

Shaping African Sustainability:

Future-Fit Policy Governance Directions for South Africa

Prof Fanie Cloete
Department of Public Management & Governance
 University of Johannesburg
 E-mail : fcloete@uj.ac.za
 Homepage : <http://www.uj.ac.za/publicgov>

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Hypotheses

Currently emerging international paradigm shifts in PAM include:

- From a focus on governmental procedures (how: inputs and activities) to a focus on governmental products (what: outputs, impacts and outcomes).
- From simplistic views on public issues to the recognition of the inherent complexity of those issues.
- From top-down, one-size-fits-all blueprint implementation styles to bottom-up experimentations with what works best for whom, why and how in which contexts.
- From ad hoc opinion-based judgements to consistent evidence-informed ones after systematic evaluation.
- SA PAM must transform or become irrelevant.

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From Input & Activity Administration to the Governance of Outputs, Outcomes & Impacts

Development of discipline

- **Public Administration**
 - Internal procedural administrative function focus in govt (POSDCRB) - how
- **Public Management**
 - Internal procedural management focus (Leadership styles, projects, risk, performance, cost-benefit)- how
- **Public Governance**
 - External product & internal procedural foci (what – outputs, outcomes & impact, & how- inputs & activities)

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Table 5: New Public Management versus Public Governance

	New Public Management	Public Governance
Perspective	Micro. The focus of research is on business management techniques and tools	Micro, meso and macro perspectives are tackled. The focus is on public administration's capacity to steer complex social networks
Main focus of modernisation efforts	Delivery structures Management focus Incentives for efficiency Flexibility/autonomy Client/customer focus Specialisation Operational efficiency/ accountability Output focus Short-term focus Single-purpose agency Differentiated issues/programmes	Governance arrangements Policy focus Incentives for effectiveness Joined-up, whole-of-government perspective Citizens focus Integration, co-ordination (horizontal, vertical) Macro-efficiency / impact-accountability Outcome focus Longer-term focus Multi-purpose ministry Cross-cutting issues/programmes
Relationships external to public administration	Public-private and public-public competition Fragmentation and disaggregation of the public administration system	Public-public and public-private partnerships
Relationships internal to public administration	Separation between the political and the administrative/managerial level	A more realistic and complex interaction between politicians and administrators
Reference theories	Business management theories International literature	Political theories Mainly European literature
Source: Elaborated from Meneguzzo (1995); OECD/PUMA (2003); Peters and Pierre (1998); Stoker (1998); Kickert (1997b); Bovard and Löffler (2001); Jones et al (2004); Koorman and van Vliet (1993).		

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Table 6: Public governance perspectives

Perspectives	Definition of governance	Strategic steering role of public administration
Micro (each public administration)	Outward-oriented public management	Problem-solving and stakeholder-involvement capacities
Meso (distributed public governance)	Distributed public governance is concerned with the protection of the public interest in the increasingly wide variety of government organisational forms	This can be achieved externally, when authority is exercised by central organs of the state or other authorities which have responsibilities for control and supervision of public organisations; or internally, through the responsibility of the governing body and top management of each public organisation
Macro (State, market and civil society)	Global governance determined by the relationship of public administration with external actors (namely private, for and not for profit, firms, civil society and international institutions)	The steering role is aimed at achieving an appropriate combination of public, private and civil society participation, at achieving rule of law and safeguarding the constitutional allocation of power
Source: Elaboration based on Boronovi (2002); OECD/PUMA (2002); Meneguzzo (1995); Koorman and van Vliet (1993); Kettl (2000a).		

Governance (Australian PSC 2012)

- ‘...the set of responsibilities and practices, policies and procedures, exercised by an agency’s executive, to provide strategic direction, ensure objectives are achieved, manage risks and use resources responsibly and with accountability...’

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UNPAN (2003)

Box 1: Five Principles of Good Governance	
The Five Good Governance Principles	The UNDP Principles and related UNDP text on which they are based
1. Legitimacy and Voice	Participation – all men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their intention. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively. Consensus orientation – good governance mediates differing interests to reach a broad consensus on what is in the best interest of the group and, where possible, on policies and procedures.
2. Direction	Strategic vision – leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.
3. Performance	Responsiveness – institutions and processes try to serve all stakeholders. Effectiveness and efficiency – processes and institutions produce results that meet needs while making the best use of resources.
4. Accountability	Accountability – decision-makers in government, the private sector and civil society organizations are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organizations and whether the decision is internal or external. Transparency – transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.
5. Fairness	Equity – all men and women have opportunities to improve or maintain their well-being. Rule of Law – legal frameworks should be fair and enforced impartially, particularly the laws on human rights.

Good Governance Renukumar 2012)

Eight Characteristics of Good Governance – United Nations



Governance in Africa (UNPAN 2005)



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Governance & Good Governance (Cloete 1999)

Governance is the manner and the results of the interaction between a government and its society

Good Governance is “achieving the most appropriate developmental policy objectives to sustainably develop a society, by mobilising, applying and co-ordinating all available domestic & international resources in public, private and voluntary sectors in most effective, efficient and democratic way”.

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Good Governance goals

- **Impact goals:**
 - Empowerment
 - Development
 - Sustainability
 - Democracy
- **Outcome goals:**
 - Growth
 - Equity
 - Stability
 - Affordability
 - Legitimacy
 - Accountability
 - Professionalism
 - Representivity
 - Responsiveness
- **Process goals:**
 - Innovation/Creativity
 - Coordination
 - Competitiveness
 - Ethics, Integrity
 - Efficiency
 - Effectiveness
 - Flexibility
 - Participatory
 - Transparency
 - Evaluation
- **Input goals:**
 - Money
 - People
 - Supplies
 - Time

From simplistic linear thinking to holistic complexity approaches

Simple, complicated and complex
Various factors influence complexity, e.g. Focus of intervention

Simple	Single set of intended outcomes/impacts
Complicated	Different intended outcomes/impacts intended by different partners/ stakeholders Different intended outcomes/impacts at different levels
Complex	Emergent intended outcomes/impacts

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 (Rogers & Funnell 2011)

Simple, complicated and complex situations

Simple	Tested 'recipes' assure replicability Expertise is not needed
Complicated	Success requires high level of expertise in many specialized fields + coordination
Complex	Every situation is unique – previous success does not guarantee success Expertise can help but is not sufficient; relationships are key

Rogers & Funnell 2011

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Simple, complicated and complex strategies

Simple	Only way to achieve the intended impacts
Complicated	One of several ways to achieve the intended impacts – which can be identified in advance
Complex	One of several ways to achieve the intended impacts – which are only evident in retrospect

Rogers & Funnell 2011

How managers deal with complexity

'We already know that managers are not the rational beings presented in many managerial handbooks and that they try to avoid choices or act according to the circumstances. The complexity theory gives us a different image of the manager as someone who is trying to survive in the 'fitness landscape' that he is creating jointly with other agents, by slightly bending and changing the conditions and using the moments and possibilities perceived. This will, almost certainly, also provide us with different prescriptions for these managers..'

(Teisman & Klijn 2008:297)

Predictable vs unpredictable futures

Competing approaches to change:

- Fixed, known, predictable controlled, rational change (= conventional, deterministic linear, simple mechanistic systems thinking), vs
- uncontrolled, unknown and even unknowable futures that are perpetually under construction (= multiple, non-linear, organic cause-effect relationships in complex adaptive systems)

What Is Foresight?

- An emerging strategy by proactive public & private sector agencies to mobilize and consolidate resources for innovation
- A combination and application of futures studies, strategic planning & policy design (Vasques 2009)
- A consequence of recent explosive growth of knowledge-based economy, science & technology
- A more specific shaping and planning of the future & strategy development for specific processes and products to create a desired future
- A systematic preferred option implementation that normally follows on and entails the concretization of the results of the scenario-building process, but it can also be applied without such scenario planning process, although this not recommended

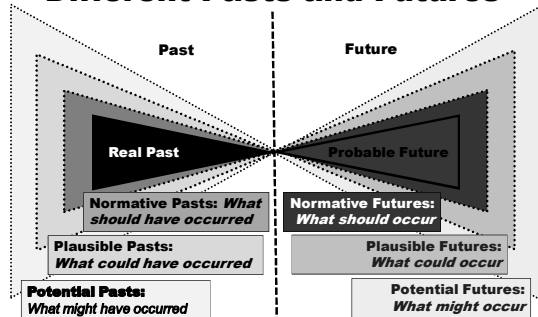
Futures Studies and Foresight

"Futures Studies consists of pondering possible, plausible, probable and preferable futures; foresight is about strategising how to navigate a course there in the face of uncertainty"

'Foresight' refers to processes of anticipation that identify opportunities and threats which may arise in mid- to long term versions of the future. As a way of thinking, foresight also encourages innovation, strategic evaluation and the proactive shaping of the future. Where traditional planning has sought to prevent failure, strategic foresight prioritises resilience, namely early detection and fast recovery. Forward-looking, adaptive and resilient policies allow public administrations to engage with and shape events to the best advantage of their citizens".

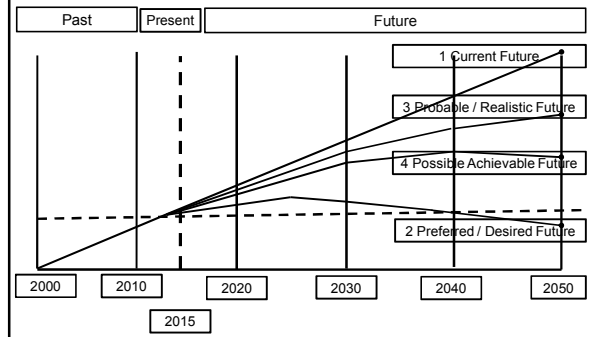
(UNDP Global Centre for Public Service Excellence 2014)

Different Pasts and Futures



(Adapted from Dunn)

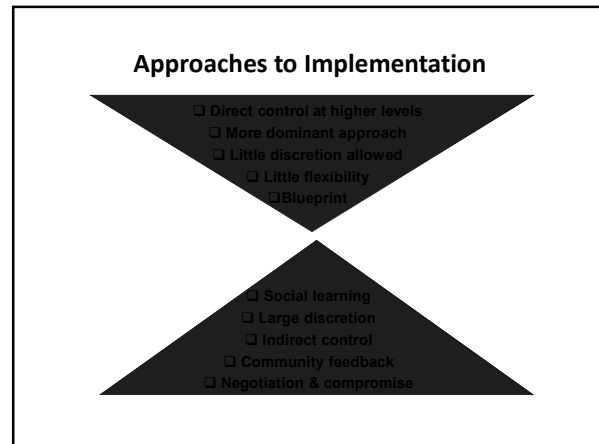
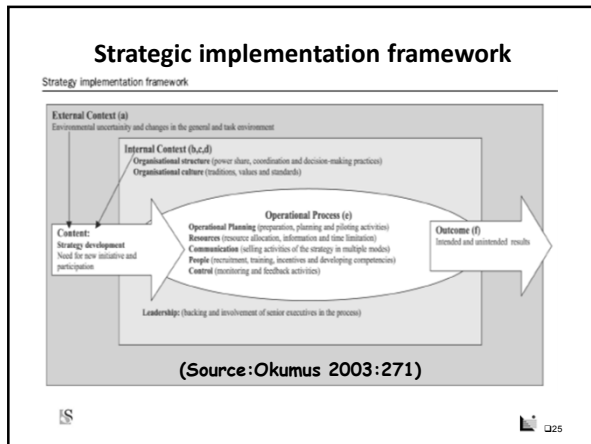
Trend extrapolation to alternative future scenarios for HIV/AIDS infections



SA & African Scenario Exercises

- 1986 Anglo American Wack/Sunter scenarios: High Rd, Low Rd, Cautionary Tale (Soviet Union).
- 1992 Nedbank/Old Mutual/Perm: Tucker & Scott: Business as Usual, Change of Gears.
- 1992 Mont Fleur scenarios: Ostrich, Lame Duck, Icarus, Flight of the Flamingoes.
- 2002 SA Presidency Four Roads scenarios: S'gudi S'nais: He Who Benz the Rules, Rules the road, Dulisanang: We're all in this together, Skedonk: It goes, but only just, Shosholoza: On the fast track.
- 2008 SA Presidency: The Future We Chose: Not yet Uhuru, Nkalakatha (self-confidence), Muvhango (battling).
- 2009 Nedbank/Old Mutual Dinokeng scenarios: Walk Apart, Walk behind, Walk together.
- 2011 ISS African scenarios: Opportunities Lost, Politics of the Belly, Arrested Development, African Renaissance.
- 2013 ISS SA scenarios: Bafana Bafana, Madiba Magic, A Nation Divided.
- 2014 SAIRR scenarios: Rocky Rd, Wide Rd, Toll Rd, New Rd.

***From ad hoc opinion-
informed to systematic
evidence-informed
assessments***



Evidence-based policy assessment 1

- Evidence-based analysis largely theory before info revolution
- Info society enabled effective evidence-based assessments
- = *approach that helps people make well informed decisions about policies, programmes and projects by putting the best available evidence at the heart of policy development and implementation* (Segone 2008: 27)
- = not opinion-based policy practice, which relies heavily on either the selective use of evidence (e.g. on single studies irrespective of quality) or on the untested views of individuals or groups, often inspired by ideological standpoints, prejudices, or speculative conjecture (Segone 2008:27).

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Evidence-based policy assessment 2

Currently shift noticeable from opinion-based to evidence-influenced approaches, because of:

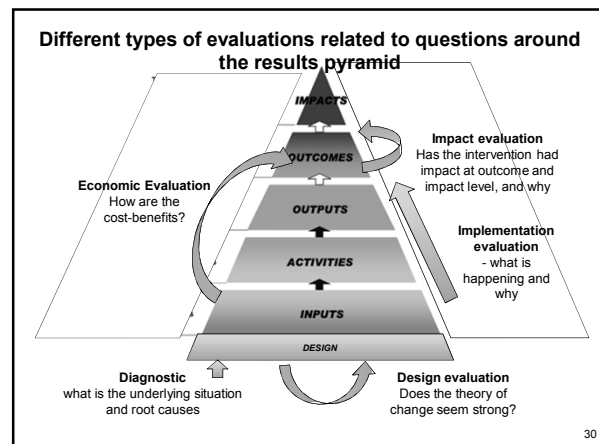
- *unclear objectives;*
- *poor design;*
- *methodological weaknesses;*
- *Inadequate statistical reporting and analysis;*
- *selective use of data; and,*
- *conclusions which are not supported by the data provided*

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M&E as higher order management function

- M&E = not an isolated activity
- M&E = integral part of good policy management process
- M&E = an applied research and planning function needed to ensure goals are achieved.
- It is a higher order management function that compiles evidence of progress towards goal achievement and interprets the data to determine the extent of change
- Evaluation provides information on the following management dimensions:
 - Strategy – are the right things being done? (Rationale or justification)
 - Operations – are things being done right? (Effectiveness, efficiency, customer satisfaction)
 - Learning – are there better ways to maximise the potential for success? (Alternatives, best practices, lessons learned)

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Governance for Sustainability in SA

The outcomes approach (Ntakumba, 2011)

Problem:

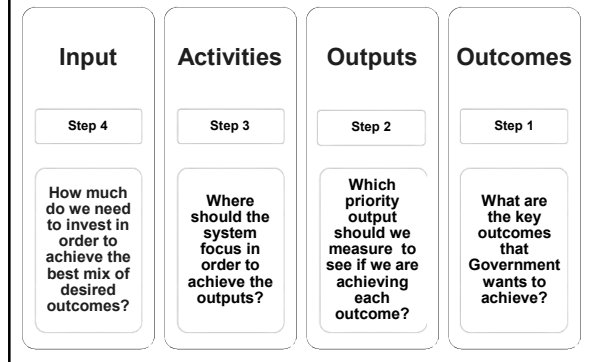
There has been inadequate attention to the achievement of outcomes and impacts in the key priority areas. Outcome indicators in areas such as education and health have generally not improved in line with increases in expenditure.

Policy: "Improving Government Performance: Our Approach, 2009"

- Performance Agreements between President and Ministers
- Introduced inter-departmental and inter-governmental Delivery Agreements (plans) linked to the 12 key outcomes
- Theory of change and results matrix with key targets, baselines, indicators, milestones, stakeholder responsibilities - reported via the new POA system
- Implementation Forums monitor the implementation of the Delivery Agreements and unblock blockages
- DPME facilitates the monitoring process and Cabinet reporting plus POA system
- National Treasury guidelines for strategic plans indicate that departments' strategic plans and Annual Performance Plans must reflect commitments to the Delivery Agreements and are reported to Parliament and also audited

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The SA Outcomes Methodology



14 Strategic Governance Outcomes for SA

1. BASIC EDUCATION: Improved quality basic education
2. HEALTH: A long and healthy life for all South Africans
3. SAFETY: All people in South Africa are and feel safe
4. EMPLOYMENT: Decent employment through inclusive economic growth
5. SKILLS: Skilled and capable workforce to support an inclusive growth path
6. ECONOMIC INFRASTRUCTURE: An efficient, competitive and responsive economic infrastructure network
7. RURAL DEVELOPMENT: Vibrant, equitable, sustainable rural communities contributing towards food security for all
8. INTEGRATED HUMAN SETTLEMENTS: Sustainable human settlements and improved quality of household life
9. LOCAL GOVERNMENT: Responsive, accountable, effective and efficient Local Government system
10. ENVIRONMENT: Protect and enhance our environmental assets and natural resources
11. INTERNAL AND EXTERNAL RELATIONS: Create a better South Africa, a better Africa and a better world
12. PUBLIC SERVICE: An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship
13. SOCIAL SECURITY: A comprehensive, responsive and sustainable social protection system
14. COHESIVE SOCIETY: A diverse, socially cohesive society with a common national identity

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Ministerial Service Delivery Agreements

- 1 For each of 14 outcomes
- 2 Main & supporting stakeholders
- 3 Management not punitive tool
- 4 Based on negotiations for outcomes
- 5 Summarise problem, outcome, outputs, activities, indicators, baselines, targets
- 6 Risks, constraints & mitigation strategies
- 7 Implementation monitored by Implementation Forum
- 8 Governance & reporting arrangements
- 9 Underlying ToC implicit
- 10 Little focus on innovation and experimentation
- 11 Holistic complexity approaches insufficient

Conclusions

Towards International Future-Fit Governance for Sustainability

- **Fast expanding consolidation of Governance focus** (International Organisations & Practices)
- **Fast expanding Evaluation focus** (AEA: Fitzpatrick – MPA, Denver, Newcomer - GWU)
- **Dedicated focus on Critical Innovative Thinking & Experimentation** (MQP)
- **Dedicated focus on Holistic Problem Resolution** (Rogers, MPA-Melbourne)
- **Dedicated focus on Sustainability** (SDGs)

Towards Future-Fit Governance for Sustainability in SA?

- **Consolidation of Governance focus?** (DPME)
- **Emerging Evaluation focus** (DPME)
- **Emerging focus on Critical Innovative Thinking & Experimentation** (DST?)
- **Theoretical focus on Holistic Problem Resolution** (NDP?)
- **Insufficient focus on Sustainability** (NFSD)
- Possible Mt Grace 3 Initiative?

In closing..

- If SA PAM scholars & practitioners do not learn lessons from international good practices, we will just become more irrelevant.
- I trust that these few brainstorming ideas from the perspective of contemporary policy governance trends and practices might stimulate innovative, critical experimentation with more sustainable future public sector impact scenarios in SA.
- I will share more thoughts later on the latest practices of trying to measure sustainability in Africa.