM encompasses value statements and assumptions that make propositions regarding the design, management, and organisation of public sector organisations as well their functioning in a business-like manner. In addition, NPM aimed at increasing

service providers' responsiveness to citizens as service users (Bovaird 2007:846). Key elements of NPM are: (i) focus on lessons from private sector management, (ii) entrepreneurial leadership within public service organisations, (iii) an emphasis on controlling inputs, outputs, evaluation, performance management, and audit; (iv) a focus on cost management and breaking down of public services into their most basic units (Diefenbach 2009b:894; Osborne 2010a:3–4; Denhardt & Catlaw 2015:131). Apart from these key elements, NPM theory also made significant contributions with reference to service delivery, though it had some shortcomings (Table 3).

New Public Management made several significant contributions to the evolution of public service delivery in the 1990s. A significant contribution made by NPM was the introduction of the use of competition to allocate resources (Hood 1991, cited in Osborne, Radnor, & Nasi 2012:137; Osborne 2006:379). Recasting the role of citizens to that of customers introduced a concern for performance management in public service delivery (Hood 1991, cited in Osborne, Radnor, & Nasi 2012:137; Osborne 2006:379). The incorporation of private sector management lessons and principles in public service delivery (Hood 1991, cited in Osborne, Radnor, & Nasi 2012:137; Denhardt & Catlaw 2015:155) demanded competitive bidding as well as initiating non-competitive partnerships (Djellala, Gallouja, & Milesb 2013:107). The latter provided access to the capacity, skills, and resources of different public sector entities (OECD 2011:27), an additional significant contribution of NPM to service delivery. Its significance was further established in public procurement underpinned by competition for tenders that served as a lever to guarantee customer satisfaction and the efficient allocation of resources. The establishment of new partnership arrangements with non-governmental actors through formal contracts became the core means of interaction between the delivery agents and government (OECD 2011:26). New Public Management introduced a new as well as innovative approach to public service delivery and addressed the challenges presented by traditional PA.

However, making public service delivery more efficient by applying private sector service principles did not prove to be successful (Leadbeater & Cottam 2007, cited in OECD 2011:27). This point of departure emphasised a lack of consideration as to how service improvement could be achieved from the perspective of citizens as service users (OECD 2011:26–27). A second shortcoming of NPM was that the public sector managers were entrusted with the sole responsibility for innovation in service delivery (Sørensen & Torfing 2011:857). What appeared to be missing were the divergent perspectives, insights, and innovative solutions that citizens as service users affected by service delivery problems could offer. This indeed had an effect on government responsiveness to service delivery challenges such as inclusiveness, improved satisfaction of citizens as users, trust, and quality (OECD 2011:27). The fact that public sector managers were attributed the sole responsibility for innovation likewise excluded citizens as service users from participating in service delivery (Diefenbach 2009b:896). This exclusion subsequently resulted in the limited achievement of success in government responsiveness.

The assumption that the incorporation of private sector management lessons and principles would result in improving the efficiency and effectiveness of public services did not prove to be the most practical approach (Thatcher 1995, cited in Osborne 2006:379). The reason being that societal problems are too complex to be

managed like a private sector business (Leadbeater & Cottam 2007, cited in OECD 2011:27). Furthermore, it illustrates that open systems of governance (associated with NPM) would not automatically result in sustainable, quality, and quantity service delivery, as this depends extensively on who participates in devising solutions, the delivery of services, as well as governing them. Thus, an open system of governance can guarantee neither improved solutions to the complex societal problems citizens face nor the better governance of services.

Regardless of these shortcomings, NPM has been instrumental in emphasising the need to recognise the role of citizens as users in service delivery. Although the aforementioned was not implemented under NPM, it highlighted and resulted in the extension of partnerships beyond the public sector to citizens, a concept well captured in NPG (Pollitt *et al.* 2006:6).

#### **2.2.4 New Public Governance theory**

New Public Governance is considered as a response to the complex, fragmented, and plural nature with which public policy implementation and service delivery in the twenty-first century is confronted (Lynn 2010:109; Osborne, McLaughlin, & Chew 2010:191). New Public Governance, rooted in institutional and network theory, focuses on interorganisational relationships and how processes are governed (Lindsay, Osborne, & Bond 2014:193; Osborne 2010a:9). It integrates the governance of these interorganisational relationships as well as the efficacy of the systems of public service delivery (Osborne, Radnor, & Nasi 2012:135–136). The interorganisational nature of these relationships stems from the notion of a plural state on which NPG is built (Osborne, McLaughlin, & Chew 2010:191). In a plural state, multiple interdependent actors contribute to public service delivery (Osborne, McLaughlin, & Chew 2010:191). Key elements of NPG include (i) a concern with plural and pluralist states; (ii) a focus on the organisation in its environment; (iii) negotiation of values, meanings, and relationships, and (iv) allocating resources through relational contracts and networks (Lindsay *et al.* 2014:194; Osborne 2010a:10). Apart from these key elements, NPG theory has made significant contributions but also has shortcomings with reference to service delivery (Table 3).

The contribution of NPG is the fact that interdependent and pluralistic relationships between government and citizens result in a citizen-centred approach. Such an approach is aligned with inclusiveness, and the adoption thereof can lead to solutions to societal problems. New Public Governance further emphasises the central role that citizens as service users play in the design and delivery of public services (Pestoff 2014:1419). This central role is related to the policymaking process. Public service delivery is therefore recognised by NPG as interrelated with other aspects of LG (Lindsay *et al.* 2014:194; Fledderus & Honingh 2015:2). New Public Governance has been instrumental in the reform of public service delivery, with greater citizen participation appearing to be more acceptable in NPG than in traditional PA and NPM (Pestoff 2014:1420).

A shortcoming of NPG, similar to that of NPM, is the separation of the planning and design stages of services from the delivery stages of services (the traditional public service cycle approach shown in Figure 1) (Osborne &

Strokosch 2013:34). This separation appears to be counterproductive to service delivery. It therefore becomes clear from the shortcomings of traditional PA, NPM, and NPG regarding the citizen participation in LG service delivery that a theory should be considered that will be able to position citizen participation as central to LG service delivery. Against the background, the theoretical roots, key elements, significant contributions, and shortcomings of these three theories are summarised in Table 2.

**Table 2: Public Administration and governance theories influencing the use of social innovation in public sector service delivery**

<b>PUBLIC ADMINISTRATION</b>		
Theoretical roots: public policy and political sciences		
<b>KEY ELEMENTS</b>	<b>SIGNIFICANT CONTRIBUTIONS</b>	<b>SHORTCOMINGS</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Rule of law is dominant.</li> <li><input type="checkbox"/> A set guidelines and rules is administered.</li> <li><input type="checkbox"/> Bureaucracy assumes a central role in policymaking and implementation.</li> <li><input type="checkbox"/> Professionals are central to public service delivery.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Shapes democratic participation amongst citizens.</li> <li><input type="checkbox"/> Framework for the functions of government.</li> <li><input type="checkbox"/> Separation of powers: legal (judiciary), political (legislature), and managerial (executive).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Places administrators rather than citizens central to public service delivery.</li> <li><input type="checkbox"/> Excludes citizens as service users from any participation in the service delivery cycle.</li> <li><input type="checkbox"/> Prior to 1970s, hegemony of the public sector with regard to service delivery.</li> </ul>
<b>NEW PUBLIC MANAGEMENT</b>		
Theoretical roots: Relational as well as public choice theory and management studies.		
<b>KEY ELEMENTS</b>	<b>SIGNIFICANT CONTRIBUTIONS</b>	<b>SHORTCOMINGS</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Lessons from private sector management.</li> <li><input type="checkbox"/> Entrepreneurial leadership within public service organisations.</li> <li><input type="checkbox"/> Controlling inputs, outputs, evaluation, performance management and audit.</li> <li><input type="checkbox"/> Cost management and breaking down of public services into their most basic units.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Utilises competition to allocate resources.</li> <li><input type="checkbox"/> Recasting the role of citizens to that of customers causes a concern for performance management in public service delivery.</li> <li><input type="checkbox"/> Incorporates private sector management lessons and principles.</li> <li><input type="checkbox"/> Demands competitive bidding and initiates non-competitive partnerships.</li> <li><input type="checkbox"/> Access to the capacity, skills, and resources of different public sector entities.</li> <li><input type="checkbox"/> Public procurement underpinned by competition for tenders which served as a lever to guarantee customer satisfaction and the efficient allocation of resources.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Lack of consideration as to how service improvement could be achieved from the perspective of citizens as service users.</li> <li><input type="checkbox"/> Public sector managers are entrusted with the sole responsibility for innovation in service delivery.</li> <li><input type="checkbox"/> Absence of divergent perspectives, insights, and innovative solutions that citizens as service users could offer.</li> <li><input type="checkbox"/> Lack of government responsiveness to service delivery challenges.</li> <li><input type="checkbox"/> Public sector managers are entrusted with the sole responsibility for innovation.</li> </ul>

	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establishment of new partnership arrangements with non-governmental actors through formal contracts.</li> <li><input type="checkbox"/> Innovative approach to public service delivery.</li> <li><input type="checkbox"/> Addresses the challenges presented by traditional PA.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Excludes citizens as service users from participating in service delivery.</li> </ul>
<p><b>NEW PUBLIC GOVERNANCE</b> Theoretical roots: Institutional and network theory.</p>		
<p><b>KEY ELEMENTS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> A concern with plural and pluralist states.</li> <li><input type="checkbox"/> Focus on the organisation in its environment.</li> <li><input type="checkbox"/> Negotiation of values, meanings, and relationships.</li> <li><input type="checkbox"/> Allocation of resources through relational contracts and networks.</li> </ul>	<p><b>SIGNIFICANT CONTRIBUTIONS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Inclusive approach to societal problems.</li> <li><input type="checkbox"/> Interdependent and plural relationships between government and citizens results in a citizen-centred approach.</li> <li><input type="checkbox"/> Inclusiveness and the adoption of an inclusive approach to societal problems.</li> <li><input type="checkbox"/> Emphasises the central role that citizens as service users play in the policymaking process and the design and delivery of public services.</li> <li><input type="checkbox"/> Public service delivery is recognised as interrelated.</li> <li><input type="checkbox"/> Instrumental in the reform of public service delivery, with greater citizen participation appearing to be more acceptable than in traditional PA and NPM.</li> </ul>	<p><b>SHORTCOMINGS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Separation of the planning and design stages of services from the delivery stages of services.</li> </ul>

Source: Adapted from Osborne (2010a; OECD 2011; Osborne, Radnor, & Nasi 2012).

From this section, it can be concluded that PA and governance theories have played an important role in shaping service delivery in the twenty-first century. The inclusion of citizens as users in contemporary governance is probably the most significant contribution of all the theories. It is therefore necessary to investigate the magnitude of this influence on the use of SI in public sector service delivery. Furthermore, the evaluation of these theories illustrates that an open system of governance would not automatically imply improvements in the sustainability, quality, and quantity of service delivery. It denotes that such service delivery improvements might depend on who participates in deriving solutions and who delivers and governs services. Conversely, it appears that an open system of governance is also not necessarily indicative of better solutions to the complex societal problems citizens face or better governance of services through SI.

To summarise, section 2.2 has argued that the traditional public service delivery cycle (Figure 1), including traditional PA and governance theories, limits citizen participation as well as SI in service delivery. In addition, it was demonstrated that the governance approaches inherent in these theories could either enhance or limit citizen participation and, as a result, SI in public sector service delivery. In the next section, the conceptualisation of SI is investigated.

### **2.3 CONCEPTUALISING THE USE OF SOCIAL INNOVATION**

According to Mair and Martí (2006; see also Marshall 2011; Pol & Ville 2009; Sullivan, Weerawardena, & Carnegie 2002; Zahra *et al.* 2009, cited in Maclean, Harvey, & Gordon 2013:749), there have been numerous attempts to conceptualise the concept of SI, and not only within the discipline of PA. The origin of SI can be traced back to historical social movements (Banks 1972, cited in Chalmers 2012:20), local community development initiatives from the 1970s (Benington 1985; Moulaert & Sekia 2003, cited in Chalmers 2012:20), as well as the entrepreneurial philanthropy of Robert Owen (Mulgan *et al.* 2007:10) and Andrew Carnegie (Harvey, Maclean, & Gordon 2011, cited in Chalmers 2012:20). From its nascence, a heightened interest in SI grew and has resulted in SI receiving attention in policy and research as well as from practitioners and the educational community (Shaw & De Bruin 2013:737). Similarly, the public sector took an interest in SI due to (i) budget constraints, (ii) the need for public sector activities to be supported through SI (Voorberg *et al.* 2013:3; Phillips *et al.* 2015:4), (iii) the inability of traditional PA and governance theories to address contemporary societal problems, and (iv) public administrators' lagging success in resolving societal problems (Adams & Hess 2008:4). Social innovation therefore seems to resonate with policymakers, politicians, as well as citizens (Voorberg *et al.* 2013:3).

Although Bourgon (2010:199) refers to a public sector reform that transcends the boundaries of the relationship between government and citizens through creative solutions such as SI, in order to achieve better public value in service delivery, there still appears to be concern regarding the conceptualisation of SI in the service delivery context of PA (also supported by Osborne 2010a:5). There is a tendency to focus on technological innovation instead of SI, the latter of whose meaning remains vague and ambiguous (Grimm *et al.* 2013:437). This vagueness originates from the fact that SI is used across a range of fields and activities that have attributed it with a variation

of distinct but also related meanings. Some consider this to be a weakness, whilst others see it as a strength. Further, this ambiguity and vagueness stems from the fact that SI is considered by some as a process (embracing networks, collaboration, cooperation, and co-production amongst other things), whereas others only focus on its application to address societal problems (Murray, Caulier-Grice, & Mulgan 2010:3; Grimm *et al.* 2013:438). There also appears to be ambiguity regarding the financial gains linked to SI and service delivery (Iizuka 2013:8). Whereas technological innovation often comfortably provides a financial benefit, this gain is not always that visible when it comes to SI. Howaldt and Schwarz (2010; see also Moore 1995, cited in Voorberg *et al.* 2013:3) comment that SI contributes to the creation of public value beyond technological financial gains. Nonetheless, even with a lack of clarity, several SI definitions have emerged in literature over the years. In these definitions, three schools of thought are presented regarding how SI can be utilised (section 2.3.1). The schools of thought are grouped according to observed variables – “anything with the quality or quantity to vary can be considered as a variable” (Web Centre for Social Research Methods 2017) – gathered from literature.

### **2.3.1 Schools of thought in conceptualising the use of social innovation**

#### **2.3.1.1 Social innovation as a goal**

In the first school of thought, SI is used to address societal problems (Cipolla & Moura 2012:40; OECD 2014; Mulgan 2006:146; Pol & Ville 2009:881; Hart, Jacobs, Ramoroka *et al.* 2014:s.n.). When SI is used in this way, it results in the delivery of new services (OECD 2014) with the primary aim of creating public value (Marshall 2011, cited in Maclean *et al.* 2013; Kattel *et al.* 2013:s.n.). Thus, SI becomes goal oriented (Mulgan 2006:146; Pol & Ville 2009:881; OECD 2014; Grimm *et al.* 2013:438; Bouchard 2012:50, cited in Phillips *et al.* 2015:431). This school of thought is discussed without precluding that there may be other variables that underpin the conceptualisation of SI, both in general but also when it is considered as goal-oriented.

Social innovation is about more than merely satisfying human needs and goes far beyond this initial purpose. It is fundamental that through the satisfaction of human needs, the wellbeing of society is improved. In this regard, Martinelli (2013, cited in Kattel *et al.* 2013:s.n.) talks about the creation of new services. A similar concept is mentioned in the 2014 OECD report on partnering with citizens and civil society. In both cases, mention is made of equal access to services, responsiveness to social needs, and improved quality of life. Mulgan (2006:146) and Pol and Ville (2009:881) further describe SI as a means to an end for improved quality of life. The notions proposed in the literature by the following authors also support this first school of thought:

- The improvement of society’s well-being is congruent with the creation of social value (Marshall 2011, cited in Maclean *et al.* 2013:750).
- There is growing recognition of the potential of SI to address current societal problems (Cipolla & Moura 2012:40).
- Social innovation is described as a new solution to an unsatisfactory situation or to a problem (Harrison, Chaari, & Comeau-Vallée 2012:5).

Kelly, Mulgan, and Muers (2002, cited in O'Flynn 2007:358) describes public value as the value that governments create through their actions, laws, regulations, and services. Value in this context relates to social cohesion, economic prosperity, as well as cultural development of society as a whole as opposed to individuals benefitting (O'Flynn 2007:358; Phills *et al.* 2008, cited in Grimm *et al.* 2013:438). The creation of public value contributes to reinforcing a resilient and active citizenry at a community level (Bourgon 2010:212). This is of particular relevance when policy issues necessitate a change in societal behaviour and thus exceed the regulatory and legislative powers of government (Bingham, Nabatchi, & O'Leary 2005, cited in Bourgon 2010:203). The second school of thought is where SI is used as a process to address societal problems (Chalmers 2012:19; Mumford 2002:253; Hart, Jacobs, Ramoroka *et al.* 2014:s.n.).

#### 2.3.1.2 Social innovation as a process

When SI is used as a process (Kattel *et al.* 2013:s.n.; Grimm *et al.* 2013:438), it results in stakeholder collaboration (networks, self-organising amongst actors, and cooperation) and new governance relations. These relations require SI to become process oriented, which could alter the flow of authority with reference to the governance of services. Moulaert, Martinelli, Swyngedouw, & González (2005:1979) contend that SI as a process results in new governance relations which, together with stakeholder collaboration and empowerment, form the cornerstone of this second school of thought. These variables are discussed without precluding that there are other elements that might shape the conceptualisation of SI.

Collaboration is described as when, amongst other things, money and expertise are contributed by stakeholders with the aim of sharing the creation of something new (Thomson & Perry 2006:20; Chalmers 2012:19). In the context of innovation, Tucker (2014:4) maintains that for innovation to have the desired outcome, relevant stakeholders should participate in an innovation's design, adoption, and implementation. Such collaboration is supported by Chalmers (2012:19) as well as Huddart (2012:7), who hold the view that it is necessary for government to forge new partnerships and collaborations in support of innovation amidst environmental and social pressures in the twenty-first century. Contributions can include sharing experiences, information, skills, resources, and knowledge (Hilvert & Swindell 2013:250). In addition to the fact that these contributions denote the innovation process as beneficial to the stakeholders who collaborate in it, they further facilitate interaction with affected actors to derive solutions to complex societal problems (Nambisan 2008, cited in Sørensen & Torfing 2011:857).

Of significance is the fact that although SI may focus on a specific locality, the participating stakeholders might not necessarily be confined to this area. Stakeholder collaboration may occur across jurisdictional and organisational boundaries (Bason 2010; Sørensen & Torfing 2011:845). This indicates what could be considered a valuable attribute of SI for the public sector, namely that it is not limited to the sole participation of public administrators but also includes stakeholders, who could even be from outside its geographical area of jurisdiction (Baxter *et al.* 2010, cited in O'Byrne *et al.* 2014:54). What is thus evident is that SI does not occur in the absence of stakeholders and that the contributions of these stakeholders become invaluable to the SI process against the backdrop of

contemporary societal problems and pressures. These contributions that constitute stakeholder collaboration are essential to achieve a certain SI outcome and in themselves also constitute the process of SI. Hence, these contributions constitute the resources that are essential to achieve a particular SI outcome. The nature of the resources that are mobilised during the SI process ultimately defines the nature of the stakeholder collaboration. Collaboration with a diverse group of actors is required to solve specific problems through SI (Harrison *et al.* 2012:5). In turn, these resource contributions alter the traditional relations between stakeholders, citizens, and government, which highlights another variable in the conceptualisation of SI, namely new governance relations.

The variable of new governance relations is described as the framework for exercising authority – whether administrative, social, economic, or political – at international, national, and local levels (McQuaid 2010:142). The exercising of this authority is premised on striking a balance between the capabilities, accountabilities, responsibilities, and roles of different stakeholders. The participation of stakeholders in the delivery and regulation of services posits the potential to change the hierarchical relationship between government and its citizens to a pluralistic one (Teets 2012:16). The engagement of citizens as partners in service production and delivery results in a power shift when these citizens who used to be service users become service providers (OECD 2011:12). The boundaries of the citizen-government relationship also evidently change. These changes as a result of SI reshape the construct of the citizen-government relationship by giving citizens greater participatory roles in the governance of services (Moulaert *et al.* 2005:1976). Swyngedouw (2009:74) asserts that although governance occasionally sees the development of new relationships between society and “the act of governing”, there are also counter-tendencies that surface during the implementation of “socially innovative local and urban development initiatives” and the associated regulatory frameworks for these. Swyngedouw (2009:74) further cautions that whilst new governance relations may see the presence of new societal actors as well as some rising to prominence, governance could also result in the continued exclusion of some societal actors and the diminishing of the power position held by actors or groups that were part of earlier government forms. What can be deduced from this is that SI alters the way a system operates by challenging the rudimentary processes of governance that dictate people’s conduct as well as power and resource distribution (Westley & Antadze 2010:3).

Hence, SI ultimately results in new governance relations which Swyngedouw (2005:1994) describes as being based on four features that are distinctive but also common (also mentioned by Schmitter 2000:4). The first is interaction of a horizontal nature between participants who are presumed to be equal regardless of whether they are located in the private or public sector. Regular exchanges between a set of fixed interdependent actors who are also independent of one another is presented as the second feature. Guaranteed access to the initial stages of the cycle of decision-making, and representation of categories of actors through organised participation makes up the third feature. Finally, the governance capacity of communities becomes enhanced (European Commission 2011:3). The enhanced capacity of communities could therefore be considered as a direct benefit of these new governance relations. However, on the one hand, new governance relations could be perceived as shifting the boundaries of public accountability. On the other hand, new governance relations could equally enhance public

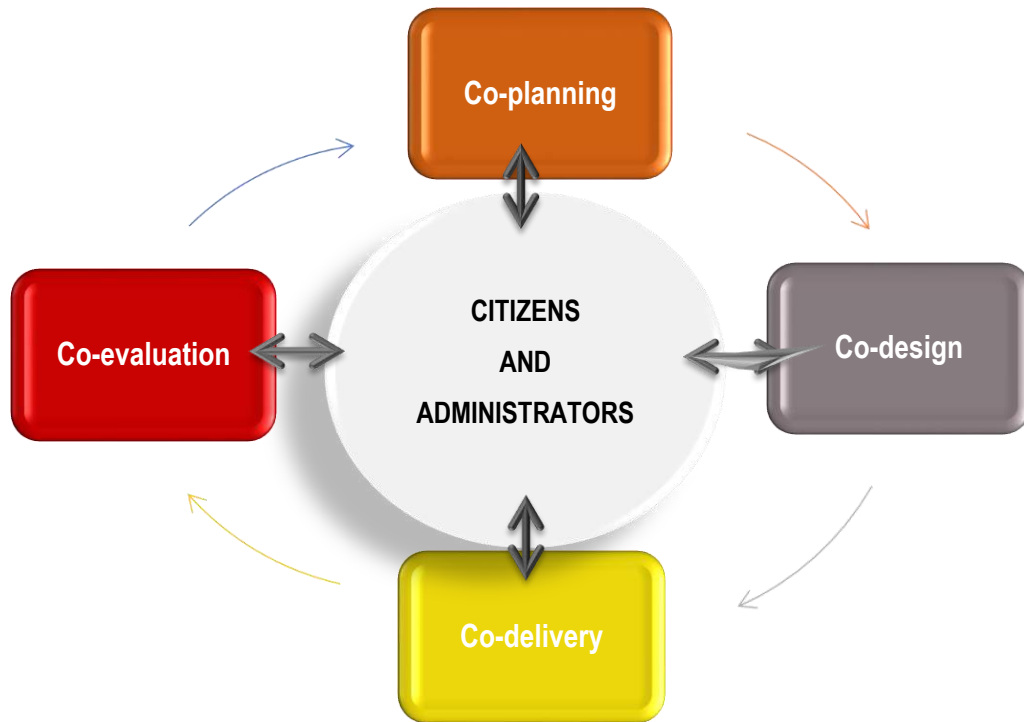
accountability through the participation of citizens and the sharing of responsibilities, power, and risks (Denhardt & Denhardt 2003; Kettl 2002, cited in Bourgon 2010:203).

### 2.3.1.3 The dual purpose of social innovation

When SI is used according to the third school of thought, it serves a dual purpose that comprises finding solutions but also building relationships in order to find such solutions (Sharra & Nyssens 2010, cited in Chalmers 2012:19; Grimm *et al.* 2013:438). Even though this dual purpose is considered as separate processes by the first two schools of thought, it can be concluded that the goal of both the first and the second schools of thought is to address societal problems. This is regardless of whether SI results in the use of services to address societal problems, or as a process that entails collaborations to find solutions to these problems. However, Sen (1999) and Novy (2002, cited in Novy, Hammer & Leubolt 2009:131) caution that the independent pursuit of these dual purposes (or dimensions, as they are referred to by these authors) is detrimental to an integrated development approach. Variables underpinning the conceptualisation of SI in the context of its dual purpose are thus discussed next. These variables are co-production and citizen participation, and are discussed without precluding that there could be other elements that shape the conceptualisation of SI in terms of its dual purpose.

Co-production transcends the rudimentary consultation of citizens as service users through their participation in the creation of services (OECD 2011:18, 31). The variable of co-production which is regarded as a source of creating public value (OECD 2011:31) is described as the process of defining the contents of services in collaboration with citizens as service users, as well as the implementation of such services (Bovaird 2007; Needham 2008; Pestoff & Brandsen 2010, cited in Stenvall, Laitinen, Ursin, Virtanen & Kaivo-oja 2014:23). Underpinned by recognition from government administrators that they do not have all the knowledge or solutions regarding the circumstances of service users (Stenvall *et al.* 2014:25), through co-production, the engagement of service users provides government administrators with added information. Co-production results in improved quality and quantity of service delivery, which consequently enhance traditional forms of service delivery (Brodny & England 1983; Pestoff 2006, cited in Osborne 2010b:6) and lead to higher citizen satisfaction because services are customised to their needs (Stumbraitė-Vilkišienė 2010:86; Verschuere, Brandsen, & Pestoff 2012:1093; Djellala *et al.* 2013:107; Vamstad 2012:1176).

Unlike the traditional PA, NPM, and NPG theories which often separate the stages of the traditional service delivery cycle (Figure 1), the variable of co-production does not separate these stages (Vargo, Maglio, & Akaka 2008, cited in Osborne 2010b:6). In addition, citizens as service users are central to the design and delivery of public services in the respective stages (illustrated in Figure 2), whilst government administrators take the lead with reference to implementation (Stenvall *et al.* 2014:23; Pestoff 2014:1419). Thus, co-production reduces the limits on ordinary citizen participation in the process of producing public services (Ostrom 1999, cited in Pestoff 2014:1418).



**Figure 2 : Co-production service delivery cycle**

Contrary to the traditional service delivery cycle (Figure 1), co-production entails consecutive stages of co-planning, co-design, co-delivery, and co-evaluation (OECD 2011:37), as illustrated in Figure 2. Figure 2 illustrates, first of all, how citizens become more assertive about the services that are delivered to them (Pestoff & Brandsen 2010:227). Second, they start to realise the contribution they can make towards their relationship with government as the producer of services (Pestoff 2009:204; Osborne 2010a:230; Ostrom 1999, cited in Pestoff 2014:1418). This awareness culminates in an interdependent relationship between government administrators and citizens as service users (Bovaird 2007:856). Underpinned by citizen participation, this interdependence is not only a variable of SI, but also seems to be an integral element of co-production. This emphasises the next variable underpinning the conceptualisation of SI in terms of its dual purpose, namely citizen participation.

Citizen participation is central to the ideology of democracy. Citizen participation is defined as efforts that are organised to achieve increased control over institutions of a regulatory nature – as well as their resources – by those who are excluded from such control (Stiefel & Wolfe 1994:71, cited in Van der Waldt 2014:27). Control in this context refers to citizens' participation in the governance of services (Kattel *et al.* 2013:s.n.). Citizen participation is mandated by four groups, namely (i) voters, (ii) citizens who contribute to policy processes through representative and stakeholder organisations (Jing & Gong 2012:234), (iii) end users who expect affordable services and value for money, and (iv) organised partners who contribute to the mobilisation of resources for development purposes (Mhone 2003:220, cited in Van der Waldt 2014:27; Jiménez Escobar & Morales Guetiérrez

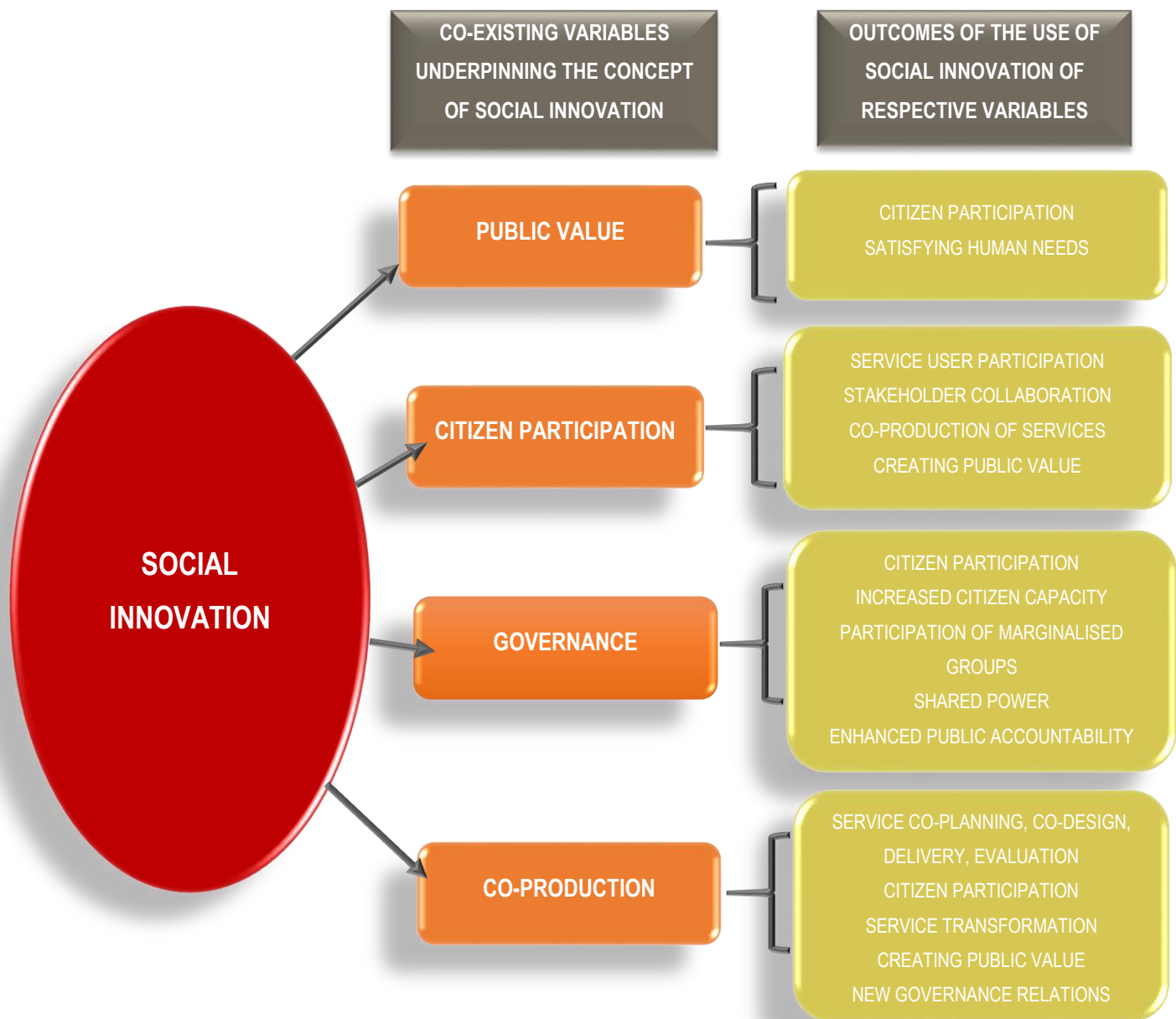
2011:35). Bourgon (2010:199) proposes that through their contributions, citizens can participate as value creators, as change agents, and as users who are required to attain public results.

Through their contributions, citizens have gained increased relevance (Jiménez Escobar & Morales Guetierrez 2011:38) with regard to their role in finding solutions to societal problems and problems in public sector service delivery. Adopting these solutions includes expanding citizens' capacity as new actors and as organised partners (Adams & Hess 2010:144; Jiménez Escobar & Morales Guetierrez 2011:35). The expansion of their capacity enables citizens to make a notable contribution to the creation of public value, and such contributions can be made in terms of different levels of input (Adams & Hess 2010:144). Hirschman (1970, cited in OECD 2011:39) and Bourgon (2010:201–202) identify the respective levels of citizen participation as voice, choice, contribution, and control.

Voice which, complementary to choice, is regarded as a user-driven mechanism, relates to citizens' and communities' voices being integrated in applicable aspects of PA (Bourgon 2010:201). The exercising of voice, which can constitute collective action or a personal complaint, includes feedback to improve programmes, interaction with service providers and policymakers to achieve improved results, programmes and decision-making, and platforms allowing citizens to “hear each other's voices” (Wilson 2009:572; Mehrotra 2006:268; Bourgon 2010:201). Choice involves citizens choosing from available options and exercising discretion (Wilson 2009:572; Bourgon 2010:201; Hirschman 1970, cited in OECD 2011:39). Contribution, the third level of participation, entails notable citizen participation in co-producing a service (Osborne & Strokosch 2013:37). The fourth level of input, namely control, is based on citizens' ability to make certain decisions regarding services and their commissioning (Osborne & Strokosch 2013:37).

### **2.3.2 Co-existing variables underpinning the conceptualisation of social innovation**

Variables that exhibit similarities are stakeholder collaboration and citizen participation. The similarity between these variables stem from the fact that stakeholders appear to form part of the definition of citizen participation and can therefore be integrated into the variable of citizen participation. Thus, instead of repeating variables that appear to be similar in nature, it is unnecessary to see stakeholder collaboration and citizen participation as two distinct and separate variables underpinning the conceptualisation of SI. This integration will not detract from stakeholder collaboration as an underpinning variable of SI, but instead, stakeholder collaboration is now considered within the framework of citizen participation. Based on this integration, the variables in respect of the conceptualisation of SI are presented in Figure 3.



**Figure 3: Co-existing variables underpinning the conceptualisation of social innovation**

Figure 3 is based on the premise that the use of SI is centred on two central themes, namely being goal-oriented (section 2.3.1.1) and being process-oriented (section 2.3.1.2). Within these two central themes there are variables underpinning the conceptualisation of SI that appears to reoccur. These variables are public value, citizen participation, governance, and co-production (Figure 3), and they appear to be interrelated during the use of SI. The interrelatedness between these variables is evident in that one variable influences the others, and thus the variables in the conceptualisation of SI could be interpreted as co-existing. This inference can be seen, for example, in that the context of being able to create public value, citizen participation is required (Moore 1995, cited in Teicher, Alam, & Van Gramberg 2006:87). This citizen participation, in turn, will alter governance relations and result in the

co-production of services (Figure 3) (Denhardt & Denhardt 2003; Kettl 2002, cited in Bourgon 2010:203; Moulaert *et al.* 2005:1976; Voorberg *et al.* 2013:3; OECD 2011:12) in order to ultimately create public value through SI.

## **2.4 CONCEPTUAL FRAMEWORK FOR USING SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

Figure 3 clearly identifies the variables underpinning the conceptualisation of the use of SI. This figure was developed by critically analysing literature and formal research on SI. In Figure 4, a conceptual framework is presented for the use of SI in LG service delivery. The variables defined here will be consistently applied throughout the thesis. The conceptual framework places the creation of public value as the centre and takes it as the point of departure for using SI in LG service delivery (Figure 4). From this, it can be concluded that even though there are several variables that underpin the conceptualisation of SI (Figure 3), it is always predicated on creating public value. For the purpose of this study, four variables will inform the aim and objectives of this study. A demarcation of these four variables is presented in Figure 4 and they are subsequently discussed.

Improving society's well-being by addressing societal problems through citizen participation during LG service delivery.

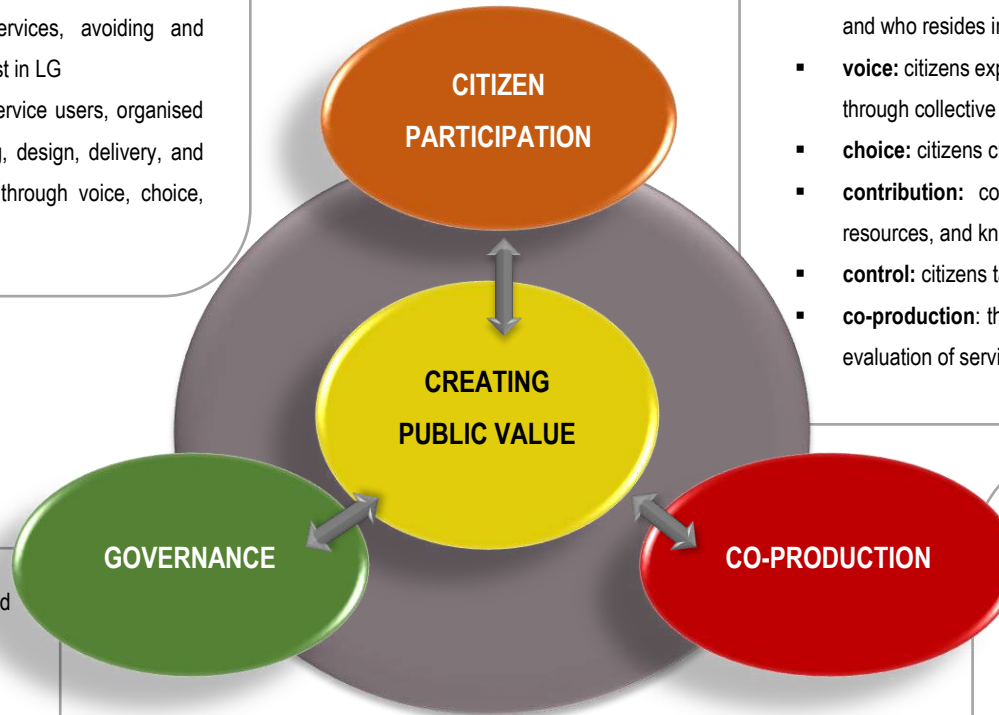
**ENCOMPASSES**

- **satisfying human needs:** satisfying basic needs that are unmet or alienated
- **creating value:** creating improved services, avoiding and reducing societal problems, increased trust in LG
- **citizen participation:** citizens (voters, service users, organised partners) who participate in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control

The participation of citizens in the planning, design, delivery, and evaluation of services, whether through voice, choice, contribution, or control.

**ENCOMPASSES**

- **service users:** citizens who receive services from a public sector organisation and who expect responsive and affordable services as well as value for their money
- **citizen:** a user of services provided by a public sector organisation or LG authority and who resides in the jurisdiction of the LG authority
- **voice:** citizens expressing their opinions or providing feedback regarding a service through collective action or a personal complaint
- **choice:** citizens choosing from available options and exercising discretion
- **contribution:** contributions in the form of experiences, information, skills, resources, and knowledge
- **control:** citizens taking decisions regarding services and their commissioning
- **co-production:** the participation of citizens in the planning, design, delivery, and evaluation of services by LG



The participation of citizens in the delivery and regulation of services through shared powers.

**ENCOMPASSES**

- **citizen participation:** the participation of citizens in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control
- **shared power:** The participation of citizens in the regulation and management of services
- **open governance system:** facilitating citizen participation in the service delivery cycle
- **closed governance system:** excluding citizen participation in the service delivery cycle

Citizen participation during the planning, design, delivery, and evaluation of services by LG.

**ENCOMPASSES**

- **service co-planning:** citizen participation in service planning through voice, choice, contribution, or control
- **service co-design:** citizen participation in service design through voice, choice, contribution, or control
- **service co-delivery:** citizen participation in service delivery
- **service co-evaluation:** citizen participation in service evaluation
- **citizen participation:** the participation of citizens in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control
- **service transformation:** an improvement in the quality and quantity of service delivery by customising services according to citizens' needs

**Figure 4: Conceptual framework for the use of social innovation in local government service delivery**

Kelly *et al.* (2002, cited in O'Flynn 2007:358) describes public value as the value that government creates through its actions, laws, regulations, and services, and against these, resources are allocated, delivery systems are determined, and performance is measured. The variable "creating public value" will be defined as improving society's well-being by addressing societal problems through citizen participation during LG service delivery. The creation of public value will encompass SI in the following (see Figure 5):

- satisfying human needs: satisfying basic needs that are alienated (Moulaert *et al.* 2005:1976)
- creating value: creating improved services, avoiding and reducing societal problems, increasing trust in LG
- citizen participation: citizens (voters, service users, organised partners) who participate in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution or control.

Citizen participation is defined as efforts that are organised in order to achieve increased control over regulatory institutions and their resources by those who are excluded from such control (Stiefel & Wolfe 1994:71, cited in Van der Waldt 2014:27). Citizen participation as a variable for the use of SI will be defined as the participation of citizens in the planning, design, delivery, and evaluation of services, whether through voice, choice, contribution, or control. Citizen participation will encompass service users and citizens using voice, choice, contribution, control, and co-production (see Figure 4). These concepts are defined as follows:

- service users: citizens who receive services from a public sector organisation and who expect responsive and affordable services as well as value for their money (Draai & Taylor 2009:115)
- citizen: a user of services provided by a public sector organisation or LG authority and who resides in the jurisdiction of that authority
- voice: citizens expressing their opinion or providing feedback regarding a service through collective action or a personal complaint (Wilson 2009:572)
- choice: citizens choosing from available options and exercising discretion (Wilson 2009:572; Bourgon 2010:201; Hirschman 1970, cited in OECD 2011:39)
- contribution: contributions in the form of experiences, information, skills, resources, and knowledge (Voorberg *et al.* 2013:3)
- control: citizens taking decisions regarding services and their commissioning (Osborne & Strokosch 2013:37)
- co-production: citizens' participation in the planning, design, delivery, and evaluation of services by LG.

Co-production is described as encompassing voluntary citizen participation in the partial production of their own services, as well as the process of defining the contents of services in collaboration with service users and the implementation of such services (OECD 2011:38; Bovaird 2007; Needham 2008; Pestoff & Brandsen 2010, cited in Stenvall *et al.* 2014:23). The variable of co-production, for the purpose of this study, is defined as comprising citizen participation during the planning, design, delivery, and evaluation of services by LG. Co-production will encompass the co-planning, co-design, co-delivery, co-evaluation of services; citizen participation; and service transformation (see Figure 4), and these are defined as follows:

- service co-planning: citizens' participation in service planning through voice, choice, contribution, or control
- service co-design: citizens' participation in service design through voice, choice, contribution, or control
- service co-delivery: citizens' participation in service delivery
- service co-evaluation: citizens' participation in service evaluation
- citizen participation: citizens' participation in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution or control
- service transformation: an improvement in the quality and quantity of service delivery by customising services according to citizens' needs (Stumbraitė-Vilkišienė 2010:86; Verschuere *et al.* 2012:1093; Djellala *et al.* 2013:107; Vamstad 2012:1176).

Governance is described as the process during which a government or administration governs by exercising power through the use of a specific system of rule (YourDictionary 2017b). The variable of governance is defined as citizens' participation in the delivery and regulation of services through shared powers. Governance encompasses citizen participation, shared power, open governance system, and closed governance system:

- citizen participation: citizens' participation in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control
- shared power: citizens' participation in the regulation and management of services
- open governance system: a system of governance that facilitates citizen participation in the service delivery cycle
- closed governance system: a system of governance that excludes citizen participation in the service delivery cycle (Fledderus *et al.* 2014; Torfing & Triantafillou 2013, cited in Fledderus & Honing 2015:2).

## 2.5 CONCLUDING REMARKS

In this chapter, section 2.2 analysed PA and governance theories that have an impact on the use of SI in public sector service delivery (sections 2.2.2, 2.2.2, and 2.2.3). These PA theories – traditional PA, NPM, and NPG – were analysed in respect of their theoretical roots, key elements, significant contributions, and shortcomings. These theories were further analysed in terms of their impact on the use of SI in public sector service delivery. In section 2.3, it was highlighted that the conceptualisation of SI is centred on two central themes, namely being goal-oriented process-oriented, and within these two themes there are elements that reoccur when SI is conceptualised in literature (section 2.3.1). Apart from the fact that these elements – the creation of public value, citizen participation, co-production, and the governance of services – reoccur during the conceptualising of SI, it is significant that they are interrelated (section 2.3.1). The interrelatedness of these elements, which means they co-exist during the use of SI in LG service delivery, was emphasised (section 2.3.1.3).

In section 2.4, the conceptual framework for the use of SI in LG service delivery was presented. The stages that were followed in Chapter 2 were illustrated (Figure 4) and explained. Chapter 3 will address the second stage

(theoretical stage) of the research design, which is to investigate the extent to which governance systems influence the use of SI in LG service delivery.

## **CHAPTER 3: PERSPECTIVES ON LOCAL GOVERNANCE AND THE USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

### **3.1 INTRODUCTION**

Governance, identified as a variable in the conceptual framework for using SI in LG service delivery (Figures 3 and 4), forms the basis of the discussion in Chapter 3. Governance is described as the process during which a government or administration governs by exercising power through the use of a specific system of rule (YourDictionary 2017b). Based on this definition, local governance entails a process during which “governing outcomes” are dependent on collaboration between a complex set of actors and institutions from LG as well as its external environment (Stoker 1998a:19). Local governance requires LG to improve its functionality by becoming a provider of services, increasing the satisfaction of service users, developing good local governance, and empowering citizens to plan and manage their own affairs (Loffler 2005:169, cited in Öktem 2014:753). In addition, local governance obliges LG to become a builder of the public’s trust in the services LG provides by engaging in democratic dialogue with citizens, by being accountable, and through transparent processes (Loffler 2005:169, cited in Öktem 2014:753; Hyden 1992, 2000, cited in Ratha & Mahapatra 2013:4). This transparency is attained through reciprocal openness between citizens and LG (Musa, Bebić, & Durman 2015:417). Jorna (2015:161) is of the view that openness and transparency are requirements of local governance. However, it could be argued that the extent to which openness and transparency are evident during local governance is often determined by the local governance system applied, which could likewise be a deterrent or stimulus of citizen participation.

The remainder of this section reflects on PA theory and governance systems (section 3.2.1), governance models (3.2.2), decentralisation (3.2.3), and power structures (3.2.4), and it underlines the complexity of local governance. Thereafter, the influence of local governance systems on the use of SI during LG service delivery is probed in section 3.3. In doing this, section 3.3.1 reflects on the influence of governance systems on service delivery. As part of section 3.3.1, the nexus between governance and service delivery is reflected on in section 3.3.1.1. Service delivery systems in an open versus a closed governance system are discussed in section 3.3.1.2. Subsequently, section 3.3.2 reflects on the impact of governance systems on the use of SI in LG service delivery. The section includes a discussion of the nexus between governance and citizen participation (section 3.3.2.1), and a reflection on the use of SI in an open versus a closed governance system (section 3.3.2.2). Sections 3.3 and 3.4 then discuss the organisational context of the use of SI during service delivery by LG. As such, section 3.4 includes actions underpinning the use of SI in LG service delivery (section 3.4.1), LG’s internal environment conditions for SI (section 3.4.2), and factors impeding the use of SI by LG (section 3.4.3). Finally, concluding remarks to this chapter are offered in section 3.5.

## **3.2 THE COMPLEXITY OF LOCAL GOVERNANCE**

### **3.2.1 Public Administration theory and governance systems**

The PA theory (traditional PA, NPM, and NPG) adopted within LG will have a direct influence on its ability to be more transparent to citizens, to bring government closer to citizens, and to exercise accountability to citizens (Torres, Pina, & Basilo 2006:298). This is visible in governments where the central government sets common features for service delivery, even for its LGs. In other words, the PA theory adopted by an entire government would spread through the different government levels and their administrations. Torres *et al.* (2006:298) are of the opinion that the adopted PA theory would dictate the governance system within an LG administration (Figure 5). The type of governance system, which results from the adopted PA theory, will, first, determine the application of the regulatory framework for decision-making and, second, determine whether citizens participate in decision-making. Therefore, it could be argued that the PA theory has the potential to either deter or encourage citizen participation in the governance of services. The implication of this is that if that PA theory does not include citizens in the governance of services, the ability of LG to include citizens in the local governance of services could be impaired.

It is argued that the outcomes of government and governance are not that divergent from one another. According to Stoker (1998a:17), government and governance are instead similar and merely use different processes to achieve their outcomes. As such, governance is occasionally touted as a reinvented “form of government that is better managed” (Stoker 1998a:18). Even so, Stoker (1998a:17) highlights that various meanings have been used to define governance, but it is agreed that governance refers to the governing styles used to establish boundaries within public sector organisations. According to Ndou & Sebola (2015:61), this governing style or order cannot be imposed externally, although it comprises and is the result of the interaction of a multiplicity of actors that influence this governance process (also supported by Kooiman and Van Vliet 1993:64, cited in Stoker 1998a:17). It is therefore evident that the choice of the PA theory and the local governance system is determined by central government and filters through to LG. The influence of the PA theory and local governance system on service delivery and citizen participation in governance should therefore not be underestimated. It is thus accepted that a governance model (Figure 5) is an effort to execute what the governance system intended.

### **3.2.2 Governance models**

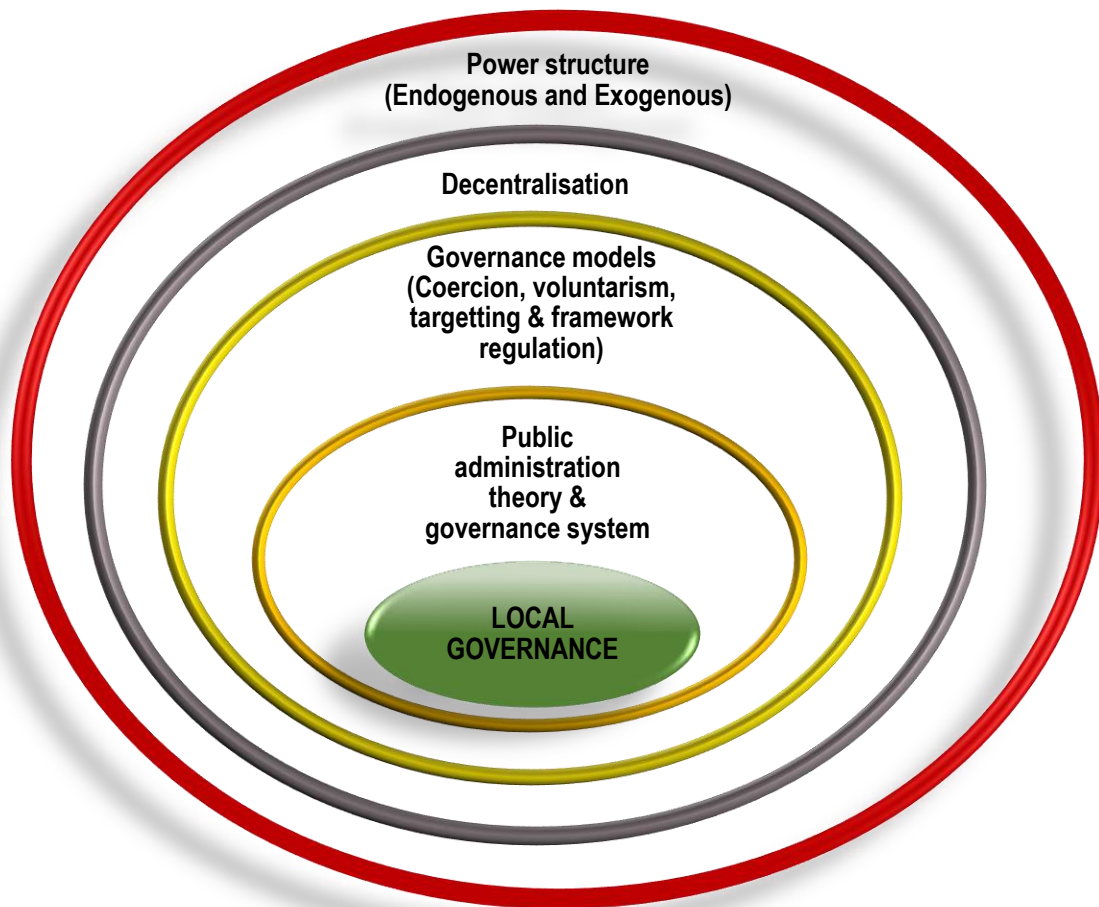
Governance models emerge from the conglomeration of legal instruments that are used, namely non-binding recommendations, conclusions, and declarations; binding requirements like decisions, regulations, and directives; and the associated procedures for the implementation of these binding and non-binding requirements, which could either be rigid or flexible (Treib, Bähr, & Falkner 2005, cited in Monteiro 2014:206). This implies that these binding and non-binding instruments provide structure for the type of governance model that a public sector organisation adopts. Four governance models are identified, namely coercion, voluntarism, targeting, and framework regulation (Monteiro 2014:206) and are discussed below (see also Figure 5).

The governance model of coercion entails “legal tools” that are binding (Monteiro 2014:206; Weber 2002:624). These legal tools, such as decisions, regulations, and directives which is implemented, are of a highly standardised nature (Monteiro 2014:206; Weber 2002:624). The governance model of “framework regulation” entails binding tools and how these can be fulfilled through ideal goals or other divergent conducts (Monteiro 2014:206, Brunet & Aubry, 2016:1598). The governance model of voluntarism encompasses the use of instruments that are non-binding, that is, recommendations, conclusions, and declarations, as well as broad goals that are adjusted per case (Monteiro 2014:206). The governance model of targeting also entails non-binding instruments such as recommendations, but their implementation is less flexible (Monteiro 2014:206). This means that a targeting governance model allows government to govern exclusively, with no sharing of decision-making power and processes with citizens. However, governance could be shared by government and citizens. In terms of the latter governance model, interaction between citizens and government is based on joint actions, a shared purpose, mutual values, and the attainment of benefits that would not be possible through independent actions (Stoker 1998b; Rakodi 2003, cited in Swyngedouw 2009:65). This shared governance model can be compared with what Swyngedouw (2005:1999) refers to as a system of “governance-beyond-the-state” and is characterised by interactive relations based on networks and horizontal interactions between actors who share a “high degree of trust”.

According to Swyngedouw (1997, 2004, cited in Swyngedouw 2009:71) “governance-beyond-the-state” incorporates the “deregulation of state functions”, “upscaling of governance”, and the “downscaling-of-governance”.

- (i) Government functions are externalised through deregulation, denoting less government interference in areas such as environmental and social life, whilst more actors become self-governed within the rules and frameworks prescribed by central government (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71; Castree 2008:142).
- (ii) The upscaling of governance involves a system where national governments delegate regulatory functions or tasks to, for example, the World Trade Organisation, the International Monetary Fund, or the European Union (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71).
- (iii) The downscaling of governance comprises the incorporation of new societal actors into the act of governing (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71). This downscaling of governance can also occur by transferring functions to communities but without transferring “adequate power and resources” to them (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71). This is typically found when local governance incorporates the participation of citizens in sharing responsibilities. What often seems to be missing in the downscaling of governance is the sharing of power, which is a pivotal aspect of citizen participation in LG service delivery.

The significance of a governance model lies in the support derived from self-organised networks of divergent social stakeholders (OECD 2001a, 2001b; Kooiman 2003; Kjaer 2004; Wilson 2008; Faguet 2011, cited in Monteiro 2014:206). These networks often demand autonomy in local decision-making, and power distribution that is more balanced. There is a sentiment that some governance models, amongst which the occurrence of governance-without-government, could weaken the abilities of government (Rhodes 1997; Peters 2002, cited in Monteiro 2014:207) if local decisions are based on the pursuit of personal interests, conflicting values, and goals opposed to collective goals (Geddes 2006; Weber & Khademian 2008; Wang 2011, cited in Monteiro 2014:207).



**Figure 5: Complexity of local governance**

### 3.2.3 Decentralisation

Decentralisation is defined as transferring administrative, judicial, and legislative authority from higher to lower levels of government (Reddy 1999:16, cited in Reddy 2010:67). Decentralisation can also entail sharing decision-making authority with “lower levels within an organisation”, sharing power at a lower level and within a system, creating new mechanisms in a system, and sharing power with external agencies or organisations (Meenakshisundaram 1994:11, cited in Reddy 1999:16). The decentralisation of power and decision-making processes appears to be intrinsic to the concept of governance (Stoker 1998a:18–19; Tiebout 1956, cited in

Mitchell & Bossert 2010:672). The most advanced form of decentralisation of power and decision-making, known as devolution, enables LG to discern citizens' preferences and needs (Ribot 2002, cited in Mitchell & Bossert 2010:671). With devolution, LG authorities are given greater autonomy of decision-making, which requires of them to stay accountable to their local constituents in the decisions that they make regarding the governing of their localities (Mehrotra 2006:264; Yilmaz, Beris, & Serrano-Berthet 2008, cited in Mitchell & Bossert 2010:671). However, the decentralisation of power and decision-making processes by government suggests that governance is not exclusively vested in LG. Therefore, decentralisation contributes to citizens having increased control over decisions taken by LG, as well as citizen participation and oversight in LG decision-making processes (Mitchell & Bossert 2010:672). Governance is also in part attributed to the fact that decentralisation augments opportunities for citizens' "interest in public affairs" (de Tocqueville & Reeve 1835; Tiebout 1956, cited in Mitchell & Bossert 2010:672; Denhardt & Catlaw 2015:47).

In view of the aforementioned, decentralisation encapsulates the reforming of policies and institutions in respect of securing the input of stakeholders (Paavola 2007; Lockwood *et al.* 2010, cited in Mitchell, Lockwood, Moore, & Clement 2015:2). Even so, it appears that this is not always the case when LG is given decentralised powers through devolution. The reason for this is that in some countries, LG is often used as a mere extension or implementation agent of central government's policies. This predicament leaves LG with limited power in the process of decentralisation. Not only does this have a bearing on LGs' ability to take decisions independently of central government regarding the localities that they govern, but it also has a bearing on citizens' participation during local governance. Apart from LG performing subsidiary functions on behalf of central government, the cause of this dependence on central government is often as a result of a lack of resources (fiscal resources, expertise, and human capital) within LG. In addition to decentralisation, power structures also underpin the complexity of local governance (Figure 5), as reflected on below.

### **3.2.4 Power structures**

Power structure, which is also referred to by some authors as the nature of authority that is wielded (Hyden 1992, 2000, cited in Ratha & Mahapatra 2013:4), is concerned with who influences LG decisions (Rodríguez-García & Navarro Yáñez 2016:128). In this regard, two factors can be used to establish the influence that citizens have in decisions (Stone 1989; Imbroscio 1998; Dowding 2001, cited in Rodríguez-García & Navarro Yáñez 2016:128). The first factor is related to the interest citizens have in decisions, which means that the level of salience a decision holds with stakeholders and citizens will determine their influence in the outcome of that decision. However, it can be argued that just because a decision is of salience to particular stakeholders does not mean that they have the power to influence the outcome of that decision. This might be the case for citizens for whom a service delivery decision holds salience but who do not have the power to influence the outcome of the decision taken by government in their favour. This indicates that the salience of an LG decision for citizens also determines their interest in that decision. In other words, if a decision will not have an impact on citizens, there may be no interest

to participate in decision-making processes concerning it. Another contention is that though a decision might be of salience to citizens, they may have developed apathy to participate due to a lack of confidence in the governance system or government.

The second factor relates to the informational, institutional and economic resources controlled by these stakeholders to carry out decisions (Stone 1989; Imbroscio 1998; Dowding 2001, cited in Rodríguez-García & Navarro Yáñez 2016:128). It can be reasoned that stakeholders in whom the control of resources is predominantly vested would have more power to influence the outcome of government decisions. This would imply that those stakeholders who do not hold power over resources to influence government would have limited advantage during their participation, and thus limited influence on LG decisions. This position concerning the control of resources does not appear to resonate in all government settings (Stone 1989; Imbroscio 1998; Dowding 2001, cited in Rodríguez-García & Navarro Yáñez 2016:128). It therefore seems that control over resources is not the sole determining factor for citizen participation during local governance, nor does power alone determine participation in governance. Thus, aside from the power of stakeholders being an important concept or factor when analysing local governance, it seems that it should be considered in combination with other factors as well, such as government transparency towards citizens, government accountability towards citizens, and the impact of decentralisation on local governance. These factors might be important in analysing local governance, but they are also important in analysing the use of SI during LG service delivery.

In view of the preceding discussion, it appears that power can be distinguished in terms of endogenous (internal) as well as exogenous (external) structures. Citizens' power to influence decisions during local governance can be considered an exogenous power structure, which might be able to exclude some citizens from participating in local governance of service delivery. This applies especially to those citizens who are marginalised, vulnerable, under-represented, and may not be in a position to exert influence over decisions during governance (Swyngedouw 2009:74). At the same time, local governance also seems to be driven by an endogenous power structure, which might be controlled by, amongst others, PA theories and governance systems, governance models, and decentralisation (Figure 5). In hindsight, this endogenous power structure perhaps still holds absolute influence in the LG decision-making processes. This endogenous power structure might be one of the contributory causes of maintaining the status quo that is associated with traditional PA theories and excludes citizens and stakeholders in service delivery decisions.

Against the background, the complexity of local governance suggests that the PA theories adopted by LG are bound to influence its local governance system and citizens' participation in the governance of service delivery decisions. In addition to PA theories, decentralisation also appears to have a bearing on local governance when LG is limited in its ability to take decisions independently of central government regarding the localities that they govern due to a lack of resources. Further, governance models and power structures likewise influence local

governance and the extent to which citizens participate in the governance of service delivery. The confluence of these factors contributes to the complexity of local governance, as illustrated in Figure 5.

### **3.3 LOCAL GOVERNANCE SYSTEMS AND THE USE OF SOCIAL INNOVATION DURING LOCAL GOVERNMENT SERVICE DELIVERY**

According to Moore & Hartley (2008:16), traditional forms of government would assume complete responsibility for solving societal problems by defining the public purpose, gathering resources, and deploying those resources through government agency for effective and efficient use. Whereas taxes are used within the traditional forms of government, innovation utilises different instruments to sustain government operations (Moore & Hartley 2008:16). With the complex societal challenges in the twenty-first century, traditional forms of government are no longer adequate (Moore & Hartley 2008:16). When government reserves the solving of societal problems to the confines of its organisational boundaries and own devices, it is less successful and even unsuccessful in resolving such problems (Moore & Hartley 2008:15). In solving these societal problems, government has to reach beyond its own resource frameworks to gather resources and to deploy those resources accordingly.

By using innovation, the agency of citizens as service users, as well as that of other societal actors, becomes integral to collaborating with government in resolving societal problems. Innovation therefore creates an opportunity for citizens and other actors to take part in deriving solutions to problems that government cannot solve on its own and with its own resource frameworks. However, the ability of LG to embark on, for example, the use of SI and the facilitation of citizen participation in service delivery and the governance of services depends highly on the type of governance system (open or closed) employed. Additionally, the presence of administrative hegemony in the governance system from the side of government will influence the use of SI in LG service delivery. In the next sections, the influence of governance systems on the use of SI in LG service delivery is discussed in detail.

#### **3.3.1 Governance systems and service delivery**

According to Rose and Miller (1992; see also Mitchell 2002; Jessop 1998; Pagden 1998; UNESCAP 2004; Whitehead 2003; Papadopoulos & Warin 2007, cited in Swyngedouw 2005:1991), recent years have seen an increase in scholarly work endeavouring, through theoretical and empirical substantiation, to reflect on emergent informal and formal institutional arrangements and systems that incorporate governance beyond and outside the state. Swyngedouw (2009:63) asserts that some of these governance arrangements have been democratising in nature, some inclusive and even emancipatory, but some governance arrangements have eroded democratic accountability.

##### **3.3.1.1 The nexus between good governance and service delivery**

In respect of service delivery, the UNDP (1997, cited in Mitchell & Bossert 2010:671) suggest that efficient, effective, and responsive service delivery and accountability are achieved through good governance. The onus

here is placed on all four stages (co-planning, co-design, co-delivery, and co-evaluation) of the co-production service delivery cycle (Figure 2), with the impression that good governance expects of citizens to participate at each stage. By participating in the respective stages, citizens are provided with a benchmark against which to measure progress when evaluating service delivery. Hence, it could be reasoned that when citizens are only involved in the governance of services in respect of delivery, they may not have a holistic frame of reference in terms of managing the quality of service delivery. From this, it is observed that the service delivery cycle and the governance of services should be inseparable, and should therefore be integrated and run parallel to each other. Apart from citizen participation in the service delivery stages, it is important to acknowledge the contributions from the four levels of citizen participation (voice, choice, contribution, control) in the nexus between good governance and service delivery (Figure 4). Good governance, in this regard, strives for citizen participation to manifest at all four levels.

When citizens participate in the service delivery cycle using the four citizen participation levels, they also become legitimate partners in the governance of LG service delivery. Legitimacy in service delivery, according to Teets (2012:29), expands citizens' participation towards public service governance, regulation, and delivery. The legitimate partnership culminates in a pluralistic relationship between government and citizens. Teets (2012:29) defines this "pluralistic governance relationship" as consisting of "space and independence" between the state and social actors. This relationship is, according to the NPG theory, fundamentally different and opposed to the traditional hierarchical relationship (captured in the traditional PA theory). However, the concepts of "space and independence", as referred to by Teets (2012:29), lack clarity. Similar vagueness with regard to these concepts is noted in the literature of Stoker (1998b; see also Rakodi 2003, cited in Swyngedouw 2005:1994). Even so, the reference to independence seems to be contrary to the independent government-citizen relationship that pluralistic governance relationships would embody.

In the absence of clarity concerning the concepts of space and independence, it becomes questionable whether government can be independent from citizens. If the core existence of government is predicated on (i) creating public value through the services it provides to citizens and (ii) the democratic values that encompass citizens exercising their democratic rights by voting for government, it is highly unlikely for government to be independent from citizens. The participation of citizens in governance could be seen as the instrument that overcomes this perceived space and independence between government and citizens during the pluralistic governance relationship, as alluded to by Teets (2012:29). Furthermore, it could be reasoned that the pluralistic governance relationship should minimise the perceived space and independence between them. This line of reasoning stems from the fact that the more citizens, as service users, and other societal actors participate in public service provision and regulation, the more likely they are to continue participating. The pluralistic governance relationship could further mitigate former distances and space between government and citizens. When the participation of citizens

in service delivery changes the traditional hierarchical relationship between citizens and government, this also has implications for the bureaucracy.

Mehrotra (2006:263) argues that if the bureaucracy, which has to do with the order of rule, is not optimal for good governance and enhancing service delivery, it could be stifled (Figure 6). Not only does bureaucracy influence good governance, it directly has an impact on the organisational context, which entails the organisation evaluating itself (internal organisational context) and the context in which it operates (external organisational context) (Stojanovic 2016). The internal organisational context may include the organisation’s governance system and collaborations with interested parties and customers (Pojasek 2013:84–85; Stojanovic 2016). Within this context, consideration should be given to the organisational culture, values, accountabilities, principles, policies, strategies, objectives, informal and formal decision-making processes, resource and knowledge capabilities, information systems, and the complexity of the organisational structure and processes (Pojasek 2013:84–85; Stojanovic 2016). The external organisational context moves towards consideration for the economic, ethical, environmental, legal, social, technological, and political environments that could influence the organisation (Pojasek 2013:84–85; Stojanovic 2016).

The nexus between good governance and service delivery therefore starts with the creation of an internal organisational context that will be conducive for citizens’ participation in the governance of services (Figure 6). A conducive internal organisational context is reflected on in section 3.4 in respect of actions underpinning the use of SI and the conditions in the internal environment of LG. The external environment as well as factors that could impede the use of SI by LG will also be discussed under this heading. The good governance and service delivery nexus is illustrated in Figure 6.



**Figure 6: The nexus between good governance and service delivery**

Figure 6 illustrates that citizen participation levels, the service delivery cycle, the concepts of independence and space, bureaucracy, and the internal organisational context (section 3.4) represent the nexus that connects good

governance and service delivery. The next section further elucidates this nexus by reflecting on governance systems in respect of service delivery.

### 3.3.1.2 Service delivery in open and closed governance systems

Governance systems, whether open or closed, are what predominantly influences service delivery. In this section, the use of open and closed governance systems is discussed in respect of service delivery. In an open governance system, service delivery is, first of all, citizen centric (Figure 7, quadrant 1) and citizen participation is important in such a system in order to achieve service improvements. Owing to this, attaining service improvements requires public sector organisations to adopt a holistic perspective of their service delivery systems, with specific reference to understanding the social networks and interactions (Figure 7, quadrant 2) necessary for attaining service improvements (Pepper & Sense 2014:875). These social networks and interactions, which underpin the use of SI (Figure 7, quadrant 4), include citizen participation aimed at producing improved service delivery and the creation of public value through the service delivery systems of public sector organisations. Social networks and interactions in public sector service delivery is highlighted here as pertinent to an open governance system. Hence, not only does an open governance system promote citizen participation in service delivery, but citizen participation is an integral building block of the service delivery system, thus making the service delivery system, its operations, and its governance non-linear (Figure 7, quadrant 2). It is noteworthy that the non-linear nature of the service delivery system is built on citizen participation. In contrast, in a closed governance system, the service delivery system is dominated by administrative hegemony (Figure 7, quadrant 6), which excludes citizen participation (Figure 7, quadrant 7) and excludes the use of SI (Figure 7, quadrant 5).

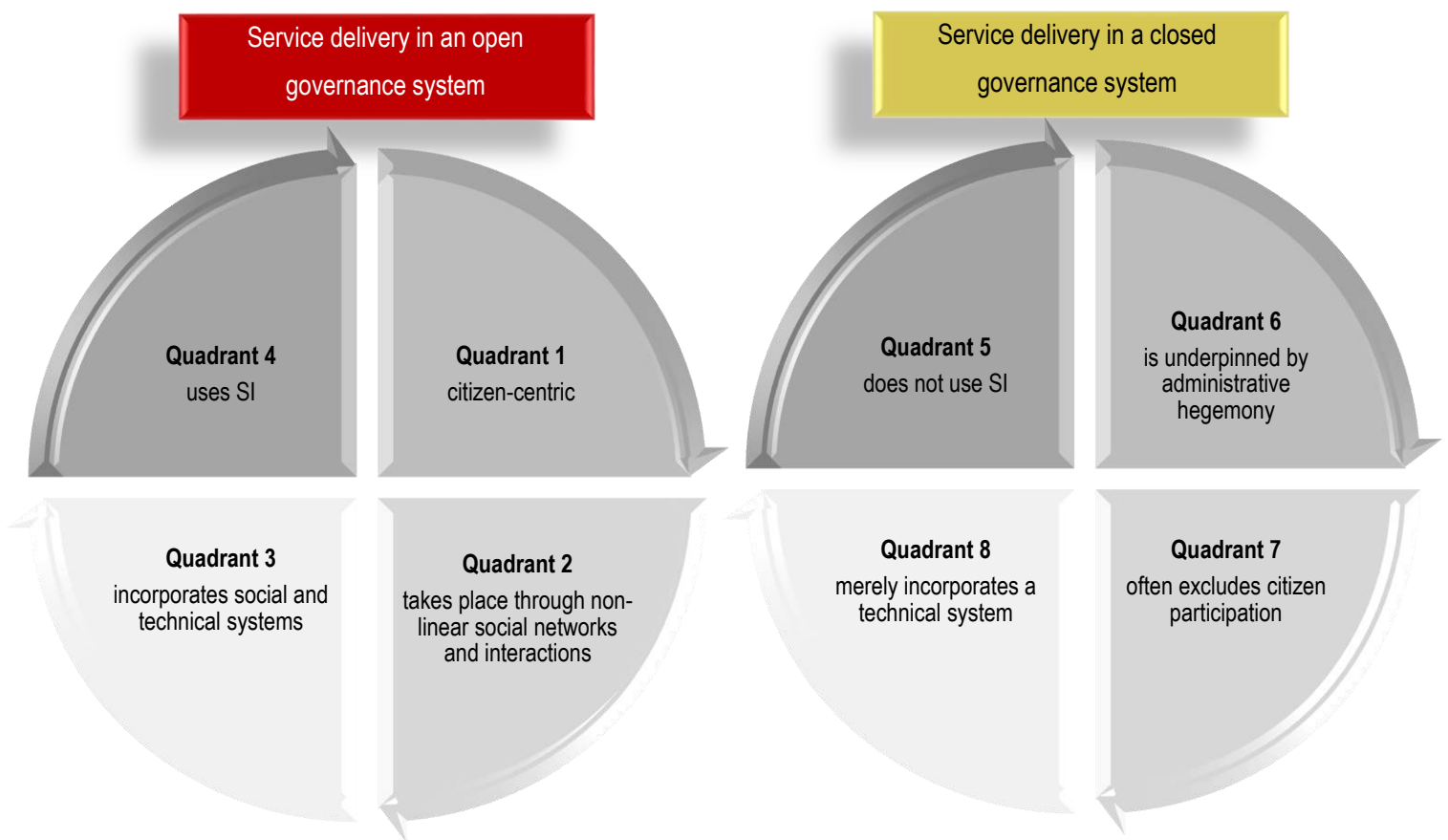
Hegemony has to do with one group (government) exercising dominance over another group (citizens) (Bovaird 2007:846). In this context, exercising this administrative hegemony (Figure 7, quadrant 6) means that in the service delivery system, government remains the ruler of citizens and holds exclusive decision-making power over the type of services to be rendered as well as the nature of service delivery to citizens. In essence, this implies that government is present in the governance of services, but citizen participation is excluded from this closed governance system (Figure 7, quadrant 7).

Ackoff (1999, cited in Pepper & Sense 2014:874) suggests that providing public sector service delivery relies on both technical and social systems (procedures) working together (Figure 7, quadrant 3). Schumpeter, who has produced novel work concerning SI, emphasises that social systems are essential to achieve the efficacy of technological advancements (Novy *et al.* 2009:131). Fung and Wong (1998) and Chow (2004, cited in Pepper & Sense 2014:874) caution against an over-reliance on the development of technical systems as opposed to building social system through networks (Fung & Wong 1998; Chow 2004, cited in Pepper & Sense 2014:874). An overreliance on technical systems (Figure 7, quadrant 8) could negate the impact of service delivery outcomes, a result which is often associated with a closed governance system. Additionally, a skewed focus on developing

technical systems (Figure 7, quadrant 8) alongside social systems could have adverse implications for service delivery. Likewise, if the social system is developed but crippled by a poor technical system, service delivery is bound to fail. From the viewpoints of Fung and Wong (1998; see also Chow 2004, cited in Pepper & Sense 2014:874) and Moulaert (2009:11), it can thus be reasoned that in addition to developing both the social and technical systems, these two systems should also be integrated.

In view of the preceding discussion, it is clear that public sector organisations and LG have to ensure that the social systems of their service delivery systems are optimal. This may require of LGs to redesign their service delivery systems and how they operate. For LGs to redesign their service operations effectively, the significance of the relationship between LG and citizens, as well as the interactions and communication between them (Figure 7, quadrant 2), should not be undervalued (Pepper & Sense 2014:888). This implies that the relationship between LG and citizens should form a fundamental and integral part of service delivery systems.

From the illustration in Figure 7, it can be concluded that both open and closed governance systems have a



**Figure 7: Service delivery in open and closed governance systems**

definitive impact on the delivery of services, on choosing who will participate in decision-making processes

concerning service delivery, and on the service delivery system. Apart from the aforementioned, it also has implications for the use of SI during LG service delivery, as discussed next.

### **3.3.2 Governance systems and the use of social innovation in local government service delivery**

Citizen participation during service delivery resonates with the use of SI, which is directly influenced by governance systems (open and closed). The nexus between governance systems and citizen participation is important given that (i) citizen participation is an integral variable of SI and that (ii) new governance relations are a variable of SI, as articulated in Chapter 2 regarding the conceptualisation of SI.

#### **3.3.2.1 The nexus between good governance and citizen participation**

Stoker (1998a:17) asserts that good governance creates conditions that will initiate collective actions and participation. In this regard, voice, as one of the four levels of citizen participation, allows citizens the power collectively to put pressure on LG administrators to respond to their demands and needs (Mehrotra 2006:264). Such responsiveness is contrary to the mere delivery of services, which is based on the allocation of resources as determined through higher-level bureaucratic decision-making (Mehrotra 2006:264). The collective participation of citizens (Figure 8) during service delivery holds the power to influence the direction and the quality of service delivery. This is a much-needed requirement during good governance, even more so in countries with a democratic dispensation. Citizens' collective voice and their participation therefore appear not only to be of benefit for achieving improved service delivery, but are also required in order to govern service delivery. Increasing evidence affirms that where the citizens' voice is enabled, LG administrators' responses to this pressure are more positive (Mehrotra 2006:268). In addition, citizens' collective participation in decision-making during the governance of public sector programmes or service delivery appears to be of benefit in augmenting the efficiency of this decision-making (Peters 2011:17) and also increases the control citizens have during such decision-making processes.

Giving citizens increased control over decisions taken by LG could encourage citizen participation and oversight in LG decision-making processes (Mitchell & Bossert 2010:672). Citizen participation in decisions pertaining to LG service delivery is therefore equally important in the oversight role (Figure 8) that citizens have to fulfil in the decisions required for good governance. In playing this oversight role, citizens would keep public sector organisations accountable for abiding by rules applicable to external service providers and keep LG accountable for ensuring that external service providers comply with service standards. This oversight role of citizens is critical for the delivery of efficient, effective, and responsive services as well as for the establishment of sufficient accountability mechanisms through good governance (UNDP 1997, cited in Mitchell & Bossert 2010:671; Ratha & Mahapatra 2013:4). This is contrary to the view of Martinez-Lacambra (2013:456), who is of the opinion that citizen participation is integral to the oversight role that public sector organisations exercise over external operators rendering services.

Since it is included in the governance of service delivery, this citizen participation in service delivery denotes a pluralistic governance relationship, which entails the need to understand governance in terms of its interconnected nature (Teets 2012:29; Dale, Vella, & Potts 2013, cited in Mitchell, Lockwood, Moore, & Clement 2015:2). In this study, the interconnected nature of good governance is embedded in the nexus between good governance and service delivery (section 3.3.1.1), but also in good governance and citizen participation, the focus of this section. The nexus between good governance and citizen participation appears not only to change the construct of the hierarchical relationship (section 2.3.1.2) between government and citizens to a pluralistic relationship, but also seems to give citizens the legitimacy to participate in policy development and implementation, and to provide public services and goods (Teets 2012:16). This legitimate citizen participation in the governance of service delivery, however, only becomes possible if the governance system (whether open or closed) facilitates that participation through, for example, SI. The use of local governance systems as a stimulus or a deterrent of citizen participation through SI was also highlighted in section 3.2. It is therefore evident that local governance systems have far-reaching consequences beyond merely legitimising citizen participation in decision-making processes regarding service delivery. Given this significance and in view of the preceding discussion, Figure 8 illustrates the nexus between good governance and citizen participation.



**Figure 8: The nexus between good governance and citizen participation**

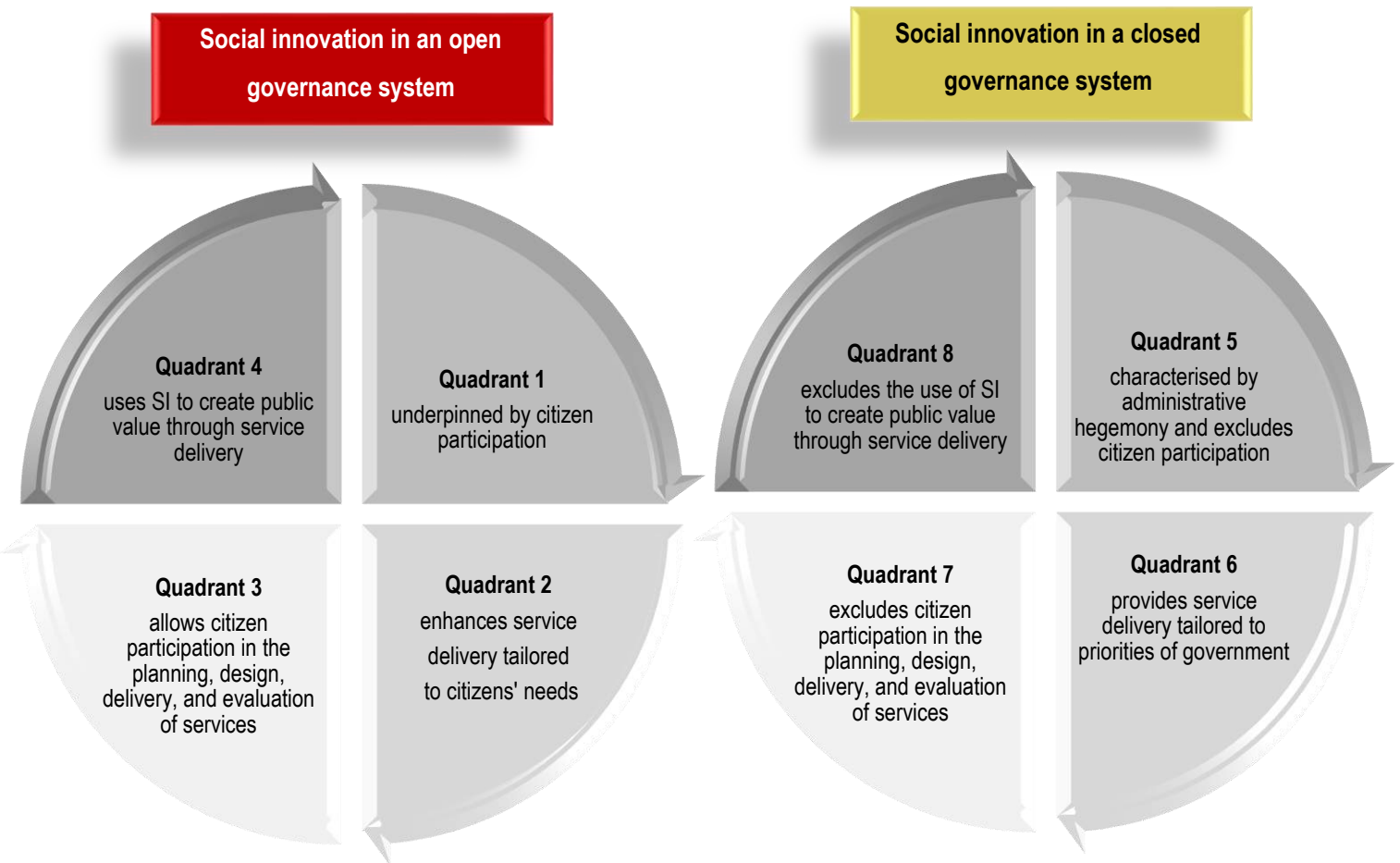
Figure 8 illustrates that the nexus between good governance and citizen participation, an integral element of SI, is vested in collective citizen participation in service delivery, citizens' oversight in LG decision-making, and a pluralistic governance relationship. Giving effect to this nexus, as with that of good governance and service delivery (section 3.3.1.1), requires a conducive organisational context that incorporates the use of SI. The next section explores SI in open and closed governance systems.

### 3.3.2.2 Social innovation in open and closed governance systems

When SI is used to produce public services, service delivery becomes an open process where citizens as service users participate in designing and developing these public services (Chesbrough 2003; Silva & Bucek 2014; Von Hippel 2007, cited in Meričkova *et al.* 2015:522). Such participation makes the SI process an open one that is non-linear in nature, and which results in new decision-making systems and governance systems (Moulaert 2009:12; European Commission 2013:19). These governance systems would be underpinned by citizen participation as a central feature, which is coherent with an open governance system (Figure 9, quadrant 1). Open governance systems, as defined in Chapter 2 (section 2.4), facilitates citizen participation in the service delivery cycle (Figure 2). This implies that an open governance system would (i) enhance service delivery tailored to citizens' needs (Figure 9, quadrant 2), (ii) allow citizen participation in the planning, design, delivery, and evaluation of services (Figure 9, quadrant 3), and (iii) enhance the use of SI in LG service delivery in order for these services to have greater public value for citizens (Figure 9, quadrant 4).

Delivering services tailored to citizens' needs obliges public sector organisations, amongst which LG, to rethink their current work practices and approaches (Australian Department of Industry, Innovation and Science 2010:62, cited in Pepper & Sense 2014:874) and for SI to be embedded within the organisational culture, bureaucratic processes, internal organisational context, and governance system. (Pollitt *et al.* 2006:8; Australian Department of Industry, Innovation and Science 2010:62, cited in Pepper & Sense 2014:874). In addition, the use of SI during service delivery should either contribute to creating public value or result in improving public value (Lévesque 2012:34), the latter of which is more probable in an open governance system (Figure 9, quadrant 4). This participation of citizens in service delivery is regarded as part of the act of good governance (European Commission 2013:19), and it only becomes possible through an open governance system that promotes such participation.

The question is whether the use of SI is compatible with closed governance systems. It arises because service delivery decision-making processes in closed governance systems are characterised by administrative hegemony (Figure 7, quadrant 6; Figure 9, quadrant 5), which often excludes citizen participation in such decisions (Figure 7, quadrant 7; Figure 9, quadrant 5). In closed governance systems, citizens are also excluded from participating in the planning, design, delivery, and evaluation of services (Figure 9, quadrant 7), which means that service delivery is tailored to the priorities of government (Figure 9, quadrant 6). Hence, the exclusion of citizen participation makes the occurrence of SI in closed governance systems seem less probable, especially the use of SI to create public value through service delivery (Figure 9, quadrant 8). Against this background, Figure 9 illustrates the use of SI in an open and a closed governance system.



**Figure 9: Social innovation in an open and a closed governance system**

Figure 9 demonstrates that the use of SI in governance systems (open and closed) is vested in whether (i) the governance system encourages or deters citizen participation as an integral element of SI, (ii) whether the governance system encourages or deters citizen participation in the co-production service delivery cycle, which is supposed to be citizen centric, (iii) whether SI is embedded in the organisational work practices, which are in turn influenced by the governance system, and (iv) whether the governance system contributes to public value creation through service delivery. In light of this, Figure 9 illustrates that open governance systems are underpinned by the use of SI during service delivery, which result in enhanced citizen participation and the creation of public value. Contrary to this, Figure 9 also illustrates that in closed governance systems, this is not the case. Figure 9 therefore demonstrates that both open and closed governance systems have a definitive impact on the use of SI during LG service delivery. In addition, Figure 9 illustrates that organisational work practices which are in accord with the internal organisational context ultimately influence the use of SI during service delivery by LG.

### **3.4 INTERNAL ORGANISATIONAL CONTEXT AND THE USE OF SOCIAL INNOVATION DURING LOCAL GOVERNMENT SERVICE DELIVERY**

The internal organisational context becomes instrumental to the nexus between good governance and service delivery, the nexus between good governance and citizen participation, and ultimately, as alluded to above, whether LG uses SI during service delivery. For the purpose of the study, this internal organisation context is considered to be located in actions underpinning the use of SI in LG service delivery (3.4.1), such as the LG internal environment conditions for SI (section 3.4.2) and factors impeding the use of SI by LG (3.4.3).

#### **3.4.1 Actions underpinning the use of social innovation in local government service delivery**

Pojasek (2013:84, 89) and Stojanovic (2016) identify organisational relationships as part of the internal organisational context. These relationships exist with current and future users of services. According to Stumbraitė-Vilkišienė (2010:83), although citizens can simultaneously assume the role of consumer as well as co-producer of services, the role that LG plays during service delivery will depend largely on the role that citizens assume. LG will determine the nature of citizen participation in setting the scene for citizens to assume the role of consumers (such as in a closed governance system), or enable citizens to become co-producers of services (a typical outcome of open governance systems). In this context, the co-production of services requires LG to extend its actions beyond the mere promulgation of policies (which constitutes the internal organisational context) and the passing of legislation that promotes SI. Typical actions include (i) initiating collaborations, (ii) empowering citizens (Oosterlynck, Kazepov, Novy, Cools, Sarius & Wukovitsch 2015:18), and (iii) distributing power and resources (Figure 10).

##### **(i) Initiating collaborations**

Sørensen and Torfing (2011, cited in Meričkova *et al.* 2015:523) contend that innovation in the public sector is predicated on stakeholder collaboration. The first action of initiating collaborations is considered important, as it results in direct interactions between citizens and LG and contributes to deriving solutions through these interactions (Voorberg *et al.* 2013:3). Through such collaborations, LG encourages associations that are driven by self-organising as well as governance networks based on collaborations that serve as platforms for SI and cooperation (Klijn 2008; Teisman & Klijn 2008, cited in Bourgon 2010:204). This makes service delivery people centred and inclusive (Waheduzzaman & Mphande 2014:39). Local governments play a central role in initiating these collaborations with the aim of connecting citizens and societal actors (Levinthal & Warglien 1999, cited in Bourgon 2012:208), and with prospects of enhanced service quality, saving costs, and exchanging expertise and skills (Hilvert & Swindell, 2013:250). In fact, Meričkova *et al.* (2015:523) emphasise the importance of collaborations involving citizens' participation in service innovations due to their being the final consumers of public services. It is, however, cautioned that prior to initiating collaborations from the side of LG, it is important that LG should examine the rationale behind it (Hilvert & Swindell 2013:244).

Examining the rationale behind collaborations could assist in achieving results in addressing the goals of the collaboration, take advantage of the strength of the collaboration, and better meet the needs of the service user (Hilvert & Swindell 2013:244). This action could strengthen the probability that the outcome of the collaboration will be of value for both LG and citizens, and especially that it can be planned for. From collaborations between citizens and LG during the use of SI also emerges the empowering of citizens as a key role of LG (Williamson 2014:302).

(ii) Empowering citizens

The second action, empowering citizens as service users, is associated with the use of SI (Kirwan, Ilbery, Maye & Carey 2013:831) and with the requirement that SI should result in sustainable benefits for its users (Eurofound 2013:7). This is regardless of whether these benefits are derived through citizen participation in decision-making and solutions regarding services or whether citizens contribute to solutions to societal problems (Eurofound 2013:7). It can therefore be argued that through this form of participation, citizens are empowered, which evidently contributes to their becoming informed and responsible citizens (Lee & Thynne 2011, cited in Jing & Gong 2012:234). Thus, citizens are given the ability to solve proactively the societal problems they encounter (Adams & Hess 2010:145). As such, Oosterlynck *et al.* (2015:18) affirm that the participation and the empowerment of citizens appear to be interlinked strategies.

For citizens to make meaningful contributions through SI, they have to be empowered by LGs through either skills or resources. This implies that through SI, LG administrators become obliged to share some of their responsibility with citizens and institutionalise collaborative practices with them. Instead of acting as mere experts, administrators therefore become enablers of citizens by empowering them with skills and/or resources to engage in collaborative service delivery practices. Shared skills and responsibilities culminate in power and resource distribution to citizens, which is highlighted as the third action underpinning the use of SI by LG, and is discussed next.

(iii) Distributing power and resources

García, Eizaguirre, and Pradel (2015:96) are of the view that the use of SI necessitates a change in governance, which has implications for the distribution of LGs' power and resources. For citizens, power and resources distribution enable them to become active and capable participants during service delivery (Edwards-Schachter, Matti, & Alcántara 2012:672; Leadbeater 2004, in Williamson 2014:302) instead of being passive observers and service recipients (Evans 2010, cited in Waheduzzaman & Mphande 2014:39). The benefits of distributed power and resources, the third action for LG, is that solutions to problems emerge through ongoing participation and interaction between citizens and LG administrators. In turn, LGs become aware of citizens' future and latent needs, which makes public sector service delivery a proactive process (Osborne, Radnor, & Nasi 2012:146). The fact that LGs also become aware of citizens' future and latent needs highlights that the distribution of power and resources yields reciprocal benefits for citizens and LG. These reciprocal benefits, however, do not only apply to (i) initiating collaborations, (ii) empowering citizens and (iii) distributing power and resources. Moreover, it is evident that the

aforementioned actions hold benefits for citizens and LG, beyond being fundamental to the use of SI during LG service delivery. Yet for LG to engage in the three aforementioned actions, certain conditions in its internal environment will have to be considered, as discussed in the next subsection.

### **3.4.2 Internal environment conditions necessary for social innovation**

The successful implementation of public sector service delivery in collaboration with citizens through SI will require LGs to address certain conditions in their internal environment. These internal conditions include, amongst other things, (i) fostering the right organisational attitude and culture amongst LG administrators, (ii) putting in place systems and processes that support SI, (iii) collaboration and partnerships with citizens, and (iv) management and visionary leadership (OECD 2011:99; Voorberg *et al.* 2013:3) (Figure 9). Pojasek (2013:84–85, 89) and Stojanovic (2016) confirm the existence of organisational culture and systems, and the complexity of processes and organisational relationships of which citizen collaborations and partnerships would be an integral part. Although Pojasek (2013:84–85, 89) and Stojanovic (2016) do not highlight management and leadership as part of the internal organisational context, it is considered here.

#### **(i) Fostering the right organisational attitude and culture amongst local government administrators**

Pojasek (2013:84, 89) and Stojanovic (2016) state that the organisational culture forms part of the internal context of the organisation. This means that the type of organisational culture is instrumental in fostering the use of SI amongst LG administrators in service delivery. Hence, fostering the right attitudes and culture amongst LG administrators, the first condition, starts with the integration of innovation into the organisational culture. Integrating innovation into the organisational culture is thus considered to be an important element of an organisation's value chain, and the adoption of innovation and, more specifically SI, requires innovative practices that pervade its daily activities (Bas & Guillo 2015:278). The adoption of these innovative practices can ideally be integrated into the LG organisational culture, which Bas & Guillo (2015:278) argues is associated with adopting proactive approaches and practices that consider future alternatives for the purposes of defining strategic actions. Worth mentioning regarding the consideration of future alternatives, is that this is also consistent with the use of SI. Nevertheless, when LGs demonstrate openness to citizens' contributions and recognise that those contributions are valued (Voorberg *et al.* 2013:19; OECD 2011:99), this is considered an innovative practice, and that is what should underscore the philosophy used by LGs for improving service delivery.

García *et al.* (2015:96) define openness as the participation of citizens, amongst others, in service and resource provision as one of the ways in which SI can be promoted by the public sector. According to Harrison *et al.* (2012:5), openness refers to the ability of LG to integrate new knowledge into the existing knowledge of the organisation. An organisational culture of openness to citizens is considered as integral in LG for ensuring that citizens stay committed to the joint outcomes of their contributions (Hilvert & Swindell 2013:244). Further, an organisational culture of openness could also encourage more active citizen and stakeholder participation in

innovation efforts that are aimed at service delivery improvements (Matei, Săvulescu, & Antonovici 2015:7), thus enabling citizens to lead the identification of their own needs as well as solutions to those needs (Murray *et al.* 2010:18). For LG to be more open to citizens' contributions would require adapting its traditional top-down approach to service delivery into a new approach, such as SI, where citizens feature more centrally in service delivery.

Through SI, attaining an open organisational culture starts with realising LG administrators' critical role in coordinating, driving, and sustaining citizen participation (Wang 1999, cited in Linders 2012:452). This means that LG administrators will have to be attentive to citizens' needs as well as their expectations regarding services (Stumbraitė-Vilkišienė 2011:4), and will have to clearly articulate the expectations they have regarding citizens' participation. By clarifying the expectations of both LG and citizens, unrealistic expectations can be addressed, mutual expectations and goals can form the building blocks of the collaborative relationship, potential risks and gains can be assessed, and common ground can be reached regarding disagreements. The disclosure of expectations makes the SI process transparent by fully revealing the intentions of the respective role players (Harrisson *et al.* 2012:5). Further, through LG interaction with citizens, service users, and other affected actors, solutions to complex societal problems could be derived and services provided according to citizens' needs (Nambisan 2008, cited in Sørensen & Torfing 2011:857). To achieve an organisational culture that is open to citizens' contributions would require systems and processes that support SI, which are discussed next as the second condition that should be fostered in the internal LG environment.

(ii) Systems and processes that support the use of social innovation

Stumbraitė-Vilkišienė (2011:10) cautions that if administrative and service delivery systems and processes do not facilitate an active role for citizens, the latter's participation in LG service delivery could become reactive, for example, through protest action. The same principle of using the right administrative and service delivery systems and processes applies when SI is used during LG service delivery. Antohi (2013:47) and García *et al.* (2015:96) are therefore of the view that SI is not just concerned with making an impact on society, but also about adopting processes for innovative practices. Hence, SI should become institutionally embedded in the systems and processes of LG (García *et al.* 2015:96). This will enable LG to anticipate how it can become more responsive to societal changes with an impact on service delivery needs, how to stay responsive to such needs, and how to simultaneously assume a leading role in facilitating such changes from within its organisations (Keeley *et al.* 2013). Adopting the right administrative and service delivery systems and processes is therefore prudent for LG to take a holistic approach to service improvements, and to ensure an internal environment supportive to SI. This may require improving existing systems and processes (often traditional) such as monitoring the impact of programmes or services, as well as programme or service evaluations (Murray *et al.* 2010:20; OECD 2011:99).

In respect of monitoring the impact of services as well as the evaluation of services, the feedback that is obtained from both as tools for service improvements is important. Such service improvements become possible when the feedback that is provided leads to a better understanding of service needs and allows services to be tailored accordingly (Murray *et al.* 2010:20). This allows LG to take informed decisions regarding services and their commissioning (Osborne & Stokosch 2013:37). Through an improved and informed understanding of service needs, LG can use citizen and service user feedback to make distinct improvements in current services being rendered as well as when planning for future services. Obtaining the right feedback regarding services cannot, however, occur in the absence of collaborations and partnerships with stakeholders and citizens in the external environment of LG, particularly in light of ascertaining how citizens and stakeholders view their relationship with LG, establishing the nature of existing collaborations, and determining how potential new collaborations could be fostered. Social innovation should therefore not be used by LG during service delivery or for any other purpose in the absence of collaborations. Together with partnerships, collaboration is the third condition that LG should foster, as discussed next.

### (iii) Collaboration and partnerships with citizens

An expansion of the relationship between government (specifically LG) and citizens has seen the latter being treated as a partner who actively collaborates with LG in tackling societal problems, instead of being passive service consumers (Mattson 1986, cited in Linders 2012:446). Collaboration is consistent with the use of SI (Cajaiba-Santana 2014:45), which is underpinned by active citizen collaboration with LG, and it culminates in new compelling relationships that previously separated individuals and groups (Mulgan *et al.* 2007:35). It is for this specific reason that LG collaborations and partnerships with citizens are of significance: they allow LG to develop a relationship with citizens, through which citizens can participate in decision-making regarding services and even service governance (Eurofound 2013:1). From this, it is evident that service delivery improvements cannot occur in the absence of such collaborations and partnerships with citizens, because through it, LG's responsiveness to complex societal problems can be sustained (Voorberg *et al.* 2013:19; Bourgon 2010:210). For LG, the benefit of collaborations and partnerships include LG council decisions that are better informed when linked to citizens' views (Lowndes, Pratchett, & Stoker 2001:211). For citizens, the benefits of collaborations initiated through SI include, amongst other things, being able to participate in decision-making (Eurofound 2013:1), which allows them to take part in the creation of public value themselves. For both citizens and LG, the benefits that are associated with such collaborations and partnerships could comprise achieving improved service delivery, saving costs (Hilvert & Swindell 2013:243), and increasing the probability of service needs being met (Raipa & Petukienė 2009:55–58, cited in Stumbraitė-Vilkišienė 2011:3).

Besides the above-mentioned benefits, collaborations and partnerships aid in the realisation of collective development visions, and enhance citizen participation in a more responsive and inclusive approach to service delivery (Matsiliza 2012:67). These collaborations and partnerships also warrant the input of citizens and service

users at all stages of service delivery (OECD 2011:99) and obliges LG specifically to recognise citizens as having the capacity to bring about change through their participation (Adams & Hess 2008:3). Thus, through these collaborations between citizens and LG, both contribute to the particular service, and through their combined collaboration, future benefits can be planned (Hilvert & Swindell 2013:243). Input through collaborations and partnerships would require citizens and LG administrators to be empowered in terms of new ways of working together as well as skills development (OECD 2011:99), though only if they receive the correct support and leadership. Hence, management support and visionary leadership, discussed in the next section, become essential in creating an internal environment that drives SI through collaborations and partnerships.

#### (iv) Management and visionary leadership

As the fourth condition essential for LGs to harness SI for improved service delivery, management support and visionary leadership are concerned with providing support to LG administrators. Such support and leadership would require LG management to be proactive in harnessing a governance system where LG administrators engage citizens in the co-production of services through SI. Ndou & Sebola (2015:60) affirm the importance of management and suggest that the proactive management of service delivery should include “prior planning” and innovative solutions to societal problems. Hence, harnessing such governance systems requires LG management to foster a conducive environment for the forming, growth and flourishing of SI (Lauritzen 2012:3). A conducive environment that supports SI could include LG management rewarding LG administrators for engaging in innovative practices that contribute to service delivery improvements (Mulgan *et al.* 2007:37). Rewarding innovative practices could contribute to engendering an organisational culture of innovation (OECD 2011:99). Further, a conducive environment that supports innovative practices can be achieved if LG administrators build the institutional LG capacity by becoming important innovation sources, with LG being the driver of innovation through visionary leadership (Bourgon 2010:198; Lauritzen 2012:8).

Being a driver of innovation requires LG management to expand, through visionary leadership, its internal support for SI at the community level by incentivising citizen participation in service delivery. The extension of innovation support at community level demonstrates the central facilitating role of LG management, who should not only encourage SI amongst citizens, but also coordinate innovation partnerships (Lauritzen 2012:8) between the LG administrators and citizens. Furthermore, incentivising SI practices at community level could be used as a strategy by LG management to fuel a culture of SI and active citizen participation in SI amongst citizens. The latter’s active participation is regarded as a central element of SI in order to produce social outcomes that are of value (Bason 2010, cited in Meričkova *et al.* 2015:522). Moreover, this highlights that though the support from LG management and visionary leadership are critical for the enhancement of SI, such support and leadership are also crucial for the broader creation of societal public value. Nonetheless, it should be noted that even when management support and visionary leadership are provided for the enhanced use of SI, there are factors that could impede the use of SI for the purpose of LG service delivery. This also applies to the other mentioned conditions, namely (i) the

fostering of the right organisational attitude and culture amongst LG administrators, (ii) systems and processes supportive of SI, and (iii) collaboration and partnerships with citizens, all of which are considered essential for an internal environment conducive to SI. These factors are reflected on in the next subsection.

### **3.4.3 Twenty-first-century challenges impeding the use of social innovation by local government**

Apart from conditions that are considered essential for an internal environment conducive to SI, there are also factors that could be considered potential barriers to the effective use of SI for improved service delivery. These factors include, amongst others, (i) the availability of resources from the internal and external environments of LG, (ii) a lack of accountability by LG, (iii) a lack of citizen trust in SI during service delivery, (iv) a lack of citizen inclusion and equity in SI during service delivery, and (v) a lack of willingness amongst citizens to participate in SI (OECD 2011:88–89; Verschuere *et al.* 2012:1087) (Figure 9). It is important for LGs to consider these factors. Failing to do so could result in improved service delivery not being achieved. Of these factors, as discussed in the subsequent paragraphs, resource capabilities and accountability are considered as part of the internal organisational context (Pojasek 2013:84). Citizen trust, in turn, is considered to be influenced by accountability, systems, and processes. Citizen inclusion and equity in SI during service delivery, as well as willingness amongst citizens to participate in SI, are regarded as being influenced by systems and processes, strategies and policies in the internal organisational context.

#### **(i) Availability of resources from the internal and external local government environments**

The availability of resources in the internal environment of LG is an important requirement for the use of SI, since a lack of resources could impede the use of SI and hinder envisaged service delivery improvements. These resources from the internal environment of a municipality could include, for example, a bigger budget, better expertise, as well as human resources. Not only must these resources be available, but they should also be used by LG to empower citizens to play a more constructive role in effecting change in their own situations (IMIESA 2008:13). In this regard, Stumbraitė-Vilkišienė (2011:8) contends that citizens should be viewed by LG as an important external resource that can contribute to the overall improvement of life quality, through their participation in the design and delivery of services. Soliciting resources encompasses LG obtaining resources from citizens, stakeholders, and other organisations. These resource contributions are essential in lessening the demand for public resources (Ryan 2012:315), particularly utilised to provide LG services. This action of solicitation requires LGs to utilise their power and resources to encourage others to contribute resources (Bourgon 2010:204).

Resources from the external environment (i.e. external organisational context) of a municipality could comprise, amongst other things, raw materials, equipment, information, knowledge, and human resources (Mofolo 2012:24). These external resources could assist LG to implement service delivery improvements, but a lack thereof could also present an obstacle to the use of SI. From this, different scenarios can be hypothesised. On the one hand, if resources can be secured from the internal municipal environment, even if additional resources are inadequate in

its external environment, service delivery improvements could be possible. On the other hand, if resources cannot be secured from both the internal and external municipal environments, then service delivery improvements could become harder to attain. This is particularly relevant in the case of LGs that depend on their external environment for additional resources, especially if they cannot secure such resources from their internal environment. However, when resources are acquired and accountability is not exercised in their use, that lack of accountability could also become a barrier to service delivery improvements. Indeed, this is the 2nd factor that could present a potential barrier to harnessing SI for improved service delivery: a lack of LG accountability.

(ii) Lack of local government accountability

New forms of government accountability as well as government transparency have become fundamental elements of good governance (Kim *et al.* 2005, cited in Bonsón, Torres, Royo & Flores 2012:123). In these new forms of government accountability, it could be argued that SI meets the requirements of a vehicle through which citizens can keep LG accountable for meeting their service delivery needs, for delivering quality services, and for the use of public resources. Accountability is, however, not exclusively equated with the use of public resources by LG, but also involves citizen participation in, amongst other things, the service delivery duties of LG through shared power and responsibilities. When powers and responsibilities are shared between citizens and LG, and when that changes the power relations between the LG administration and citizens (Hilvert & Swindell, 2013:250; OECD 2011:88), it often does not occur without controversy. These shared powers and responsibilities could result in opposition and resistance from the side of LG administrators, and citizens could perceive LG as relinquishing its service delivery accountabilities and responsibilities to them when using SI. In turn, LGs may also be perceived as putting an increased burden on citizens, particularly in countries where citizens are already facing a huge tax burden (OECD 2011:88).

The perceptions of both LG administrators and citizens present disparate but noteworthy views regarding LG accountability. What should not be overlooked, however, is that exclusive accountability for service delivery continues to be one of the core responsibilities of LG, and this accountability persists even when SI is used. In this regard, LG administrators have an opportunity to see the sharing of power and responsibilities with citizens as an opportunity for rendering improved services. Likewise, citizens could view the use of SI and their participation in it as a tool through which to ensure LG accountability, as articulated earlier. Ensuring LG accountability necessitates maintaining a balance between the role of LG and the role of citizens when SI is used for service delivery improvements. The primary responsibility for service delivery is still vested in LG, although citizens may become partners in service delivery through the SI process. Not maintaining this balance could have implications for citizens' trust in LG during the SI process. Trust, which is regarded as a precursor for any relationship, is the third factor that may impede the use of SI by LG during service delivery, and is discussed next.

(iii) Lack of citizen trust in the use of SI during local government service delivery

Apart from the responsibility on LGs to meet the service delivery needs of citizens, they also have a responsibility to sustain citizens' confidence in their ability to meet such needs (Stumbraitė-Vilkišienė 2011:4). Confidence in this context refers to the trust citizens have in LG, whilst the meeting of service delivery needs relates to the governance capacity of LG. Citizen trust in the governance capacity of, for example LG, is therefore regarded as characteristic of a bureaucracy that performs well (Vigoda-Gadot, Shoham, Schwabsky & Ruvio 2008:313). According to Martinelli 2013, cited in García *et al.* 2015:96), SI processes are instrumental in generating the aforementioned types of trust. In fact, Paul and McDaniel (2004, cited in Sol, Beers, & Wals 2013:37), are of the view that during the engagement of a multiplicity of actors, of which SI is an example, trust between these actors makes it easier for them to share their experiences and knowledge, and to address mutual differences.

A lack of trust, however, could threaten the outcome of existing SIs in which citizens and LG currently engage, as well as the potential for engaging in future SI. During the use of SI, the trust relationship between citizens and LG could be threatened if the SI does not deliver the changes anticipated by citizens, the repercussions of which could include citizens becoming sceptical of the SI process (OECD 2011:88). A further ramification of this scepticism could be that citizens disengage from the SI process, which defeats the purpose of using SI for improved service delivery. The reason for this is that SI is predicated on collaborations with, amongst others, citizens, and if they disengage from such collaboration, then it is no longer SI. Similarly, a lack of trust in governance might make citizens reluctant to engage in future SI. What is important to note here is that just as SI can be used by LG to generate trust amongst citizens, so too a lack of trust in LG amongst citizens can impede the successful use of SI. Subsequently, the outcome could be that only certain groups of citizens are included in SI whilst others are excluded. Such inclusion and equity, which relate to the level of citizen participation and representation in the SI process, are highlighted as the fourth factor that could impede the use of SI, and is discussed next.

(iv) Lack of citizen inclusion and equity in social innovation during service delivery

The concept of SI is concerned with social inclusion (Kirwan *et al.* 2013:831) because social inclusion culminates in new ways of engaging citizens, contributes to the empowerment of marginalised groups, and improves the ways citizens participate, all of which could result in meeting citizens' unsatisfied needs (Neumeier 2012:53, cited in Kirwan *et al.* 2013:831). With reference to LG service delivery, Stumbraitė-Vilkišienė (2011:4) argues that inclusion in citizen participation is not only about citizens making contributions, but their participation should also actually have an impact on quality service assessments, LG should provide better services, and citizens should be satisfied with those services. SI is considered an important process for including citizens by transforming government-citizen relations that resulted from social exclusion (Martinelli 2013, cited in García *et al.* 2015:96). However, inclusion and equity in services become a barrier when citizens who are less vocal are excluded from the SI process, and when some groups of citizens feature more strongly during the SI process (Bourgon 2010:204; OECD 2011:88; Verschuere *et al.* 2012). Equity is synonymous with the principles of public services, namely fairness, equality and

continuity, all three of which are considered consistent with SI (Djellala *et al.* 2013:108; Oosterlynck *et al.* 2015:19). Local government has an important role to play in facilitating this equality, fairness and continuity in service provision by ensuring that all citizens participate fairly through the SI process.

Local governments should ensure that they manage the processes of citizen participation and representation with the necessary caution so as not to exclude any particular group of citizens. At the same time, LG should implement the necessary strategies and make the necessary efforts to encourage equal participation by all citizens, because citizen participation builds the capacity of the community as a whole as well as individual citizens (Adams & Hess 2010:145; Davids 2005, cited in Ballard & Iling 2010:93). Such participatory strategies should include concerted efforts whereby LGs invite citizens to participate in decision-making regarding the provision of services (Stumbraitė-Vilkišienė 2011:6). According to Lowndes *et al.* (2001:207) and Stumbraitė-Vilkišienė (2011:6–7), participatory strategies could include (i) the consumerist methods whereby citizens evaluate aspects of LG service delivery and (ii) traditional methods of public participation encompassing public hearings, question and answer sessions, and community representative consultations. Further strategies could include (iii) forums aimed at consulting particular LG service users or citizens with a shared interest or background, (iv) consultative innovations aimed at consulting citizens on particular issues, and (v) deliberative innovations that encourage citizens to deliberate on issues affecting them (Stumbraitė-Vilkišienė 2011:7; Lowndes *et al.* 2001:207). In addition, participatory strategies also involve encouraging willingness amongst all citizens to participate in the SI process. Willingness, which is also associated with ease of citizen participation, is the fifth factor that could impede the use of SI if it is lacking amongst citizens, as discussed in the next section.

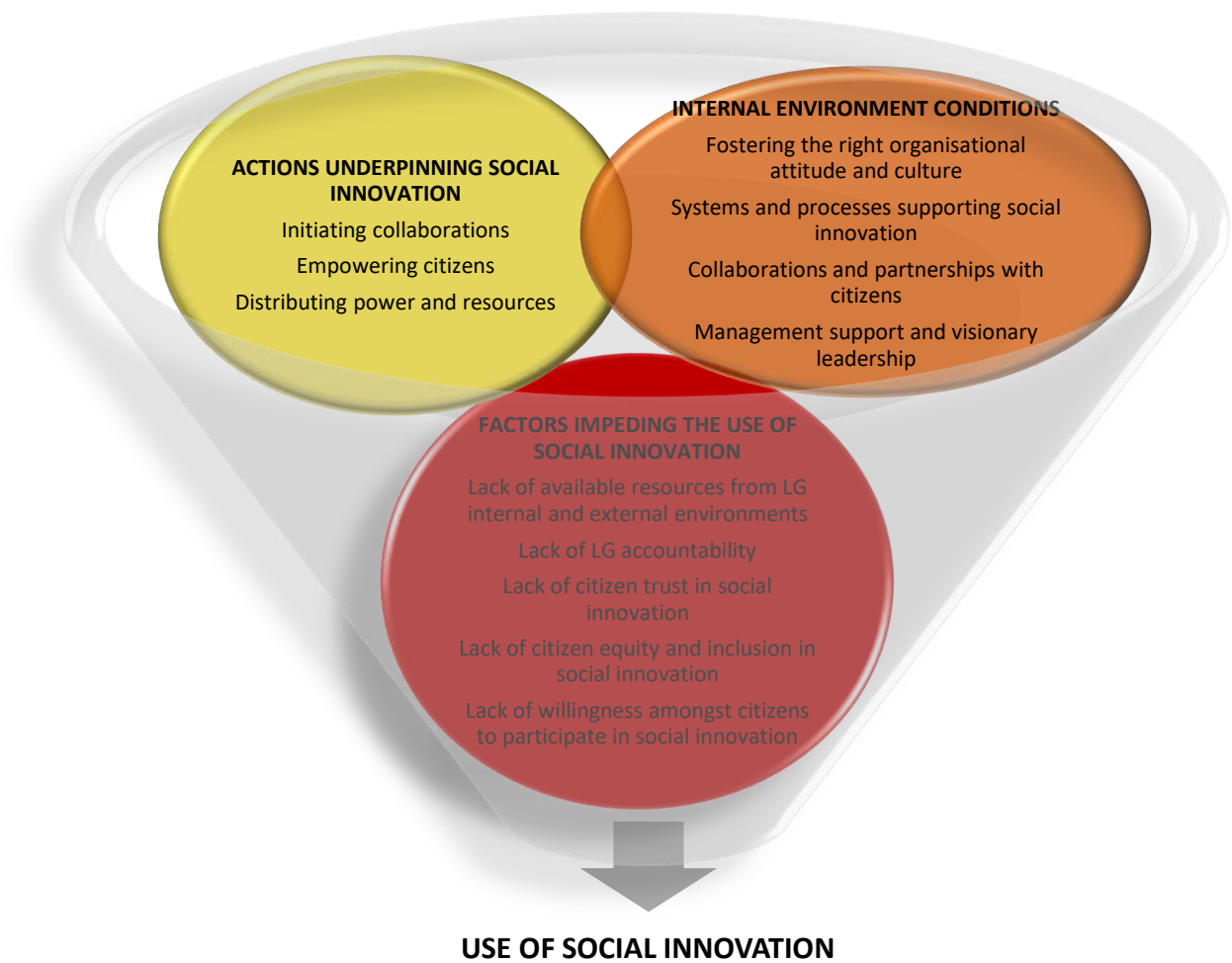
(v) Lack of willingness amongst citizens to participate in SI

Stumbraitė-Vilkišienė (2011:3) contends that it is important that willingness should exist between LG and citizens so they can collaborate through information exchanges and active cooperation. Such willingness is equally necessary during the use of SI, since a lack of willingness from either could have adverse implications not only for achieving service delivery results, but also for the successful use of the SI process. A lack of willingness amongst citizens to participate in SI could be linked to uncertainty as to why they should participate as well as to their individual motivation (Verschuere *et al.* 2012:1086–1087). Citizens should therefore be fully informed of the importance and benefits of their participation in the service delivery process. However, in addition, citizens' motivation to participate during SI depends on how a service makes an impact on their lives (Verschuere *et al.* 2012:1087). Local governments should therefore direct their efforts towards developing strategies that equally encourage the participation of citizens who are directly affected by a particular service, as well as those citizens for whom a service holds no significance. During the development of such strategies, consideration should, however, be given to the fact that citizens who are not directly affected by a service may not be willing to participate. Even if a service makes an impact on citizens' lives, Verschuere *et al.* (2012:1088) are of the view that if citizens are required to exert greater effort to participate, they could be discouraged from participating. Local government

thus has a task to ensure that citizen participation in the SI process is as effortless as possible, since such effort could also influence citizens' willingness to participate the ease with which they do so.

Against the background of the factors that could be potential barriers, engaging citizens in SI for improved service delivery still appears to be essential in terms of LG service delivery. In view of the discussion in this section, it appears that in the twenty-first century, LGs can no longer provide and make improvements in services based on their traditional role, in which they were responsible for all the stages in the service delivery cycle, from planning to evaluation. This role has changed to one that is predicated on collaborations with citizens and stakeholders at each stage of the service delivery cycle. In addition, this changed role has placed an obligation on LGs to ensure that they harness SI for improved service delivery for the sustainability of future populations. These actions underpinning the use of SI, the conditions in the internal environment of LG, as well as factors that could impede the use of SI are considered as part of the internal organisational context that influences the use of SI. Figure 10 shows these actions, conditions and factors as separate but joint areas of importance that ultimately influence the use of SI.

Figure 10 illustrates that the actions of initiating collaborations, empowering citizens, and power and resource distribution are integral to the use of SI by LG. Figure 10 indicates that LGs have to consider how they are going to initiate collaborations, distribute power and resources, and empower citizens, in order to undertake better planning regarding the use of SI. Nevertheless, in the absence of a conducive environment, these actions could be deterred. In contrast, if the conditions in the internal environment are conducive these actions could be enhanced for the use of SI. This points out that the conditions in the internal environment of LG could either encourage SI or deter it. These conditions are (i) the right organisational attitude and culture, (ii) systems and processes supporting SI, (iii) collaborations and partnerships with citizens, as well as (iv) management support and visionary leadership. The same applies to the factors, namely (i) a lack of available resources from the internal and external LG environments, (ii) lack of LG accountability, (iii) lack of citizen trust in SI during service delivery, (iv) lack of citizen equity and inclusion in SI during service delivery, and (v) lack of willingness amongst citizens to participate in SI, all of which, if not managed, could deter the aforementioned actions and in turn the use of SI by LG. Figure 10 suggests that these actions, conditions, and factors, as part of the organisational context, jointly influence the use of SI by LG. In addition, it is acknowledged that these actions, as proposed by literature, might not be the only ones. On the contrary, there could also be other factors in the internal environment that could enhance the use of SI by LG, as well as conditions that could impede its use.



**Figure 10: Determinants in the local government internal organisational context for its use of social innovation in service delivery**

### 3.5 CONCLUDING REMARKS

In section 3.2 the discussion regarding the perplex nature of local governance suggested that PA styles (section 3.2.1) adopted by LG are bound to influence its local governance system and citizen participation in the governance of service delivery decisions. Apart from PA styles, it was reasoned that decentralisation (section 3.2.2) appears to have a bearing on local governance where, as result of resources deficiencies, LGs have limited decision-making capabilities in respect of the localities they govern. Furthermore, it was established that governance models (section 3.3.3) and power structure (section 3.2.4), like PA styles and decentralisation, influence local governance and the extent to which citizens participate in the governance of service delivery. Following section 3.2, the discussion in section 3.3 concerning the influence of governance systems on service delivery (section 3.3.1) demonstrated that citizens are not only essential to service delivery and governance but also central stakeholders during both processes. Thus, citizens can be described as the conduit that connects service delivery and the

governance of services. Of further significance, as highlighted in the discussion regarding the nexus between good governance and service delivery, is that if a public sector organisation can establish the influence of the governance system on the achievement of, for example, service delivery outcomes, then it can accordingly devise strategies to either improve or reconsider the existing governance system.

In section 3.3.2 various significant issues were raised regarding the influence of governance systems on the use of SI during LG service delivery. Amongst these is that the dominance of administrative hegemony should not be underestimated, since its confluence with LGs' governance systems can hinder the provision of public services. Furthermore, the confluence of administrative hegemony and governance systems can similarly have adverse effects on citizens' participation in service delivery. The discussion regarding the nexus between good governance and citizen participation showed that citizen participation in the governance of services contributes to the creation of public value. It was demonstrated in section 3.3.2.1 that in an open governance system, these contributions could reconfigure the participation of citizens and actors in decision-making processes concerning service delivery and policy development. Of further significance regarding this nexus between good governance and citizen participation (section 3.3.2.1) is that (i) citizens should not only participate in the governance of services through voice but also through contribution and control, and (ii) an essential part of citizen participation in service delivery is the governance of services. Additionally, (iii) citizen participation in decision-making regarding services should run parallel to the governance of services, and (iv) it is essential that citizens should participate in all the stages of the service delivery cycle in order to make notable contributions during the evaluation of services. This will not only provide citizens with a point of reference but also enable them to make meaningful contributions towards ensuring that service standards are maintained through their participation in service governance. It is therefore clear that citizens are not only central to the stages in the service delivery cycle, but also to the governance of services.

Both the good governance and service delivery nexus (section 3.3.1.1) and the good governance and citizen participation nexus (section 3.3.2.1) have thus been shown to be important during the use of SI in LG service delivery. Of significance regarding these nexuses is that they are both underpinned by the internal LG organisational context (section 3.4), which could either deter or promote the use of SI during LG service delivery. Further, it was reasoned that the use of SI in open and closed governance systems (section 3.3.2.2) and service delivery in an open versus a closed governance system (section 3.3.1.2) are premised on work practices that promotes the use of SI. Such work practices are influenced by the internal organisational context. It was argued that the internal LG organisational context influences LG work practices, which would determine service delivery differently in an open versus a closed governance system (section 3.3.1.2), and it also influences the use of SI in open and closed governance systems (section 3.3.2.2). Now that the theoretical stage of the study has been concluded, Chapter 4 presents the research design of the study.

## CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY

### 4.1 INTRODUCTION

In this chapter, the qualitative research approach selected for this study is discussed and will be validated in section 4.2. Within the framework of the selected research approach, a qualitative research design (section 4.3) using a case study approach was identified. The three stages of research design (conceptual, theoretical, and empirical) will be discussed in section 4.3.1. In section 4.4, the population and sample size are discussed and illustrated for both the CoG and the MMM. Following this discussion, the method of data collection is described in section 4.5. Section 4.6 provides an articulation of the data analysis and the three stages (data management, descriptive account, and explanatory account) used to present a framework for enhancing the use of SI for improved service delivery by the MMM (Chapter 7). Subsequently, section 4.7 explains how the reliability and validity of the data collection instruments were assured. Finally, the ethical aspects that were considered in the study will conclude this chapter (section 4.8).

### 4.2 QUALITATIVE RESEARCH APPROACH

A qualitative approach that uses qualitative research methods was selected for this study to both collect and analyse the data (Ritchie & Lewis, 2003:50). The qualitative research approach allows the researcher to describe in detail the phenomenon being studied (Forman *et al.* 2008:766). It allows information to be extracted from the data, highlighting critical issues and leading to novel understandings and information (Strauss & Corbin 1998:7, 11). This approach was selected for three reasons.

The first reason relates to the nature of the research problem as well as the rationale of the study (Strauss & Corbin 1998:11), which require exploring a phenomenon about which little is known and which requires understanding. This is consistent with qualitative research as being concerned with offering a holistic understanding of processes as well as phenomena (Forman *et al.* 2008:765; Nicholls 2009:647). The need for a holistic understanding is further captured in the rationale of the study: (i) increased use of SI in local government service delivery globally warrants exploration of its use, (ii) a comprehensive understanding of the use of SI in LG service delivery is deemed important in order to inform a framework for enhancing such use, and (iii) service delivery challenges in the MMM (Free State province, SA) make it prudent to investigate alternative strategies, such as SI, in order to improve LG service delivery.

The qualitative approach supports this understanding through contextual, explanatory, and generative research. Through *contextual research*, the nature of the phenomenon can be highlighted, as well as how it exists within the different LG contexts (Ritchie & Lewis 2003:27, 28, 32; Rule & John 2011:39). A single research approach, such as qualitative research, therefore suffices for this contextual study of the phenomenon. Through *explanatory research*, the driving forces behind the phenomenon and its occurrences were highlighted, reasons for existing

associations regarding the nature of the phenomenon were examined, and the way in which the phenomenon is organised in different local contexts was explored (Ritchie & Lewis 2003:27, 28). *Generative research* aided contributions in terms of the PA and SI discourses, the policy and LG spheres in Belgium (East Flanders province) and SA (Free State province), the LG service delivery environments in the CoG and the MMM, and a framework for the enhanced use of SI in LG service delivery.

The second reason for selecting a qualitative research approach relates to the fact that the phenomenon was studied through research questions relating to the nature of the phenomenon within the different local contexts, and not the quantitative measurement or levels of the occurrences of the phenomenon in these contexts. Hence, the qualitative research approach was appropriate to address the research questions (section 1.5). The third reason relates to the core meaning of qualitative research, which has to do with the fact that the findings of this research were not derived through quantification but rather through interpretation (Strauss & Corbin 1998:10–11). This means that non-mathematical processes were used to analyse and interpret the data in order to discover significant issues and relationships in the raw data (Meurer, Frederiksen, Majersik, Zhang, Sandretto & Scott 2007:1065; Forman *et al.* 2008:764). Through an inductive narrative, these significant issues and relationships are organised (Strauss & Corbin 1998:11) and reported in Chapters 5 and 6.

### **4.3 QUALITATIVE RESEARCH DESIGN**

Maree (2016b:364) writes that a research design is a plan or blueprint of how a researcher intends to conduct the research. It focuses on the end product and answers the question: what kind of study is being planned and what kind of result is aimed at? Its point of departure is the research problem or research questions. A qualitative research design with a case study approach (Rule & John 2011:9) was used to investigate the use of SI in LG service delivery through a comparative perspective between the CoG and the MMM.

For the purpose of this study, a case study refers to an “empirical inquiry about a contemporary phenomenon” (e.g. the use of SI in LG service delivery) “set within its real-world context” (CoG and the MMM) (also emphasised by Rule & John 2011:4; Nieuwenhuis 2016:81). In support of selecting the case study approach for this study, four determinants are presented:

- (i) The case study approach will answer the “why” and “how” questions (Henning 2007:41; Nieuwenhuis 2016:82). In this study, it can be affirmed that the three research questions posed were addressed.
- (ii) The behaviour of participants cannot be manipulated (Nieuwenhuis 2016:83). In this study qualitative data collection methods, namely interviews (semi-structured interviews and focus group discussions), were employed, which limited such manipulation. These qualitative methods focussed on the respective perspectives of participants and gaining their insight regarding the phenomenon that was being explored, with the minimum input from the researcher.

- (iii) The contextual conditions should be relevant to the phenomenon that is being studied (Rule & John 2011:40; Nieuwenhuis 2016:81). For the purpose of this study, the following contextual conditions were included: (i) analysing the extent to which governance systems influence the use of SI during LG service delivery, (ii) delineating the degree to which citizen participation underpins SI during LG service delivery, and (iii) determining the nature of co-production in SI during LG service delivery. These contextual conditions were investigated through the three research questions (section 1.6).
- (iv) The boundaries between the context and the phenomenon under study lack clarity (Nieuwenhuis 2016:81). A lack of clarity also exists regarding the use of SI in LG service delivery, which partly underpins the rationale for this study.

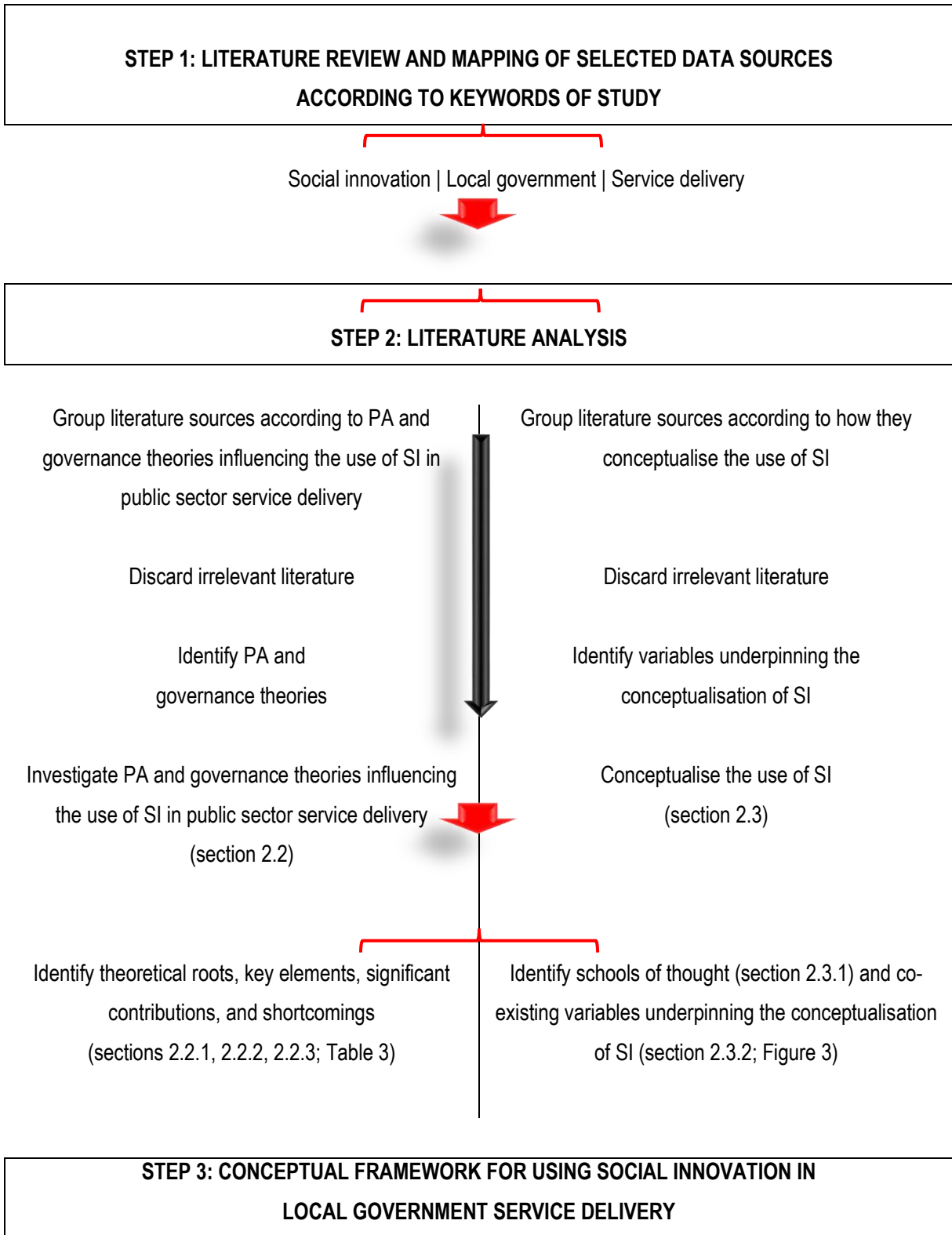
Now that the relevance of the qualitative research design has been stated, the stages in the research design are explained. The selection of a qualitative research design stems from the need to gain a holistic understanding of the phenomenon in its context through various perspectives (Ritchie & Lewis 2003:52; Rule & John 2011:39). A holistic understanding of the use of SI in LG service delivery has not been developed within the framework of the city-to-city cooperation between the CoG and the MMM. Aside from this design being associated with qualitative research, its relevance lies in the fact that the phenomenon is being explored in its context(s) through multiple data collection instruments (i.e. focus group discussions and semi-structured interviews) as well as through multiple perspectives (citizens', academics', and administrators' perspectives) (Hakim 2000; Robson 2002; Yin 1993, 1994, cited in Ritchie & Lewis 2003:52). The multiplicity of the data collection instruments as well as the multiple perspectives all apply to the research design of this study.

#### **4.3.1 Stages of the research design**

The above-mentioned research design enabled the collection of richer evidence pertaining to the research questions, and of diverse and detailed perspectives regarding the phenomenon under investigation. This research design consisted of a three-stage process, namely a conceptual stage, theoretical stage, and empirical stage.

##### **Stage 1: Conceptual stage (Table 3)**

In stage 1 (discussed in Chapter 2), a conceptual framework was put forward, as illustrated in Figure 11. The steps in carrying out the conceptual stage, which ultimately results in developing the conceptual framework for the use of SI in LG service delivery, as carried out in Chapter 2, are illustrated in Figure 11 and subsequently explained.



**Figure 11: Stages in the research design for developing a conceptual framework for using social innovation in local government service delivery**

Step 1: Literature review and mapping of selected data sources according to keywords of study

Petticrew and Roberts (2006:2) describe a systematic literature review as a method that is applied to provide logic to large quantities of information and to make a contribution to answers regarding what is working and what is not. The systematic literature review “maps out areas of uncertainty” by distinguishing between assumed knowledge and evidence-based knowledge, and aids in identifying areas where research seems to be lacking or is non-existent (Petticrew & Roberts 2006:2). A systematic literature review thus presents a comprehensive and objective “summary” of the “best evidence” regarding a topic, and could consist of published as well as unpublished literature (Petticrew & Roberts 2006:xiv, 23).

The literature review used keywords in the title of the study (SI, LG, and service delivery) to conduct an internet search for sources. This search was done by framing these key words as questions, such as, “How is SI used in LG service delivery?” or phrases, such as, “The use of SI in LG service delivery”. This involved an iterative process and also required adjusting these questions and phrases (referred to as search terms) according to the search results that emerged. It may be argued that this adjustment in the search terms is not consistent with conventional systematic literature reviews and appears to deviate from an explicit, replicable search strategy (Dixon-Woods *et al.* 2006:32). However, this adjustment was made because some of the records produced through the electronic database searches were irrelevant. Hence, it was deemed essential in order to avoid the exclusion of potentially relevant sources of information during the systematic literature review. Such changes to systematic literature reviews of a qualitative nature are receiving support from some scholars due to the fact that qualitative research is less concerned with following rigid processes (Dixen-Woods *et al.* 2003:40). Forman *et al.* (2008:766) affirm this and argue that qualitative research processes are concerned with being rigorous and systematic as opposed to being rigid.

The platforms used were the University of the Free States Library’s databases of books and electronic resources, the University of Ghent Library’s electronic resources, searches within the database of accredited journals, as well as Google Scholar. Additional sources included bibliographies of literature sources, peer-reviewed journals, strategic and legislative documents of national and local government, conference proceedings and working papers, ongoing research, as well as communication with field experts, practitioners, and scholars. Searches were limited to the most recent English-language literature (2005 to 2017) whose full texts were available. From the systematic literature review, sources were grouped according to keywords.

Step 2: Literature analysis of PA and governance theories underpinning the use of SI in public sector service delivery and the conceptualisation of SI

Based on the keywords in the titles, abstracts, and texts, the literature sources were grouped and then read for information in relation to (i) PA and governance theories influencing the use of SI in public sector service delivery and (ii) the conceptualisation of SI. Step 2 also involved the discarding of literature that was not relevant. This step

was concluded with an analysis of PA and governance theories influencing the use of SI in public sector service delivery (section 2.2; Table 3) and of the conceptualisation of the use of SI (section 2.3), by identifying three schools of thought as well as variables that underpin the conceptualisation of SI. The outcome of the systematic literature review (steps 1 and 2) resulted in the formulation of a conceptual framework for the use of SI in LG service delivery.

#### Step 3: Conceptual framework for using SI in LG service delivery

Jabareen (2009:49) describes a conceptual framework as a network of concepts that are linked, and as a collective, these concepts offer an all-inclusive comprehension of a phenomenon. In this case, the phenomenon is the use of SI in LG service delivery, and the variables underpinning the use of SI in LG service delivery (creating public value, citizen participation, co-production, and governance) will be considered. Based on a gap in the literature regarding the use of SI in LG service delivery, this step proposes a conceptual framework that considers variables underpinning the use of SI in LG service delivery (section 2.4; Figure 5). The relationship between these co-existing variables was illustrated in Figure 3 (section 2.3.2).

### **Stage 2: Theoretical stage (Table 3)**

During the theoretical stage (discussed in Chapter 3), the qualitative method of data collection was applied through a systematic literature review, semi-structured interviews, and focus group discussions. Chapter 3 entailed a discussion of perspectives on local governance and the use of SI in LG service delivery. In this chapter, the complexity of local governance was discussed (section 3.1), and reflections were provided on PA theory and governance systems (section 3.2.1), governance models (section 3.2.2), decentralisation (section 3.2.3), and power structure (section 3.2.4). In section 3.3, local governance systems and the use of SI during LG service delivery were analysed. This analysis was done in respect of governance systems and service delivery (section 3.3.1), and the use of SI in local government service delivery (section 3.3.2). In section 3.4, the internal organisational context necessary for the use of SI during local government service was explored. The steps in the execution of the theoretical stage are explained next.

#### Step 1: Framing review question(s)

It is important that the framing of the problem(s) that will be addressed through the review should be clearly specified in the form of unambiguous questions (Khan, Kunz, Kleijnen & Antes 2003:2). In the theoretical stage, these were the research questions, as addressed in Chapter 3, namely:

- (i) How do governance systems influence the use of SI during LG service delivery?
- (ii) How does citizen participation underpin SI during LG service delivery?
- (iii) How does co-production underpin the use of SI during LG service delivery?

These research questions were addressed through a comprehensive literature review, which is the second step in the systematic literature review and is discussed next. Similar to the systematic literature review performed during

the conceptual stage, these search questions were occasionally adjusted based on results from searches and the findings that emerged from the literature sources. These adjustments were made because some of the search results produced through the electronic database searches were irrelevant. If a more rigid strategy were followed, important, relevant sources of information would have been excluded. These search questions were therefore used as a compass as opposed to as an anchor (Dixon-Woods *et al.* 2006:32).

#### Step 2: Comprehensive literature search

The second step of the systematic literature review includes a comprehensive search of literature (published as well as unpublished) and the specification of inclusion as well as exclusion criteria (Khan *et al.* 2003:2). The research questions, as clarified in step 1 of the systematic literature review, were used to carry out the literature search. The comprehensive literature search followed the same process applied during the conceptual stage and was carried out in the sequence of searching databases, consulting additional sources, applying limiters, screening the literature sources, and capturing data from relevant literature sources.

#### Step 3: Findings

This systematic literature review for Chapter 3 included a narrative summary of the findings. The narrative summary described, reported, and integrated the findings. Upon concluding the answering of the research questions for Chapter 3 through the systematic literature review (naturally occurring data), this research question was also addressed through data generated in the empirical stage (Chapters 5 and 6). Upon concluding the theoretical stage of the research design, the empirical stage commenced.

#### Stage 3: Empirical stage (Table 3)

The qualitative research design comprised two cases. The first case (addressed in Chapter 5) offered a perspective of the CoG as the unit of analysis. This perspective (i) delineated the extent to which citizen participation underpins SI during LG service delivery by the CoG, (ii) determined the nature of co-production in SI during LG service delivery by the CoG, and (iii) analysed the extent to which governance systems influence the use of SI during LG service delivery by the CoG.

In the second case (addressed in Chapter 6), the unit of analysis is the MMM. Similar to the first case, (i) the extent to which citizen participation underpins SI during LG service delivery by the MMM was delineated; (ii) the nature of co-production in SI during LG service delivery by the MMM was determined, and (iii) the extent to which governance systems influence the use of SI during LG service delivery by the MMM was analysed. In both cases, the same research questions were addressed qualitatively, namely:

- (i) How does citizen participation underpin SI during LG service delivery?
- (ii) How does co-production underpin the use of SI during LG service delivery?
- (iii) How do governance systems influence the use of SI during LG service delivery?

These three stages in the research design are summarised in Table 3. In the next section, the population and sample size are discussed.

**Table 3: Stages of the qualitative research design**

STAGES		
<b>1: CONCEPTUAL</b> Conceptual framework for using SI in LG service delivery	<b>2: THEORETICAL</b> Perspective on local governance and the use of SI in LG service delivery	<b>3: EMPIRICAL</b> Case of CoG and MMM
RESEARCH QUESTIONS		
(i) How do governance systems influence the use of SI during LG service delivery?		
(ii) How does citizen participation underpin SI during LG service delivery?		
(iii) How does co-production underpin the use of SI during LG service delivery?		(iii) How does co-production underpin the use of SI during LG service delivery?
CHAPTERS		
Chapter 2	Chapters 2 and 3	Chapters 5 and 6
DATA COLLECTION INSTRUMENTS		
Systematic literature review	<input type="checkbox"/> Semi-structured interviews <input type="checkbox"/> Focus group discussions	

#### 4.4 POPULATION AND SAMPLE SIZE

In qualitative research, the focus is not on having a big sample in order to generalise findings to a population (Forman 2008:769). Instead, although qualitative findings cannot be generalised like quantitative findings, qualitative findings can be generalised to comparable contexts (Forman 2008:769). Hence, the population, which is confined to the context of the study, is still considered important even though it is not for the purpose of generalising findings. In this study, the population was selected on the basis of their geographical location and the focus of the study, as well as their ability to provide relevant and rich information relating to the research questions. This population (N) of the study comprised LG officials, academics, and citizens in both the CoG and the MMM, as a single perspective of the phenomenon in the different LG contexts would not suffice. Consequently, two non-probability sampling methods, namely purposive sampling and snowball sampling (Henning 2007:71; Maree & Pietersen 2016:198), were applied to select the projected sample (n), which amounted to 42 respondents for the CoG and 42 respondents for the MMM, totalling 84 respondents (Figure 14). According to Henning (2007:71) and Maree and Pietersen (2016:198), purposive sampling allows the researcher to eliminate any bias in the selection of the sample by including those normally discounted or excluded in quantitative approaches. Purposive sampling

is defined as a method “which looks for people who can help to build the substantive theory further” (Henning 2007:71). Purposive sampling could also be “adjusted to accommodate snowball sampling” (Henning 2007:71). According to Jansen (2016:10), snowball sampling is a method that is applied when the population is “difficult to find or where the research interest is in an interconnected group of people”, as in the case of the citizens (also supported by Rule & John 2011:64).

(i) City of Ghent

The CoG is a city and municipality (LG authority) in the East Flanders province of Belgium (see the map in Figure 13) with a population of 252,273 citizens who are spread across 25 wards (Stad Gent 2016c:3).



**Figure 12: Map of Belgium showing the City of Ghent (Source: Mapsopen.com 2016)**

The City Council, which consists of fifty-one councillors, serves as the representative body of the citizenry since its members are directly elected by them (Stad Gent 2016b). The council of the CoG comprises of a governing coalition that is made up of three parties – the Green party (Ecological party), the “Open VLD (Liberal democratic party)”, and the “sp.a (Social democratic party)” – which, combined, hold thirty-five of the fifty-one seats (Stad Gent 2016a). The three opposition parties (holding sixteen seats), consist of the “Vlaams Belang” (Right-wing extremist party)”, the “CD&V (Christian democratic party)” and the “N-VA (Flemish nationalist party)” (Stad Gent 2016a). Together with the City Council, the Executive Committee is responsible for the implementation of the city’s policy and budgetary frameworks (Stad Gent 2016c). The Executive Committee acts as the City Council’s main decision-making body and is made up of the eleven executive councillors, the mayor, the city manager, and the deputy manager (Stad Gent 2016c). Although the eleven executive councillors are respectively responsible for a particular

focus area within the council's policies and services, they do not have decision-making authority separate from the council and can only take decisions as a collective (Stad Gent 2016c). The term of the current Executive Committee (five years) commenced in 2013 when the last council was elected and will end in 2018 when a new Executive Committee will be selected (Stad Gent 2016c).

In the CoG, the nine directorates within its administration are the Departments "Cultuur, Sport en Vrije Tijd; - Onderwijs, Opvoeding en Jeugd; - Samenleven en Welzijn; - Duurzame Stedelijke Ontwikkeling en Ondernemen; - Publieke Ruimte; - Human Resources; - Facility Management; - Financiën; Diensten Bedrijfsvoering and the – Ombudsvrouw" (Stad Gent 2015). These directorates in the administration of the CoG are made up of a varying number of departments. Two officials from each of the nine directorates were selected to participate in the focus group discussions (two groups of nine officials), which amounted to a sample of eighteen officials. In addition, three senior officials (one strategic director, one ward director, and one official tasked with policy participation) were selected to take part in the semi-structured interviews (Figure 14). The projected sample for officials of the CoG amounted to n=21. These respondents were selected using non-probability sampling, specifically purposive sampling, with the aid of a senior official responsible for strategy, coordination and international relations. Respondents were mainly nominated to participate in the study by their heads of department.

For 2017, the CoG has an estimated population of 259,083 citizens spread across twenty-five wards (City Population 2017; Stad Gent 2017b). The population spread between genders is more or less the same, although females (50.3%) are slightly in the majority (Stad Gent 2016d; Stad Gent 2017b). Of the total population, 11,922 citizens reside in the ward Stationsbuurt Noord, and 7,670 citizens reside in the ward Gentbrugge (Stad Gent 2016a). One focus group discussion consisting of ten citizens from the ward Stationsbuurt Noord, and one focus group consisting of 10 citizens from the ward Gentbrugge (integrating Lederberg) were envisaged (n=20) (Figure 14). These respondents were selected using non-probability sampling, specifically purposive sampling which was adjusted to snowball sampling (Henning 2007:71), with the aid of a ward director from each of the wards. These sampling methods (officials as well as citizens), were deemed to be a valid and reliable option since the researcher was an Erasmus Mundus PhD mobility student visiting the CoG and was not familiar with the citizens in the respective wards.

The CoG has been home to Ghent University since 1817 (Ghent University 2017). Due to the presence of the University of Ghent, the city has a large student population and is often referred to as the "City of Knowledge and Culture" (Stad Gent 2017a). Since the 1980s, the CoG council has invested heavily in redeveloping the city in collaboration with the university to transform it from a "post-industrial city" to an "open, liveable, and pleasant city designed for and with the people" (Coenegrachts 2017). A semi-structured interview was conducted with an academic (familiar with the functioning of the Belgian LG, including the CoG) from the University of Ghent to obtain

the perspective of academia regarding the phenomenon being explored in this study (n=1). The projected sample (n) (LG officials, academia, and citizens) from the CoG consisted of forty-two respondents.

(ii) Mangaung Metropolitan Municipality

The MMM is an LG authority in the Free State province of South Africa (see Figure 13) with a population of 806,942 citizens who are spread across fifty wards (MMM 2016a:70).



**Figure 13: Map of Mangaung Metropolitan Municipality** (Source: Yes! Media 2016)

The council of the MMM consists of ninety-seven elected councillors as the public representatives of the citizens (MMM 2016a:255). Of the ninety-seven councillors, forty-eight are representatives of the political parties based on proportional representation and forty-nine represent the wards in the MMM (MMM 2016a:255). The council comprises the following political parties: (i) African National Congress (58 seats), (ii) Democratic Alliance (27 seats), (iii) Economic Freedom Fighters (9 seats), (iv) Vryheidsfront Plus (2 seats), (v) African Independent Congress (2 seats), (vi) Congress of the People (1 seat), and (vii) Agency for New Agenda (1 seat) (Electoral Commission of South Africa 2016:1–2). Referred to as its political structure, this council consists of an executive mayor, a deputy executive mayor, a speaker, and a chief whip who together with ten other councillors constitute the Mayoral Committee (MMM 2016a:255). The Mayoral Committee is responsible for the following portfolios: (i) Economic Development and Spatial Planning, (ii) Finance, Community Safety, Emergency, Transport and Fleet Services, (iii) Corporate Governance and IDP, (iv) the Municipal Public Accounts Committee, (v) Human Settlement, (vi) Health and Social Development (vii) Infrastructure and Engineering Services, (viii) Agriculture and Rural Development, and (ix) Environmental and Waste Management (MMM 2016a:255). The elected council of the MMM governs this municipality under the leadership of its executive mayor (MMM 2016a:245–255). The MMM

council approves all major administrative and policy decisions after they have been presented to the council and after the council has passed a resolution (MMM 2016a:245–255). The term of the current MMM council is from 2016, when the last council was elected, until 2021, when the next local government elections will take place in South Africa and when a new MMM council will be elected.

The administration of the MMM is divided into nine departments. These departments are (i) City Manager, (ii) Corporate Services, (iii) Finance, (iv) Engineering Service, (v) Strategic Service and Projects, (vi) Social Development, (vii) Planning, (viii) Organisational Planning and Performance Management, and (ix) Centlec (an entity of the MMM) (MMM 2016a:254–255). Participants from the respective directorates were nominated to participate in the two focus groups, which amounted to a projected sample of eighteen officials. In addition, semi-structured interviews were conducted with one strategic director, one strategic manager, and one official tasked with policy participation. The total sample for officials of the MMM was  $n = 21$ .

According to a community census completed in 2016, the MMM has a population of 787,929 citizens who are spread across fifty wards (MMM 2017:40). Of the total population, 13,566 citizens reside in Ward 20 (Wazimap 2017a) and 8,944 citizens reside in Ward 23 (Wazimap 2017b). One focus group discussion consisting of ten citizens from the Ward 20, and one focus group consisting of ten citizens from the Ward 23 was envisaged ( $n=20$ ) (Figure 14). These respondents were selected using non-probability sampling, specifically purposive sampling which was adjusted to snowball sampling (Henning 2007:71). These sampling methods were deemed to be a valid and reliable option since the researcher was not familiar with the citizens in the respective wards.

The Mangaung Metropolitan Municipal area is home to various higher education institutions, including the University of the Free State (founded in 1904 in Bloemfontein) and the Central University of Technology (established in 1981 in Bloemfontein) (University of the Free State 2017; Central University of Technology 2017). The existence of these universities in the municipal area has culminated in collaborative research projects with the MMM and other stakeholders to advance innovation, research, and training, such as the establishing of the Regional Innovation Forum (Regional Innovation Forum 2017). A semi-structured interview was conducted with an academic (familiar with the functioning of the South African LG, including the MMM) from the University of the Free State, to obtain the perspective of academia regarding the phenomenon explored in this study ( $n=1$ ). The total sample ( $n$ ) (LG officials, academic, and citizens) from the MMM consisted of 42 respondents. The composition of the sample is illustrated in Figure 14.

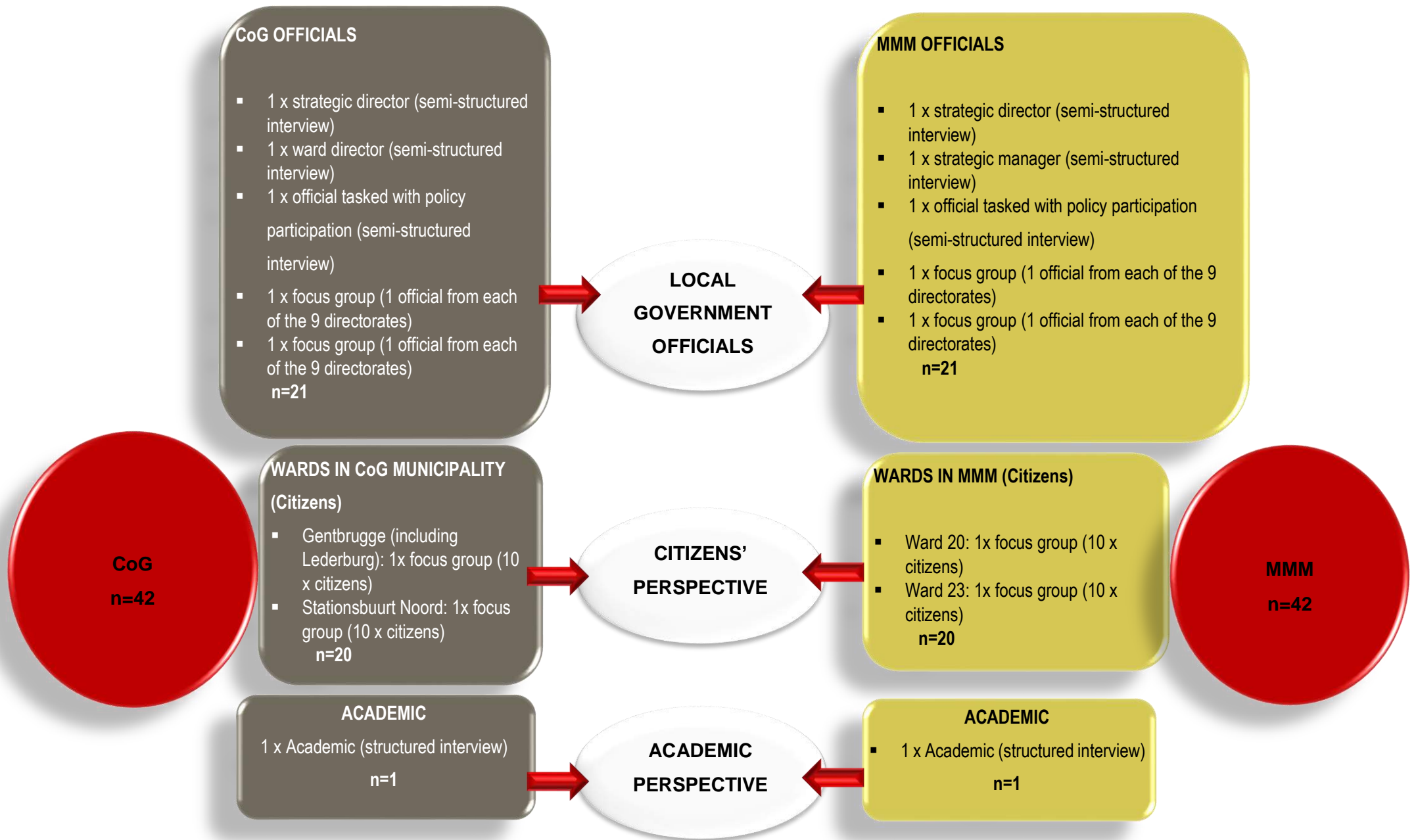


Figure 14: Projected population and sample size

#### 4.5 DATA COLLECTION

In this study, a qualitative research design using a case study approach was applied. Using qualitative research methods to both collect and analyses the data was deemed the most reliable. Within this qualitative research design, the data collection was done using what Forman *et al.* (2008:765) refer to as open-ended data collection instruments to address the research questions. All interviews with the respondents were conducted in English or Afrikaans after their language preferences were taken into account. In the case of the CoG community, the assistance of a translator was used to facilitate understanding when needed. In this study, a systematic literature review, semi-structured interviews and focus group discussions were used to collect data. Upon conclusion of the data collection, the responses were analysed in the case of both the CoG (Table 5) and the MMM (Table 6).

In this study, the data collection instruments as informed by the qualitative research design were documents (naturally occurring data), as well as semi-structured interviews and focus group discussions (generated data) (Ritchie & Lewis 2003:56; Nicholls 2009:643) (Table 6). The choice of which data collection instruments were appropriate for this study was informed by whether naturally occurring or generated data will be able to address the research questions of this study (Ritchie & Lewis 2003:56). This choice was further informed by consideration of (i) the importance of context, (ii) whose interpretation is important in this research, and (iii) the accessibility of data for this research (Ritchie & Lewis 2003:56–57). In the subsequent paragraphs, these choices concerning the data collection instruments are elaborated on in the context of how they were applied to this study.

Whilst context was important, participant observation through naturally occurring data was not required, but instead respondents were required to give their account of how the phenomenon exists within the respective local contexts through generated data (semi-structured interviews and focus group discussions). Concerning whose interpretation is important (researcher or respondents), although the findings would be interpreted by the researcher, the interpretations or perspectives of the respondents were paramount in order to develop an understanding of the phenomenon in the respective contexts (Ritchie & Lewis 2003:57). Lastly, the accessibility of data was determined by the existence of data and access to it, as well as whether generated data would provide a more comprehensive understanding of the phenomenon. These documents, semi-structured interviews and focus group discussions represent multiple data collection instruments, the use of which is considered advantageous in case study research. This advantage stems from the premise that the use of multiple data collection instruments results in converging inquiries into a specific phenomenon (Yin 2014:120), as well as a holistic understanding of the phenomenon (Baxter & Jack 2008:554). Such a holistic understanding is also consistent with the qualitative research approach. Convergence of inquiry refers to the findings of the case study being supported by divergent data collection instruments and not just a single source of evidence. This convergence further enabled the triangulation of data when, for example, the semi-structured interviews and the focus group discussions were used to answer the same research questions.

The data collected from the documents (systematic literature analysis) informed the semi-structured interviews and focus group discussions. This way of using the findings from one data collection technique (documents) to inform the other instruments of data collection (semi-structured interviews and focus group discussions) is supported by Greene, Caracelli, and Graham (1989, cited in Creswell 2003:15–16). Consequently, apart from data triangulation occurring when these multiple data collection instruments were being used to support the findings, data triangulation also occurred between the different instruments, for example when the evidence collected from the documents was used to develop the questions for the semi-structured interviews and the focus group discussions. Yin (2014:121) avers that the triangulation of data aids in strengthening the construct validity of the case study. As such, these multiple data collection instruments offered multiple ways of investigating the phenomenon explored in this study (Yin 2014:121). In Table 4, the respective data collection instruments and their relevance are captured along with the associated protocol that was applied for each data collection technique, and will be discussed in more detail below.

**Table 4: Data collection instruments and protocol**

<b>DATA COLLECTION INSTRUMENTS</b>	<b>RELEVANCE</b>	<b>PROTOCOL</b>
<b>NATURALLY OCCURRING DATA</b>		
<b>Literature</b>	<ul style="list-style-type: none"> <li>▫ Contributes to enhancing and verifying evidence and information in case study research</li> <li>▫ Inferences can be made from the evidence that is provided by different documents</li> </ul>	<ul style="list-style-type: none"> <li>▫ Framing review question(s) to search literature (step 1)</li> <li>▫ Systematic literature analysis (step 2)</li> <li>▫ Summarising the findings (step 3)</li> </ul>
<b>GENERATED DATA</b>		
<b>Semi-structured interviews</b> (CoG and MMM LG officials; academics)	<ul style="list-style-type: none"> <li>▫ Offer insightful perspectives, understanding, and knowledge concerning the phenomenon being explored</li> <li>▫ Allow a comprehensive understanding of the phenomenon being explored</li> </ul>	<ul style="list-style-type: none"> <li>▫ Conduct semi-structured interviews</li> <li>▫ Audio record the interviews</li> <li>▫ Transcribe the interviews verbatim</li> </ul>
<b>Focus group discussions</b> (CoG and MMM citizens; CoG and MMM LG officials)	<ul style="list-style-type: none"> <li>▫ Obtain first-hand knowledge and experiences from the sample that is affected by the phenomenon</li> <li>▫ Generate data from participants in relation to their recounting of the phenomenon that is being explored</li> </ul>	<ul style="list-style-type: none"> <li>▫ Conduct focus group discussions</li> <li>▫ Audio record the focus group discussions</li> <li>▫ Transcribe the discussions verbatim</li> </ul>

- Literature (Table 4)

The qualitative aspect of case study research is considered as valuable to inform evidence-based decision-making as well as professional practices, especially in the field of policymaking (Baxter & Jack 2008:544). This value is also evident in the present study, which explores a phenomenon within two respective cases. This exploration

might have policy implications. Exploring of a phenomenon “in context” through data sources is supported by Baxter and Jack (2008:544). Therefore, documents as sources of data were considered relevant for this study and important during case study research (Yin 2014:107). The reason for this is that these documents contribute to enhancing and verifying evidence and information (Yin 2014:107). Due to this contribution, documents become relevant when embarking on further inquiry into the phenomenon should congruent or incongruent evidence be prevalent. In addition, inferences can be made from the evidence that is provided by different documents (Yin 2014:107).

The extraction of qualitative data from documents was performed through a systematic literature review, the protocol of which involved framing review question to search literature (step 1), a comprehensive literature search (step 2), and summarising the findings (step 3). During the systematic literature review, the information sources that were used to obtain qualitative data were databases as well as additional information sources such as the bibliographies of literature sources, the databases of peer-reviewed journals, strategic documents of government and LG, legislation, regulations, policies, conference proceedings and working papers, websites, ongoing research, consultations with field experts and practitioners, and consultations with scholars. In line with the research questions of the study, the systematic literature review addressed the research questions. Once the systematic literature review had been concluded and analysed according to themes, the findings were used to generate the questions for developing the semi-structured as well as the focus group discussions.

- Semi-structured interviews (Table 4)

Interviews as a qualitative data collection technique have a targeted focus and offer research participants the opportunity to share meaning, explanations, their experiences, as well as personal views that are insightful to the research (Gill, Stewart, Treasure & Chadwick 2008:292; Yin 2014:106). Diefenbach (2009a:882) avers that through interviews, participants can disclose insights and ideas not provided by other data collection instruments. Hence, this participation of respondents is of particular relevance for obtaining detailed insights regarding a phenomenon during qualitative research. Furthermore, interviews as a qualitative data collection technique are also appropriate in relation to areas where little is known about a particular phenomenon (Gill *et al.* 2008:292). In view of the aforementioned, the relevance of the semi-structured interviews for the present research lies in their ability to yield a comprehensive understanding of factors influencing the use SI in LG service delivery, in order to derive a framework for the enhanced use of SI during LG service delivery. The semi-structured interviews therefore aided in gaining such a comprehensive understanding through the meanings, explanations, and insights from research participants during these interviews.

During semi-structured interviews, the interviewer can diverge between questions to obtain more detail about an interviewee’s response, specifically regarding issues of significance highlighted during interviewee responses (Gill *et al.* 2008:291). By adopting a flexible approach in questioning, the researcher can probe the interviewee to

elaborate on information of importance to the interviewee but which may not have been considered relevant by the researcher (Dearnly 2005:22; Gill *et al.* 2008:291). With this in mind, the data collection protocol that was used during the semi-structured interviews encompassed conducting the interview, making an audio recording of the interview whilst conducting it, and upon concluding the interview, transcribing the interview verbatim. The verbatim transcription of the interviews not only provides a permanent record of what was discussed, but also protects against any bias from the researcher (Pontin 2000:289–298, cited in Gill *et al.* 2008:293). Aligned with the research questions of the study, the semi-structured interviews addressed the research questions.

These research questions were answered using the same semi-structured interview questions in the case of both the CoG and the MMM. This replicated use of the interview questions and the data collection technique in both cases was important to ensure consistency in the data collection instruments and qualitative research process and to aid the validity of this data collection technique. Further, replicating the interview questions enabled the researcher to make comparisons and to highlight differences and issues of significance regarding the phenomenon between the units of analysis in the two cases.

- Focus group discussions (Table 4)

The hallmark of focus group discussions is the inherent group interaction that occurs, through which rich insights and data are produced that are less accessible without the group interaction (Farrelly 2013:94). Focus group discussions in qualitative research, like interviews, therefore allow participants to recount the phenomenon that is being explored by generating data for this specific purpose (Ritchie & Lewis 2003:45). In this study, focus group discussions were used to obtain significant information from a sample but not to generalise the findings from the sample to a larger population (Sale, Lohfeld, & Brazil 2002:45). The relevance of focus group discussions as a data collection technique for this study is therefore premised on being able to obtain first-hand knowledge and experiences from the sample that is affected by the phenomenon. The data collection protocol that was used for the focus group discussions involved conducting the focus group, making an audio recording of the focus group whilst conducting it, and upon concluding the focus group, transcribing it verbatim. Another other source of data was the notes taken by the researcher or moderator of the focus group. In line with the research questions of the study, the focus group discussions were used to answer the research questions.

The same focus group questions were used in the case of the CoG, and the case of the MMM to address the mentioned research questions. As with the semi-structured interviews, this replicated use of the focus group questions and data collection technique in both cases was important to ensure consistency in the data collection instruments and qualitative research process, which aids the validity of this data collection technique. In addition, this replication enabled the identification of comparisons, differences, and issues of significance regarding the phenomenon for both cases.

## 4.6 DATA ANALYSIS

Within each case, upon conclusion of the data collection, the data analysis was done in a three-stage process. During qualitative data analysis, the interpretation and assignment of meaning occur throughout the analytical process (Ritchie & Lewis 2003:219). This entails proceeding inductively towards the identification of recurring patterns and themes in data (Creswell 2009:175; Forman *et al.* 2008:767). In this study, the analytical hierarchy for qualitative data analysis proposed by Ritchie and Lewis (2003:213) was used. This analytical hierarchy comprises three stages, namely data management, descriptive accounts, and explanatory accounts (Berg 2004:200, 201; Ritchie & Lewis 2003:213). Some of the stages in this analytical hierarchy are also captured in the data analysis spiral proposed by Creswell (2007:150) for analysing case study data. Creswell (2007:156, 157) argues that data analysis for case studies should consist of “data management, reading and writing memos, describing, interpreting and representing and visualising”. Using the aforementioned three stages of the analytical hierarchy in combination with Creswell’s data analysis spiral for case studies, the analysis of the qualitative data was done per case and according to research objectives ii, iii and iv (section 1.4). Within each case, the analysis of data obtained through the semi-structured interviews and the focus group discussions were done through data management, descriptive accounts, and explanatory accounts. These three stages, as used in the analysis of the qualitative data, are elaborated on below.

### Stage 1: Data management

The data management stage encompassed the process of labelling the data, sorting the data, and synthesising the data in order to progress to interpretive work (Ritchie & Lewis 2003:213, 237). Data management, which was done manually, involved transcribing the data from the audio recordings as well as the notes that were taken by the moderator and assistant moderator during the semi-structured interviews and the focus group discussions. The transcribed data became a permanent written record that formed the basis of further analysis. During the transcription of the data of the semi-structured interviews and focus group discussions, the confidentiality of participants was preserved by coding their names in the transcripts. The transcribed data were supplemented with observational data, such as behavioural and non-verbal gestures that were not recorded but which were also important information sources and were also considered during the analysis of the transcript. Furthermore, this process encompassed labelling the data per research objective under which the sorting and synthesis of the data occurred in each case. The synthesising or summarising of the data entailed contemplating the relevance and meaning of data to the phenomenon under enquiry.

### Stage 2: Descriptive account

During stage 2, the synthesised data from stage 1 were used to formulate descriptive accounts. As proposed by Ritchie and Lewis (2003:214), these descriptive accounts entailed using (i) the actual words of respondents to grasp how respondents comprehend and perceive the phenomenon, and (ii) the fundamental content of the respondents’ accounts in respect of assigned meanings and descriptions. The descriptive account was rendered

by following three steps, namely detection, categorisation, and classification. During detection, the fundamental content of the phenomenon was identified per research objective (Ritchie & Lewis 2003:237). Thereafter, during the categorisation step, categories were refined and assigned with descriptive data. During step 3, which is classification, typologies or classifications were developed that described how the occurrence of the phenomenon in this study can be characterised and distinguished in the respective cases. Once the descriptive work and typologies were concluded, the analysis moved to the next stage, which is the explanatory account.

### Stage 3: Explanatory account

As proposed by Ritchie and Lewis (2003:215), during stage 3, patterns of association in the data were identified and the occurrence of these patterns was explained. This is where the transition from the descriptive to the explanatory accounts occurred (Ritchie & Lewis 2003:215). The explanatory account entailed explaining why the data assumed a specific form, highlighting the occurrence of patterns and why certain patterns occurred, as well as highlighting why certain linkages and contradictions can be found in the data. By using the analytical hierarchy to analyse the qualitative data, “patterns, recurring linkages, associations”, and inconsistencies were identified. Ritchie and Lewis (2003:213, 214) refer to the analytical hierarchy as a ladder that requires using the three stages as a systematic process but also referring back and forth between these stages to further refine the qualitative analysis.

## **4.7 RELIABILITY AND VALIDITY OF DATA COLLECTION INSTRUMENTS**

The reliability and validity of the data collection instruments that were used were considered imperative to ensure the integrity and rigour of the study findings. For this reason, this section is dedicated to explicating how the reliability and validity of the qualitative data collection instruments were assured in this study through the research design. According to Roberts, Priest, and Traynor (2006:41), reliability refers to the extent to which a data collection technique will yield the same results if administered under differing circumstances. It is argued that this ability to yield similar results applies more to quantitative research than to qualitative research (Zohrabi 2013:259). Validity, meanwhile, relates to whether an instrument is measuring what it purports to measure (Roberts *et al.* 2006:41), and also denotes trustworthiness (Zohrabi 2013:258). According to Fraenkel and Wallen (2003, cited in Zohrabi 2013:258), the validity of instruments is important because the data that are extracted from it and the findings that emerge from such data are influenced by the quality of the instruments.

The validity of instruments can be assured through content validity, internal validity, and external validity. Internal validity refers to the congruence between the reality and the findings of the research, whereas content validity is concerned with the effective measurement of behaviours, skills, and elements, and is subject to peer review of the data as well as the research elements (Zohrabi 2013:259). External validity, in contrast, looks at the generalisability of the findings to other settings within the same research (Zohrabi 2013:259). In this qualitative research design, it can be concluded that internal validity applied, and since a qualitative research design was used, the reliability and

validity of the qualitative data collection instruments were considered within the framework of this method of data collection, as discussed next.

During qualitative research, ensuring that the data collection instruments are reliable pertains more to the dependability and consistency of the data collection process than replicability (Creswell 2007:204; Zohrabi 2013:259). Guba (1981; see also Schwandt, Lincoln, & Guba 2007, cited in Anney 2014:272) confirms this and states that qualitative research considers confirmability, credibility, dependability, and transferability as criteria of the trustworthiness of findings. For the purpose of this study, dependability and transferability are reflected on, along with, lastly, the consistent use of the data collection process. Data triangulation and peer examination are proposed to achieve dependability when establishing reliability through the use of different data collection instruments (Anney 2014:277). In the research design of this study, multiple data collection instruments were used, such as documents, semi-structured interviews, and focus group discussions, to ensure reliability through dependability. Peer examination was also employed, and entails a researcher discussing the research process carried out as well as the research findings with neutral colleagues who are experienced in qualitative research (Anney 2014:279). In this study, peer examination involved discussing the findings with other doctoral students and colleagues.

Transferability denotes the degree to which the inquiry or research can be transferred to a comparable context. This implies transferring qualitative research results to a similar context with different participants through purposive sampling (Bitsch 2005; Tobin & Begley 2004, cited in Anney 2014:277). In this study, transferability was attained through purposive sampling in terms of the participants during each case. Further, the inquiry was transferred to cases that were comparable in context. As for the consistent use of the data collection process, the intention was not to replicate research results but rather to apply the data collection processes consistently within the research design. Concerning validity, Forman *et al.* (2008:768) propose that the validity of qualitative data can be attained through (i) methodological rigour – to which Anney (2014:276) refers as credibility – and (ii) relevance of the findings, as discussed in the following paragraphs.

(i) Methodological rigour

Forman *et al.* (2008:768) assert that methodological rigour can be achieved by ensuring that the study design is appropriate, the research process is systematic, a systematic strategy for data analysis is applied, and through triangulation and reflexivity. Forman *et al.* (2008:768) refer to the appropriateness of the study design being secured by ensuring that the selection of data sources, the sampling strategy, and data collection and analysis instruments all address the research questions of the study. Further, part of methodological rigour is for the research process to be carried out systematically and comprehensively enough to support the findings. This can be attained through triangulation (Forman *et al.* 2008:768; Anney 2014:277). In addition, qualitative findings can also be enhanced by members of a research team verifying the interpretation of data and through validation of the

conclusions and the interpretation of data by the study participants, through peer debriefing, and by presenting research results at research conferences (Long & Johnson 2000:33; Creswell 2007:208; Nicholls 2009:645; Anney 2014:276). In this study, methodological rigour was ensured by identifying the appropriate research design, namely a qualitative research design, to address the research questions. Within this qualitative research design, purposive sampling was used for the sample design and selection in order to address the research questions.

Aligned with the qualitative research design, the data collection was done through open-ended qualitative data collection instruments that addressed the research questions per case. The same systematic approach per case was followed for the data analysis through the use of an analytical hierarchy. The findings from the data analysis were supported through triangulation. Triangulation, which has to do with the convergence of evidence, can be done by means of having a research team comprising data analysts from diverse disciplines, the use of multiple data collection instruments, and data collection from multiple sources (Long & Johnson 2000:34; Golafshani 2003:604; Creswell 2007:204; Anney 2014:277). In this study, triangulation was ensured through the use of multiple data collection instruments, namely documents, semi-structured interviews, and focus group discussions, as well as through multiple sources, namely naturally occurring data (documents) and generated data (semi-structured interviews and focus group discussions). Data triangulation was achieved by cross-checking sources of data to ascertain if convergence exists between the evidence from the multiple data collection instruments. In addition to data triangulation, the trustworthiness of the qualitative data collection instruments was assured by internal validity through the process of crystallisation.

The process of crystallisation is defined as the “practice of validating results by using multiple methods of data collection and analysis” (Maree 2016a:42), and appears to be consistent with data triangulation. The interpretation of the findings entailed integration of the different sources of qualitative data to ensure the internal validity and to enhance trustworthiness. The use of multiple data collection instruments strengthened the validity of the findings because the phenomenon was explored through different qualitative methods of data collection. In addition, the validity and reliability of the data, as well as their interpretation, were augmented through the use of the aforementioned multiple qualitative sources and validity-enhancing procedures. These validity-enhancing procedures involved two supervisors checking the analysis of findings as well as its interpretation, and presentation of the research at conferences which were subjected to a peer review process and which included peer debriefing of the research findings. Apart from methodological rigour, the validity of the qualitative data can also be secured by ensuring the relevance of the findings, as reflected on next.

#### (ii) Relevance of the findings

Forman *et al.* (2008:768) are of the view that the relevance of the findings can be ensured through the knowledge contributions made by a study. In the present study, the validity of the qualitative data was ensured through the novel knowledge and significant contributions made to areas such as LG service delivery, the PA and SI

discourses, and the policy spheres in Belgium's East Flanders province and South Africa's Free State province. In addition to the significance of the reliability and validity of data collection instruments as well as the integrity, relevance, and rigour of findings, a similarly high premium is placed on ethics during research. In the next section, ethical considerations applicable to this study are discussed.

#### **4.8 ETHICAL CONSIDERATIONS**

Ethical issues in this study related to conducting research ethically, protecting the participants through informed consent, and ensuring the confidentiality and anonymity of the participants. With reference to conducting the research ethically, the research was done without committing plagiarism, without falsifying information, by ensuring accuracy in the reporting of findings, and by not exhibiting bias through preconceived ideas and positions (Yin 2014:76–77). In addition, the researcher strived to stay informed of recent developments and research in the field of the phenomenon that was explored in this study, and aimed to report credible findings (Yin 2014:77). With reference to protecting participants in this study, informed consent was obtained from participants and third parties, and the confidentiality and privacy of participants were protected.

Issues of consent in this study included, first, furnishing the organisations and institutions of the proposed respondents with a letter from the University of the Free State confirming the intended study. The proposed respondents included the MMM officials, academic, and citizens (see Attachments I, J, and K), and the CoG officials, academic, and citizens (see Attachments L, M, and N). This letter further outlined the purpose and significance of the study as well as the required participation of citizens and the respondents from these municipalities and academic institutions. This letter was also used to obtain permission from the proposed sample to participate in the study and to solicit their voluntary participation. Additionally, the participants had to sign an informed consent form in which were outlined the purpose of the study, the researcher's identity and contact details, how the data will be used, the nature of their participation, how much of their time will be required for participation, and the topics that are likely to be covered during their participation in the semi-structured interviews and focus group discussions (see Attachments K to N and Q to T).

Issues regarding confidentiality and anonymity in this study were dealt with by ensuring that the responses of the interviews and focus group discussions remained anonymous and that comments were not attributed with information that could identify participants. In addition, participants were assured that the audio recordings will only be used for the purposes of transcribing and analysing the data. Further, the audio recordings were only used for the purposes of the study and were destroyed upon completion of the study. In the event that the selected participants in the focus group discussions preferred not to participate due to the recording, they were allowed to leave prior to the commencement of the focus group.

## **4.9 CONCLUDING REMARKS**

The first section of this chapter articulated the reasons for the selection of the qualitative research approach to explore the phenomenon (section 4.2). It was argued that through this research approach, a comprehensive understanding could be obtained of the phenomenon that is being explored in this study. In line with the selected research approach, a qualitative research design using a case study approach was selected to carry out this study. The rationale behind the selection of this research design was articulated in section 4.3 and included an explanation of the three stages (conceptual, theoretical, and empirical) in the implementation of the qualitative research design (section 4.3.1).

In section 4.4, the population and sample size were discussed and illustrated for both the CoG and the MMM. Subsequently, an outline of the data collection method (section 4.5) and the three stages (data management, descriptive account, and explanatory account) of data analysis were discussed (section 4.6). After section 4.6, section 4.7 explained how the reliability and validity of the data collection instruments were assured. In section 4.8, ethical considerations were discussed. In Chapter 5, the first case in the empirical stage of the study is presented.

## CHAPTER 5: CASE OF THE CITY OF GHENT, EAST FLANDERS PROVINCE, BELGIUM

### 5.1 INTRODUCTION

Chapter 5, the first of the two empirical chapters (empirical stage, Table 5), reports on the responses from the case of the CoG according to objectives ii, iii, and iv of the study (section 1.4) as well as the three research questions (section 1.5). This chapter comprises four parts. The chapter commences with the response results (section 5.2), which are followed by reporting the responses of the participants in part 2. The academic's responses are reported in section 5.3, the officials' in section 5.4, and the citizens' in section 5.5. Part 3 (section 5.6) presents a critical analysis of the findings of the case of the CoG. Part 4 (section 5.7) offers concluding remarks to this chapter.

### 5.2 RESPONSE RESULTS

The population (N) for this case comprised academia, LG officials, and citizens. The projected sample amounted to forty-two respondents (Figure 14). Twenty-eight of the participants responded, giving a 66.6% response rate (Table 5, column 3). Of the projected twenty-one CoG officials, six participated in the focus group discussions and three in the semi-structured interviews (Table 5, column 3). Reasons for non-participation included (i) workload, (ii) other official commitments, and (iii) not being familiar with the importance of SI and with its application. The strategic director of Strategy, Coordination and International Relations advised that the "finance department does not seem relevant" to participate, and were therefore not included in the response group (Coenegrachts 2016: personal communication). It was noted that there is a direct link between the seniority of the officials and their eagerness to participate. This might be due to the fact that the more senior officials have been introduced to the importance of co-production in SI during LG service delivery, or to the concept and application of SI.

**Table 5: City of Ghent responses**

<b>Respondents</b>	<b>Projected (n=42)</b>	<b>Responses (n=28)</b>	<b>Response rate 66.6%</b>
<b>Academic</b>	1	1	100.0%
<b>CoG officials</b>	21	9	42.8%
<b>CoG citizens</b>	20	18	90.0%

In the case of the projected twenty citizens, eighteen participated (Table 5, column 3). It appeared that the citizens were interested and eager to obtain knowledge regarding the functioning of their LG and therefore showed willingness to participate. It was perceived by the researcher that knowledge regarding the functioning of their LG was the main motivator for citizens' participation, and not the importance and application of SI as such within their neighbourhoods. It is therefore noted that the concept of SI was to a large extent a new phenomenon for citizens and some officials. The projected academic participated after several attempts were made by the researcher to conduct a semi-structured interview (Table 5, column 3).

### 5.3 ACADEMIC'S PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY THE CITY OF GHENT

In this section, the responses represent the academic's perspective in terms of the eighteen questions posed during the semi-structured interview (see Attachment F). The responses to section D (questions 12 to 18, Attachment F) will be presented in Chapter 7. The respective sections of the question schedule, which are aligned with the objectives and research questions for the study, are:

- section A: the nature of citizen participation during SI in service delivery by the CoG (questions 1 to 4)
- section B: the nature of co-production during the use of SI in service delivery by the CoG (questions 5 to 7)
- section C: the impact of local governance systems on the use of SI during LG service delivery (questions 8 to 11).

#### 5.3.1 The nature of citizen participation during social innovation in service delivery by the City of Ghent

Question 1 asked the respondent's view on citizen participation during the stages (planning, design, delivery, evaluation) of service delivery by the CoG. It was reported that the CoG has been very active in involving citizen participation in neighbourhood development, and has been innovative in that field by looking for co-creation planning procedures. Emphasis was placed on the importance of citizen participation during service delivery and on the role citizens play in the initiation of ideas and support from the side of civil society when it comes to SI. In support of this, the academic said, "*In the last ten years, the CoG has adopted an openness to bottom-up initiatives*",<sup>1</sup> which was interpreted as meaning that the initiatives mainly came from citizens. Some of these initiatives were further financially supported by the CoG, but it appeared that some citizens and even officials are not aware of these bottom-up initiatives. The academic suggested two reasons for this predicament: (i) it could be because these initiatives are not explicitly encouraged through a strategy, or (ii) the culture within the internal organisational context of the CoG might not promote the integration and inclusion of citizens in service delivery and SI. This lack of awareness means that some citizens did not participate in service delivery initiatives or chose not to be part of an organised civil society group.

The second question aimed to determine the academic's understanding of the use of SI during LG service delivery. From the academic's response, the understanding is that SI is used to create "*new relationships between different actors in dealing with social problems*" and that these new relationships aim at "*looking for new methods and approaches of very difficult and complex problems in the city*". Examples of complex problems were mentioned, such as poverty, homelessness, and neighbourhood planning, amongst other things. It was further mentioned that SI is the "*result or the output of the interaction between new ideas delivered by civil society and by a city administration*". This interaction is established when the CoG administration invents new ways of addressing

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<sup>1</sup> Quoted responses from participants are indicated in italics.

problems, but also comes from individual citizens and civil society organisations, so it is predicated on the establishment of new networks of people who set up new co-created service delivery ideas. Owing to this, a close relationship between the CoG administration and civil society has been established. This is regardless of whether the SI is initiated by CoG administration or individual citizens and civil society organisations, and therefore affirms that the use of SI in LG service delivery is based on a relationship of co-creation between citizens and LG officials. Of significance here is the fact that CoG officials might be using their positions to fulfil their civil society obligations, which emanate from the fact that these officials are also private citizens apart from being officials.

The third question was posed to determine the academic's view on the use of SI (if it is used), by the CoG to deliver services to its citizens. In this regard, civil society in Ghent was described as having close links with the city administration and as working with the city administration to set up new types of co-created service delivery ideas. It appears as if civil society often needs and uses the CoG to realise these co-created service delivery ideas. According to the academic, this is integral to the governance relations between, for example, the CoG and civil society during citizen initiatives. Unfortunately, the support provided by the CoG, either directly or indirectly, is often not favourably represented in the media. Neighbourhood planning was identified by the academic as *"the domain where the city itself has experimented and has worked on improving new methods and techniques of SI in the planning sphere with neighbourhood associations"*.

It was deemed important to know what the nature of citizen participation during SI could be when it is used by the CoG for service delivery, and this was therefore the subject of question 4. It appears as if the CoG often experienced problems in reaching the citizens for whom projects are designed. Further, the fact that the CoG administration reached middle class citizens, as opposed to citizens from lower classes or who are currently excluded in most projects or programmes, was described as a basic problem. Consequently, the academic was of the view that *"in general [...] civil society reaches more people, a more diverse setting of people of citizens, than in normal situations the city administration itself can do"*. The academic stated that *"there are a lot of civil society associations which have the explicit aim to reach the most excluded people,"* and as a result, these associations also succeed in placing crucial social problems on the political agenda of the CoG. This participant therefore maintained that the city administration often relies on society to propose the projects and to set up successful SI, for which a partnership is crucial. The nature of citizen participation was therefore defined in respect of partnerships between the CoG and citizens or civil society organisations.

### **5.3.2 The nature of co-production during the use of social innovation in service delivery by the City of Ghent**

This participant viewed co-production as the core element of SI (question 5, Attachment F). Further, the use of co-production was noted as being tailor made to the context in which it is used, and that an evolution occurs from the *"noble idea of co-production to the reality"*. The academic particularly noted that the CoG has evolved towards an

attitude of co-production, but still struggled to apply co-production as a result of bureaucracy and being accustomed to certain standardised terms and concepts. Co-production is considered not as being static, but rather as a dynamic process of interaction. This participant highlighted the importance of both citizens and the CoG administration initiating co-production. This significance of a mutual effort is illustrated by initiatives by citizens that often fail due to a loss of perseverance or interest in the initiative, leadership who does not comprehend the importance of the concept of co-production, lack of cooperation between citizens and the CoG administration, lack of volunteers, changing demographical contexts in the neighbourhood, as well as conflicts amongst citizens. It was further noted that the CoG often deals with co-production initiatives in a traditional, top-down, hierarchical way, where co-production initiatives are expected to adapt to the CoG procedures. In addition, conflict in the relations between citizens and the CoG administration often occurs, either because CoG officials do not have the right attitude to deal with citizen initiatives, or because of the replacement of CoG officials with whom citizens had developed a good relationship.

The sixth question in section B (Attachment F) asked the academic's view on citizen participation during the co-production of services by the CoG. It was noted that the CoG has, over recent years, developed a sensitivity towards cooperation with citizens. This cooperation within neighbourhoods culminated in recreational parks and the maintenance of gardens. Even though much success has been achieved, the academic remarked that *"co-production is a hard job"* and *"from the noble idea of co-production to the reality in the field, there is a whole evolution"*. The reason for this is that citizens often start co-production initiatives at a neighbourhood level, with the CoG facilitating, but they soon pull out of these initiatives. It could then be said that these initiatives are reduced to *"public production by the city administration"*, instead of co-production. In contrast, it was also noted that in some cases, the city organised a public service initiative according to its own ideas, which was later taken over by citizens.

The nature of this citizen participation during co-production could be complicated by variables mentioned by the academic, such as that *"there are different types of citizens, with different interests, with different hobbies, with different ambitions"* (question 7, Attachment F). Citizens often co-produce with the CoG for their own career purposes, to show that they are able to cooperate with the city, or merely because they want to use this cooperation as a learning opportunity. Hence, it should not be underestimated that working in co-production *"[has] an advantage for citizens"*, for example, expanding their professional networks or networks of friends, and proving that one can *"develop some skills"* that are useful to build a career. In this regard, some citizens indicated interest in developing new ideas, discussing the future of the neighbourhood, thinking about how to organise the neighbourhood for future development, and even delivering and implementing services themselves. The academic thus argued that the nature of citizen participation in the co-production of services is related to the types of citizen and their unique requirements.

### **5.3.3 The influence of local governance systems on the use of social innovation during local government service delivery**

This academic was of the view that open as well as closed governance systems have a significant influence on service delivery to citizens (question 8, Attachment F). This participant claimed that in the CoG, politicians often put pressure on the administration to develop and change its current closed system to a more open service delivery system. Stable coalitions are considered one of the reasons for the adoption of open governance systems. It could be argued that the current CoG administration does not see itself in this manner. This predicament could be attributed to the entry of a new generation of politicians who are more skilled in respect of higher education, who are more socially oriented, and who recognise the benefits or impact of open governance systems on the use of SI during LG service delivery. In addition, they realise that without an open political culture and open attitude in the CoG administration, the ability to see and know what is going on in the city becomes impaired, particularly in respect of developing new coalitions, partnerships, and production arrangements with citizens and civil society. The adoption of open governance systems is also encouraged by pressure from inside the CoG administration and by pressure from society, notably in the form of criticism. Thus, in layman's terms, there is a threefold pressure to change.

Question 9 (Attachment F) was posed to discuss the extent to which closed and open governance systems have an impact on the use of SI during LG service delivery. It was expected that in an open governance system, the impact would be positive, but it appeared that this was not the case with regard to the CoG. In response to question 10, the academic's view was positive regarding citizens' participation in the CoG's decision-making processes regarding service delivery. It was reported that the CoG has an open culture to citizen participation in decision-making and that the decision-making processes comprise formal and informal procedures (including informal interactions between citizens and politicians who live in the city). The academic seems to hold the view that at a neighbourhood level (micro environment), deliberation processes with citizens regarding neighbourhood priorities are more open. The term "micro environment" refers to an environment that is close to the citizens and can be controlled to a certain extent (Lues 2016:314). Yet at a strategic city level (macro environment), this participant stated that political parties play a dominant role in the selection of long-term strategic choices for the CoG. The term "macro environment" refers to a larger environment and is often associated with economic governance (Lues 2016:314). The academic argued that because politicians often live in the city, their interaction and contact with citizens directly contribute to building legitimacy for their political agenda. The academic reasoned that political representation serves as a legitimate basis from which to take decisions on behalf of citizens. Thus, it appears to be more difficult to coordinate citizen participation in a macro environment than in a micro environment.

Question 11, which dealt with the impact of local governance systems on the use of SI, was directed towards the compatibility of the CoG with its governance system. Thus, allowing or prohibiting citizens' participation in decision-making processes regarding service delivery, according to the academic, is a choice that the CoG administration

does not have to make, since working with citizens or civil society in the Flemish Belgian political system is not new. A history of strong Catholic socialist organisations working together with the political systems has paved the way for open interactions with civil society organisations. This process of governance appears to have been transformed with *“the ambition and necessity or the political culture”* to work with citizens and civil society organisations *“by looking for a duopoly”* instead of building *“up a monopoly in the public sector”*. Therefore, although the types of civil society organisation and the societal problems often change, the interaction with these organisations are sustainably maintained by the CoG. The responses of the academic to section D of the questionnaire will be presented in Chapter 7.

## **5.4 OFFICIALS’ PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY THE CITY OF GHENT**

In this section, the responses represent the officials’ perspective provided in the semi-structured interviews (twenty-three questions posed to three senior officials; Attachment E) and the focus group discussions (nineteen questions posed to six officials; Attachment G). Based on the fact that CoG senior officials appeared to have been introduced to the concept of SI and its application, and to its importance during LG service delivery, four more questions were posed to them than to the focus groups. In this case, the researcher ensured content validity by addressing the following questions: (i) is the instrument measuring the concept we assume it is? and (ii) does the instrument provide an adequate sample of items that represent that concept (Pietersen & Maree 2016:240). In both question schedules, content validity was established on the basis of expert judgement.

The semi-structured interview responses to section D (questions 17 to 23, Attachment E), as well as the focus group responses to section D (questions 13 to 19, Attachment G), will be presented in Chapter 7. The respective sections of the question schedules that are aligned with the objectives and research questions for the study are:

- section A: the nature of citizen participation during SI in service delivery by the CoG
- section B: the nature of co-production during the use of SI in service delivery by the CoG
- section C: The impact of local governance systems on the use of SI during LG service delivery.

Section 5.4 will incorporate the responses from the semi-structured interviews and those of the focus group discussions in each of the three sections mentioned, and according to the relevance of the questions posed and responses received.

### **5.4.1 The nature of citizen participation during social innovation in service delivery by the City of Ghent**

Question 1 of the semi-structured interviews (Attachment E) asked the officials what strategies were used to elicit citizen participation during the planning, design, delivery, and evaluation of services rendered by the CoG? Respondents indicated that current strategies include, amongst other things, *“dialogue cafes, neighbourhood of the month, policy participation, and co-production activities”*. Further, *“with dialogue cafes, opportunities were given*

*to citizens to have one-on-one conversations*” or to request a more intimate conversation with, for example, a deputy mayor of their choice. The strategy of “neighbourhood of the month” entails that every month a different neighbourhood is focused on and ten to twenty activities are organised within that neighbourhood. During this month, *“a deputy mayor or two deputy mayors go out and, for instance, have a walk around the neighbourhood with the people, and on the basis of what they see, they can give their opinions and ideas”*. Policy participation as a strategy entails citizen participation in policy development and often culminates in co-production activities. These activities commenced because the CoG administration noticed that citizens wanted to take initiative themselves, especially around the years 2006 and 2007. Some of these co-production activities involved the CoG providing citizens with material and equipment to maintain public sites.

Given the above-mentioned strategies to elicit citizen participation in service delivery, question 2 of the semi-structured interviews (Attachment E) was posed to find out whether citizens made use of these strategies. Although *“it is an illusion to think that you can reach 100% of the citizens, of which it is not the goal of the CoG”*, the CoG strives *“to create the perfect circumstances for everybody that is able and willing to participate ...”*. Citizen participation often starts with people who really want to do something and are willing to take the initiative. In turn, the CoG supports these initiatives financially as well as through promotion and communication. Examples of these initiatives include *“temporary uses of derelict buildings, ground fields in the city, empty lots, and empty spaces in the city”*. The CoG sees its role as government to *“also imply those people that do not have the ideas or the means, or the time or the space or the background to take initiatives”*. This is done by trying to *“open up existing initiatives to people who do not usually take those initiatives”*. The office of policy participation especially plays a role in trying to reach out to people who are not that easily reached, and aim to find and integrate citizens. Respondents were asked how the strategies used by the CoG create platforms for citizens to make contributions to service delivery in the form of gaining experiences, skills, resources, and knowledge (question 3, Attachment E). One such strategy is called *“Buurt bestuur”* or neighbourhood management. Neighbourhood management entails controlling younger citizens causing disturbances in a neighbourhood. During a particular month, the police, together with citizens living in the neighbourhood, would facilitate talks and activities with the youth.

From the responses, it appeared that the CoG is clearly committed to enhancing citizen participation in service delivery through SI. In light of these responses, it was important to know how the CoG viewed the concept of SI (semi-structured interviews, question 4, Attachment E). It was noted by the semi-structured interview respondents that *“innovation is not mentioned explicitly in the CoG’s strategy”* (also confirmed by the focus group respondents). There is also no allocated office to drive SI, and a dedicated innovation officer has not been appointed, so some of the focus group respondents were not sure about the existence of an SI strategy or its implementation (focus group discussions, question 2, Attachment G). However, it was mentioned that *“SI is one of our core priorities in everything that we do here”*, and that the CoG administration searches for new ways to do things differently and better, and that such renewing occurs through policy participation.

Understanding the concept of SI when it comes to LG service delivery (focus group discussions, question 1, Attachment E), is of vital importance as this study aimed to delineate how citizen participation underpins SI. Focus group responses to this question varied from (i) *“SI as being a bottom-up approach and as another term or concept for bottom-up decision-making”*, (ii) *“methods such as information communication technology (ICT) or strategies are used”*, (iii) *“co-production and participation and stakeholder involvement”*, (iv) *“a learning journey”* between the CoG and citizens, to (v) *“SI not being a fixed process and “not rigid in its application, but rather unique and depending on the location and circumstances”*. Though some officials were not familiar with the concept of SI and its use in their service delivery practices, the majority demonstrated an understanding of the concept and were familiar with its use within their departments. Further, this majority saw SI as a bottom-up process, implying that input from other stakeholders is considered important during the use of SI in service delivery by the CoG.

Despite the absence of an explicit strategy for the use of SI during service delivery (semi-structured interviews, question 5, Attachment E; focus group discussions, question 2, Attachment G), it does appear that SI is implemented. The way in which this strategy is implemented (semi-structured interviews, question 6, Attachment E; focus group discussions, question 7, Attachment G) is illustrated through a few examples. One example is the *“Multi-Annual Plan”*, which is regarded as an instrument to facilitate the use of SI during service delivery. A second example mentioned is networks within the CoG that subtly require managers and staff members to move and think beyond their comfort zones. Building external networks with, for example, higher education institutions and private sector companies was mentioned as a third example. Such networks are a relatively new concept, as working relationships between companies and government in Belgium have been complex in the past. A fourth example, using information and communication technology (ICT) and a SMART City vision, which define a digital agenda for the city, has already been envisaged. Through the SMART City vision (developed in 2007), this digital agenda not only focuses on attracting companies but also includes citizens in the so-called digital society. This digital agenda is perceived as a powerful instrument that makes people think about the future and the importance of applying SI during service delivery.

From the focus group responses about how this strategy is implemented (question 3, Attachment G), a noteworthy discussion took place regarding the effectiveness of the bottom-up and top-down approaches. Some focus group respondents mentioned that the CoG can become *“more of a bottom-up organisation instead of being top-down, but that this would require a new organisational culture”*, and that current practices of the CoG are not aligned with bottom-up approaches but rather a *“directing government”*, where an idea is proposed by the CoG and citizens are subsequently asked to provide input. It was mentioned that *“subsidies, the type of projects, the subject, or service and its complexity”* determine to a large extent which approach the CoG will use. This was illustrated through an example: when dealing with urban planning and the neighbourhood and divergent ideas are involved (bottom-up), *“someone has to take responsibility to set boundaries, to look at which ideas may be acceptable or feasible and look at what is financially feasible (top-down)”*. It was mentioned by a focus group respondent that a top-down

approach could also mean informing citizens and having organised participation. Nonetheless, the respondents came to an agreement that bottom-up and top-down approaches should be combined regardless of whether an initiative is initiated by citizens or one where the CoG takes the lead. It is worth mentioning that the use of SI within the respondents' department is often more of an *"attitude amongst officials"*. It was also mentioned that the onus is on every co-worker in a team to take responsibility and not just on the *"chief of a team"*.

Question 7 (semi-structured interviews, Attachment E), asked the officials how the use of SI during service delivery is institutionalised within the practices of the CoG administration. It was articulated that at a political level, the City Council itself and the deputy mayors are all in favour of co-creation and SI. It was explained that SI is entrenched in the priorities of the CoG, with an expectation that each official should take cognisance thereof and incorporate it into daily service delivery activities. Therefore, the use of SI during service delivery is endorsed at a political level. However, it was mentioned that not all departments incorporate the use of SI in their daily activities. This was in contrast to the approach mentioned earlier, in which the Multi-Annual Plan is used to facilitate the use of SI during service delivery. A responsibility also rests on departments that are actively involved in the use of SI to encourage their colleagues and other departments to apply SI, captured in the concept of networking. Institutionalisation through networks (with the university, the higher education institutions, and companies) in the CoG will oblige *"managers, but also every staff member, to think out of their comfort zone, ... discuss topics that management want them to discuss, and [will ensure] that officials across different departments talk to each other"*. As mentioned earlier, the creation of networks between companies and government in Belgium is complex. However, the CoG is engaged in talks with influential technological companies to discuss mutual collaboration to develop new products.

The level of citizen participation when SI is used during service delivery by the CoG (semi-structured interviews, question 8, Attachment E) was positive. During 2015, twenty-six streets became part of the so-called *"Living Streets project"*. The Living Streets project encompasses streets being blocked off to cars during certain periods of the year. This means that cars cannot drive and park in the street, so people can come outside to organise activities and meet with their neighbours, and children can play in the streets. A second project mentioned, namely *"heraangelegd"*, aimed at developing parks through the assistance of children in the neighbourhoods. The children were given cameras to take photos of things that they liked and preferred having in their parks. This level of citizen participation assisted the CoG to become aware of children's preferences in the upgrading of current parks and the establishment of new parks. The consultation of children in service delivery activities of the CoG was noted as stemming from the notion of Ghent as the most child-friendly city as part of its policy declaration.

Further, citizens approached the CoG concerning temporary uses for derelict buildings, *"ground fields in the city, empty lots, and empty spaces"* in the city, and this culminated in what is called *"tydelike invulling"*. The latter refers to the use of a temporarily unutilised space, building, or piece of land by filling the space with emergency or transit housing, cultural initiatives, artists, exhibition space, or working space. This concept of *"tydelike invulling"*, or

temporary use initiatives, is a vehicle for the CoG to allow citizen participation through the use of SI. It is also aimed at social initiatives that foster social cohesion amongst citizens from a specific neighbourhood or ward. This level of citizen participation and cohesion is achieved through workshops, such as the hosting of arts-and-culture activities, concerts, music performances, bars, and restaurants.

Another level of citizen participation when SI is used was noted where cooperation occurs between the “*siete*”, “*misttuinen*”, and “*stadstuinieren*”. This cooperation focuses on collaboration between different stakeholders and includes a variety of activities. Establishing vegetable gardens, the growing of herbs, basic farming principles, taking care of animals, and football fields for children to play on were mentioned as a few examples. It is important for the CoG that collaboration, also referred to as “*cross-pollination*”, should take place through these different activities occurring in one space or at one place. Through this cross-pollination, new activities will be initiated by citizens. Aside from SI building social cohesion amongst citizens, its use also results in entrepreneurial activities.

With reference to obtaining the input of citizens, some departments engage with citizens and give them an opportunity to come up with solutions to existing service delivery challenges within the proposed plans of the CoG (focus group discussions, question 4, Attachment G). It was noted that this participation of citizens includes being involved in the new design of a worn-down street, as well as suggestions pertaining to the outline of parking lots and trees. If these suggestions are practical and achievable, they are incorporated into the CoG’s proposed plans. These consultations often occur in the form of focus group discussions during the redesigning of a village centre (bigger than a ward). Whilst these discussions were viewed as a “*new tool*” used to enhance participation, they were also described as being “*intensive*”. The intensity of this participation was explained in an example where citizens are given blank sheets of paper to sketch a design for how they “*want to see their village centre*”. During this design process, the citizens are informed of the parameters that they should keep in mind, for example a road must be a specific number of metres broad and used by a bus, not forgetting that a bicycle lane is also required, or “*a pavement has to be one metre and fifty*”. This type of citizen participation allows citizens “*to realise what is involved in urban planning*” and simultaneously to hear the different views of other citizens. Regrettably, it was also mentioned that even with all the input from the citizens, the final decision still lies with the CoG.

It was noted that there is a clear process that is followed by citizens when they want to initiate an idea. For assistance in sharing their ideas within their neighbourhood, they might approach the CoG for funds to host such an event. An example in this regard is where a particular neighbourhood wanted to become “*climate neutral*”. The neighbourhood approached the CoG for support “*in bringing people together*” and to assist the neighbourhood to coordinate the collective purchasing of insulation or solar panels. This also involved the CoG acting as a mediator between several groups from different cultural and social backgrounds, being the director of several ideas initiated by the neighbourhood, sending out invitations for meetings, preparing the agenda, as well as arranging the meeting venues.

Another example of an SI initiative initiated by the citizens is the previously mentioned Living Streets project, where citizens wanted to improve the way that streets are designed. The consultation of children in the creation of playgrounds at schools was reiterated. The process involved interviewing the children and asking them how they want their playground to look and whether they want, for example, grass, a slide, or other equipment. Once the children's input had been incorporated into the CoG plans, their parents were requested to participate in the implementation phase and were then asked by the school to help create the playground.

The nature of citizen participation during SI when it is used by the CoG for service delivery (semi-structured interviews, question 9, Attachment E) was seen in respect of citizens starting SI initiatives whilst the CoG applies a bottom-up approach (also mentioned earlier by the academic). Different flexible approaches to citizens' participation were also noted.

#### **5.4.2 The nature of co-production during the use of social innovation in service delivery by the City of Ghent**

Question 10 (semi-structured interviews, Attachment E) asked the officials how the CoG views the concept of co-production, including the stages co-planning, co-design, co-delivery, and co-evaluation. It was noted that the use of co-production during LG service delivery is seen as the next step after policy participation, but that co-planning, co-creation, co-evaluation, and co-delivery still need to be worked on by the CoG.

In response to the question about the focus group participants' understanding of the concept of "co-production" when it comes to LG service delivery (focus group discussions, question 5, Attachment G), participants stated that co-production is viewed as occurring between citizens or user groups and professionals, but does not necessarily include politicians. This use of co-production during LG service delivery is perceived to take place on a small scale and incorporates working "*together with people to do something*". It was emphasised that during the co-production of services, it cannot be expected of a small group of citizens to take responsibility for a whole neighbourhood or decisions that will affect the neighbourhood. For these types of decisions, politicians need to step in, yet they appear to be absent during co-production.

To questions 11 and 12 (semi-structured interviews, Attachment E) and questions 6 and 7 (focus group discussions, Attachment G), regarding whether the CoG has a strategy for the co-production of services and how it is implemented, the following responses were given: officials stated that the CoG does not have a strategy per se to co-produce services, nor a policy concerning co-production. This is contrary to co-production being one of the main strategic goals of the 2014–2019 plan and also contradictory to co-production being the next step after policy participation. The absence of a strategy to co-produce services made focus group participants question whether a co-production strategy would not "*kill*" innovation, ideas and bottom-up initiatives "*because you already know where you want to go?*". Even so, participants from the semi-structured interviews pointed out that service

departments created a few operational goals comprising activities and actions aimed at the achievement of co-production as a strategic goal.

Whilst confirming the use of co-production by some departments, focus group participants' responses highlighted that co-production is "*something that certain departments do with trial and error*". Focus group participants highlighted that "*with the intention to be innovative and create involvement, it is not always that easy to make the translation to the daily life and our work*". The need was identified for consideration to be given to whether more citizen participation is required, what the associated costs and effort will be, and whether it will have benefits in the long term. There was also a concern that co-production presents the risk of only some citizens being involved in it. In addition to these concerns, it seemed that departments attach different connotations to the use of co-production during SI in service delivery. Amidst these divergent views, responses from the semi-structured interviews confirmed that the policy participation office has also been tasked with co-producing new public service delivery processes through a "*Living Lab*", which was set up four years ago with the European Commission, with the aim of co-producing service delivery. It was noted that this project is not yet captured in a formal CoG policy document. Living labs are described as open innovative systems which rely on a systematic co-creation approach which integrate research and innovative processes in a real-life community setting. In practice the living lab concept places the citizen at the centre of innovation.

Question 13 (semi-structured interviews, Attachment E) and question 8 (focus group discussions, Attachment G) asked officials how co-production is applied by the CoG when SI is used during service delivery. Both interview and focus group participants confirmed that the application of co-production occurs in three ways, namely (i) co-production initiated by the CoG, (ii) co-production initiated by citizens, and (iii) the CoG stimulating citizens to take the initiative for the co-production of services. The third of these was noted as occurring during new service projects in a ward, when citizens are consulted regarding plans and designs. Such consultations include asking citizens for suggestions and advice, which are then relayed to the service department before the service is designed. The service department would continuously consult with the citizens in the ward to ensure that proposed plans, designs and service delivery methods are in line with the citizens' preference. During these consultations, the CoG identifies citizens and organisations (e.g. youth organisations and theatre groups) in the area, with an interest in projects surrounding the service, and convenes with them to provide input to plans and new service designs, as well as plans for delivering the service.

An example of the CoG working with an interest group is the "*Klankbord groep*" (made up of citizens, representatives of citizens, interest groups, or associations), which works towards developing a new ward, including new housing, parks, and shops. Focus group participants confirmed the co-production of services in cooperation with representative structures of citizens, such as non-governmental organisations in the cultural sector. Apart from working with these respective groups, focus group participants emphasised that co-production

in their departments means that there is an *“idea to co-produce”*, regardless of whether this idea is initiated by the officials or these groups. This form of co-production, which *“has grown recently”*, results in the respective CoG departments and these groups discussing the idea and coming up with a project, product, or activity.

The initiation of co-production activities by citizens is seen as part of the CoG stimulating citizens to take initiative. It was indicated that there are hundreds of initiatives where *“people want to do things themselves”*. These include citizens from the neighbourhood where Ghent was established in the sixth century, approaching the CoG concerning the dilapidated condition of this area and expressing a need to do something about this. The CoG did not have money to restore the area but provided these citizens with the material and equipment, such as wheelbarrows, to maintain the public site themselves. These citizens have been maintaining this area for the past ten years. Another example is the development of an instrument called the *“Nutheads Schaerter”* or Cleaners Charters, due to an observation that certain parts of the city have problems with waste, the public domain being neglected, and investments not helping anymore. This occurred especially in the nineteenth-century belt around Ghent, which is a densely populated area with small houses. The CoG gave the citizens in this neighbourhood the responsibility to clean the area and provided them with money and incentives. The Cleaners Charters, where citizens are involved in the delivery of a service, is also implemented in a couple of other neighbourhoods, and also involves cooperation between citizens and Ivago, a company responsible for keeping the city clean. Focus group participants attributed this to the aim being to *“teach citizens”* to take ownership for maintaining certain services they want from the CoG. Therefore, when streets are redesigned, the CoG comes to an agreement with citizens to co-deliver certain services in the re-designed street, for example maintaining certain trees, bushes, or parts of the lawn.

Regarding the CoG stimulating citizens to take initiative for the co-production of services, responses from the semi-structured interviews and focus group discussion confirmed the use of voucher systems to reward citizens for their participation in the co-delivery of a service. These officials also noted the participation of citizens in the co-delivery of some services and stated that this is sometimes initiated by citizens and not always by the CoG.

#### **5.4.3 The influence of local governance systems on the use of social innovation during local government service delivery**

Question 9 (focus group discussions, Attachment G) was posed to discuss the officials' views on the participation of citizens in the CoG's decision-making processes regarding service delivery. Focus group participants cautioned, *“officials have to pay attention”* that not only *“well-educated persons”* are reached during decision-making processes but that everyone is included. The risk of only securing the participation of some citizens was therefore pointed out. Hence, according to the participants, it is important to ensure that every citizen has the opportunity to participate, but that facilitating this proved to be difficult. It was thus argued that the CoG might be spending a *“lot of money on communication”*, effort and ideas to get citizens involved in decision-making processes and to reach

everyone, but through experience it was learned that *“only 5% of people are willing to change, that are the innovators, the early adopters”*. Amongst these are wealthier citizens and those who are educated and who participate in some projects, for example the living streets. Whilst a participation rate of 5% is regarded as *“acceptable”*, it was highlighted that such participation should be effective. However, the sentiment was that with *“260,000 citizens in the COG”*, it is not possible to reach every citizen, and being aware of this, you have to *“make sure that you have a structure to their participation”*.

Despite some citizens participating in decision-making processes regarding service delivery, it was argued that someone needs to take the final decisions when it comes to service delivery, which also *“makes it a question of leadership”* from the CoG. Therefore, the contention was that although citizens can share their ideas, thoughts and opinions through platforms such as *“Facebook and Twitter”*, citizens are already represented by councillors in the City Council, and the city has to decide whether all citizens should be involved every step of the way. Even so, the argument of some officials concerning this contention was that citizen participation might result in decision-making processes taking longer, and might become costlier for the CoG in terms of dedicating more finances and staff members. It was further proposed that the CoG should perhaps simply take decisions and inform citizens what their responsibilities are pertaining to the decisions that were taken.

Question 10 (focus group discussions, Attachment G) and question 16 (semi-structured interviews, Attachment E) asked officials to what extent the use of SI during service delivery by the CoG is compatible with its governance system. Participants confirmed that it might be better for the CoG to adapt its organisation and procedures to *“these new SI evolutions”*. The need to adapt stems from citizens requiring of the CoG administration to act differently, and to be *“more involved, more outside, more in the neighbourhoods working together creating networks with the citizens”*. Further, service departments are challenged to *“work differently, to work more horizontally, between the services, and to work more together”*. As such, the governance system of the CoG was regarded as open to citizen participation in decision-making processes concerning service delivery, as confirmed by focus group responses such as, *“Our governance is open to it, but we have to be creative with what is going on”*.

Focus group participants noted that even when SI initiatives have no legal basis and are not allowable within the framework of administrative procedures, the CoG does not stop SI initiatives by the citizens of Ghent. In fact, although the way service delivery works and the application of procedures are not adapted to the *“new evolutions of SI”*, the administration still manages to find solutions to accommodate the SI initiatives that citizens initiate. Even so, semi-structured interview participants indicated that the use of SI and co-production have not necessarily made it easier for citizens to engage the CoG’s administration regarding their service needs. This was supported by focus group participants, who highlighted that citizens are not empowered during the use of SI, nor does SI give citizens the power to make decisions. The contention was that citizens come up with ideas (outside of formal decision-

making and governance processes) in their free time and confront politicians with these ideas, and these politicians are then “*more or less forced to do something*” about them.

Question 11 (focus group discussions, Attachment G) asked officials to what extent they, as the administration, can use SI during service delivery. In this regard, the use of SI within departments and the degree to which CoG officials implement SI in their work depend largely on the personal view of the head of department and the directors. In one department, the use of SI and co-creation initiatives during service delivery has been carried out through the appointment of a co-creation manager. The creation of such a position, however, resulted in the appointed person being inundated with queries, and the outcome was the realisation that every employee should have an attitude that fosters co-creation. In contrast, it seemed that in other departments, the whole department uses SI during service delivery, with responses such as, “*the general idea is that we have to do it*”. An important distinction was made between the use of SI for bigger and smaller services delivered by respective departments.

It was noted that for smaller services such as “*fixing a hole in the ground*”, SI would not be used, but when planning to reorganise a street, SI has to occur. When SI is used, officials in a particular department go to the citizens and explain themselves, allow citizens to ask questions, make small adjustments to plans, and answer the questions citizens have about plans, either in a formal setting or by, for example, e-mail. Eight years ago, in one particular department, officials would go to citizens “*ten times per year*”, but these consultations with citizens have increased to “*forty, fifty times per year*”. Approximately each week, the official from this department meets with citizens to explain what they are going to do with their streets. Hence, for this department, it is no longer a question of “*will we go to the citizens*” but “*when do we go to the citizens?*”.

Question 12 (focus group discussions, Attachment G) and question 15 (semi-structured interviews, Attachment E) posed the question, “What is the role of the East Flanders province in terms of the CoG’s capacity to use SI during service delivery?” It was answered that their ability to use SI in neighbourhoods is sometimes impaired by concurrent service delivery responsibilities shared with the Flemish government, the federal government, and even the East Flanders government. These concurrent service delivery responsibilities require constant negotiation with the level of government with which the service is shared. In this regard, it was noted that “*there is almost no neighbourhood in the city where we have full responsibility for that public domain. Certain streets are being governed by the Flemish government, so we need the Flemish government there to take a decision, and that’s almost impossible*”. Apart from concurrent service delivery responsibilities, focus group participants noted that the discretion concerning the use of SI lies with the CoG. Hence, the East Flanders province has no role, but the Flemish government, through its “*social innovation factory*”, provides subsidies, which can be obtained through funding should ideas be in line with the requirements of the Flemish government.

Question 14 (semi-structured interviews, Attachment E) asked participants what the nature of citizen participation could be during co-production when it is used by the CoG for service delivery. Participation in the co-creation of services was considered to be the next step or “*evolution*” of co-producing services. In this regard, citizen participation has evolved from citizens not waiting on government anymore, but taking initiative irrespective of limitations in respect of support from LG due to policy or legislation constraints.

## **5.5 CITIZENS’ PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY THE CITY OF GHEENT**

In this section, the responses represent the citizens’ perspective in terms of the thirteen questions posed during the focus group discussions (see Attachment H). The responses to section C (questions 11 to 13, Attachment H), will be presented in Chapter 7. The respective sections of the question schedule that are aligned with the objectives and research questions for the study are:

- section A: the nature of citizen participation during SI in service delivery by the CoG (questions 1 to 7)
- section B: the nature of co-production during the use of SI in service delivery by the CoG (questions 8 to 10).

### **5.5.1 The nature of citizen participation during social innovation in service delivery by the City of Ghent**

Question 1 (Attachment H) probed the citizens with regard to their understanding of the concept of “citizen participation in service delivery” when it comes to service delivery by the CoG. Respondents felt that they had a contribution to make in terms of decision-making concerning service delivery that affects them. Examples mentioned were the initiatives called “*Buren sorg*” and “*Buurt werken*”. The “*Buren sorg*” initiative involves citizens’ participation in service delivery in terms of assisting and taking care of their neighbours. The “*Buurt werken*” initiative focuses on taking care of their neighbourhood, and looks at ways to improve their neighbourhood. It was noted that the CoG supports both initiatives, but expects citizens to implement it. Not only do they participate physically and mentally, but often use their own resources as well. Citizens pointed out that their participation in the delivery of services should include being involved in decision-making processes.

Question 2 (Attachment H) asked whether the CoG allows citizen participation in its decision-making processes when it comes to service delivery, and question 3 (Attachment H) required respondents to motivate their answer to question 2. It appeared that the majority agreed that a platform has been created to allow citizen participation, although some responses were inconclusive. For example, the six Local Service Committees (LSCs) represent citizens from the respective wards in the CoG. Approximately every two years, the CoG council has a public meeting with the members of the LSC as well as ordinary citizens to discuss current and new challenges as well as issues relating to senior citizens. However, some focus group respondents as well as the LSC representatives were of the opinion that they are not adequately consulted about the service delivery decisions taken by the CoG council. An example provided was that when the CoG built the “*Knoop*”, it did not consider the accessibility of this

building for senior citizens or those who are physically challenged and use wheelchairs. It was emphasised that this situation could have been avoided if the CoG had consulted with citizens for advice prior to taking decisions and not during or after decision-making processes.

The purpose of question 4 (Attachment H) was to give the respondents the opportunity to elaborate on the responses given to the first three questions. Respondents were asked to give an example of how they have participated in decision-making processes of the CoG when it comes to service delivery. The following four examples were given:

- Policy plan

The first example relates to when the CoG invites participation to evaluate its policy plan, normally mid-way through the six-year term of the legislature. Citizens, amongst which the LSC representatives, are invited to evaluate the progress made in relation to the objectives that were set within the framework of the policy plan, thus allowing citizens and LSC representatives to give input in respect of existing and future plans.

- Ward of the month

The “*ward of the month*” was provided as a second example of how citizens participate in service delivery decision-making in their respective wards. The CoG sets up a platform for citizens to articulate their service needs and their preferences for service delivery, and to participate in decision-making processes concerning the affordability and accessibility of services at local service centres. It was noted, though, that the CoG still takes “*most decisions*” concerning services.

- Co-housing

A third example mentioned was the co-housing project which falls under the current social housing initiative of the CoG. This project aims to advocate the concept of mixed housing, where younger and elderly people share an apartment. The concept of mutual benefit is the main driver for this initiative. Within an apartment, a room would be rented to a younger person who would then assist the elder person in daily tasks. Prior to building the co-housing apartments, the CoG asked citizens from the ward for their opinion about such a co-housing project, what is of importance for citizens in such a project, and what they want in their specific apartment in such a co-housing project.

- “*Inspraak wandelingen*”

Similar to this example of the co-housing initiative, the “*inspraak wandelingen*” was mentioned as an example of participation in the decision-making process of the CoG. About ten years ago, when a nature reserve in a certain neighbourhood was renovated, the citizens and schoolchildren from that neighbourhood, together with the CoG officials, walked through the nature reserve to determine what they envisaged for the renovated nature reserve. It was mentioned that these suggestions made were only materialising in 2016 (ten years later).

Questions 5, 6 and 7 (Attachment H) dealt with the participants' understanding of the concept of SI when it comes to local government service delivery, and their responses about their participation did not come as a surprise. The majority of the respondents were not familiar with the concept of SI but still indicated that they understand that the use of SI during service delivery is important. This predicament could be ascribed to the fact that SI is not a concept that is commonly used within all communities, and therefore, only a few citizens within wards opt to participate in SI initiatives. It was interesting that although the respondents indicated that they are not knowledgeable about the concept of SI, they still gave several examples of times when they participated in SI during service delivery.

### **5.5.2 The nature of co-production during the use of social innovation in service delivery by the City of Ghent**

Question 8 (Attachment H) asked participants in which of the stages of the co-production of services (co-planning, co-design, co-delivery, and co-evaluation) they have participated, and question 9 (Attachment H) required them to give an example of how they participated in the co-production of services by the CoG. Question 10 (Attachment H) probed respondents regarding the nature of this participation and whether their participation in the co-production of this service was to find or plan, design, or deliver an innovative solution to service delivery.

- **Co-planning of a service**

From the responses, it appeared that some citizens have participated in the co-planning of services. Responses concerning the co-planning of services included an example of some citizens who were invited by the CoG to participate in compiling the city's plans for the Meerjaren Plan to inform the City Council of their service needs. It was noted that this invitation, however, was only extended to representative organisations and not ordinary citizens. A second example was when the citizens from a particular neighbourhood requested the CoG to use a particular unutilised building in their neighbourhood, namely the Standaard site in Lederberg. The CoG bought the property and these citizens participated in planning how this space should be utilised. A third example was when citizens participated in planning the neighbourhood around a new football stadium. This participation encompassed their input in the type of housing and apartment buildings for this area, mobility within this area, the layout of streets and parks, and the ecological impact on this area.

A fourth example was a system called "public investigations", during which the CoG consults citizens when they undertake big building plans. Citizens are invited to a public meeting to voice their opinions concerning the building plans, and the CoG then incorporates citizens' input in the building plans. It was also reported that some citizens, particularly senior citizens, do not participate in these co-planning initiatives because of the time of the meeting, as they are scared to go out at night. The view is that these types of co-planning initiatives are more of interest to younger citizens, and that senior citizens especially are not listened to during co-planning and consultative meetings such as ward of the month.

- Co-design of a service

At a ward-based level, this participation of citizens in the co-design of services includes being consulted prior to some services being delivered. This includes indirect as well as direct citizen participation in the redesigning and renewing of some services. This participation of citizens in the co-design of services is not necessarily subsequent to citizen participation in the co-planning of a new service, but also occurs in conjunction with the co-planning of new activities and services at a ward level.

- Co-delivery of a service

Although the citizens in the focus group have not participated in the delivery of services, they explained that the co-delivery of services is happening in other wards of Ghent, for example Lederberg and Rabot. It was explained that the citizens who participate in the delivery of these services in the mentioned wards do not receive remuneration but are instead rewarded in the form of a voucher that they can use, for example, to buy bread or that they can trade for a product or service. In Lederberg, this voucher is called the “*Pluimen*”, and in Rabot the “*Torkes*” is used to remunerate citizens who participate in the co-delivery of services by the CoG.

- Co-evaluation of a service

It was noted that some citizens have participated in the three-year evaluation of the CoG Multi-Annual Plan. Respondents explained that they were divided into small discussion groups during which different subjects were discussed, including “*mobility in the city*”, health care issues such as how the CoG can become a “*dementia-friendly city*”, what can be done to “*integrate people from different nationalities in neighbourhoods*”, as well as “*what the service needs of citizens are*”. Responses included that some citizens have been involved in evaluating the services delivered by the CoG, for example electronically via its “*website and in writing on paper*”. It was pointed out that the evaluation of services via the internet inhibits their participation and that of other citizens who do not have access to the internet. Though the majority of citizens indicated that they were not involved in the co-evaluation of service, some citizens indicated they are willing to evaluate services if requested to do so by the CoG. Respondents shared that when they receive evaluation forms from the CoG, they simply do not complete them because they have lost confidence in the system, and that there is no improvement in some services, even when they provide their opinion about the quality of the service.

## **5.6 A CRITICAL ANALYSIS OF THE FINDINGS FROM THE CASE OF THE CITY OF GHENT**

In this section, a critical analysis from the case of the CoG is presented in respect of the findings and with consideration of the conceptual (Chapter 2) and theoretical frameworks (Chapter 3). This critical analysis outlines significant aspects as highlighted through the findings regarding objective ii (the extent to which citizen participation underpins SI during LG service delivery) (section 5.6.1), objective iii (the nature of co-production in SI during LG service delivery) (section 5.6.2), and objective iv (the extent to which governance systems influence the use of SI

in LG service delivery) (section 5.6.3). Each section is preceded by its status in the case of CoG prior to the presentation of the critical analysis.

### **5.6.1 Delineating the extent to which citizen participation underpins social innovation during local government service delivery**

In the case of Ghent, the academic, CoG officials, and citizens agreed on the importance and value of citizen participation. Their responses were consistent with the conceptual framework, where citizen participation is positioned as an important variable in the use of SI during LG service delivery. It can be confirmed that the participation of citizens in the case of Ghent reflects the definition of citizen participation (section 2.4).

Though not conclusive amongst all officials who participated, their views were in line with how SI is defined in the conceptual framework in terms of governance and the use of co-production. In addition, it can be reasoned that the use of SI by the CoG is congruent with how the use of SI in LG service delivery is defined by this study. This congruence includes the creation of public value, but lags in respect of a conducive governance system where not only service delivery responsibilities are shared with citizens, but also decision-making power. This indicates that the internal organisational context, in respect of the CoG's approach to governance and decision-making (Pojasek 2013:84–85; Stojanovic 2016), is not optimal for enhancing the use of SI during service delivery throughout the administration. Although the use of SI by the CoG is consistent with its conceptualisation for the purpose of this study, its use occurs in the absence of an explicit strategy. This lack of an explicit strategy also appears to be inconsistent with an internal organisational context that would enhance the use of SI for service delivery (Pojasek 2013:84–85; Stojanovic 2016). Even so, the lack of an SI strategy does not deter the use of SI by the administration. However, the use of SI during service delivery is inconsistent across departments, officials' responses are inconclusive regarding its use, and its implementation seems to be driven partly by department heads and directors. Against this background, a critical analysis in respect of the case of Ghent is reflected on in terms of the nature of citizen participation during SI in service delivery by the CoG.

#### **5.6.1.1 Academic's, City of Ghent officials', and citizens' understanding of the concept of social innovation when it comes to local government service delivery by the City of Ghent**

This case illustrated that officials and citizens do not always share a common understanding concerning the use of SI during service delivery, but there could be commonalities in terms of their respective understandings. In the case of Ghent, these commonalities include officials' and citizens' understanding of the use of SI during service delivery as being predicated on a bottom-up approach. The reference to bottom-up approaches is contrary to the normative administrative hegemony applied during service delivery decision-making processes associated with traditional PA and governance approaches. This case therefore illustrates that the use of SI during service delivery replaces administrative and government hegemony during service delivery decision-making processes with citizen and stakeholder input in such decisions. The notion of SI being a bottom-up process thus positions citizens as

central to the use of SI during service delivery. This is consistent with how citizen participation is located during the use of SI in LG service delivery in literature and conceptualised in this study. This further confirms citizen participation as a variable of using SI during service delivery. Similarly, references to SI being bottom-up indicate that SI is subject to the consultation of citizens who will benefit from the outcome of a SI initiative.

Apart from confirming the bottom-up nature of SI, the CoG's conceptualisation of SI during service delivery was also associated with being flexible, taking different approaches every time SI is used. The case of Ghent thus illustrates that the use of SI during service delivery allows the administration to use flexible approaches but also to invent new ways to stay abreast of and dealing with contemporary service delivery challenges and societal problems. This understanding of the concept of SI when it comes to LG service delivery is deemed consistent with the goal-oriented nature of SI. Another significant feature of the conceptualisation of SI during service delivery, as confirmed by the case of Ghent, is its process-oriented nature, which was highlighted in the literature (section 2.3.1.2) (OECD 2014; Mulgan 2006:146; Pol & Ville 2009:881; Hart, Jacobs, Ramoroka *et al.* 2014:s.n.).

Of further interest concerning the conceptualisation of SI is the connotation of it being a "learning journey", which implies that its use during service delivery is a learning journey for the administration who uses it as well as the citizens who participate during its use, and who will in turn benefit from its outcomes. It is noteworthy that SI is not only initiated by the CoG administration, but also by citizens. Though the conceptualisation of SI in the literature points to its goal-oriented nature (Moulaert *et al.* 2005, cited in Novy *et al.* 2009:131), the reference to SI as a learning journey in the case of Ghent refers more to how SI is utilised in the attainment of, for example, service delivery goals (section 2.3.1.1). Even so, the conceptualisation of SI in the case of Ghent is deemed consistent with its goal- and process-oriented natures as explicated in the literature (Sharra & Nyssens 2010, cited in Chalmers 2012:19; Grimm *et al.* 2013:438). This goal- and process-oriented nature of SI was also affirmed by the academic who predicated the use of SI in LG service delivery on the development of "*new relationships between different actors in dealing with social problems*". In summary, the case of Ghent thus illustrates that the use of SI during service delivery is a bottom-up approach, is underpinned by flexible approaches, and is a learning journey for both the administration and citizens working towards achieving the outcomes of the SI initiative. Hence, the CoG demonstrates that the administration's relations with citizens, which is underpinned by the goal- and process-oriented nature of SI, should be harnessed by an internal organisational context that acknowledges the importance of relations with citizens.

#### 5.6.1.2 Understanding of the concept of citizen participation in service delivery when it comes to service delivery by the City of Ghent

The case of the CoG demonstrates that citizens see their participation in service delivery in three stages of the co-production service delivery cycle, namely co-planning, co-design, and co-delivery, but not fully during the fourth stage of co-evaluation. Upon further analysis, it was established that the level of their participation is centred on

voice, choice, and contributions, and partially on control. Though it seems that citizens partially exercise control by co-planning services, such control occurs after service delivery has been prioritised by the CoG council and in the Multi-Annual Plan at a macro level. Within the micro environment (ward-based level), citizens also appear to partially exercise control during ward-based planning. The case of Ghent shows that citizen participation through control requires an element of discerning within which environment (micro or macro) such control is required and would be more useful to make an impact.

In respect of the evaluation of services in the CoG, citizens do not feel that they have a role to play in this stage of the service delivery cycle and therefore do not exercise control in this respect. Besides exercising control during the co-evaluation of services, such evaluation also allows citizens to exercise voice by letting them provide input concerning the improvements of services either individually or collectively. In this case, the exercising of control by citizens in fundamental service delivery decision-making processes within a macro environment prior to implementation appears to be missing, and the exercising of voice and control during the co-evaluation of services is completely absent during their participation. It may be argued that this is compensated for when citizens exercise control during the co-design or co-delivery of services within their micro environment. Cognisance should be taken that their participation does not seem to be congruent with decision-making processes in respect of selecting, regulating, or commissioning the delivery mechanisms of services as proposed by Osborne and Stokosch (2013:37) with reference to citizens exercising control.

#### 5.6.1.3 Social innovation strategy by the City of Ghent and its implementation

The case of Ghent illustrated that the absence of an explicit SI strategy did not deter the use of SI in general by some departments within the city administration. However, the case of Ghent validates that the absence of an explicit strategy for SI will have consequences for the consistent use and implementation of SI by the administration within respective departments. Further, the absence of an SI strategy does not contribute to instilling a shared and unified vision amongst the administration regarding the implementation and use of SI. When the departments where the programmes are operationalised for the attainment of its vision are not aligned with that vision, this could in fact be counterproductive to achieving it. The case of Ghent further demonstrates that a vision should not only be shared at a strategic level but throughout the organisation, and officials at a departmental level should be integral to the development of a vision concerning strategic priorities and goals. What is more, because these officials will be drivers of these programmes and services, they have to understand the vision and share it, but more importantly, they must own the vision. Along with giving officials ownership of implementing the strategic vision, they also have to monitor progress and performance. The case of Ghent highlights the monitoring of the implementation of SI as essential in ensuring that the vision held at a strategic organisational level is understood and shared by officials and operationalised by departments. In summary, the CoG thus illustrates that unless a strategic vision or strategy, such as the use of SI during service delivery, is adopted as a practice within the internal organisational context, it is unlikely that it will become a practice throughout the organisation.

#### 5.6.1.4 The level of citizen participation when social innovation is used during service delivery by the City of Ghent

Citizen participation is positioned as central to SI during its use in service delivery by the CoG. This is not only consistent with how citizen participation in SI is situated in literature (Jing & Gong 2012:234; Kattel *et al.* 2013:s.n.), but is also congruent with the conceptual framework of this study (Chapter 2, section 2.4). In the conceptual framework for this study, citizen participation is defined as the participation of citizens (voters, service users, organised partners) in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control. Citizen participation in the case of Ghent appears to be consistent with this conceptualisation of citizen participation as well as the levels of citizen participation during the use of SI in service delivery, namely voice, choice, contribution, and control. In respect of voice, those citizens who participated expressed their opinion or provided feedback regarding a service through collective action or a personal complaint, which is consistent with the conceptual framework of this study.

With reference to choice, citizens participated in choosing from available service options and they exercised discretion, and in the case of Ghent, this encompassed a combination of both, which is in line with the conceptual framework for this study. Contributions in the form of experiences, information, skills, resources, and knowledge are also consistent with the conceptual framework in Chapter 2. In terms of control, citizens participated in service delivery decisions at a ward-based level and through representative structures at a city level, which is also consistent with the conceptual framework of this study. It appears, however, that exercising control over the commissioning of services occurs during the co-delivery of services and not in respect of being part of decisions in the appointment of service providers. Hence, whilst the levels of citizen participation in the case of Ghent entails citizens exercising voice and choice, this case illustrates that it is possible for citizens to participate in exercising partial control. Even so, the participation of citizens in terms of voice, choice, contribution, and aspects of control make citizens invaluable in the attainment of social and service delivery outcomes.

The participation of citizens in the CoG has also increased their relevance in finding solutions to service delivery and societal problems by which they are affected, and this is consistent with how citizen participation is positioned in literature (Jiménez Escobar & Morales Guetiérrez 2011:38). In addition, citizens' participation in SI in the case of Ghent has expanded their capacity, as new actors and as organised partners, to find and implement solutions. The case of Ghent further reveals that citizens' participation in the use of SI during service delivery is equally underpinned by their capacity to participate. In this regard, the case of Ghent demonstrated that the same citizens do not have to participate during every stage (co-planning, co-delivery, co-design, and co-evaluation) of the service delivery cycle for a particular service. In other words, whilst some citizens might have the capacity to co-plan and co-design a service, they might not have the capacity to participate in the co-delivery of a service. Therefore, other citizens might have to participate in the co-delivery of the service. However, this does not mean that they cannot all participate in the co-evaluation of the service.

With reference to the co-evaluation of services, this seems to be an aspect of service delivery from which some citizens seem to be excluded. What should, however, be kept in mind about the participation of citizens in selected stages of the service delivery cycle is that such participation could negate their ability to offer a holistic evaluation of a service from co-planning to co-delivery. Despite this, citizens' participation during the respective service delivery stages based on their capacity implies that the level of citizen participation during the use of SI in service delivery is driven by context. Like the context-based nature of SI, this is an important feature that should be used to plan citizen participation during the use of SI in LG service delivery.

### **5.6.2 Determining the nature of co-production in social innovation during local government service delivery**

In the case of Ghent, the nature of co-production was determined in respect of its use during SI in service delivery. It can be reported that its use is consistent with how co-production is defined in the conceptual framework in Chapter 2 and that it encompasses citizen participation in co-planning, co-design, co-delivery, and co-evaluation. However, citizen participation is not at the same level during the co-evaluation of services as during the co-planning, co-design, and co-delivery of services. The level of citizen participation (i.e. through voice, choice, contribution, and control) during co-production in the co-planning, co-design, co-delivery, and co-evaluation of services is in line with the conceptual framework in Chapter 2. Yet control is partially exercised by citizens during the co-planning and co-evaluation of services. Noteworthy in the case of Ghent is the distinction that was made between citizen participation within the micro and macro environments in respect of the use of co-production during SI. In this case, co-production is applied to a variety of services across different policy domains and to big as well as small projects carried out by the administration, regardless of the lack of an explicit co-production strategy. The use of co-production in the case of Ghent is, however, not consistently applied across departments, and the members of the administration seem to have different views as to what co-production means and what its implementation entails. Now that an overview of the status regarding the nature of co-production has been provided, a critical analysis in respect of the case of Ghent is presented.

#### **5.6.2.1 Understanding the concept of co-production when it comes to local government service delivery**

In Chapter 2, the conceptual framework for this study defined co-production as comprising citizen participation during the planning, design, delivery, and evaluation of services by LG. In the case of Ghent, officials held varying ideas and views regarding citizens' participation during co-production in respect of co-planning, co-design, co-delivery, and co-evaluation of services. Even so, the findings affirm that citizens participate in the mentioned stages during the co-production of service delivery. The case of Ghent illustrates that although officials perceive the use of co-production during LG service delivery as happening on a small scale, the opposite transpired in terms of bigger projects, as reported by some other focus group and interview participants. This indicates that like the use of SI, a shared organisational vision in the internal organisational context regarding the use of co-production is currently missing and might require consideration for the future use of co-production. The absence of such a shared

vision could be counterproductive to the use of co-production, and it is seen in the distinction made by some officials between the use of co-production for policy implementation and for service delivery. Yet the case of Ghent highlights the importance of using co-production not only to deliver services, but also in policy implementation. Whilst the academic and some officials acknowledged co-production as an element of SI, the case of Ghent demonstrates the importance of delineating the use of co-production in respect of including or excluding the use of SI during LG service delivery. Such a delineation is important in the internal organisational context, since it would determine how the administration engages with citizens and other role players in its external environment in respect of the co-production of services.

#### 5.6.2.2 A strategy for the co-production of services and the implementation thereof

In the case of Ghent, the absence of a co-production strategy did not deter the use of co-production in general by some departments within the CoG administration. Yet the case of Ghent shows that similar to the lack of an explicit SI strategy, the lack of a co-production strategy could result in the inconsistent use of co-production amongst departments, as well as how it is operationalised by departments. It was illustrated that departments and officials hold varying ideas and views regarding the use of co-production. There is thus no unified approach to its use, which in turn could be counterproductive to achieving a unified vision in respect of co-production as a strategic goal. In addition, the case of Ghent also indicates that officials should be sensitised regarding the important role they play in attaining an organisational vision by operationalising co-production through their key deliverables and service delivery. Hence, their participation in the development of a vision for co-production as a strategic goal should not be undervalued at a strategic level, since these officials are responsible for ensuring that co-production as a strategic goal is implemented. This means that officials should be part of the development of an organisational vision concerning co-production, and they need to understand this vision and own it. In addition, the findings illustrated that the inconsistent use of co-production at a departmental level accentuates the importance of monitoring the implementation of co-production by the respective departments through departmental goals. These goals should be aligned with the strategic vision of the CoG and its implementation.

#### 5.6.2.3 Application of co-production as a variable of social innovation during service delivery by the City of Ghent

As stated earlier, the conceptual framework of this study defines co-production as comprising citizen participation during the planning, design, delivery, and evaluation of services by LG. The application of co-production by the CoG is consistent with citizen participation in the co-planning, co-design, and co-delivery of services but lags in respect of citizen participation in the co-evaluation of services. In the case of Ghent, the academic and some officials in the administration shared this view concerning citizen participation but added that co-production is an integral element of SI. The case of Ghent demonstrates that caution should be taken that co-production, as an element of SI during service delivery, does not result in the exclusion of some citizens, but should instead become an inclusive process. Hence, when co-production is used, participatory strategies that promote inclusive citizen

participation should also be looked into. This implies the participation of even those citizens who may not benefit from the outcome of the co-production initiative and how they can participate by contributing their time, knowledge, and resources.

It was further illustrated that the application of co-production as an element of SI during service delivery could be used on an ad-hoc basis or institutionalised within departments in respect of service delivery activities. However, what could be learnt from the case of Ghent is that when co-production is a strategic priority for an LG authority, it might be better if its use is delineated in a strategy to ensure that all departments coherently achieve such a strategic priority. Such a strategy should delineate its ad-hoc use, its institutionalisation within departments, and whether co-production is seen as an element of SI or exclusive to SI. This delineation is necessary even though co-production is recognised as an important element of SI by literature, which, in the case of Ghent, was also affirmed by the academic. Clarity concerning how the organisation views co-production will contribute to eliminating uncertainties regarding how departments use it at an operational level. Such a strategy could also mitigate the inconsistent use of co-production by departments. In addition, such a strategy could aid in dealing with challenges that could result in the failure of co-production initiatives, such as conflicts in relations between the LG administration and citizens, conflict amongst citizens, a loss of interest in the initiative, a lack of leadership and cooperation, a lack of volunteers, and changing demographical contexts in the neighbourhood.

#### 5.6.2.4 Examples and nature of citizen participation in the stages of co-production

- Co-planning

According to the conceptual framework for this study, citizen participation in service co-planning can be through voice, choice, contribution, or control. The application of co-planning, in the case of Ghent, is deemed consistent with how this is set out in the conceptual framework. Hence, the case of Ghent affirms that citizen participation in the co-planning of services could be through voice, choice, contribution, or control, or through a combination of these. Further, this case illustrates that citizen participation in the co-planning of services could be indirect – through representative structures and organisations – or direct. It seems that indirect citizen participation occurs more within the macro environment and direct citizen participation within the micro environment. This case therefore shows that citizen participation in co-planning requires innovative practices within both the macro and micro environments. In addition, it is clear that the practicality of both determines when direct or indirect citizen participation is suitable during co-planning. What can be learned in the case of Ghent is that co-planning initiatives should be accessible to elicit citizen participation and may even require separate co-planning meetings for working citizens and senior citizens at different times of the day. Owing to this, potential hindrances to inclusive citizen participation should be earmarked, and strategies should be looked at in terms of overcoming such hindrances.

- Co-design

The application of co-design and citizens' participation in the co-design of services, in this case, are consistent with its conceptualisation in respect of citizen participation in service co-design through voice, choice, contribution, or control in the conceptual framework in Chapter 2. This case therefore shows that citizen participation during the co-design of services could encompass any one or a combination of the levels of citizen participation. Similar to direct and indirect citizen participation being used in the co-planning of services, during the co-design of services citizens also participate directly and indirectly. The case of Ghent illustrates that citizen participation in the co-design of services could take place subsequent to their participation in co-planning those services. In contrast, this case demonstrates that citizens can co-design a service without participating in the planning of that service. The findings show that coordinating citizens' participation in the co-design of services requires more effort from the administration. In addition, citizen participation in the co-design of services becomes an iterative process between the administration and citizens working towards a service design that is acceptable for both and deliverable within the means of the administration. This is important for the success of the co-production initiative in general. Hence, implementing citizens' participation in the co-design of services requires adequate capacity and resources from the administration. These resources are another element of the internal organisational context (Pojasek 2013:84–85; Stojanovic 2016) that should be conducive to the use of SI during service delivery by the administration.

- Co-delivery

In this case, the participation of citizens in the co-delivery of services and the application of co-delivery is deemed consistent with the conceptual framework in Chapter 2. What can be learnt from the case of Ghent is that the coordination of citizen participation in the co-planning and co-design of services might require more effort in order to eventually coordinate citizen participation in the co-delivery of services. This, however, does not mean that the administration is not facilitating citizen participation in the co-delivery of services. The case of Ghent highlights the importance of citizen participation in the co-delivery of services where the CoG experiences resource or capacity constraints. Yet this is not the primary reason why the CoG should elicit citizen participation in the co-delivery of services. In this case, it was illustrated that apart from the CoG initiating the co-delivery of services with citizens, citizens also initiate the co-delivery of services. In terms of efforts by the CoG to enhance citizen participation in the co-delivery of services, it is imperative to sensitise citizens concerning the importance of their participation.

- Co-evaluation

The application of co-evaluation by the CoG is consistent with how it is situated in the conceptual framework in Chapter 2. The case of Ghent shows that citizens do not participate at the same level during the co-evaluation of services as during the co-planning, co-design, and co-delivery of services. In light of this, the case of Ghent illustrates that citizen participation in the co-evaluation of services is equally important to their participation in the co-planning, co-design, and co-delivery of services. Citizen participation in the co-evaluation of services is important in order to improve existing services and to incorporate citizens' feedback in the planning of future

services. The case of Ghent illustrates the importance of considering a combination of evaluation methods to facilitate inclusive citizen participation in the co-evaluation of services. It was demonstrated that citizen-participation in the co-evaluation of services should not be undervalued by the administration, because it could result in citizens losing confidence in the CoG. Similarly, citizens should be sensitised about the importance of their participation in the evaluation of services if they would like to see improvements. Hence, the same effort that goes into soliciting citizen participation in the co-planning, co-design, and co-delivery of services should be directed towards encouraging citizen participation in the co-evaluation of services.

### **5.6.3 The extent to which governance systems influence the use of social innovation in local government service delivery**

In the conceptual framework (section 2.4), governance is defined as citizens' participation in the delivery and regulation of services through shared powers. In this study, governance is also considered as part of the internal organisational context (Pojasek 2013:84–85; Stojanovic 2016) for the use of SI during LG service delivery. The governance system of the CoG is consistent with regard to citizen participation in the delivery of services, but lags in respect of citizen participation in the regulation of services through shared powers. In this case, citizens are allowed to deliver services, but they do not share powers with the CoG in respect of governing services. The governance system of the CoG therefore displays elements of an open governance system that allows citizens to participate in service delivery decision-making processes by being part of the co-planning, co-design, co-delivery, and co-evaluation of services. The governance system facilitates this participation through direct and indirect participation opportunities at a ward-based level, and through indirect representative participation or political representation at a city level. In view of this background, the remainder of this section provides a critical analysis of the impact of local governance systems on the use of SI.

#### **5.6.3.1 Local governance and social innovation as strategy for inclusive citizen participation in service delivery**

The case of Ghent illustrates that a local governance system also influences the internal organisational context, and is therefore important in facilitating inclusive citizen participation in decision-making processes concerning service delivery. The use of SI during service delivery could serve as a strategy that facilitates such inclusive citizen participation in local governance. The nexus between good governance and service delivery (section 3.3.1.1), as well as the nexus between good governance and citizen participation (section 3.3.2.1), provide substantiation in this regard, and citizen participation and the creation of public value were highlighted as fundamental to both. In the case of Ghent, some citizens were excluded from participating in decision-making processes concerning service delivery in general and even when SI was used, which highlights the need for inclusive participation during the governance of service delivery. The fact that SI is not entrenched in the CoG's local governance system could contribute to the lack of inclusive citizen participation in decision-making processes regarding service delivery.

The case of Ghent also highlighted that inclusive citizen participation in local governance is costly and labour intensive for any LG and could result in prolonged decision-making processes. Thus, despite the benefits that citizen participation in local governance provides for service delivery, cognisance should be taken of the fact that it could have implications for the timeous reaching of goals and targets, and for the implementation of service delivery priorities. In addition, inclusive citizen participation in local governance requires innovative approaches that advance the participation of those citizens who are currently excluded, whilst at the same time retaining existing participants. In doing this, LG should look at strategies that foster a culture of participation in service delivery decision-making processes amongst citizens. Such a culture should make them aware of the importance of their participation in creating public value for the collective interest. The case of Ghent demonstrates that a similar culture, which sensitises officials to the importance of citizen participation in decision-making processes, is required as part of the internal organisation context. This is evident from the need for the bureaucratic systems to be aligned with the local governance system, and for the adaptation of systems and processes in order to facilitate inclusive citizen participation.

The CoG is reported to have a local governance system that is open to citizen participation in decision-making processes, yet the findings indicate that the implementation thereof by the administration is inconsistent. Although factors such as the absence of an explicit SI strategy may contribute to this inconsistent practice, the case of Ghent indicates that the local governance system has a definitive impact on the work practices of the administration. Hence, these work practices, which are influenced by the internal organisational context (section 3.4), will either enhance or deter the use of SI by the administration.

#### 5.6.3.2 Upscaling local governance through social innovation

The literature as well as the conceptual (Chapter 2) and theoretical (Chapter 3) frameworks, illustrate that SI has the potential to facilitate citizen participation in service delivery decision-making processes. Yet the question remains as to whether SI fully empowers citizens as partners in local governance. The case of Ghent proved that in the absence of shared decision-making power, the use of SI to facilitate citizen participation in local governance does not automatically make citizens equal partners to LG. Further, although some citizens participated in co-planning, co-design, co-delivery, and co-evaluation of some services during the use of SI in service delivery, they did not always participate during the initial stages of fundamental decision-making processes within the micro and macro environments. When citizens participated during these service delivery stages, they were assigned functions, responsibilities, and resources to implement service delivery. In the case of LG, this could be associated with governance that is downscaled (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71) and where power and resources are retained by the state (LG in this case), but functions are transferred to external actors. In the case of Ghent, however, citizens were also provided with resources in order to deliver some services in addition to being assigned functions and responsibilities. Nonetheless, these functions and responsibilities seem to signify

citizen participation in aspects of co-delivery and co-evaluation, and in some cases excluded citizen participation in decisions concerning co-planning and co-delivery of services.

Even though citizens participated in the stages of the service delivery cycle during the use of SI, they were not always part of fundamental decision-making processes that could represent the sharing of decision-making power. The case of Ghent therefore highlights that SI could be used to address aspects of local governance during service delivery, and could even be regarded as a form of “governance-beyond-the-state”, or in this case, “local-governance-beyond-local-government”. In the case of Ghent, then, this may point to a new LG model of local governance. So even though citizens did not participate in decision-making processes that prioritise service delivery in the Multi-Annual Plan of the CoG (macro environment), their participation in the co-planning, co-design, co-delivery, and co-evaluation of some services (micro environment) is still equivalent to participation in the local governance of services. Their participation, however, does not automatically make them equal partners to LG during local governance.

#### 5.6.3.3 Compatibility of social innovation with local governance systems

Whilst local governance systems have a definitive influence on the use of SI in service delivery, the literature pointed out that SI could be compatible with open governance systems. In the case of Ghent, although officials and the academic regard the local governance system as open, it does not appear to be completely consistent with how open governance systems are considered in the conceptual (Chapter 2) and theoretical (Chapter 3, section 3.3.2.2) frameworks. Nevertheless, SI was still used by the administration and initiated by citizens and the administration during service delivery. The case of Ghent thus illustrates that even when a local governance system is not open, it does not completely deter the use of SI by its administration. Likewise, the case of Ghent demonstrates that even when the local governance system appears to be incompatible with the use of SI during service delivery, it does not mean that SI will not be used. At the same time, what can be deduced from the case of Ghent is that even when the governance system is open to citizen participation in decision-making processes concerning service delivery, this does not mean that the local governance system is compatible with the use of SI in its totality. As found in the case of Ghent, it could imply that the local governance system is compatible with selected aspects of using SI that might fit existing service delivery practices. In addition, the CoG demonstrates that an open local governance system could include the sharing of service delivery responsibilities between the administration and citizens but exclude the sharing of decision-making powers in respect of service delivery.

#### 5.6.3.4 Exogenous and endogenous power structures in local governance

The literature (section 3.2.4) emphasised that the outcome of decision-making processes during local governance appears to be influenced by those having the power to influence decisions (Rodríguez-García & Navarro Yáñez 2016:128). These power structures were categorised in this study in terms of exogenous and endogenous power structures. The case of Ghent illustrated the presence of both endogenous and exogenous power structures and

that both influence the outcomes of service delivery decision-making processes. The findings highlighted that even though citizens, as part of the exogenous power structure, influenced the outcome of some service delivery decision-making processes, the endogenous power structure (CoG) had the final say in most decisions. This state of affairs appears to be consistent with the lack of adequate power being attributed to external actors during the downscaling of governance, referred to in literature as “governance-beyond-the-state”. Nonetheless, within these power structures, two factors are deemed important to determine actors’ influence in decision-making processes.

The first factor is the salience that decisions would hold for actors, and the second is the informational, institutional, and economic resources controlled by actors that could be used to influence the outcome of decisions (Rodríguez-García & Navarro Yáñez 2016:128). The findings in the case of Ghent showed that citizens participated in service delivery decision-making processes because of the salience of the decisions to their individual as well as their collective interests. What can be learnt from the case of Ghent is that citizen participation was not influenced by whether citizens had resources to influence the outcome of decisions. Similarly, the case of Ghent proved that even when citizens did not have any resources to influence the outcome of decisions, they could still influence the outcome of decision-making processes. However, this may be unique to the case of Ghent and does not imply that citizens’ ability to influence the outcome of decision-making processes would be the same in other LG settings. The case of Ghent likewise illustrated that even though citizens were given the opportunity to influence decision-making processes, they did not always make use of these opportunities, even though the decision held salience for them. What can be learnt from the case of Ghent in respect of exogenous and endogenous power structures is that control over resources is not the sole determining factor for citizen participation during local governance, nor does salience of service delivery decisions imply that citizens will participate in service delivery decision-making processes during local governance.

## **5.7 CONCLUDING REMARKS**

In this chapter, the case of Ghent was presented as the first case in the empirical stage of this study. As an introduction to the CoG, the first section of this chapter (section 5.2), provided the response results. This section was followed by the reporting of the findings pertaining to the use of SI by the CoG in sections 5.3, 5.4, and 5.5. In section 5.3, the academic’s perspective on SI and service delivery by CoG was presented. This section included findings pertaining to the nature of citizen participation during SI in service delivery by the CoG (section 5.3.1), and the nature of co-production during the use of SI in service delivery by the CoG (section 5.3.2). Subsequently, section 5.3.3 reported the findings on the impact of local governance systems on the use of SI during LG service delivery.

Subsequently, section 5.4 presented the officials’ perspective on SI and service delivery by the CoG. The nature of citizen participation during SI in service delivery by the CoG was reported in section 5.4.1. In section 5.4.2, findings pertaining to the nature of co-production during the use of SI in service delivery by the CoG were reported,

whilst section 5.4.3 reported the findings on the impact of local governance systems on the use of SI during LG service delivery. Following section 5.4, the citizens' perspective on SI and service delivery by the CoG were presented in section 5.5. This section reported findings on the nature of citizen participation during SI in service delivery by the CoG (section 5.5.1), and the nature of co-production during the use of SI in service delivery by the CoG (section 5.5.2). Subsequent to the reporting of the findings, a critical analysis from the case of the CoG was presented in section 5.6, with reference to the conceptual (Chapter 2) and theoretical (Chapter 3) frameworks.

## CHAPTER 6: THE CASE OF MANGAUNG METROPOLITAN MUNICIPALITY, FREE STATE PROVINCE, SOUTH AFRICA

### 6.1 INTRODUCTION

Chapter 6 will consist of four parts. This is the second of the two empirical chapters (empirical stage, Table 5), and reports the responses from the case of the MMM according to objectives ii, iii, and iv of the study (section 1.4) as well as the three research questions (section 1.5). Chapter 6 commences with a holistic view of the response results (section 6.2), which is followed by the reporting of the participants' responses. The academic's perspective is discussed in section 6.3, the officials' in section 6.4, and the citizens' in section 6.5). Section 6.6 of this chapter will give a critical analysis of the findings of the case of the MMM. Finally, section 6.7 offers concluding remarks to this chapter.

### 6.2 RESPONSE RESULTS

The population (N) comprised an academic, LG officials, and citizens. The projected sample amounted to forty-two respondents (Figure 14). Forty responded, which amounts to a response rate of 95.2% (Table 6, columns 3 and 4).

**Table 6: Mangaung Metropolitan Municipality responses**

Respondents	Projected (n=42)	Responses (n=40)	Response rate 95.2%
<b>Academic</b>	1	1	100.0%
<b>MMM officials</b>	21	18	85.7%
<b>MMM citizens</b>	20	21	105.0%

Of the projected twenty-one MMM officials, fifteen participated in the focus group discussions and three in the semi-structured interviews (Table 6, column 3). Reasons for some officials not attending was included workload pressure, official commitments and an apathetic attitude towards the importance and application of SI. A direct link was observed between the officials from specific departments who chose to participate and their having been introduced to the importance of the co-production of services and the concept and application of SI during LG service delivery. In the case of the projected twenty citizens, twenty-one participated (Table 6, column 3). It appeared that for the citizens, the primary motivators to participate in the study were the opportunity to share their views concerning service delivery and the functioning of their LG, and not the importance and application of SI as such within their neighbourhoods. The concept of SI and its application was therefore to a large extent a new phenomenon for citizens and some officials. The projected academic was willing to participate in a semi-structured interview when approached (Table 6, column 3).

### **6.3 ACADEMIC'S PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY MANGAUNG METROPOLITAN MUNICIPALITY**

Similar to Chapter 5 (section 5.3), this section represents the academic's perspective in terms of the eighteen questions posed during the semi-structured interview (see Attachment B). Responses to section D (questions 12 to 18, Attachment B), will be presented in Chapter 7.

#### **6.3.1 The nature of citizen participation during social innovation in service delivery by the Mangaung Metropolitan Municipality**

Question 1 asked the respondent's view on citizen participation during the stages (planning, design, delivery, evaluation) of service delivery by the MMM. According to the academic, the process of participation is *"prescribed in Chapter 4 of the Municipal Systems Act"*. This respondent noted, *"municipalities normally do road shows to discuss the IDP [Integrated Development Plan] with communities, and then obviously there is the monthly Ward Committee Meetings"*, of which there is involvement of communities in the planning of service delivery through the IDP. The academic reported that there is participation, but it is mostly participation for compliance sake. Owing to this, the academic highlighted the existence of *"very strict requirements, legislative requirements for community participation in the planning and evaluation of service delivery"*, but doubted whether this participation of citizens is meaningful. It was noted that the minutes of ward committee meetings should be filed and considered by the municipal council. The academic stated that whilst some municipalities are following this process, *"there is also a problem in different municipalities with ward committees, especially in previously white areas"*. According to this respondent, *"there is no real commitment to committees. They very seldomly really conduct ward committee meetings, and if they do, the participation is very poor"*.

Concerning the evaluation of services, the municipality publishes an annual report *"that the community must have access to"*. The municipality arranges roadshows to present the annual report to the community, but the report is compiled *"to comply with very technical standards to pass the audit test, and that's their first priorities, which means it's a lot of key performance indicators, key performance targets, that are compiled very technically correct"*. This participant pointed out that because of the technical nature of the annual report, *"communities often don't understand, and even if they understand it's a multiple of individual objectives, key performance indicators, key performance targets"*. The academic argued that these turn into complaint sessions about which the municipality can do very little at that stage. The academic said that citizen participation is technically impossible and too complicated because if it is desired *"in the design of systems and processes, you would have to change the prescriptions regarding those systems and processes"*.

It was explained that citizens do not have the *"technical know-how to make recommendations regarding the functioning of planning systems or the design of planning systems and evaluation systems, it's too complicated"*. The academic doubted whether input from citizens are the main source or drivers of municipal planning. This is

attributed to a shortage of funds which, under prescribed processes, makes these participation processes very bureaucratic. For example, sectoral departments, such as the Department of Water Affairs, would determine what to fund, which would be based on needs communicated to this department by the municipality. The academic argued that such needs “[are] very seldom based on real community needs”. For example, when a reservoir is damaged, the municipality, not the community itself, will realise the impact on the community.

The second question aimed to determine the understanding of the use of SI during local government service delivery in the MMM. This respondent has not come across the use of SI “*in terms of infrastructure and in terms of basic services: water, sanitation, electricity*”. The academic stated that the use of SI is mostly confined to local economic development or social services. Now and then innovation is used to promote cultural events in specific areas, and the community also offers service delivery solutions which mostly focus on local economic development. It appears as if municipalities do promote the establishment of cooperatives as prioritised by government. In this respondent’s experience, municipalities provide assistance as far as possible, including infrastructure and logistical support, as well as training in business-related aspects or how to undertake a project. With regard to citizens, cooperatives centre mostly on acquiring land and economic support for projects.

The third question was posed to determine the academic’s view of the use of SI (if it is used) by the MMM to deliver services to its citizens. It appears that municipalities and officials encourage citizens to initiate innovation and innovative projects within communities, especially when it comes to job creation. However, the lack of financial resources often results in municipalities not having the capacity for the SI initiatives. It was mentioned that targeted funding and grants from provincial and local government sectoral departments need to be explored as a financial resource. In future, the use of SI to deliver services would largely depend on the availability of financial resources.

The nature of citizen participation during SI when used by the MMM for service delivery was deemed important and was therefore posed as question 4 (Attachment B). The academic applauded the current systems of the MMM available for citizens to render services. However, two important observations were made: (i) not all citizens within the MMM make use of these systems, and (ii) it appears as if the MMM should invest more effort in promoting the use of these systems. Thus, for the academic, all the systems are in place, but the effective, efficient, and economic use of these systems were questioned.

### **6.3.2 The nature of co-production during the use of social innovation in service delivery by the Mangaung Metropolitan Municipality**

The academic stated that the use of co-production in the MMM “*mostly takes place with local economic development initiatives*”, which function well, and the co-production is carried out with relevant citizens from the community who participate in the co-planning and co-evaluation of services (question 5, Attachment B). Even so, the academic indicated that due to the complicated nature of legislative compliance, it is sometimes difficult to

make use of co-production during LG service delivery. It was further mentioned that to create sustainability, co-production initiatives often require an afterlife upon the completion of the project. However, the effort on the part of the municipality to create sustainability in respect of projects is not always achieved. The academic highlighted that some projects only last until their completion, especially when (i) the municipality withdraws support through resources and capacity, (ii) there is a lack of funds, and (iii) occasional disputes occur amongst members of the community.

Question six (section B, Attachment B) asked the academic's view on citizen participation during the co-production of services by the MMM. For this respondent, such citizen participation should be targeted in nature, which means that citizens participate in a particular co-production service project or initiative based on having a particular interest in it. This also includes the establishing of specific associations or organisations that would co-produce the service with the municipality. In this regard, the academic recalled participating in a co-production service project as a member of the "*Fichardtpark Neighbourhood Association*" together with the MMM. This co-production project was aimed at cleaning the neighbourhood and in this participant's view, was well supported by community members. The reason was that this project was a targeted initiative for which the neighbourhood association was specifically established, and it focused on a specific project. It was mentioned that most of the wards in the MMM do have some form of collaborative association with the municipality that entails involvement in the maintenance of infrastructure and/or logistical support.

The academic pointed out that the nature of citizen participation during the co-production of services could entail some citizens contributing their time, labour, resources, innovative ideas, and knowledge, especially when citizens themselves identify these projects (question 7, Attachment B). The nature of citizen participation is further linked to citizens and businesses in Bloemfontein that offer money, resources, and expertise to the municipality for a specific project. The academic explained that "*when you [are] expecting people to give their time, their professional skills, ... it almost per definition cost[s] money through the municipality*". Reciprocal assistance was highlighted as the basis for the municipality co-producing services with citizens and businesses. For example, they want their businesses to be promoted, "*they have a problem somewhere, and they want this problem solved, but they need the municipality's assistance with that*". The academic thus described the nature of citizen participation during the co-production of services as based on a "*win-win situation*" for citizens and the municipality.

The academic asserted that citizen participation during the co-production of services is, however, influenced by the divergent circumstances and needs of citizens, citizens' development level per ward, infrastructure development, as well as the availability of resources (question 7, Attachment B). This is attributed to the fact that during the identification of service delivery needs per ward (including ward-based planning) these needs as well as budgets may be similar across different wards but may also be very divergent. The academic explained that the

municipality therefore has to prioritise these service delivery needs because it is not possible to meet the needs of “all wards in the same financial year, with the exception that it does not cost a lot of money”.

### **6.3.3 The influence of local governance systems on the use of social innovation during local government service delivery**

The academic described open and closed governance systems as serving a significant purpose during service delivery (question 8, section C; Attachment B). For the academic, the use of “open governance systems are preferable” because there is definitely a need to incorporate citizens in decision-making. This respondent adduced open governance systems as “the modern way”. However, the academic felt there is also a need for closed governance systems, especially when it is necessary to speed up the process and save money. It was remarked that the constant involvement of citizens is time consuming, since *communities “have diverse needs, and if you involve them constantly from step to step, they shift the goal post the whole time”*. This predicament could cause a project to become unmanageable and to derail. The academic reasoned that “there is an argument to be made” to “involve communities less, and just decide that bureaucrats [...] do their thing”. It was mentioned that municipal officials or managers have the best insight with regard to available resources and matching them with what is expected from the community.

Question 9 (section C, Attachment B) was posed to discuss the extent to which closed and open governance systems have an impact on the use of SI during local government service delivery. According to the academic, SI implies the use of an open governance system and could not be associated with a closed governance system. Within an open governance system using SI, clearly defined phases are recommended, starting with a planning phase where the citizens are involved. Thereafter, the second phase will entail closing the system in order to speed up the implementation. Citizens will become involved again during the evaluation of services.

In response to question 10 (section C; Attachment B), regarding the academic's view on the participation of citizens in the MMM service delivery decision-making processes, it was noted that MMM “does its best to involve communities” and that the citizen participation is a “very high priority for government”. The academic attributed this commitment to an active ward committee system within the MMM, especially in surrounding areas outside Bloemfontein, where regular, often monthly, meetings are held. It was noted that a lack of citizen participation in service delivery decision-making processes is found within “the traditional, the old white areas”. This respondent stated that ward councillors are in part to blame for this lack of citizen participation in traditionally white wards, and maintained that in “the bulk of the wards in the City”, there is “commitment”.

Question 11 (section C, Attachment B), with regard to the impact of local governance systems on the use of SI, was aimed at determining the compatibility of the MMM with its governance system. The academic was of the view that the use of SI during service delivery by the MMM is compatible with its governance system. This compatibility

is attributed to the fact that South African municipalities are managed within the broad framework of the Municipal Structures Act 117 of 1998 (as amended) and the Municipal Systems Act 32 of 2000 (as amended), the latter of which “*emphasise[s] community participation*”.

#### **6.4 OFFICIALS’ PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY**

The responses in this section represent the perspectives of the three senior officials in terms of the twenty-three questions posed during the semi-structured interviews (Attachment A), and those of the fifteen officials in terms of the nineteen questions posed during the focus group discussions (Attachment C). Since it appears that the MMM senior officials have been introduced to the concept of SI, its application, and its importance during LG service delivery, it was deemed appropriate to pose four more questions to them than to the focus groups. These four question schedules’ content validity was established on the basis of expert judgement, through a similar procedure to that followed in Chapter 5. The semi-structured interview responses to section D (questions 17 to 23, Attachment A), as well as the focus group responses to section D (questions 13 to 19, Attachment C), will be presented in Chapter 7. Similar to Chapter 5 (section 5.4), this section represents the officials’ perspective during the semi-structured interviews (see Attachment A) and the focus group discussions (see Attachment C).

##### **6.4.1 The nature of citizen participation during social innovation in service delivery by the Mangaung Metropolitan Municipality**

The officials who participated in the semi-structured interviews were asked what strategies are used to elicit citizen participation during the planning, design, delivery, and evaluation of services rendered by the MMM (question 1, section A, Attachment A). Responses indicated that it is a priority for the municipality to revive its community-based planning meetings so that more citizens can be attracted to attend. The municipality has therefore shifted the meetings from 10:00 to 16:00, when citizens return home from work. A second strategy mentioned, called the cluster-based approach, entails the consultation of four, five or six wards per week. Unfortunately, at the time when the research was conducted (November 2016), this strategy has not been approved by the council yet. The utilisation of technology as a strategy was proposed to advertise IDP meetings on Facebook as well as on the “*page of the speaker*”, given the fact that citizens, especially the younger generations, tend to use technology (cell phones and websites) to acquaint themselves with current issues.

Given the mentioned strategies, question 2 (semi-structured interviews, section A, Attachment A) was posed to find out whether citizens make use of these strategies. Unfortunately, it appeared that not all citizens attend meetings or use technology when it comes to LG service delivery. Respondents were then asked how the mentioned strategies used by the MMM create platforms for citizens to make contributions to service delivery (semi-structured interviews, question 3, section A, Attachment A) in the form of gaining experiences, skills, resources, and knowledge. From the responses, it appeared that the MMM is obliged to collaborate with citizens

but even when platforms are created, various factors influence citizens' ability to make contributions. The complexity in the delivery of some services by the MMM was highlighted as obliging the municipality to collaborate with citizens on the best ways to deliver these services. The *"Expanded Public Works Programme (EPWP)"* was mentioned as an example to support this response. When citizens want to make a contribution to service delivery (e.g. gravelling, paving, and repairing roads), they would request the MMM to provide the tools to make such contributions. The importance of the administration using proper channels to obtain such contributions from citizens was noted. However, respondents remarked that even when platforms are created and resources made available, citizens often *"don't have the required expertise and skills to make such contributions"*.

Given the mentioned responses, it was important to know how the MMM views the concept of SI (semi-structured interviews, question 4, section A, Attachment A). Whilst it was noted that the use of SI by the MMM is a concept that is currently under discussion, respondents considered the concept of SI *"abstract and foreign"* and related it to the use of *"Public-Private Partnerships (PPPs)"* during service delivery. The use of SI was thus identified as having the potential to assist the MMM to *"unleash civic responsibility amongst communities"*, so that citizens would partner with the municipality to ensure that service delivery issues are addressed. Respondents asserted that raising awareness and consciousness concerning citizens' civic responsibility is an important feature of using SI. It was remarked that this civic responsibility relates particularly to the community taking care of public facilities, parks, and open spaces, as every citizen has a social responsibility towards such facilities and should therefore contribute towards their upkeep and maintenance. Potential partnerships that were mentioned include the MMM's aim to establish an innovation hub in partnership with the Central University of Technology in Bloemfontein. Such an innovation hub would entail local product enhancement, and local innovators would be afforded *"an opportunity to be part of an idea-generating team"*, to submit their products for enhancement, and to be *"assisted in terms of skills development in certain areas"*.

Focus group participants' responses when asked about their understanding of the concept of SI in LG service delivery (question 1, section A, Attachment C) included: *"SI covers issues like volunteering and issues like your problems that you find in a community"* and how one goes *"about resolving those problems"*. It was remarked that SI also includes the identification of such problems (e.g. unemployment, scarcity of jobs), and *"advice and solutions for problems that will change the situation"*. Focus group participants associated SI with social cohesion, social enterprise and the social enterprise movement, social services, social development, non-governmental organisations, non-profit organisations, and cooperatives. It was explained that using SI during service delivery includes, amongst other things, *"engineering services, human settlements, social services"*, as well as the involvement and the participation of your citizens, *"from your planning phase, right up to evaluation, the entire continuum, you have to consult on a regular basis"*. Hence, SI allows for synergies and interactions *"where citizens, administrators, politicians, talk to how are services delivered"*. This synergy is attributed to a *"harmonious system"*.

*in respect of execution, monitoring, evaluating, and how to resolve problems*". It appears that when it comes to LG service delivery, the concept of SI is well understood.

When asked whether the MMM has a strategy for the use of SI during service delivery (semi-structured interviews, question 5, section A, Attachment A; focus group discussions, question 2, section A, Attachment C), some semi-structured interview respondents were not sure, others said that a strategy as such does not exist, and some focus group respondents felt that there might be such a strategy. With reference to how this strategy is implemented (semi-structured interviews, question 6, section A, Attachment A; focus group discussions, question 7, section A, Attachment C), some focus group respondents mentioned the (2011–2016) IDP, the draft 2040 Mangaung Growth and Development strategy (aligned with the 2030 Free State Provincial Growth and Development Strategy and the 2030 National Development Plan), as well as respective MMM departmental strategies as vehicles for the implementation and use of SI by the MMM. In turn, semi-structured interview respondents noted that the MMM does have initiatives underway that could be classified as part of implementing SI. These include the draft Youth Development Policy (Mangaung Metropolitan Municipality 2015), which allows youth *"to raise their concerns or the issues in terms of service delivery"*, and lets the department determine how best to deal with such service delivery issues and engage youth in terms of how the department can work together with them.

Question 7 (semi-structured interviews, Attachment A), asked the officials how the use of SI during service delivery is institutionalised within the practices of the MMM administration. Despite support for the use of innovation at a political and strategic level, the use of SI does not appear to be institutionalised within the practices of the administration. Instead, campaigns are being planned, for example the mayoral innovation awards, which encourage citizens to be innovators and which is part of a draft plan that requires input from all departments. Respondents noted that although SI is not institutionalised within the practices of the administration, the environment exists for the municipality and different departments to use it because of a constant search to find better ways of providing *"specific services to service communities"*.

The level of citizen participation when SI is used during service delivery by the MMM (semi-structured interviews, question 8, Attachment A; focus group discussions, question 4, Attachment C) appears to differ per ward or neighbourhood of the MMM. For example, when community-based planning was carried out in the northern neighbourhoods of MMM, citizens would not only identify problems, but would also identify solutions and present plans to address such problems. This level of citizen participation is attributed to the fact that the majority of citizens residing in the northern part of the MMM are professionals (lawyers, medical doctors, professors, and lecturers) from influential sectors who group themselves and participate actively in the ward committee. The level of citizen participation in the northern neighbourhoods is further oriented towards one-on-one consultations with their ward councillor. The ward councillor, in turn, would have citizen inquiries serve *"in the council for an immediate answer"*. Such requests are made through the *"process of or the request for access to information"*.

It was contended that the level of citizen participation also entails citizens providing the MMM with solutions. It was noted that how citizens identify solutions to service delivery problems also differs between the different neighbourhoods. In southern neighbourhoods such as Thaba Nchu, the traditional authority system still applies, where, instead of consulting with the ward committee, the preference is to consult with the *“traditional authority who will give the municipality a letter concerning community needs”*. It was also noted that citizens mainly participate in identifying solutions to service delivery problems in their own wards and in relation to services that are salient to them. In the southern neighbourhoods, the level of citizen participation is most often in the form of mass meetings that are conducted in an informal and open manner. Although the responses indicated that SI is used more during the planning stages of service delivery, the use of SI outside the parameters of ward-based planning or community-based processes does not seem to be the norm.

Focus group respondents remarked that *“the level of participation is quite high”* in general. Especially issues that are salient to citizens (as echoed by the semi-structured interview responses) would elicit an increased level of citizen participation. An example of this is the participation of informal traders during consultations by the MMM concerning informal trade regulations, and by-laws relating to informal trading and hawkers. During consultations with citizens concerning development issues pertaining to the IDP, however, the level of citizen participation is not as good. It was suggested that the level of participation is low because *“citizens tend to think it’s very technical, very academic, something which is beyond their own understanding”*. Furthermore, the lack of citizen participation is attributed to a loss of interest by citizens in activities of the MMM because (i) these meetings are held in a language that citizens do not understand and (ii) citizens are not given extensive feedback. It was noted that citizens sometimes feel that attending these meetings is of no use and that it does not help to participate, whilst some citizens participate and raise their concerns, most of which are complaints.

The nature of citizen participation during SI when it is used by the MMM for service delivery (semi-structured interviews, question 9, Attachment A), was proposed as collaborating with the MMM to improve aspects of service delivery challenges requiring extensive citizen participation, providing solutions, and making proposals. It was further mentioned that citizens should *“know and have an understanding of what is happening”* in the area in which they reside in order to participate meaningfully. It was argued that meaningful participation requires citizens to be able to distinguish between services that are delivered by the MMM and those delivered by national and provincial government departments. The contention was that citizens’ misconception concerning the MMM delivering a service that is in fact a competency of a national or provincial government department, could influence citizens’ attitude towards participating in SI when it is used by the MMM. It was argued that the MMM should facilitate citizen participation through *“someone external to the municipality”*, since the use of SI should be extensive. It was further suggested that citizen participation during the use of SI should be aimed at obtaining the buy-in of communities to collaborate with the MMM.

#### 6.4.2 The nature of co-production during the use of social innovation in service delivery by the Margaung Metropolitan Municipality

Question 10 (semi-structured interviews, Attachment A) asked the officials how the MMM views the concept of co-production, including the stages of co-planning, co-design, co-delivery, and co-evaluation. It was noted that the use of co-production during service delivery is perceived as the outsourcing of services by the MMM, that is, when the municipality uses another service provider to provide a service on its behalf. It was stated that the MMM incorporates the co-production of services into the planning of services. Respondents contended that the co-designing of services also occurs with the participation of citizens, yet argued that it is not possible to have all citizens participating in the co-design of services. It was highlighted that the co-design of a service includes understanding what the type of services are that citizens want, and the ward representatives and ward committees likewise represent these needs of citizens per ward.

In response to the question, "What is your understanding of the concept of 'co-production' when it comes to LG service delivery?" (focus group discussions, question 5, Attachment C), co-production appeared to be new to some focus group respondents whilst familiar to others. The latter viewed SI as working together with *"the community to come up with the ways and means of how to deal with the service"* and as citizen participation in the *"co-delivery, co-planning, co-evaluation"*, and co-design of services. Furthermore, working with the private sector was regarded as important when using co-production, and could include *"capped or reduced rates"* for private-sector businesses. As a result, using co-production should incorporate *"a give-and-take situation"*, tailor-making the situation to benefit the MMM to achieve a *"win-win situation"*. As such, its use was perceived as emanating from policy frameworks such as the White Paper on Local Government of 1998 and the White Paper on Public-Private Partnerships, the latter of which promotes alternative service delivery methods that put the municipality in a position *"to create partnerships with the non-governmental [organisations], your social enterprises, and so on"*. *"Pulling resources from government and another partner"* was therefore regarded as integral to the use of co-production. However, the co-production concept was identified as a challenge for LG, and a mind shift is therefore required *"within a municipality to involve the community in that way"* and to *"trust the public to do your work"*. A sentiment that *"now the public is doing our job, which might be seen as negative"* was put forward as the rationale behind such a mind shift. It was emphasised that *"we all live in one city or town and I do believe we must involve people more in things [...] even just to clean up your neighbourhood"*. The use of co-production during LG service delivery is therefore described as requiring *"a symbiotic relationship between politicians and the administration, and an ecosystem that exists and runs"*.

To questions 11 and 12 (semi-structured interviews, Attachment A) and questions 6 and 7 (focus group discussions, Attachment C), regarding whether the MMM have a strategy for the co-production of services and how it is implemented, the following responses were given. Some semi-structured interview and focus group respondents were not sure about the existence of a co-production strategy, but were of the view that the MMM is

able to involve the “community in almost everything that a municipality is doing”, which “can go hand in hand with co-designing with them and co-planning with them”. It was remarked by interview respondents that the MMM involves citizens in everything, but the question remained: “are they willing to participate, are they willing to participate fully and that their contributions do not have an individual focus but focus on the community”? Other semi-structured interview respondents stated that the MMM does not have an explicit co-production strategy but the stages of co-production, namely co-planning, co-design, co-delivery, and co-evaluation, are embedded in the IDP of the municipality, and that citizens are participating in these stages. Some focus group respondents similarly confirmed this lack of co-production strategy, but acknowledged that some programmes conform to the co-production of services, for example the “adopt-a-park policy”. In contrast, some interview respondents suggested that co-producing services with citizens is something that the municipality could do but that does not occur. Even so, it was noted that the MMM is open to citizens’ participation in the co-production of services, which could be used to ensure that the private sector feels part of the city.

Focus group respondents argued that a co-production strategy could be partly in place, since citizens are involved in service delivery decisions in respect of their service delivery needs, but that citizens are not involved in the attainment of a particular goal: “they are not involved right throughout the process of co-production”. Other participants suggested that the MMM has a strategy for the co-production of services, and that citizens raise their service delivery needs during service delivery planning by the MMM. Contrary to this, it was indicated that during the IDP process, citizens are not involved in the co-design of services but would complain when services are not delivered to their satisfaction. Citizens’ complaining was attributed to their not taking ownership of infrastructure and facilities provided by the municipality, for example parks, that were not “planned and designed together with citizens”.

Examples of co-production predominantly included the management of municipal infrastructure by external parties. A first example provided was the contract between Vodacom and the Rugby Union, where these two institutions take care of the stadium although it belongs to the MMM. A second example was the collaboration agreement with the University of the Free State’s Faculty of Agriculture, who uses and manages an incubation farm as part of a farmer support programme. It was argued that co-production could be an old concept with which the MMM administration is familiar. In some spheres, it might even be referred to as “social growth”, which forms part of public-private partnerships in the province.

Question 13 (semi-structured interviews, Attachment A) and question 8 (focus group discussions, Attachment C) asked officials how co-production is applied by the MMM when SI is used during service delivery. Semi-structured interview respondents asserted that co-production appears to be used by the MMM during the co-planning of services as part of the IDP process. This co-planning stems from compliance with legislative requirements for public participation and budgeting. It was noted that public hearings, which are aimed at interacting with citizens

per ward, are held to ascertain their service delivery needs during these IDP planning meetings. The MMM also held a series of meetings with citizens in relation to what the *“municipality will be implementing during the course of this financial year”*. During these meetings, the municipality shares its plans on *“taking the city forward”* and on partnering with the private sector, developers in the city, prospective contractors, and investors. Similar meetings are used by the MMM to find up-to-date and innovative ways of responding to the needs citizens identified during the public hearings.

Concerning the co-design of services (second stage in the co-production service delivery cycle, Figure 2), focus group respondents remarked that from the conceptual stage of a project, when the plans are developed, up to its implementation, extensive consultations were held with beneficiaries. In this regard, projects in the central business district, such as the redevelopment of Hoffman Square, cited. Consultation included, amongst other things, the design of informal hawking stalls. To ensure that these stalls are user friendly, the informal traders' needs were assessed. These included a counter, a place to wash their hands if they sell food, shading, and ablution facilities. Regarding the co-delivery of services (third stage in the co-production service delivery cycle, Figure 2), respondents made reference to waste collection being done by small and medium enterprises, and service providers who are rendering services *“within the fresh produce”* sector on behalf of the MMM. Focus group respondents considered the outsourcing of services as part of co-delivery. Such outsourcing is embarked on due to capacity constraints within the municipality.

Contrary to the view of some focus group respondents that citizens participate in the co-design of services, others were of the opinion that citizens do not participate in the design of service delivery outcomes or in the monitoring or evaluation of services. In respect of the co-evaluation of services, it was noted that because public participation is coordinated through the Speaker's Office, departments are not allowed to contact citizens, so whatever the administration wants to do should be coordinated through the Speaker's Office. Focus group respondents remarked that evaluation can also occur indirectly, for example through the number of complaints that are received concerning a service. These complaints could serve as indication of whether there is a problem with the particular service. In this regard, the MMM has a monitoring and evaluation unit that communicates with other departments in respect of *“faults in that specific day that we need to follow up, and citizens also phone the call centre when there is a problem”*.

Question 14 (semi-structured interviews, Attachment A) asked what the nature of citizen participation could be during co-production when it is used by the MMM for service delivery. It was noted that citizen participation should be meaningful and aligned with a *“common goal”* and a common *“understanding in terms of developing the community”*, not merely individual citizens *“wanting to pursuit [sic] their own goal”*. Further, it was proposed that there should be a focus on incorporating citizens more in the co-designing of services and that citizens should become delivery mechanisms on behalf of the municipality through the co-delivery of services.

### 6.4.3 The influence of local governance systems on the use of social innovation during local government service delivery

Question 9 (focus group discussions, Attachment C) was posed to discuss the officials' view on citizens' participation in the MMM's decision-making processes regarding service delivery. Different platforms, such as the business forum and tourism forum (which collapsed), *"are identified as the most important platforms where the citizens can actually be engaged, take decisions, and influence [the] implementation of certain programmes"*. Also important are the IDP forums, which are made up of the officials from the various MMM departments, the *"provincial government, and other stakeholders"* such as *"academic institutions and civil movements"*. Although citizens are of the view that they should participate, they also expect ward councillors to represent their needs.

It was indicated that citizens occasionally expect things that are not possible, but through meetings and discussions with the administration, the community comes to realise what is attainable and what is impossible. One such realisation was that decision-making is a process that happens in phases and that some decisions cannot be taken with citizens but reside with the council. Although the MMM will attempt to incorporate inclusive citizen participation in service delivery decision-making processes, during which citizens can *"air their views"*, the full authority concerning decision-making is vested in the council. This situation causes a lot of frustration for citizens, and often leaves them feeling unwilling to attend meetings, as decisions are taken by *"people who don't even have the interest of those citizens at heart"*.

Question 10 (focus group discussions, Attachment C) and question 16 (semi-structured interviews, Attachment A), asked officials to what extent the use of SI during service delivery by the MMM is compatible with its governance system. Whilst respondents from the semi-structured interviews held the view that this use of SI is compatible with its governance system, focus group respondents suggested that the MMM is not doing enough to facilitate citizen participation in service delivery decision-making. This is regardless of the fact that it is a legislative requirement for citizens to participate in, amongst other things, the IDP and as such are consulted extensively, as noted by the focus group respondents. The latter remarked that citizen participation in the IDP and budgetary processes allow citizens to comment, make input and provide advice. Thus, citizens are afforded the same opportunity to make comments when the MMM makes presentations concerning the setting of tariffs and rates, but it is only the *"business people"* who participate and not *"community members"*. Focus group respondents thus argued that apart from the IDP process, more should be done to ensure that *"everybody is part and parcel of decision-making"*. However, it was noted by focus group respondents that citizen participation in service delivery decision-making processes could prolong decision-making and affect officials' ability to meet the deliverables of their performance contracts.

Interview respondents considered the use of SI during service delivery as complex given the political arm that serves as citizens' representative. Owing to this, interview respondents were of the view that the political arm of

the council takes decisions with citizens and then delegates these decisions to the administrative arm of the council. Focus group respondents, meanwhile, emphasised that what councillors, as citizens' representatives, convey to the administration is not sufficient and that the MMM should engage with the community in order to take decisions.

Question 11 (focus group discussions, Attachment C) asked officials to what extent the administration uses SI during service delivery? Respondents indicated that the use of SI during service delivery requires a policy decision, and then only can the administration engage citizens regarding services. It was explained that departments cannot simply have meetings with citizens, since the process of public participation and engaging citizens concerning service delivery is coordinated by the Office of the Speaker. However, MMM departments can respectively engage citizens through education and awareness programmes pertaining to the services that they deliver. It was noted that the coordination of these activities by the Speaker's Office directly affects the ability of individual departments to timeously respond to citizens' service delivery complaints. These departments often only receive coordinated instruction three months after complaints were initially reported to the Speaker's Office. Focus group respondents noted that what stands out about these complaints is that *"they are merely complaints, but [do] not include any innovative suggestions to improve service delivery"*. It was suggested that the best way for the administration to use SI is through the creation of relevant platforms, such as tourism forums, where the administration can have consultations with academics, private citizens, and business people. Regular consultations between academia and the MMM officials were likewise highlighted as important for the administration's use of SI, particularly in respect of work-integrated programmes and influencing academic programmes through which students are trained.

Question 12 (focus group discussions, Attachment C) and question 15 (semi-structured interviews, Attachment A) asked participants about the role of the Free State province in terms of the MMM's capacity to use SI during service delivery. Focus group and semi-structured interview respondents indicated that the Free State provincial government has an important role to play with reference to cooperative governance (Chapter 3 of the Constitution), and it is therefore important *"for the province to collaborate and share and partner"*, because of shared concurrent and functional areas such as *"tourism, economic development, and museums"*. The role of the Free State Provincial government was also seen as providing *"human or financial resource capacity"* to municipalities to perform their own duties. The provincial government *"would assist in helping the municipalities in availing [sic] some funds for EPWP, where people on the ground are employed to do the service on behalf of the municipality"*, and would assist in terms of job creation.

## **6.5 CITIZENS' PERSPECTIVE ON SOCIAL INNOVATION AND SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY**

Section 6.5 represents the citizens' perspective in terms of the thirteen questions posed during the two focus group discussions (see Attachment D). The responses to section C (questions 11 to 13), will be presented in Chapter 7. The respective sections of the question schedule are as in Chapter 5, section 5.5.

### **6.5.1 The nature of citizen participation during social innovation in service delivery by the Mangaung Metropolitan Municipality**

Question 1 (Attachment D) probed the citizens with regard to their understanding of the concept of “citizen participation in service delivery” when it comes to service delivery by the MMM. Respondents attributed their participation in service delivery to the protection and preservation of the country and stated that this is a responsibility that rests with all citizens. Thus, it was recommended that there should be a sense of responsibility amongst citizens to address one another concerning service delivery. This responsibility includes keeping neighbourhoods clean and sensitising businesses in the neighbourhood about their responsibility to keep the areas in front of their businesses clean. Respondents were, however, of the view that some South African citizens fear exercising this responsibility and “*fear participation in service delivery*”, which is attributed to the “*race card*” that is often played when South African citizens reprimand fellow citizens in respect of service delivery.

Respondents also associated citizen participation in service delivery with the establishment of forums in which they can participate, ward committee meetings, and open council meetings. It was recommended that the MMM should consult regularly with citizens through the established forums or meetings, and should be open with citizens concerning new developments affecting them in their neighbourhoods. It was noted that their participation can be facilitated through more open council and ward committee meetings, during which citizens can bring up specific service delivery problems. Unfortunately, it was noted that ward committee meetings have not been held over the past two years and in some cases, respondents were not even aware of who their ward councillor is. Although citizen participation is also seen as being involved in budgetary processes concerning service delivery for the ward and in making proposals concerning service delivery, respondents were not sure to whom proposals should be submitted, and they mentioned that the municipality can be more sympathetic to citizens’ needs. Paying for municipal services used is highlighted as integral to citizen participation in service delivery, but a culture of non-payment for basic municipal services is prevalent.

Question 2 (Attachment D) asked whether the MMM allows citizen participation in its decision-making processes when it comes to service delivery, and question 3 (Attachment D) required respondents to motivate their answer to question 2. It was noted that citizens do not participate in service delivery decision-making processes, but respondents from Ward 23 remarked that with the new ward councillor, they “*can see something happening*” because they receive regular “*SMSes*” from the ward councillor. This councillor has also requested citizens to provide assistance with certain services. Some respondents indicated that they received information concerning service delivery decision-making processes through the media, such as the radio and newspapers. Even so, it was remarked that MMM officials neither react to nor make contact with citizens, although the respondents would like to have such direct contact and emphasised the importance thereof. Hence, respondents indicated that they are not always aware of how they could be involved in decision-making processes when it comes to service delivery. It was suggested that the City Planning Department should do a comprehensive presentation to citizens about its

current projects as well as on how to establish a more effective way of involving citizens in decision-making processes.

A follow-up question was posed to give the respondents the opportunity to illustrate their participation in decision-making processes of the MMM through examples (question 4, Attachment D). Unfortunately, none of the respondents could recall examples of how they have participated in service delivery decision-making processes of the MMM.

Questions 5, 6, and 7 (Attachment D) probed respondents' understanding of the concept of SI when it comes to LG service delivery. It was indicated that *"innovation means change and the change that citizens see in service delivery"*. Social innovation was described as the public's or the municipality's involvement with citizens, doing things differently, which means *"to think out of the box, to have citizens delivering and receiving services"*. Respondents indicated that they have not participated in SI during service delivery by the MMM. This was attributed to a lack of leadership by the municipal council, no communication between citizens and the municipality, and their own lack of willingness to participate in service delivery initiatives. It was noted that citizens are willing to participate in SI, to provide assistance in respect of service delivery, and to start service delivery initiatives. However, respondents were not sure whether they were expected to come forward with an initiative in respect of SI, and they questioned the willingness of the MMM to support their initiatives.

#### **6.5.2 The nature of co-production during the use of social innovation in service delivery by the Mangaung Metropolitan Municipality**

Question 8 (Attachment D) asked respondents in which of the stages of the co-production of services (co-planning, co-design, co-delivery, and co-evaluation) they have participated. In question 9 (Attachment D), those respondents who had participated in any of the stages of co-production had to support their response with an example. In question 10 (Attachment D), the respondents were probed regarding the nature of this participation, and whether their participation in the co-production of this service was to find or to plan, design, or deliver an innovative solution to a service delivery problem. Unfortunately, none of the respondents could provide examples of their own participation.

The lack of participation in the co-planning of services was attributed to the lack of communication between the municipality and citizens. Although respondents learn of scheduled IDP meetings through newspaper adverts, perceptions exist that the municipality has already taken service delivery decisions before these meetings. With regard to participation in the co-design of services, respondents noted that they were not aware whether citizens from other wards participated in this. However, although not in their neighbourhoods, participants were aware of citizens co-delivering the maintenance of a park in two neighbourhoods, one of which is Langenhovenpark. In the case of Langenhovenpark, the citizens initiated the co-delivery of the maintenance of the park, and the MMM

provides assistance. Thus, it appears that if citizens are prepared to participate in the co-production stages, then it is expected that the municipality should also be prepared to make a contribution. Respondents noted that they have not participated in the co-evaluation of services with the MMM, and were also not aware of citizen participation in such co-evaluation in other wards. It was remarked that when services are co-evaluated, the municipality should at least process these evaluations and make a concerted effort to consider feasible suggestions.

## **6.6 A CRITICAL ANALYSIS OF THE CASE OF MANGAUNG METROPOLITAN MUNICIPALITY**

Section 6.6 presents a critical analysis of the case of the MMM in respect of the findings and with consideration of the conceptual and theoretical frameworks (Chapters 2 and 3). This critical analysis highlights significant findings regarding objectives ii (the extent to which citizen participation underpins SI during LG service delivery) (section 6.6.1), iii (the nature of co-production in SI during LG service delivery) (section 6.6.2), and iv (the extent to which governance systems influence the use of SI in LG service delivery) (section 6.6.3).

### **6.6.1 Determining the extent to which citizen participation underpins social innovation during local government service delivery**

The academic, MMM officials, and citizens were consistent in respect of the value and the importance of citizen participation as a variable in the use of SI during LG service delivery in the conceptual framework. Although citizens in the case of the MMM appeared to participate in the planning and occasionally in the delivery of services, their participation is lacking in respect of the design and evaluation of services. This lack of citizen participation is exacerbated by the sentiment amongst some officials and the academic that citizen participation during the use of SI can be replaced by administrative hegemony and decision-making by politicians. Prolonged decision-making and the potential of citizen participation to adversely affect the timely attainment of targets and deadlines underlie this sentiment amongst some officials and the academic. The participation of citizens in the case of the MMM therefore partially reflects the definition of SI as per the conceptual framework in section 2.4.

The view of officials was not consistent with how SI is defined in the conceptual framework in terms of the use of co-production and a conducive governance system. Additionally, the use of SI by the MMM is incongruent with how the use of SI in LG service delivery is defined in this study. Public value does not seem to be created through the use of SI, and there is a lack of conducive governance systems where both decision-making power and responsibilities are shared with citizens. This appears to be influenced by the internal organisational context, which does not seem to be optimal for enhancing the use of SI during service delivery by and throughout the administration. The use of SI by the MMM therefore appears to be inconsistent with its conceptualisation for the purpose of this study, and when it is used, it occurs in the absence of an explicit SI strategy.

Although the IDP is considered by some officials as a strategy for advancing the use of SI by the MMM, the lack of an explicit strategy is inconsistent with an internal organisational context that would encourage the use of SI for

service delivery (Pojasek 2013:84–85; Stojanovic 2016). Although the absence of such an explicit strategy would not deter the use of SI by the administration, the centralisation of public participation through the Office of the Speaker seems to have more of a deterring influence on the use of SI by the administration. Together with this, the use of SI by the respective departments is not only inconsistent but also lagging in the MMM. Against this background, a critical analysis is provided of the nature of citizen participation during SI in service delivery by the MMM.

#### 6.6.1.1 Academic's, officials', and citizens' understanding of the concept of social innovation when it comes to local government service delivery by Mangaung Metropolitan Municipality

In the case of the MMM, it was evident that although citizens and officials might not always share a common understanding in respect of the use of SI during service delivery, they share commonalities concerning citizens' participation during the use of SI. These commonalities include a civic responsibility in respect of taking care of public facilities and open spaces, and keeping the environment clean, and in respect of interaction and communication between citizens, politicians, and the administration. Yet administrative hegemony seems to be dominant in respect of the use of SI during LG service delivery, and it appears that officials do not yet realise that citizen participation is fundamental to the use of SI during service delivery by the MMM. This appears to be inconsistent with the notion that citizen participation should be central to the use of SI during service delivery, and contrary to how citizen participation during the use of SI in LG service delivery is located in literature and conceptualised in this study. Even so, the case of the MMM illustrates that the use of SI during service delivery also requires the LG administration and politicians to build a relationship with citizens. This relationship between the administration, politicians and citizens appears to be a new area of interest in the case of the MMM and has the potential to replace the administrative hegemony during the use of SI.

The conceptualisation of SI during service delivery in the case of the MMM is associated with citizens seeing a change in service delivery, involvement and interaction between citizens and the MMM, the identification of solutions and giving of advice with the potential for addressing problems in the community, as well as synergies and interactions between politicians, citizens, and the LG administration. Identifying solutions and giving advice with the potential for addressing problems in the community, as well as synergies and interactions between politicians, citizens, and the LG administration, are confirmed by Moore (1995, cited in Teicher *et al.* 2006:87) as important during the creation of public value (section 2.3.1.1). Furthermore, the visibility of change in service delivery that citizens want to see when SI is used is similarly consistent with the impact of such services or the public value that is created through the use of SI. The creation of public value is a fundamental variable in conceptualising the goal-oriented nature of SI. This connotation of the concept of change is consistent with the goal-oriented nature of SI as explicated in the conceptual framework in section 2.4 (Economic Co-operation and Development [OECD] 2014; Mulgan 2006:146; Pol & Ville 2009:881; Hart, Jacobs, Ramoroka *et al.* 2014:s.n.). Conversely, the reference to the identification of solutions and advice with the potential for addressing problems in

the community, as well as synergies and interactions between politicians, citizens, and the LG administration, are consistent with the process-oriented nature of SI as described in the literature in the conceptual framework (section 2.3.1.2) (OECD 2014; Mulgan 2006:146; Pol & Ville 2009:881; Hart, Jacobs, Ramoroka *et al.* 2014:s.n.).

A significant recurring theme in the understanding of the academic, MMM officials, and citizens is the importance not only of citizen participation but of the creation of public value. This emphasis on the creation of public value is consistent with the idea of such value as a crucial part of the conceptual framework for the use of SI in LG service delivery, as illustrated in Figures 3 and 5 and as explicated in sections 2.3.1.1 and 2.4. Hence, the creation of public value, which is seen in the conceptual framework as underpinning the use of SI during LG service delivery and as a fundamental outcome of this use of SI, was confirmed by the academic, the officials, and the citizens. Against this background, it is clear that the academic, citizens, and officials, considered the use of SI during service delivery a process for achieving service delivery goals by the MMM, and for creating public value. What can be learnt from this case is that the creation of public value is highly unlikely in the absence of an internal organisational context that harnesses this as the objective of the use of SI during service delivery.

#### 6.6.1.2 Understanding of the concept of citizen participation in service delivery by the Mungaung Metropolitan Municipality

Citizen participation in the case of the MMM is consistent with how citizen participation is conceptualised in section 2.4, namely as service users and stakeholders who participate in the co-production of services at the levels of voice, choice, contribution, and control. In this case, citizen participation happens within the micro and macro environments and is centralised through the Office of the Speaker. Even so, citizen participation during service delivery appears to be influenced by a perception that attending MMM service delivery meetings is unnecessary due to a lack of responsiveness from the MMM. In relation to the lack of responsiveness, the theoretical framework (section 3.4.3) highlights that a lack of citizen trust in SI is one of the factors impeding the use of SI (Figure 10). Another factor in the theoretical framework, namely a lack of willingness amongst citizens to participate in SI (section 3.4.3), is also visible in this apathy of citizens towards participating in SI and attending service delivery meetings.

Against this background, the case of the MMM illustrates that citizens' perception of the municipality's responsiveness to their service delivery needs could influence their participation. This perception expressed by citizens implied that they lack confidence and/or trust in the MMM. The root of this problem should be addressed within the internal organisational context of the municipality. In this regard, the theoretical framework (section 3.4.3) confirms that municipalities have a responsibility to sustain citizens' confidence in their ability to meet service delivery needs (also supported by Stumbraitė-Vilkišienė 2011:4). In addition, the theoretical framework (section 3.4) highlighted that the responsibility is on LG to build the public's trust in the services it provides by engaging in democratic dialogue with citizens, by being accountable, and by following transparent processes (Loffler 2005:169,

cited in Öktem 2014:753; Hyden 1992, 2000, cited in Ratha & Mahapatra 2013:4). Further, this responsibility of municipalities confirms that the actions they undertake that underpin the use of SI in LG service delivery are fundamental to an internal organisational context that harnesses the use of SI during LG service delivery (section 3.4.2).

Similar to the municipality's lack of responsiveness deterring citizen participation, this case illustrates that the centralisation of public participation in service delivery deters individual departments from consulting with citizens on an ad-hoc basis. These deterrents point to an internal organisational context that is not conducive to harnessing citizen participation in SI. Hence, this case emphasises the importance of the internal organisational context in harnessing citizen participation, as illustrated in the theoretical framework (section 3.3). Furthermore, this case highlights, as outlined in section 3.4.2, the importance of the internal environment conditions, namely (i) fostering the right organisational attitude and culture amongst LG administrators, (ii) systems and processes that support SI, (iii) collaboration and partnerships with citizens, and (iv) management and visionary leadership (OECD 2011:99; Voorberg *et al.* 2013:3).

The case of the MMM demonstrates that both citizens and the administration identify a sense of responsibility amongst citizens as fundamental to their participation in service delivery. Citizens also saw their participation in service delivery as being regularly consulted by the MMM, being able to submit proposals concerning service delivery, receiving feedback from the municipality, and participating in ward budgetary processes concerning service delivery. In the case of the MMM, citizens acknowledged the importance of their participation during the stages of service delivery, namely co-planning, co-design, co-delivery, and co-evaluation. Citizens identified ward committee meetings and council meetings as mechanisms to facilitate their participation. The fact that citizens acknowledged their participation appears to be consistent with the views of Osborne and Strokosch (2013:31). These authors maintain that citizens have become central to the public service delivery cycle through co-production, which has been prioritised as an important element in the third school of thought – the dual purpose of SI (section 2.3.1.3; Figure 2).

Yet the case of the MMM shows that if the administration does not acknowledge the importance of citizen participation during the respective stages of the service delivery cycle, it could deter citizens from participating and from making meaningful contributions during the service delivery stages. In this regard, Stenvall *et al.* (2014:25) affirm that the administration should recognise that it does not have all the knowledge or solutions regarding the circumstances of service users. Through citizen participation in the co-production of services, the administration can acquire additional information about these circumstances in order to plan and enhance the delivery of services (Brudney & England 1983; Pestoff 2006, cited in Osborne 2010b:6). Even so, in this case, the level of citizen participation through voice, choice, contribution, and control is not consistent during the service delivery stages. Upon analysis, during service co-planning citizens seem to participate more through voice and choice, with citizen

participation during service co-design lagging. During service co-delivery, citizens participate through contribution, and during co-evaluation, they do so through voice and choice.

The case of the MMM shows that citizen participation through voice, choice, contribution, and control during the respective service delivery stages requires an internal organisational context that would harness such participation. In the case of the MMM, citizens do not exercise voice, choice, contribution, or control in the evaluation of services, which is explained by the fact that citizens do not participate in this stage of the service delivery cycle. Participating in the co-evaluation of services delivered by the MMM would enable citizens to provide input concerning service improvements. However, citizen participation in this case does not seem to be consistent with the view of Osborne and Strokosch (2013:37), namely that citizens should exercise control in respect of decision-making processes pertaining to the selection, regulation, and commissioning of the delivery mechanisms for services. This case highlights and illustrates the fundamental importance of the internal organisational context consisting of (i) actions underpinning the use of SI in LG service delivery, (ii) the LG internal environment conditions for SI, and (iii) factors impeding the use of SI by LG, in harnessing citizen participation during the use of SI in service delivery (Figure 10).

#### 6.6.1.3 Social innovation strategy by the Marga Mangrove Metropolitan Municipality and its implementation

Apart from the lack of an explicit SI strategy, the participation of citizens during the use of SI is centralised in the Public Participation Office of the Speaker. Whilst some officials refer to initiatives that are underway and that could be classified as part of SI, the academic and some officials identified the IDP (2011–2016), the draft 2040 Marga Mangrove Growth and Development Strategy, and departmental strategies as vehicles for the implementation and use of SI by the MMM. However, although these strategies exist, officials did not report the consistent use of SI during service delivery. Thus, the case of the MMM demonstrates that the absence of an explicit SI strategy could potentially deter the use of SI in general by the MMM as well as its institutionalisation within the practices of the administration. Moreover, this case establishes that an explicit SI strategy is instrumental in determining how the use of SI during LG service delivery could be harnessed through the internal organisational context.

This case shows the importance of the type of actions that should underpin the implementation of SI, and the internal environment conditions necessary to implement an SI strategy, namely (i) the fostering of the right organisational attitude and culture amongst LG administrators, (ii) systems and processes that support SI, (iii) collaboration and partnerships with citizens, and (iv) management and visionary leadership (section 3.4.2). The factors impeding the use of SI by LG, as highlighted in the theoretical framework (section 3.4.3), should also be addressed through an explicit SI strategy. The case of the MMM further illustrates that the absence of such an explicit strategy has consequences for its consistent use by the respective departments across the stages of the service delivery cycle. Moreover, the lack of this strategy does not contribute to a mutual understanding concerning the conceptualisation of SI, the MMM's vision in respect of the use of SI, and the administration's use of SI during

service delivery. This lack of a mutual understanding is evident from the fact that the majority of the officials could not articulate their understanding of SI or conceptualise what the use of SI during service delivery entails. Nor could the officials articulate a shared understanding of how the MMM views the concept of SI and its use during service delivery. In conclusion, the case of the MMM shows that without a strategic vision and strategy for the use of SI during service delivery, its use and institutionalisation within the practices of the administration are unlikely.

#### 6.6.1.4 The level of citizen participation when social innovation is used during service delivery by the Mangaung Metropolitan Municipality

Citizen participation is defined in the conceptual framework (section 2.4) as the participation of citizens (voters, service users, organised partners) in the planning, design, delivery, and evaluation of services by LG, whether through voice, choice, contribution, or control. Citizen participation and the levels thereof in the case of the MMM seem to be consistent with this conceptualisation. Of note regarding the level of citizen participation is that it appears to be influenced by the divergent needs as well as the willingness of citizens to participate in deriving solutions to their service delivery needs. Moreover, this level of citizen participation during the use of SI appears to be influenced by the openness of the MMM (administration and politicians) to citizen participation. In relation to voice, citizens who participated could articulate their preferences in terms of service planning or provide feedback when services were evaluated, which is consistent with the conceptual framework of this study. In respect of choice, it appears that citizen participation occurs during their participation in the IDP process and articulating their service delivery needs. This seems to be consistent with the conceptualisation of choice in Chapter 2, which involves citizens choosing from available options and exercising discretion (Wilson 2009:572; Bourgon 2010:201; Hirschman 1970, cited in OECD 2011:39).

Although contributions in the forms of experiences, information, skill, resources, and knowledge seem to be lagging in general, it does appear to be consistent with the conceptual framework. In terms of control, within both the micro and macro environments, citizens participated in service delivery decision-making processes, which is consistent with the conceptual framework of this study, in which control entails citizens taking decisions regarding services and their commissioning (Osborne & Strokosch 2013:37). However, concerning the commissioning of services, citizens exercise control partially through the co-delivery of services, but they are not part of the commissioning of services and the appointment of service providers. Against this background, this case shows that citizens can exercise partial control by predominantly being involved in decision-making regarding service delivery but not in the commissioning of services. Even so, these citizens' limited participation in the commissioning of services and the appointment of service providers does not appear to be out of choice but rather seems to be a direct result of the local governance system.

In the case of the MMM, the participation of citizens during the planning of services has not increased their ability to find solutions to societal and service delivery problems. This is contrary to how citizen participation during the

use of SI in service delivery is explicated in literature (Jiménez Escobar & Morales Guetiérrez 2011:38; Jing & Gong 2012:234; Kattel *et al.* 2013:s.n.). As such, citizens predominantly participated in the planning of services. This did not increase the capacity of citizens, as new actors and as organised partners, to identify and implement solutions to service delivery challenges. The case of the MMM shows that the participation of citizens as organised partners in merely one stage of the service delivery cycle does not automatically expand their capacity to make meaningful contributions to identifying and implementing service delivery solutions.

Conversely, this participation of citizens in merely one stage of the service delivery cycle also draws attention to their capacity to participate in the respective stages of the service delivery cycle. The case of the MMM points out that citizens should have the capacity, in respect of the levels of citizen participation (voice, choice, contribution, and control), to participate in the respective stages of the service delivery cycle. Consequently, this case underlines that citizen participation during the use of SI in service delivery is underpinned by citizens' capacity to participate and make meaningful contributions. Hence, significantly, whilst some citizens might have the capacity to co-plan and co-design a service, the same citizens who participate in these stages might not have the capacity to participate in the co-delivery of a service. The administration is therefore instrumental in facilitating citizens' participation in line with their capacity, and should facilitate the empowerment of citizens to develop that capacity. Equally, the local governance system is instrumental in facilitating citizens' capacity to make meaningful contributions.

The openness of the municipality to citizen participation at the respective levels (voice, choice, contribution and control) is equally important in the use of SI to improve service delivery. In this case, it appears that the underlying lack of citizen participation at some of the levels of citizen participation was not due to citizens' lack of capacity to make meaningful contributions. Instead one of the underlying reasons is the lack of openness to citizen participation by the MMM's administration and its local governance system.

### **6.6.2 Determining the nature of co-production in social innovation during local government service delivery**

In this case, the nature of co-production was determined in respect of its use during SI in service delivery. In the conceptual framework (section 2.4), co-production is defined as citizen participation during the planning, design, delivery, and evaluation of services by LG. Co-production was measured through the following concepts: service co-planning, service co-design, service co-delivery, service co-evaluation, citizen participation, and service transformation. In the MMM, when SI is used during service delivery, the use of co-production appears to be consistent with how co-production is defined in the conceptual framework, as it encompasses citizen participation and also resulted in the transformation of services. Yet citizens seem to participate predominantly in the co-planning of services, and their participation is lagging in the co-design, co-delivery, and co-evaluation of services (see section 6.6.2.4). Owing to this, citizens do not participate at the same level (voice, choice, contribution, and

control) during the co-design, co-delivery, and co-evaluation of services as during the co-planning of services. The inconsistent levels of citizen participation were confirmed by the opposing views expressed by the officials as well as by the citizens and the academic. Even so, the level of citizen participation during the co-planning, co-design, co-delivery, and co-evaluation of services is consistent with the conceptual framework in Chapter 2.

From the perspective of the administration, citizens participate during the co-planning, co-design, co-delivery, and co-evaluation of services. The academic also confirmed that there are efforts on the part of the administration to elicit citizen participation in these four stages. However, contrary to the views of the officials and the academic, citizens contended that they do not participate during these stages. Of significance, concerning citizen participation during the co-production of services is that it occurs within both the micro and macro environments in the case of the MMM, yet a distinction is made between citizen participation during the co-design of services and the co-delivery of those services. Additionally, the use of co-production appears to be deterred by the centralisation of public participation in the Office of the Speaker, which prevents departments from including citizen participation during the co-production of services when SI is used. In respect of the transformation of services, there also appears to be consistency in the MMM's use of co-production to improve the quality and quantity of the services it delivers according to citizens' needs, for example through the IDP process. Stumbraitė-Vilkišienė (2010:86; see also Verschuere *et al.* 2012:1093; Djellala *et al.* 2013:107; Vamstad 2012:1176) supports this application of the transformation of services, as discussed in the conceptual framework (section 2.4). Against this background of the nature of co-production in the case of the MMM, a critical analysis of this case is presented next.

#### 6.6.2.1 Understanding the concept of co-production when it comes to local government service delivery

Co-production is defined in the conceptual framework as citizen participation during the planning, design, delivery, and evaluation of services by LG (Chapter 2). In the case of the MMM, some officials confirmed this conceptualisation, whilst others had divergent views concerning citizen participation during co-production in respect of the co-planning, co-design, co-delivery, and co-evaluation of services. On the one hand, some officials confirmed that citizens participated during the mentioned stages, and perceived co-production as the outsourcing of services. On the other hand, other officials included that using co-production is a challenge for LG and that citizens do not participate at all, the latter of which was also the view held by citizens who participated in the study. Despite these contending views, it appears that citizens participate in the co-planning of services, but only participate occasionally in the co-design, co-delivery, and co-evaluation of services. Yet this case demonstrates that the lack of a clearly delineated understanding by the administration of the concept of co-production could influence citizen participation negatively during the co-production of services. Further, the lack of such a delineated understanding could be counterproductive to the use of co-production by the administration.

The lack of a clear understanding once again highlights the need for an internal organisational context that incorporates an understanding of co-production in the practices of the administration and in its systems and

processes. From this, it is apparent that the internal environment conditions for the use of SI by LG are instrumental in underpinning the actions of the administration, which emanate from a clearly delineated and common understanding of the use of co-production. What can be learnt from this case is that the fundamental purpose of the internal LG environment conditions for the use of SI is to achieve a clearly delineated understanding of co-production amongst officials. In particular, conditions such as management and visionary leadership, and fostering the right organisational attitude and culture amongst local government administrators are important, as affirmed in the theoretical framework (section 3.4.2).

In addition to the above-mentioned, a symbiotic relationship between politicians and the administration is required for the use co-production during service delivery, as pointed out by officials. This case therefore shows that not only is the use of co-production by the administration determined by its interaction and relationship with citizens, but also that politicians are instrumental to the use of co-production by the administration. What can be learnt in this regard is that the administration and politicians must share the above-mentioned clear understanding of co-production. If politicians have a shared understanding of co-production with the administration, it will be easier for politicians to oversee the administration and ensure it is accountable for using co-production in line with the policy direction of the municipal council. Although not linked to politicians, in the theoretical framework (section 3.4), this accountability is also discussed in respect of citizen participation in, amongst other things, the service delivery duties of LG through shared power and responsibilities. This case therefore highlights politicians as important role players in the use of co-production by the municipality, as well as the relationship between citizens and the administration. Moreover, this case emphasises that politicians should have an oversight role when the administration shares powers and responsibilities with citizens (Hilvert & Swindell 2013:250; OECD 2011:88), especially during the use of co-production.

The relationship between citizens (including the private sector) and the administration and their participation was described by participants as one that should be reciprocal, should involve give and take, and should be beneficial to the MMM but simultaneously result in a win-win situation. In the theoretical framework, this relationship between LG and citizens is described as based on willingness to collaborate through information exchanges and active cooperation (Stumbraitė-Vilkišienė 2011:3). This emphasis on a willing relationship between the administration and citizens shows that a mind shift is required within the municipal administration, as pointed out by one participant. Owing to this, this case established that such a mind shift by the administration and politicians requires a change in the internal organisational context of the municipality in order to institutionalise the use of co-production. Moreover, what this case demonstrates is that concerted efforts on the part of the LG administration are required to developing strategies that equally encourage the participation of citizens who are directly affected by a particular service, as well as those citizens for whom a service holds no significance.

Furthermore, the case of the MMM shows that such a mind shift is also required amongst citizens to be willing to participate in the co-production of services. This is in line with the theoretical framework (section 3.4.3), which highlights willingness amongst citizens to participate in SI as important to the use of SI. A lack of such willingness could impede the use of SI. This case illustrates that in a willing relationship between the administration and citizens, the use of co-production should not be perceived as citizens doing the job of the administration, and trust between the administration and citizens is fundamental to the delivery of services when co-production is used during SI.

#### 6.6.2.2 A strategy for the co-production of services and its implementation

In the case of the MMM, officials had divergent views pertaining to the existence of a co-production strategy, even though the findings could not confirm the existence of an explicit co-production strategy. In this case, it was illustrated that even though the MMM does not have an explicit strategy for the co-production of services, citizens were not deterred from participating in co-production when it was in fact applied by the MMM. However, this lack of a strategy also led to co-production being inconsistently applied during the co-planning, co-design, co-delivery, and co-evaluation of services. Further, it has resulted in co-production not being institutionalised in the practices of the administration and not being operationalised at a departmental level. This case illustrates that not having a strategy also results in officials having divergent views as to what the use of co-production during SI entails and how it should be implemented. Therefore, officials have an important role to play in not merely understanding the use of co-production during service delivery but also in being instrumental in how SI is used and in creating the vision that the MMM has for the use of co-production. Officials' involvement in developing such a vision is of immense importance since officials are responsible for achieving the key performance indicators in the IDP.

Against this background, the case of the MMM establishes that although the lack of an explicit co-production strategy did not deter the use of co-production, it will have implications for its consistent use and operationalisation by the administration. What can be deduced from this is that the inconsistent use of co-production by the administration could potentially be improved if the use of co-production is linked to the strategic objectives and vision of the municipality, to service delivery strategies, and to plans such as the IDP. In addition, not only should the administration monitor the implementation of the use of co-production through service delivery strategies and plans, but it should also be held accountable by the council of the municipality.

#### 6.6.2.3 Application of co-production as a variable of social innovation during service delivery by the Mangaung Metropolitan Municipality

Co-production is defined in the conceptual framework for this study as citizen participation during the planning, design, delivery, and evaluation of LG services. In light of this, the MMM appears to apply co-production in respect of the co-planning and co-evaluation of services, but lags in respect of the co-design and co-delivery of services. Yet even in the co-planning and co-evaluation of services, the levels of citizen participation (voice, choice,

contribution, and control) are selectively applied. The fact that citizens participate in the co-planning and co-evaluation of services, but lag in respect of the co-design and co-delivery of services, could be linked to the level of service transformation that is required. This relationship between service transformation and citizen participation during the co-planning, co-design, co-delivery, and co-evaluation of services was highlighted in Chapter 2, section 2.3.2 (see also OECD 2011:38). In turn, in the conceptual framework, it was pointed out that the degree to which a service can be transformed through co-production is influenced by the required level of citizen participation. Irrespective of whether the respective levels of citizen participation in the case of the MMM are underpinned by the degree of service transformation, this case highlights that this relationship between service transformation and citizen participation in the co-production of services is important.

The use of co-production does not appear to be regarded as an element of SI in the case of the MMM, even though co-production is recognised as an important element of SI in literature as well as in the conceptual framework (sections 2.3.2 and 2.4). Hence, this case highlights that it is important for the MMM to pinpoint co-production as an element of SI to ensure its consistent use and operationalisation within the respective departments. Doing so would make it clear that the MMM views co-production as an element of SI and would eliminate officials' uncertainties concerning co-production. In the case of the MMM, this is of particular importance since public participation is centralised through the Office of the Speaker. Additionally, such delineation is important in order to allay officials' fears that citizen participation in the co-production of services could result in citizens doing their job. Moreover, it could enhance the trust relationship between the administration and citizens in terms of their respective roles during the co-production of services, and result in the win-win situation for citizens and officials, as it was put by one official who participated in this study.

#### 6.6.2.4 Examples and nature of citizen participation in the stages of co-production

- Co-planning

In the case of the MMM, the co-planning of services is deemed consistent with its conceptualisation in the conceptual framework. In the case of the MMM, voice, choice, contribution, and control are indeed used when citizens participate in the co-planning of services, but voice and choice are used more than contribution and control. What can be learnt from the MMM is that some levels of participation can be dominant, whilst other levels could be less prominent. The lack of participation through contribution and control in the case of the MMM could be because citizens do not have the capacity to make contributions, but depends on whether the local governance system and the service delivery system allow citizens to make contributions and exercise control.

In the case of the MMM, direct citizen participation occurs within the micro environment, whilst indirect citizen participation occurs more within the macro environment. This case illustrates that whether citizens participate within either the micro or macro environment is influenced by the practicality of their participation during co-planning. What can be learnt from this case is that inclusive citizen participation in the co-planning of services requires

participation to be accessible. Such accessibility means that public participation meetings should be held at convenient times, at convenient and accessible venues or locations, and, more importantly, in a language that citizens understand.

- Co-design

In this case, the use of co-design and the participation of citizens in the co-design of services are inconsistent with their conceptualisation in the conceptual framework (Chapter 2) in respect of citizen participation through voice, choice, contribution, or control. This inconsistency appears to be due to the fact that citizen participation in the co-design of services is not institutionalised within the practices of the administration and thus occurs less frequently and often does not occur at all. Where citizens did in fact participate in the co-design of a service, it was predominantly through voice. The case of the MMM therefore indicates that it is possible for the administration to focus on one level of citizen participation, such as voice or choice, during the co-design of a service. Although a combined use of the citizen participation levels is possible, the dominance of one level of citizen participation should not be the norm, except when this is determined by the level of required service transformation.

Against this background, this case therefore illustrates that the level of citizen participation on which the MMM focuses will determine and become the norm for the level of citizen participation. Ultimately, the level of citizen participation appears to be determined by the local governance system as well as the service delivery system of the MMM. Though it could not be determined whether citizen participation in the co-design of services took place subsequent to the co-planning of the same service, it is not unconventional for citizens to participate in the co-design of a service without being part of its co-planning, co-delivery, or co-evaluation. Either way, this case shows that such participation requires coordination from the administration, but the centralised coordination of public participation through the Office of the Speaker may not be the most practical way to coordinate such citizen participation. The findings illustrated the impractical nature of the central coordination of public participation through one office, which the MMM might have to revisit to facilitate the meaningful participation of citizens in not only the co-design of services but also the co-planning, co-delivery, and co-evaluation. Despite the impractical nature of the central coordination of public participation, this case highlights the importance of coordinating citizen participation during the co-production of services. Moreover, this coordination of citizen participation requires adequate capacity from the administration and resources from the internal organisational context that should be conducive to the use of co-production by the administration. The importance of resources was highlighted in the theoretical framework (section 3.4).

- Co-delivery

Citizen participation in the co-delivery of services and the application of co-delivery are both deemed consistent with the conceptual framework (section 2.4). The MMM illustrates that great effort is required from the administration to coordinate citizen participation in the co-delivery of services. This is regardless of whether this

co-delivery is initiated by citizens or the administration. The coordination of citizen participation in the co-delivery of services means that there are conditions in the internal environment of the municipality that should be addressed. This case therefore illustrates that the right organisational culture and attitude is one that would be open to citizens contributing to the co-delivery of services as one of these conditions. In the theoretical framework (section 3.4.2), openness to the contributions of citizens was emphasised as an innovative practice that should underlie the philosophy used by LGs for improving service delivery.

In addition to an organisational culture and attitude of openness to citizens' contributions to the co-delivery of services, this case also draws attention to the importance of systems and processes that support SI. In this regard, the theoretical framework (section 3.4.2) highlighted that if administrative and service delivery systems and processes do not facilitate an active role for citizens, their participation in LG service delivery could become reactive, for example through protest action (Stumbraitė-Vilkišienė 2011:10). Although it cannot be reported that citizens residing in the MMM have embarked on protest action, the findings confirm that citizens consider attending service delivery meetings needless, which is a reaction to what they perceive as the MMM's unresponsiveness. This case therefore points out that citizens should have confidence in the municipality to make meaningful contributions to the co-delivery of services, or any of the stages of the co-production of services for that matter.

Citizens' confidence in the municipality is of particular importance in respect of citizens' contributions in the form of resources. The availability of resources from the internal and external LG environments was emphasised as fundamental to the use of SI (section 3.4.2), which is underpinned by co-production. In this case, the findings confirm the importance of citizen participation in the co-delivery of services when the MMM experiences resource constraints. The theoretical framework (section 3.4.2) highlighted the solicitation of resources from citizens, stakeholders, and other organisations as essential for lessening the demand for public resources (Ryan 2012:315; Bourgon 2010:204), particularly those used to provide LG services. However, if citizens do not have confidence in the municipality, they could be reluctant to participate in the co-delivery of services through resource contributions. In addition, the municipality soliciting resources from citizens could become a futile exercise when citizens have lost confidence in the municipality. Against this background, this case therefore highlights citizens' confidence in the municipality as fundamental to their participation in the co-delivery of services.

The case of the MMM illustrates that the co-delivery of services by citizens could have implications for the timely delivery of those services, which in turn could influence the performance contracts of officials. Hence, this case illustrates that the implications for service delivery are an important determining factor when citizens participate in the co-delivery of services. In this regard, the theoretical framework (section 3.4.2) emphasised the importance of ensuring LG accountability, which necessitates maintaining a balance between the role of LG and the role of citizens when SI is used for service delivery improvements. The same applies to citizen participation in the co-delivery of services, and though the primary responsibility for service delivery would still be vested in the

municipality, citizens may become partners in service delivery. This is of particular relevance in the case of the MMM, where citizen participation in the co-delivery of services takes place predominantly through labour and being employed by the municipality. Against this background, this case illustrates that citizen participation in the co-delivery of services is determined through citizen confidence in the municipality, the availability of external resources, and maintaining a clear distinction between the role of the municipality and the role of citizens during the co-delivery of services.

- Co-evaluation

The manner in which the MMM carries out the co-evaluation of services appears to be consistent with how it is positioned in the conceptual framework (section 2.4). From the findings, it appears that citizens participate in the co-evaluation of services through voice. Citizen participation through voice is emphasised as imperative in respect of providing feedback to improve programmes, decision-making, and platforms, and it allows citizens to “hear each other’s voices” (Wilson 2009:572; Mehrotra 2006:268; Bourgon 2010:201). In the conceptual framework, this is associated with the third school of thought, namely the dual purpose of SI (section 2.3.1.3). According to the findings, some officials place a similar premium on the importance of citizen participation in the co-evaluation of services, and this is also highlighted in the conceptual framework. Contrary to this, citizens seem to have developed apathy towards participating in the co-evaluation of services, due to a loss of confidence in the municipality as well as a lack of opportunities to participate in service co-evaluations. This demonstrates that citizens’ attitude towards the municipality will determine their willingness to participate in the co-evaluation of services.

This case thus illustrates that citizens should be sensitised and educated about the fact that their participation in the evaluation of services helps the municipality to make distinct improvements in current services being rendered and in planning for future services. Conversely, the administration should equally understand the importance of citizen participation in service evaluations, and that continued collaboration with citizens is required to facilitate their participation in the co-evaluation of services. Moreover, this case shows that existing systems should be conducive to facilitating citizens’ continued participation in the evaluation of services and, as such, to measuring the impact of services. It was highlighted in the theoretical framework (section 3.4.2) that existing systems and processes should be improved in order to improve how the impact of programmes or services as well as programme or service evaluations are monitored (Murray *et al.* 2010:20; OECD 2011:99). Owing to this, officials can only be sensitised to the importance of citizen participation during the co-evaluation of services when the internal organisational context promotes such an attitude and culture. The co-evaluation of services by the MMM through, for example, the Municipal Public Accounts Committee, should not only be seen in the context of measuring the performance of the municipality, but should be seen as fundamental to the service delivery cycle, the service delivery system as a whole, and the governance of service delivery.

### **6.6.3 Analysis of the extent to which governance systems influence the use of social innovation in local government service delivery**

In this study, governance was defined in the conceptual framework (section 2.4) as the participation of citizens in the delivery and regulation of services through shared powers. In this case, governance was therefore measured through the following concepts: citizen participation, shared power, open governance system, and closed governance system, as described in the conceptual framework (section 2.4). The MMM has a local governance system that is open to citizen participation in service delivery decision-making processes. Yet the findings indicate that the implementation thereof by the administration, and more so by the respective departments, appears to be inconsistent in respect of the co-design, co-delivery, and co-evaluation of services. Amongst other things, the lack of an explicit SI strategy, centralised coordination of public participation by the Office of the Speaker, and the lack of an internal organisational context that promotes the use of SI by the administration are contributing factors to this inconsistent practice. All the aforementioned factors appear to be influenced by the local governance system, which demonstrates the profound impact of local governance systems on the use of SI by the administration. This impact, in turn, has implications for the service delivery system of the MMM. This case illustrates that if the local governance system is not conducive to the use of SI, its implications for the service delivery system of the municipality could be adverse.

The service delivery system can be seen as comprising social and technical aspects, and the local governance can influence the extent to which the technical or social aspects of the service delivery dominate this system. In the case of the MMM, the service delivery system seems to be dominated by the technical aspects of the system amidst a governance system that appears to be open to citizen participation in service delivery decision-making processes. Even so, it can be reasoned that the inconsistent citizen participation in the co-design, co-delivery, and co-evaluation is in part the reason for the lagging social aspects of the service delivery system of the MMM. The theoretical framework (section 3.3.1.2) explicated that the notion of developing both the social and technical aspects of service delivery systems seems consistent with open governance systems, whereas the development of the social and technical aspects is less probable in closed governance systems. Further, it has become necessary for public sector organisations and LG to ensure that the social aspects of their service delivery systems are optimal.

This case therefore illustrates that SI is not only used during service delivery to facilitate improved service delivery and inclusive citizen participation, and to keep LG accountable. Instead, the relationship between the LG system and the use of SI to facilitate inclusive citizen participation should be seen in terms of having a service delivery system that can meet the needs of citizens holistically. In particular, citizen participation through the application of SI is fundamental for inclusive citizen participation that enables citizens to make meaningful contributions as part of the social aspects of the service delivery system. Additionally, the administration should in turn use citizens' contributions to develop the technical aspects of the service delivery system. Against this background of the impact

of local governance systems on the use of SI during service delivery by the MMM, a critical analysis of this case is discussed next.

#### 6.6.3.1 Local governance and social innovation as strategy for inclusive citizen participation in service delivery

The case of the MMM affirms the influence of a local governance system on the internal organisational context. This context would either deter or encourage the facilitation of inclusive citizen participation in service delivery decision-making processes. Hence, this case shows that a lack of inclusive citizen participation in service delivery decision-making processes could be attributed to the fact that SI is not entrenched in the MMM's local governance system. Inclusive citizen participation in local governance could be facilitated by using SI during service delivery. The case of the MMM illustrates that even when SI is used, overall, some citizens were excluded from service delivery decision-making processes, making the need for inclusive citizen participation during the governance of service delivery even more pressing.

In the theoretical framework (section 3.3.2.1), it was reasoned that the collective voice of citizens and their participation are not only beneficial for achieving improved service delivery, but also required for governing service delivery. Hence, the lack of inclusive citizen participation could have adverse implications for optimally meeting the service delivery needs of citizens. This is evident from the findings, as citizens indicated that some of their service delivery needs remain unmet and that a lack of communication between them and the municipality is crippling to citizen participation. Against this background, what can be learnt is that a lack of inclusive citizen participation also means that the service delivery system may not respond to the needs of all citizens, even with the exception of the prioritisation of service delivery needs. More importantly, this case points out that the lack of inclusive citizen participation in the governance of services could have adverse implications for the impact of those services in respect of creating public value. Furthermore, a lack of inclusive citizen participation could be detrimental to the use and implementation of SI by the MMM. In the conceptual framework (section 2.4), citizen participation was identified as fundamental to the use and successful implementation of service delivery by the municipality. In the theoretical framework (section 3.2.2.1), citizen participation was likewise positioned as central to achieving successful public service innovations (Borins 2008; Fuglsang 2008; Von Hippel 2007, cited in Meričkova *et al.* 2015:522).

The case of the MMM illustrates that inclusive citizen participation in local governance is labour intensive and could result in prolonged decision-making processes, have implications for managers who are appointed on a performance contract, and affect the timeous implementation of service delivery priorities and the timeous reaching of goals and targets. All of the aforementioned appears to be associated with the process-oriented nature of SI (section 2.3.1.2) and the institutional aspects which, according to Moulaert *et al.* (2005, cited in Novy *et al.* 2009:131), result in new governance forms that, together with citizen participation and empowerment, are the cornerstone of this process-oriented nature. In light of the aforementioned implications, this case illustrates the

sharing of power, responsibilities and risks, and building the capacity of citizens as integral to a local governance system that facilitates inclusive citizen participation. In the conceptual framework (section 2.4), these attributes concerning the role of the municipality in local governance are affirmed by Denhardt and Denhardt (2003; see also Kettl 2002, cited in Bourgon 2010:203). Apart from the mentioned implications of inclusive participation for the administration and the local governance system, what can be learnt is that service delivery remains the legislative responsibility of the municipality, even when powers, responsibilities and risks are shared with citizens.

#### 6.6.3.2 Upscaling local governance through social innovation

In the case of the MMM, it was illustrated that the use of SI to facilitate citizen participation in the local governance of service delivery does not mean citizens are equal partners, especially in the absence of shared decision-making power when services are designed and delivered. Whereas some citizens participated in the co-planning of services, citizen participation in the co-design and co-delivery of services seems to be lacking both within the micro and macro environments, it did not take place at the same level, and at times was even non-existent. Even so, the local governance system is still characterised by the sharing of decision-making power with citizens, but the MMM is conservative in the sharing of service delivery functions, responsibilities, and resources with citizens. Citizen participation therefore occurred through the sharing of decision-making power, even though this was done predominantly during the planning stages of service delivery. However, local governance of services should not only be reserved for citizen participation in service delivery decision-making processes or to the planning stages of such processes. Citizen participation in the local governance of service delivery would imply that they also exercise decision-making power during the co-design and co-delivery of services. Nonetheless, the absence of such participation in the co-design and co-delivery of services still does not imply that citizens in the MMM do not participate in the governance of services.

Against this background, the case of the MMM therefore shows that the local governance systems influence citizens' participation in the governance of service delivery. Intrinsically, the local governance system also determines the type of service delivery system that is used by the MMM, and the participation of citizens in this system. The local governance system of the MMM allows the sharing of service delivery decision-making power with citizens, particularly during the planning stage for services, but limits citizen participation in the sharing of responsibilities. Mangaung Metropolitan Municipality's local governance system can be associated with the downscaling of governance (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71) (section 3.2.2), with the incorporation of new societal actors in the act of governing. This is done through the retention of resources by LG and through shared decision-making power in respect of service delivery planning, but it is limited in terms of co-designing and co-delivering services. The case of the MMM therefore illustrates that when the concept of downscaling governance is applied at a municipal level, it could even imply that service delivery decision-making power is minimally shared with citizens.

#### 6.6.3.3 Compatibility of social innovation with local governance systems

Local governance systems appear to have a definitive influence on the use of SI in service delivery, with the use of SI being compatible with open governance systems. In the theoretical framework (section 3.2.3), it was explicated that the type of governance model adopted by the public sector organisation will determine (i) the extent to which citizens participate in decision-making and service delivery processes and (ii) the type of service delivery system. This influence, which emanates from the governance model adopted, is also evident in the case of the MMM in that it determines citizen participation in service delivery decision-making processes and the type of service delivery system used. In the service delivery systems in the case of the MMM, SI, as an integral part of the social aspects of this system, appears to be used less than the technical aspects of the system. In this case, the local governance system seems to be a direct consequence of this limited use of SI by the administration.

Although officials and the academic considered the MMM local governance system as open, their views do not appear to be completely consistent with how open governance systems are considered in the conceptual (Chapter 2) and theoretical (Chapter 3) frameworks. The use and initiation of SI by the administration does not seem to occur at a large scale or on an ad-hoc basis. This state of affairs seems to be influenced by the centralisation of citizen participation through the Office of Public Participation via the Office of the Speaker. Nonetheless, the case of the MMM illustrated that even when the local governance system appears to be incompatible with the use of SI during service delivery, it does not mean that SI will not be used. Conversely, the case of the MMM shows that even when the governance system is open to citizen participation in decision-making processes concerning service delivery, this does not mean that the use of SI is compatible with the local governance system. As found in the MMM, the local governance system is compatible with selected aspects of using SI that might fit existing service delivery practices of the administration. Such practices include citizen participation in service delivery decision-making processes during the planning stages of service delivery, as in the case of ward-based and community-based planning. However, these service delivery practices exclude the use of SI and its initiation in the service delivery stages of designing a service, particularly in delivering and evaluating services. This case demonstrated that an open local governance system could include the sharing of service delivery decision-making powers but exclude the sharing of service delivery responsibilities between the administration and citizens.

#### 6.6.3.4 Exogenous and endogenous power structures in local governance

The outcome of decision-making processes during local governance appears to be influenced by those with the power to influence decisions (Rodríguez-García & Navarro Yáñez 2016:128). This was reflected on in section 3.2.4, and in this study, these power structures were categorised in terms of exogenous and endogenous power structures. In the case of the MMM, the presence of both endogenous and exogenous power structures influences the outcomes of service delivery decision-making processes. Although citizens, as part of the exogenous power structure, influenced the outcomes of some service delivery decision-making processes during ward-based and community-based planning, the endogenous power structure (MMM) retained the final say in most decisions. The

fact that endogenous power structures, such as the MMM administration and the municipal council, retain the final decision-making authority reflects a lack of adequate power being entrusted to external actors during the downscaling of governance, referred to as “governance-beyond-the-state” (Swyngedouw 1997, 2004, cited in Swyngedouw 2009:71) in the theoretical framework (section 3.2.3).

Two factors are deemed important in determining the influence of actors in decision-making processes, namely (i) the salience that decisions would hold for actors and (ii) the informational, institutional, and economic resources controlled by actors that could be used to influence the outcome of decisions (Rodríguez-García & Navarro Yáñez 2016:128). In the case of the MMM, the findings demonstrated that the salience of decisions, for individual as well as collective interests, influenced citizen participation in service delivery decision-making processes. Significantly, citizen participation was not influenced by whether citizens had resources to influence the outcome of decisions. In the case of the MMM, even though citizens did not have any resources to influence the outcome of decision-making processes, they could still influence these processes. This may be unique to the case of the MMM and does not imply that citizens in other LG settings have the same ability. The case of the MMM demonstrated that even though citizens were given the opportunity to influence decision-making processes, they did not make use of these opportunities, even when decisions were of salience to them. In light of this, with reference to exogenous and endogenous power structures, the case of the MMM validates that control over resources is not the sole determining factor for citizen participation during local governance. The salience of service delivery decisions to citizens also does not imply that citizens will necessarily participate in service delivery decision-making processes during local governance.

## **6.7 CONCLUDING REMARKS**

This chapter presented the MMM as the second case in the empirical stage of this study. The first section (section 6.2) of this chapter presented the response results. Section 6.2 was followed by the reporting of the findings pertaining to the use of SI by the MMM in sections 6.3, 6.4, and 6.5. In section 6.3, the academic’s perspective on SI and service delivery by the MMM was presented. Findings were reported pertaining to the nature of citizen participation during SI in service delivery by the MMM (section 6.3.1) and the nature of co-production during the use of SI in service delivery by the MMM (section 6.3.2). Subsequently, section 6.3.3 reported the findings on the impact of local governance systems on the use of SI during LG service delivery.

Following section 6.3, section 6.4 presented the officials’ perspective on SI and service delivery by the MMM. In this section, findings were reported concerning the nature of citizen participation during SI in service delivery by the MMM (section 6.4.1) and the nature of co-production during the use of SI in service delivery by the MMM (section 6.4.2). Further, section 6.4.3 reported the findings on the impact of local governance systems on the use of SI during LG service delivery. Thereafter, the citizens’ perspective on SI and service delivery by the MMM was presented in section 6.5. In this section, findings were reported on the nature of citizen participation during SI in

service delivery by the MMM (section 6.5.1), and the nature of co-production during the use of SI in service delivery by the MMM (section 6.5.2). Following the reporting of the findings, section 6.6 presented a critical analysis of the findings from the case of the MMM in terms of the conceptual (Chapter 2) and theoretical (Chapter 3) frameworks.

## **CHAPTER 7: A FRAMEWORK FOR ENHANCING THE USE OF SOCIAL INNOVATION FOR IMPROVED SERVICE DELIVERY**

### **7.1 INTRODUCTION**

In this chapter, a framework is presented for enhancing the use of SI for improved service delivery, starting with respondents' perspective on such a framework (section 7.2). Section 7.3 presents lessons learnt from a comparative perspective (section 7.3.1), from the CoG for the MMM (section 7.3.1.1), from the MMM for the CoG (section 7.3.1.2), for practice (section 7.3.1.3), and finally for future research (section 7.3.1.4). In section 7.4, the achievement of the aim, objectives and research questions is discussed. This is followed by section 7.5, which recommends a framework for enhancing the use of SI for improved service delivery by the MMM (section 7.5.1). In section 7.6, this chapter as well as the thesis is concluded.

### **7.2 RESPONDENTS' PERSPECTIVE ON ENHANCING THE USE OF SOCIAL INNOVATION FOR IMPROVED SERVICE DELIVERY**

This section presents the responses to questions about the enhanced use of SI in LG service delivery by the CoG (section 7.2.1) and the MMM (section 7.2.2). As such, the semi-structured interview responses to section D (questions 17 to 23; Attachments A and E) as well as the focus group responses to section D (questions 13 to 19; Attachments C and G) are presented for each case.

#### **7.2.1 City of Ghent responses**

##### **7.2.1.1 Academic's perspective**

Question 12 asked whether the use of SI during service delivery in the CoG is important, and for this answer to be motivated (question 13, Attachment F). The academic was of the view that *"it is not only important"*, but *"a necessity"* if the CoG *"want[s] to be successful"*. This respondent argued that a new approach is required (i) if the CoG wants *"to be accepted"* by its communities, (ii) for political parties to maintain their legitimacy in a representative democracy, and (iii) to address complex societal problems confronting citizens. Hence, the CoG and political parties have *"to look for new coalitions with citizens"* through the creation of *"new partnerships"* and *"public private partnerships"* underpinned by SI and co-production.

Question 14 (Attachment F) asked what the driver(s) could be of the use of SI by the CoG. Apart from the proposed drivers such as (i) to create public value, (ii) to render improved services to citizens, and (iii) for the CoG to save costs, the academic proposed intelligence as a driver to solve complex societal problems that the CoG and its politicians cannot solve on their own. According to this respondent, intelligence is *"not concentrated in the city administration"* but *"in the city"*, which obliges the CoG to *"look for new coalitions, combing new types of intelligence, new types of knowledge, new experiences of people, new types of innovation, and co-production"*.

What could be done by the CoG to improve its use of SI during service delivery was addressed in question 15 (Attachment F). This respondent was of the view that a priority is the critical evaluation of the bureaucratic processes within the CoG, which often restrict officials in their search for new types of co-production. In this regard, *“how to adapt”, “change the bureaucracy”, “how to fight the bureaucracy and procedures”,* changing conventional thinking, as well as changing the attitude of the CoG administration were highlighted. It was noted that the CoG administration with its bureaucracy should follow what pioneers or innovators in the city are doing. This could be through support services of *“financial management, ICT management, personnel management”*.

When asked what could be done by other stakeholders to improve the use of SI during service delivery by the CoG (question 16, Attachment F), it was noted that *“stakeholders are eager to work with the city administration”* in *“new ways of thinking”* and *“new ways of doing”*. Yet the most important changes have to be made relative to bureaucratic processes within the CoG as well as in adapting the attitude of the administration. This change in bureaucracy was also noted as important in respect of what could be done by the CoG to improve citizen participation in its decision-making processes when it comes to service delivery. The reason for this is that both the CoG and its citizens are open *“for co-production in all kinds of public-private partnership coalitions or arrangements”*.

The academic was asked in question 18 (Attachment F) for final remarks regarding the establishment of a framework for the utilisation of SI for improved service delivery by LG. It was noted that for the development of new types of co-production, attention should be paid to the development of *“new types of organisations”, “new innovative legal frameworks”,* and *“new ways of thinking of organising public-private partnerships”*. New innovative legal frameworks are important for organising *“open and accountable”* cooperation between the city administration and citizens. Further, new ways are needed of combining financial resources from the *“city and from citizen initiatives”*, and managing these financial resources requires *“new instruments”*.

#### 7.2.1.2 Officials' perspective

Questions 13 and 14 (focus group discussions, Attachment G) and 17 and 18 (semi-structured interviews, Attachment E) posed the question of whether the use of SI during service delivery in the CoG is important, and required participants to motivate their responses. Semi-structured interview respondents affirmed the importance of using SI in view of the various platforms and activities created by the CoG for citizens to engage with the city administration and politicians regarding service delivery. The fact that the CoG stimulates citizens to take initiative for developing their communities and maintain infrastructure substantiates the importance respondents attached to SI. Further, the activities that citizens initiate within their neighbourhoods and across the city attest to the CoG's openness to SI. Focus group respondents also confirmed that SI is important in view of getting *“acquainted with what citizens think”* in informal settings during which citizens *“can communicate with their politicians and with the professionals”*.

Questions 15 (focus group, Attachment G) and 19 (semi-structured interviews, Attachment E) asked what the driver(s) would be for the use of SI by the CoG. In addition to the proposed drivers such as (i) to create public value, (ii) to render improved services to citizens, and (iii) for the CoG to save costs, respondents proposed other drivers, including making citizens aware of as well as enhancing their responsibility for their own living environments and the infrastructure provided by the CoG: *"Because all too often we hear, 'Oh, the City Council has to solve this and has to do that', and 'they have to take care of us', and 'it's the streets, so they have to fix it.'"* The aim is also *"to build an environment"* that as many *"people as possible are happy with"*. Another driver relates to the CoG's *"policy decisions being supported by the citizens"*, which can be achieved through SI. It was remarked that using SI is not about saving costs *"because in terms of personnel and time it costs much more than without social innovation"*.

What could be done by the CoG to improve its use of SI during service delivery was posed in questions 16 (focus group discussions, Attachment G) and 20 (semi-structured interviews, Attachment E). Semi-structured interview respondents mentioned *"opening up initiatives to those who do not usually participate"*, continuing to provide support in the form of financial resources, as well as promotion of and communication about community initiatives. From a strategic point of view, the city wants to *"develop a vision on the concept of open government"* with the aim of providing *"open services"*, which gives citizens access to the same services provided by the CoG through local associations or companies. *"For instance, in the economic sector, an association of certain companies"* can offer assistance to a *"start-up company"* to register the business and with all the *"administrative procedures"* with which the business must comply.

Setting up networks with higher education institutions and companies, working with citizens and civil society organisations as well as organisations specialising in youth, sport, and culture who serve as advisory boards to the CoG were deemed important in using SI. Focus group respondents confirmed collaboration with other stakeholders and noted the ongoing use of non-governmental organisations to advice the CoG as well as the youth sector, the latter of which is very organised. Officials were of the view that the CoG should *"try to experiment more"* in respect of using SI during service delivery.

Questions 17 (focus group discussions, Attachment G) and 21 (semi-structured interviews, Attachment E) asked respondents what could be done by other stakeholders to improve the use of SI during service delivery. Semi-structured interview respondents proposed that every stakeholder in the CoG should contribute to the design and implementation of the Multi-Annual Plan of the city. Responses from focus group discussions included giving other stakeholders, such as the cycling federation (an action group), the ability to influence the plans of the CoG and to be proactive instead of merely reacting to these plans. Experimenting with allocating *"larger budgets to neighbourhood and [giving] them the right to decide about the spending of the budget"* was also proposed.

What could be done by the CoG to improve citizen participation in its decision-making processes when it comes to service delivery was posed in question 18 (focus group discussions, Attachment G) and question 22 (semi-structured interviews, Attachment E). Responses from semi-structured interviews included that the CoG, in collaboration with the respective stakeholders in the city, should achieve the respective goals and objectives in its Multi-Annual Plan. In this regard, focus group respondents noted that the CoG administration should have an attitude of being in “*constant dialogue with the citizens*”. It was remarked that when citizens participate in decision-making processes, they often acknowledge the expertise of officials and refer to them as a source of expertise when identifying innovative ideas and solutions concerning certain issues.

Questions 19 (focus group discussions, Attachment G) and 23 (semi-structured interviews, Attachment E) asked respondents for final remarks about the establishment of a framework for the utilisation of SI for improved service delivery by LG. Respondents remarked that whilst there can be limitations to participation, “*you have to be very realistic about what you expect from SI*”. It was noted that “*it’s practically impossible to make something that is okay for everyone. So we have to be very realistic and we do have to work for the greater goods [sic]*”.

#### 7.2.1.3 Citizens’ perspective

Participants were asked in question 11 (Attachment H) how citizens’ participation in the CoG’s decision-making processes can be improved when it comes to service delivery. Respondents suggested that the CoG should consult with them prior to service delivery planning and decision-making processes, and that such consultation could also be done through representative structures or organisations. Specific reference was made to the consultation of citizens in the respective wards prior to the formulation and the adoption of the “*Meerjaren plan*” (Multi-Annual Plan) of the CoG. The use of a combination of traditional as well as technological communication mediums (letters and emails respectively) was proposed to enhance citizen participation and promote inclusive participation. It was emphasised that the CoG should adopt a “*bottom-up approach*”. Better communication from the CoG with citizens was highlighted as important in this regard. Finally, the timeframe in which the CoG responds to inquiries from citizens should be shorter.

Question 12 (Attachment H) asked respondents to give an example of how the CoG can improve its use of SI when it comes to service delivery. The improvement of time-consuming bureaucratic processes was proposed since they hamper citizens’ participation in SI. Further, the initiation of “*neighbourhood initiatives*” that would reach a broader spectrum of citizens was proposed to improve the use of SI during service delivery. In this regard, the concept of a “*participation society*” was seen as central to how SI can be used during service delivery by the CoG (question 13, Attachment H).

## 7.2.2 Mangaung Metropolitan Municipality responses

### 7.2.2.1 Academic's perspective

Question 12 (Attachment B) asked whether the use of SI during service delivery in the MMM is important, and this answer was then motivated in the response to question 13. The academic confirmed this importance but also noted that the use of SI is not necessarily determined by the *"willingness of Officials or Politicians to implement the systems. The main problem is money, the main problem [is] resources"*. It was remarked that communities often have a perception that they are not involved enough in service delivery. Hence, the use of SI is important to make citizens *"feel part of the decision-making process"*.

Question 14 (Attachment B) asked what the driver(s) could be for the use of SI by the MMM. In addition to the proposed drivers such as (i) to create public value, (ii) to render improved services to citizens, and (iii) for the CoG to save costs, the academic proposed that creating *"customer satisfaction"* amongst citizens is the main driver. This relates to ending citizens' dissatisfaction concerning the *"perceived lack of services"* by municipalities.

What could be done by the MMM to improve its use of SI during service delivery was posed in question 15 (Attachment B). It was noted that with *"the very limited resources that they have to their disposal, given the real desire to keep the community satisfied, within that context I don't think they can do much more than what they have"*. According to the academic, the MMM is doing *"all that they can to involve communities"*.

Question 16 (Attachment B) asked what could be done by other stakeholders to improve the use of SI during service delivery by the MMM? It was remarked that whilst businesses may have a social contract by giving *"money for projects in the municipality"* and co-managing projects in cooperation with the MMM, the motive behind such involvement is noticeable, especially if it is done to achieve good Black Economic Empowerment ratings. It was noted that there is *"always room for improvement, for collaboration between business associations and business and the municipality"*, but what is important concerning such collaboration is who should initiate it.

The academic was asked what could be done by the MMM to improve citizen participation in its decision-making processes when it comes to service delivery (question 17, Attachment B). It was noted that the MMM is *"for large parts of the year already engaged in community engagement"* through IDP roadshows that take place between March and May annually. Further, the municipality publishes a mid-year report that is released in January, as well as an annual report. In general, the MMM attends to community requests for engagements: *"Even if they often think or know that the reception that they will get is very hostile, they go, they send representatives, they listen"*. The *"South African Legislative framework makes provision for a lot of enforced community engagement"*, and in the *"Free State in Mangaung, there's a system where you can complain, there's the Premier's hotline where you can complain. So I don't think there's a lot that Mangaung can do more than what they are currently doing"*.

The academic's final remarks about the establishment of a framework for the utilisation of SI for improved service delivery by the MMM (question 18, Attachment B) included that the availability of resources for SI must be ensured in order to assist communities. It was noted that *"there's not a deliberate attempt to sabotage communities, and there's not an unwillingness to talk to communities"*, but a lack of resources often becomes the reason municipalities cannot deliver some services.

#### 7.2.2.2 Officials' perspective

Questions 13 and 14 (focus group discussions, Attachment C) and 17 and 18 (semi-structured interviews, Attachment A) asked whether respondents thought the use of SI during service delivery in the MMM is important, and to give reasons for their responses. Semi-structured interview respondents confirmed the use of SI as important and attributed this to citizens being the *"right people to provide appropriate solutions"*. Some focus group respondents confirmed the use of SI as important during SI and suggested a review of the MMM's *"public participation strategy to include these kind[s] of elements which [relate] to SI"*. The use of SI was described as citizens seeing value in improved service delivery, getting citizens to buy into municipal plans, and involving citizens in *"what is going on in their community"* and in decision-making with a view to improve their lives. It was noted that the municipality should improve its use of SI as well as its implementation thereof. The use of social media platforms was suggested to keep citizens informed. One focus group participant was not sure whether the use of SI is important since the concept of *"SI is a new phenomenon, maybe we need some more time, a broader perspective and a clearer understanding for us to embrace it and maybe understand and assimilate it and know exactly what is it that we are dealing with"*.

Questions 15 (focus group discussions, Attachment C) and 19 (semi-structured interviews, Attachment A) asked what the driver(s) would be for the use of SI by the MMM. Focus group and semi-structured interview respondents noted that all the proposed drivers, namely (i) to create public value, (ii) to render improved services to citizens, and (iii) for the MMM to save costs, would support the use of SI by the MMM. Rendering improved services to citizens was highlighted by focus group respondents in the context of improving the quality of citizens' lives, and was also confirmed as a key driver by semi-structured interview respondents due to legislative imperatives concerning service delivery governing LG. Focus group respondents pointed out the use of SI as a legal imperative as a different driver. Another driver proposed by semi-structured interview respondents was to improve ownership in social capital as well as to deliver sustainable human settlements.

To the question of what could be done by the MMM to improve its use of SI during service delivery (focus group discussions question 16, Attachment C; semi-structured interviews question 20, Attachment A), institutionalising SI through a strategy or framework and applying *"knowledge management to improve"* its use and service delivery processes of the MMM were suggested. Further collaboration with stakeholders, including *"experts from higher education"* as well as citizens, by making citizens aware *"that their ideas are welcomed"* was emphasised. Focus

group respondents likewise emphasised collaboration with citizens through the establishment of community forums where citizens, in collaboration with the officials, prioritise and design services and are involved from the planning of the service to its evaluation. Regular feedback to citizens after their participation was also highlighted as important by focus group participants.

Question 17 (focus group discussions, Attachment C) and question 21 (semi-structured interviews, Attachment A), asked respondents what other stakeholders could do to improve the use of SI during service delivery by the MMM. It was remarked that as part of broader consultation forums, these stakeholders should “*collaborate and partner*” with the MMM “*for public good*” and “*offer their services*”. Universities were identified by semi-structured interview respondents as important stakeholders with whom to collaborate. This includes not only assisting the municipality to support citizens to turn their creative ideas and innovations into products and services, but also, through civic education, assisting the MMM to educate citizens about the municipality’s role and “*how they operate*”. Moreover, instead of having “*competing interests*”, it is fundamental to collaboration that stakeholders must relate their plans to the plans of the MMM.

What could be done by the MMM to improve citizen participation in its decision-making processes when it comes to service delivery was posed in questions 18 (focus group discussions, Attachment C) and 22 (semi-structured interviews, Attachment A). Semi-structured interview respondents emphasised “*civic education*” and raising understanding amongst communities of the services delivered by municipalities, to enhance citizen participation and to empower them concerning services for which they can hold the MMM accountable. Timeously informing citizens of meetings and scheduling community meetings at appropriate times were suggested as useful for improving citizen participation in meetings where service delivery decision-making processes are carried out.

Focus group respondents suggested an MMM administration that is responsive to the needs of citizens and that is developmental, as well as upholding the principles of Batho Pele through officials’ duty to serve the public. Engaging more with citizens through direct consultation was proposed rather than social media platforms such as Facebook, which is often used by citizens to complain about service delivery problems and not used to elicit innovative thinking. Apart from direct citizen consultation, the establishing of forums and committees in which citizens take decisions, participate in identifying solutions, and act in an oversight capacity was also recommended. It was noted that decisions taken by such committees and forums should be binding if the municipality wants citizens to continue to participate in and contribute to decisions, and in respect of SI in communities.

Questions 19 (focus group discussions, Attachment C) and 23 (semi-structured interviews, Attachment A) asked respondents for final remarks about the establishment of a framework for the utilisation of SI for improved service delivery by LG. It was noted that by keeping citizens informed, a culture could be fostered within the MMM of empowering citizens in respect of budgetary processes, how they can benefit, and how they can keep the

municipality accountable. In addition, fostering a culture amongst citizens of taking care of their environment as well as caring for and maintaining municipal service infrastructure were highlighted as equally important. Further, it was suggested that using labour from within communities to deliver municipal services should be promoted. Finally, in order to strengthen citizen participation, a review of some policies was suggested. Responses from the semi-structured interviews included that the MMM should clarify its understanding of the concept of SI and how it is used in and by the municipality. Concerning the use of SI, limitations in terms of legislative prescriptions have to be considered. It was stated that citizens should understand “*the role of the municipality*”, the ways for them to collaborate with the municipality should be strengthened, and the MMM should similarly educate its officials concerning the role of the municipality.

### 7.2.2.3 Citizens' perspective

How the citizens' participation in the MMM's decision-making processes can be improved when it comes to service delivery was asked in question 11 (Attachment C). Responses included that the ward councillor should convene regular ward committee meetings, that the MMM should regularly communicate with citizens and keep them informed (both of which are currently lacking), and that citizens should be aware that their participation goes beyond merely voting in the LG elections. Communicating with citizens via SMS was recommended as a more effective means of communication. It was noted that citizens should be timeously informed of IDP meetings.

Question 12 (Attachment C), asked respondents to give an example of how the MMM can improve its use of SI when it comes to service delivery. Respondents suggested that the MMM should initiate collaborations with citizens by regularly communicating and consulting with citizens, which will place the onus on citizens to participate in SI. Further, the MMM should be open to making citizens part of service delivery, and to finding solutions and working together with them in implementing these solutions. Making use of the expertise of retired LG officials could assist in finding solutions to service delivery problems, and these retired officials can also exchange and share their expertise with the current administration.

How SI can be used during service delivery by the MMM was posed in question 13 (Attachment C). Educating citizens about the intentions of the municipality to look “*at better ways of involving and communicating with the people*” they are “*servicing*” should be the starting point for the use of SI during service delivery. This will enable citizens to prepare better in terms of contributing. The grouping of schools, banks, businesses, town house complexes, and retirement homes could be used by the MMM to advise citizens regarding certain issues. Lastly, the municipality should be open to taking advice from more experienced citizens, specifically technical advice and expertise concerning service delivery.

## 7.3 LESSONS LEARNT

### 7.3.1 Lessons learnt from a comparative perspective

#### 7.3.1.1 Lessons learnt from the City of Ghent for Mangaung Metropolitan Municipality

In this section, lessons learnt from the CoG and that are deemed relevant for the MMM are discussed in respect of three areas: (i) coordinating citizen participation in LG service delivery, (ii) citizen participation in the co-production service delivery cycle, and (iii) an SI strategy.

##### (i) Coordinating citizen participation in LG service delivery

The centralised approach taken by the MMM, where the Speaker's Office coordinates citizen participation during service delivery, (i) prevents municipal departments from including citizens in the co-production of service delivery and (ii) has created a bottleneck in relaying citizens' complaints to relevant MMM departments. Whilst this centralised approach to citizen participation may seem relevant for political reasons, or to keep the respective departments and LG officials accountable, in general, it stifles the responsiveness of individual departments as well as of the municipality to service delivery problems. As long as this centralised arrangement remains in place, the use of SI in the practices of LG officials and individual MMM departments might not be optimally implemented. In fact, this centralised arrangement appears to be in conflict with an open governance system, in which the internal organisational context and culture advance the use of SI by LG officials, and which applies principles of good governance premised on citizen participation.

This central coordination of citizen participation by the Speaker's Office need only be implemented if this office is sufficiently equipped to deal with the rate of citizens' service delivery inquiries and to relay their complaints speedily to MMM departments. Furthermore, this approach would be suitable if the Speaker's Office were equipped to facilitate the interaction of the respective MMM departments with citizens during the co-production of services. However, even if this centralised approach is required to enhance accountability amongst MMM departments and officials, as it is currently, it is in any case counterproductive to such accountability in view of its own inefficient processes and systems hampering the very same accountability that it wants to monitor. Thus, the Speaker's Office could be better utilised if it played an oversight role in the use of SI during the respective stages of the co-production service delivery cycle and in the extent to which citizens participate. This oversight role would still allow the office to keep municipal departments accountable, but would also enable them to exercise discretion in coordinating and implementing citizen participation in the respective stages of co-producing services. In this regard, the decentralised approach applied by the CoG, during which the respective municipal departments have discretion to determine when and how citizens participate in the co-production for services, proves to be more successful.

##### (i) Citizen participation in the co-production service delivery cycle

For South African LG officials or practitioners, the business-as-usual approach of mere legislative compliance, administrative hegemony, and selective citizen participation in some service delivery stages no longer suffices.

Within the current volatile political climate, service delivery protests, and natural resources being under pressure, LG officials and municipal departments have no other choice but to include citizen participation in each stage of the co-production service delivery cycle. The MMM departments have not sufficiently explored citizens' selective participation in the co-planning of services and their limited participation in the co-design, co-delivery, and co-evaluation of services. Whilst this situation is in part blamed on the centralised coordination of citizen participation by the Speaker's Office, the lack of an SI strategy does not offer any direction as to how SI should be used and implemented. Whilst citizen participation in the co-design and co-delivery of services is lagging in the practices of the MMM, the CoG has made significant strides and has achieved success in integrating citizen participation in these stages. An opportunity is thus presented for the MMM to engage with the CoG on how to effectively integrate citizens in these aspects of service delivery.

(ii) A social innovation strategy

Whilst MMM officials considered the IDP as underpinning strategies for the use of SI during service delivery, the lack of a dedicated SI strategy has a direct impact on use of SI during service delivery. What the MMM can learn from the CoG is that even in the absence of an SI strategy, LG officials can use SI to co-produce services with citizens. Even so, the MMM can learn from the CoG that the absence of an explicit strategy for SI will have consequences for the consistent use and implementation of SI by the administration within respective departments. These consequences include LG officials and departments having divergent ideas and views regarding the use of SI, particularly during the co-production of services. These divergent views are counterproductive to achieving the organisation's vision.

### 7.3.1.2 Lessons learnt from Mangaung Metropolitan Municipality for the City of Ghent

Lessons learnt from the MMM deemed relevant for the CoG are discussed in respect of (i) coordinating citizen participation in LG service delivery, (ii) citizen participation in the co-production service delivery cycle, and (iii) an SI strategy.

(i) Coordinating citizen participation in local government service delivery

The lack of citizen participation in the co-planning of services at a strategic city level (macro environment) and a neighbourhood level (micro environment) seems to be an issue of great concern for the CoG citizens. This concern stems from the fact that political parties make long-term strategic choices at a strategic city level that will form part of the Multi-Annual Plan for the CoG, but exclude direct citizen participation from this process. Further, with regard to planning at a neighbourhood level, partial citizen participation also seems to occur during ward-based planning. Citizens expressed interest in being consulted prior to the prioritising of service delivery, whether at a city or neighbourhood level. In this regard, the CoG can learn from the practices applied by the MMM in respect of citizen participation in the co-planning of services at a strategic city and neighbourhood level, which forms part of developing the IDP for the municipality.

Whilst citizens in the CoG seem to participate to a large extent in the co-design and co-delivery of services, this participation occurs after the co-planning of services occurred. This participation seems like an afterthought to some citizens, who prefer to be involved in the identification and conceptualisation of services that occur during co-planning. Subsequently, this perception also makes citizens reluctant to participate in the co-design, co-delivery, and co-evaluation of services. Whilst the MMM had less success in coordinating citizen participation in the co-design and co-delivery of services, it has prioritised citizen participation in the co-planning and co-evaluation of services. Although this practice stems primarily from a legislative compliance perspective, the CoG can still learn from the MMM that citizen participation during the co-planning of services must be inherent in service delivery, even when it is argued that political representatives are in a position to take co-planning decisions on behalf of citizens.

#### (ii) Citizen participation in the co-production service delivery cycle

The CoG could learn from the MMM that a lack of citizen participation during some stages of service delivery might not be due to a lack of interest or choice on the part of citizens, but could be the result of the local governance system. Further, though SI might not be consistently used by the CoG in respect of co-planning services, what it could learn from the MMM is that the participation of citizens should increase their capacity to identify and implement solutions to service delivery challenges. From the case of the MMM, the CoG should note that the selective participation of citizens in only some co-production stages might not expand their capacity to make meaningful contributions in other stages of the co-production service delivery cycle. Moreover, the CoG should learn from the MMM that the administration is instrumental in facilitating citizens' participation in line with their capacity, and should empower citizens to develop their capacity for participation.

#### (iii) A social innovation strategy

Whilst the CoG officials used SI to co-produce services in the absence of an SI strategy, what this municipality can learn from the MMM is that an SI strategy is instrumental in determining how the use of SI during LG service delivery could be harnessed when the right conditions exist in the internal organisational context.

#### 7.3.1.3 Lessons learnt for practice

Lessons learnt for practice relate to (i) the planning associated with citizen participation in the co-production service delivery cycle, (ii) the value proposition to citizens, (iii) the participatory expectations of the triad of citizens (including all stakeholders in this category), LG officials, and politicians, (iv) the appeal to citizens of participation in service delivery, (v) the openness of LG officials to citizen participation, (vi) consensus concerning the concept of SI, and its use and implementation, and (vii) the optimal functioning of the service delivery system.

Citizen participation in the respective stages of co-producing services should at no stage be an afterthought, but should be meticulously planned. Such planning requires a conducive internal organisational context that advances

citizen participation in governance and decision-making and that is optimal for enhancing the use of SI during the respective stages of service delivery. Part of this planning is giving consideration to how citizen participation should be carried out for the timeous attainment of targets and deadlines.

Concerning citizen participation in the respective stages of the service delivery cycle, this depends on the value proposition of their participation as well as the benefits (take-away) they can derive from their participation. In this regard, LG officials and politicians have an important role to play in understanding this value proposition, which becomes part of building and establishing a relationship of trust between citizens, LG officials, and politicians. This value proposition could then include the expectations that citizens have of their participation as well as of LG officials and politicians. These expectations should not be underestimated because if they are not met, citizens can lose confidence in LG, which will affect their trust in LG officials and politicians. This could in turn deter further and future participation when SI is used by the municipality to co-produce service delivery. The expectations of the triad when SI is used during the co-production of services should therefore be clarified and there should be mutual agreement about whether their respective participation will result in individual and collective expectations being met.

The extent to which citizen participation is appealing to citizens should not be underestimated, as this could either encourage or deter their participation. Apart from this appeal being crucial to meeting a particular need, this success also depends on ease of participation and the extent to which the municipality creates and offers a variety of spaces that serve as catalysts for citizen participation. Citizen participation should further be made appealing through strategies that make participation attractive to different generations of citizens. In this regard, participation levels amongst the youth and senior citizens would be influenced by how they are reached and the SI spaces available for their participation.

The openness of LG officials to the participation of citizens (comebacks, innovators, aiders, donors, ambassadors) is critical to advancing such participation. Whilst citizens in the case of the MMM were willing to participate in the respective stages of co-producing services when SI was used, the LG administration did not explore this sufficiently. In terms of the concept of SI and its successful use and implementation by the municipality, consensus between the triad is fundamental. With the involvement of the triad, such consensus can be reached through the development of an SI strategy that contributes to the coherent achievement and use of SI and that is aligned to an organisational vision and goal for SI. Even at a departmental level, clarity should be established in both cases concerning the integration of SI in achieving departmental objectives as linked to service delivery. From both cases, it was evident that a lack of such consensus resulted in the inconsistent use and implementation of SI during service delivery.

Regarding the optimal functioning of the service delivery system, both the technical and social systems are required to deliver services. An overreliance on the technical system results in the exclusion of citizens (i) from decision-making processes during the respective stages of the co-production service delivery cycle, (ii) from the governance of service delivery, and (iii) from influencing the quality and direction of service delivery. This overreliance further impairs the ability of the municipality to be responsive to the service delivery needs of citizens.

#### 7.3.1.4 Lessons learnt for future research

Lessons learnt for future research relate to (i) the development of a PA and governance theory that positions citizen participation as central to LG service delivery, (ii) prioritising SI together with technological innovations in regional and national system of innovation, (iii) the symbiotic relationship between the triad that underpins the use of SI during the co-production of service delivery, and (iv) investigating the use of SI during LG service delivery within the framework of city-to-city cooperation between the CoG and the MMM.

This study has illustrated that existing PA and governance theories are not optimal for dealing with the complex societal challenges of the twenty-first century. Although existing PA and governance theories have contributed to shaping the participation of citizens in service delivery, they have not located citizens as central contributors to co-planning, co-designing, co-delivering, and co-evaluating LG service delivery. Future research should therefore consider the development a PA and governance theory that addresses these shortcomings of citizen participation in service delivery. In addition, such research should investigate the relevance of the conventional PA and governance theories for addressing the complex service delivery problems of the twenty-first century. Such research should also contribute to stimulating the discourse regarding the use of SI in the discipline of PA as well as in practice.

Together with technological innovations, the use of SI should be prioritised in regional and national systems of innovation in order to address societal challenges. There has been a predominant focus on the utilisation of technology to drive innovation aimed at addressing, amongst other things, societal challenges. This has resulted in the lagging development and use of SI in addressing such challenges, particularly in the South African context. Similar to a service delivery system, which requires both its technical system and social system to function in equilibrium, innovation systems should be driven by both technological and social innovations. In this regard, a paradigm shift is required in the existing South African policy environment for using SI in service delivery. Such a paradigm shift would require more in-depth research on how the convergence of the technical and social systems could be used to improve service delivery, as well as how the use of SI could be optimised in national and regional systems of innovation to address societal challenges.

In respect of the governance of service delivery, this study illustrated that the use of SI during the co-production of LG service delivery is premised on a symbiotic relationship between citizens, LG officials, and politicians. In the

proposed framework, a role has been respectively delineated for citizens, LG officials, and politicians. These roles demonstrate the interdependent and reciprocal nature of their relationship. The nature of this symbiotic relationship and how it advances or deters the use of SI during the co-production of LG service delivery should be explored in future research.

With regard to city-to-city cooperation between the CoG and the MMM, the use of SI in LG service delivery has not been investigated. This research has highlighted that there are definitely areas of exploration that could be beneficial to both LGs, should they consider an agreement. Through future research, such cooperation could be explored within the framework of city-to-city cooperation based on the exchange of learning experiences, support, and expertise.

#### **7.4 ACHIEVEMENT OF AIM, OBJECTIVES AND RESEARCH QUESTIONS**

The aim of this study was to investigate the use of SI in LG service delivery through a comparative perspective between the CoG (East Flanders province, Belgium) and the MMM (Free State province, SA). The comparative perspective that formed the basis of section 7.3 was presented in section 7.3.1, and the aim of this study was thus achieved.

The respective objectives of the study were achieved as indicated below:

- (i) To analyse PA and governance literature and theories influencing the use of SI: this objective, which was addressed in Chapter 2, was achieved.
- (ii) To determine the extent to which citizen participation underpins SI during LG service delivery: this objective was addressed in Chapters 2, 3, 5, and 6, and was thus achieved.
- (iii) To determine the nature of co-production in SI during LG service delivery: this objective was addressed in Chapters 2, 5, and 6, and was therefore achieved.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery: this objective, as addressed in Chapters 3, 5, and 6, was achieved.
- (v) To present a framework for enhancing the use of SI for improved service delivery by the MMM: this objective is achieved through the presentation of said framework in section 7.5 of this chapter.

The research questions that emerged from the conceptual framework were:

- (i) How do governance systems influence the use of SI during LG service delivery? This research question was answered in Chapters 3, 5, and 6.
- (ii) How does citizen participation underpin SI during LG service delivery? This research question was answered in Chapters 2, 3, 5, and 6.
- (iii) How does co-production underpin the use of SI during LG service delivery? This research question was answered in Chapters 2, 5, and 6.

## **7.5 RECOMMENDATION: A FRAMEWORK FOR ENHANCING THE USE OF SOCIAL INNOVATION FOR IMPROVED SERVICE DELIVERY**

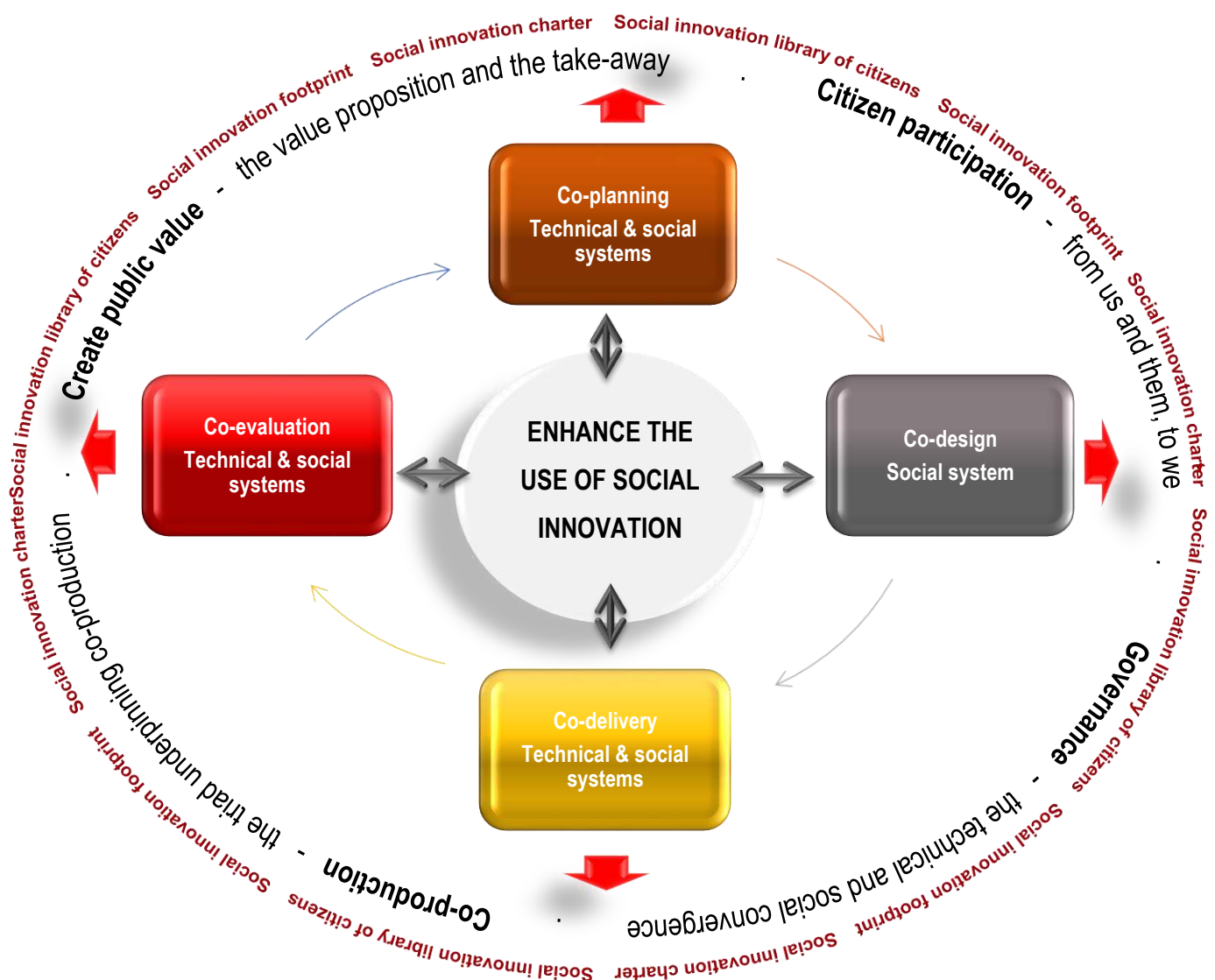
### **7.5.1 A framework for enhancing the use of social innovation for improved service delivery by the Mangaung Metropolitan Municipality**

In this section, the framework that is presented, as illustrated in Figure 15, proposes the adoption of an SI strategy by the municipality, as subsequently discussed. This strategy emphasises the interdependent relationship between citizens, LG officials, and politicians during the use of SI, but more importantly during service delivery. Further, through this strategy, a practical approach is considered in merging the technical and social systems during the delivery of services. This strategy focuses on citizens as an invaluable resource that underpins the identification of service delivery or societal challenges, identifying solutions to these challenges, implementing these solutions, and improving service delivery. As such, the participation of citizens in the respective stages of the co-production service delivery cycle is considered crucial to their empowerment. Against this background, a framework to the adoption of a SI strategy is presented (Figure 15) and then discussed.

#### **7.5.1.1 Adopting a social innovation strategy**

An SI strategy is the first step in the use of SI during the co-production of services by municipalities and citizens. Before the use of SI can be institutionalised within the practices of the LG administration, an SI strategy should be adopted that is underpinned by the creation of public value, governance, citizen participation, and co-production. In developing this SI strategy, stakeholder participation is based on a triad that consists of citizens, the LG officials, and politicians. The respective contributions of this triad should be outlined in the development of this strategy.

In developing an SI strategy for the municipality, the contribution of politicians, as part of the council, commences with setting and influencing the council's agenda to adopt such a strategy. Upon receipt of a draft SI strategy from the administration, politicians should interrogate and scrutinise the meaning of SI for the council, and how SI will be positioned within the vision for the municipality, as they are guardians who must ensure that citizens' preferences are captured in the strategy. In addition, politicians should interrogate how the use of SI should be foreseen in the stages (co-planning, co-designing, co-delivering, co-evaluation) of the co-production service delivery cycle. The LG administration thus acts in an advisory capacity to the council with regard to the adoption of an SI strategy and the use of SI during the co-production service delivery cycle. Further, the administration advises the council about how the current organisational culture, internal organisational context, and service delivery system are conducive to and enhance the use of SI through a co-production service delivery cycle, as well as the value proposition of SI for service delivery, citizens, LG officials, and politicians. This advisory capacity of LG officials makes them the gatekeepers to the use of SI and of citizens' participation in SI during service delivery.



**Figure 15: A framework for enhancing the use of social innovation for improved service delivery**

The LG administration should also consult broadly with citizens during the development of such a strategy and find out how citizens foresee their role during the co-production service delivery cycle. As such, citizens' contribution to adopting an SI strategy requires them to take part in the development of this strategy and to be part of the vision that the municipality has concerning the use of SI. The meaning and value that citizens attach to SI and their participation in it during the co-production of services, that is, what the concept of SI means to them and the difference that the use of SI could make in improving their lives and empowering them, should underpin this SI strategy. Against this background, the creation of public value, governance, citizen participation, and co-production as underpinning the SI strategy are discussed below.

#### *7.5.1.1.1 Creation of public value – the value proposition and the “take-away”*

The value proposition of using SI during service delivery is embedded in the benefit it promises to service delivery and for the triad. It is thus necessary to derive a holistic view of its significance for the triad. For citizens, their participation during the use of SI should be determined by how their participation (skills, resources, knowledge, time), during the respective stages of the co-production service delivery cycle will satisfy their needs related to the delivery of a service. Citizens can thus find value in SI by becoming aware of service delivery challenges in their neighbourhood and improving their current circumstances, or from the prospect of having a particular need met. When that improvement is realised or need met through a particular service, there is a “take-away” for citizens. Whilst the take-away might not materialise immediately after citizen participation has been concluded, it is nevertheless the carrot that should be used by officials and politicians to persuade citizens to invest their time and resources in participation.

For LG officials, the value that they derive from using SI is being able to tap into the knowledge and expertise of citizens (ordinary citizens, knowledge partners, civil society organisations). Such knowledge can assist them to deliver services that are of significance to citizens. The take-away for officials is that in their capacity as private citizens or users of municipal services, improved services also benefit them. Being service users enables LG officials to understand the service delivery needs of citizens from their own perspective. Their perspective as service users enables LG officials to consider possible changes to how they deliver services.

For politicians, the value proposition of using SI is vested in its being an enabling tool to develop informed policies, strategies, and plans, as well as to deliver services linked to the needs and preferences of citizens. It is particularly useful for developing and adopting by-laws that will enhance the delivery of improved services. Policies, strategies, plans, services, and by-laws that are needs based can only be developed through engagements with citizens during which they articulate their service delivery preferences. Such citizen participation is fundamental to good governance and the development of partnerships. This develops the capacity of LG to be more responsive to the service delivery needs of citizens, raises LG’s competency profile with citizens, and has the potential to restore the confidence that citizens might have lost in the municipal council. As a result, the municipal council will be perceived as serious about improving citizens’ quality of life through improved service delivery and as valuing the citizens’ suggestions, proposals, and ideas. The take-away for politicians is that being perceived as a responsive LG raises their profile with citizens, allows the council to be proactive in improving service delivery, and allows politicians to grow their constituency and support base.

#### *7.5.1.1.2 Governance –the technical and social convergence*

Governance relates to making the governance system of the municipality conducive to the use of SI during service delivery, and the extent to which the governance system integrates the technical and social systems of the service delivery system. The latter thus underpins the governance system in respect of service delivery, and this

governance system should be aligned with citizen participation during the respective stages of the co-production service delivery cycle.

The service delivery system of the municipality can be divided into a social and a technical system (Figure 16) that function as a cohesive whole. The technical system (comprising systems, processes, strategies, and procedures to deliver services) cannot function without the input from the social system (comprising citizen participation, preferences, and input in service delivery). The stages of the municipal service delivery cycle are the technical system (stage 1), the social system (stage 2), the technical system again (stage 3), and the technical and social system together (stage 4). The technical system, as the first stage, is in turn influenced by the governance system, which determines the nature and extent of citizen participation in service delivery. This necessitates the adoption of an SI strategy as well as processes, systems, and procedures that facilitate the use of SI in the respective stages of the service delivery cycle. Stage 1 outlines and identifies the participatory platforms that can be used to elicit citizen participation in SI during stage 2. These participatory platforms are the collaborative processes, networks, and SI spaces deemed suitable to elicit citizens' participation. In stage 2, citizen participation (through voice, choice, contribution, control) through SI allows citizens to indicate their service preferences. During this stage, citizens' participation in the respective stages of the co-production service delivery cycle (co-planning, co-design, co-delivery, and co-evaluation) is determined and carried out. In stage 3, the technical system is applied again to transform the input (voice, choice, and contributions) of citizens as obtained during stage 2, and to turn these into services for its end users. In stage 4, the technical and social systems can both be used to deliver services.

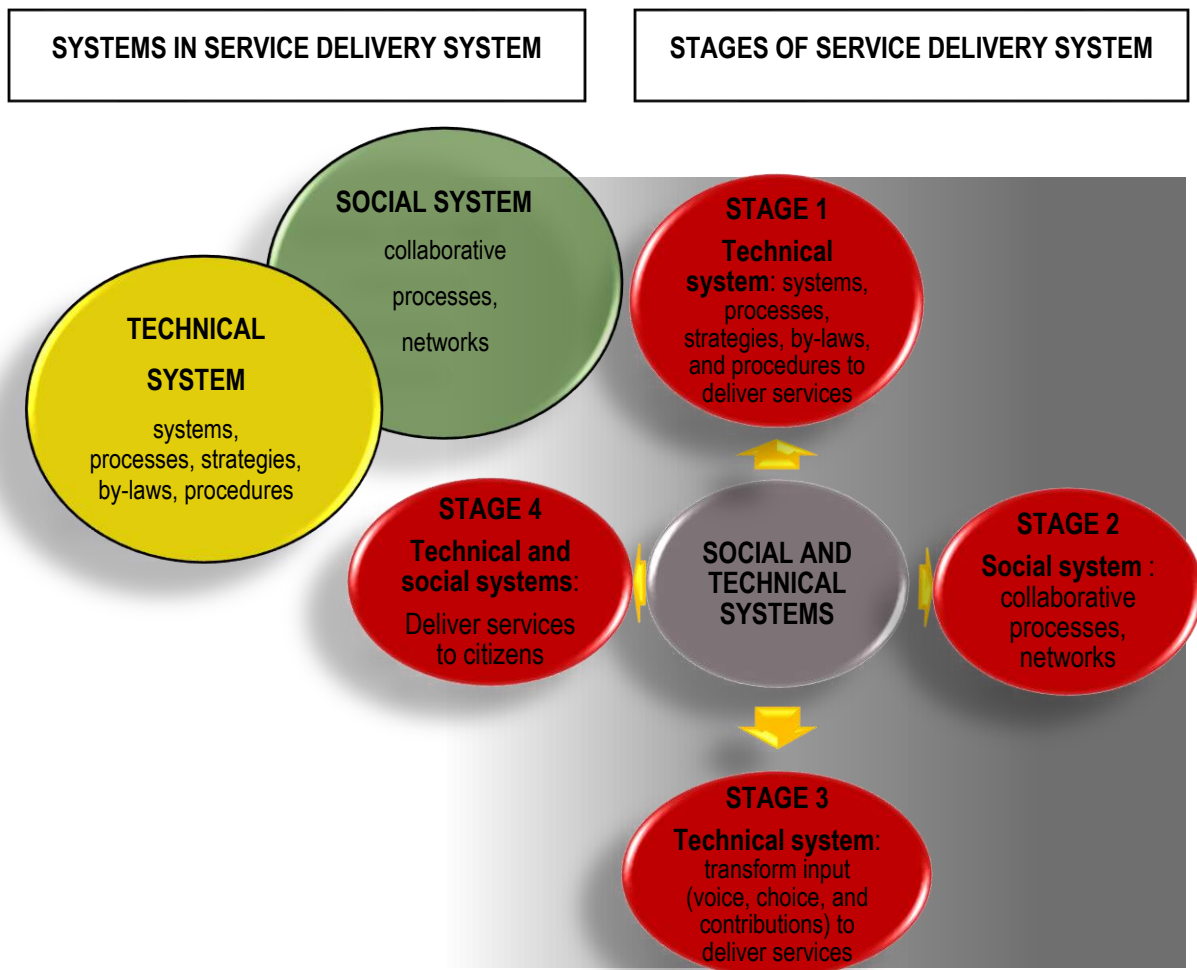
#### 7.5.1.1.3 *Citizen participation – moving from “us and them” to “we”*

In the SI strategy, citizen participation should be addressed through (i) creating platforms (referred to as SI spaces) to facilitate citizen participation through voice, choice, contribution, and control, (ii) citizen empowerment (measured through the municipality's SI footprint), as well as (iii) developing a resource database (referred to as an SI library of citizens). These SI spaces, the SI footprint, and the SI library of citizens are discussed below.

##### (i) Social innovation spaces

Providing platforms (in this framework referred to as SI spaces) that are open to the ideas and participation of citizens fuels creativity amongst citizens to develop solutions, apply techniques, see different perspectives, share and perfect ideas, ignite dialogue, as well as to create and build networks. The creation of SI spaces is therefore an important catalyst to develop and promote a culture of participation in SI amongst citizens, and to advance a community of collaboration and sharing, which in turn contributes to the empowerment of citizens. Social innovation spaces could be created through either (i) taking the SI space to citizens (participation through electronic or virtual platforms), or (ii) by taking citizens to the SI space (non-electronic or physical platforms). Whilst non-electronic platforms bring participants into direct contact with other collaborators and innovators, which could stimulate networks and the development of new ideas, participation through electronic platforms brings the SI space to the

citizens and offers them convenience, flexibility and a range of options to participate at their own pace and in their own time.



**Figure 16: Convergence of the technical and social systems**

During the co-planning of services, electronic platforms could include crowd sourcing and the live streaming of planning meetings. The latter that allows citizens to be part of planning a service but from the convenience of their home. Non-electronic spaces for co-planning could include the formal and informal gatherings where citizens meet with other citizens, LG officials, and politicians to discuss service delivery challenges. Co-planning can also occur within physically created spaces (established by the municipality or stakeholders) such as innovation laboratories, cafés, hubs, and parks that are earmarked for nurturing and supporting innovative ideas and their implementation.

During the co-design of services, SI spaces could include SI hubs, cafés, laboratories, community meetings, and workshops where citizens gather with the specific purpose of designing a service. The process of co-design could also occur at the physical location of the service (taking citizens to the SI space), for example at the site of a planned recreational facility or one that requires upgrading. Together with citizens, LG officials could convene at this recreational facility and citizens could indicate their preference for the layout of the facility. Significantly, this

location based co-design setup allows the service-users and LG officials to consider different ideas and proposals. Electronic or virtual platforms for the co-design of services (taking the SI space to citizens) could include the submission of designs, plans, and proposals via electronic platforms such as the website of the municipality. These electronic platforms offer flexibility and a range of options for participation in co-design. These electronic platforms could even include a virtual presentation of the location(s) where a service will be delivered that will enable potential participants to offer contributions without physically visiting the service delivery site.

The co-delivery of services through non-electronic platforms could occur through the appointment of co-deliverers from the same neighbourhood where the service should be delivered (taking the SI space to the co-deliverer). This approach of appointing co-deliverers from the same neighbourhoods where they reside contributes to creating employment opportunities within these neighbourhoods, and empowers citizens in terms of taking ownership of neighbourhood development. It thus gives decision-making power to neighbourhoods concerning the direction, preferences, and control in respect of the quality and quantity of service delivery. Through electronic platforms, the municipality could host a database with details of co-deliverers per neighbourhood that enables potential co-deliverers to find other co-deliverers with whom they can collaborate. Citizens who review the services delivered by these co-deliverers on an electronic platform could also verify the credibility of co-deliverers. Tracking progress in respect of the co-delivery of services could be done through electronic platforms as well. Non-electronic platforms such as physical meeting spaces (taking citizens to the SI space) could be facilitated by the municipality collaborating with citizens in devising plans to co-deliver services.

During the co-evaluation of services, the perceived experiences of citizens concerning a particular service are evaluated. In this regard, citizens' participation could occur by taking the SI space to citizens through online evaluations and polls, or by taking citizens to the SI space, such as municipal meetings, where they can provide feedback concerning service delivery. They could also take part in location-based evaluation, where citizens convene at the location where the service was delivered to evaluate the service.

#### (ii) Social innovation footprint

The SI footprint of the municipality relates to how the municipality empowers citizens through their participation in the co-production service delivery cycle. As illustrated in Figure 17, the municipality can use this footprint as a measure to assess its current use of SI in the respective stage(s) of the co-production service delivery cycle (step 1). Step 2 requires identifying the municipality's aim in terms of in which stages of the co cycle the use of SI should be improved by the municipality. Step 3 entails identifying interventions to increase the footprint in the respective stages. Step 4 entails sharing this SI footprint with service users to provide a holistic picture of the extent to which the municipality is using SI. This is important in terms of illustrating the efforts of the municipality to improve their use of SI and to empower citizens through their participation. Further, sharing the municipality's SI footprint also serves as a means of encouraging citizens' further participation in SI.

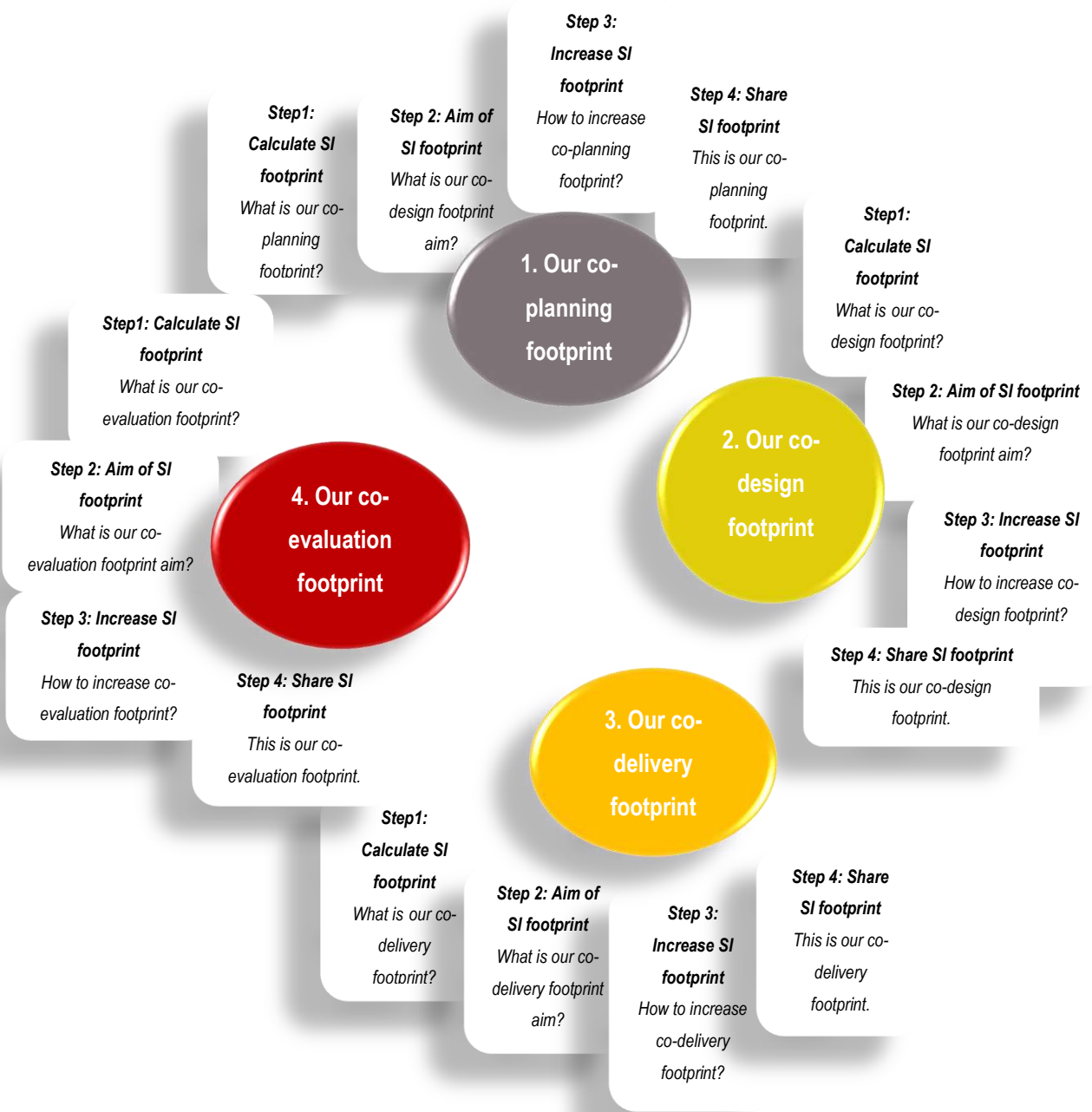


Figure 17: Steps in social innovation footprint

### (iii) Social innovation library of citizens

It is fundamental to the participation of citizens for LG officials to acknowledge citizens' expertise as valuable in addressing the service delivery and societal challenges that they experience. The municipality should thus develop a database that categorises the skills, expertise, and knowledge of citizens according to their focus areas or expressed interests in SI. Such a database can be referred to as an SI library as it will contain information in different categories. The first category relates to retired citizens (also referred to as the "comebacks") with expertise in particular areas of specialisation in service delivery. The second category relates to those citizens who are entrepreneurs and who experiment with new ideas and creativity to address societal challenges (also referred to as the "innovators"). The third category relates to citizens who work on finding innovative solutions to service delivery or societal challenges across the boundaries of their own communities and wards (also referred to as the "aiders"). The fourth category relates to detailing specific resources (also referred to as the "donors") that the general citizen population in the municipality is willing to contribute. The fifth category is the ambassadors, who are used by the municipality to encourage a culture of participation in service delivery amongst citizens.

#### Category 1: The comebacks

The comebacks, who are retired citizens, possess valuable experiences, knowledge, and skills that the municipality can tap into. These citizens are a knowledge and resource hub for the municipality in respect of service delivery areas where expertise might be lacking. The possible value proposition for this group of citizens to participate in SI is the ability to share their accumulated knowledge and resources with a broad audience, to whom they can also serve as mentors. Being able to act as mentors could also serve as a take-away for this group of citizens. Apart from identifying these retired citizens and the expert skills and knowledge that they have, the municipality should likewise identify municipal departments in which such knowledge and expertise are lacking. An analysis of current departmental needs should thus be conducted in order to identify where the expert skills and knowledge of these retired citizens can be optimally utilised.

#### Category 2: The innovators

The innovators seek out and see opportunities in the market, and are concerned with developing ideas to address service delivery and societal challenges. These innovators are concerned with future possibilities and are thus constantly searching for new ideas and for ways these ideas could be turned into practice as viable solutions, business, and employment opportunities. The availability and prospects of access to new ideas might be the value proposition that encourages them to participate in SI. This value proposition makes them a valuable ally to the municipality in respect of generating business ideas and employment opportunities for the co-delivery of services from which citizens can benefit. Seeing these ideas and opportunities materialise could be a take-away for these innovators. These innovators also bring with them a network of connections and resources that could be mobilised.

### Category 3: The aiders

The aiders' participation encompasses the cause (service delivery or societal challenges) at hand and finding a solution. This cause might be aligned with individual or organisational goals, and could be the underlying reason for their participation. As such, aiders could be organisations with a particular mission, and through their participation in SI, their mission and organisational goals could be achieved through the particular cause. This is regardless of whether they participate within the neighbourhood or ward where they reside or which the organisations serve, or whether they help a community in another ward or town. The cause at hand thus becomes the value proposition for their participation, along with the extent to which this cause is aligned with their individual or organisational goals. Achieving these individual and organisational goals could be the take-away for these aiders. These aiders are open to the ideas of other participants as well as to the collaborative sharing of ideas and solutions.

### Category 4: The donors

Donors are citizens who contribute their resources (time, skills, expertise, knowledge, money, infrastructure, equipment) through their participation in SI. These resources are investments that these citizens make in improving the quality of their lives and those of their fellow citizens. It is these investments that present the value proposition for donors to participate, and knowing how their resource contributions resulted in improved service delivery represents their take-away. These donors trust the municipality with their investments, and this requires a well-developed relationship of trust between them and the municipality. Thus, confidence in the municipality as well as a trust relationship are critical to their participation. Being aware of who the donors are, and the specific resources they are willing to contribute, would require of a municipality to develop a database detailing this information. Through electronic and non-electronic platforms, citizens can be requested to register their details and indicate the resources that they are willing to contribute. When targeting these citizens, the municipality should pursue specific strategies that makes the contribution of their resources attractive and appealing to this category of citizens. For example, the same strategy used to attract the participation of the generations Traditionalists (pre-1945) and Baby Boomers (pre 1965) might not necessarily be appealing to Generation X (pre-1980) and Millennials or Generation Y (post-1980).

### Category 5: The ambassadors

This category of citizens includes prominent figures in society who act as service delivery ambassadors, such as community role models, public figures, and ordinary citizens. They are passionate about improving citizens' quality of life by finding solutions to societal challenges. This passion represents the value proposition for their participation as well as the take-away that they would derive from this. The exposure gained from their participation could also serve as a take-away. Whilst the municipality endorses these ambassadors to raise public awareness concerning citizen participation through SI during service delivery, the ambassadors in turn endorse the municipality through their ambassador role. Their duties could thus include fundraising and advocacy duties related to citizen

participation in service delivery, participating in municipal campaigns to encourage citizen participation, and encouraging citizens to play their part in improving the quality of their own lives and that of other citizens.

#### *7.5.1.1.4 Co-production: The triad underpinning the co-production service delivery cycle*

In this SI strategy, the three stakeholder groups, also referred to as the triad, are fundamental participants in SI and their participation thus underpins the co-production of services based on their unique contributions to this process. Whilst citizens' participation in the co-production service delivery cycle should be in respect of the co-planning, co-design, co-delivery, and co-evaluation of services, LG officials as well as politicians have a distinct role in each stage of the cycle, as elaborated on in the remainder of this section.

##### (i) How to co-plan

###### ▪ Role of local government officials

For LG officials, their role in facilitating citizen participation through SI would be to create platforms for citizens to participate in the planning of services. These platforms could be electronic and/or non-electronic. Electronic platforms created by LG officials could entail the use of e-governance platforms and social media to elicit citizen participation. These electronic platforms should be facilitated through a fully functioning municipal website that informs citizens of participation opportunities, a municipal Facebook page, and a municipal Twitter account.

To enhance inclusive citizen participation through the use of these electronic platforms, electronic tools should be provided by the municipality at municipal buildings, multi-purpose centres, and strategic points within neighbourhoods. Municipal meetings should be live-streamed online to accommodate citizens who would like to attend meetings but cannot leave their homes. Encouraging citizens' participation in municipal planning processes should be aimed at coordinating initiatives at a ward-based level, for example through crowdsourcing.

###### ▪ Role of politicians

The role of politicians during the co-planning of services could be in respect of reaching a consensus with citizens regarding service delivery priorities and finding ways to address these priorities. Regular engagements with citizens regarding service delivery challenges experienced in a ward or neighbourhood are thus integral to how politicians co-plan. These engagements can be formal and can take the form of constituent meetings or, in the case of ward councillors, having regular meetings with citizens per ward to keep abreast of service delivery challenges and needs. As representatives of their constituents and citizens, as electorate must ensure that these citizens' needs are brought to the attention of the council during council meetings. Politicians can also engage with citizens in an informal manner (of a social nature), such as when social events are specifically hosted for more direct engagement between politicians and citizens. Such social events can involve the closing off of a street or even a community day in the park where politicians and officials engage with citizens in an informal setting to hear what their service delivery needs are and what should be prioritised.

- Role of citizens

Citizens' role in the planning of services relates to expressing their service delivery priorities and preferences, and suggesting solutions to service delivery challenges. This participation can be through the participatory platforms (electronic and non-electronic) provided by the municipality. Citizens can also co-plan by taking initiative in hosting community events and participatory meetings where they identify service delivery challenges and consolidate these challenges into service delivery priorities for their area. Solutions to these service delivery challenges can also be identified and presented to the LG administration and politicians along with the consolidated challenges. Community role models, public figures, and ordinary citizens can be used as service delivery ambassadors to encourage citizen participation across communities, including those who are currently excluded.

- (i) How to co-design

- Role of local government officials

The role of the LG officials in co-designing services relates to consulting citizens in terms of designing the service they identified during the co-planning stage. Services can be co-designed through electronic platforms, non-electronic platforms, or a combination of both. Non-electronic platforms require LG officials to go back to the community after concluding the co-planning and co-design services together with citizens. Co-designing would include, amongst other things, drawing up the layout of a new neighbourhood, transforming an informal settlement to a formal settlement, regenerating the city centre, or upgrading a community park for children. During the redesigning of the service, the beneficiaries of the particular service should be the main participants and are crucial to this stage. For example, building a youth centre, as identified during the co-planning stage, would require the input and participation of youth in the designing of the centre. Similarly, the upgrading of a community park for children would imply that children from the particular community should participate in designing the layout of the park and identifying the equipment on which they want to play in the park. Transforming an informal settlement into a formal settlement would include current occupants designing the layout of the formal settlement, with LG officials (e.g. engineers and town planners) providing technical assistance.

Crucial to this stage of the co-production service delivery cycle is for officials to develop a database of citizens with expertise and skills in specialised areas. These expert citizens can form part of the consultation sessions with citizens (across neighbourhoods or wards) or even fulfil an advisory role to LG officials in respect of the design of certain services. This advisory role is particularly relevant in communities where participation through representative structures (indirect citizen participation) apply, that is, in areas with more than 100,000 citizens and where direct citizen participation becomes the exception to the rule. Indirect citizen participation could be supplemented with electronic co-design platforms where citizens are encouraged to submit their ideas, proposals, and designs via email, through the municipality's website, on the municipality's Facebook page, or on other electronic platforms. To ensure inclusive participation, LG officials could employ a combination of electronic and non-electronic platforms.

- Role of politicians

The role of politicians in the co-design of services relates to adopting policies and strategies that will create platforms and opportunities for citizens to participate in the design of services through SI. Politicians should play an oversight role in the implementation of these adopted policies and strategies, and should ensure that officials implement them in line with the policy direction of council as well as the integrated development planning process. Another role for politicians is raising awareness concerning the importance of citizen participation in co-designing services, as well as obtaining citizens' support and buy-in for council plans.

- Role of citizens

The role of citizens in the co-design of services relates to expressing their choice and preference of how they want a service to be delivered to them. This choice and preference could entail, amongst other things, detailing time, location, frequency and mode of delivery, and designing layout. Citizens' contributions in respect of their skills, expertise, and knowledge in co-designing a service could take the form of participation in non-electronic platforms, electronic platforms, or a combination of both. Through non-electronic platforms, citizens could participate in co-design meetings planned by the municipality. Through electronic platforms provided by the municipality, citizens can submit plans, designs, ideas, and proposals.

(ii) How to co-deliver

- Role of local government officials

The role of LG officials is to partner with citizens in the co-delivery of services, which could be through (i) using community cooperatives to deliver services and (ii) using reward systems for co-delivery by citizens. In respect of community cooperatives, LG officials have to identify services that citizens can deliver, especially services of which the particular citizens would be the beneficiaries. For example, when transforming an informal settlement to a formal settlement, the labour to build formal housing could be done by the very same citizens who will be the occupants of the houses. The same applies to the delivery of household infrastructure and other services and facilities that would be required in the formal settlement. Instead of outsourcing the delivery of these services through tenders to private contractors, community cooperatives can be established and used to create employment opportunities for citizens. Concerning the use of reward systems for co-delivery by citizens, LG officials could devise a reward system, for example giving citizens vouchers they can trade in at a recognised institution or organisation.

- Role of politicians

Politicians have a role to play in ensuring that the procurement policies and by-laws of the municipality advance the co-delivery of services with citizens. This could include giving consideration to cost-effective alternatives to co-delivering services, such as the formation of cooperatives, in order to facilitate and accelerate the building of coalitions for the co-delivery of services amongst citizens. In line with this, politicians should assess whether this

arrangement of coalitions has had the desired impact on citizens who participated in the co-delivery of services. The efficiency and cost-effectiveness of using co-delivery as opposed to the municipality alone delivering services should also be evaluated by politicians.

- Role of citizens

The role of citizens in the co-delivery of citizens could be to take initiative in the submission of plans and proposals to the municipality to deliver services, as well as to establish community cooperatives that could be used as vehicles to deliver services. Citizens could also deliver certain services, such as taking ownership for maintaining a community park whilst the municipality provides the equipment or material for citizens to deliver the services.

(iii) How to co-evaluate

- Role of LG officials

The role of officials in the co-evaluation of services is (i) to ensure that services are evaluated and to see citizens as core partners in this, (ii) to make it easy for citizens to participate in the evaluation of services through the platforms provided, (iii) to encourage citizens to participate in service evaluations by informing them that their evaluation is valuable, and (iv) to use the citizens' evaluations to improve service delivery. Ensuring service evaluation by citizens means that evaluation should be institutionalised within the practices of the LG administration, and could even mean establishing a service delivery monitoring and evaluation unit as part of municipal performance management. Regardless of whether services are evaluated by electronic or non-electronic platforms, or a combination, service evaluation should become inherent in the organisational culture and should be guided by clearly defined goals. Second, it is important for citizen participation in the evaluation of services to be easy in order to attract citizens to evaluate services. Identifying the most suitable means (whether through a link in an SMS, an email survey, and online survey, or door-to-door visits) to evaluate services should be a critical aspect for consideration in this regard, as it could either enhance or deter citizen participation.

Third, encouraging citizens to participate in service evaluations by informing them that their evaluation is valuable should be done from the perspective that if citizens want to see improvements, their participation is required. Local government officials could conduct campaigns to encourage citizen participation through voice, choice, contribution, and control. In this regard, to encourage such participation, service delivery ambassadors or even a points system that translates into rewards could be used. Finally, using citizens' evaluations to improve service delivery should be viewed from the perspective of service improvements, managing services better, and tailoring future service delivery to citizens' preferences. Evaluations should therefore be structured in such a way that relevant data are obtained to improve services. Further, the data acquired from citizens must be integrated into the future planning, design, and delivery of services.

- Role of politicians

The role of politicians during the co-evaluation of services includes oversight, engaging with citizens regarding their experiences of service delivery, providing feedback on how citizens' input influenced decision-making, and determining the impact of adopted plans and policies. Concerning the impact of policies and plans, politicians' role is to determine their impact and whether they had the desired effect on improving the quality of citizens' lives. In respect of their oversight role, politicians should ensure that citizens' suggestions and proposals during co-evaluation are considered and implemented, where appropriate, to improve service delivery. Moreover, politicians must ensure the adoption of strategies that could result in the improvement of services, and they must monitor this improvement. In terms of engaging citizens, ward councillors have an important role to play in facilitating and encouraging the participation of citizens in their specific wards to take part in the co-evaluation of services. In this regard, these ward councillors also have a responsibility, as representatives of their wards, to provide feedback to citizens concerning their input, proposals, and suggestions that formed part of the co-evaluation, and how these have been incorporated into improvement plans and strategies. This responsibility concerning feedback should also be a priority for the political head of the municipality (mayor or executive mayor, depending on the municipal executive system).

- Role of citizens

Citizens should understand the impact of their participation in respect of the co-evaluation of services, which could be through exercising voice, choice, contribution, and control. By participating in opportunities and platforms facilitated by the municipality, citizens make judgements and they express their views, concerns, values, needs, and experiences concerning service delivery. This participation of citizens should be viewed in respect of enhancing the quality of service delivery for public value creation in service delivery through suggestions, opinion polls, and proposals. The evaluation of services also includes citizens offering suggestions and alternatives to improving service delivery.

These roles of the triad can be captured in an SI charter outlining a summary of the respective roles of the triad during the co-production service delivery cycle. Whilst Table 7 presents a guideline of what an SI charter could entail, such a charter should be jointly developed and endorsed by the LG officials, the politicians, and the citizens of a particular municipality.

Table 7: The social innovation charter

**SOCIAL INNOVATION CHARTER**

CO-PRODUCTION STAGES	THE TRIAD		
	LG OFFICIALS	LG POLITICIANS	CITIZENS
<b>CO-PLANNING</b>			
How do I co-plan?			
<b>CO-DESIGNING</b>			
How do I co-design?			
<b>CO-DELIVERY</b>			
How do I co-deliver?			
<b>CO-EVALUATE</b>			
How do I co-evaluate?			

## 7.6 CONCLUDING REMARKS

This chapter presented a framework for enhancing the use of SI for improved service delivery, and commenced with respondents' perspectives concerning such a framework (section 7.2). Section 7.3 presented lessons learnt from the comparative approach adopted (section 7.3.1), namely from the CoG for the MMM (section 7.3.1.1), from the MMM for the CoG (section 7.3.1.2), for practice (section 7.3.1.3), and, finally, for future research (section 7.3.1.4). Subsequently, section 7.4 discussed the achievement of the aim and objectives, and the answering of the research questions. This was followed by section 7.5, which made recommendations for the MMM through a framework for enhancing the use of SI for improved service delivery in LG (section 7.5.1).

The aim of this study was to investigate the use of SI in LG service delivery through a comparison between the CoG and the MMM. This aim was justified by the fact that the use of SI in the South African LG sphere lags behind the growing use thereof in public sector service delivery by LGs globally. This necessitated a comprehensive understanding of the use of SI in LG service delivery in the CoG and the MMM. This understanding was then deemed appropriate to inform a framework for its enhanced used by the MMM amidst service delivery challenges that confront this municipality.

This study was conducted during a period where achieving the targets of the 2030 sustainable development goals is no longer merely the responsibility of government. Instead, achieving these goals depends heavily on collaborative approaches, such as SI, between government and civil society, the latter of which includes citizens.

Moreover, it has become apparent that current PA and governance theories may no longer be adequate to deal with the complex societal problems of the twenty-first century and the growing demands of citizens. In light of this, through a qualitative research design combined with a case study approach, this study presented contextual research that explored the phenomenon of using SI during LG service delivery and how it exists within different LG contexts. Through explanatory research, this study highlighted the drivers that underpin the use of SI during LG service delivery and its occurrences, and examined reasons for associations between the nature of the phenomenon and how it is organised in the two local contexts. In line with generative research, this study also made contributions pertinent to the PA and SI discourses, the policy and LG spheres in Belgium and SA, the LG service delivery environments in the CoG and the MMM, and a framework for the enhanced use of SI in LG service delivery.

The findings highlighted the development of a PA and governance theory that will position citizen participation as central to LG service delivery in light of the shortcomings concerning citizen participation of traditional PA, NPM, and NPG. Moreover, it was illustrated that sustainable, quality and quantity service delivery is not automatically a result of open governance systems, but instead depends on who participates in finding solutions and in delivering and governing services. The findings emphasised that governance is embedded in the equilibrated use of the social and technical systems that make up the service delivery system. Additionally, it was illustrated that the use of SI during the co-production of LG service delivery is premised on a symbiotic, interdependent and reciprocal relationship between citizens, LG officials and politicians.

Practical implications emanating from the findings include the need to plan meticulously citizens' participation when SI is used during the respective stages of the co-production service delivery cycle. Co-producing services, however, requires a conducive internal organisational context that advances citizen participation in the governance and decision-making of service delivery, but which is likewise optimal for enhancing the use of SI during the respective co-production service delivery stages. Achieving a conducive internal organisational context is influenced by the role of LG officials and politicians in understanding the value proposition of participation in service delivery to citizens. This value proposition is crucial to building and establishing a trust relationship between citizens, LG officials, and politicians. Lastly, consensus concerning the concept of SI and its use and implementation is important to ensure its consistent use and application by a municipality.

This study concluded by proposing a framework for the adoption of an SI strategy. This strategy offered a practical approach to the use of SI by outlining the respective roles of citizens, LG officials, and politicians as the triad that underlies the use of SI during service delivery. The framework engenders political and administrative accountability to citizens, building trust, ownership for joint problem-solving amongst citizens, citizen empowerment through participatory decision-making processes, and advancing democratic principles and values. Through the framework

provided in this strategy, convergence between the technical and social systems was proposed as central to the use of SI and its utilisation for improving service delivery.

From this thesis the following excerpts have been published:

- Biljohn, M. & Lues, L., 2016, The role of local government in using social innovation for improved service delivery A 21st century strategy with reference to South Africa, *African Journal of Public Affairs*, 9(3) September, 70-80.
- Biljohn, M. 2017, Social innovation, an alternative approach to South African Local Government service delivery? *African Journal of Public Affairs*, 9(7) June, 53-65.

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**ATTACHMENT A: SEMI-STRUCTURED INTERVIEW SCHEDULE: MANGAUNG METROPOLITAN MUNICIPALITY OFFICIALS**

**SEMI-STRUCTURED INTERVIEW SCHEDULE**

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service delivery decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extend to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: “Social innovation and service delivery by local government: A comparative perspective”.

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher’s concluding the study, which is expected to be at the beginning of 2018.
7. The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

**Instructions:**

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

<b>Gender</b>	<b>Female</b>	<b>Male</b>	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problems. The use of social innovation by a local government authority such as the Mangaung Metropolitan Municipality can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems such as maintaining clean parks or safety in neighbourhoods, as well as other societal problems, for example, unemployment during the stages of planning for a service and designing, delivering or evaluating a service.

1.	What strategies are used to elicit citizen participation during the planning, design, delivery, and evaluation of services rendered by the Mangaung Metropolitan Municipality?	
2.	Given the mentioned platforms and strategies to elicit citizen participation in service delivery, do citizens make use of these platforms?	
3.	How do the mentioned strategies used by the Mangaung Metropolitan Municipality, create platforms for citizens to make contributions to service delivery in the form of experiences, skills, resources and or knowledge?	
4.	How does the Mangaung Metropolitan Municipality view the concept of social innovation?	
5.	Does the Mangaung Metropolitan Municipality have a strategy for the use of social innovation during service delivery?	
		Yes      No      Not sure
6.	If your answer to question 5 is yes, how is this strategy implemented?	
7.	How is the use of social innovation during service delivery institutionalised within the practices of the administration of the Mangaung Metropolitan Municipality?	
8.	How would you describe the level of citizen participation (if there is any) when social innovation is used during service delivery by the Mangaung Metropolitan Municipality?	
9.	What could be the nature of citizen participation during social innovation when it is used by the Mangaung Metropolitan Municipality for service delivery?	

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**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** One of the elements of social innovation is the co-production of services, which involves citizens in the creation of a service. For example, the Mangaung Metropolitan Municipality co-producing a service with its citizens could comprise citizen participation, through their knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery, and co-evaluation of services delivered by the Mangaung Metropolitan Municipality. Citizen participation during the co-planning of a service could involve, for example, citizens informing the Mangaung Metropolitan Municipality of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the Mangaung Metropolitan Municipality regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the Mangaung Metropolitan Municipality. Citizen participation during the co-evaluation of a service could involve, for example, citizens participating in evaluating the quality of services rendered by the Mangaung Metropolitan Municipality.

10.	How does the Mangaung Metropolitan Municipality view the concept of co-production (co-planning, co-design, co-delivery, co-evaluation)?	
11.	Does the Mangaung Metropolitan Municipality have a strategy for the co-production of services?	
		Yes      No      Not sure
12.	If your answer to question 11 is yes, how is this strategy implemented?	
13.	How is co-production applied (if at all) by the Mangaung Metropolitan Municipality when social innovation is used during service delivery?	
14.	What could be the nature of citizen participation during co-production when it is used by the Mangaung Metropolitan Municipality for service delivery?	

**SECTION C: THE IMPACT OF LOCAL GOVERNANCE SYSTEMS ON THE USE OF SOCIAL INNOVATION DURING SERVICE DELIVERY**

**Explanation:** The participation of citizens (voters, service users, consumers, end users, organised partners) during local government service delivery changes the exclusive governance of service delivery (exercising decision-making authority over it) by a local government authority. This participation of citizens in the planning, design, delivery and evaluation of

services is influenced by the governance system of the local government authority. This governance system can either promote (if it is an open governance system) or inhibit (if it is a closed governance system) citizen participation in decision-making processes regarding service delivery and, in turn, the use of social innovation during service delivery.	
15.	What is the role of the Free State province in terms of the Mangaung Metropolitan Municipality's capacity to use social innovation during service delivery?
16.	To what extent is the use of social innovation during service delivery by the Mangaung Metropolitan Municipality compatible with its governance system (allowing or prohibiting citizens' participation in decision-making processes regarding service delivery)?

<b>SECTION D: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY</b>							
<b>Explanation:</b> The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how local government can enhance the use of social innovation during service delivery is deemed essential. This perspective will be helpful to inform a framework for the enhanced use of social innovation in local government service delivery.							
17.	Do you think the use of social innovation during service delivery by the Mangaung Metropolitan Municipality is important?						
	<table border="1"> <tr> <td></td> <td>Yes</td> <td></td> <td>No</td> <td></td> <td>Not sure</td> </tr> </table>		Yes		No		Not sure
	Yes		No		Not sure		
18.	Please motivate your answer to question 17.						
19.	What could be the driver(s) for the use of social innovation by the Mangaung Metropolitan Municipality?						
	To create public value						
	To render improved services to citizens						
	For the Mangaung Metropolitan Municipality to save costs						
	Other (please elaborate)						
20.	What could be done by the Mangaung Metropolitan Municipality to improve its use of social innovation during service delivery?						

21.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the Margaung Metropolitan Municipality?	
22.	What could be done by the Margaung Metropolitan Municipality to improve citizen participation in its decision-making processes when it comes to service delivery?	
23.	Would you like to make any final remarks towards the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?	

**ATTACHMENT B: SEMI-STRUCTURED INTERVIEW SCHEDULE: ACADEMIC – MANGAUNG METROPOLITAN MUNICIPALITY**

**SEMI-STRUCTURED INTERVIEW SCHEDULE**

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service production decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation (SI) for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: “Social innovation and service delivery by local government: A comparative perspective”.

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher’s concluding the study, which is expected to be at the beginning of 2018.

The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

**Instructions:**

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

	<b>Gender</b>	<b>Female</b>	<b>Male</b>

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problem. The use of social innovation by a local government authority such as the Mangaung Metropolitan Municipality can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems such as maintaining clean parks or safety in neighbourhoods, as well as other societal problems, for example, unemployment during the stages of planning for a service and designing, delivering or evaluating a service.

1.	What is your view on citizen participation during the stages (planning, design, delivery, evaluation) of service delivery by the Mangaung Metropolitan Municipality?	
2.	What is your understanding of the use of social innovation during local government service delivery?	
3.	What is your view on the use of social innovation (if it is used) by the Mangaung Metropolitan Municipality to deliver services to its citizens?	
4.	What could be the nature of citizen participation during social innovation when it is used by the Mangaung Metropolitan Municipality for service delivery?	

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** One of the elements of social innovation is the co-production of services. For example, the Mangaung Metropolitan Municipality co-producing a service with its citizens could comprise citizen participation, through knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery and co-evaluation of services delivered by the Mangaung Metropolitan Municipality.

5.	What is your understanding of the use of co-production during local government service delivery?	
6.	How do you view citizen participation during the co-production of services by the Mangaung Metropolitan Municipality?	
7.	What could be the nature of citizen participation during co-production when it is used by the Mangaung Metropolitan Municipality for service delivery?	



	To create public value		
	To render improved services to citizens		
	For the Margaung Metropolitan Municipality to save costs		
	Other (please elaborate)		
15.	What could be done by the Margaung Metropolitan Municipality to improve its use of social innovation during service delivery?		
16.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the Margaung Metropolitan Municipality?		
17.	What could be done by the Margaung Metropolitan Municipality to improve citizen participation in its decision-making processes when it comes to service delivery?		
18.	Would you like to make any final remarks towards the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?		

**ATTACHMENT C: FOCUS GROUP DISCUSSION SCHEDULE: MANGAUNG METROPOLITAN MUNICIPALITY OFFICIALS**

**FOCUS GROUP SCHEDULE**

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service delivery decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation (SI) for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: “Social innovation and service delivery by local government: A comparative perspective”.

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher’s concluding the study, which is expected to be at the beginning of 2017.
7. The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

**Instructions:**

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

<b>Gender ratio of the group</b>	<b>Female</b>	<b>Male</b>	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problem. The use of social innovation by a local government authority such as the Mangaung Metropolitan Municipality can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems, such as maintaining clean parks, safety in neighbourhoods and other societal problems, at the stages of planning for, designing, delivering or evaluating a service.

1.	What is your understanding of the concept of social innovation when it comes to local government service delivery?	
2.	Does the Mangaung Metropolitan Municipality have a strategy for the use of social innovation during service delivery?	
		Yes      No      Not sure
3.	How is this strategy implemented?	
4.	How would you describe the level of citizen participation (if there is any) when social innovation is used during service delivery by the Mangaung Metropolitan Municipality?	

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** One of the elements of social innovation is the co-production of services, which involves citizens in the creation of a service. For example, the Mangaung Metropolitan Municipality co-producing a service with its citizens could comprise citizen participation, through their knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery, and co-evaluation of services delivered by the Mangaung Metropolitan Municipality. Citizen participation during the co-planning of a service could involve, for example, citizens informing the Mangaung Metropolitan Municipality of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the Mangaung Metropolitan Municipality regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the Mangaung Metropolitan Municipality. Citizen participation during the co-evaluation of a service could

involve, for example, citizens participating in evaluating the quality of services rendered by the Mangaung Metropolitan Municipality.						
5.	What is your understanding of the concept of “co-production” when it comes to local government service delivery?					
6.	Does the Mangaung Metropolitan Municipality have a strategy for the co-production of services?					
		Yes	No		Not sure	
7.	If your answer to question 6 is yes, could you please illustrate how this strategy is implemented?					
8.	How is co-production applied (if at all) by the Mangaung Metropolitan Municipality when social innovation is used during service delivery?					

<b>SECTION C: THE IMPACT OF LOCAL GOVERNANCE SYSTEMS ON THE USE OF SOCIAL INNOVATION DURING SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.</b>						
<b>Explanation:</b> The participation of citizens (voters, service users, consumers, end users, organised partners) during local government service delivery changes the exclusive governance of service delivery (exercising decision-making authority over it) by a local government authority. This participation of citizens in the planning, design, delivery and evaluation of services is influenced by the governance system of the local government authority. This governance system can either promote (if it is an open governance system) or inhibit (if it is a closed governance system) citizen participation in decision-making processes regarding service delivery and, in turn, the use of social innovation during service delivery.						
9.	What is your view on the participation of citizens in the Mangaung Metropolitan Municipality's decision-making processes regarding service delivery?					
10.	To what extent is the use of social innovation during service delivery by the Mangaung Metropolitan Municipality compatible with its governance system (allowing or prohibiting citizens' participation in decision-making processes regarding service delivery)?					
11.	To what extent can you as the administration use social innovation during service delivery?					
12.	What is the role of the Free State province in terms of the Mangaung Metropolitan Municipality's capacity to use social innovation during service delivery?					

**SECTION D: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

**Explanation:** The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how local government can enhance the use of social innovation during service delivery is deemed essential. This perspective will help to inform a framework for the enhanced use of social innovation in local government service delivery.

13.	Do you think the use of social innovation during service delivery in the Mangaung Metropolitan Municipality is important?					
		Yes		No		Not sure
14.	Please motivate your answer to question 13.					
15.	What would be the driver(s) for the use of social innovation by the Mangaung Metropolitan Municipality?					
				To create public value		
				To render improved services to citizens		
				For the Mangaung Metropolitan Municipality to save costs		
				Other (please elaborate)		
16.	What could be done by the Mangaung Metropolitan Municipality to improve its use of social innovation during service delivery?					
17.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the Mangaung Metropolitan Municipality?					
18.	What could be done by the Mangaung Metropolitan Municipality to improve citizen participation in its decision-making processes when it comes to service delivery?					
19.	Would you like to make any final remarks about the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?					

## **ATTACHMENT D: FOCUS GROUP DISCUSSION SCHEDULE: MANGAUNG METROPOLITAN MUNICIPALITY CITIZENS**

### **FOCUS GROUP SCHEDULE**

1. Welcome.
2. The researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service production decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: "Social innovation and service delivery by local government: A comparative perspective".

4. The researcher requests permission to record the discussion using a voice recorder.
5. The researcher explains the order of the discussions. As an ice-breaker, the participants will be expected to introduce themselves, and the discussions (which will be recorded) will follow. All participants will be given a chance to contribute to the discussions.
6. The participants are informed that they will receive the outcomes of these discussions via the Mangaung Metropolitan municipality upon the researcher's concluding the study, which is expected to be in 2018. All participants are requested to provide their contact information on the circulated attendance register.
7. Participants are informed that their responses will be treated with confidentiality. This means that they may be quoted during the reporting of the findings, but such quotes will not be attributed to them by name.
8. Participants are requested to share what they really think and to provide open and honest contributions to the discussion, even if in disagreement with other participants.

#### **Instructions:**

1. Kindly turn off your cell phones or put them on silent.
2. Every person is expected to participate (there are no wrong answers).
3. Please speak loudly for the sake of audibility. You are requested to speak in English, but an interpreter is available.

4. Please be direct and straightforward in your answers, being mindful of the fact that we have limited time.
5. Please respect one another's views.

Gender ratio of the group		Females	Males

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MANGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation (questions 1–4):** Citizen participation during local government service delivery encompasses citizens (voters, service users, consumers, end users, organised partners) vocally expressing themselves regarding their service needs or service preferences (voice), being able to make choices about preferred services (choice), contributing resources, time and knowledge in service planning, design, delivery or evaluation (contribution) or being involved in the regulation of services (control).

**Explanation (questions 5–6):** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problems. The use of social innovation by a local government authority such as the Mangaung Metropolitan municipality can involve citizen participation in identifying and implementing innovative solutions to service delivery problems, such as maintaining clean parks or safety in neighbourhoods through the stages of planning for a service and designing, delivering or evaluating a service.

1.	What is your understanding of the concept of “citizen participation in service delivery” when it comes to service delivery by the Mangaung Metropolitan municipality?	
2.	Does the Mangaung Metropolitan municipality allow citizen participation in its decision-making processes when it comes to service delivery?	
		Yes      No      Not sure
3.	Please motivate your answer to question 2.	
4.	Please give an example of how you have participated in decision-making processes of the Mangaung Metropolitan municipality when it comes to service delivery.	
5.	What is your understanding of the concept of “social innovation” when it comes to local government service delivery?	

6.	Have you as a citizen participated in social innovation during service delivery by the Margaung Metropolitan municipality?					
		Yes		No		Not sure
7.	Please motivate your answer to question 6.					

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE MARGAUNG METROPOLITAN MUNICIPALITY.**

**Explanation:** Co-production involves citizens in the creation of a service. The co-production of a service by the Margaung Metropolitan municipality with its citizens could consist of citizen participation, through knowledge and resources in identifying and implementing solutions to service delivery problems, through the co-planning, co-design, co-delivery and co-evaluation of services delivered by the Margaung Metropolitan municipality. Citizen participation during the co-planning of a service could involve, for example, citizens informing the Margaung Metropolitan municipality of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the Margaung Metropolitan municipality regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the Margaung Metropolitan municipality. Citizen participation during the co-evaluation of a service could involve, for example, citizens participating in evaluating the quality of services rendered by the Margaung Metropolitan municipality.

8.	In which of the following stages of the co-production of services have you participated?	
	Co-planning of a service	
	Co-design of a service	
	Co-delivery of a service	
	Co-evaluation of a service	
	None of the above	
9.	If you have participated, please give an example of how you have participated in the co-production of services by the Margaung Metropolitan municipality.	
10.	What was the nature of this participation? Did you participate in the co-production of this service to find or to plan, design or deliver an innovative solution to service delivery?	

**SECTION C: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

**Explanation:** The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how the use of social innovation can be enhanced by local government during service delivery is deemed essential. This perspective will be helpful to inform a framework for the enhanced use of social innovation in local government service delivery.

11.	Please give an example of how your participation in the Margaung Metropolitan municipality's decision-making processes can be improved when it comes to service delivery.	
12.	Please give an example of how the Margaung Metropolitan municipality can improve its use of social innovation when it comes to service delivery.	
13.	How do you think social innovation can be undertaken during service delivery by the Margaung Metropolitan municipality?	

**ATTACHMENT E: SEMI-STRUCTURED INTERVIEW SCHEDULE: CITY OF GHENT OFFICIALS**

**SEMI-STRUCTURED INTERVIEW SCHEDULE: OFFICIALS - CITY OF GHENT**

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service delivery decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation (SI) for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extend to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: “Social innovation and service delivery by local government: A comparative perspective”.

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher’s concluding the study, which is expected to be at the beginning of 2017.
7. The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

**Instructions:**

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

<b>Gender</b>	<b>Female</b>	<b>Male</b>	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problems. The use of social innovation by a local government authority such as the City of Ghent can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems such as maintaining clean parks or safety in neighbourhoods, as well as other societal problems, for example, unemployment during the stages of planning for a service and designing, delivering or evaluating a service.

1.	What strategies are used to elicit citizen participation during the planning, design, delivery, and evaluation of services rendered by the City of Ghent?	
2.	Given the mentioned platforms and strategies to elicit citizen participation in service delivery, do citizens make use of these platforms?	
3.	How do the mentioned strategies used by the City of Ghent, create platforms for citizens to make contributions to service delivery in the form of experiences, skills, resources and or knowledge?	
4.	How does the City of Ghent view the concept of social innovation?	
5.	Does the City of Ghent have a strategy for the use of social innovation during service delivery?	
		Yes      No      Not sure
6.	If your answer to question 5 is yes, how is this strategy implemented?	
7.	How is the use of social innovation during service delivery institutionalised within the practices of the administration of the City of Ghent?	
8.	How would you describe the level of citizen participation (if there is any) when social innovation is used during service delivery by the City of Ghent?	
9.	What could be the nature of citizen participation during social innovation when it is used by the City of Ghent for service delivery?	

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** One of the elements of social innovation is the co-production of services, which involves citizens in the creation of a service. For example, the City of Ghent co-producing a service with its citizens could comprise citizen participation, through their knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery, and co-evaluation of services delivered by the City of Ghent. Citizen participation during the co-planning of a service could involve, for example, citizens informing the City of Ghent of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the City of Ghent regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the City of Ghent. Citizen participation during the co-evaluation of a service could involve, for example, citizens participating in evaluating the quality of services rendered by the City of Ghent.

10.	How does the City of Ghent view the concept of co-production (co-planning, co-design, co-delivery, co-evaluation)?	
11.	Does the City of Ghent have a strategy for the co-production of services?	
		Yes      No      Not sure
12.	If your answer to question 11 is yes, how is this strategy implemented?	
13.	How is co-production applied (if at all) by the City of Ghent when social innovation is used during service delivery?	
14.	What could be the nature of citizen participation during co-production when it is used by the City of Ghent for service delivery?	

**SECTION C: THE IMPACT OF LOCAL GOVERNANCE SYSTEMS ON THE USE OF SOCIAL INNOVATION DURING SERVICE DELIVERY**

**Explanation:** The participation of citizens (voters, service users, consumers, end users, organised partners) during local government service delivery changes the exclusive governance of service delivery (exercising decision-making authority over it) by a local government authority. This participation of citizens in the planning, design, delivery and evaluation of services is influenced by the governance system of the local government authority. This governance system can either promote (if it is an

open governance system) or inhibit (if it is a closed governance system) citizen participation in decision-making processes regarding service delivery and, in turn, the use of social innovation during service delivery.		
15.	What is the role of the Free State province in terms of the City of Ghent's capacity to use social innovation during service delivery?	
16.	To what extent is the use of social innovation during service delivery by the City of Ghent compatible with its governance system (allowing or prohibiting citizens' participation in decision-making processes regarding service delivery)?	

**SECTION D: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

**Explanation:** The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how local government can enhance the use of social innovation during service delivery is deemed essential. This perspective will be helpful to inform a framework for the enhanced use of social innovation in local government service delivery.

17.	Do you think the use of social innovation during service delivery by the City of Ghent is important?	
	Yes	No
		Not sure
18.	Please motivate your answer to question 17.	
19.	What could be the driver(s) for the use of social innovation by the City of Ghent?	
	To create public value	
	To render improved services to citizens	
	For the City of Ghent to save costs	
	Other (please elaborate)	
20.	What could be done by the City of Ghent to improve its use of social innovation during service delivery?	
21.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the City of Ghent?	

22.	What could be done by the City of Ghent to improve citizen participation in its decision-making processes when it comes to service delivery?	
23.	Would you like to make any final remarks towards the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?	

## ATTACHMENT F: SEMI-STRUCTURED INTERVIEW SCHEDULE: ACADEMIC – CITY OF GHENT

### SEMI-STRUCTURED INTERVIEW SCHEDULE

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service production decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: "Social innovation and service delivery by local government: A comparative perspective".

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher's concluding the study, which is expected to be at the beginning of 2017.
7. The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

#### Instructions:

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

	Gender	Female	Male	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problem. The use of social innovation by a local government authority such as the City of Ghent can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems such as maintaining clean parks or safety in neighbourhoods, as well as other societal problems, for example, unemployment during the stages of planning for a service and designing, delivering or evaluating a service.

1.	What is your view on citizen participation during the stages (planning, design, delivery, evaluation) of service delivery by the City of Ghent?	
2.	What is your understanding of the use of social innovation during local government service delivery?	
3.	What is your view on the use of social innovation (if it is used) by the City of Ghent to deliver services to its citizens?	
4.	What could be the nature of citizen participation during social innovation when it is used by the City of Ghent for service delivery?	

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** One of the elements of social innovation is the co-production of services. For example, the City of Ghent co-producing a service with its citizens could comprise citizen participation, through knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery and co-evaluation of services delivered by the City of Ghent.

5.	What is your understanding of the use of co-production during local government service delivery?	
6.	How do you view citizen participation during the co-production of services by the City of Ghent?	

7.	What could be the nature of citizen participation during co-production when it is used by the City of Ghent for service delivery?	
<b>SECTION C: THE IMPACT OF LOCAL GOVERNANCE SYSTEMS ON THE USE OF SOCIAL INNOVATION DURING SERVICE DELIVERY</b>		
<p><b>Explanation:</b> The participation of citizens (voters, service users, consumers, end users, organised partners) during local government service delivery changes the exclusive governance of service delivery (exercising decision-making authority over it) by a local government authority. This participation of citizens in the planning, design, delivery and evaluation of services is influenced by the governance system of the local government authority. This governance system can either promote (if it is an open governance system) or inhibit (if it is a closed governance system) citizen participation in decision-making processes regarding service delivery and, in turn, the use of social innovation during service delivery.</p>		
8.	To what extent do closed and open governance systems have an impact on service delivery to citizens?	
9.	To what extent do closed and open governance systems have an impact on the use of social innovation during local government service delivery?	
10.	What is your view on the participation of citizens in the City of Ghent's decision-making processes regarding service delivery?	
11.	To what extent is the use of social innovation during service delivery by the City of Ghent compatible with its governance system (allowing or prohibiting citizens' participation in decision-making processes regarding service delivery)?	

<b>SECTION D: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY</b>						
<p><b>Explanation:</b> The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how local government can enhance the use of social innovation during service delivery is deemed essential. This perspective will be helpful to inform a framework for the enhanced use of social innovation in local government service delivery.</p>						
12.	Do you think the use of social innovation during service delivery in the City of Ghent is important?					
		Yes		No		Not sure
13.	Please motivate your answer to question 12.					

14.	What could be the driver(s) for the use of social innovation by the City of Ghent?	
	To create public value	<input type="checkbox"/>
	To render improved services to citizens	<input type="checkbox"/>
	For the City of Ghent to save costs	<input type="checkbox"/>
	Other (please elaborate)	<input type="checkbox"/>
15.	What could be done by the City of Ghent to improve its use of social innovation during service delivery?	
16.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the City of Ghent?	
17.	What could be done by the City of Ghent to improve citizen participation in its decision-making processes when it comes to service delivery?	
18.	Would you like to make any final remarks towards the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?	

## ATTACHMENT G: FOCUS GROUP DISCUSSION SCHEDULE: CITY OF GHENT OFFICIALS

### FOCUS GROUP SCHEDULE

1. Welcome.
2. Researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service delivery decisions of local government through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: "Social innovation and service delivery by local government: A comparative perspective".

4. The researcher requests permission to record the discussion with a voice recorder.
5. The researcher explains the order of the discussion.
6. The participant is informed that he or she will receive the outcomes of this discussion via email through his or her office upon the researcher's concluding the study, which is expected to be at the beginning of 2017.
7. The participant is informed that his or her responses will be treated with confidentiality. This means that he or she may be quoted during the reporting of the findings, but such quotes will not be attributed to him or her by name.

#### Instructions:

1. Kindly turn off your cell phone or put it on silent.
2. Please answer the questions honestly and openly (there is no right or wrong answer).

	Gender ratio of the group	Females	Males	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problem. The use of social innovation by a local government authority such as the City of Ghent can involve the participation of citizens (voters, service users, consumers, end users, organised partners) in identifying and implementing innovative solutions to service delivery problems, such as maintaining clean parks, safety in neighbourhoods and other societal problems, at the stages of planning for, designing, delivering or evaluating a service.

1.	What is your understanding of the concept of social innovation when it comes to local government service delivery?	
2.	Does the City of Ghent have a strategy for the use of social innovation during service delivery?	
		Yes      No      Not sure
3.	How is this strategy implemented?	
4.	How would you describe the level of citizen participation (if there is any) when social innovation is used during service delivery by the City of Ghent?	

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** One of the elements of social innovation is the co-production of services, which involves citizens in the creation of a service. For example, the City of Ghent co-producing a service with its citizens could comprise citizen participation, through their knowledge and resources, in identifying and implementing solutions to service delivery by means of the co-planning, co-design, co-delivery, and co-evaluation of services delivered by the City of Ghent. Citizen participation during the co-planning of a service could involve, for example, citizens informing the City of Ghent of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the City of Ghent regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the City of Ghent. Citizen participation during the co-evaluation of a service could involve, for example, citizens participating in evaluating the quality of services rendered by the City of Ghent.

5.	What is your understanding of the concept of “co-production” when it comes to local government service delivery?	
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6.	Does the City of Ghent have a strategy for the co-production of services?				
		Yes		No	Not sure
7.	If your answer to question 6 is yes, could you please illustrate how this strategy is implemented?				
8.	How is co-production applied (if at all) by the City of Ghent when social innovation is used during service delivery?				

**SECTION C: THE IMPACT OF LOCAL GOVERNANCE SYSTEMS ON THE USE OF SOCIAL INNOVATION DURING SERVICE DELIVERY BY THE CITY OF GHENT**

**Explanation:** The participation of citizens (voters, service users, consumers, end users, organised partners) during local government service delivery changes the exclusive governance of service delivery (exercising decision-making authority over it) by a local government authority. This participation of citizens in the planning, design, delivery and evaluation of services is influenced by the governance system of the local government authority. This governance system can either promote (if it is an open governance system) or inhibit (if it is a closed governance system) citizen participation in decision-making processes regarding service delivery and, in turn, the use of social innovation during service delivery.

9.	What is your view on the participation of citizens in the City of Ghent's decision-making processes regarding service delivery?	
10.	To what extent is the use of social innovation during service delivery by the City of Ghent compatible with its governance system (allowing or prohibiting citizens' participation in decision-making processes regarding service delivery)?	
11.	To what extent can you as the administration use social innovation during service delivery?	
12.	What is the role of the Free State province in terms of the City of Ghent's capacity to use social innovation during service delivery?	

**SECTION D: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

**Explanation:** The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how local government can enhance the

use of social innovation during service delivery is deemed essential. This perspective will help to inform a framework for the enhanced use of social innovation in local government service delivery.						
13.	Do you think the use of social innovation during service delivery in the City of Ghent is important?					
		Yes		No		Not sure
14.	Please motivate your answer to question 13.					
15.	What would be the driver(s) for the use of social innovation by the City of Ghent?					
	To create public value					<input type="checkbox"/>
	To render improved services to citizens					<input type="checkbox"/>
	For the City of Ghent to save costs					<input type="checkbox"/>
	Other (please elaborate)					<input type="checkbox"/>
16.	What could be done by the City of Ghent to improve its use of social innovation during service delivery?					
17.	What could be done by other stakeholders to improve the use of social innovation during service delivery by the City of Ghent?					
18.	What could be done by the City of Ghent to improve citizen participation in its decision-making processes when it comes to service delivery?					
19.	Would you like to make any final remarks about the establishment of a framework for the utilisation of social innovation for improved service delivery by local government?					

## **ATTACHMENT H: FOCUS GROUP DISCUSSION SCHEDULE: CITY OF GHENT CITIZENS**

1. Welcome.
2. The researcher introduces herself.
3. Explanation of aim and objectives of the research.

The aim of this study is to explore the use of social innovation in the service production decisions of local government (LG) through a comparative perspective of the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the utilisation of social innovation (SI) for improved service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions. The study has the following objectives:

- (i) To analyse Public Administration and governance literature and theories impacting the use of SI.
- (ii) To delineate the extent to which citizen participation underpin SI during LG service delivery.
- (iii) To determine the nature of co-production in SI during LG service delivery.
- (iv) To investigate the extent to which governance systems influence the use of SI in LG service delivery.
- (v) To present a framework for enhancing the use of SI for improved service delivery by Mangaung Metropolitan Municipality.

The title of the study is: "Social innovation and service delivery by local government: A comparative perspective".

4. The researcher requests permission to record the discussion using a voice recorder.
5. The researcher explains the order of the discussions. As an ice-breaker, the participants will be expected to introduce themselves, and the discussions (which will be recorded) will follow. All participants will be given a chance to contribute to the discussions.
6. The participants are informed that they will receive the outcomes of these discussions via the Mangaung Metropolitan municipality upon the researcher's concluding the study, which is expected to be in 2018. All participants are requested to provide their contact information on the circulated attendance register.
7. Participants are informed that their responses will be treated with confidentiality. This means that they may be quoted during the reporting of the findings, but such quotes will not be attributed to them by name.
8. Participants are requested to share what they really think and to provide open and honest contributions to the discussion, even if in disagreement with other participants.

### **Instructions:**

1. Kindly turn off your cell phones or put them on silent.
2. Every person is expected to participate (there are no wrong answers).
3. Please speak loudly for the sake of audibility. You are requested to speak in English, but an interpreter is available.
4. Please be direct and straightforward in your answers, being mindful of the fact that we have limited time.
5. Please respect one another's views.

	Gender ratio of the group	Females	Males	

**SECTION A: THE NATURE OF CITIZEN PARTICIPATION DURING SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation (questions 1–4):** Citizen participation during local government service delivery encompasses citizens (voters, service users, consumers, end users, organised partners) vocally expressing themselves regarding their service needs or service preferences (voice), being able to make choices about preferred services (choice), contributing resources, time and knowledge in service planning, design, delivery or evaluation (contribution) or being involved in the regulation of services (control).

**Explanation (questions 5–6):** Social innovation can involve efforts aimed at finding and implementing innovative solutions to societal problems such as poverty, unemployment or service delivery challenges. Social innovation can also involve processes whereby collaborations, social relations and self-organising amongst citizens and actors are used to find and implement solutions to societal problems. The use of social innovation by a local government authority such as the City of Ghent can involve citizen participation in identifying and implementing innovative solutions to service delivery problems, such as maintaining clean parks or safety in neighbourhoods through the stages of planning for a service and designing, delivering or evaluating a service.

1.	What is your understanding of the concept of “citizen participation in service delivery” when it comes to service delivery by the City of Ghent municipality?	
2.	Does the City of Ghent municipality allow citizen participation in its decision-making processes when it comes to service delivery?	
		Yes      No      Not sure
3.	Please motivate your answer to question 2.	
4.	Please give an example of how you have participated in decision-making processes of the City of Ghent when it comes to service delivery.	
5.	What is your understanding of the concept of “social innovation” when it comes to local government service delivery?	
6.	Have you as a citizen participated in social innovation during service delivery by the City of Ghent?	

		Yes		No		Not sure	
7.	Please motivate your answer to question 6.						

**SECTION B: THE NATURE OF CO-PRODUCTION DURING THE USE OF SOCIAL INNOVATION IN SERVICE DELIVERY BY THE CITY OF GHENT.**

**Explanation:** Co-production involves citizens in the creation of a service. The co-production of a service by the City of Ghent with its citizens could consist of citizen participation, through knowledge and resources in identifying and implementing solutions to service delivery problems, through the co-planning, co-design, co-delivery and co-evaluation of services delivered by the City of Ghent. Citizen participation during the co-planning of a service could involve, for example, citizens informing the City of Ghent of their service needs by means of public consultation meetings and by being involved in planning the meeting of those service needs. Citizen participation during the co-designing of a service could involve, for example, citizens participating in defining what a service should do or be or submitting ideas or plans to the City of Ghent regarding how a service could be delivered. Citizen participation during the co-delivery of a service could involve, for example, citizens delivering a service such as refuse removal or maintaining a park on behalf of the City of Ghent. Citizen participation during the co-evaluation of a service could involve, for example, citizens participating in evaluating the quality of services rendered by the City of Ghent.

8.	In which of the following stages of the co-production of services have you participated?	
	Co-planning of a service	
	Co-design of a service	
	Co-delivery of a service	
	Co-evaluation of a service	
	None of the above	
9.	If you have participated, please give an example of how you have participated in the co-production of services by the City of Ghent.	
10.	What was the nature of this participation? Did you participate in the co-production of this service to find or to plan, design or deliver an innovative solution to service delivery?	

**SECTION C: A FRAMEWORK FOR THE ENHANCED USE OF SOCIAL INNOVATION IN LOCAL GOVERNMENT SERVICE DELIVERY**

**Explanation:** The participation of citizens in local government service delivery through, for example, social innovation could result in local government authorities being able to improve their service delivery decisions as well as their service delivery to citizens. To achieve such service delivery improvements, your perspective as to how the use of social innovation can be enhanced by local government during service delivery is deemed essential. This perspective will be helpful to inform a framework for the enhanced use of social innovation in local government service delivery.

11.	Please give an example of how your participation in the Margaung Metropolitan municipality's decision-making processes can be improved when it comes to service delivery.	
12.	Please give an example of how the City of Ghent can improve its use of social innovation when it comes to service delivery.	
13.	How do you think social innovation can be undertaken during service delivery by the City of Ghent?	

## ATTACHMENT I: CONSENT LETTER: MANGAUNG METROPOLITAN MUNICIPALITY



27 JUNE 2016

**ADVOCATE TANKISO MEA  
THE ACTING CITY MANAGER  
MANGAUNG METROPOLITAN MUNICIPALITY  
CNR OF NELSON MANDELA DRIVE AND MARKGRAAFF STREET  
BRAM FISCHER BUILDING  
BLOEMFONTEIN, 9300**

**Email:** [Tankiso.mea@mangaung.co.za](mailto:Tankiso.mea@mangaung.co.za) and [Lethole.monyeke@mangaung.co.za](mailto:Lethole.monyeke@mangaung.co.za)

### **RE: PARTICIPANTS FOR PHD STUDY**

The University of the Free State's ethical rules for research, requires that institutions where research participants are affiliated or employed be furnished with consent letters, even if the discretion to provide such consent lies with participants themselves. The purpose of this letter is therefore to obtain permission for officials from the Mangaung Metropolitan Municipality (MMM) and citizens residing in two wards of the MMM to participate in a PhD study. This study is undertaken by a University of the Free State PhD student (Maréve Biljohn), who can be reached as per the following details in case of any questions:

<b>University of the Free State</b>	
<b>Department:</b>	Public Administration and Management
<b>Faculty:</b>	Economic and Management Sciences
<b>Email:</b>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	0027514017185
<b>Cell:</b>	0027826665310

The title of the PhD study is: **“Social innovation and service delivery by local government: a comparative perspective”**. Many studies have recently investigated the use of social innovation in and by the public sector globally. The research in this PhD study, however, is mainly focusing on the use of social innovation in the service production decisions of local government. As such the aim of this study is to explore the use of social innovation in the service production decisions of local government, through a comparative perspective between the City of Ghent (East Flanders province, Belgium) and MMM (Free State province, South Africa). Such a perspective ought to inform a framework for the enhanced utilisation of social innovation for improved service delivery. Further to contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions.

This study holds significance for the disciplines of Public Administration and Social Innovation, the policy and local government spheres, as well as the local government service delivery environment. This significance includes amongst others to provide empirical data that could contribute to the discourse regarding the use of social innovation in the discipline of Public Administration as well as the research agenda for the use of social innovation in local government service delivery. From a comparative perspective, the research will contribute towards insights regarding similarities as well as differences in the use of social innovation in the respective local government settings. Finally, it is anticipated that the study could contribute towards the policy environment pertaining to local government service delivery in South Africa (Free State province) and Belgium (East Flanders province).



Against this background, permission is herewith duly requested for the participation of the mentioned participants from the MMM, who have been identified with the view to obtain their respective perspectives regarding the use of social innovation in service delivery by MMM. Further, your assistance is requested in identifying relevant participants from the administration who can participate in this study. The participants, the data collection techniques, and reasons for their participation is captured in the table below.

PARTICIPANTS	DATA COLLECTION TECHNIQUES	REASON FOR PARTICIPATION
Local government practitioner working with social innovation strategies	Semi-structured interview - participation 90 minutes. A voice recorder will be used to record the interview.	To obtain the local government practitioner's perspective regarding the use of social innovation in local government service delivery.
Local government practitioner working with citizen participation		
Local government practitioner working with social innovation or co-production		
14 Officials from 7 MMM departments	Focus groups - participation 90 minutes. A voice recorder will be used to record the focus group discussion.	To obtain the perspective of citizen's regarding the use of social innovation in local government service delivery.
10 Citizens from the ward identified by MMM		
10 Citizens from the ward identified by MMM		

The responses of these participants will be treated as confidential and the data that is collected through the different data collection techniques will only be used for the purpose of this study. Participants will be under no obligation to answer any question that they do not feel comfortable discussing. Participation in this study is voluntary and participants will be asked to sign a consent form. After signing the consent form participants may choose to terminate their participation at any time during the research. If a participant withdraws from the study prior to data collection being completed the participant's data will be returned to them or destroyed. I hope that this request will receive your favourable consideration.

Kind Regards

**Maréve Biljohn**  
Department of Public Administration and Management

**Prof. Liezel Lues (Promoter)**  
Department of Public Administration and Management



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UNIVERSITEIT VAN DIE VRYSTAAT  
YUNIVESITHI YA FREISTATA

## ATTACHMENT J: CONSENT LETTER: ACADEMIC – MANGAUNG METROPOLITAN MUNICIPALITY



7 November 2016

### INFORMED CONSENT FORM FOR AN ACADEMIC FROM THE UNIVERSITY OF THE FREE STATE TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED "SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE"

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

#### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a structured interview that will take 60-90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the Mangaung Metropolitan Municipality.</li> <li>▪ the impact of local governance systems on the use of social innovation during local government service delivery.</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that you are able to provide an academic perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the Mangaung Metropolitan Municipality.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the interview will be attributed to you by name. A voice recorder will be used to record the interview, and this voice recording will only be used to transcribe the interview for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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YUNIVESITHI YA FREISTATA



<b>Risks</b>	There is a possibility that you might share personal viewpoints during the interview or that you might feel uneasy discussing some topics. You do not have to answer any questions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the interview at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

**SECTION B: CONSENT FORM TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a structured interview conducted by the researcher, Ms Maréve Biljohn. The interview will last approximately 60-90 minutes. A voice recorder will be used to record the interview, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this interview.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





### Contact details of researcher

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State, who can be reached at the following addresses/numbers, should you have any questions:

**University of the Free State**

---

**Department:** Public Administration and Management,  
**Faculty:** Faculty of Economic and Management Sciences

**Email:** [BiljohnMIM@ufs.ac.za](mailto:BiljohnMIM@ufs.ac.za)  
**Tel:** 0027514017185  
**Cell:** 0027826665310

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**Participant: name and surname**

---

**Participant: signature**

---

**Date**

---

**Researcher: name and surname**

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**Researcher: signature**

---

**Date**



**ATTACHMENT K: INFORMED CONSENT FORM: MANGAUNG METROPOLITAN MUNICIPALITY OFFICIALS (SEMI-STRUCTURED INTERVIEW)**



14 September 2016

**INFORMED CONSENT FORM FOR AN OFFICIAL FROM MANGAUNG METROPOLITAN MUNICIPALITY TO PARTICIPATE IN A SEMI-STRUCTURED INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

**SECTION A: INFORMATION REGARDING THE RESEARCH**

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a semi-structured interview that will take 60-90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the Mangaung Metropolitan Municipality.</li> <li>▪ the impact of local governance systems on the use of social innovation during local government service delivery</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as an official in the administration of the Mangaung Metropolitan Municipality, you are able to provide a practitioner’s perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the Mangaung Metropolitan Municipality.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the interview will be attributed to you by name. A voice recorder will be used to record the interview, and this voice recording will only be used to transcribe the interview for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during the interview or that you might feel uneasy discussing some topics. You do not have to answer any questions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the interview at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

## SECTION B: CONSENT FORM TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a semi-structured interview conducted by the researcher, Ms Maréve Biljohn. The interview will last approximately 60-90 minutes. A voice recorder will be used to record the interview, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this interview.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.



**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State, who can be reached at the following addresses/numbers, should you have any questions:

	<b>University of the Free State</b>
<b>Department:</b>	Public Administration & Management
<b>Faculty:</b>	Economic and Management Sciences
<b>Email:</b>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	0027514017185
<b>Cell:</b>	0027826665310

Participant: name and surname	Participant: signature	Date
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Researcher: name and surname	Researcher: signature	Date
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# ATTACHMENT L: INFORMED CONSENT FORM: MANGAUNG METROPOLITAN MUNICIPALITY OFFICIALS (FOCUS GROUPS)



1 November 2016

## INFORMED CONSENT FORM FOR OFFICIALS FROM THE MANGAUNG METROPOLITAN MUNICIPALITY TO PARTICIPATE IN A FOCUS GROUP FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a focus group that will last 90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the enhanced utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the Mangaung Metropolitan Municipality</li> <li>▪ the impact of local governance systems on the use of social innovation during service delivery by the Mangaung Metropolitan Municipality</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as an official in the administration of the Mangaung Metropolitan Municipality, you are able to provide a practitioner’s perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the Mangaung Metropolitan Municipality.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the focus group discussion will be attributed to you by name. A voice recorder will be used to record the focus group discussion, and this voice recording will only be used to transcribe the discussion for the



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	purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.
<b>Risks</b>	There is a possibility that you might share personal viewpoints during discussions or that you might feel uneasy discussing some topics. You do not have to answer any questions or participate in discussions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the focus group discussion any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

## SECTION B: CONSENT FORM TO PARTICIPATE IN FOCUS GROUPS FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a focus group discussion facilitated by the researcher, Ms Maréve Biljohn. The focus group discussion will last approximately 90 minutes. A voice recorder will be used to record the focus group discussion, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this focus group.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State, who can be reached at the following addresses/numbers, should you have any questions:

**University of the Free State**

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**Department:** Public Administration and Management,  
**Faculty:** Faculty of Economic and Management Sciences

**Email:** [BiljohnMIM@ufs.ac.za](mailto:BiljohnMIM@ufs.ac.za)  
**Tel:** 0027514017185  
**Cell:** 0027826665310

<hr/> <b>Participant: name and surname</b>	<hr/> <b>Participant: signature</b>	<hr/> <b>Date</b>
<hr/> <b>Researcher: name and surname</b>	<hr/> <b>Researcher: signature</b>	<hr/> <b>Date</b>



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**ATTACHMENT M: INFORMED CONSENT FORM: ACADEMIC – MANGAUNG METROPOLITAN MUNICIPALITY**



10 November 2016

**INFORMED CONSENT FORM FOR AN ACADEMIC FROM THE UNIVERSITY OF THE FREE STATE TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

**SECTION A: INFORMATION REGARDING THE RESEARCH**

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a structured interview that will take 60-90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the Mangaung Metropolitan Municipality</li> <li>▪ the impact of local governance systems on the use of social innovation during local government service delivery</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that you are able to provide an academic perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the Mangaung Metropolitan Municipality.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the interview will be attributed to you by name. A voice recorder will be used to record the interview, and this voice recording will only be used to transcribe the interview for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during the interview or that you might feel uneasy discussing some topics. You do not have to answer any questions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the interview at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

## SECTION B: CONSENT FORM TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a structured interview conducted by the researcher, Ms Maréve Biljohn. The interview will last approximately 60-90 minutes. A voice recorder will be used to record the interview, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this interview.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





### Contact details of researcher

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State, who can be reached at the following addresses/numbers, should you have any questions:

University of the Free State	
Department:	Public Administration & Management
Faculty:	Economic and Management Sciences
Email:	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
Tel:	0027514017185
Cell:	0027826665310

Participant: name and surname	Participant: signature	Date
Researcher: name and surname	Researcher: signature	Date



## ATTACHMENT N: INFORMED CONSENT FORM: MANGAUNG METROPOLITAN MUNICIPALITY CITIZENS



14 November 2016

### INFORMED CONSENT FORM FOR CITIZENS IN MANGAUNG METROPOLITAN MUNICIPALITY TO PARTICIPATE IN A FOCUS GROUP FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

#### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a focus group that will last 90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the Mangaung Metropolitan Municipality</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as a citizen of ward 23, you are able to provide a citizen’s perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the Mangaung Metropolitan Municipality.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the focus group discussion will be attributed to you by name. A voice recorder will be used to record the focus group discussion, and this voice recording will only be used to transcribe the discussion for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during discussions or that you might feel uneasy discussing some topics. You do not have to answer any questions or participate in discussions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the focus group discussion at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

**SECTION B: CONSENT FORM TO PARTICIPATE IN FOCUS GROUPS FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a focus group discussion facilitated by the researcher, Ms Maréve Biljohn. The focus group discussion will last approximately 90 minutes. A voice recorder will be used to record the discussion, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this focus group discussion.
- I have read the information in Sections A and B, or it has been read to me. I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.



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**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State, who can be reached at the following addresses/numbers, should you have any questions:

**University of the Free State**

**Department:** Public Administration & Management  
**Faculty:** Economic and Management Sciences  
**Email:** [BiljohnMIM@ufs.ac.za](mailto:BiljohnMIM@ufs.ac.za)  
**Tel:** 0027514017185  
**Cell:** 0027826665310

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**Participant: name and surname**

---

**Participant: signature**

---

**Date**

---

**Researcher: name and surname**

---

**Researcher: signature**

---

**Date**



## ATTACHMENT O: CONSENT LETTER: CITY OF GHENT

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**UFS·UV**  
ECONOMIC AND  
MANAGEMENT SCIENCES  
EKONOMIESE EN  
BESTUURSWETENSAPPE

6 April 2016

**MR PAUL TEERLINCK**  
CITY MANAGER  
CITY OF GHENT  
1 BOTERMARKT  
GHENT  
BELGIUM  
9000

### RE: PARTICIPANTS FOR PHD STUDY

The University of the Free State's (South Africa) ethical rules for research, requires that institutions where research participants are affiliated or employed be furnished with consent letters, even if the discretion to provide such consent lies with participants themselves. The purpose of this letter is therefore to obtain permission for officials from the City of Ghent and citizens residing in the wards Gentbrugge and Stationsbuurt-Noord of the City of Ghent to participate in a PhD study. This study is undertaken by a University of the Free State PhD student (Maréve Biljohn) currently registered as an exchange student at Ghent University, who can be reached as per the following details in case of any questions:

	<b>Ghent University</b>	<b>University of the Free State</b>
<b>Department:</b>	Public Governance, Management and Finance	Public Administration and Management
<b>Faculty:</b>	Economics and Business Administration	Economic and Management Sciences
<b>Email:</b>	<a href="mailto:mareve.biljohn@UGent.be">mareve.biljohn@UGent.be</a>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	<a href="tel:0032465597139">0032465597139</a>	0027514017185
<b>Cell:</b>	0032484348959	0027826665310

The envisaged title of the study is: "Social innovation and service delivery by local government: a comparative perspective". Many studies have recently investigated the use of social innovation in and by the public sector globally. The research in this PhD study, however, is mainly focusing on the use of social innovation in the service production decisions of local government. As such the aim of this study is to explore the use of social innovation in the service production decisions of local government, through a comparative perspective between the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to inform a framework for the enhanced utilisation of social innovation for improved service delivery. Further to contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions.

This study holds significance for the disciplines of Public Administration and Social Innovation, the policy and local government spheres, as well as the local government service delivery environment. This significance includes amongst others to provide empirical data that could contribute to the discourse regarding the use of social innovation in the discipline of Public Administration as well as the research agenda for the use of social innovation in local government service delivery. From a comparative perspective, the research will contribute towards insights regarding similarities as well as differences in the use of social innovation in the respective local government settings. Finally, it is anticipated that the study could contribute towards the policy environment pertaining to local government service delivery in South Africa (Free State province) and Belgium (East Flanders province).



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Against this background permission is herewith duly requested for the participation of the mentioned participants from the City of Ghent, who have been identified with the view to obtain their respective perspectives regarding the use of social innovation in service delivery by the City of Ghent. The participants, the data collection techniques, and reasons for their participation is captured in the table below.

PARTICIPANTS	DATA COLLECTION TECHNIQUES	REASON FOR PARTICIPATION
Mr Karl-Fillipe Coengrachts	Semi-structured interview - participation 90 minutes. Voice recorder will be used to record interview.	To obtain the local government practitioner's perspective regarding the use of social innovation in local government service delivery.
Mrs Wendy De Man	Semi-structured interview - participation 90 minutes. Voice recorder will be used to record interview.	
18 Officials from 9 City of Ghent Departments	Focus groups - participation 90 minutes. Voice recorder will be used to record focus group discussion.	
10 Citizens from the ward Gentbrugge 10 Citizens from the ward Stationsbuurt-Noord	Focus groups - participation 90 minutes. Voice recorder will be used to record focus group discussion.	To obtain the perspective of citizen's regarding the use of social innovation in local government service delivery.

The responses of these participants will be treated as confidential and the data that is collected through the different data collection techniques will only be used for the purpose of this study. Participants will be under no obligation to answer any question that they do not feel comfortable discussing. Participation in this study is voluntary and participants will be asked to sign a consent form. After signing the consent form participants may choose to terminate their participation at any time during the research. If a participant withdraws from the study prior to data collection being completed the participant's data will be returned to them or destroyed. I hope that this request will receive your favourable consideration.

Kind Regards

**Maréve Biljohn**  
Department of Public Administration and Management

**Prof. Liezel Lues (Promoter)**  
Department of Public Administration and Management



## ATTACHMENT P: CONSENT LETTER: ACADEMIC – CITY OF GHENT



7 March 2016

**PROFESSOR MARC DE CLERCQ**  
DEAN: FACULTY OF ECONOMICS AND BUSINESS ADMINISTRATION  
GHENT UNIVERSITY  
GHENT  
BELGIUM  
9000

### RE: RESEARCH INTERVIEW WITH PROFESSOR FILIP DE RYNCK FOR PHD STUDY

The purpose of this letter is to obtain permission for Professor Filip De Rynck, lecturer in the Department of Public Governance, Management and Finance, to participate in a PhD study. This study is undertaken by a University of the Free State (South Africa), PhD student currently registered as an exchange student at Ghent University.

The envisaged title of the study is: “Social innovation and service delivery by local government: a comparative perspective”. Many studies have recently investigated the use of social innovation in and by the public sector globally. The research in this PhD study, however, mainly focus on the use of social innovation in the service production decisions of local government. As such the aim of this study is to explore the use of social innovation in the service production decisions of local government through a comparative perspective between the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa). Such a perspective ought to provide a framework for the utilisation of social innovation for improved service delivery. Further to contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government service production decisions.

This study holds significance for the discipline of public administration, social innovation, the policy and local government spheres, as well as the local government service delivery environment. This significance includes amongst others to provide empirical data that could contribute to the discourse regarding the use of social innovation in the discipline of Public Administration as well as the research agenda for the use of social innovation in local government service delivery. From a comparative perspective, the research will contribute towards insights regarding similarities as well as differences in the use of social innovation in the respective local government settings. Finally, it is anticipated that the study will contribute towards the policy environment pertaining to local government service delivery in South Africa (Free State province) and Belgium (east Flanders).

Prof. De Rynck has been identified as a participant in this study with the view to obtain an academic perspective regarding the use of social innovation in local government service delivery. His participation will be through a structured interview that should take between 35 - 50 minutes. His responses will be treated as confidential and the data that is collected through the structured interview will only be used for the purpose of this study. Professor De Rynck will be under no obligation to answer any question that he does not feel comfortable discussing. Participation in this study is voluntary and participants will be asked to sign a consent form. After signing the consent form participants may choose to terminate their participation at any time during the research. If a participant withdraws from the study prior to data collection being completed, the participant's data will be returned to them or destroyed.



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Given the willingness expressed by Prof. De Rynck to participate in this study permission is herewith duly requested for his participation. I hope that this request will receive your favourable consideration. The researcher can be reached as per the following details in case of any questions:

	Ghent University	University of the Free State
<b>Researcher:</b>	Maréve Biljohn	
<b>Department:</b>	Public Governance, Management and Finance Faculty of Economics and Business Administration	Public Administration and Management Faculty of Economic and Management Sciences
<b>Email</b>	<a href="mailto:Mareve.biljohn@UGent.be">Mareve.biljohn@UGent.be</a>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	<a href="tel:0032465597139">0032465597139</a>	0027514017185
<b>Cell:</b>	0027826665310	0027826665310

Kind Regards

**M.I.M. Biljohn**  
Department of Public Administration and Management

**Prof. L. Lues (Promotor)**  
Department of Public Administration and Management



# ATTACHMENT Q: INFORMED CONSENT FORM: CITY OF GHENT OFFICIALS (SEMI-STRUCTURED INTERVIEW)



11 January 2016

## INFORMED CONSENT FORM FOR AN OFFICIAL FROM THE CITY OF GHENT TO PARTICIPATE IN A SEMI-STRUCTURED INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a semi-structured interview that will take 60-90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government’s service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the City of Ghent.</li> <li>▪ the impact of local governance systems on the use of social innovation during local government service delivery</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as an official in the administration of the City of Ghent, you are able to provide a practitioner’s perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the City of Ghent.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the interview will be attributed to you by name. A voice recorder will be used to record the interview, and this voice recording will only be used to transcribe the interview for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during the interview or that you might feel uneasy discussing some topics. You do not have to answer any questions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the interview at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

## SECTION B: CONSENT FORM TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a semi-structured interview conducted by the researcher, Ms Maréve Biljohn. The interview will last approximately 60-90 minutes. A voice recorder will be used to record the interview, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this interview.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State also registered as an exchange student at Ghent University, who can be reached at the following addresses/numbers, should you have any questions:

	<b>Ghent University</b>	<b>University of the Free State</b>
<b>Department:</b>	Public Governance, Management and Finance,	Public Administration and Management,
<b>Faculty:</b>	Faculty of Economics and Business Administration	Faculty of Economic and Management Sciences
<b>Email</b>	<a href="mailto:Mareve.biljohn@UGent.be">Mareve.biljohn@UGent.be</a>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	0032465597139	0027514017185
<b>Cell:</b>	0032484348959	0027826665310

Participant: name and surname	Participant: signature	Date

Researcher: name and surname	Researcher: signature	Date



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## ATTACHMENT R: INFORMED CONSENT FORM: CITY OF GHENT OFFICIALS (FOCUS GROUP)



28 April 2016

### INFORMED CONSENT FORM FOR OFFICIALS FROM THE CITY OF GHENT MUNICIPALITY TO PARTICIPATE IN A FOCUS GROUP FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

#### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a focus group that will last 90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the enhanced utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the City of Ghent</li> <li>▪ the impact of local governance systems on the use of social innovation during service delivery by the City of Ghent</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as an official in the administration of the City of Ghent municipality, you are able to provide a practitioner's perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the City of Ghent.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the focus group discussion will be attributed to you by name. A voice recorder will be used to record the focus group discussion, and this voice recording will only be used to transcribe the discussion for the



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	purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.
<b>Risks</b>	There is a possibility that you might share personal viewpoints during discussions or that you might feel uneasy discussing some topics. You do not have to answer any questions or participate in discussions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the focus group discussion any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

## SECTION B: CONSENT FORM TO PARTICIPATE IN FOCUS GROUPS FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa and also a PhD exchange student at Ghent University in Belgium.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a focus group discussion facilitated by the researcher, Ms Maréve Biljohn. The focus group discussion will last approximately 90 minutes. A voice recorder will be used to record the focus group discussion, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this focus group.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State also registered as an exchange student at Ghent University, who can be reached at the following addresses/numbers, should you have any questions:

	<b>Ghent University</b>	<b>University of the Free State</b>
<b>Department:</b>	Public Governance, Management and Finance,	Public Administration and Management,
<b>Faculty:</b>	Faculty of Economics and Business Administration	Faculty of Economic and Management Sciences
<b>Email</b>	<a href="mailto:Mareve.biljohn@UGent.be">Mareve.biljohn@UGent.be</a>	<a href="mailto:BiljohnMIM@ufs.ac.za">BiljohnMIM@ufs.ac.za</a>
<b>Tel:</b>	0032465597139	0027514017185
<b>Cell:</b>	0032484348959	0027826665310

<b>Participant: name and surname</b>	<b>Participant: signature</b>	<b>Date</b>
<b>Researcher: name and surname</b>	<b>Researcher: signature</b>	<b>Date</b>



## ATTACHMENT S: INFORMED CONSENT FORM: ACADEMIC – CITY OF GHENT



April 2016

### INFORMED CONSENT FORM FOR AN ACADEMIC FROM GHENT UNIVERSITY TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

#### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a structured interview that will take 60 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the City of Ghent</li> <li>▪ the impact of local governance systems on the use of social innovation during local government service delivery</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that you are able to provide an academic perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the City of Ghent.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the interview will be attributed to you by name. A voice recorder will be used to record the interview, and this voice recording will only be used to transcribe the interview for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during the interview or that you might feel uneasy discussing some topics. You do not have to answer any questions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the interview at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

**SECTION B: CONSENT FORM TO PARTICIPATE IN AN INTERVIEW FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa and also a PhD exchange student at Ghent University in Belgium.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a structured interview conducted by the researcher, Ms Maréve Biljohn. The interview will last approximately 60 minutes. A voice recorder will be used to record the interview, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this interview.
- I have read the information in Sections A and B, or it has been read to me.
- I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.



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**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State also registered as an exchange student at Ghent University, who can be reached at the following addresses/numbers, should you have any questions:

	<b>Ghent University</b>	<b>University of the Free State</b>
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<b>Tel:</b>	0032465597139	0027514017185
<b>Cell:</b>	0032484348959	0027826665310

<b>Participant: name and surname</b>	<b>Participant: signature</b>	<b>Date</b>
<b>Researcher: name and surname</b>	<b>Researcher: signature</b>	<b>Date</b>



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## ATTACHMENT T: INFORMED CONSENT FORM: CITY OF GHENT CITIZENS

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14 April 2016

### INFORMED CONSENT FORM FOR CITIZENS TO PARTICIPATE IN A FOCUS GROUP FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”

This informed consent form has two sections:

Section A: Information regarding the research (to share information with you about the research)

Section B: Consent form (for your signature, should you choose to participate in this research)

#### SECTION A: INFORMATION REGARDING THE RESEARCH

In this section, information is provided regarding this PhD research and your participation in it. This research will entail your participation in a focus group that will last 90 minutes.

<b>Purpose of research</b>	Many studies have recently investigated the use of social innovation in and by the public sector globally. The use of social innovation in local government service delivery includes the participation of citizens in the planning, design, delivery and evaluation of services as well as in finding solutions to the service delivery problems that citizens and local governments encounter. The aim of this PhD study is to understand the use of social innovation in the service production decisions of local government, specifically in the City of Ghent (East Flanders province, Belgium) and Mangaung Metropolitan Municipality (Free State province, South Africa), through a comparative perspective. Such a perspective ought to inform a framework for the utilisation of social innovation for improved local government service delivery. It should furthermore contribute to the discourse regarding the use of social innovation by exploring the influence of governance systems on the use of social innovation in local government's service production decisions.
<b>Type of research intervention</b>	You will be asked questions regarding: <ul style="list-style-type: none"> <li>▪ the nature of citizen participation and co-production during social innovation in service delivery by the City of Ghent</li> <li>▪ a framework for the enhanced use of social innovation in local government service delivery.</li> </ul>
<b>Selection of participants</b>	You are invited to participate in this study because we believe that as a citizen of the ward Gentbrugge, you are able to provide a citizen's perspective, contribute to our understanding and knowledge and provide valuable insights regarding how social innovation is used and could be used during service delivery by the City of Ghent.
<b>Confidentiality</b>	Your confidentiality will be protected, and you will remain anonymous during the reporting of the research findings. Nothing you share during the focus group discussion will be attributed to you by name. A voice recorder will be used to record the focus group discussion, and this voice recording will only be used to transcribe the discussion for the purpose of analysing the data. The voice recordings will be destroyed upon completion of the study.



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<b>Risks</b>	There is a possibility that you might share personal viewpoints during discussions or that you might feel uneasy discussing some topics. You do not have to answer any questions or participate in discussions with which you do not feel comfortable.
<b>Right to withdraw from research</b>	You do not have to participate in this research if you do not wish to do so. Hence, you may choose to withdraw from participating in the focus group discussion at any time.
<b>Sharing of results</b>	The research findings will be used for the purposes of this PhD study only and will be shared broadly through publication in peer-reviewed journals and presentation at conferences so that interested parties may learn from them and use them in future research.
<b>Remuneration</b>	You will not be remunerated or receive any incentive for your participation in this research.

**SECTION B: CONSENT FORM TO PARTICIPATE IN FOCUS GROUPS FOR THE PHD STUDY TITLED “SOCIAL INNOVATION AND SERVICE DELIVERY BY LOCAL GOVERNMENT: A COMPARATIVE PERSPECTIVE”**

- I have read and understood the information about this study, as explained in Section A.
- I understand that this study is designed to gather data regarding the use of social innovation in local government service delivery.
- I volunteer to participate in this PhD research which is conducted by Ms Maréve Biljohn, who is a registered PhD student at the University of the Free State in South Africa and also a PhD exchange student at Ghent University in Belgium.
- I understand that I will not be paid for my participation in this study and that after signing the consent form, I may choose to terminate my participation at any time during the research.
- I understand that if I withdraw from the study prior to data collection being completed, my contributions or data will be returned to me or destroyed and will be excluded from the study.
- My participation involves taking part in a focus group discussion facilitated by the researcher, Ms Maréve Biljohn. The focus group discussion will last approximately 90 minutes. A voice recorder will be used to record the discussion, and this voice recording will be transcribed for the purpose of analysing the data. Should I prefer not to be recorded, I will not be able to participate in the study.
- I understand that my participation in this study is anonymous and that the researcher will not identify me by name during any reports arising from information obtained from this focus group discussion.
- I have read the information in Sections A and B, or it has been read to me. I understand the explanations provided to me in Sections A and B, and I have not in any way been coerced to participate in this research.
- I have been given the opportunity to ask questions about the research, and all my questions were answered to my satisfaction.
- I voluntarily consent to participate in this study and have been given a copy of this consent form.





**Contact details of researcher**

This study is conducted by Ms Maréve Biljohn, a PhD student at the University of the Free State also registered as an exchange student at Ghent University, who can be reached at the following addresses/numbers, should you have any questions:

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<b>Faculty:</b>	Economics & Business Administration	Economic and Management Sciences
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Participant: name and surname

Participant: signature

Date

Researcher: name and surname

Researcher: signature

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ATTACHMENT U: LANGUAGE EDITOR LETTER

# ELRI MARAIS

Language Practitioner/Taalpraktisyn

[maraiselri@gmail.com](mailto:maraiselri@gmail.com)

084 4545 381

7 Susan avenue, Ballito, 4420

17 January 2018

TO WHOM IT MAY CONCERN

I hereby confirm that I performed text editing on the thesis of Ms Biljohn. I attended to the following:

1. grammatical accuracy and spelling
2. stylistic consistency
3. general logic and argumentation
4. technical correctness of references and quotations.

I did not judge the argument in itself, and I also did not check the sources for correct quotations and arguments. Furthermore, I did not check the factual correctness of arguments.

I hold a B.A. (Hons.) degree (*cum laude*) in language practice from the University of the Free State.

Yours faithfully



Elri Marais

## ATTACHMENT V: TURNITIN REPORT

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