

The impact of private-public partnership on municipal disaster risk reduction in South Africa: A case study of the Business-Adopt-a-Municipality initiative

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The impact of Private-Public Partnerships on Municipal Disaster Risk
Reduction in South Africa; a case study of the BUSINESS ADOPT A
MUNICIPALITY initiative

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Gratitude

*“Education is the most powerful weapon which you can use to change the world”. Dr
Nelson Mandela*

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“Thank you so much, may God bless you”

DECLARATION

I declare that: " The impact of Private-Public Partnerships on Municipal Disaster Risk Reduction in South Africa; a case study of the BUSINESS ADOPT A MUNICIPALITY initiative" is my own work, that all sources used or quoted have been indicated and acknowledged by means of complete references, and that this mini-dissertation was not previously submitted by me or any other person for degree purposes at this or any another university.

Signature

Date

TITLE: THE IMPACT OF PRIVATE-PUBLIC PARTNERSHIP ON MUNICIPAL DISASTER RISK REDUCTION IN SOUTH AFRICA; A CASE STUDY OF BUSINESS ADOPT A MUNICIPALITY INITIATIVE

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ABSTRACT

Local government is the sphere of government that is closest to the people and it is expected to provide basic services to communities. The provision of services usually involves facing many challenges, including a lack of adequate funding, because some of the municipalities struggle to raise the necessary revenue to supplement the budget allocated through the equitable share and other government grants. Another challenge that hampers the provision of services is the shortage of skills and the inability to attract personnel to work in municipalities that are regarded as rural municipalities. Disaster risk reduction (DDR) is not immune to these challenges. While it is a critical element of service delivery, it is in most instances underfunded or the funds allocated to it are channelled to other services. Furthermore, the lack of skills has also compromised efficiency when it comes to implementation of proactive strategies that mainstream DDR.

Public-Private Partnership is widely regarded as the answer to improving service delivery and assisting the municipalities to overcome the challenges that compromise the effectiveness of the government when it comes to service provision. This is because the private sector is regarded as an important stakeholder in government business, as private businesses have the necessary resources and human capital. Therefore, PPPs require government to create an avenue whereby it will forge partnerships with private entities in order to share combined resources and address community challenges. The success of PPPs in areas such as DRR is dependent on the observation of and commitment to good governance principles by ensuring that there is accountability that all stakeholders are able to participate freely, that there is decency and transparency, and that there is common goal of efficiency.

DRR is a multi-stakeholder processes that is supported by a legislative framework to ensure that that all sectors of society are provided a platform to assist municipalities to execute their DRR mandate effectively. As such, private entities can find expression in disaster management processes; namely, disaster preparedness, disaster response, disaster recovery and disaster mitigation. In this regard, it has become important to evaluate how PPPs might be mainstreamed in DRR and to identify which model might be applicable in the implementation of PPPs in DRR.

The key goals of this study were to establish the theoretical basis for PPPs and to establish whether the theory presented an opportunity to align PPP with DRR. In this regard, a case of Business-Adopt-A-Municipality (BAAM) was evaluated with the aim of determining the impact this initiative had on municipal DRR. In order to gain a deeper understanding of the link between PPPs and DRR, a qualitative approach was adopted in the collections of data. This approach provided a clear picture of how PPPs can enhance the way municipalities provide services or execute their DRR mandate, and address issues such as skills shortages.

Finally, the recommendations are focused on the need to strengthen policy or legislative frameworks in order to standardise the implementation of PPPs in municipal DRR. Furthermore, they are focused on the need to establish and strengthen institutional capacity that will ensure the implementation of PPPs in DRR and put in place the strategic framework that will provide space for public-private collaborations.

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ACRONYMS

APP	Annual Performance Plans
BAAM	Business Adopt A Municipality
DCoGTA	Department of Cooperative Governance and Traditional Affairs
DMA	Disaster Management Act, 2002
DMF	Disaster Management Framework, 2005
DRR	Disaster Risk Reduction
HFA	Hyogo Framework for Action
IDP	Integrated Development Plan
IGR	Inter-Governmental Relations
MDMC	Municipal Disaster Management Centre
UN	United Nations
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
SALGA	South African Local Government Association
UNISDR	United Nations International Strategy for Disaster Reduction

Chapter 1: Orientation, Problem Statement and Methodology

1.1. Orientation

One of the main challenges South Africa still faces is a high level of poverty, especially in rural communities, where many people lack basic services. Olde wage-Theron (2010:22) states that “*the consensus is that poverty is usually characterised by the inability of individuals, households or communities to attain at least an acceptable minimum standard of living, due to a lack of resources*”. This inability to access an acceptable living standard is a reality for many in South Africa. This has led many rural people to migrate to urban areas in search of work opportunities to alleviate their poverty. However, many of these immigrants move to informal settlements, which are just as unfit for human habitation as their rural homes. As Richards *et al.* (2006:376) state, informal settlements tend to lack basic services such as access to clean water, sanitation and electricity. These poor conditions potentially expose people to a variety of diseases and disasters

There is a common assumption that people from poor communities are the most vulnerable to disasters. According to Naser-Hall(2013:58),people who are exposed to poverty tend to be more marginalised in terms of being able to recover from the effects of disasters, while those that have economic capacity are able to resist and even easily recover from the effects of disasters. However, Hewitt (2013:2) states that the concentration of people in unsafe environments within urban areas also exposes people in the cities to disasters. According to the United Nations Development Programme (2004), this problem is most evident in cities that are growing at a rapid rate.

Urban areas are the centres of economic activity for many cities and, as the United Nations Human Settlement Report (2007:179) notes, urban economies become the victims of disasters. The report cites the example of the1995 earthquakes in Japan that disrupted the operation of companies such as Toyota. Moreover, if there is any disruption due to a disaster, the private sector is the most likely to suffer as this will affect their businesses, as well as the larger micro economy of the country. The Hyogo Framework (2005-2015:11) notes that one of the key activities that will facilitate the “*reduction of underlying risk factors*” is the formation of public-private partnerships

(PPPs) between the government and the private sector. Against this backdrop, businesses can be encouraged to allocate resources to disaster risk reduction (DRR) activities. The Hyogo-Framework for Action identifies municipalities, the lowest level of government, as the appropriate institutions to deal with DRR issues. Specifically, they need to develop adequate institutional capacity and be open to public participation in terms of planning. As such, the framework requires that all levels of government create platforms for stakeholders to engage on DRR policy issues. It is important to consider here that the business community is a critical stakeholder as it could have resources at its disposal that the government might not have access to. Furthermore, the private sector is also in a position to facilitate the mainstreaming of DRR in their business operations.

The South African National Disaster Management Framework (2006:14) states that municipalities need to establish the necessary capacity to deal with DRR and ensure that there is a platform for local stakeholders to play a role in the municipalities' DRR drives. Furthermore, the municipality has a responsibility to ensure that it works hand in hand with other spheres of government. It is clear from the premise of the framework that multi-stakeholder participation is critical for DRR issues. However, forging partnership with the private sector has become a major challenge for local government. This is evident in most municipalities, which are not able to secure adequate participation from the private sector in their inter-governmental forums. As Botha & Van Niekerk (2013:5) found, in the course of researching the partnership between government, business and civil society in South Africa today, there is a degree of partnership between all stakeholders but there is a need for improvement. This seems to indicate that critical challenges need to be overcome if we are to increase the private sector's limited participation in municipal DRR initiatives.

Apart from the fact that local businesses are also exposed to disasters and therefore have a stake in cooperating in DRR processes, the private sector also has a moral responsibility towards the broader community. The literature on corporate social responsibility (CSR) outlines the importance of the corporate or private sector as a stakeholder in dealing with issues that are central to community problems. For example, Idemudia(2011:1) stipulates: *“Regardless of whether one accepts or rejects the CSR premise, the idea of CSR presupposes that businesses have obligations to society that go beyond profit making to include helping to solve societal, social and*

ecological problems.” In terms of this concept, besides the fact that a business has a main objective, which is to make profit, it is morally imperative that the company contributes to the community. Of course, in the case of DRR there is also a practical imperative because if a company invests resources in the form of funds, skills or participation in the municipal DRR structures, the company is directly participating in generating safety for both the larger community and itself. Moreover, communities appear to have come to expect such private sector contributions. Du Plessis & Kloppers (2008:110) cite the King Report on Corporate Governance in South Africa as stating that companies have been faced with pressure from the communities to not only exist for profit, but to also participate in community programmes and invest in ones that will help to uplift the community. Therefore, businesses ought to establish plans that will incorporate community needs and put more focus on municipal DRR.

An important element of the DRR process is the need to address climate change. Thus Mzeda & De Jongh (2011:46) state that another compelling reason for the private sector to invest in DRR is that their operations often produce carbon emissions, which contribute to the changes in weather patterns. These in turn contribute to natural disasters such as droughts, flood and their catastrophic effects. The reality of climate change and the dangers thereof therefore make it necessary for all stakeholders to work hand in hand to develop and implement strategies that will limit the effects of climate variation.

Over and above the practical and moral reasons for which it would be a good idea for the private sector to cooperate with municipalities to streamline DRR processes, the fact is that the corporate sector's help is desperately needed. While local government is central to execution of the DRR mandate, it cannot be ignored that this sphere is under-resourced. Moreover, municipal officials lack the skills needed to formulate and implement DRR strategies. In a study conducted by Botha *et al.* (2011:39), it is stated that 58, 5% of respondents indicated that their municipalities had inadequately trained officials dealing with DRR. In light of the lack of adequate resources and skills, working hand in hand with the private sector as partners is imperative. Stadler (2012:80) describes PPP as follows: “*In PPPs for development, companies, governments and civil-society organisations combine their resources and jointly address a societal problem to foster development*”. In other words, scholars such as Stadler hold that partnerships between the public and the private sectors are not merely about the

combination of resources, but also about tackling challenges that might have persisted for a lengthy period.

The research paper will aim to evaluate the possible impact of partnerships between the private sector and local government in the DRR. This research is of great importance as it could form the basis for local government to lobby the private sector to actively participate in municipal DRR planning and implementation, especially in those areas in which they are in a position to contribute much needed assets. The study will explore the possibility of integrating DRR projects into existing corporate responsibility projects within the private sector. Mishra & Mohanti (2013:27) stipulate that “*business ought to carry out its social responsibility by converting social problem into economic opportunity, resulting in holistic growth of not just the organisation and its stakeholders, but of the society as a whole*”. What is noticeable from the CSR literature is that corporate participation in society can have an impact on the wellbeing of society, which indicates a need to evaluate existing interventions or social investments and how they have impacted communities.

1.2. Problem statement

Local government remains the closest official organ to communities, and it is expected to be well equipped and ready to respond adequately to disasters should the need arise. However, municipalities find it difficult to perform as expected due to the challenges that emanate from institutional settings, inadequate equipment, lack of funding and a lack of multi-stakeholders participation. In study conducted by Botha *et al.* (2011:99), the following challenges are outlined:

- **Financial challenges** – “*Most municipalities are lacking finances to employ skilled personnel and also to support the DRR initiatives, including a lack of funds for capacity building programmes*”. The implication is that municipalities are potentially unable to execute the mandate required by the legislative framework.
- **Lack of equipment** – “*Municipalities are lacking the adequate equipment or resources to deal with DRR.*” *If there is no proper equipment in place, the municipality will not be able to perform its duties as required by the legislation.*

- **Lack of trained and skilled personnel** –*“Another challenge is the lack of skilled or well trained personnel to perform DRR activities; and this exposes the municipality to poor performance when it comes to DRR.”*
- **Lack of community participation** –*“Lack of community participation is another factor that poses a challenge, since all the knowledge and skills available in the community are not utilised to the advantage of the municipality”*

The above mentioned challenges are a clear indication that even if local government is best placed to deal with DRR issues, this mandate cannot be executed to its fullest due to the difficulties raised.

1.2.1. Main Problem

These include inadequate human, material and financial resources, including the lack of experience to manage the expectations of disaster affected people. Bang (213:2) alludes to the fact that both the public and private sector are critical stakeholders that need to work together, mainly due to the fact that there is an abundance of skills in the private sector and that partnership creates leeway for skills transfer. However, the lack of relationship between the two stakeholders could lead to business being reluctant to invest in the community’s wellbeing. In the midst of lack of capacity to implement the DRR agenda, local government needs to open itself to contribution and participation by the private sector through PPPs and CSR initiatives. It should be noted that the lack of cooperation from stakeholders is often due to the fact that local government policy imperatives do not really oblige the private sector to be part of municipal DRR initiatives. Although local government is required by South African disaster risk management legislative frameworks to establish forums in which all society sectors *could* participate in DRR policy making, there is no legal imperative enforcing participation. This means that there is a challenge for many municipalities to sustain established forums alone (due to lack of participation), which in turn limits the platform for the private sector to participate. O’Brien *et al.* (in Wisner, 2012:639) cites a lack of capacity in local government to coordinate multi-stakeholder forums and to ensure private sector commitment in local government issues. This lack of participation by the private sector currently means in turn that they have little means to reduce the disaster risk they face.

Working in siloes prevents both the government and the private sector from taking advantage of the opportunities that could arise, such as saving on the costs of projects, the opportunity to be a key player in municipal processes and the promotion of inclusive government. In most cases, partnership is seen only during the disaster recovery period, when people have already lost their lives and infrastructure has been damaged. It is within the ambit of this paper to critically evaluate the causes of the lack of cooperation between private and public stakeholders, and to explore a possible way forward with respect to improving their relationship so that they can cooperate in the sphere of improved disaster risk reduction. It is a primary goal of this paper to evaluate whether municipalities and the private sector have managed to align themselves with the legislative framework's propositions.

1.3. Research questions

- What is the theoretical grounding for PPP?
- Can PPP initiative such as BAAM assist in improving service delivery by government?
- How can PPP be mainstreamed in DRR in order to improve service delivery by government?
- What were the challenges and success of BAAM in improving DRR functions across different municipalities?
- Did the BAAM initiatives contribute to municipal disaster management functions, in addressing skills and resource shortage?

1.4. Research objective

- To gain a theoretical understanding of what PPP entails
- To establish what role PPP can play in government service delivery
- To understand how PPP can be synergied with DRR.
- Explore the success or the failures of BAAM initiatives as applied in the DRR programmes across different municipalities.
- To gain a deeper understanding of how BAAM initiatives assist municipalities with addressing skills and resource challenges

1.5. Central theoretical statements and/or hypotheses

Private public partnership is regarded as a legally binding long term agreement between government institutions and the companies that operate as private entities, by collaborating and combining resources to tackle persisting community problems (Kivleniece *et al.*, 2012:273). Teker & Teker (2012:5) state that PPP models allow for the state and private sector to procure products and services jointly, as this allows for the sharing of both costs and risks, while quality services are also provided and sustained. Furthermore, the specialised skills and advanced technologies in the private sector are best utilised to benefit the communities within a particular government jurisdiction. Martin & Halachi (2012:190) similarly argue that the partnership between government and business brings about opportunities for the utilisation of skills and abundant resources that are at the disposal of the private sector, and helps the government to adequately provide services in instances where government would have struggled to perform on its own.

Samanto (2010:95) suggests that one of the driving factors of PPP is the fact that it provides clear lines of responsibility, transparency and accountability. Notwithstanding that, the PPP has to provide value for money, as this will be a deciding factor in terms of whether the PPP initiative should be continued or discontinued. Kwak *et al.* (2009:59) stipulate that government remains a key player in the success of the PPP. This is due to the fact that it takes a leading role in creating an environment for investment by the public sector. It also creates the enabling legislative framework for PPP implementation and for being involved in the projects from initiation to project closure. Grimsey & Lewis (2005:160) note that in a PPP both parties engage in a process of setting up the terms and performance expectations from each partner. This resonates with the principles of the South African Treasury Regulation 16 of the Public Finance Management Act (of 1999), which stipulates that the parties need to perform an analysis as to whether the partnership will be of benefit to the public and if such partnership will be cost effective. Geddes (2005:24) also indicates that the PPP should be agreed upon by all partners and all stakeholders should have ownership of the programme. It is further articulated that the success of the PPP is contingent on all partners being regarded as equal, while there is an institution that will lead all the processes. The legislative framework also requires the municipality to establish a municipal disaster management advisory forum. Section 51 (1)(d) requires the forum

to be led by the executive mayor or the mayor, with the organised business community being the designated members of the forum (SA Disaster Management Act of 2002).

The broader theoretical statement is therefore that the proper establishment of the PPP in the municipal DRR framework must stand to benefit the private sector, the municipality and the community. The success of the PPP rests on the observations of the enabling legislative framework and that there is a clear understanding of the roles to be performed by each stakeholder. It is central to the success of the PPP that the government is the leading agent in the PPP programmes that has a direct impact on municipal DRR programmes. Furthermore, the importance of the PPP is derived from the fact that municipalities might be mandated to execute a certain function, but might lack adequate capacity, while the private sector is well positioned to assist the municipality. The relevance of the PPP theoretical framework in the study is based on the fact that the disaster management legislative framework requires a partnership between the municipalities and the private sector, and that the Business Adopt a Municipality initiative that will be used as a case study subscribes to the principles of PPP.

1.6. Methodology

It was critical that this study be engaged in a systematic manner that is in line with acceptable research standards. It was therefore crucial for the researcher to indicate the methodology that will be adopted in order for the study to be a meaningful contribution. The researcher was engaged in collecting data from primary and secondary sources, including conducting semi-structure interviews. The qualitative methodology helped the researcher to attain a deeper understanding of the human experience within the area in which the study was conducted. The study was exploratory in nature; that is, respondents were given an opportunity to respond to questions in a manner that they consider appropriate.

1.6.1. Literature review

The literature review is critical for the purpose of gaining a broader understanding of the research subject. As such, it formed the foundation of the study. Theron & Majam (2006:604) stated that: “A *literature review is the most essential part of the preparatory work that needs to be undertaken in the initial stages of research*”. The researcher

started by identifying related or similar studies that have been done in the PPP field of study, in order to evaluate how other authors have approached these studies and to identify the gaps left by previous studies. This was also followed by analysis of the literature that is related to the Disaster Risk Reduction. The literature review also equipped the researcher to interlink the findings of the study and the information that was already available.

Neuman (2011:124) states, furthermore, that it is important for a researcher to engage in searching for knowledge by reading the existing literature as this will help the researcher to understand the existing conceptual framework relating to the study. It was important for the researcher to acquaint himself with the general concepts, as well as existing theoretical framework related to PPP towards DRR. The researcher therefore had a responsibility to identify the relevant primary and secondary sources that needed to be consulted for the study. These included:

- Documents and reports on the state of municipal DRR.
- Academic sources such as the journals, which have extensive content on DRR and PPP.
- Municipal integrated development plans.
- Statistical information that is relevant to the communities that will form part of the study.
- Books, the internet and electronic databases.

In short, the study was based on both case studies and the literature that was available in the DRR field. Kumar (2011:126) stated that a case study is about selection of a “case” that will guide the researcher to what the researcher is hoping to achieve.

1.6.2. Empirical study

1.6.2.1. Research setting

The study was conducted in three municipalities that are part of the Business Adopt a Municipality initiative. It was conducted in three provinces in South Africa, namely Mpumalanga, KwaZulu-Natal and the North West. The study evaluated the impact and significance of a PPP initiative between SANTAM insurance company and the municipalities in the named provinces. The initiative evaluated is known as Business

Adopt a Municipality (BAAM), implemented in Mbombela Municipality (Mpumalanga), Ulundi Municipality (KwaZulu-Natal) and Mahikeng Municipality (North West Province). The municipalities that are identified are category C or local municipalities that are viewed as under-capacitated.

1.6.2.2. Sampling

According to Neuman (2006:219), in the qualitative study the researcher needs to select a representative sample that will help the researcher to reach a conclusion and confirm the generalisation that might be proclaimed after assessing the large group. The sampling method that was adopted was the purposive sampling, which is described by De Vos *et al.* (2011: 392) as a process in which the researcher chooses the sample that he or she sees as the most appropriate for the intended study. Since a case study had been carefully selected, the researcher was the best positioned to decide on the parameters of the study. The participants were the senior management in municipalities and officials dealing with DRR in the three municipalities that are the beneficiaries of the Business Adopt a Municipality initiative. Officials within South African Local Government Associations and Department of Co-operative Governance and traditional Affairs who have been exposed the projects were also consulted, along with representatives of the business that have invested in municipal disaster risk reduction through BAAM initiative. The sample was expected not to exceed 30 participants, who were identified from the categories stipulated above.

1.6.2.3. Data collection

The methods that will be used in the collection of data are a survey, and the documents. Neuman (2006:299) indicates that the advantage of the survey is that “researchers can give questionnaires directly to respondents or email them to respondents who read instructions and questions, then record their answers”. This was the most appropriate method for the study because, while the researcher set up interviews with officials from institutions that participate in the study, in some instances distance was an issue. In such cases the questions was sent to participants electronically. The researcher conducted sites visits and personally went through the questionnaire with respondents to ensure a high level of accuracy and efficiency. The findings from all three municipalities were compared to get a clear picture of the effectiveness of the project and the impact of the private sector in municipal disaster risk programmes.

The researcher also consulted documents to collect data. O'Leary (2007:176) indicated that when the researcher uses the word "document", he or she refers to a wide range of materials, which include the use of texts or words, pictures and television. Furthermore, they can be regarded as secondary sources of information.

The other method that was adopted was the use of focus groups. Due to the fact that it was impossible to engage all the members from all three municipalities on a one-on-one basis, it will be more efficient to set up focus groups in the said municipalities and ask them the prepared questions or ask them to relate their experiences. This method was similar to what Huysamen refer to as Group Administration. Huysamen (1994:150) states that the researcher takes charge of the interview in a case in which the questionnaire is used. This process is premised on the approval of the person/s who will be interviewed or of those who are in charge. The advantage of using focus groups was notable as it helped the researcher to interact with the officials from the project.

1.6.2.4. Data analysis

When it comes to data analysis, the researcher subscribed to the methods related to qualitative data analysis in order to make sense of the findings emanated from the study. Creswell (2009:183) indicated that when a researcher analyse the data he or she does so to interpret the information contained in texts and images so as to present them in a form that will make sense to the reader. The analysis was performed by focusing on the content, which was categorised according to set themes.

1.6.2.5. Ethical considerations

It was important for the researcher to uphold high levels of ethics or morality when conducting the interviews, as well as when reporting on the findings. It was the researcher's responsibility to uphold the right to dignity at all costs and to ensure that nothing within the study will degrade or lead to intimidation of the participants on any level. Furthermore, the information received was to be used for academic purposes only and not for political benefit. Huysamen (1994:178) indicated that "research participants do not owe anything to the researcher and they are entitled to be treated with respect, dignity and courtesy. Even if they are approached on the street with a request to respond to a few questions, their normal, daily activities are interrupted". The researcher was very sensitive to gender and disability issues during the study.

This study could not have succeeded without the participation of the official from municipalities; in fact, they were central to the study and this meant that they must be treated with the utmost respect and dignity. It was therefore envisaged that the researcher will make it clear to the participants that their participation in the interviews was voluntary and they were welcome to remain anonymous when responding to the questionnaires. Furthermore, participants were made aware that the study was for academic purposes and will be used for such only. Lastly, the sources that were used have been acknowledged.

1.7. Significance of the study

This study was aimed at providing an understanding of how municipalities and businesses engage in joint initiatives aimed at helping the communities with regards to DRR. The study was intended to identify some of the challenges that have the potential to hamper the impact of the PPP in DRR. The study was envisaged to also form the basis for further research on the impact of private sector social investment in DRR. Furthermore, the findings will be passed on to local government institutions as a lobbying tool for extensive stakeholder participation in municipal DRR policy making and implementation. Lastly, the study will help to motivate the mainstreaming of DRR in all the planning processes within the municipalities and also at a community level.

1.8. Chapter layout

Chapter 1 – Introduction and background

This chapter give a background to the problem that has been identified. It also outlined the terms that are related to the study and why the study constitute an important contribution to the body of knowledge on the subject of PPP in relation to DRR.

Chapter 2- Public-Private Partnership Theoretical framework

This chapter will outline the academic content that is already available with reference to the Public-Private Partnership theoretical framework. The paper will give a synopsis of the literature that has been consulted in order to frame the theoretical orientation of the study.

Chapter3-Synergy between Disaster Risk Reduction and Public-Private Partnership

This chapter will also outline the academic content that is already in place which mainly focus on Disaster Risk Reduction and its possible linkage with PPP. The section will also give an outline in terms of identifying possible areas of integration between DRR and PPP.

Chapter 4 – Methodology

This chapter will outline, step by step, how the research was conducted. It will outline the data collection methodology, tools that will be used to collect data, the duration of the study and how the study participants were identified.

Chapter 5 – Empirical Research Findings

In this chapter the study findings will be presented and interpreted to provide clarity.

Chapter 6 – Conclusion and recommendations

The fifth chapter will provide a summary of the study, the conclusion of the research report and recommendations in line with the research findings.

Chapter 2- Public-Private Partnership Theoretical framework

2.1. INTRODUCTION

The chapter comprises an outline of the theoretical principles, processes, role players and challenges associated with Private-Public Partnerships (PPPs). Additionally, the theoretical analysis of PPP will be discussed in the context of disaster risk reduction. This orientation allows for the analysis of various PPP and DRR models.

Private Public Partnership is widely regarded as an effective method whereby the government and the private sector forge partnerships in order to provide services in an equitable and efficient manner. Zaiol et al (2014; 808) states that *“PPPs are a popular way for governments to engage private actors in the delivery of government infrastructure and services with the aim of increasing quality and providing better value for money”*. Disaster risk reduction is defined as processes whereby all stakeholders (public and private) put in place mechanisms to reduce the effects of disaster before they actually occur. As outlined in chapter 1, the importance of PPP in DRR stems from the fact that, in most cases local government, is experiencing a challenge in executing its DRR function due to a lack of adequate resources (funding), infrastructure and even a lack of skilled personnel, while on the other hand there is private sector that is well equipped with the necessary resources to help the government to execute the function. Furthermore, the legislative framework for DRR (*Disaster Management Act No. 57 of 2002*) also provides for a multi-stakeholder effort when dealing with DRR. It is important in this case to link DRR and PPPs due to the benefits of multi-stakeholder collaboration, and also the requirements stipulated in the legislation. Therefore, it is important to explore and evaluate the existing literature on PPP and how it might relate to DRR in ensuring that communities are safe and resistant to the effects of disasters.

The theoretical grounding of any research intervention is dependent on establishing a common understanding of the theoretical definitions that form part of the study. As such, in the section to follow the history of PPP is outlined and a sample of widely accepted definitions of PPP that have been selected and analysed to serve as the operational definition for this study are provided.

2.2. THEORETICAL FRAMEWORK OF PRIVATE PUBLIC PARTNERSHIP

For a meaningful understanding of PPP, it is important to trace its historical origin, because this will assist in the contextualisation of PPP in DRR. The following section is devoted to outlining this background and how it has gained in prominence in the South African context. It is important to note that the section below does not comprise a study of the evolution of PPP all over the world, but rather a few selected cases in order to give context regarding when PPP became prominent in the global agenda.

2.2.1. Historical background of PPP

It is imperative to trace and outline the historical development of PPP for the purposes of this paper, particularly in the South African context and more specifically in the DRR arena, as this will give substance to the rationale of such initiatives. A selection of cases studies are reviewed to give the background to PPP initiatives

2.2.1.1. China

The literature notes that in the Chinese context, PPP emerged as early as in the 1970s. Cheung and Chan (2011: 409) state that PPP projects came to light during the late 1970s as a result of a need for a revitalised infrastructure. However, PPP intensified in the 1990s since there was a need to take advantage of foreign investment in infrastructure. On the other hand, Chan et al. (2009: 1115) indicates that that Hong Kong had its first PPP project in the 1960s. Thus it seems that at the level of the city (Hong Kong), PPP in China might have taken root during the 1960s, while it took about 10 years for it to evolve in government echelons.

2.2.1.2. India

In the case of India, Lakshmana (2008:48) notes that in 1991 the Indian government initiated the Industrial Policy, which gave expression to PPP initiatives, specifically in the area of transport infrastructure development. The development of airports and the National Highway Development Project (Golden Quadrilateral and North South-East West Corridor) were foremost in the infrastructure development agenda of the Indian government. The development of transport infrastructure required a lot of funds and such funds could be best accessed through private sector partnerships with government. The private sector was incentivised to participate in PPP through tax holidays (Lakshmana 2008: 49).

2.2.1.3. United States of America

The literature indicates that the formal or conceptualisation of PPP emerged during the early 1990s by way of establishing a PPP legal framework and PPP institutional mechanism. However, Papajohn et al. (2011: 126) state that in the United States the private sector had played other formal roles since the 1790s, namely financing infrastructure projects such as the construction of roads, railways and subways (as well as, land grants and franchises), but they were not recognised under the term PPP. It is clear from the assertion of Papajohn et al. that the United States government had a long history of working hand in hand with the private sector in the mobilisation of resources; hence the country has a well-developed infrastructure.

2.2.1.4. Europe

Kistso (2014: 3) states that PPP in Europe was first introduced by the United Kingdom (UK) in 1992. The UK was the first state to adopt the PPP method as the mechanism to seek more funding for massive infrastructural projects, in a case where limited funds were available to the state. Hearne (2009; 11) echoes the same point as Kistso by noting that the UK government adopted the PPP methodology in the early 1990s as a means opening up the economy for a greater role to be played by the private sector. The author points out that the limitation of the state's role and introduction of PPP was due to neoliberals who advocated for a private sector role in the provision of social infrastructure due to the efficiency that was associated with the private sector. Bovis (2013: 186) shares the same view as Hearne (2009: 11) and Kistso (2014: 3); he argues that the neoliberals had a great deal of influence in public regulation and provided leeway for the liberalisation of the public market in Europe. This in a way established a platform for the private sector to contest for contracts within the public sector and provide services in a more effective and efficient way, while the state had to conduct the contracting process in a transparent and non-discriminatory manner. Moles (2010: 290) states that PPP through open procurement enhances the competitive market and provides government with value for money and innovation. In this manner, private entities are afforded a chance to bid for a project and raise funds to deliver the project.

In the Ukraine, PPPs were also integrated into the broader legislative framework of the country as a means of modernising infrastructure. Zapatrina and Pylyay (2014: 287) state that this country formalised and institutionalised PPP during the late 1990s

through legislation (Law on Concessions of 1999, the Law on Concessions for Building and Operation of Motor Roads of 1999) that were put in place in order to give effect to PPP.

2.2.1.5 Russia

Other industrialised states have also slowly started to take up the idea of PPP when implementing projects of a high magnitude. According to Mouraviev and Kakabadse (2015: 84) the Russian government put in place the legislative framework for PPP in the year 2005 and amended it in 2008. This has seen the private sector playing a big role in infrastructural projects, although, the policy framework related to PPP is still emerging. There is an institutional mechanism that has been put in place to look at the evolution of the PPP paradigm within the Russian context; however, there seems to be confusion in terms of the legislative framework outlining the roles and expectations of stakeholders. Rodin (2010: 228) states that most cities in Russia have opted to use the regional PPP legislative framework, which is in conflict with the existing federal public procurement legislation. It is therefore important to note that there is a need for PPP legislation to be aligned in order to speed up service provision.

In the countries noted above, the main focus of their PPP strategy was infrastructure development, by way of setting up institutions to drive PPP and also by laying down legislative framework in order to regulate PPP processes. Furthermore, what is noted is the fact that deregulated economic systems opened up pathways for competitive participation by the private sector within the state procurement system.

It is evident that PPP was vital in assisting countries outside the African continent by allowing space for the private sector to participate in the provision of public services. In the following section will look at PPP evolution within the African context.

2.2.1.6. African context – Nigeria

In the African context, Akpan et al. (2012: 13) mention that PPPs in Nigeria were focused mostly on energy provision during the late 1990s. However, the legislative framework that allowed for more involvement of the private sector through investments in the energy sector was put in place only in about 2005 (Akpan et al. 2012: 13). The author further notes that in around 2009 Nigerian PPPs extended to areas such as infrastructure development as a means of stimulating economic growth and ensuring adequate infrastructure for health provision. Nwangwu (2012: 269) states that in 2005

the Nigerian government embarked on radical legal and institutional reform in order to put in place a proper PPP legislative framework; as such, the Infrastructure Concession Regulatory Commission Act (ICRCA) was passed and served as a legislative measure to ensure that the state engaged in PPP within the ambit of the law.

2.2.1.7 South Africa

Farlam (2005: 1) indicates that South Africa adopted the PPP method of service provision as early as in 1994, when the government at all levels (national, provincial and local) became engaged in 300 projects with the approval of the treasury department. This was followed by putting in place the legislative framework that served to assist all organs of government to participate in PPPs within a proper and transparent environment. The World Bank (2012: 1) states that the first PPP office that was established in Africa was the South African PPP unit, which was established with the help of foreign experts, who participated in its establishment for five years. Agbavboa et al. (2014: 102) state that the South African government regulated PPP through the Public Financial Management Act (PFMA) No.1 of 1999. In essence, the legislative framework gave way to the establishment of the PPP unit within National Treasury Department. Furthermore, the National Treasury (2006: 1) states that the other legislative framework that was put in place was the Municipal Financial Management Act (MFMA) No. 56 of 2003, in which section 120 served to regulate PPPs at municipal level. It is important to emphasise the distinction between the two pieces of legislation indicated above, in that the PFMA served to regulate PPPs in the national and provincial spheres of government, while the MFMA exclusively regulates PPPs at the municipal level.

In the case of South Africa and Nigeria, the key focus of the PPPs was on the provision of infrastructure due to the need for the sourcing of additional resources or funding to assist the states to deliver infrastructure to the people. It is clear from the discussion above that Africa conducted itself in a similar manner to that of other countries around the world, in which the introduction and institutionalisation of PPP was to encourage the private sector to invest in infrastructural programmes and promote the effectiveness of government service delivery.

What comes out strongly in the literature is the fact that PPP became more organised and institutionalised in the 1990s, even though initiatives existed before that required state and government intervention. What is noticeable is the fact that since the formalisation of PPP by many UN member states, there has been an improvement in infrastructure development. Hodge et al. (2010: 27) state that international trade organisations such as the World Bank and the IMF work hand in hand with donor states (such as USA and EU) in forming contractual partnerships with private businesses in pursuit of their development agendas. Furthermore it is pointed out that the main focus of many PPPs has been on infrastructure development due to the need for funds and the 'know how' that ought to be found within the private sector. As such, many countries have adopted an organised approach to PPP by putting in place the necessary institutions. Reynaers (2014: 41) notes that in many developed and developing countries, governments have been reinventing public service by adopting private sector management techniques and have opened up space for private sector involvement in the provision of services through the use of PPPs. For example, countries such as Canada, Britain, the United States, China, India, Nigeria and Ukraine have established Institutions and the legal framework to deal with public sector involvement. This is also evident in South Africa, where there is a specialised unit within the Treasury Department (known as the PPP Unit) and legislation such as PFMA that serves to put in place strategies and guidelines for government departments to effectively and properly execute PPP. Furthermore, Bexel (2012: 392) states that PPPs have also extended to global governance, such as UN member states being engaged in empowering women who are marginalised in developing countries, with projects such as the training of Pakistani female livestock workers, in partnership with Nestle Pakistan. In this regard, PPPs play a critical role within the social or economic systems, because they provide an opportunity for many stakeholders to pool their efforts and work towards a particular goal.

The above section is vital in the sense that it provides a historical account of PPP in order to provide a clear understanding of the evolution of PPP. In the following section, the conceptual basis of PPP is outlined with the aim of assisting in the contextualisation of PPP.

2.3. DEFINING PUBLIC PRIVATE PARTNERSHIP

In chapter one, there was a brief explanation as to what is regarded as private-public partnership. PPP is regarded as a process whereby government and the private sector are engaged in an agreement to provide a service and eliminate the service provision challenges that might exist and affect a community. Academic literature also provides several variations of the terminology.

Kwak et al. (2009: 51) define PPP as an instance in which government and the private sector agree to cooperate by sharing the resources, responsibilities, risks and rewards associated with the outcomes of a joint operation. This definition provides that PPPs are a means of resource mobilisation for government entities that might not have enough resources or infrastructure to execute their mandates. Furthermore, it takes note of the fact projects are risk orientated and PPP plays a crucial role in ensuring that one partner does not bear the risks alone, but both partners share the risks through a risk management process.

Robertson et al. (2012: 1) define PPP as a cooperation between the state and private actors, or institutional arrangements between the two sectors in order to develop services and products, where there will be sharing of the costs and risks, as well as the benefits. This definition places an emphasis on the point that the actors from both government and business share a common goal in offering a service, in a most cost effective manner, for the benefit of both parties. What is common in the definitions provided by Kwak et al. (2009: 51) and Robertson et al. (2012: 1) is the fact that PPP enables parties to share the risks associated with projects as well as resources. Additionally, not only one partner stands to benefit from the outcomes of the project; both partners stand to enjoy the benefit of a joint venture.

Bult-Spiering and Dewulf (2006: 17) state that PPP is when the public sector is transformed in a manner that is innovative and a service is provided using a revolutionised method through mentoring or the sharing of knowledge by the business sector. It is noticeable from this definition that PPPs are seen as means of promoting efficiency in service provision by exposing government employees to skills and infrastructure that it might be lacking, which the private sector has at its disposal.

Delmon (2011: 2) emphasises the level of cooperation between the government and the private sector. Specifically, he mentions that PPP is a contractual obligation

between 'private' and 'public' entities with the sole purpose of improving service infrastructure. Delmon's definition provides for the legal requirements in a contractual form, while on the other hand it alludes to the government's need to acquire more infrastructural assets. Consequently, there has to be a formalised agreement or partnership with the private sector, which is best positioned to provide necessities such as funding, since infrastructure is costly and requires large investments.

When it comes to the benefits of PPP, Martin and Halachmi (2012: 190) agree that PPP has been promoted not only because it promotes efficiency and increases the quality levels of service provision, but due to the fact that it also promotes the coordination of resources and effective methods of achieving goals that are for the public good. The benefits of PPP outlined by Martin and Halachmi (2012: 190) are in line with the definitions provided by Kwak et al. (2009: 51), Robertson (2012: 1) and Bult-spieering and Dewulf (2006: 17), since PPPs by their very nature strive to promote efficiency in service provision and both stakeholders are expected to contribute or inject resources into the project that will improve service for the greater public good.

Stadtler (2012: 80) states that PPP for development is seen as a proper tool to address issues that would have not been addressed by a single entity, or where there is little possibility of success. This definition clarifies that PPP is the best method for the delivery of services that might not be delivered successfully if one party were to take action alone. This is in line with the definition provided by Delmon (2011: 2), while Stadler also notes the need for cooperation between both parties in order to achieve their goal.

The above definitions all seem to emphasise that the multi-stakeholder approach to problems that affect communities is critical, due to the fact that each and every stakeholder notes the need for resources that one stakeholder might lack access to. What is noticeable from Stadtler and Halachmi is that PPP is critical in instances in which one entity has not been able to perform its duties appropriately due to the fact that there is a shortage of resources, a lack of financial capabilities and/or a lack of adequate skills. Furthermore, the definitions emphasise that PPP enhances efficiency in the provision of services and this facilitates a high level of service effectiveness. From the analysis and discussion on reviewed definitions, the operational definition of PPP in the context of the study will be as follows: PPPs are a contractual agreement

between the state and private sector to consolidate their resources in promoting efficiency in the provision of services, as well as the transferring of skills, sharing of knowledge and sharing of risks that might be associated with the venture in a quest to address societal challenges.

In the above section, various definitions of PPP provided in the literature were examined. To create a deeper understanding of PPP, in the following section the commonly noted principles of PPP agreements will be dealt with.

2.4. PUBLIC-PRIVATE PARTNERSHIP PRINCIPLES

PPP is critical for sustainable development, but needs to be well executed and properly planned before parties engage in partnerships. Zapatrina and Pyltyay (2014: 293) argue that for PPP to have a great impact in infrastructure modernisation, it is important for both the private actor and the public actor to be visionary and to come up with clear strategic frameworks that will be understandable and welcomed by all stakeholders. Such a strategic framework should be vital in the establishment of the relevant legislation, allocation of responsibilities and outlining of implementations plans. It is critical that before engaging in the PPP initiative, the partners appreciate the extent of the PPP and the principles of such an initiative. In this section the researcher strives to outline the principles associated with PPP and further outline them in light of DRR.

Calleja (2013: 296) asserts that good governance principles are critical when it comes to PPP issues. Additionally, good governance remains the principal pillar of DDR. Based on the assertion by Calleja, the following elements of good governance are noted:

- Participation
- Decency
- Transparency
- Accountability
- Efficiency

The above elements of good governance have a systematic link to PPP as provided by the literature, based on the fact that PPP is a participatory process whereby stakeholders from different sectors open a space for one another to participate in the scope of the other's sphere. It also requires a high level of transparency in order to build trust amongst the stakeholders from the private and public sectors. Binza (2008: 303) argues that when dealing with the governance of PPP, municipalities have to take equal cognisance of communication, accountability, participation, openness and transparency. Furthermore, those in charge with a responsibility to manage the processes related to the core content of the PPP have to account, more so when public funds are being utilised. Hayllar (2010: 100) also points out the importance of good governance by stating that if the main purpose of PPPs is to serve the communities, it is critical that they are embarked on in a regulated environment in which good governance is paramount and in which all the stakeholders work hand in hand to address challenges in order to have the required output. Lastly, one of the main elements of good governance is efficiency, which is in line with the fact that PPPs are by nature aimed to promote efficiency in the provision of services. It is therefore important to unpack the abovementioned elements in detail in order to substantiate each element.

2.4.1. Participation

It is critical to unpack the principles of good governance as outlined above and to illustrate how they link to PPP and DRR. When it comes to participation, PPP processes allow for stakeholders to take part in the processes that leads to partnership agreements, be part of the decision-making process and to have sense of ownership of the projects. Van Deoveren (2011: 309) states that participation is characteristic of good governance, as it allows an approach whereby everyone has a role to play in policy development and implementation. Chagutah (2009: 116) states that the participation of all the stakeholders, including businesses and communities, are critical during the planning for development, as well as when development is in motion. Polk (2010: 482) notes that broader stakeholder participation allows for renegotiation on policy imperatives and also helps in the mobilisation of various skills. The points raised by Chagutah (2009: 116) and Polk (2010: 482) are in line with that of Van Deoveren (2011: 309), who points out the necessity of participation, as they both advocate for all the stakeholders affected by development to participate in development planning.

As such, PPPs should provide a broader space for participation by all stakeholders. However, participation is not always easy to motivate, as noted by Chen (2013: 529), who notes that one of the foremost challenges to attracting the private sector to participate in PPPs is a need to identify the value added by the programmes in which they participate.

This has implications for PPP participation in DRR because businesses are most likely to participate in DRR processes if their role is clearly defined, if they are of the view that their role will strategically profile their image and if DRR initiatives have a positive impact on their core business. Furthermore, Denhardt and Denhardt (2006: 443) assert that participation allows for various sectors to not only be the recipients of government services, but to also be contributors to policy and government programmes. It is imperative, in this regard, that the public sector strengthens forums that focus on DRR in order to provide ample opportunity for the private sector to take part in programmes and extend their contribution through PPPs, as this will enhance good governance.

2.4.2. Decency

Another element of good governance is decency. Calleja (2013: 297) describes decency as the ability to gain the trust of all the stakeholders who are part of the agreement. Gaining trust or having decency is vital for the success of PPP, because in this manner all the stakeholders are expected to behave within acceptable standards. In this manner there will be mutual respect among the stakeholders and each of them will perform their duties in a professional manner. Harrison (2007: 98) states that decency entails that each stakeholder is honest and conducts business with high integrity. It is therefore important for PPP initiatives to be embraced by all the stakeholders and for everyone to trust one another: in other words, there must be a high level of fairness among different stakeholders. For example, where the state funds or where the funds provided by the board of a private company or shareholders of a private company will be used, there is a great need to ensure that funds are spent on what they were meant for.

Santos (2010: 210) states that PPPs are likely to be a success when all the stakeholders are fair to one another, more especially when it comes to the sharing of risks and incentives. Martin and Elges (2013: 62) define decency or integrity as when

all stakeholders conduct themselves according to ethical standards that bind institutions to perform in an acceptable manner and not perform corruptly. It is critical that both the public entity and the private entity uphold high ethical standards, more especially when funds will be used through the PPP to procure equipment and initiate projects relating to DRR. In this case, parties will need to ensure that they conduct themselves in a manner that will not tarnish their brand or that of the other party, while also working together to reduce risk.

2.4.3. Transparency

Another element that is important to the PPP is transparency. Cruz and Gary (2015: 8) describe this as a process in which citizens have access to government information that is of good quality and is provided timeously. This means that all the processes of the PPP have to be open for all those affected to monitor and evaluate the impact of the PPP. Kiuriene (2013: 52) and Hu (2014: 240) argue that transparency is important as it allows for maximum participation and ensures that decisions are taken in an open and transparent manner, and where democratic principles are recognised. As such, all stakeholders can trust in the PPP processes if they feel part of all the processes that unfold within the PPP project. Therefore, for a PPP agreement in DRR to be a success, it would be crucial that all members (public, private, NGOs and communities) have an opportunity to participate, be part of decision making and be able to participate in the monitoring and evaluation of programmes and projects. The role of multi-stakeholder participation and transparency is even more important when one of the stakeholders has made an extensive financial contribution.

2.4.4. Accountability

The last critical elements of good governance as the key principles of PPP are accountability and efficiency. Vance et al. (2013: 267) defines accountability as a process whereby one is obliged to justify his or her action, so that others can evaluate the implications of such an action in order to impose the necessary sanctions. With regard to accountability, Marques and Berg (2011: 1601) state that it is important for PPP initiatives to establish an independent monitoring and evaluation structure to track the success of the PPP. In this regard, the partners will be able to develop plans with performance targets and report on the performance, as this will provide clear accountability from all stakeholders. Forrer et al. (2010: 476) assert that government has a responsibility to ensure that public resources are used efficiently, while the

private sector expects to earn profits from their investment; accountability standards are set by all stakeholders in order to ensure that services to people are not 'compromised' and replaced by profit making. It should be highlighted that when there is a PPP for DRR, structures such as disaster management advisory forums are important when it comes to providing an avenue for accountability. In this regard, stakeholders will engage in setting up standards and put in place tools that will ensure that all stakeholders account for their actions (South Africa, 2003). Heymans and Schur (1999: 617) state that institutional arrangements and the proper legislative framework are important for PPPs, as these will ensure accountability. The classic example of a legislative framework that protects public funds from being spent inappropriately is the South African Public Finance Management Act 57 of 2002. However, this legislation does not oblige the private sector to account when public funds also form part of the contribution; this means that the contractual agreement between both parties will need to outline a proper process of accountability.

2.4.5. Efficiency

Lastly, efficiency is a critical principle for PPP. Efficiency can be seen as a process whereby services are delivered to a community in a timeous manner within reasonable costs. Campbel et al. (2014: 262) defines efficiency as the demand to increase productivity within the public sector at minimal financial cost. Efficiency is a critical element of good governance; in this context, the state promotes efficiency through the proper use of available resources, in ensuring that the needs of the communities are addressed without delays and in a cost effective manner. Schachter (1989: 99) states that efficiency is being able to carry out activities as mandated by the community without using excessive funds. In the PPP context, efficiency becomes a key element because the partnership between the state and private entity serves to address the issues of resources and capacity to deliver a service in the most efficient manner; hence the concerted effort to ensure that there is leverage to deliver the service in a just and adequate manner. Engel et al. (2013: 85) state that PPP efficiency is justifiable on the basis that the private entity compensates the public entity through user fees, which in turn adds more funds to the revenue of the public entity and such funds can be used for other services.

Furthermore, PPP partnerships for DRR have a huge benefit not only for government but also for businesses, since their survival is dependent on a safe and stable

environment. Wahlstrom (2011: 24) states that taking preventative action through DRR mechanisms improves business efficiency. In this regard, more investment in infrastructure by government will ensure that there is proper infrastructure in place and such infrastructure will survive any disasters, and there will be less need for putting more resources into recovery or rehabilitation of damaged infrastructure after the disaster. Furthermore, preventative action will also contribute to business continuity or efficiency in a case in which a disaster has struck a particular location, because there will be measures in place to ensure that the economy is not affected. Svata (2013: 21) states that unplanned events such as disasters cause great loss to business and result in businesses not being able to perform their functions. This makes it necessary for partnerships between the private sector and the government to deal with DRR are critical to business continuity. In this regard, efficiency by both sectors and public sector becomes an incentive due to combined preventative efforts.

It is against this background that the South African disaster management legislative framework advocates for a multi-stakeholder approach to DRR, since all the stakeholders are expected to contribute to the formulation of disaster management plans. In light of this assertion, PPP in DRR should serve to sustain efficiency on the side of the public sector when, for example, there is a high demand of infrastructure and government does not have adequate capacity to address the demand for infrastructure, bearing in mind that the government has competing needs and few resources. Chowdhury et al. (2011: 248) states that most countries choose to engage in PPP with the aim of improving efficiency by taking advantage of private sector technology, skills and expertise. The important factor to take note of is that PPPs can be very instrumental promoting efficiency as they can augment the scarce or limited resources that government might have. Such efficiency might also be noted where private institutions such as banks make available funds to communities to rehabilitate their infrastructure (e.g. houses) when there has been destruction of property or any other valuables.

The above section has provided the core principles of governance that are paramount to the success of PPPs. It can be argued that PPPs are most likely to be a success if the agreements or contracts of joint venture between the government and the private sector are premised on good governance principles. The following section will

comprise a look at commonly known PPP models, in which both government and the private sector have engaged in contractual agreements.

2.5. PRIVATE- PRIVATE PARTNERSHIP MODELS

It is critical to look at PPP models and elaborate on how they might be relevant to DRR. According to the Oxford Dictionary, a model can be defined as “something used as an example to follow or imitate”. In this regard, PPP does not have only one standard model, but a variety of models, which makes it necessary to outline these and how they might be applied to DRR

The United Nations ESCAP (2011: 3) has developed a guidebook on PPPs that outlines a number of models that are related to PPP. These are:

- Supply and management contracts
- Turnkey contracts
- Affermage/lease
- Private finance initiatives (PFIs) and private ownership

Each of the above models will be discussed in more detail in order to identify the most suitable model to apply to DRR. The discussion will start with a look at supply and management contracts, followed by turnkey contracts, affermage/lease and conclude with the private finance initiatives (PFIs) and private ownership.

2.5.1. Supply and management contracts

According to the UNESCAPE (2011: 6), this model relates to an agreement between a private entity and government, in which the entity takes full control of the service, or part of the service. Cartlidge (2006: 23) states that this form of partnership is also known as a ‘financial free-standing project’, in which the private sector assumes all the responsibilities that are associated with the construction and use of the facility, while the government makes use of such a facility by paying for the service. In this regard, the private entity brings forth specialised skills, takes full charge of the service provision and also has a responsibility to procure equipment. Furthermore, the government or the user of the service is expected to pay a fee for the service provision.

This model is favourable mostly to the private sector if the agreement is that the business concerned takes ownership of the facility and operates within such a facility.

The supply management model is also found in South Africa and is exemplified by the examples of the Umngeni Water board and Rand Water. These two entities privately control dams and provide water services to the municipalities they serve at a certain cost. Kotze and Bates (2012: 225) state that the South African legislative context has shifted water provision responsibility from the sole responsibility of the government to a mixed strategy of both public and private supply. In this regard, PPPs have been allowed by the legislative context in the South African Water supply industry due to the fact that the private sector has adequate infrastructure to carry out the function. Hodge et al. (2010: 144) state that in an instance in which the ownership and management of a project is by the private sector, the private sector is the entity that benefits from the revenue gained by the facility. However, the benefit for the public sector is that it can avoid the costs of running the facility in terms of maintenance and risks. Furthermore, this form of PPP plays a critical role in assisting the public actor in terms of avoiding the compliance requirements of certain legislative frameworks, such as the Government Immovable Assets Management (GIAMA) Act No. 19 of 2007. According to the GIAMA legislation framework, the public entity is required to develop user-asset management registers and plans, and also prepare custodian-asset management plans and registers. The compilation of such asset management plans is extremely daunting and costly for government; therefore, shifting the responsibility of ownership to the private actor will actually limit the compliance responsibilities.

Although supply and management contracts have their benefits, they are not immune from challenges. One of the challenges that might be noted in this method relates to the contract that both parties enter into. In this regard, if there is no clear understanding of the contract from one side, this could have serious legal implications in the future. Joaquin and Greitens (2012: 809) note that in a study that was conducted in the USA it was found that municipalities that did not invest in contract management capacity had exposed themselves to risks due to a lack of internal capacity to monitor contract output. The finding by Joaquin and Greitens (2012: 809) points to the need for proper capacity to deal with contractual issues in order to avoid errors and being tied into contracts that are skewed in favour of the private sector. Burnett (2013: 226) outlines an additional challenge with this PPP system, namely that problems arise when there

is minimal information flowing between the public sector procurement team and the contract management team in terms of providing an understanding of the output of the contract. The nature of the shortage of skills in contract management is another challenge that could be an impediment to the execution of the contract. Mbabane (2008: 41) states that contract management and project management are regarded as scarce skills in South Africa, due to the high vacancy rate of 61.22% when the private and public sector are combined. It is crucial to note that when there is lack of skills in contract management within the public sector, this can have a bearing on the monitoring of the services provided by the contractor, specifically tracking whether services are provided in line with job specifications or contractual outputs.

The issue of the need for skilled personnel to provide oversight is also articulated in Burnett et al. (2014:39), who state that the challenge with contract management in South Africa is the lack of systems to monitor the performance of service providers, which leads to inconsistency or ad hoc monitoring service provision. Bender and Gibson (2010: 46) conducted a case study in the Mbombela (Nelspruit) Water Concession PPP project, where they found that the municipality could not provide adequate monitoring of services of the concession; even though the municipality took note of this, it could not address it timeously due to inadequate skills. It is therefore important for the public entity to put in place the necessary capacity when engaging in a supply and management contract, as a lack of necessary infrastructure could pose a challenge and the public entity stands to lose the public's confidence if the service rendered is not value for money.

2.5.2. Turnkey contracts

The UNESCAP (2011: 7) explains that Turnkey contracts are mostly related to infrastructure projects in which a private entity forms part of the partnership after it has gone through what is known as a tendering system (a process that is often followed in the South African context). In this regard, the private entity has the responsibility of designing and building the facility that will be used by the public or government. UNESCAP (2011: 7) explains that the risk associated with operating the infrastructure is assumed by the public entity, while the risks regarding the design and building are addressed by the private entity. Sullivan and Skelcher (2002: 82) note that this form of PPP requires the active participation of both the private and public sectors due to the fact that the public sector provides specific requirements for the service and the

private sector delivers that service. In return for the service provided, the private sector receives cash payment. This form of contract or partnership is prevalent in South Africa when it comes to the provision of infrastructure. For example, in the case of building municipal disaster management centres, the municipality is required by treasury regulation or the Municipal Financial Management Act to advertise the tender for private entities to bid and perform the function on behalf of the municipality.

The challenge with this partnership is that the public entity has limited space to choose which private entity it might want to form a partnership with, but a contractual relation is forged when a private entity fulfils the requirements stipulated in the procurement policies. In the case of building a municipal disaster management centre, the private company builds the centre and once the centre is completed the municipality (public entity) takes over the centre to conduct its business.

Yau and Yang (2012: 51) indicate that this form of PPP is often criticised for the poor quality of deliverables, the number of factors that could lead to delays in project completion and cost escalations. A challenge with this type of PPP systems was noted within the South African construction industry when companies colluded on increasing prices and delayed the completion of projects. Bowen et al. (2012: 887) conducted research on corruption within the construction industry and found that the industry had increasing cases of corruption, which in turn led to people losing confidence in the state. For example, the companies that constructed the 2010 Fifa World Cup stadia colluded to inflate the prices and charged the government excessively in relation to the price they were supposed to have charged. This is supported by an assertion from Bowen that corruption has become prevalent in the media reports, with particular reference to the bid-rigging by contractors during the 2010 Fifa Soccer World Cup. Furthermore, Bond (2014: 1) states that corporate South Africa has been rated by Pricewaterhouse Coopers as among the top in money laundering, bribery, corruption and procurement fraud, since it is ranked 67th out of the 175 countries rated on corporate corruption. It is clear that this presents a challenge in terms of adopting this form of PPP, since the tender contracting system remains open to procurement fraud. However, public servants also play a role in perpetuating financial crimes by private companies. The classic example of public servants being party to corrupt activities is when former Chief of Police General Bheki Cele was dismissed from his position, after the Public Protector found him to have been dishonest and of having had a conflict of

interest in the police lease deal (South African Press Association, 2014). This illustrates that some public officials collude with some private companies in a quest to steal public funds.

This model of PPP is expected to mitigate the risks that emanate from the construction of infrastructure. However, there have been instances in which the government has incurred costs due to delayed contracts, partly due to slow work progress by contractors. For example, *The Times* newspaper reports that the Gauteng Government planned to build Jabulani Hospital, a project that was anticipated to be completed in 2009, at a cost of R336 million, but ended up completing the project beyond 2009, with a bill of more than R1 billion, with excess expenditure of more than R600 million due to changes in the scope of the work and the service provider lacking the necessary capacity to carry out a project of such magnitude (Dlamini, 2014). Another classic example is the construction of the new power stations (Kusile and Madupi power stations), which were started in the year 2009 and were supposed to be completed in 2011, but to date they are still not completed, with costs that have escalated to more than R100 billion, instead of the R69 billion that was initially projected.

In spite of some of the challenges mentioned, Henning (2013: 20) states that the government's benefit from turnkey systems is that it saves on the costs related to the building of the structure, as these are borne by the private sector, while the government bears only on the operational costs. The positive spin-off is the fact that the public entity will not need to worry about the risk associated with building and will not have to worry about the lack of skills in project management.

2.5.3. Affermage/lease

Janssen et al. (2011: 2) state that an affermage contract is when the operating agent takes control of the public facility, uses it to provide a service and charges the consumer fees for the service on behalf of the entity that owns the property or facility (government). Also, the operating agent takes responsibility for minor maintenance, while the owner takes charge of major refurbishments. In a report by the University of Tokyo Civil Engineering Department (2003: 7) on the public-private partnership in the Philippines, affermage is defined as an agreement whereby government owns the property and makes an investment, while the private entity provides advice on the

investment and takes full operational control of the facility and receives payment from the consumer. In this instance, government becomes the owner of the facility and the private company deals with the operation of the facility; as such, the two parties agree on the percentage of share from the tariffs that are accumulated from the use of facility. In this model, the private sector enjoys the profit that accrues from the use of the facility and service, while the government gets a share of the profit, that is, an agreed on percentage, as accumulated by the private entity from the operations. UNESCAP (2011: 8) states that in an affermage partnership, both parties share the profit made from the investment, even when the government's investment is through the ownership of the infrastructure. In this regard, the government remains concerned with risk related to its infrastructural investment. Duliadini et al. (2012: 395) indicate that in a study conducted in Abu Dhabi, Dubai and Sharjah, leasing as a form of PPP has been found to work and has produced positive results in the Built-Operate-Transfer (BOT) project in the United Arab Emirates (UAE), where the municipalities allowed the private sector to sign lease contracts and pay an annual fee for 30 years. It is argued that this form of PPP is feasible in a state in which the parties are open with one another and there is room for parties to agree on an increase of the annual fee. This form of PPP is has been seen in the South African context, where the Gauteng Government is the owner of the Gautrain infrastructure and a private company known as Bombela Consortium is operating the infrastructure on behalf of the government, charges the passengers fees and gives the profit to the government, and get compensated for service provided. Thomas (2013: 79) stipulates that the former premier of the Gauteng province announced in the year 2000 the plans for the province to introduce the speed train. In 2002, the province advertised an international tender in order to form a PPP and Bombela Concession Company was chosen as a private partner to design, build and operate the train

It is appropriate to note from the onset that this form of PPP is not prevalent in the context of DRR in South Africa. This is due to the fact that government has a constitutional obligation to execute DRR initiatives without expecting any compensation from communities. Boarman and Vining (2012: 123) state that most PPP companies enter into a PPP agreement with the aim of maximising their profit share and limit risks. It is from this perspective that leasing as PPP might not be appropriate or could complicate the mandate of government to offer services for the

social development of communities. On the other hand, a lease could work for the benefit of government; for example, the Gauteng Department of Infrastructure owns commercial properties that are leased to retail companies, who pay a substantial rent for the use of such assets.

However, this form of PPP also has drawbacks in its application. Beh (2010: 76) states with respect to a PPP in Malaysia that an agreement was made between government and the private sector to secure investment for the 'Port Klang Free Trade Zone project' in return for lease payments, but such has been distorted by a high level of corruption and patronage. Therefore a significant pitfall of leasing is that it is also open to a high level of corruption, especially when there is lack of or incoherent policies. Furthermore, the negative impact of the affermage system is that the private sector takes part in the initiative with the sole aim of maximising profit, so the price for the service keeps on increasing, which makes it hard for the poor to afford the payments.

2.5.4. Private finance initiative (PFI) and private ownership

A private finance initiative is regarded as a form of PPP whereby the private sector invests in the design of the building and operating of the facility. UNESCAP (2011: 10) states that government remains responsible for the payment of fixed minimum fees, so that when the period of payment lapses, the state will take over the facility. In this form of PPP the private sector is regarded as the bearer of the risks that are related to building and design. Furthermore, this form of PPP is regarded as beneficial to the public sector, mostly due to the fact that the private entity will have no motive to deliver shoddy work, as it stands to also benefit from the fees payable on the services that are provided in the structure. Siemiatycki (2010: 45) confirms the statement above by saying that Build to Operate PPP projects, which are mostly funded by the private sector with building specifications by the client (government), are beneficial to the private sector because businesses accumulate profit from the fees that are paid by government in return for the service.

This form of PPP might not be viable for municipalities in terms of DRR, since municipalities might not be able to transfer DRR function to a private entity, because government is compelled by the Disaster Management Act to provide services such as disaster risk management. However, if you look at DRR in a broader context, it make sense that larger infrastructural projects such as the building of schools, roads

and hospitals might be addressed through this form of PPP, because the private entity has the up-to-date technology and resources necessary to provide such infrastructure. This will decrease the risk related to disasters such as heavy storms or fire risk (urban/rural), because adequately built infrastructure will assist in ensuring that people do not get exposed to unacceptable levels of danger. Wan (2013: 782) states that proper urban infrastructure does not only prevent unexpected disaster, but it remains a key pillar in sustainable urban development. Furthermore, Chen et al. (2013: 113) state that in most countries government is in charge of leading DRR initiatives, but the private sector is the one that invests the most in critical infrastructure; hence scholars such as Chen are advocating for greater cooperation between the state and the owners of critical infrastructure. Rubert and Beetlestone (2014: 706) argue that the Southern African Development Community should regard private sector businesses as key actors in DRR and need to forge partnerships with them, both because they are the main contributors to climate change and because they can provide the necessary funding, the skills and necessary information technology to boost the capacity to face disaster. It is very important to rope in private businesses as investors and give them space to fund critical infrastructure where government might lack the financial means. Crucially the government should be in agreement as to how it will access such infrastructure for the public good in a cost-effective manner. The above assertion by Rubert and Beetlestone (2014: 706) shows that private finance initiatives (PFIs) and private ownerships are ideal, because the private sector takes charge of the costs related to building and operations, while the government is allowed to pay fees in portions, whereas it would have struggled to pay the fees from the onset if it was required to do so.

The models discussed above are mostly aligned with the provision of infrastructure by government and the private sector through partnership initiatives. Some of the above models, such as turnkey contracts, are in line with the DRR function of the government, but they mostly focus on physical deliverables such as infrastructure and not non-physical deliverables within DRR, such as risk awareness, policy development, risk assessment, and training and capacity building. Yau and Yang (2012: 50) state that the turnkey contract serves to assist government in the delivery of infrastructure by involving the private sector in public works construction. As such, it becomes relevant to DRR due to its nature of being prevalent in construction. The conclusion that can

be drawn about the above PPP models is that some of them might be a relevant (turnkey) to PPP in a DRR context, while others (lease and private finance initiatives) might not be, due to the fact that the nature of such agreements conflicts with the government's mandate.

In short, the theoretical framework takes cognisance of the fact that the models outlined above are mostly associated with the provision of infrastructure through the PPPs, but most of them conflict with the DRR mandate of the government. The following section will provide further examples of PPP models that are more focused on social development issues.

2.6. PUBLIC-PRIVATE PARTNERSHIP MODELS FOR SUSTAINABLE DEVELOPMENT

It is important to evaluate other forms of PPP and to attempt to outline how such PPP models are best suited to municipal DRR systems. Scholars such as Bull and McNeill (2007: 13) present other forms of PPP that involve a focus on addressing larger social development issues. These include:

- Resource mobilisation partnerships;
- Advocacy partnerships;
- Policy partnerships; and
- Operational partnerships.

It is important to describe the above models in detail in order to identify the most relevant models for municipal disaster risk reduction for sustainable development in the South African context. It is also important to note that the PPP models that are outlined in this section are different from those that were outlined in section 3. The reason for describing the PPP models in this section is the fact that their main focus is on social investment, while those outlined in section 3 deal mostly with partnerships for infrastructural investment purposes. In the South African context the focus of PPPs is not exclusively linked to profit making, but also to social benefit for communities. This is because government does not aim to make a profit but to provide social services to communities within its borders. The PPP models are relevant for municipalities as they contribute to the sourcing of funds that might be required for

projects, since municipalities at times lack adequate funds or receive inadequate budgets from the equitable share in order to execute their constitutional mandate fully. Mannie and Bowers (2014: 17) note that in services such as waste management, municipalities are still faced with the challenges of rising costs and a limited revenue base, and this poses a challenge in terms of the provision of services. As such, this discussion starts by looking at resource mobilisation as a model for PPP.

2.6.1. Resources mobilisation partnerships

This form of partnership is based on the efforts of the private sector and governments to mobilise funds in order to assist in addressing social issues. Bull and McNeill (2007: 13) explain that this form of partnership exists when the private sector gets engaged in fundraising or direct foreign direct investment (FDI) in low-income countries. Bull and McNeil state that this form of PPP is a win-win situation for the private sector, international organisations and the countries in which the investment is made because the private sector is afforded an opportunity to actually conduct business in the areas into which they have channelled the funding, while on the other hand countries or communities where there has been investment benefit since such funding will address budgetary constraints. Tennyson and Wilde (2000: 16) submit that partnership is favourable if it comes out of tangible commitments in the form of resources or money. Tennyson and Wilde also caution that resources or financial commitment alone does not lead to solving problems, as stakeholders who have put forward the most resources might want to dictate the terms of the partnership. In this regard, it is critical when mobilising for resources in a partnership that all stakeholders should understand that the commitment is not for self-preservation or self-benefit, but rather a contribution to address the root causes of a social development problem. The Development Bank of Southern Africa (2000: 36) states that PPPs assist municipal councils to fulfil their responsibility of ensuring access to basic services through contributions in terms of managerial skills as well as private capital.

This model can make a great impact if it is localised and implemented at a municipal level. Bloomfield (2006: 400) states that municipalities that are experiencing financial disadvantages can best utilise partnerships with the private sector in a quest to access more funds by adopting their principles and taking advantage of their innovation. Rogerson (2009: 441) states that the benefits of partnering with the private sector are access to funding, managerial efficiency and “environmental awareness”; while the

private sector displays its entrepreneurial pedigree, it does so while taking social responsibility and passing on skills to local communities.

In a country like South Africa, more resources from the private sector remain critical as they will assist government in the creation of job opportunities, while the private sector becomes a key role player in local development. Rogerson (2010: 442) supports this notion when he alludes to the fact that PPP initiatives in local economic development have made a meaningful contribution, as they provide a space for the business sector to play a role in development. The involvement of the private sector in development is not only the means for the expansion and exploitation of opportunities, but also the means to enhance innovation and play a critical role in helping communities to access services efficiently and to be self-reliant.

2.6.2. Advocacy partnership

This form of PPP involves partners being engaged in an awareness programme relating to a particular issue that is affecting communities. Chapman et al. (2011: 72) defines advocacy as the ability to speak for oneself or to raise issues that are affecting communities on behalf of others. In this regard, people who have an interest in a common issue rally together in order to raise awareness about that issue. For example, academia, non-governmental organisations, organised business and organised labour can lobby a stakeholder within their domain to raise awareness on issues such as human rights abuses, inequality or youth development. Holle (2012: 22) observes that an advocacy group needs to have a common interest in a particular issue and have strategies to address that particular issue. What comes out strongly is that advocacy is when a group of partners engage in a relationship based on their interests, with an aim to address social change issues. Idowu et al. (2013: 11) argue that even though a business's core interest is to accumulate profit, being involved in social investment also provides an opportunity for the company to strategically eliminate risks and enhance its relationship with other stakeholders. Incite (2013: 3) states in an example of the Carbon Disclosure Project (CDP) that the project has extended its scope by engaging business and investors in order to mobilise to play a proactive role in addressing climate change issues. Business can thus be a crucial partner in advocacy projects in a variety of domains, including DRR, climate change adaptation and environmental management. Specifically, this form of PPP can be instrumental when applied at a municipal level when dealing with DRR issues. In this

regard, private media companies and companies that deal with communication could forge a partnership with a municipality in terms of packaging information about DRR and broadcast such information within and outside their company to at-risk communities.

2.6.3. Policy partnerships

Policy partnership is a form of a PPP whereby the parties work together in pursuit of the realisation of public policy. In this regard, the parties play a cooperative role in the development of policy as well as the implementation of such policy. Hunter and Perkins (2012: 47) state that policy partnership is about the coordination of various stakeholders and making use of different perspectives and expertise, as this will lead to innovative ways of dealing with policy issues, including policy development and implementation. Marsilio et al. (2011: 775) state that PPPs were traditionally seen as being for profit purpose only, but there has been a paradigm shift, whereby it is now seen as a new form of governance in which there is cooperation between stakeholders on policy development and expediting service delivery. In this form of PPP, a platform is created for stakeholder's participation in policy discussion forums, where ideas and expertise are shared. Bull and McNeill (2007: 15) state that the partnership of government agencies and the private sector is pivotal in cases such as human rights projects, private-sector development and health issues. Singh and Prakash (2010: 831) support the assertion that PPPs are also critical for policy implementation. They note that the government of India announced the importance of the private sector becoming the important agent in implementing the government health policy, in order to make available health services to marginalised communities. In this regard, the state was the lead agency in policy development, but it created space for the private sector to contribute to policy making by virtue of being a stakeholder that invested resources in the partnership. As such, the partnership alluded to by Sing and Prakash (2010: 831) in the Indian context was extended to policy implementation in terms of outreach camps for health, immunisation, TB and cataract surgery. Ulriksen (2013: 40) notes that policy making is not merely a technocratic process, but it a process whereby economic stakeholders (business) and beneficiaries (communities) bargain about their policy preferences. It is against this background that policy partnerships create a space for the private sector to play a proactive role in policy making due to the fact that they also become the key funders in the implementation of such policy.

Policy PPP is regarded as beneficial, more especially at municipal level, where local stakeholders are expected to play a role in policy formulation and implementation. This is especially true in municipalities that are facing resource challenges, as well as a shortage of skills. Burger (2005: 490) states that the Municipal Systems Act No. 32 of 2000 acknowledges the role of the private sector in the delivery of services such as water provision. The participation of private entities in policy development is noted in the Rand Water 2012-13 annual report. Rand Water (2013: 131) stated that it participated in the SALGA Gauteng Provincial Members Assembly, which is a policy-making body for organised local government dealing with municipal water policy development. Also, institutions such as academia (or private education institutions within the municipality) can play a critical role in this form of partnership, mostly in policy areas that require policy research. Rowe et al. (2013: 683) state that PPP also serves to provide an opportunity for strategic partnerships between the government, academia and other agencies in order to solve complex research problems through the integration of skills from various sectors of society and making policies that are responsive to societal challenges.

In municipal DRR policy processes, the private sector might be a critical stakeholder by giving input on policy development and implementation through disaster management advisory forums (South Africa, 2003). This participation allows private businesses to have an impact on the policy and sort out community challenges

2.6.4. Operational partnerships

This form of partnership is when the government and the private sector agree that the private sector will execute the function on behalf of the government. Jianping and Ding (2013: 371) state that operational partnership is when the public entity and the private entity agree that the private entity will take full responsibility for operations within the facility and charge fees to the end user, while government will be responsible for the maintenance of the facility. However, at the end of the operating partnership agreement, the facility is transferred back to the government as the facility owner. Mazouz et al. (2008: 103) state that in operational PPP partnerships, the private sector entities become responsible for the management of human and financial resources when they execute the public function. Operational partnerships might be beneficial to the government because they assist in the saving of funds due to the fact that the costs related to the operation of the facility are not borne by the public sector, since

such costs and risks are transferred to the private partner who will be in charge of operations. This also ensures that communities get access to services in a more efficient manner.

There is a prevalence of instances in which the government is struggling to execute its mandate effectively due to a lack of resources, skills and expertise. Biswas et al. (2005: 188) note that when the Mexican government could not provide clean water to both urban and rural communities, it adopted a strategic framework that provided for private investment in water and sanitation. This partnership became the option due to the fact that private companies had access to funding and skills. It is argued that PPPs in this format might be best suited to situations in which communities are in need of funding mechanisms that will help them to be resilient to disasters. Johannesen et al. (2014:110) state that communities in developing countries can be assisted through recovery mechanisms such as social and livelihood programmes in order to access the funds they will use for the resilience initiatives. For example, in communities for which government is unable to provide clean water and the community as faced with hazards such as cholera outbreaks, the private sector might step in and be used as an agent or operator to provide such communities with clean water. Fobil et al. (2010:139) indicate that Ghanaian and Nigerian district municipalities adopted this type of PPP model, since many of the municipalities were experiencing challenges in terms of funding and skills to carry out the function.

It is important to stress that in the execution of government mandates, governments are in the best position to succeed in doing so if they are engaged partnerships with critical stakeholders. Cruz et al. (2013: 473) state that the Portuguese government implemented the National Health System (NHS) policy, which had the objective of providing universal access to health services, when it needed to refurbish old hospitals and to build new ones. In this instance, the government would have not been able to carry out the task on its own, but had to create space for private entities to be a stakeholder in the health system. Blanken and Dewulf (2010: 36) indicate that during the first wave of building hospitals through PPPs in 1997, about £1.3 billion was raised from the initiative, which included private investment, and this led to more projects being implemented. Similarly, in South Africa, where government intends to implement the National Health Policy, it will need to forge partnerships with the private sector in order to execute its mandate effectively.

The perspectives outlined above provide an understanding of the types of PPPs that are most prevalent or key in addressing DRR challenges and the mobilisation of all stakeholders to participate in the partnership initiatives that address social issues. The following section will look at perspectives on PPPs, as this will provide a clear understanding of the challenges that might stem from partnerships between the private and public sector.

2.7. PUBLIC-PRIVATE PARTNERSHIP PERSPECTIVES

While PPPs include an agreement between the private sector and the public sector, there are elements of or perspectives on PPP that need to be outlined. Since both the public and the private sector are the main actors, it is important to look at the private actor's perspective. This will assist in providing a clear picture of how the private sector perceives PPP, and the experiences of the PPP initiatives that businesses have embarked on. Furthermore, this will also shed some light on the challenges or shortfalls that have been observed while engaged in the PPPs.

The discussion will start by looking at the private actor's perspective in terms of evaluating the challenges associated with PPPs.

2.7.1. Private actor's perspective

It is critical to provide a synopsis or an account of PPP from the perspective of the private sector. It is critical to understand the challenges that emanate from PPPs and how such have affected the business standing of companies that engage in PPPs with the public sector. Furthermore, it is important to also outline the compelling factors that lead private entities to being party to PPPs.

Kivlenince et al. (2012: 273) state that the value for the private sector being part of a PPP is based on the fact that the company affords itself legitimacy and an opportunity to expand its business scope, while at the same time contributing to the social welfare of the community. He further notes the challenges related to PPP, such as the fact that the private sector at the end of the day is an entity that serves to maximise profit, but that involvement in social projects do not necessarily bring in tangible revenue. Political conditions might also impair the PPP, such as when the leadership is concerned with the retention of votes instead of service delivery. Appuhami et al. (2011: 442) state that political issues have a potential to hamper PPP progress; for

example, in Sri Lanka there were plans to build a 900 MW power station, but the plans were put on hold due to the quest to win votes from those that were against the project. This is a typical example of political interference that has the potential to diminish the private sector's interest in participating in PPPs. Furthermore, if there is an increase in the costs of the service while the private company is experiencing financial difficulties, this could put a strain on the PPP.

Van Boxmeer and Van Beckhoven (2005: 9) argue that private companies can actually perform within the scope of PPP while also pursuing their strategic objectives; for example in an urban renewal projects in Spain, the government made available land for building while construction companies performed their duty of building houses, which enabled the companies to achieve their profit-making objectives while assisting the government to execute its infrastructure provision mandate. What is noticeable from the point raised by the above is that, in mass recapitalisation projects, private actors are critical partners, because they are able to come up with alternative means of funding and are also open to taking care of the risks that might come with projects. Steyer and Gilbert (2013: 294) state that in addressing disaster risk, private companies remain important in determining and minimising the risks that come with their operation; for example, companies that use chemicals and dangerous technologies might be party to DRR initiatives and play a role in community awareness about the dangers of the products they deal with. As such, all companies that are partnering in risk mitigation form a basis for advocating for the greater involvement of private actors in risk mitigation. In this regard, both the private and public sectors can use their experiences from such partnerships when lobbying companies that have not been engaged in PPP or social corporate responsibility initiatives to take part in future initiatives and see value in their involvement.

As noted above, it is important to evaluate the how each stakeholder stands to be enriched by being part of a PPP. As such, in the above section a detailed perspective from the private partner's perspective was provided.

2.8. CONCLUSION

In this chapter the theoretical and historical background of PPPs was examined, from the global context to the African context. It has been noted that PPPs have been in existence for a long period; however, it was only in the early 1990s that it became

formalised globally through legislative frameworks and also through putting in place the necessary institutional mechanisms. A noticeable point when it comes to PPPs is that they have been mostly utilised in instances of economic reform and the major focus was on infrastructural provision, although some developmental PPP initiatives have been implemented.

Another aspect that the literature focused on was the academically accepted definitions, which led in the formulation of the operative definition, that was formulated out of a variety of definitions: PPPs are a contractual agreement between the state and private sector to consolidate their resources in promoting efficiency in the provision of services, as well as the transferring of skills, sharing of knowledge and sharing of risks that might be associated with the venture in a quest to address societal challenges". Furthermore, there was a critical analysis of good governance principles that are important in PPP initiatives. The first of these is participation, in terms of which PPP initiatives should involve enabling all stakeholders to participate in the discussions related to the partnership technicalities and decision making.

Another principle that was discussed was decency, which relates to the importance of partners conducting themselves in an appropriate and honest manner that will not compromise the integrity of the projects or partnership. Furthermore transparency was also discussed as a key element of good governance that is critical for PPPs. This means that the information relating to the project should be accessible to all stakeholders and all information should have a high degree of accuracy, and the discussions should be open to relevant participants at all times. Another element of good governance that was discussed was accountability, which requires stakeholders to account for the activities related to the partnership they are engaged in. Lastly, we looked at efficiency as an element of good governance, such that PPP should enhance service provision within the public sector.

Furthermore, there were in-depth deliberations on the PPP models that have been applied by various states to restructure their economies and address infrastructural demands. One of the models that were deliberated on was supply and management contracts, which entails that the private entity takes over the facility and provides services on behalf of the public entity. Another model that was discussed was turnkey contracts, which is mostly prevalent in infrastructure provision. In this form of

partnership, the literature indicated that partnerships are formed as an outcome of a tendering and bidding process, whereby interested private entities compete through bidding to provide the service to the government. The literature also presented another model known as the affermage or lease contract. In this form of partnership, the private entity takes over the facility that belongs to a public entity and uses it to provide a service for a fee. What comes out strongly in this contract is that the private entity becomes liable for only the costs that are related to operations, while the public entity is liable for the costs that are related to the infrastructure. The other form of partnership that was discussed was the private finance initiative and private ownership; in this partnership the private entity takes charge of the design and operations of the facility and hands over the facility to the public entity after an agreed operational period has lapsed.

Furthermore, the literature also indicated other forms of PPP models that do not focus mainly on the provision of infrastructure, but relate mostly to social issues. The first model discussed in this regard was the resource mobilisation partnership, whereby public and private entities form partnerships to mobilise resources to be used to address particular issues. Advocacy partnerships were also discussed as another model that deals with social issues. This form of partnership is adopted when private and public entities rally behind a particular issue of common interest and lobby other stakeholders to be part of such advocacy. The literature also indicated another model, namely policy partnerships, whereby private and public partners participate in policy making and also in the implementation of such a policy. Lastly, operational partnership is another model that was discussed in the paper. The literature revealed that operational partnerships are those in which the private entity takes over the mandate or function of government and executes it on behalf of the government for a set period.

Furthermore, there was also an analysis of PPP perspectives, which mostly alluded to the challenges that private entities might encounter when engaging in a PPP partnership. What has come out strongly from the literature is that PPPs are a good mechanism to address public services issues such as the provision of infrastructure, provided they are well executed and in line with good governance principles. Furthermore, it was noted that not only do PPPs address service delivery issues, but they also play a big role in the transfer of skills in terms of project management and contract management. It was also noted that the PPP framework provides space for

the private sector to invest resources in dealing with issues that affect communities. The Following chapter will also provide an in-depth focus on the literature in establishing the synergy between DRR and PPP.

CHAPTER 3 – Synergy between Disaster Risk Reduction and Public-Private Partnership

3.1. Introduction

It is important to outline the theoretical link between DRR and PPP as this will provide a clear illustration of how the two concepts can be applied when evaluating the impact of PPP in a municipal DRR system. As outlined in chapter 2, PPP is a process whereby government (the public sector) and business (the private sector) engage in a contractual agreement or partnership on initiatives that will assist government to address a societal problem. This partnership is aimed at assisting government to raise funds or resources when it does not have adequate means to provide community services. The private sector is regarded as a key stakeholder in DRR processes through a formalised partnership agreement. This partnership is also supported by the existing DRR legislative framework, which requires a multi-stakeholder approach to DRR by taking advantage of the resources that each stakeholder might have at its disposal. In this regard, the DRR legislative framework provides for the participation of both the private sector and government in order to deal with issues pertaining to DRR. The PPP conceptual framework also stipulates that the partnership processes need to be legitimised by the observation of a contractual legal framework.

In this chapter the researcher aims to build on the theoretical framework laid in chapter 2 by exploring possible synergies between PPP and the practice of DRM. We will start by outlining the DRR conceptual framework in order to provide an overview of what is meant by DRR and provide a context for the application of DRR. Furthermore, the application of PPP will be examined and contextualised in terms of the various stages of disaster management.

3.2. Disaster risk reduction conceptual framework

It is critical to outline the conceptual framework of disaster risk reduction in order to provide a theoretical underpinning of DRR and to be able to contextualise its theoretical application. Van Niekerk and Vermaak (2004: 556) explain that the United Nations defines disaster risk reduction as the development of policies and strategies that serve to curtail the adverse effect of disasters. Michel-Kerjan et al. (2013: 985) state that DRR places an emphasis on proactive measures through investment in

proper disaster management by putting in place policy frameworks, disaster management plans and financial resources. Zimmerman and Keiler (2015: 195) state that DRR is a process of examining what might have caused a disaster in order to protect human lives and property through adopting proper land use and environmental management processes. Palliyaguru et al. (2014: 54) elaborate further, saying that DRR entails systematically putting in place policies or strategies in the community in order to limit their vulnerability to hazards in order to sustain development. Finally, Boshier (2014: 242) is of the opinion that DRR focuses on a paradigm shift in disaster management from reactive behaviour towards disaster to strategies that are more proactive in nature through disaster planning and disaster risk assessment.

In this regard, the operational definition of DRR for this study is: DRR is a proactive planning strategy aimed at the creation of mechanisms that can be employed to enhance the overall resilience of a community to disaster. This is achieved by decreasing the total impact of disaster on human lives, livelihoods and the environment.

Disaster risk reduction as a process includes mechanisms being put in place to limit the effects of disasters, and requires proper strategies and frameworks in order to properly channel concerted efforts towards creating disaster resilient societies. Dar et al. (2014:1814) states that DRR strategy implies developing mechanisms for corporation between multiple stakeholders through the integration of public policy frameworks and continuous dialogue between all the stakeholders to minimise society's vulnerability to potential hazards. DRR mechanisms ranges from capacity building (in terms of DRM and DRR skills) to capacitating disaster management institutions in the public sector with the required equipment (e.g. early warning systems, emergency communication equipment) and capacitating communities through disaster awareness initiatives.

The above conceptual framework for DRR and DRR strategies puts an emphasis on the principle of being proactive in order to limit the risks related to disasters. However, for DRR interventions to be successful it is imperative for public sector disaster management departments to mobilise various sectors of society through innovative means such as PPP (discussed in chapter 2). The following section will comprise a brief description of DRR strategies as a multi-stakeholder approach.

3.3. Disaster risk reduction as a multi-stakeholder approach

Ferdinand et al. (2012: 86) state that a multi-stakeholder approach refers to different sectors of society combining their efforts and resources in order to address DRR issues. Kazadi et al. (2015:1) assert that a multi-stakeholder approach refers to situations in which different 'interdependent' agencies combine their expertise and resources towards the successful handling of a particular issue. What is noticeable in the literature is that the multi-stakeholder approach relates to agencies or institutions that have similar interests, which work together by putting together capacity to address a certain issue. The issue of multi-stakeholder involvement in DRR is also reiterated in international and national disaster management protocols.

Aitsi-Selmia and Murrayb (2015:362) point out the fact that international protocols such as the Sendai Framework for Action 2015-2030 places and emphasis on the need for a multi-sectoral or stakeholder approach if disaster risks are to be reduced. Furthermore, the South African Disaster Management Act and Framework also propagates a multi-agency approach to DRR issues by emphasising the need for the establishment of various institutional forums for DRR that are comprised of various stakeholders. Van-Niekerk (2014: 860) elaborates further, saying that the South African Disaster Management Act No. 57 of 2002 (DMA) provides for the establishment of multi-stakeholder structures at all government levels, which will play a role in the development of multi-stakeholder DRR policy and strategy.

The theoretical and the legislative framework indicate that a multi-stakeholder approach to DRR offers a greater a chance of reducing a society's overall vulnerability to disaster. This means that where there is partnership between government agencies and other stakeholders, such as business, there is an availability of more resources and skills that can aid overall DRR efforts. In the following section we will explore how PPP might be linked to disaster management processes and how such linkage might bear positive results for all stakeholders involved in disaster management.

3.4. Linking PPP with disaster management processes

In establishing the link between disaster management and PPP, it is important to outline the stages in which government and the private sector might engage in PPP agreements in order to address DRR. As such, it is important to mention the four stages in which contractual agreements for partnership might be beneficial to both

parties. The stages to be discussed include the preparedness stage, response, recovery and, finally, the mitigation stage.

3.4.1. PPP and disaster preparedness

The disaster preparedness stage is regarded as the stage before the disaster event. During this stage there are efforts to limit or decrease the impact of disaster events. Baker. (2014:440) highlights the fact that disaster preparedness implies that institutions or individuals establish the necessary capacity to survive during the impact of the disaster and adapt after the disaster. Furthermore, Sutton and Tiemey (2006:3) state that disaster preparedness includes putting in place resources that will be used in the event of a disaster and ensuring that response agencies are able to utilise such resources appropriately. The UN (2008: 3) states that disaster preparedness is a process whereby government institutions and communities put in place the necessary mechanisms (policies, personnel and resources) to respond effectively during the disaster. Tiemey et al. (2001: 5) states that disaster preparedness means developing emergency evacuation plans, the training of personnel, storage of food and medical supplies, and conducting emergency evacuation drills. Based on the definitions outlined above, the key element of the concept is the development of knowledge by all stakeholders and ensuring that there is readily available capacity to respond appropriately in the event of a disaster. The operational definition for disaster preparedness is thus: “A processes whereby all sectors of the society envisage that a catastrophic event might take place and develop the necessary capacity by putting in place plans and resources to respond in the event of an emergency”.

When it comes to linking PPP with preparedness, it is important to indicate that the business sector can play a key role. As preparedness is about planning and putting in place the necessary resources in order to respond effectively in the event of a disaster, business is ideally placed to lend its expertise to risk reduction efforts. Yodman (2001: 14) highlights, for example, the fact that insurance companies could be instrumental during the preparedness phase by putting in place insurance facilities that share the risks faced by both the private company and government institutions. In this regard it is vital for government to establish contact with private sector insurance companies to formulate insurance products that could provide efficient relief if a disaster was to impact a municipality.

Partnerships with emergency institutions such as private hospitals have also been found to assist the preparedness process by ensuring that there are plans in place to improve the levels of preparedness if a disaster was to strike. Specifically, Liu et al. (2011: 503) note that the government of Taiwan established partnerships with 48 private healthcare institutions in order to ensure that the necessary medical services were in place should a disaster strike. In this regard, partnerships with private healthcare facilities are critical to preparedness efforts as they would ensure that enough facilities are in place to accommodate victims of disasters to augment state hospitals' efforts.

The examples highlighted above point to the importance of partnerships between the private sector and government during the preparedness stage of disaster management. In this regard, where there has been an anticipation of a catastrophic event, partnership plays an important role as the means of sourcing resources that government might not have at its disposal in preparation for the disaster. The following section serves to outline how PPP can be influential during the response phase.

3.4.2. PPP and disaster response

The disaster response phase relates to the period in which communities face imminent danger from a specific hazard. During this period all stakeholders have to be mobilised to respond and help to save the lives and livelihoods of affected communities. Saltborne (2006: 28) alludes to the fact that disaster response includes the relief activities that follow when there has been a disaster. Fahland and Woith (2009: 254) further explain that disaster response encompasses all the emergency activities that take place during the course or aftermath of the disaster in order to prevent loss of life. Abdullah et al. (2015: 111) notes that disaster response is a coordinated effort to provide assistance to victims of the disaster during the manifestation of the hazard and in the aftermath of the hazard. Disaster response or relief efforts need to be well coordinated and conducted in accordance with a particular plan that is activated during the emergency situation in order to save lives. As such, it becomes crucial for a multitude of role players, including actors from the private sector, to be party to the planning processes. Specifically, the plan needs to outline the specific role of each role player during the emergency (McManus & Caruso, 2015: 281).

The participation of the private sector in the response initiative is critical because response activities have a direct bearing on the economy. Steyer and Gilbert (2013: 298) state that the need for business continuity makes it desirable for the private sector to participate in response processes since its business functionality and profit is dependent on returning to normality as soon as possible. Both the private sector and government stand to benefit from PPP in relation to disaster response. Government benefits by executing its mandate to protect its citizens, while the private sector can extend its corporate social responsibility efforts by providing response resources to emergency service personnel and relief aid to communities that are also their customers. Johnson et al. (2010: 361) note that Chevron assisted the government of the Philippines by providing food and other recovery necessities after typhoons (Hurricane Felix in 2007 and Hurricane Dean in 1989). The collaboration between the state and private sector benefited all the stakeholders involved in the form of greater corporate social responsibility for Chevron and for government to have access to more resources

Burke and Fan (2014: 1) use the example of Indonesia to illustrate the role of private companies in disaster response. They emphasise that the private sector is a well-established stakeholder in disaster response in Indonesia. Specifically, they have a contractual relationship with local governments to provide goods and services (food, water and transport) to rescue agencies during disaster response efforts. Bailey (2014: 12) also highlights the contribution of the private sector in response efforts after the 2010 Haiti earthquake. In this instance, private companies formed a partnership with government as part of a philanthropic exercise, as well as to show social commitment to the consumer. In this instance, private companies such as Microsoft, Cisco and Intel provided an internet connection and other communication services to response agencies and government departments to facilitate rescue and coordination efforts. Gruenwald (2014: 1649) highlights another instance of PPP for disaster response in the case of the 2004 South East Asia Tsunami in Thailand. During the response the logistics aspects were handled by both government and private contractors, who acted in partnership. The private sector logistics capacity was crucially important in assisting the state to respond and help affected communities. These examples highlight the importance of consolidating partnerships between the state and private sector for improving disaster response interventions.

The above section comprised commentary on the key role the PPP can play during the response phase. In the following section the PPP aspects of the recovery phase will be outlined.

3.4.3. PPP and disaster recovery

Another critical phase of disaster management is the recovery phase, because it focuses on activities that take place in order to recover from the disaster. Shi-Ling and Kia (2014: 222) state that the disaster recovery processes is a very important stage as it entails processes, policies and procedures related to the recovery of critical infrastructure after a disaster. This phase takes place once the response processes have been concluded and when the community is reconstructing and restoring its infrastructure. Nigg (1995: 2) states that recovery starts few days after the disaster, when response operations have been completed. Recovery in this instance entails the restoration and replacement of damaged infrastructure. Smith and Sutter (2013:168) define recovery as the process whereby the community embarks on restoration processes in order to return to a “normal state” of functioning while putting in place mechanisms that will ensure that they are protected from future anticipated hazards. Tierney and Oliver-Smith (2012: 124) state that recovery is a holistic process that deals with the reconstruction of infrastructure, social capital, the re-establishment of institutions and economic activities following a disaster impact. The core idea from all the definitions mentioned is that recovery includes all efforts that entail the rebuilding of lives, livelihoods and physical infrastructure on which a community is dependent. This recovery effort aims to return a community to a level of normality following a disaster. Karen (2007:240) asserts that disaster recovery provides many possible points of synergy between government and the private sector.

PPPs are ideal in the recovery process as they provide space for partnerships between government and the private sector. Wamslar and Lawson (2011: 209) highlight such an instance in San Salvador, in which insurance companies had included disaster housing insurance in their packages following the impact of Hurricane Stan in 2005. This insurance mechanism allowed communities to access funds through risk transfer mechanisms, which in turn allowed them rebuild infrastructure faster and stronger than before the hurricane.

Another aspect that is worth noting regarding the importance of PPP during the recovery process is that business sustainability is dependent on customers recovering speedily from the impact of disasters. Filtrianto and Hadi (2012: 429) argue that it is important for businesses to be involved in all disaster-related planning processes, as their contribution to the broader plan also has a bearing on the continuity of businesses when their services are required. This makes it critical for all stakeholders to play their part during the recovery processes. Chamlee-Wright and Storr (2014: 660) note that during Hurricane Katrina's recovery period in 2005, businesses did not only provide space for social reconnection, but also provided the necessary material for reconstruction. In this regard, hardware stores catered for communities and contractors, which in turn led to the resumption of business activities and the accumulation of revenue. Hazard (2014: 598) states that business, suppliers and the community have a special relationship and a recovery partnership ensures that the relation does not cease to exist because they all need one another within the economic context.

Business plays a crucial role during the recovery from the disaster, as indicated in the above section, in that business provides the space for social reconnection, while it also resumes economic activities within a community. The following section will explore the potential impact of PPPs during the disaster mitigation phase.

3.4.4. PPP and mitigation

Mitigation relates to issues of capacity building in order to ensure that communities are resilient and more able to cope with future risk. Saltbones (2006: 29) explains that in its most basic form, disaster mitigation means taking structural and non-structural actions that will lessen the consequences of a disaster. Furthermore, mitigation entails efforts to determine the risks related to disasters and putting in place the strategic framework and interventions to ensure that there is high level of preparedness. Coppola (2011: 209) defines mitigation as sustainable strategies that serve to reduce the likelihood of a hazard risk or to reduce the impact of a hazard. Mitigation in this regard means putting in place measures to prevent the hazard from turning into a disaster and to ensure that people's exposure to the effects of a disaster are minimal. Rivera and Wamsler (2014: 86) argue that mitigation means that when there are development processes, there should be due considerations of disaster-related risks that might be attached to such developments and the means to mitigate such risks

should be devised. Iwata et al. (2014: 39) note that mitigation is distinguishable in two forms, i.e. public mitigation, which requires the state to build risk reduction infrastructure such as dams and flood control basins, and private mitigation, referring to households adopting private strategies such as relocating to places where there is less risk and accessing insurance for their assets. Due to the extensive and often expensive nature of mitigation strategies, there is a need for the state, business and the community to work hand-in-hand in terms of ensuring that mitigation strategies are practically implemented. Phaup and Kirschner (2010:24) allude to the fact that mitigation needs to be implemented on a 'cost effectiveness' basis by deploying government and self-mitigation strategies, as this would limit the possibility of government borrowing funds should a disaster occur.

The above conceptual framework of mitigation points to the fact that it is important for the community, business and state to put in place the necessary mitigation strategies as a means of averting the costly effects of a disaster. As such, PPP initiatives play a crucial role within the mitigation process, as they also provide platforms for the private sector to be party to the processes. Barysheva et al. (2015: 674) state that a partnership between government and the private sector is critical because it allows for the social mobilisation of resources for research into risk mitigation issues. Another aspect for which PPP might be relevant when it comes to disaster mitigation is through the building environment, in which the private sector shares its expertise with the public sector in terms of methods to build resilient houses and other large infrastructure such as dams. An example of PPP benefiting disaster mitigation is highlighted by Miller (2015: 94). Specifically, Miller mentions the case of New Zealand, where the private sector has played a crucial role in risk mitigation. When there was an increase in heatwaves, the government and the private sector funded extensive research, whereby engineering companies and academia had to come up with ways to improve houses' heat absorption capacity. The end result was the creation of innovating roofing systems that would repel heat from heatwaves and urban fires. In this regard, PPP remains a key element for the success of mitigation initiatives, as both the private sector and government combined their efforts and expertise to improve building codes and construction material for risk mitigation. Another common example of PPP for risk mitigation can be found in the South African context, where public sector disaster management units often contract private companies such as

Disaster Management Solutions (DMS) or Aurecon Engineering to conduct risk assessment and contingency planning to guide risk mitigation within municipalities or provinces (DMS-online 2015).

These private companies also make a contribution to mitigation by conducting capacity building exercises with communities and public officials. Rutter (2008: 18) highlights the fact that the South African Forest Fire Association (private company) formed a partnership with the South African government to implement an aerial and ground resource plan for fighting veld fires. This partnership served to assist with the skills development of public officials and the provision of necessary resources to aid government in combating veld fire risk. It is imperative that risk mitigation strategies be tackled by both the private sector and government, in order to share resources, promote innovation and protect vulnerable communities.

The linkage of PPP with disaster management phases provides profound insight into the possible role partnerships could play within the broader DRR framework. The interesting factor is that DRR in itself presents an element of partnerships for its strategies to be successfully implemented. In this regard, the South African disaster management legislative framework is very clear on how business should become a key player in DRR. Furthermore, international instruments such as the Sendai framework for action lobby for United Nations member states to foster more cooperation or partnerships between government and the private sector. Once these partnerships have been established, they can make significant contributions to all phases of disaster management. PPPs during the preparedness and mitigation phases of disaster management provide an opportunity for the state to mobilise more resources from the private sector as a partner. It also provides space for businesses to contribute to the community and help themselves in the process by ensuring that the people they serve have the necessary knowledge and mechanisms to survive the effects of disasters. Additionally, PPPs are important during the response period in terms of assisting response agencies (government) with the provision of logistical services, thus ensuring that people have access to emergency healthcare services. Lastly, PPPs become significant during the reconstruction phase in terms of companies playing a role in ensuring that economic activities are restored to the community and also assisting the community to reconstruct social relations in the aftermath of a disaster.

The theory has pointed to possible areas for integrating PPP in DRR. The following sections will be focused on the application of PPP in the BAAM initiative.

3.5. Application of PPP in BAAM

As noted in chapter 2, PPP is a contractual agreement between the private and public sectors with the aim of initiating a particular intervention that will assist government to execute its mandate in the development of communities. In this regard, BAAM is an initiative in which the private sector (the SANTAM insurance company), the Department of Co-operative Governance and Traditional Affairs (CoGTA) and South African Local Government Associations (SALGA) have forged a partnership to address DRR in municipalities. CoGTA is the custodian of disaster management in South Africa through the National Disaster Management Centre, whose responsibility is to ensure that local government has the necessary capacity to execute its DRR mandate. SALGA is the body representing local government and also plays a role in capacity development within municipalities. In this regard, the three stakeholders signed a memorandum of understanding, whereby SANTAM indicated its willingness to make available funding to help municipalities to deal with shortcomings relating to storm water and fire disasters. Furthermore, agreement was reached that SANTAM would fund disaster management training for officials from target municipalities that were entrusted with a responsibility to manage disasters.

Following the agreement, SALGA and CoGTA chose five municipalities, of which three were chosen for this study as the case to be evaluated. As such, ULundi Local Municipality, Mbombela Local Municipality and Mahikeng Local Municipality were among the municipalities that were identified as the beneficiaries of the initiative. The municipalities were identified on the basis that their revenue base was not sufficient to address all the challenges that the municipality faced. Funding shortages are experienced in these areas due to their location, in which communities are mostly rural and poor, which makes it hard for the municipality to have enough revenue for service delivery.

Furthermore, a study was conducted to determine the needs of the municipalities with regard to the equipment required to deal with disasters and also the institutional capacity requirements (in terms of skilled personnel) to ensure that the service was rendered effectively.

In the above section, a brief background to the BAAM initiative and the main stakeholders was provided, as well as the rationale behind being engaged in such a PPP initiative. In the following section, a detailed analysis of the findings that emanated from the study will be provided.

3.6. Conclusion

The conclusion that can be drawn from the theoretical framework is that DRR and PPP can be linked. DRR successes are largely based on the role played by multiple stakeholders and business in particular. The private sector is a critical stakeholder when addressing issues related to disaster management; this is due to the fact that it has the necessary capacity, skills, resources and infrastructure to deal with disasters. It has been shown that having PPPs in place to deal with disaster management activities such those related to disaster preparation, response, recovery and mitigation brings benefits for both government and the private sector.

It has been established that PPP can be instrumental during the disaster preparation stage, when the necessary systems are put in place before the disaster in order to ensure that those that are expected to respond can do so without any barriers in terms of resources. The other point at which the link can be established is during the response stage, during which the role of the private sector and government becomes important in ensuring that there is a swift response and that lives are saved during the disaster, such as the use of private sector logistical infrastructure in order to transport medication and food to areas in which there are challenges of access to these resources. The third phase that is important within disaster management processes is recovery and here PPP is also vital. In the recovery phase the private sector becomes a critical stakeholder in the reconstruction of damaged infrastructure. Its role can be extended to provide insurance and loan capacity for communities to rebuild their damaged infrastructure, or it might invest in the reconstruction of the critical infrastructure. Lastly, during the disaster mitigation phase, private sector partnership with government is critical. In this regard, the private sector becomes a very important role player in terms of sharing expertise in the construction of infrastructure or the creation of building materials that assist in making communities more resilient. The following chapter will provide detailed steps that were applied when collecting data related to the study, in a process to respond to the objectives of the study.

Chapter 4: Methodology

4.1. Introduction

Research constitutes a systematic process, which requires the researcher to follow a particular framework and several steps to allow for the successful completion of a research intervention. In this regard, the proper implementation of a research design and its accompanying tools serve to ensure that the study is credible and contributes to the body of knowledge of a specific scientific field. The need for a clear methodology is critical for any study. Rajasker et al. (2013: 40) note that the methodology refers to the fundamental procedures that outline how the researcher has conducted his or her study. As such, the researcher is expected to conduct the study and analyse data using tools that are appropriate for the study. Kothari (2004: 8) states that research methodology is the process that the researcher uses to address the research question. In this regard, methodology is the guiding framework for the researcher that enables him or her to make observations and consequently draw conclusions to address the research questions and objectives set out for the study. This section will start with an outline of the qualitative method, as it was deemed appropriate for this study. This section will be enriched by focusing on the applicability of the qualitative method to this study by looking at the role of the researcher and participants, contextualisation, and the process and research flexibility associated with the qualitative method. The research data collection tools that have been adopted for the study will also be identified, as well as the techniques that were utilised in selecting the sample. There will be a further focus on the validity and reliability of the study, as this provides credibility to the study. Lastly, the ethical considerations that are related to the overall study will be described.

4.2. Qualitative research design

A research design is the framework that the researcher adopts in order to ensure that the research conducted is responsive to the research questions set out for the study. Creswell (2013: 11) states that research design refers to strategies for qualitative, quantitative and mixed approaches that provide direction to the research enquiry. Huysamen (1994: 20) elaborates further by saying that research design is a plan that specifically outlines how the participants are identified and participate in the study, in order to help formulate the research conclusion and recommendations that pertain to

the research problem. A research design is critical because it emphasises the notion that research is a scientific process that has particular methods to follow if one is to conduct a study. It is important to give guidance to the approach to be adopted in order to respond to a particular research question set out for the study. Specifically, an overview of qualitative research design will be provided in this section.

4.2.1. Defining qualitative research design.

Bless and Higson-Smith (1995: 93) define qualitative research as a study that focuses on the living experiences of individuals or communities and the deeper meaning of these experiences, and uses a variety of data collections methods, such as words, pictures and written information, to capture the experiences. According to Simmons-Mackie and Lynch (2013), Compton-Lilly et al. (2014) and Birchall (2014), qualitative research is a process that includes various research traditions (such as ethnography, case study and action research) in order to get rich information about a phenomenon and provide a deeper understanding of a social life or experiences. What was noticeable in the literature was that qualitative research aims to provide a deeper understanding of a particular issue, through a research method designed to deduce a meaning from written documents or spoken words. Unlike quantitative research, which measures or quantifies findings in order to make a generalisation, qualitative research makes conclusions as an outcome of a detailed narrative from the participants. A qualitative approach was adopted for this study because qualitative methodology allowed the researcher to gain a deeper understanding of the current status, obstacles and possible future of PPPs for DRR from a multitude of research participants. The depth of information would not have been achieved if a qualitative method was not followed.

Henning (2004: 3) observes that adopting a qualitative methodology provides flexibility when conducting an enquiry, and also allows the researcher to understand and be able to support his or her argument regarding the reason that things are the way they are with evidence from the literature and research participants. Flexibility also eliminates the boundaries that might arise from using particular instruments. In this regard, qualitative methodology allows the researcher to interact with the participants of the research by allowing them to express their views and feelings without imposing boundaries on the participants. It is on this basis that the qualitative methodology was

adopted for this research in order to explore and seek a deeper understanding of the issue from a participants' perspective.

An additional aspect that motivated for the adoption of a qualitative design is the form of the data that were to be gathered, both as primary and secondary data. As such, qualitative research design deals with data in the form of words, pictures, and observations. Neuman (1997: 327) notes that the nature of data used for qualitative research requires the researcher to use a variety of data collecting strategies, such as case studies or a review of the literature. It is against this background that the data for this study was collected through interviews, case study reviews and from academic literature and reports that are related to the case study at hand. Within the qualitative design selected, a case study research method was employed to guide the research intervention. In the following section a detailed application of the qualitative research method will be described.

4.2.2. Applicability of the qualitative research method

It is important to make reference to the fact that the purpose of this study was to get an in-depth understanding of issue at hand, which is why the qualitative method was adopted due to its focus on content. Auriacombe and Mouton (2007: 442), and Povee and Roberts (2014: 29) stress that, unlike a quantitative study, a qualitative study is not rigid as it provides space for open-ended questions that allow the researcher to interpret the social world as it is, as opposed to a quantitative study, in which variables are controlled. Fassinger and Morrow (2013:73) share the same view as Auriacombe and Mouton (2007). They state that qualitative research allows the researcher to gain a deeper perspective on human experiences within a specific context. This aspect was crucial in the context of this study because it allowed the participants to express themselves without any predefined boundaries. This provided the researcher with the understanding and meaning derived from the specific context, instead of attempting to interpret or to place information in predefined categories. The applicability of the qualitative method in this study will be elaborated on by focusing on the following issues: participant and researcher perspectives, contextualisation, and process and research flexibility.

4.2.2.1. Participants' and researchers' perspectives

As mentioned in the section above, the aim of qualitative research is to provide an in-depth understanding of a particular social issue. In this context, then, it becomes critical for the purposes of the study to present different perspective or meanings from a variety of participants as they recount their personal experiences. Snelgrove (2014: 21) states that qualitative research provides for the fact that there is no single meaning to reality, but there are multiple meanings attributed to a particular context. As such, collecting data from different sources or participants enriches the study in terms of providing the researcher with the opportunity to analyse differing perspectives. Nassaji (2015: 129) states that qualitative research is holistic and involves the collection of rich data from a variety of individual participants who present their views, perspectives and attitudes. Thus this research intervention attempted to get information from an array of participants. The information was sourced from reports developed by organised local government, government departments and academia. Furthermore, the data was also sourced from municipal officials and the private sector in order to get a balanced picture and to ensure that the final conclusion and recommendations were not subjective, but rather objective.

The researcher remains the critical player in the study and is required to have an understanding of the research processes. As such, the researcher gets involved in collecting and analysing data, and drawing conclusions that respond to the research question. Bless and Smith (1996: 63) state that if the researcher wants to achieve objectivity in social research, he or she needs to have a thoroughly thought-out strategy in order to be able answer pertinent questions. It was important for the researcher to take great care of the research process and ensure that there is a variety of sources of in-depth data as provided by the participants, whilst also ensuring that such data is thoroughly analysed and packaged in a detailed report.

One critical element of a qualitative study is to interact closely with participants with different views when collecting data. This was regarded as an opportunity for the researcher to decrease bias, which might have a positive effect the credibility of the study. Rajendrad (2001: 7) states that a researcher can write memos noting his or her reflections on the fieldwork when conducting data collection and also note how the participants conducted themselves during the interviews, on a daily basis or before and after the interviews. This assisted one to evaluate the level of bias on a daily basis

and, based on the evaluation, the researcher needs to be flexible and able to adjust his or her conduct during interviews in manner that will decrease bias. Additionally, the researcher also used triangulation as a means of avoiding bias.

4.2.2.2. Contextualisation

Another aspect that needed to be observed as an important pillar of qualitative research is the context in which the study is conducted. Holloway and Wheeler (2002: 4) and Ozor (2014:2) argue that context is critical to the research and the researcher is expected to be conversant with both the social and personal contexts that might affect the research intervention. Contextual influence is important to note because people behave within a particular context and their experiences are shaped by that context. Irwin (2013: 304) asserts that qualitative data analysis becomes insightful if there is a critical understanding of the context, because this will allow the researcher to open new avenues of enquiry. Darawshen (2014: 562) states that a researcher should facilitate a natural and comfortable context for research participants as this will allow for the open expression of feeling and emotions from the participants. In terms of this study, the context became critical in order to best answer the research question. The researcher ensured contextualisation by taking into account the environment in which decisions had been taken about the BAAM initiative and how the environment changed from municipality to municipality.

4.2.2.3. Process

It was important to note that events are subject to change over time, due to the fact that life and the environment are not static in nature (Sminia, 2007: 3). Aricombe and Mouton (2007: 454) add to this argument by noting that research is an ongoing process; thus the researcher needs to look at past studies in order to help him or her to draw meaningful conclusions from existing data while not losing sight of possible changes in data that are still being collected. It was against this background that a great deal of effort was put into the literature review in terms of getting an understanding of the historical background of PPP and DRR. Furthermore, questionnaires were developed in line with the theoretical framework in order to evaluate the accounts of PPP and DRR within the current context, as this provided a link between theory and application. It was important for the purposes of this research intervention for the researcher to be well aware of the evolutionary nature of events and to be able to link historical information with the emerging information. Flexibility in

the structure of the questionnaire was also taken into account in order to ensure that if there were changes in context the researcher would be able to align the questionnaire with such context.

4.2.3. Flexibility and the use of theories

Qualitative enquiry is not as rigidly structured as quantitative enquiry and can be conducted using a less structured approach. Eklund et al. (2011: 287) affirm that flexibility within the qualitative method is the strength of qualitative research due to the fact that data can be collected with a view to answering the research questions even if there are conditional constraints. Kaplan (2010: 784) states that the flexibility and adaptability associated with qualitative methods also allow for the method to be used in a variety of settings and enable researchers to obtain data that would otherwise have been hard to obtain. Specifically, the qualitative method allows participants to express themselves without any limits, unlike in quantitative research, in which the data collection process is controlled. The flexible nature of the qualitative method was critical for the enquiry at hand because the participants were provided a platform to recount events without being limited by predetermined answer constraints. To facilitate this, flexible questionnaires comprised open-ended questions developed and utilised. This allowed for the capture of in-depth information that enriched the study and gave deeper insight into the research issues addressed by this study. As a means of flexibility, the participants enjoyed the benefit of expressing themselves without any limitations and they gave their unobstructed views or accounts of their experiences regarding the study enquiry.

In the above section the applicability of the research design for the particular study was dealt with in detail. It is important to also focus on the tools of analysis related to this study as they indicate how the data was collected. This discussion is crucial as it provides a picture of how data collection was conducted and illustrates that the data collection was within the confines of the qualitative research method

The above section comprised an in-depth justification of the adoption of a qualitative study and the case study has been identified as the most appropriate method to evaluate the impact of PPP in DRR; the following section will comprise details of the case study and its use in this particular study.

4.3. Case study research

The method that was identified as the appropriate method to evaluate the impact of PPP in DRR is the case study, because the researcher was evaluating the case of the BAAM initiative. Baskarada (2014: 1) defines the case study as the study of a specific small-scale unit with the aim of fostering a greater level of understanding of units at a larger scale. Cakmak et al. (2015: 6) argue that case study research is about holistically and comprehensively analysing a particular or group of cases by applying tools to collect in-depth information to assist the researcher to link observation with a selected theoretical framework. The most critical element of the case study is that one deals with detailed analysis of a phenomenon, which requires proper observation of the cases that are being used. Unicomb et al. (2015: 729) states that case studies, due to their descriptive nature, allow the researcher to scrutinise the environment before and after a particular intervention. As such, this case study allowed the researcher to employ a descriptive study due to fact that it looked at the impact of the BAAM initiative. In this regard, the descriptive case study provided for a holistic understanding of PPP interventions in DRR.

Kohn (1997: 3) explains that case studies can be used as analytical tool for research in three instances; namely, when a researcher wants to “explore” emerging issues where there might be little or no theory in place, where there is a lack of clarity in the theoretical framework or when there is as need to outline the relationship between a particular initiative and intervention and its impact on a particular setting or community. In this regard, this study is in line with the last element of the case study provided by Kohn (1997:3), namely that a case study serves to outline the relationship between a particular intervention and its impact. Therefore, the BAAM initiative that has been used as the case study was analysed in order to evaluate its impact on municipal DRR. Morse and McEvoy (2014: 3) adds that the case study method is an appropriate method of inquiry if the researcher aims to foster an understanding of a situation based on the perspectives of those involved. This research relied mostly on the experience of those who had participated in the initiative; hence an understanding was gained based on perspectives provided by the participants

Since this study constituted an evaluation of a case of the BAAM initiative, it is critical that a detailed process of data collection method is outlined. In this regard, a detailed

plan of how the data was collected will be provided in the following section, as well as a description of the tools that were used to collect such data.

4.4. Data collection methods

When it comes to data collection, it is important to stress that data is significant in two forms, notably primary data and the secondary data. Marshal and Rossmo (2011: 137) state that primary data collection relies on four aspects, namely participating in the research setting, observation, conducting in-depth interviews and from written documents. Sahu (2013: 413) argues that secondary data is the data that has been collected by other agencies and is used by the researcher. This study was reliant on both primary and secondary data sources as outlined in section 1.6.2.3; as such, interviews with participants and information from scholarly sources were used as sources of empirical data.

Furthermore, it is of great importance to outline the technical aspects associated with the collection of data, as well as to address sampling issues, by firstly focusing on secondary data collection tools and on the aspects of primary data.

4.4.1. Secondary data

Secondary data is the form of data that the researcher does not collect him- or herself, but has been collected by other scholars and researchers (Nimon, 2015: 26). The use of secondary qualitative data was beneficial to this study as it helped the researcher to make sense of the findings by aligning them with established scientific norms. As such, a wide array of sources was consulted to establish a theoretical understanding of PPP, DRR and PPP for DRR. Prominent sources of information consulted include:

- Academic databases such as EBSCO-host and JSTOR
- United Nations reports and project documents
- World Bank project documents and reports
- Government and municipal documents
- BAAM project documents

Secondary data was also utilised to substantiate the empirical findings in chapter 4, because this assisted the researcher to test the primary findings of the study against the existing theoretical framework.

4.4.2. Primary data

Primary data is the data that is collected by the researcher him- or herself and processed into knowledge that can be used by other researchers. Hox and Boeije (2005: 593) define primary data as the data collected for a specific research problem at a specific time and that such data is collected using tools that are compatible with that research problem. According to Marshal and Rossman (2011: 137), the prominent sources of primary data are when the researcher becomes a participant in the research setting and makes observations and field notes, and by conducting in-depth interviews in which participants express their perspectives on a particular issue. In the case of this study, in-depth interviews using semi-structured questions served as the main source of primary data. These semi structured questions and their appropriateness to the study are briefly discussed below.

4.4.2.1. Semi-structured questionnaire

Conducting interviews using semi-structure questions has been selected as the main data collection tool for this study. Harrel and Braddley (2009: 27) state that semi-structured interviews are interviews in which the interviewer prepares a set of standard questions, which he or she uses to get a deeper understanding of a topic. Anyan (2013: 3) adds that semi-structured interviews offer flexibility and allow interviewees to communicate freely about the subject. An important component of semi-structured interviews is the fact that they are not rigid and facilitate flexibility in order to ensure that issues are covered in a comprehensive manner. According to Friborg and Rosenvinge (2013: 1398), this flexibility is facilitated by the use of open-ended questions that allow the researcher to probe participants for specific information that is in line with the research objectives, yet still leaves space for elaboration and discussions with participants about details that might not have been considered in the formulation of the questionnaire

The innate flexibility and depth of understanding associated with semi-structured interviews was ideal for facilitating a better understanding of PPP and DRR within the BAAM initiative. As such, the researcher employed a semi-structured questionnaire containing open-ended questions that allowed him to probe participants for information

that assisted the research in gaining a holistic view of the problem being studied. Importantly, unique questionnaires (rather than using a generic questionnaire) were designed with a focus on each stakeholder due to the fact that the participants were participating in the BAAM initiative at different levels, and were therefore privy to differing levels of information and insight.

It is important to outline the most critical element of the research, which relates to the research approach. In this regard, reference is made to research participants (research sample). Because the aim of qualitative research is to get an in-depth meaning and understanding from the participants, as noted in the above section, it is critical to start by looking at the people that participated in the research. In this regard, qualitative research focuses on words and observations in order to collect data from various sources.

4.4.2.2. Research sample

Emerson (2015: 164) defines sampling as a process of selecting participants (the sample) from the population for the purpose of determining parameters for the study. Marshal and Rossman (2011: 105) explain that sampling decisions need to be well thought out as this makes a case for a particular study. The researcher has to apply caution to ensure that the sample is representative and properly constituted. De Vos et al. (2011: 391) state that sample size is of great importance in qualitative research, as it is in quantitative research; however, the size and selection of the sample is dependent on the purpose of the enquiry. For the purposes of this study, a non-probability sampling technique was adopted as the appropriate technique. Bless and Higson-Smith (1995: 88) defines non-probability sampling as a case in which there is no guarantee that some elements of the population will be selected to from the sample.

Non-probability includes several sampling techniques, such as purposive sampling, snowballing, theoretical sampling and volunteer sampling. However, purposive sampling was adopted for this study as the most relevant for this research to get the necessary information regarding the impact of PPP on DRR. De Vos et al. (2011: 392) describe purposive sampling as a technique that involves selecting the sample that illustrates the features related to the study. In this regard, the purposive element of the selected sample was illustrated by the fact that participants who were actively involved in the BAAM initiative were selected. Purposive sampling, in this regard, assisted the

researcher by enabling him to gain an in-depth understanding of the processes that were applied when the BAAM initiative was conceptualised and implemented.

The purposeful sample for the study included six South African Local Government Association officials, eight officials from Mbombela Local Municipality, Ulundi Local Municipality and Mafikeng Local Municipality, two officials from SANTAM Insurance, and two officials from the National Department of Cooperative Governance and Traditional Affairs. It is important to stress that the participants were selected due to their participation in the planning and implementation of the programme and others were beneficiaries of the programme.

The quality of data is solely dependent on the sources from which such data is collected; hence in the section below the measures taken to ensure the reliability of the study, as well as its validity, will be elaborated on.

4.5. Measures to ensure reliability and validity within the study

It was critical for a study of this magnitude to be reliable and valid in terms of the findings. This was done by taking great care when handling the data and also by ensuring that the researcher practised a high level of ethical consideration when dealing with the participants and data. Thomas and Magilvy (2011: 151) state that validity and reliability are the means by which trust in the research findings is established. It is therefore critical to outline how validity and reliability were ensured in this research.

4.5.1. Validity in qualitative research

Clark (2011: 151) states that the word “validity” serves to establish the trustworthiness of the researcher’s findings and ensure that there is consistency and accuracy in the way the study was carried out. The researcher needed to ensure that validity in carrying out the study was upheld and within the acceptable framework of analysis, as it contained factual information, without the preconceived views of the researcher. Venkatesh (2013: 34) asserts that validity in the context of qualitative research is best defined as having data that is reasonable and acceptable. What came out strongly from the literature is the importance of using credible data that is also consistent, as this will ensure that there is an accurate contribution to the body of knowledge. To ensure validity in the study the researcher used relevant policy information, utilised the

works of leading scholars and the reports from the BAAM programme team, and ensured that the participants were people who were directly involved in the intervention.

4.5.2. Reliability in qualitative research

Another crucial element of research is to ensure that the study is reliable and has vigour entrenched in the findings. Guion et al. (2011: 1) state that in order to ensure that there is validity in a study and that it is reliable, the researcher might need to apply strategies such as triangulation. The researcher indeed applied triangulation principles in order to ensure that there was reliability in the study. Houghton et al. (2013: 13) explain that triangulation is when the researcher uses more than one method to study one phenomenon. Kenecki (2008: 13) states that triangulation processes involve sourcing data from different sources in order to ascertain reliability. In this regard, triangulation in this study was carried out by establishing a solid theoretical base through an intensive literature review. This is supported by empirical data collected through interviews and interactions with multiple stakeholders, who assisted with providing a holistic picture of PPP for DRR as it pertains to the BAAM project.

As it can be seen, reliability and validity are very important elements of the study, as they ensure that the research produces a credible finding. To add to the credibility of the study, it is also important to note that ethical issues also have consequences for the study. The following section will focus on ethical considerations within this particular study.

4.6. Ethical considerations of the study

A critical aspect of conducting a study is to ensure that one observes high ethical considerations before, during and after the completion of the study. In this case the researcher had to align the study with the ethics rule of the North West University in order to ensure that the study was acceptable to the academic community. Palmer et al. (2014: 7) state that when conducting a study, one has to acquaint oneself with the institutional processes that deal with requesting ethical clearance. Haar et al. (2014: 13) are adamant that ethical issues should be observed by the researcher at all times. Even though qualitative interviews might be unique in nature due to high levels of interaction between the researcher and the participants, and their element of probing question that require interpretation of events as the participants see them, a high level

of ethical consideration is required. Within the framework of this study great care was taken to ensure that the participants participated in the study without any undue influence. As such, they were informed that their participation was voluntary and the researcher would not ask questions that exposed them to any unwarranted situations such as to danger or to ones that could cause harm to their characters. The participants were also made aware that they were able to terminate their participation at any stage, should they feel uncomfortable about participating further.

Paavilainen et al. (2014: 45), emphasise the need for the researcher to apply caution when dealing with sensitive issues and to seek permission from the participants in order to avoid conducting a study in an unethical manner. Similarly, this study observed the protocol that is in line with conducting a study in a particular setting. In this regard, permission was requested from the institutions and organisations that were part of the case study. Furthermore, the researcher indicated to the interviewees the confidentiality of the interviews and that the discussions were to be utilised only for academic purposes.

4.7. Conclusion

Research is by its very nature a scientific process that requires the researcher to be conversant with the technical processes that are critical to the study. This is important because the researcher is then empowered to choose the best possible method to conduct the study; as for this study, it has been outlined that the qualitative research method was the most appropriate for the study, as it assisted in answering the research questions relating to the impact of PPP in DRR. Qualitative research design assisted the researcher to devise an appropriate plan that was executed when conducting a study. This was due to the fact that a qualitative research design gives specific details of the role the researcher had to play in the study. It also provided a clear understanding in terms of the context of the study and the processes related to the study.

Qualitative research is approached using a variety of techniques, such as action research, participatory research, ethnographies and case studies. A case study was adopted for this research because it was regarded as appropriate to evaluate the impact of the BAAM initiative. The case study was preferred due to its descriptive nature and its ability to provide the researcher with an opportunity to arrive at an in-

depth analysis of the issue at hand. Another aspect of the methodology of this study was the data collection strategy. In this regard, there was a description of the sources of data; namely, the primary and secondary data. Semi-structured interviews were identified as appropriate for collecting primary data and the use of literature was identified as appropriate for secondary data collection. Furthermore, it was established that the sampling technique plays a critical role when conducting a study, especially as it relates to the collection of primary data. As such, non-probability sampling was chosen for this study as the broad sampling technique and purposive sampling was applied as the specific sampling strategy because it allowed the researcher to target the most informed and involved participants currently working on the BAAM initiative.

Another aspect that was dealt with in this chapter was how the reliability and validity of the study was to be ensured. In this regard, strategies such as triangulation and those to reduce bias (such as in interactions with different participants) were discussed as a means of ensuring validity and reliability. Furthermore, it was found that qualitative research required a great deal of interaction between the researcher and the participants; as such, this researcher had to take into account ethical issues that might arise when conducting the study. These ethical considerations were noted because they ensure that the integrity of the participants is protected and that they are not exposed to any potential harm.

This chapter comprised a detailed description of the process that was adopted to collect data related to the study. In the following chapter, an analysis of the empirical data will be provided.

Chapter 5 – Empirical Research Findings

5.1. Introduction

The scientific nature of research requires that the researcher collects and analyses data in order to substantiate the theory associated with a study and answer the formulated research questions. In this regard, it is important for this study to provide detailed processes of transforming non-interpreted data and presenting it in a manner that will contribute to the pool of knowledge on the subject at hand. De Vos (2011: 397) explains that data analysis is a process whereby the researcher structures data that has been collected and draws meaning out of such data in the form of research findings. As a starting point, it is imperative to remember that the two previous chapters related to the theoretical framework of public-private partnership and PPP and DRR integration, and their application to the BAAM initiative. In this section, the implications of PPP for DRR within local government will be outlined and the BAAM initiative, as a case in which PPP principles were adopted, will be examined. A detailed analysis of the findings that emanated from the study will also be provided. In light of the above, in this section the focus will be on conveying interpreted data relating to the following research questions:

- What is the theoretical grounding for PPP?
- Can PPP initiatives such as BAAM assist in improving service delivery by government?
- How can PPP be mainstreamed in DRR in order to improve service delivery by government?
- What were the challenges and successes of BAAM in improving DRR functions across various municipalities?
- Did the BAAM initiatives contribute to municipal disaster management functions by addressing skills and resource shortages?

5.2. Key findings

When it comes to the analysis of the key findings, it is crucial to state that the theoretical framework that underpins PPP was presented in chapter 2, while chapter 3 comprised the presentation of a theoretical synergy between PPP and DRR. Both these theoretical chapters guided the formulation of the questionnaires and will also

serve as the basis of the analysis chapter. As such, table 1 below shows the broad theoretical categories that guide the analysis, namely public-private partnership, PPP and DRR integration, and the application of BAAM.

Table 1: Outline of the theoretical principles that form part of this investigation

Theoretical principles as indicated in Chapter 2&3	Indicator of the principle/guideline
5.2.1. Public-private partnership	
5.2.1. Public-private partnership	5.2.1.1. Understanding of PPP 5.2.1.2. PPP contribution to government mandate 5.2.1.3. Legal and institutional framework
5.2.2. PPP & DRR integration	
5.2.2.1. Application of PPP in DRR	5.2.2.1.1. PPPs' role in preparedness 5.2.2.1.2. PPPs' role in response 5.2.2.1.3. PPP's role in recovery 5.2.2.1.4. PPPs' role in mitigation 5.2.2.1.5. PPPs enhance the DRR multi-stakeholder approach
5.2.3. Application of BAAM	

5.2.3.1. Application of PPP in BAAM	5.2.3.1.1. PPP model applied through BAAM 5.2.3.1.2. BAAM strategic objectives 5.2.3.1.3. BAAM institutional arrangements 5.2.3.1.4. BAAM and participation 5.2.3.1.5. BAAM and accountability 5.2.3.1.6. BAAM and decency 5.2.3.1.7. BAAM and efficiency 5.2.3.1.8. BAAM transparency 5.2.3.1.9. Impact of BAAM on DRR municipal service
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5.2.1. Public-private partnership and its application

In the description of the theoretical framework it was noted that PPP is an agreement between the private sector and public sector to execute a particular function; this agreement is prescribed through a contractual consensus whereby both parties agree to cooperate and share resources (2.3). The theory indicates that PPP initiatives play a critical role in enabling the government to mobilise resources and also to efficiently execute its mandate. In this regard, PPP by its very nature plays a critical role in improving service delivery levels and also provides a space for the private sector to be a stakeholder in the functioning of government.

When it comes to the BAAM initiative, it has been perceived as a PPP initiative on the basis that there were two institutions that represented government at a national level, namely SALGA (national office and provincial offices) and COGTA, which played a role in the initiative. Furthermore, municipalities were also stakeholders in the initiative, while the private sector was represented by SANTAM insurance company. As such, all the organisations had an agreement to cooperate and work together in strengthening service delivery at a local government level.

5.2.1.1. Understanding of PPP

As a starting point, it was critical for to establish the applicability of the PPP in line with the theoretical framework. This was important as it provided a fundamental understanding of how PPP is perceived by both the private sector and public sector. As such, the respondents were asked to outline their understanding of PPP. The following responses can be highlighted:

“....PPP is when government and the public sector form partnerships to work together and deliver services” – respondent from SALGA

“...I understand PPP as when the municipality works with local business people who assist the municipality to discharge its mandate in the provision of a particular service” – respondent from Mahikeng Municipality

“...for us, PPPs are initiatives that form part of our corporate social responsibility, where we help institutions such as municipalities through partnerships in carrying out their service delivery responsibility” – respondent from SANTAM

A respondent from CoGTA was of the view that PPPs were limited to a government advertising a tender and choosing the most appropriate bidder to perform a function on its behalf.

“The traditional meaning is when a public entity enlists the service/s of a private sector entity to provide a service. This involves going through a tender process and selecting the best qualifying service provider and paying for the service” – Respondent from CoGTA

From the responses, it was noticeable that respondents largely understood the basic principles of what PPPs are. This was noticeable as they were able to mention the participation of two critical stakeholders, government and business, and also alluded to the fact that they agreed to pool resources and assist the government to run its business. Some respondents also added that PPPs can be facilitated through certain processes, i.e. tendering for projects. To this end, the respondent from CoGTA displayed the understanding of the PPP in the form of a turnkey contract (see 2.5.2), which is a model of PPP that requires a tendering process to be followed in order for the private entity to forge a partnership with the public entity.

5.2.1.2. PPP contribution in government mandate

The respondents were also asked if they thought PPP could contribute to assisting government to execute its mandate. The respondents gave the following responses:

“...Partnering with local business will help the municipality a lot, as we are a poor municipality and lack the necessary resources to provide for all our citizens” – respondent from uLundi Municipality

“...Our municipality covers a large area in terms of population; the assistance from the private companies will help us reach both the communities, from the urban areas and those that are in rural areas” – respondent from Mbombela

“...private companies such as engineering companies have lots of skills that municipalities do not have, so partnering with them will help in resolving service delivery backlogs” – respondents from Mahikeng Municipality

“...the former MEC of CoGTA (Minister Shiceka) held a strong view that business needs to partner with municipalities as a form of turnaround strategy to help municipalities to provide services that are value for money” – respondent from CoGTA

“...it is a known fact that municipalities lack the necessary resources, skills and human capital to provide the service at an optimal level; it is our view that the involvement of the private sector in their work will help in enhancing municipal capacity to execute their mandate” – respondent from SALGA

From the responses given it is clear that there is a shared feeling among the respondents that PPP can play a critical role in assisting government to discharge its mandate. The private sector was understood to have the necessary resources and ‘know how’ that can assist government to provide efficient services to the people. Private sector involvement in municipal business was seen as important in addressing municipal challenges. The reasons provided for increased private sector involvement were that municipalities are under-resourced and do not receive enough money to address the community’s needs. Furthermore, poor municipalities struggle to raise revenue as they usually host poor communities, and this puts a strain on the available resources.

The respondents were further asked if they envisaged any role that could be played by PPP in carrying out municipal DRR mandates.

“...the budget we get from treasury is very small and partnering with the private sector will add to the budget municipalities have” – respondent from Mbombela Municipality

“Municipalities are under-resourced. We have raised this with parliament; however, any contribution to municipalities is welcome and it will help to add funds where there is underfunding in areas such as disaster management” – respondent from SALGA

“Disasters are not day-to-day things and the funds allocated for disaster management are diverted to other programmes within the municipality. At least assistance from the private sector will help us when we do our campaigns” – respondent from Mahikeng Municipality

“...if businesses invest in municipal disaster risk reduction activities, their partnerships with the municipality will contribute to the climate change strategy” – respondent from CoGTA

“Our contribution to local disaster management activities will also benefit us in the long run, as the mitigation of disasters directly impacts our business; in fact, we will save lots of money if there are fewer claims” – respondent from SANTAM

It surfaced during the interviews that PPP partnerships were regarded as critical to enhancing efficiency in DRR activities. There was also an understanding that PPPs would help municipalities to access funds for safety campaigns (such as fire safety), and contribute to improving municipal efforts towards climate change adaptation. Furthermore, PPPs will assist both the government and businesses to be empowered and not suffer huge losses during the aftermath of a disaster.

5.2.1.3. Legal and institutional framework

Another aspect that needed to be investigated was whether there were proper legal and institutional frameworks within the institutions (municipalities, CoGTA and SALGA) to help facilitate the initiation of PPPs. The following responses were received

“...we don’t have any PPP framework in place; we just advise municipalities guided by PFMA, MFMA and the Disaster Management Framework” – respondent from SALGA

“CoGTA has developed a framework that facilitates private sector partnerships with the public sector, which helps with procurement of goods without going through procurement processes, as is the case with BAAM” – respondent from COGTA

“...we don’t have any framework in place. Maybe the recent intervention by CoGTA will help us to initiate the framework” – respondent from Mbombela Municipality

“...we rely mostly on the South African Disaster Management Framework of 2005 and also the Municipal Financial Management Act No.56 of 2003, which serve to assist us in terms of dealing with external stakeholders, but we don’t have a PPP framework” – respondent from uLundi Municipality

Municipal respondents indicated that the main framework that guided them in the BAAM process was the South African Treasury PPP framework, which provides guidance in terms how government institutions may participate in PPP initiatives. CoGTA, however, did indicate that it does have a PPP framework in place. Furthermore, the Public Finance Management Act and Municipal Finance Management Act are other pieces of legislation that provide for accountability with respect to the expenditure and revenues related to government institutions. Another legislative framework that the respondents took note of was the Disaster Management Framework, which gives imperatives for municipal disaster management centres to lobby the private sector and to be party to DRR initiatives.

It is clear from the above responses that it is only CoGTA that has a framework in place to facilitate processes that enhance PPP, while municipalities and SALGA do not have any such framework in place, but rely on existing legislative frameworks for disaster management and financial management legislations. The fact that other stakeholders have not established frameworks to specifically respond to PPPs is an indication that PPP is done mainly on an ad hoc basis. The availability of municipal PPP frameworks would give more guidance to municipalities on how to conduct PPPs. A clear PPP policy framework would also ensure greater commitment by municipalities to the process as they could include PPP activities and programmes within their annual

performance plans. In the case of resource mobilisation and allocation, such a framework, would provide an advantage to municipal DRR units in making a case for more funding during planning and budgetary processes.

When asked about the contractual agreements as one of the requirements for PPP initiatives, all the respondents indicated that the municipalities had signed service level agreements with SANTAM, SALGA and CoGTA. To this end, the following responses can be reported:

“Municipalities did sign the service level agreement, after it was considered by SALGA in order to advise them and ensure that the agreement was fair” – respondent from SALGA

“Yes, we did sign the agreement with all the stakeholders in order to formalise the process” – respondent from CoGTA

“As a starting point, we had to agree on how we were to approach the process and put such agreement on paper, as a way to get commitment from all the stakeholders” – respondent from SANTAM

“Our leadership signed the agreement in order to ensure that there were clear lines of responsibility” – respondent from uLundi Municipality

“We had to sign the SLA as an indication that the council was fully in support of the programme” – respondent from Mahikeng Municipality

“...programmes of this nature have serious implications. We signed the agreement with all the stakeholders, as this was our commitment indication, and also to ensure that we take responsibility for their brand and they will also be responsible with respect to our brand” – respondent from Mbombela Municipality

When it comes to institutional frameworks (internal policies and the structural setup with the participating institutions) dedicated to PPP, the respondents were asked if their institutions had put in place any frameworks or policies that would facilitate the initiation of PPP partnerships in DRR. It emerged that none of the municipal institutions (municipalities and SALGA) had a framework or a policy in place and such initiatives happened on an ad hoc basis. CoGTA, however, does have a framework in place for partnering with the private sector. Furthermore, they (SALGA and CoGTA) did not

have established units that were focused on PPP; stakeholder management units that conducted PPP initiatives rather did this on ad hoc basis. When it comes to municipalities, they also indicated that they did not have PPP units in place, but in many cases PPP initiatives fell under the office of the executive mayors as special projects. When it came to SANTAM, they indicated that PPP initiatives were handled by their stakeholder relations department, which deals with partnership initiatives as their corporate social responsibility (CSR) projects, while other respondents indicated that;

“...we don’t have a PPP unit in place. All our partnerships are facilitated by the stakeholder engagement office in the office of the executive director: strategy management” – respondent from SALGA

“...initiatives like these usually form part of special projects and they are usually housed in the office of the executive mayor, but we don’t have an office that is responsible for PPP” – respondent from Mbombela Municipality

“...CoGTA does not have an office solely dedicated to PPP” – respondent from CoGTA

“We don’t have an office that deals with PPP. We hardly have PPP initiatives of a high magnitude” – respondent from uLundi Municipality

What comes out strongly from the section above is that the respondents had a fair understanding of PPP in terms of its conceptual framework and application. The respondents viewed PPP initiatives as a catalyst in assisting government to execute its mandate, while also providing an avenue for the private businesses to be key stakeholders in government business. However, the shortcoming observed from the findings is the fact that there is no legislative framework that has a direct focus on PPP within DRR. However, COGTA indicated that it had a policy in place that aimed to facilitate PPP and assist municipalities to procure goods without being hindered by internal processes. It surfaced that municipalities engage in the PPP agreements by using the existing financial management legislation (PFMA and MFMA), and they are also guided by treasury regulations on PPP. Lastly, it surfaced that PPPs are done on an ad hoc basis and there is no institutional setup within municipalities, SALGA or CoGTA that deals with PPP; this responsibility is rather taken up by stakeholder

management units and line departments. The following section shows how respondents perceived the role of PPPs in all aspects of disaster management and how the findings relate to the application of PPP within the BAAM initiative.

5.2.2. PPP & DRR integration

In the literature DRR was described as the processes whereby strategies and policies are put in place in a proactive effort to limit the effects or risks of the disaster (see 3.2). In this regard, a multi-stakeholder approach to disaster management is needed if the goal of DRR is to be achieved. In this respect, stakeholders from various sectors of society are regarded as important when it comes to resource mobilisation and capacity building. The literature indicated that municipalities are faced mostly with challenges of lack of resources and revenue to execute their service delivery mandates, including the rendering of DRR services. This is evident particularly in municipalities that have poor communities or that are constituted by mostly rural communities. As such, the DRR theoretical framework advocates for the business sector to be a critical stakeholder in order to address resource challenges. The infusion of PPPs in the DRR is seen to be relevant in application in the four stages (disaster preparedness, disaster response, disaster recovery and disaster mitigation) of DRM outlined in chapter 3 (see 3.4). It is critical for this study to establish whether participants believe the application of PPPs could improve the role of government during disaster management stages. The first stage to be focused on is the disaster preparedness stage.

5.2.2.1. PPP and Preparedness

The theory has shown that there is a possibility of linking disaster preparedness with PPP. During this stage, it is important for government institutions to ensure that there is necessary human and physical capacity to limit the effects of any disaster that occurs (see 3.4.1). The respondents were asked about their views on PPP initiatives during the preparedness stage could improve the manner in which government conducts preparedness initiatives.

“...if there were more initiatives like the BAAM, we would benefit a lot in gaining more capacity to teach communities about dangers that might be posed by disasters” – respondent from Mahikeng Municipality

“...our people need to be educated about the dangers that come with fires and disasters. Programmes like these would help us reach out to many people within the rural communities” – respondent from uLundi Municipality.

“...when new companies want to open firms, we are confident that we will provide them with sound advice; programmes like these will help our members to be well equipped with skills in particular” – respondent from Mbombela Municipality

“...interventions of this nature are not only beneficial to the municipality, but they are beneficial to communities, whom we want to be resilient and have adequate means to avert the impact of disasters” – respondent from SALGA

“...being prepared for disasters is critical. Municipalities need to be on top of their game. Initiative like BAAM will assist the municipalities with the necessary capacity to plan accordingly” – respondent from CoGTA

The respondents from all the groups were adamant that PPPs would improve disaster preparedness endeavours. PPPs could play a crucial role because preparedness initiatives such as community awareness are usually under budgeted for, which leads to municipalities not putting in place policies and programmes that would enhance community preparedness for disaster. Contributions by the private sector to disaster preparedness was seen as important on the basis that there would be an addition of resources to employ skilled personnel, initiate safety campaigns and ensure that all the resources required to prepare for the disaster were available. The BAAM initiative was cited as a classic case to substantiate the contribution of PPPs in the work of government, on the basis that municipal officials acquired skills that they were using to educate communities about fire safety and other preparedness capabilities.

5.2.1.2. PPP and disaster response

Disaster response is focused directly on what is done during the impact of disasters, when the government has a responsibility to carry out rescue missions (see 3.4.2). The respondents were asked if they were of the view that the municipalities or government would respond more effectively if PPPs were adopted.

“...the fact that we got binoculars will help us a lot. In some cases there have been accidents and vehicles have fallen in a place that is hard to reach” – respondent from Mbombela Municipality

*“...the skid unit will assist the fire team to reach even the places that are not accessible by a truck. You see, we are in rural areas and most houses are thatched and that requires access to water quickly if there is a fire” – respondent from **Ulundi Municipality***

*“... The oxygen cylinders will help my team during the response. Those things are expensive and the new ones will assist us a lot in saving lives” – respondent from **Mahikeng Municipality***

*“...there was an incident where we got to Ulundi and the executive mayor was using a bucket full of water to assist in the extinguishing of a burning house; so the assistance from the skids will go a long way towards improving the municipal response during incidents” – respondent from **SANTAM***

The respondents indicated that the partnerships with the private sector would be beneficial during the response phase. This was because municipalities were regarded as lacking equipment and the necessary capacity to respond, meaning that they usually had to rely on assistance by non-governmental organisations. Municipalities stated that BAAM’s contribution would make their response more efficient as they were provided with much needed equipment. It should be noted that even though there has not been a disaster since the BAAM initiative was launched, there is a great level of confidence among municipal respondents that their response efforts will improve in subsequent disaster situations.

5.2.1.1.2. PPP and Recovery

The literature also indicated that PPPs can be synergised with the disaster recovery process when the disaster has occurred and there is a need to embark on the process of restoring a community (see 3.4.5). This stage entails the reconstruction and rehabilitation of damaged infrastructure, the recovery of livelihoods and rebuilding of social structures. The respondents were asked if they believed that PPP could make significant contributions to government-led recovery efforts. The respondents were of the view that:

*“...private companies are very important during the recovery process, as they have the relevant technology to help government carry out recovery activities” –respondent from **SALGA***

“Municipalities need to work very closely with private companies; mostly, those in the engineering field who will help with the reconstruction of municipal infrastructure” – respondent from CoGTA

“...the time after the disaster is a very painful time. The involvement of private companies is important as they will help communities to recover from damage caused by disasters. The cooperation of companies that will provide family members with jobs becomes vital” – respondent from Mbombela Municipality

“...involvement of private sector in the recovery processes can be seen in the light that it will speed up recovery and bring the situation to normality. It will also allow us to have an active economy in the aftermath of the disaster” – respondent from Mahikeng Municipality

“Insurance companies can play a proactive role in assisting communities to recover through community customised insurance packages, and also for further risk planning” – respondent from SANTAM

The respondents were of the view that PPPs could improve the recovery processes carried out by local governments, on the basis that recovery might take a long time and it requires lots of funds to restore critical infrastructure that might be damaged during a disaster. PPPs were also noted to have a central role in restoring the social fabric of a disaster-affected community through job creation. It was also outlined that PPP initiatives that involve insurance companies could assist government through the sharing of risk with the insurance companies. Furthermore, the involvement of private companies was noted as being critical during the recovery process and that a prompt recovery processes would benefit the business in terms of being able to have an active market and economy.

5.2.1.1.3. PPP and mitigation

The theoretical framework also indicated the useful nature of PPPs within DRR during the disaster mitigation process. At this stage, the expectation is that the initiation of mitigation interventions will lead to improved disaster resilience (see 3.4.4). The South African Disaster Management Act No. 57 of 2002 supports this by emphasising that disaster mitigation is a multi-stakeholder approach that ensures that communities are resilient to disasters and their impacts. The respondents were asked whether they

thought PPP initiatives had the ability to improve government processes that were focused on disaster mitigation. The following replies were received:

“...we need to involve private business in our planning, as their contribution is critical in our planning processes” – respondent from Mahikeng Municipality

“...they should take part when we deal with strategies to reduce the level of impact of disasters, so that they know what the municipality is doing in order to avert danger. This will empower them to also be proactive in limiting the magnitude of a disaster” – respondent from Mbombela Municipality

“...here big companies like those at the shopping centre should be working closely with the municipality when in it comes to disaster issues. They can support us with resources during our planning processes in order to help us reach out to everyone and ensure that they pay a role in the implementation of mitigation disaster strategies” – respondent from uLundi Municipality

“...the framework for disaster makes it clear that the private sector is a critical stakeholder in disaster management. Their role in municipal disaster mitigation strategies is important, as they will enrich the plans with their knowledge” – respondent from CoGTA

“We have been lobbying municipalities to adopt an approach whereby sectors of society work together in addressing service delivery challenges. It is important even in the case of mitigation to involve the private sector, so that they will feel part of the municipality and get involved” – respondent from SALGA

The participants asserted that private sector involvement in the mitigation processes would strengthen the way the government conducts its mitigation processes. They pointed to the fact that the private sector has the necessary technology, skills and resources to help the state to perform the mitigation function effectively. Furthermore, they were of the view that the involvement of the private sector in disaster mitigation strategy planning processes would ensure that strategies were enriched with content and that all the stakeholders would take ownership of the strategy and apply such strategies within their area of functionality.

5.2.1.1.4. PPP enhances DRR through a multi-stakeholder approach

When it comes to DRR and its link to PPPs, the South African DRM legislative framework presents DRR as a multi-stakeholder process. In the literature DRR is defined as the processes whereby strategies and policies are put in place in a proactive effort to limit the effects or risks of the disaster (see 3.3). Stakeholders from the different sectors of society are regarded as important when it comes to resource mobilisation. The respondents were asked if BAAM as a PPP initiative subscribed to the DRR principle of a multi-stakeholder approach. The following replies were given:

“Their training really helped me a lot, as I only had basic training that I did when I got employed in 2007. The sad part is that some of the team members did not participate as they thought this programme was just a waste time, but now they are asking management if they can be part of it, as they see our certificates. The certificate will open many doors for me and it will help me to do my work appropriately” – respondent from Ulundi Municipality

“...there was high level of collaboration from all the stakeholders and there was a concerted effort to provide us with equipment. This project was special and should form part of the disaster management service delivery agenda of the government” – respondent from Mahikeng Municipality

“...the municipality does not operate in a vacuum and it cannot address all the problems at once and alone; the approach by all stakeholders proved to be very effective” – respondent from Mbombela Municipality

“Partnering with the private sector was very close to the heart of the former minister, as it was identified during the development of the turnaround strategy. We see business as resourceful and an important stakeholder to address challenges in DRR” – respondent from CoGTA

A respondent from SALGA indicated that this intervention was imperative and it would assist municipalities to provide quality service. The respondent also indicated that the BAAM initiative had contributed significantly to realising training initiatives associated with SALGA’s strategic framework and that the training would have a remarkable impact on SALGA officials carrying out their mandate effectively in the near future.

“...it is just that we don't have enough resources, but if we did we would have rolled out this training to all the municipalities in order to ensure that officials in disaster management are capacitated” – respondent from SALGA

The respondents indicated that the BAAM initiative was a good mechanism to mobilise resources for municipalities who are struggling with financial resources. In this regard, they stipulated that SANTAM managed to invest a budget that was used to procure necessities required for disaster management units. As such, the municipalities were given skid units, firefighting equipment or protective gear and binoculars, as well as communication devices. These resources, in the view of the participants, are crucial; however, municipalities do not allocate a lot of funds to DRR activities during their budgeting processes. Another aspect that was worth noting about the BAAM initiative was capacity building in a quest to give personnel the necessary skills to execute their DRR functions. As part of the BAAM agreement, the private sector had to enrol officials from municipalities in the training programmes, at which they were to gain competence in firefighting and disaster management. The respondents indicated that the training was necessary and relevant, as it equipped them with the necessary skills to execute their duties.

The above section was focused on testing the synergy between PPP and DRR; what comes out strongly from the findings of the study is that PPP is perceived as critical to DRR by all the respondents. This is due to the fact that when it comes to preparedness, PPP is seen as important on the basis that it will help government to ensure that it is in possession of the necessary human and physical capacity that will be utilised to limit the impact of a disaster should it occur. The respondents were also of the view that PPP is critical during the response phase, on the basis that government might forge formal partnerships with private entities to assist during the disaster rescue missions. PPP was also perceived as important during the recovery phase, because the private sector is seen as an important partner when it comes to the reconstruction of damaged infrastructure, the recovery of livelihoods and rebuilding of social structures that might have been destroyed during the disaster. Furthermore, the respondents were of the view that PPP partnerships during the mitigation processes were also important on the basis that partnerships with other stakeholder would enable the government to have a resilient society. This is also expressed in the DRR legislative framework, where there is an emphasis on partnerships with multi-

stakeholders in order to ensure that disasters are mitigated through the application of the proper initiation and implementation of DRR policy, and that there is consciousness of the implications of danger or hazardous situations if they are not avoided. As an illustration of the multi-stakeholder approach that has elements of PPP, in the following section we will focus on the application of BAAM as a PPP initiative.

5.2.3. Application of BAAM

The BAAM initiative was described as a project in which government and a private entity engaged in a partnership to assist government to execute its DRR mandate effectively. It focused on municipalities that lack the necessary resources and capacity to carry out their mandates. As such, the initiative is regarded as a PPP on the basis that it meets the requirements set out for PPPs (2.3). Specifically, the project was a contractual agreement between the state and a private entity aimed at carrying out a particular function. It was necessary for the purposes of this study to explore the application of PPP in BAAM in order to identify best practices and weaknesses in the rollout of the project.

5.2.3.1.1. PPP model applied through BAAM

As a starting point, it was critical to establish the PPP model that was adopted in the application of the BAAM initiative. The theory presents a variety of models that are related to PPP, as some have more focus on infrastructure and services, and constitute financial transactions, while other models focuses mainly on sustainable development (2.5 & 2.6). The participants were asked to outline the model that was adopted in the BAAM initiative.

“SANTAM was the one that made available all the funds to procure the items that were given to municipalities” – respondent from CoGTA

“...municipalities were only responsible for their logistics in term of travel, but all the funds related to the purchase of goods came from SANTAM” – respondent from SALGA

“...we only hosted the handover event; all the funds for the projects came from SANTAM” – respondent from Mahikeng Municipality

“..We did not pay even a cent; all the training funds were catered for by the private partner” – respondent from Mbombela Municipality

“...the training that was arranged by SANTAM is usually expensive and we are happy they paid for our members to register” – respondent from uLundi Municipality

Although not stated directly by the municipal participants, the understanding that came out of the responses was that BAAM falls within the model of PPP that serves sustainable development purpose. The respondents indicated that the private sector contributed financial resources in order to assist municipalities to buy disaster response equipment. It also provided access to skills development programmes at which municipal employees were capacitated with the necessary skills to execute their firefighting mandate.

5.2.3.1.2. BAAM strategic objectives

The respondents were also asked to outline the strategic objects of BAAM. The participants who could respond to the question were those that formed part of the steering committee, while those who went for training under the initiative (municipal officials and fire fighters) could not provide information, as they were not part of the steering committee that dealt with information regarding payments of purchased items. The responses in this regard were as follows:

“...alleviate the resource challenges experienced by a number of municipalities through the process of adoption by private sector companies and state-owned entities” – respondent from SALGA

“...to facilitate private sector and SOE involvement in the support programmes aimed at improving local government infrastructure, economic development and governance by enhancing the capacity of municipalities to deliver municipal services” – respondent from CoGTA

“...DRR is of mutual interest to SANTAM and municipalities; our support of the municipality strengthens the DRR departments and also helps in alleviating the effects of disasters, and this will benefit SANTAM by reducing potential claims” – respondent from SANTAM

From the above responses the respondents indicated that the main strategic objects of BAAM were to provide hands-on support to municipalities that were battling with financial resources and had skills shortages with respect to the execution of municipal functions. Additionally, it aimed to create a space for the private sector to play a role in enhancing efficiency in municipal services. An additional objective identified by some participants for the project was to limit the number of insurance claims to SANTAM that could arise from any particular disasters.

5.2.3.1.3. BAAM institutional arrangements

Institutional arrangements represent the policies and plans that are put in place in order to effectively coordinate project activities between project members. In the case of PPP and DRR, it is imperative to put in place the structures and policies that will facilitate the implementation of a particular initiative in a well organised and coordinated manner. The institutional arrangements are critical in that they clarify and define roles, responsibilities and activities within a particular framework. The respondents were asked to outline the institutional arrangements that supported the implementation of BAAM.

The respondents indicated that institutional arrangements were clearly defined through the memorandum of understanding that was signed by all the partners (public and private) and through their participation in the steering committee. The existence of clear institutional arrangements served to assist each stakeholder to appreciate their allocated role within the broader initiative. The respondents indicated that there was an overarching steering committee that was responsible for the overall coordination of all the BAAM activities. Additionally, each stakeholder had a governance structure to which they would report in their respective organisations.

“From our institution, BAAM was initiated by the stakeholder management office and was transferred to community development, as they are directly responsible for disaster management, who then reported to the working group and national executive” – respondent from SALGA

“...we have set up a steering committee, which is a driver of BAAM, and I was the project manager from our office, but we also had to report to the office of the minister, who reports to Cabinet” – respondent from CoGTA

“...We formed part of the steering committee, but we also reported to the Executive Committee of eMthunzini Trust, as they were the ones who funded the programme” – respondent from SANTAM

“This programme formed part of special programmes and was placed in the office of the mayor, to which we had to account, other than the steering committee” – respondent from uLundi Municipality

“..Our main reporting structure was the council and we made all the stakeholders aware that they were the custodians of the council’s decisions” – respondents from Mbombela

“We provided clarity that this programme sits in the office of the MMC, who reports to the executive council. For us at the fire department, we only do the implementation and reporting” – respondent from Mahikeng Municipality

The responses from the respondents provide a clear picture that each and every stakeholder had an institutional setup that could facilitate the coordination of project activities and to which they could report on project deliverables.

In the literature review a set of principles that are aligned to PPP initiatives was also presented (2.4). These principles of PPP were participation, accountability, decency, efficiency and transparency, which serve as the cornerstone of the success of any PPP initiative. As such, it was critical to establish whether BAAM's initiatives were in line with the stipulated PPP principles or if it managed to promote them.

5.2.3.1.4. BAAM and Participation

The theoretical framework provides that good governance is the most important principle of PPP and that PPPs are more effective if there is participation from all the stakeholders (public and private). Consequently, PPP initiatives have to uphold a certain level of participation if they are to be successfully implemented (2.4.1). The respondents were asked if the BAAM initiative as a PPP managed to allow for the participation of all the relevant stakeholders.

“The steering committee allowed participation from all of us” – respondent from SALGA

“We did have a platform where everyone participated in the planning and execution of the BAAM project” – respondent from CoGTA

“...everyone was allowed to participate in the steering committee and input their views on issues raised. However, some of the members from the municipalities did not want to participate” – respondent from Mbombela Municipality

“We were all given an opportunity to raise issues that emanated from the council (concerning BAAM) through our steering committee meeting” – respondent from uLundi Municipality

“...we were able to participate in a more organised manner when we held steering committee meetings” – respondent from SANTAM

Thus, from the initial responses, the respondents indicated that there was a proper platform for all the stakeholders to participate in the BAAM processes that was provided by the steering committee. However, although a platform was provided for the participation of all the stakeholders to ensure that the BAAM was a success, some of the respondents were of the view that some of the municipal officials did not participate as expected. This point was elaborated on as follows by some respondents:

“...the officials who deal with the storm water drainage department did not want to participate and they were forever absent from our meetings” – respondent from Mahikeng Municipality

“....some of the officials from municipalities were not fully committed to the processes and this reflected badly on the municipalities” – respondent from Mbombela Municipality

“....there was a point at which the project was not moving and the private sector nearly pulled out due to the lack of commitment from municipalities” – respondents from CoGTA

“....maybe we need to relook at the selection criteria of municipalities that will form part of BAAM, as some of them do not show commitment to the project” – respondent from SALGA

It also surfaced during the interviews that the fire fighters from one municipality did not participate in the training programme that they were expected to participate in and only half of that team attended the training programme. It was indicated that this was due to their lack of trust in management and the BAAM initiative.

“...some of the team members did not participate in the training because they felt that the municipality always brings these trainings and they do not get rewards such as promotions once they have gained competency” – respondent from uLundi Municipality

The overall perspective on participation during the BAAM project was that adequate platforms were created for stakeholders to participate in the initiative. These platforms provided participants with an opportunity to raise all the issues that were related to BAAM. However, some members from municipalities did not participate fully even though the platform was there. This lack of participation could be indicative of non-commitment by municipal officials to the project or due to deeper trust issues regarding projects of this nature. Relating to the issue of trust, the participants explained that they did not trust that the initiatives would bring them career advancement opportunities, and this lowered the level of participation and commitment to the project.

5.2.3.1.5. BAAM and accountability

When it comes to accountability, it was necessary to establish whether accountability was central to the BAAM initiative. This helps us to measure whether the participants took responsibility for the tasks entrusted to them (See 4.2). The respondents stated that:

“...we were all required to provide reports on the tasks we were allocated. This ensured greater accountability. We also had a responsibility to account to our governance structures” – respondent from SALGA

“...we all had responsibilities and it was imperative for all of us to present performance reports regarding those responsibilities” – respondent from CoGTA

“...yes, we were all accountable as we had to report on the resolutions of the steering committee when action was required from municipalities” – respondent from Mahikeng Municipality

“The level of accountability was very high during the steering committee sittings, as none-accountability would have sent a wrong message to the private stakeholders. All the stakeholders did report when required to do so” – respondent from Mbombela Municipality

“...we always prepared reports for presentation at both the steering committee level and council level; remember, we need to account for what we are doing and we also spend funds when we attend meetings. We had to instil confidence in the stakeholders that we take the processes seriously and we do work as required” – respondent from uLundi Municipality

“...every stakeholder had a responsibility to tell the committee what they had been doing; even on our side, we had to account to Emthunzini Trust Board, as SANTAM is mandated by them to be part of this initiative” – respondent from SANTAM

The respondents were of the view that there was high level of accountability throughout the BAAM initiative. To this end, each stakeholder was expected to report on the progress they had made in relation to the project plan. To this end, a dual reporting mechanism was used to report project progress to internal and external reporting mechanisms (steering committee meetings).

5.2.3.1.6. BAAM and decency

Another aspect of good PPP governance is decency. This entails that stakeholders conduct themselves in a trustworthy manner and show mutual respect. The theory stipulates that decency relates to the ability of stakeholders who are part of the initiative to trust each other (see 4.4). The respondents stated that:

“...the steering committee members from the municipalities’ disaster management team displayed full commitment in the meetings of the project” – respondent from SALGA

“There was a time where SANTAM was about to pull out because the municipalities were not showing commitment to the process” – respondent from CoGTA

“...there was high level of professionalism from SALGA and CoGTA; the problem was with the beneficiaries at some stage, as we observed that they were not fully committed” – respondent from SANTAM

“I feel that we carried ourselves in a professional manner, but the storm water team did not take the initiative seriously” – respondent from Mahikeng Municipality

“...we appreciated the support and we committed ourselves fully, but the behaviour of some of our members at a municipal level showed a lack of trust in the process” – respondent from uLundi Municipality

“There was commitment from all the stakeholders; it was just those from the storm water department that did not participate as expected” – respondent from Mbombela Municipality

It is clear from the respondents that some level of decency was observed during the implementation of the BAAM initiative, as members participated in the steering committee meeting as expected. However, there was a level of lack of commitment on the part of the municipalities, which presented a risk to the programme. The lack of level of decency from other members posed a risk to the implementation of the programme, as SANTAM nearly pulled out of the project due to their lack of commitment. It can be concluded that although there was high level of professionalism in BAAM from most of the participants, unprofessionalism or a lack of decency from some municipal departments nearly compromised all the stakeholders and nearly led to the cancellation of the project.

5.2.3.1.7. BAAM and efficiency

The theoretical framework notes efficiency as another element of PPP that is crucial. It implies that services should be provided timeously and in a cost-effective manner (see 4.5). The respondents had the following views relating to efficiency:

“.....our fire department is now able to provide sound advice to companies about fire-related issues. We also went to the local schools to educate learners about the dangers of fires and how they can save the environment from fire” – respondent from Mbombela Municipality

“The municipality is able to reach out to communities that are remote from the town and has boosted confidence among the cane growers, who now do not need to wait for a fire engine to come from Richards Bay to extinguish fires” – respondent from Ulundi Municipality

“...we are now able to render more informed advice to schools and churches in this area on the hazards related to fires” – respondent from Mahikeng Municipality

“I think the equipment given to municipalities will assist them in addressing shortages that might have been caused by a lack of budget; now they will respond quickly” – respondent from SALGA

“...out of this programme, municipal officials will gain the necessary capacity in terms of resources and skills to perform their duties” – respondent from CoGTA

“...we hope our intervention will empower the municipality and the community and there will be improvement in service provision” – respondent from SANTAM

The overall view is that the BAAM initiative had a positive impact on enhancing the efficiency of municipal entities in providing disaster management services. This increase in efficiency is indicated by the fact that some municipalities no longer outsource the provision of fire services to private companies. Instead, the training of personnel through BAAM has placed municipalities in a better position to offer the service internally. This has led to significant budget savings and the accumulation of more revenue in the process. Furthermore, on the side of SANTAM, it was stated that the company's investment in municipalities through the BAAM initiative is paying off because insurance claims are decreasing and this saves the company a lot of money on insurance claim payouts.

5.2.3.1.8. BAAM and transparency

Transparency dictates that all PPP processes need to be done in the open, with credible information being made available to all the stakeholders (see 4.3). The participants expressed the following views relating to transparency during the BAAM project:

“...everything was discussed in the open; there were no hidden issues, which made us very comfortable to be part of the steering committee” – respondent from Mahikeng Municipality

“...the information was made available to all of us on time and we were happy to engage in an open platform like the steering committee” – respondent from Mbombela Municipality

“...the information was easily accessible, as it was as easy for one to call colleagues from SALGA and request information” – respondent from uLundi Municipality

“...there was a sense of equality amongst the stakeholders, as we all got an opportunity to chair the meetings” – respondent from SALGA

“..The establishment of the steering committee was very important, as it gave all of us a voice during engagements; everything was open for stakeholders to discuss”- respondent from CoGTA

“...we were very happy with the setup of the partnership, as we managed to work together and ensured that all the issues were discussed in an open and fair manner” – respondent from SANTAM

Overall, the respondents indicated that there was high level of transparency, because the BAAM reports were accessible on the websites of all the stakeholders. Furthermore, institutions such as municipalities conducted presentations on the BAAM project in council meetings that were accessible to communities through the public record. The respondents also indicated that decision making was done in an open and democratic manner. The respondents added that the convening of meetings was in line with the framework of transparency and they were rotated among the stakeholders in order to ensure that there was equality among the stakeholders. SALGA, CoGTA and SANTAM chaired the meetings of the steering committee as a means of ensuring that the stakeholders felt equal and that there would be no marginalisation of views and opinions expressed by the various role players.

5.2.3.1.9. BAAM’s impact on DRR municipal service

It is central to this study to establish whether PPP initiatives have a positive impact on municipal DRR functions. In this regard, the participants were asked if the BAAM initiative had an impact on municipal DRR functions. To this end, the following statements were made by the respondents:

“...the fact that we acquired firefighting gear and other equipment which we did not have the budget for is an indication of the positive impact of BAAM” – respondent from Mahikeng

“...the skills development or training element of BAAM has raised hope for many of us because it means we acquired a particular competency and we will use the certificates to grow in our work” – respondent from Ulundi Municipality

“We are more effective now, because we can provide advice to big companies and mines around the municipality. Also, we can now easily reach out to communities that are far from the city. The skills provided by BAAM are appreciated and will help us go a long way in providing services to communities” – respondent from Mbombela Municipality

“The BAAM initiative helped the municipality to procure assets quickly, as the municipality did not have to go through procurement processes since SANTAM bought goods on behalf of municipalities. This will go a long way as we know that municipalities do not have adequate resources for disaster management” – respondent from CoGTA

“...the initiative has had a positive impact on municipalities in terms of accessing funds, because DRR activities are usually underfunded in municipalities and funds are at times diverted to other services” – respondent from SALGA

The conclusion that can be drawn from the respondent's perspective in terms of the impact of BAAM is that the initiative managed to make a significant contribution to addressing the lack of funding and lack of skills. From the side of the private sector, it was not easy to determine the impact of the BAAM initiative. This is due to the fact that the results will only be established after the passage of some years (some follow-up studies can be carried out to this end). However, there was anticipation that the costs related with the insurance claims within the municipality were to be reduced through the proactive involvement of the company.

“...through our skills in risk management, our intervention in DRR will ensure that the communities are resilient and this intervention can set a precedent for economic development” – respondent from SANTAM

The above section has extensively focused on the how PPP principles were applied to BAAM and outlined how BAAM, as an example of PPP, might have an impact on municipal service delivery. From the above findings, it is noticeable that all the stakeholders were afforded an opportunity to participate fully within the BAAM

committee that was set up and there were high levels of accountability in the way that project was rolled out. It was also noted that the initiative provided municipalities with a chance to improve their efficiency when providing services to communities. The respondents were adamant that there was a high level of transparency in the way that stakeholders conducted their business concerning the BAAM initiative. However, when it comes to decency, it appears there were shortcomings among members of the municipalities due to their lack of commitment to the programme. This posed a challenge for the stakeholders that were committed, and the sponsors of the programme threatened to pull out of the initiative. Beside the challenges that were outlined in terms of commitment from all the stakeholders, it also emerged that the stakeholders were of the view that a multi-stakeholder approach to service delivery issues (through initiatives such as BAAM) has the potential to enhance efficiency and provide municipalities with the skills and resources that will help them to improve their service delivery mandate relating to disaster risk management.

5.3. Conclusion

In conclusion, this chapter constituted an analysis of the data collected for the study. As a point of departure, this section revisited the research questions that the study aimed to answer in order to test whether the findings served the purpose of the study. It was found that the respondents had a fair understanding of PPP in terms of its conceptual framework and application. The respondents viewed PPP initiatives as a catalyst for assisting the government to execute its mandate, while also providing an avenue for the private sector to be a key stakeholder in government business. However, there were shortcomings that were observed from the findings that relate to the fact that there are no legislative frameworks that directly focus on PPP within DRR. COGTA indicated that it had a policy in place that aimed to facilitate PPP and assist municipalities to procure goods without being hindered by internal processes. However, it surfaced that municipalities engage in PPP agreements by using the existing financial management legislation (PFMA and MFMA) and they are also guided by treasury regulations on PPP. Moreover, it surfaced that PPPs are formed on an ad hoc basis and there is no institutional set-up within municipalities, SALGA or CoGTA that deals with PPP; this responsibility is rather taken on by stakeholder management units and line departments.

When it comes to testing the link between PPP and DRR, it was strongly indicated in the findings that all the respondents perceived PPP to be critical to DRR. PPP was seen as important in relation to preparedness because it ensures that the government is in possession of the necessary human and physical capacity that will be utilised to limit the impact of a disaster should it occur. The respondents were also of the view that PPP is critical during the response phase on the basis that the government can forge formal partnerships with private entities to assist during the disaster rescue missions. PPP was also perceived as important during the recovery phase because the private sector is seen as an important partner when it comes to reconstruction of damaged infrastructure, the recovery of livelihoods and the rebuilding of social structures that might have been destroyed during the disaster. Furthermore, the respondents were of the view that PPP during the mitigation processes is also important on the basis that partnerships with private sector stakeholders will enable government to move towards creating a more resilient society. The results presented here are consistent with the South African DRR legislative framework, where there has been an emphasis on partnerships with multi-stakeholders in order to ensure that disasters are mitigated through the application of proper initiation and the implementation of DRR policy.

Furthermore, there was an extensive focus on how PPP principles were applied during the BAAM initiative and whether BAAM, as a PPP initiative, had a positive impact on service delivery. It was noticeable in the findings that all the stakeholders were afforded an opportunity to participate fully in the BAAM steering committee; there were high levels of accountability in the way that stakeholders conducted their business. It was also noted that the initiative provided municipalities with a chance to improve their efficiency when providing services to communities. The respondents were adamant that there was a high level of transparency in the way that stakeholders conducted their business concerning the BAAM initiative. However, when it comes to decency, it appears that there were shortcomings from members of the municipalities due to their lack of commitment to the programme. This posed a challenge for the stakeholders that were committed, as the sponsors of the programme threatened to pull out of the initiative. Besides the challenges that were noted, it emerged that stakeholders were of the view that the multi-stakeholder approach to service delivery issues (through

initiatives such as BAAM) has the potential to enhance efficiency and provide municipalities with the skills and resources that will help them improve their work.

CHAPTER 6: Conclusion and Recommendation

6.1. Introduction

Chapter 5 comprised an analysis of data collected for the study. The data collected indicated that the respondents had a fair grasp of what constituted PPP and how the elements of PPP were applied to the BAAM initiative. Furthermore, the findings clarified the respondent's views of how PPPs might be instrumental during the different disaster phases, namely disaster preparedness, response, recovery and mitigation. The findings illustrated that PPP could facilitate a multi-stakeholder approach to disaster management. The respondents were also of the view that PPP could be instrumental in improving the way the government delivers services to communities.

However, for PPP initiatives to be successful, such initiatives should promote accountability and participation from all the stakeholders, they should be executed with decency and they should have an intention to promote efficiency.

The findings also indicated that the South African Disaster Management Framework and South African Disaster Management Act No. 57 of 2002 provides for multi-stakeholder involvement in disaster management by advocating mechanisms such as PPP. However, there is no policy or institutional and legislative framework that directly deals with PPP for disaster management at municipal level. This finding was supported by the fact that the institutions entrusted with DRR at the local government level often engage in PPP initiatives on an ad-hoc basis. The following section will comprise the provision of a conclusive analysis as to whether PPP initiatives could have an impact on municipal DRR, based on the findings presented in the BAAM case study. This will be done by firstly reflecting on the objectives of the study and, secondly, presenting conclusions related to research questions. Furthermore, a set of recommendations will be presented based on the findings and for possible areas of research.

6.2. Conclusion of the research

The objectives of this study were:

- a. To gain a theoretical understanding of what PPP entails.
- b. To establish what role PPPs can play in government service delivery.
- c. To understand how PPP can be synergised with DRR.
- d. Explore the success or the failures of BAAM initiatives as applied in DRR programmes across various municipalities.
- e. To gain a deeper understanding of how BAAM initiatives assist municipalities with addressing skills and resource challenges.

As the means of responding to the research problem, the researcher aimed to respond to the following questions:

- What is the theoretical grounding of PPP?
- Can PPP initiatives such as BAAM assist in improving the service delivery of the government?
- How can PPP be mainstreamed in DRR in order to improve service delivery by government?
- What were the challenges and successes of BAAM in improving DRR functions across different municipalities?

- Did the BAAM initiative contribute to municipal disaster management functions by addressing skills and resource shortages?

These objectives were achieved in terms of responding to the set questions and this will be outlined in the following section.

6.2.1. Conclusion(s) regarding question (a) ‘What is the theoretical grounding for PPP?’

- The theoretical framework indicated that PPPs are an agreement between the government and the private sector to work together in addressing community problems that the government would not have been able to address on its own (see section 2.3). The conclusion from the findings was that the respondents mostly understood what PPPs were and what the rationale was for entering into such agreements. The respondents recognised that to formalise a PPP agreement, they would have to sign MOUs that outline the roles of each stakeholder during such an initiative.
- The theory established that there are two main types of PPPs. Firstly, those focusing on infrastructure development and, secondly, those focusing on social development issues (see section 2.5 & 2.6). The respondents were conversant with these models and how such models could be applied in local government DRR. Regarding the BAAM initiative, the respondents indicated that the project fell within the ambit of PPPs for social development as it aimed to mobilise resources in order to assist the municipality to execute its DRR function with ease.
- The theory indicated that PPP success was dependent on it being aligned to good governance principles, that is, that it has to be a fair and open initiative for all the stakeholders to participate freely in a professional manner and where there is high level of accountability, in order to ensure that services are provided in an effective and efficient manner (see section 2.4). The respondents held the view that BAAM was a PPP that promoted accountability, participation, decency, transparency and efficiency.

- The DRR theoretical framework, together with the disaster management legislative framework, provides for multi-stakeholder participation in addressing DRR issues (see section 3.3). This means that all the sectors of society have to forge partnerships in order to assist municipalities to address DRR challenges. As such, the private sector is the sector of society whose resources can be utilised in order to assist municipalities to provide DRR services in a more efficient and effective manner. The conclusion from the research is that initiatives such as BAAM enhance multi-stakeholder participation in DRR.

6.2.2. Conclusion (s) regarding question (b) ‘Can PPP initiative such as BAAM assists in improving service delivery by government?’

- The conclusion from the discussion was that municipalities lacked the necessary capacity, in terms of budget and human capital, to address all the issues facing communities; therefore, PPPs were seen as ideal in order to help municipalities augment their capacity with that of the private sector (see section 5.2.1.1.2.).
- The BAAM initiative was seen as a means of furthering the involvement of the private sector in DRR, not only because private entities can help to improve efficiency in the way DRR service are offered, but also because this benefits them by ensuring that they have communities that are resilient and which participate in the economy, which in turn ensures that their businesses remains viable (see section 5.2.3.1.2).
- The discussion with the respondents confirmed that BAAM served as a mechanism that had the potential to improve service delivery within the terrain of DRR. This was confirmed by respondents indicating that their municipalities had improved in terms of the provision of services and had managed to reach remote communities that required DRR services (see section 5.2.3.1.7).

6.2.3. Conclusion(s) regarding question (c) ‘How can PPP be mainstreamed in DRR in order to improve service delivery by the government?’

- The South African Disaster Management Legislative Framework stipulates that municipalities have to establish disaster advisory forums in which the different sectors of communities (including business) can participate in order to formulate more inclusive and comprehensive disaster risk reduction endeavours. The conclusion from the findings was that the BAAM initiative had

laid clear institutional arrangements by establishing a steering committee in which private sector actors and municipalities were able to engage on DRR and put in place strategies to assist municipalities to implement DRR. The institutional arrangements therefore also aided the mainstreaming of PPP into the DM functions of the municipalities involved in the project.

- PPP initiatives were found to be an instrumental mechanism when it came to disaster recovery processes. The respondents were of the view that in the recovery processes the private sector was best positioned to help with the restoration of physical infrastructure and the social infrastructure necessary for the community to function again (see section 5.2.2).
- Furthermore, the respondents also confirmed that PPP can assist municipalities to effectively execute their DRR mandate when it comes to disaster mitigation processes. Private sector entities are seen as key stakeholders in ensuring that municipalities have resilient communities by providing the necessary capacity (skills and resources) required to help communities avert situations that might pose as hazards and lead to a disaster (see section 5.2.1.1.3).
- Another aspect that came out of the findings was the fact that forming PPPs for the purpose of disaster response will assist municipalities to respond to disasters, which will in turn ensure that the level of damage is decreased and that lives are saved in the aftermath of the disaster
- Furthermore, the theory outlined the possible synergy between PPP and disaster preparedness. The findings showed that the respondents were of the view that PPP could enhance disaster preparedness efforts by municipalities. The partnership between municipalities and private entities will assist in pulling resources together in a quest to put in place initiatives that will improve preparedness and enhance the ability to respond should a disaster strike (see 5.2.1.1.1).

6.2.4. Conclusion(s) regarding question (d) ‘What were the challenges and successes of BAAM in improving DRR functions across various municipalities?’

- One of the main successes that came out of the BAAM initiative was that municipalities were able to receive support in terms of physical resources that they did not have at their disposal and did not have adequate budget to procure on their own due to budgetary constraints.
- Another success of the BAAM initiative relates to the assistance provided in terms of skills development. Participating municipalities were able to have their officials enrolled in a capacity building programme that enhanced their disaster management and firefighting skills. The respondents were of the view that the training helped them to execute their functions more effectively.
- Another success was the fact that all the institutions laid a foundation for more partnership initiatives and can now use BAAM as a baseline in terms of how PPP initiatives are formed and how to lobby private sector entities to be strategic partners in PPP for DRR.
- The most common success of BAAM was its impact on the provision of services in that it helped municipalities to execute their DRR mandate in an effective and efficient manner.
- The main challenge that was raised in relation to the BAAM initiative was the lack of a comprehensive legislative framework to compel local governments to forge PPPs with the private sector. The findings also indicate that municipalities and institutions that serve to advise municipalities (SALGA and CoGTA) lack established institutional mechanisms (PPP units and PPP policies) that will enforce PPP initiatives (such as BAAM) and guide the implementation thereof.
- It was found that only the Treasury Department has an established unit and policy framework that guides all government institutions on embarking on the PPP initiatives. Therefore the current legislative framework does not give clear or only limited guidance to local governments on how to embark on PPP initiatives.
- The findings also indicate that some municipal officials did not participate fully in the BAAM initiative, which posed a challenge in the form of a lack of commitment, which led the private partners to nearly pull out of the project and therefore put the sustainability of the project at risk. In this regard, a lack of decency (which is the ability of stakeholders to act in a trustworthy manner) is a challenge and might possibly alienate private companies that intend to assist

the government to provide DRR services, as in the case of BAAM, where some of the officials did not show commitment to the initiative (see section 5.2.3.1.6).

- From the outcomes of the study, it was noted that the National Disaster Management Framework seeks to promote partnerships with the private sector when it comes to DRR issues; however, the requirements and forms of PPP that may be adopted by municipalities are not stipulated clearly.

6.2.5. Conclusion(s) regarding question (e) ‘Did the BAAM initiative contribute to municipal disaster management functions in addressing the skills and resource shortage?’

- The problem statement indicated that municipalities are faced with a huge challenge when it comes to the employment of people with the necessary DRR skills. This might be due to a lack of necessary resources to attract skilled personnel to work in municipalities, which at times do not even accumulate adequate revenue. In this regard, the study found that initiatives such as BAAM assisted municipalities by providing training to municipal officials to deal with DRR issues.
- Another aspect is the fact that municipalities indicated that funding challenges force municipalities to prioritise the allocation and utilisation of funds. This often means that DRR issues are underfunded when there is a number of competing social development issues. As such, the equipment provided by the private sector will compensate for funds that would have been spent and help the municipalities to use available funds to employ suitably qualified disaster management personnel.

6.3. Central theoretical statement

Municipalities are faced with huge challenges when it comes to the availability of resources and skills to execute their DRR mandate, as noted in chapter 1. In chapter 3 of the theoretical framework, it is noted that DRR is essentially a multi-stakeholder endeavour, while in chapter 2 it is noted that PPPs are a mechanism to improve government efficiency in the provision of service delivery. The conclusion and findings are in line with the theory, as outlined in Martin and Halachi (2012:190), that “the partnership between government and business brings about opportunities for the

utilisation of skills and abundant resources that are at the disposal of the private sector, and helps the government to adequately provide services in instances where government would have struggled to perform on its own”. Furthermore, there is a parallel between DRR theory, findings and the conclusions that DRR is a strategic mandate that needs collaboration from various societal sectors, as outlined in Dar et al. (2014:1814) that “DRR strategy implies developing mechanisms for cooperation between multiple stakeholders through the integration of public policy frameworks and continuous dialogue between all stakeholders to minimise society’s vulnerability to potential hazards”.

DRR is a very important legislative mandate that has to be performed by municipalities. However, the function is often severely underfunded and under-capacitated in the South African municipal context. Private entities have adequate skills and capacity at their disposal to aid government in addressing these DRR skills shortages and to provide the assets that might be required to best execute DRR functions. Therefore, it can be concluded that the central theoretical framework is aligned to the findings when it stipulates that municipalities, communities and the private sector all stand to benefit from PPP initiatives due to a combination of resources to address community issues. However, for a PPP to be a success at municipal level, it needs to be facilitated by an enabling legislative framework that will clearly outline roles in such partnerships and for government to play a leading role in the success of PPP initiatives in DRR.

6.4. Recommendations

The recommendations presented below are focused on two areas, mainly on how local government should execute PPP initiatives within DRR, as an outcome of the analysis and conclusion presented in chapters 5 and 6 respectively. Lastly, possible areas of future research into PPP and DRR are outlined.

6.4.1. Section one: recommendation as an outcome of the research

The following recommendations are presented on the basis of this study:

- Local governments should put in place a PPP and DRR-focused legislative and policy framework to regulate the implementation and mainstreaming of PPP in DRR.

- Municipalities should establish institutional capacity by establishing PPP units to ensure that PPPs are executed by line departments and find expression in municipal DRR.
- SALGA and CoGTA should establish a strategic framework that will be utilised to lobby municipalities to implement PPP and also attract private entities to engage in PPPs.
- Municipalities should mobilise private entities to play a role in DRR planning and the implementation of DRR strategies by inviting them to be strategic partners to serve in the municipal disaster advisory forums.
- Municipal officials need to execute their functions properly (conduct themselves within the Batho Pele charter) and professionally (by ensuring that they execute their responsibilities in a manner that will not compromise the municipality) when engaging in PPP initiatives in order to ensure that the private sector is not put off by a lack of commitment.
- Senior managers dealing with DRR should be evaluated with respect to forming PPPs in their performance reviews or on their scorecards.
- Municipalities, SALGA and CoGTA should use the Disaster Advisory Forum to engage organised business on the successes of BAAM in order to attract the interest of the private sector.

6.4.2. Section 2: Recommendation for future research

The following recommendations are proposed for future research:

- A study that will evaluate the establishment of a monitoring and evaluation framework that will be utilised at an institutional level to monitor the impact of the implementation of PPP initiatives in DRR.
- Perform research to determine the impact of not putting in place measures to attract partnerships from the private sector in relation to DRR.
- Conduct a study to determine the challenges that might cause the private sector to be hesitant about participating in PPP initiatives for DRR.
- Conduct a study on the long-term impact of forging PPP initiatives in relation to the four stages of disaster management (namely disaster preparedness, disaster response, and disaster recovery and disaster mitigation).

6.4.3. Overall conclusion

This paper began by outlining the problem statement which outline the challenges faced by municipalities in DRR, and the challenges related to participation of the private sector within the broader disaster management framework. It outlined the objectives that were to be investigated as a response to the questions the probes the role of the PPP and its role in DRR. As a starting point the paper, also provided the synopsis of the research methodology; and further, outlined the theoretical framework related to PPP. Furthermore, it also established the synergy between PPP and DRR, by looking at how PPP may contribute in the four phases of disaster management; namely, disaster preparedness, disaster response, disaster recovery, and disaster mitigation. A chapter was dedicated to an in-depth outline of the methodology that was adopted. Lastly, the findings were presented in line with the methodology adopted. The main findings pointed out to the fact that as much as disaster management legislative require multi-stakeholder approach to DRR, there has been reluctance from the private sector to participate in DRR; also the fact that institutions that are mandated with DRR lacks the necessary policy framework to lobby for full participation of the private sector in DRR. Furthermore, there was a consensus that private sector is a key stakeholder, with resources that can be augmented to those of government. Lastly, BAAM project provided a space for the private sector to participate fully in DRR and assist municipalities who may have lacked the necessary financial and infrastructure to fully execute DRR mandate.

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Appendix A: Letter to participating institutions

To whom it may concern.

Dear Sir/Madam

I trust you are well.

My name is Alex Madlala, I am the former Coordinator: Disaster Management at SALGA. I am currently conducting a study on the impact of PPP in Municipal Disaster Risk Reduction for academic purpose. As such, I am currently registered with the North West University for MA: Management and development in Disaster Studies. I have chosen BAAM as one of the case studies for my study, of which your institution has been a stakeholder in. I request for permission to conduct interviews with the officials who have been part of BAAM. The interviews are anticipated to take 45 minutes to 1 hour.

Attached for your perusal and confirmation, is the tittle registration document for the study that I intend to conduct. Kindly contact me at amadlala@icloud.com, should you wish for more clarity concerning the study.

Thank you in advance for your assistance.

Regards,

Alex Madlala

Appendix B: Interview schedule

What is your understanding of Private-Public Partnership?

Do you believe PPP can make a contribution to how government carries out its functions, mandates and activities? Please substantiate your answer

What Role can PPP play in the activity of DRR?

Does the Municipality have policies or legislative framework that provides implementation of PPP in Disaster Management?

What is the Business Adopt A Municipality initiative?

What is the strategic objectives/purpose of the BAAM?

Which area of Municipal Services has BAAM been implemented?

Does BAAM promote PPP?

Did BAAM promote accountability from stakeholders?

How did BAAM promote participation from deferent stakeholders?

How did BAAM promote decency from stakeholders?

Did BAAM enhance transparency from the stakeholders?

Which of the Sustainable Development PPP model BAAM represents? Please support you answer

- a. Resources mobilization partnerships
- b. Advocacy partnership
- c. Policy partnerships
- d. Operational partnerships

Has BAAM improved the way the Municipality Provide DRR service and what interventions were offered through BAAM?

What has been the impact of the BAAM initiative?

What were some of the challenges noted during the implementation of the BAAM initiative?

Do you think PPPs can improve the role of government during the disaster preparedness phase?

Do you think PPPs can improve the role of government during the response phase?

Do you think PPPs can improve the role of government during the recovery phase?

Do you think PPPs can improve the role of government during the disaster mitigation phase?

Kindly indicate if there is any existing or anticipated project where PPP can contribute in Preparedness Response, Recovery, and Mitigation.

Has BAAM contributed in skills development, project and resources, which will ensure sustainable contribution in the work of the municipality?

Do you feel BAAM enhanced the DRR principle of multi-stakeholders involvement?

How were multiple stakeholders managed through the BAAM initiative?