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Contents

Editorial	1
<i>N Holtzhausen</i>	
Public accountability	6
A professional basis for the South African public service	
<i>P N Mfene</i>	
“Open toilet politics” in South Africa	24
A quantitative study of Doornkop – Mpumalanga	
<i>B R Hanyane and R P Motsoeneng</i>	
Ascertaining South Africa’s public service senior management competence domains from a developmental state landscape	47
<i>C H de Wet and G van der Waldt</i>	
Justifying administrative action for reasonableness	69
A quest for accountable public administration	
<i>D J Brynard</i>	
A theoretical understanding of student engagement in curriculum review and development	84
<i>H G van Dijk</i>	
A Normative Approach to Organisational Performance Management (OPM) in municipalities	102
<i>F M Uys and F Jessa</i>	
Use of scorecards in measuring the governance of public special schools	127
<i>P T Jonas and K Müller</i>	
The trajectory of economic development policies in South Africa	142
The case for public policy analysis	
<i>S B Koma</i>	

Editorial

N Holtzhausen

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On 12 April 1999 Elie Wiesel, in a speech on the perils of indifference, wrote: “What is indifference? Etymologically, the word means ‘no difference’. A strange and unnatural state in which the lines blur between light and darkness, dusk and dawn, crime and punishment, cruelty and compassion, good and evil. What are the courses and inescapable consequences? Is it a philosophy? Is there a philosophy of indifference conceivable?” Thinking of violent protests on a number of issues ranging from services not being delivered to salary negotiations, a lack of accountability, and public sector managers passing the so-called buck, one cannot help but wonder if society has become indifferent. Indifferent to the needs of those that government must serve; indifferent to the needs of fellow citizens; indifferent to what governance truly entails.

In the first issue of 2013, two of the articles that focus on accountability are featured. The first argues for professionalism and the other for reasonableness. Service delivery in Doornkop and competencies required of senior managers are examined in this issue. The article on student engagement implores academics to revisit the way in which Public Administration is taught. In an article on Organisational Performance Management, guidelines for the management of municipalities are provided, and in another article issues on school governance are elaborated on. Two of the articles contained in this issue were part of the 2012 Emerging Researchers Workshop held before the annual ASSADPAM conference in Durban: the article by Hanyane and Motsoeneng, and also the one by De Wet and Van der Walldt.

In her article “**Public accountability: a professional basis for the South African public service**”, Nompandolo Mfene suggests that when the members of the public are demanding accountability from the public service, this should compel public officials to carry out their work in a professional manner. Furthermore, public officials should be obligated to perform their duties responsibly. In this way, professionalism could become a device for improving public accountability instead of being a tool for controlling the public (Mfene 2013).

Barry Hanyane and Paul Motsoeneng investigate “**Open toilet politics’ in South Africa: A quantitative study of Doornkop – Mpumalanga**”. The value of

public participation at local government is not limited to governance value, but also to facilitate and promote accessible service delivery in the local government sphere. If democracy is the goal to achieve, then the state and society must strive towards establishing democratic systems and institutions (Draai and Taylor in Hanyane and Motsoeneng 2013). In providing proper sanitation and infrastructure, municipalities must ensure that basic concerns such as availability of sanitation services are attended to. Access to such sanitation services is offered and users may choose from a plethora of sanitation options (Otieno in Hanyane and Motsoeneng 2013). This article is aligned to the thinking that there is evidence to prove that the economic success of third world countries should be promoted through effective developmental state practices, and it argues this viewpoint. Such practices include good governance; accountable, efficient local government and a free market economy. Existence of these conditions is critical for the provision of sustainable services such as water and sanitation.

In the article **“Ascertaining South Africa’s public service senior management competence domains from a developmental state landscape”**, Christa de Wet and Gerrit van der Walldt explore a number of scholarly contributions in defining the disposition, the rewards, contributions and landscape enclosed within a developmental state. The focus of this article is on clustering competence contributors and competence domains that are inherent to the developmental state landscape. The fact that South Africa has adopted both democratic and developmental forms of state in less than 20 years has a significant impact on both the organisational arrangement of the Public Service as well as the requirements of a competent public service. The article triangulates clustered competence contributors and competence domains, obtained from an extensive literature study conducted on six developmental states (Japan, South Korea, China, Indonesia, Botswana and the Republic of India), against data gathered from a focus group session with senior public managers and a competency framework that currently acts as litmus test of their competence. This article highlights five domains for inclusion into the public services’ senior management competency framework which would strengthen and enable senior management to manage and lead effectively, efficiently, economically, and with accountability (De Wet and Van der Walldt 2013).

Dirk Brynard explains the practical functioning of the standard of reasonableness in administrative action and decision-making by means of an interpretation and analysis of relevant legislation and judicial decisions in his article **“Justifying administrative action for reasonableness: a quest for accountable public administration”**. Accountability, in the constitutional sense, means that public officials must explain the way in which they have exercised their authority. They must be able to justify their decisions in terms of the rationality standard of reasonableness. The article suggests a logical flow and

build up in the understanding of reasonableness. It explains reasonableness as a concept which begins with rationality as the minimum threshold, then moves on to proportionality as a means to achieve a particular purpose which is proportional or in balance, and ends with the wider concept of reasonableness in its contextual format, which is a value judgement on what the best approach in a particular context would be (Brynard 2013).

Gerda van Dijk poses the question that every academic teaching in a higher education institution should ask: whether education is an investment or an end? The answer to the question highlights the difference between institutional success and student engagement as part of institutional success. In the article **“A theoretical understanding of student engagement in curriculum review and development”** it is argued that what Public Administration students should know should be guided by the manner in which (thus how) they learn. The article focuses on student engagement as an important consideration during the process of curriculum review and development. The argument supported throughout the article is that since higher education should consider and reflect the needs of its society, it stands to reason that the student should be an active collaborator in determining what is taught as well as how it is taught (Van Dijk 2013).

Frederik Uys and Fakier Jessa provide an overview on Organisational Performance Management (OPM) in municipalities in South Africa. The study was undertaken for the purpose of developing a perspective on the importance of its function and to argue for its inclusion in the management system of a municipality. The article emphasises the interrelationships between four themes, namely the objectives, capacity, resources and the type(s) of performance measuring instrument(s) a municipality should employ. The article, **“A Normative Approach to Organisational Performance Management (OPM) in municipalities”**, suggests a list of strategies under each of the themes of OPM in order to facilitate the operation thereof. There is no doubt that, with the proper functioning of OPM, many of the municipalities’ managerial challenges would be addressed in a more thorough and scientific way (Uys and Fakier 2013).

In the article **“Use of scorecards in measuring the governance of public special schools”**, Partick Jonas and Kobus Müller designed a measurement instrument to address the effective monitoring and evaluation gap in the management of public schools. This is in the form of a balanced scorecard based on Kaplan and Norton (1996), but developed specifically for measuring the public, educational and non-profit sector. The four perspectives used in the balanced scorecard are the stakeholders (satisfaction), managers (internal processes), employees (innovation and learning) and funders (financial results). All strategies and objectives for the scorecard are aligned with the school vision and mission strategy, in order to support overall school governance success (Jonas and Müller 2013).

Sam Koma states that in order for LED policy objectives to be realised, it is imperative for macroeconomic fundamentals to be in place, notably—amongst others—strategies to curb inflation and unemployment. In his article “**The trajectory of economic development policies in South Africa: the case for public policy analysis**”, he examines the major policy shifts pursued by the democratically elected government since the transition to democracy in 1994 to the present, with a view to addressing the economic crisis manifesting itself through slowed economic growth, high unemployment and poverty. Plausible strategies to achieve economic growth, employment creation and poverty alleviation are also clarified.

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Public accountability

A professional basis for the South African public service

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ABSTRACT

The introduction of a non-racial democratic dispensation has led to the integration of different administrations. These consisted of administrations from the former Republic of South Africa, the homelands and the independent states. The post-apartheid constitutional dispensation requires that the public service reflect the diversity of the South African population and workforce; and administrative arrangements had to be sensitive to this state of affairs. Subsequently, legislation was promulgated to transform the public service. One of the objectives of this exercise was to ensure that the public service was efficient and in line with all the basic tenets of democracy.

Public accountability is the cornerstone of democracy; thus the extent to which the public service exercises accountability is crucial. Furthermore, it must be accomplished without compromising professionalism. This article suggests that the necessary professionalism can be achieved in the public service by increasing public accountability.

INTRODUCTION

The introduction of democracy in South Africa has highlighted the need for change in all sectors of society. Such change needs to be based on the new constitutional dispensation, the principles of which are spelt out in the 1993 and 1996 Constitutions of the Republic of South Africa.

After eighteen years of democracy, South Africa is still grappling with ways to improve the quality of the public service and its services to the public. The fact that members of the public include taxpayers, whose money is used to fund the activities of government and the electorate, whose majority is from disadvantaged groups, increases the need for public accountability on the part of government.

Fox (2010:141) states that public accountability is the obligation resting on public functionaries to act in the public interest – and according to their conscience – with solutions for all matters based on professionalism and participation. This critical issue, as presented by Fox, is explained by Sarker and Hassan (2010:1). These authors maintain that while there are many factors responsible for poor performance, the lack of public accountability should be considered a major one. Siddiquee (2006:54) contends that government can promote accountability by enhancing professionalism and ethics among public officials. Holtzhausen (2010:263) suggests that political office-bearers and senior public officials' actions, attitudes, behavioural patterns and decisions should be rational, in order to be accountable.

Sections 195(1)(a) and (f) of the *Constitution of the Republic of South Africa*, 1996 provides for the democratic values and principles that must govern public administration, namely: professional ethics and accountability. Dorasamy (2010:57) attributes the notion of not personifying public service values to the lack of accountability for promoting quality public services. It has been suggested, that by placing greater accountability on adhering to rules and procedures instead of focusing on quality public services, effectiveness and efficiency in the South African public service have thereby been affected.

This article suggests that when the members of the public are demanding accountability from the public service, this should compel the public officials to carry out their work in a professional manner. Furthermore, the public officials should be obligated to perform their duties responsibly. In this way, professionalism could become a device for improving public accountability – instead of being a tool for controlling the public. It could also be used, thereby, to strengthen democracy.

ACCOUNTABILITY IN THE PUBLIC SERVICE

Starling (1998:164) contended that a synonym for accountability is answerability. An organisation must be answerable to someone or something beyond itself. When for example activities go wrong, someone must be held responsible. Jacobs and Shapiro (2000:326) share this view and note that accountability requires that voters assign responsibility to those in power whom they consider to be responsible for faulty policy decisions or conditions.

Negash (2005:2) relates the concept of accountability to the universality of human action, irrespective of whether one is working in the context of modern institutions or in so-called primitive societies. The State should be accountable to the citizens for whose welfare it is responsible. It should act in the interests of the nation as a whole, and not for the benefit of a small minority that happens to be in control (Randall and Theobald 1998:197). To avoid a situation where a decision would be made by a minority on behalf of the majority, citizens should be able to participate in decision-making in the public service, in order to increase participatory democracy.

Smit and Oosthuizen (2011:60) regard participatory democracy as a form of direct democracy that enables all members of society to participate in decision-making processes within institutions, organisations, societal and governmental structures. Smit and Oosthuizen (2011:69) point out that democratic values and attitudes, such as respect for human dignity, the achievement of equality, the advancement of freedoms, tolerance, responsiveness and accountability, cannot be instilled by simply enforcing policies, but they need to be demonstrated by examples.

It can be deduced that accountability occurs when one is answerable and responsible for actions. The current state of affairs in South Africa is indicative of a scenario where the members of the public regard high-ranking public officials as accountable for their actions. In order to sustain the notion of democracy, those elected to such positions need to be honest, fair, equal, responsive and accountable for the management of goods and services to improve the lives of people. However, this happens in various ways.

Sinclair, in Negash (2005:2), identifies five types of accountability. These are: political accountability, managerial accountability (responsibility, efficiency and effectiveness), public accountability (service to the electorate), professional accountability (code of ethics) and personal accountability (responsibility within the values system).

These various forms of accountability can be exercised both externally and internally within an institution. Baune, Goud-Williams, Law and Walker (2002:693,695) explain external accountability as that which occurs when public institutions give account to and are held to account by external individuals. Internal accountability concerns the relationship between superiors and subordinates within an organisation.

Therefore, internal accountability, which also involves accountability for applying rules in the hierarchy (bureaucracy), comprises managerial, professional and personal accountabilities. External accountability consists of political and public accountabilities. In addition to external and internal accountability, Cole (2006:98) distinguishes between vertical, horizontal and downward accountability. Vertical accountability incorporates the traditional

and hierarchical concept of ministerial responsibility. Horizontal accountability involves responsibility to peer groups. Downward accountability concerns responsiveness to customers or users, and can be enforced through statutory obligations to consult service users or clients.

In keeping with Moyo's (1992:118) view that politics and bureaucracy are devices for assuring administrative responsibility and accountability to the public as a whole, only two types of accountability will be reviewed in this article. These are public accountability (external) and bureaucratic accountability (internal), which will be looked at in the following paragraphs – with the intention of exploring ways in which professionalism can be enhanced – to promote public accountability.

Public accountability and bureaucratic accountability are conceptualised in the following paragraphs.

Public accountability

Public accountability includes the public responsibility of the legislative, judicial and executive authorities, with regard to service delivery and conduct, which is in the public interest (Van der Waldt and Du Toit 1999:42). Massey (1993:63) argued that when a call for public accountability is made, the search for efficiency should expose constraints, which are imposed on Parliament, and the expectations of the public that Parliament should be able to account, *ex post facto*, fully and in detail for its expenditure and all its actions.

Subsequently, Du Toit, Knipe, Van Niekerk, Van der Waldt and Doyle (2002:285) mention that Parliament has been rendered accountable to the public by means of a number of steps – to make it more accessible. The question often arises whether every citizen would be in a position to demand accountability from Parliament? There are members of the public who are apathetic about the existence and actions of the government, as long as their needs and interests are addressed. Hence, Massey (1993:36) noted that in the worst cases, public accountability is meaningful only to the privileged; while in the best cases, attempts are made to widen accessibility. However, Chapman (2000:135) highlights the fact that accountability is not a question of serving the majority's interests. It has ethical, legal and political interests that go beyond those of the majority. Hence, many authors regard public accountability as a complex and complicated concept to define.

Bureaucratic accountability

Lawton and Rose (1991:19) referred to bureaucratic accountability as the managerial accountability, which is also concerned with internal processes

and issues, such as cost-effectiveness, efficiency, budgetary control, monitoring performance and effectiveness. Du Toit, Van der Waldt, Bayat and Cheminais (1998:114) had a different view, and maintained that this form of accountability exists as a hierarchical relationship within an organisation. This also implies that politicians, such as the ministers in the South African Government and their superiors can demand accountability from the subordinates in their respective departments.

Consequently, this form of accountability is official in nature. It occurs within organisations, in such a manner that senior public officials can demand accountability from their subordinates, who in turn render account to their superordinate.

PROFESSIONALISM IN THE PUBLIC SERVICE

Professionalism refers to the qualities, or typical features of a profession, or of a professional, especially the qualities of competence, skills and ethical conduct (Gildenhuis 2004:292). There are a number of professional associations in the public service in South Africa, many of which utilise professional standards as a means to control standards (Fitzgerald, McLennan and Munslow 1997:119). Evetts (2011:409) regards professions as ways and means of organising work and workers, different work relations. The well-known professions include medical, legal, teaching, accounting, and psychology. All these professions, except for the teaching profession, have professional bodies where members have to register and enrol in these bodies, in order to become members. Olaopo (2011:6) says that the professionalisation of public administration is characterised by an adherence to the merit system, task specialisation, systems of checks and balances, and organisational values of efficiency, economy and effectiveness, which can only be achieved through political neutrality. Hence, Van der Waldt and Du Toit (1999:53) referred to professionalism as the way in which public managers and their subordinate officials behave, and also to the fact that this conduct is evaluated according to standards unique to the activities of public managers.

This description is in keeping with Confucianism. Stevenson (2005:102) describes Confucius as a Chinese philosopher, who was concerned with the corruption in government. According to Hennig (2010:3), professionalism is a virtue which corresponds with the Confucian virtues of modesty and sincerity. Therefore, professionalism manifests itself in good government by way of courteous, caring, honest and committed public officials – who in turn have to account for their actions.

Professionalism can be conceptualised both as an occupational value, and as a discourse, or simply as organisational professionalism (Evetts 2011:407). Evetts (2011:409) analyses professionalism as an occupational value where professionals emphasise a shared identity based on competencies which are produced by education, training and apprenticeship socialisation. Professional values are also guaranteed by licensing. Professional relations are characterised as collegial, cooperative and mutually supportive; and relations of trust characterise all practitioner-client and practitioner-employee interactions. Shirley and Padgett (2004:37) state that to the occupational group, professionalism serves to promote confidence and authority, to identify some problems as important and others not, and to foster solidarity with other members – in order to promote their common interests and to suppress the differences between various sub-groups.

When directed toward the public, Shirley and Padgett (2010:37) maintain that the discourse is intended to foster trust in both the process and outcomes of treatment. It reassures clients that practitioners are qualified; their advice is reliable and true; and their services are necessary. In addition, Tunde and Omobolaji (2009:12) claim that professionalism is an overarching value that determines how the activities of the public service should be carried out. It encompasses other values, such as loyalty, neutrality, transparency, diligence, effectiveness, and impartiality.

Therefore, cordial relations among the members of the public service should determine the manner in which they relate to the public they serve. Thus, reciprocal trust between members of the public service and the public would be established. This would create grounds for the members of the public service to give account of their actions to the public, who can, in turn, demand accountability when they are not satisfied with the service they receive from the public service.

Mafunisa (2008:83) states that some of the most common ethical dilemmas facing public officials relate to aspects, such as administrative discretion, corruption, nepotism, conformity, administrative secrecy, information leaks, values, impartiality, professional ethics, fairness, public accountability, policy dilemmas, the relationship between appointed officials and the elected political office bearers, the influence of pressure groups on the ethical conduct of public employees, the political activities of appointed public employees, and public interest in the behaviour of public employees.

PROBLEMS IN ENSURING PUBLIC ACCOUNTABILITY

Public accountability may be a difficult function in the public service, as the goals to be attained may be intangible and difficult to measure for purposes

of control (Hanekom and Thornhill 1983:184). Most goals and objectives in the public sector are based on values, which make it difficult to quantify and qualify.

A few problems may be encountered in ensuring public accountability in the public service. These are:

Lack of techniques to assess the performance of public officials

Communities receive goods and services from the public service, but there are unfortunately no means whereby they can assess the performance of public officials, or to exercise control over government processes, especially where the government is not transparent on such issues.

According to Heywood (1997:375), accountability may also be regarded as a weak form of responsibility, because it establishes a duty to answer and explain, but not necessarily to bear guilt and accept punishment. This state of affairs may create a situation where public officials and political representatives could always justify their wrongdoings, and be defensive when they are called to give account to the public.

Insufficient public and government interaction

Other direct forms of accountability – such as the relationship between parliamentary representatives with their constituents, or with the media, and contact with professional groups – remain weak. This is because of low levels of political participation and activity on the part of the citizens. There is also a lack of political influence and professionalism in the media, and the absence of sufficiently well-organised interest groups (Verheijen and Coombes 1998:213).

The users and consumers of public goods and services cannot exercise their powers; and they are often powerless in the face of the institution, whose services they are using (Flynn 1993:198). More often than not, what makes the users and consumers of public goods powerless is being unaware of government activities and their accompanying responsibilities. Hence, it is crucial that there should be interaction between government and the public.

However, the officials of the public service should always consider their professional ethos when interacting with the public.

Low levels of public participation

Public participation is one of the cornerstones of democracy. The public disown the decisions and the programmes of the government if they are not involved in the decision-making processes, or in the planning stage. Consequently, they

can develop 'apathy' towards the public sector. This would inevitably lead to corruption, irresponsibility and inefficiency on the part of public officials, knowing that the public will not hold them accountable for any of their actions.

Caiden (1991:281) argued that in most cases the collapse of public accountability can be attributed to incompetent political overseers, corrupt officials, an authoritarian administrative ethos, bureaucratic inertia, and anonymity when dealing directly with the public. He also identified the unconstitutional government, secret government, special-interest government, bureaucratic government, collaborative government, discretionary government, contracted government, professional government and, privileged government, as comprising inflexible problems in ensuring public accountability.

Deficiencies in the accountability system

Deficiencies in the accountability system can have serious consequences; and they can cause governments and parliaments to lose legitimacy (Verheijen and Coombes 1998:213). The South African system of accountability is based on the Westminster system of ministerial responsibility, where the ministers are responsible to the public through Parliament for the actions of their departments, and individually to Parliament for their acts and omissions. But ministers are often ignorant of what is actually happening, as well as of what is supposed to be happening, in their departments. They often rely on the appointed officials (who are experts in their respective fields) for information in their departments (Cloete and Mokgoro 1995:9).

Consequently, the minister would not be able to account for the actions of his/her department, if the public officials are unable to provide sufficient and necessary information. Nevertheless, ministers as political leaders of their respective departments, should, according to Giliomee and Schlemmer (1990:208), have a broad support base, interact with the masses, and thus ensure accountability.

Ambiguous policies

The role of policies in any organisation is of importance. Policies are a means whereby the government can address the needs of the community, institutional problems and achieve its goals and objectives. There are various policies that have been formulated by the South African government since the democratic elections in 1994, in an attempt to give effect to service delivery. This state of affairs has resulted in a situation where public officials are expected to implement a range of policies, whence a number of directives, rules and regulations may be developed. If a policy is ambiguous in its formulation, the

public officials will experience difficulties in translating the contents of such a policy into practice.

The accountability problem is experienced in situations where, according to Cloete and Mokgoro (1995:11), publishing bills in the *Government Gazette* during policy formulation is a weakness, because this exercise does not ensure that those involved will be able to influence the substance of the policy decisions. Given this situation, the question that arises is: If the citizens are unable to influence policy decisions, how can they demand accountability from the officials for something of which they are unaware?

Despite these problems, the public service has to be accountable for all its actions. This would definitely increase its professionalism. Hennig (2010:3) argues that professionalism implies practical qualities, such as communication skills, in addition to psychological qualities, like empathy. Hence, the chances of promoting professionalism are prevalent when the public officials give account to the citizens, since account can only be given by means of communication.

The Professionalisation of the public service

Accountability in the public service is important because there are various aspects of administrative work that are open to corruption and subversion of the public interest. At the same time, there are aspects of professionalism (such as ethics) that make it difficult to attain an acceptable level of accountability (United Nations Secretariat 1997:7). The particularism and separatism inherent in the specialisation and competence of a profession increase the difficulty of coordination of government functions. At times, professionalisation tends to weaken local control and public participation in certain government functions (Willbern 1954:19).

The problem is prevalent when the members of a profession pay allegiance to their professional values, principles and rules, but disregard the interests of the public. For example, in the legal fraternity, courts would take a long time to take a decision on a corruption case because such a decision would have to follow the legal process.

In the following paragraphs, mechanisms for ensuring public accountability through professionalism will be dealt with.

MECHANISMS FOR ENSURING PUBLIC ACCOUNTABILITY THROUGH PROFESSIONALISM IN THE PUBLIC SERVICE

The quest for professionalism and accountability is highly competitive and individualistic, but it is also a bureaucratic means of regaining and exercising

control by professionals (Evetts 2011:412). Accountability mechanisms always operate after the fact: exposing actions to view, judging and sanctioning them (Grant and Keohane 2005:30). However, there are various reasons that render public accountability as not just important, but also as crucial, for good governance, and as a demonstration of professionalism in a democratic state. For the purposes of this article, the following aspects will be explored namely: strengthening democratic values, assuring provision of goods and services, counteracting the facelessness of the public service, and assuring efficiency and effectiveness.

Strengthening democratic values

The public service values include the acceptance of democratic values, and therefore the legitimacy of elected officials, with a corresponding decrease in individual autonomy as a value (Sherwood 1997:213). According to Kakumba and Fourie (2007:652), public accountability arises from the democratic traditions of a given country. Jabbra and Dwivendi (1989:19) contended that accountability is absent when the community does not know who is accountable. Sarker and Hasssan (2010:2) maintain that the essence of democracy cannot be realised without the accountability of public officials.

Reddy (1992:91) perceived accountability as being linked to democracy, with its corresponding rights, and the mutual obligations of citizens and governments. According to Reddy (1992:91), democracy requires accountability to all citizens. It requires that facts about the government should be declared openly. An open debate about these facts should be allowed between the citizens and their elected representatives.

The notion is that public accountability is an important part of a democratic system, as it averts public service corruption and extravagance (Greer 1994:81). Subsequently, those who are tasked to execute functions of the government should do so responsibly, with the fear that they will be called by both their superiors and the public, to give account of their actions. It may sometimes be difficult for the members of the public to demand accountability from the public officials in certain specialised and technical functional areas in the public service, as they may lack understanding of how these functional areas operate.

Hence, Hughes (1998:225) wrote that: "Accountability is fundamental to a democratic system. Any acts of the government should, in the final analysis, be taken by the citizens themselves through their elected representatives". Accountability to the community is not only based on the values of efficiency and productivity, but also on the universally recognised values of human rights (Moyo 1992:9).

The South African government is currently engaged in dialogue and direct interaction with the public through the *Imbizo* forum, which gives effect to the notion of participatory democracy. Nzimakwe (2010:507) asserts that public engagement contributes to a transparent and accountable way of decision-making. He identifies communication, consultation and co-production as forms of public engagement. It is therefore during this interaction that the government highlights its programme of action, soliciting public input on how best to tackle the challenges with which it is faced. Nzimakwe highlights engagement through communication as a way of communication that provides people with the means to access services and engage in an informed dialogue.

Engagement through consultation involves a two-way flow of information, views and perspectives between policy-makers/managers and the public. Co-production involves active partnership between providers and the public, in order to develop strategies to design and deliver services and monitor standards.

Finally, Parry and Moran (1994:266) emphasised that accountability lies at the centre of any model of democracy. Tenets of democratic governance anchor the practice of professional public administration. These tenets demand, in addition to efficiency, the identification of crucial values, such as representation, individual human rights, and social equity (Gildenhuis 2004:297). Therefore, there is no democracy in the absence of accountability – where those trusted with power and specific functions could do as they wish. Maladministration, the mismanagement of funds, inefficiency and the repression of human rights would escalate to higher levels in such an environment. Professionalism in the public service would serve as a deterrent to the afore-mentioned public administration and public management ills.

Assuring the provision of goods and services

A good and successful government is one that cares for its people and meets the needs of all its citizens. To ensure that this happens there has to be a way of ensuring that public goods and services are provided within the framework of the legislation and the will of the people. Moyo (1992:9) maintained that without individual responsibility and accountability, a bureaucracy can become a brutal instrument of social repression and the destruction of human civilisation. Hence, Mafunisa (2000:81) mentions that the fact that superior public officials are accountable for the management of public service activities promotes the development of ethical behaviour, as they should ensure professionalism. Evetts (2011:411) is of the opinion that professionalism plays a role in attempts to contain and control the work of the practitioners. It is therefore important that those who are responsible for the implementation of policies and decisions should give an account to the public, and also be responsible for their actions.

Counteracting the faceless side of the Public Service

McKevitt and Lawton (1994:56) asserted that a public organisation is accountable to all – to the public at large and to individuals as well – to explain and to justify any actions taken. Jabbra and Dwivendi (1989:19) contended that accountability is absent when the community does not know who is accountable. Mafunisa (2000:82) suggests that the public service is expected to publish standards for the level and quality of the services it provides, so that potential users would know what level of service they are entitled to expect. Public accountability will thus prevail.

When public accountability is assured, confusion as to who should account for the execution of policies is then eliminated. It should be clear to consumers of public goods and services that politicians are accountable for the policy decisions they make, and public officials should be held to account for their actions.

The public should be informed of who is responsible for what services and responsibilities in the public service. The activities of various departments in the public service should be spelt out to the public. In this manner communities would be in a better position to hold relevant departments and individuals responsible – should they be dissatisfied with their actions. More importantly, the members of the public would know what to expect from these departments. Once this is done, the public officials would have no option but to carry out their duties in a professional manner.

Assuring efficiency and effectiveness

Efficiency concerns the relationship of resources expended to programme outcomes and goal attainment (Sherwood 1997:214). Public accountability requires that government functions and tasks be performed by officers efficiently and effectively (Balanoff 1996:195). According to Heywood (1997:375), accountability requires that the duties, powers and functions of public bodies be clearly defined in such a manner that the performance of subordinates can be evaluated. In this sense, accountability should operate in the context of constitutionalism and respect for the rules. It should therefore be explained to the subordinates that to be accountable does not imply being subject to arbitrary authority or punishment. Plumptree (1991:182) supported Heywood's view, by stating that the more vague and ambiguous the responsibilities are, the more problematic it becomes to hold individuals to account for their performance.

Flynn (2002:206) points out that the public sector is accountable to the public in the following ways:

- That resources have been spent as agreed and in accordance with procedure;

- That resources have been used efficiently; and
- That resources have been used to achieve the intended results.

However, McKeivitt and Lawton (1994:69) maintained that public accountability involves more than simply the requirement to account – it also involves the need to give an account, as well as preparing proper financial accounts, permitting scrutiny by audit, as well as by an ombudsman and open public decision-making. For this reason, the function of accountability keeps the organisational performance up-to-standard (Metcalf and Richards 1990:42). The public officials may be called to account by their superiors – for not achieving the set objectives. The public officials and politicians should, therefore, always execute their activities – knowing that members of the public will hold them accountable for their activities. Consequently, negligence that leads to unprofessional behaviour on the part of public officials would be more easily combated.

Section 195 of the *Constitution of the Republic of South Africa, 1996*, binds public administration to the principles of a high standard of professional ethics, accountability, transparency, the efficient use of resources and good human resource management. Therefore, the public may hold the government to account on the basis of these principles. The government of the day should, in turn, ensure that the public service and its service delivery always adhere to these democratic values. Members of the public can demand accountability and complain about poor service from, *inter alia*, the politicians and public officials through civil society organisations, public protection agencies, provincial legislatures and political parties.

Transparency

Public accountability demands transparency in every activity of government (Gildenhuis 2004:113). Public accountability must respect the rights of persons who are affected by the actions or decisions of the members of the public service. All decisions or actions, with regard to accountability, should be transparent. People want to know what happens when a decision is taken, what reasons there are for a decision, what the implications of decisions are, and what processes were used, and what facts were taken into account in the decision-making process (Maile 2002:328).

Transparency and accountability reinforce one another (Curtin 2007:533). Public accountability can be improved if the public service is transparent in its activities (Hughes 1998:78). In this way, the public would know what the public service is doing, and what its reasons are for doing what it does.

Transparency and accountability call for openness (Esau 2006:53). To this end, Gordon and Milakovich (1995:463) contended that government openness

to public scrutiny is one of the keys to accountability for official conduct. Transparency does not only mean that government should be open and honest about its activities, but that it should also be flexible, and be able to accommodate criticism. The public service should not assume that only positive remarks will be made by the public. Hence, the public officials and politicians are required to take any negative remarks and criticism in the right spirit. An increase in demand for the transparency of the public service promotes professionalism.

Access to information

The provision of information is an element of accountability. Without the provision of information, it would not be possible to hold actors responsible for their actions (Curtin 2007:532). The citizens need to be aware of the resources available in various departments, and how these resources are used, so that they are in a position to hold these departments to account. Schultz-Herzenberg and Vickerman (2009:19) maintain that citizens should regularly access records. However, the publication of financial records raises important, but controversial, right-to-privacy issues. While it is important to secure the benefits associated with transparency, these must be balanced against the member's right to privacy. Evetts (2011:408) sees professionalism as an occupational value, and expert judgement, and professional discretion, as issues worth protecting and preserving.

Therefore, it is the responsibility of both officials and politicians to ensure that the public is adequately informed about available resources and any new information. The public should be informed on what goods and services are available for them, as well as how public resources (especially financial resources) are spent, and for what purpose. Once this information is available to the public, they would be able to demand accountability from the public officials.

CONCLUSION

In summary, accountability is a crucial principle to a democratic government, like South Africa. There may be no straightforward means of translating this principle into practice. However, to keep politicians and public officials responsive to the demands of the public, and to improve the quality of public service, they must be held accountable for their actions.

Professionalism should be promoted in the public service, in order to enhance public accountability, since any account would be ineffective if

it is given in an unacceptable and unethical manner. To this end, Du Toit *et al.* (2002:115) identify the ethical conduct, proficiency and competence, diplomacy, etiquette and protocol as manifestations of professionalism. These are very critical professional aspects that the members of the public service should always uphold when engaging with the public, while giving account of their actions.

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“Open toilet politics” in South Africa

A quantitative study of Doornkop – Mpumalanga

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ABSTRACT

The quality of public services has received attention in recent times by commentators, scholars, government officials and the news media. Conversely, economic and socio-political challenges in relation to service delivery have also drawn attention. At the centre of this debate, Doornkop informal settlement in Mpumalanga Province has not enjoyed attention since the visit by Mrs Winnie Madikizela-Mandela (in her capacity as chairperson of the Sanitation Task Team in the Human Settlements Department) early in 2012. Doornkop has since been identified by service delivery watchdogs as a local area that failed to provide acceptable toilet facilities (seen in this article as equivalent to public service delivery) suitable to local and international sanitation standards. Partisan politics have been singled out as possible stimuli in shaping this debate. From a political perspective, the variable of political affiliation has come to characterise governance culture, modelling, modern ethnic and racial divide, socio-economic status of social classes and voter identity.

INTRODUCTION

Historical references have come to characterise politics of space, identity, culture (or sub-culture) and potential response by government agencies and

civil society formations, even in post-apartheid South Africa. Certain sectors of the population or social class in South African society continue to receive better public services and goods while other social groups receive little or lower-quality public services and goods. In a South African context few questions still remain in the consciousness of most people: Is partisan politics to blame or is it purely a matter of structural-systems failure to deliver quality services in the local government sphere, or prioritising political interests at the expense of community well-being?

The narrative of the plight of urban settlements in South Africa today is captured by Harber (2011) in his analysis of township life in Diepsloot north east of Johannesburg. Life in the urban shanty dwellings remains a major battle and struggle for proper urban settlement in the post-apartheid South Africa. Despite the plethora of legislation regulating service delivery and local government affairs including the *Constitution of the Republic of South Africa* (as amended) of 1996, much development-oriented work still needs to be done. Local government institutions established in the post apartheid South Africa need to respond to the new mandate of nation-building and proper service delivery with good governance. One critical area of service delivery in municipalities in the modern post-apartheid South Africa is proper sanitation (Roux and Nyamukachi 2005:695). Sanitation has not only become a service delivery matter (Van Vuuren 2008:8) but has also assumed a political issue. This article argues that sanitation matters are regarded as service delivery and governance issues in the local government sphere as much as public administration matters (Hanyane, Nkgabe and Lekonyane 2012).

Present ideological realities such as neoliberal tendencies of the open market system, corporatised public service regime, public-private partnerships and other forms of managing public service delivery have come to characterise the current South African state. These perspectives and related developments have also pre-occupied the attention of scholars alike of the discipline of Public Administration and Management. This article represents that perspective and presents 'the facts' about the Public Administration and Management approach as seen by scholars in the said field of study. In addition, given the nature of the study undertaken, the writers have adopted a quantitative approach to the topic investigated. A community survey using a purposive random sampling method was used to interview residents of Doornkop in the outskirts of Middleburg town in Mpumalanga. This methodology allowed for better control and access to the target research population. Data was captured, analysed and verified by the University of South Africa's research support entity called Academic Research Support Unit (now known as the Office of Graduate Studies). Assistance in compiling the questionnaire was also given by the said unit.

This article reflects on the interpretation of the results of the aforementioned research survey in Doornkop (see section 5 of this article). A brief literature analysis is given presenting a Public Administration and Management perspective (theoretically and practically) and adding a theoretical grounding for the argument. Noteworthy is the geographical analysis of the area studied. The first area of focus is directed at this sub-heading followed by an in-depth analysis of the research survey findings.

THEORETICAL FRAMEWORK

The criticism and later demise of the “old thinking” in Public Administration in South Africa has come to characterise the modern thinking in the New Public Administration modality. Seen by many scholars in the field of study Public Administration has come to be associated with bureaucracy, where the “government machinery” of service delivery and principles such as effectiveness and efficiency lack presence. New Public Administration has come to be synonymous with current thinking. Embracing principles such as efficiency, effectiveness, investment in people and borrowing from the private sector best practises applicable in the public sector (Schedler and Preller 2010:30-31).

The role of the state becomes important in promoting good practices related to service delivery and the promotion of the general welfare of the population. As Schedler and Preller (2010:42) puts it, the state and its administration are institutions without which society (in the case of this article the disadvantaged residents of Doornkop) cannot exist nor function. The state is seen as a facilitator of development. Such development encompasses the desire, need and drive to provide basic municipal services adequately. As Visser in Asmah-Andoh (2009:103) argue development can be defined as a quest to improve the material wellbeing of members of society, aimed at enhancing the choice and equitable access to the distribution of societal resources. Thus a distinction is made between ‘development’ and developmental local government founded on the principle of deepening local democracy and socio-economic development of a particular society.

Public participation as a process (as part of Participatory Theory) is important in the consideration of the developmental role that local government plays in facilitating democratic rule and governance. Thus municipalities are by nature of the democratic rule accountable to their local communities (Draai and Taylor 2009:114-115). The value of public participation at local government sphere is not limited to governance value, but also to facilitate and promote accessible service delivery at local government sphere. If democracy is the goal to achieve, then the state and society must strive towards establishing democratic systems

Table 1: Theories of local government

Explanation	Selected theories
Municipality	Organisational Theory Adaptive Structural Theory Contingency Theory
Flow of information and feedback	Social Exchange Theory Dependency Theory Gatekeeping Theory Agenda setting Theory
Role players in municipal governance	Knowledge Gap Theory
Socio-political context	Systems Theory

Source: Adapted from Van der Waldt (2010:18-19)

and institutions (as part of Democratic Theory) for the local government sphere of government (Draai and Taylor 2009:114-116).

Beyond the above mentioned theories Van der Waldt (2010:18-19) postulates that a number of theories are utilised to explain the dynamics involved in local government subjects of democratic rule, public participation, role players and organisational makeover. These theories are not discussed in detail in this article but merely serve to illustrate the plethora of local government theories available and are summarised below.

THE CASE OF DOORKOP INFORMAL SETTLEMENTS

Doornkop is an informal settlement outside the town of Middleburg in Mpumalanga Province. Doornkop was originally a farm that was bought by a group of Lutherans fleeing from the political domain of Pedi Chief Sekhukhune in the mid 1800s. They settled on a farm called Botshabelo (place of refuge) under the guidance of Merensky who was the leader of Berlin mission society. Later in the early 1900s a group of Merensky's followers raised funds and bought nearby Doornkop farm from an Afrikaans farmer by the name of Klaas Joubert (James, Ngonini and Nkadimeng 2005:13). This breakaway was

motivated by the desire to seek their own independence from control imposed by Berlin Lutheran missionaries. They settled in Doornkop until they were subjected to what was known as “black spot” forced removal in 1974. They resettled in various villages around the former homeland of Lebowa, others settled in Bothashoek, Tafelkop, Phokwane, and Kwandebele. The farm then became the property of the South African Defence Force (SADF) (James *et al.* 2005:14).

Those who did not return to Doornkop put the blame on their reluctance to return at the doorstep of local government arguing that government delays in providing basic services. This is captured by Schedler and Preller (2010:42) arguing that the role of the state is to promote good governance and provide service delivery. In the case of Doornkop as an area that falls within the jurisdiction of Steve Tshwete local municipality, this argument places a duty on the local municipality to provide services in a sustainable manner to the community of Doornkop as provided for in the *Constitution (Republic of South Africa, 1996)*. This assertion is supported by Leftwich in Nzwei and Kuye (2007:198) when he argues that the state is an agent of development and should take up its mandate from citizenry to accomplish economic development which in the case of Doornkop means access to basic services which includes water and sanitation.

Since the democratic dispensation in 1994 the community of Doornkop had not received basic services such as clean water and proper toilet facilities (considered in this article as part of sanitation) and were expected to dig their own pit toilets for sanitation services. The case of Doornkop provides a more complex scenario in most case studies in managing sanitation in South Africa today. It stands out from the case study of Khayelitsha with reference to Makhaza and Zone 14 settlements (Hanyane, Nkgabe and Lekonyane 2012:44-65) and Rammulotsi township (Hanyane and Nkgabe 2012). Because of land-rights contestations around land ownership of this informal settlement, the Doornkop case study on sanitation is unique since the latter case studies did not experience land-rights issues. More recently, Philippi township in Cape Town has provided a more similar case to Doornkop where lack of service delivery is the order of the day under private-land ownership.

Service delivery protests have come to characterise public life notably during the winter period of 2012 (Patel 2012). The City of Cape Town argued that basic services to Philippi could not be adequately provided because it was a privately-owned land. It was not until recently that the land was bought by the City of Cape Town in 2012 and the Mayor of City of Cape Town Ms Patricia De Lille made a public pronouncement the City will service Philippi. Whether Philippi will receive basic services such as sanitation services as pronounced by the Mayor remains to be seen.

The case of Doornkop is much more complex because it involves tenant/owner land rights contestations that date back to pre -1974 forced removals. According to Vaughan in James and Nkadimeng (2003:57) tenant/owner contestations lay between two opposing development paradigms in South Africa. One paradigm protects restoration of private property and the second paradigm demand driven egalitarian approach that promotes the principle of equality. At the centre of this contestation is the Communal Property Association (CPA) established in 1994 by the property-owning group who were predominately Pedi speakers (seen by locals as more aligned to Democratic Alliance) and a group of predominately Ndebele speakers which was seen as more aligned to the African National Congress (ANC) (James *et al.* 2005:25). These perceptions are still held by the majority people living in Doornkop today (research field notes, May 2012). It is these political realignments that shaped the private landownership *vis-a-vis* equal rights of all citizens against the backdrop of land rights as recognised by the *Constitution of the Republic of South Africa*, 1996. This notion of land rights is informed by the ruling party's neo-liberal policies that protects property rights.

Given the brief outline of the geo-political setting of Doornkop it is also important to discuss the key thematic intellectual aspects of this study.

CONTEXTUALISING THE DEBATE

The notion of a developmental local government in South Africa has characterised post-apartheid governance and service delivery as highlighted in section 2 of this article. According to Nkuna (2011:623) developmental local government in South Africa is conceptualised on the basis of shaping a developmental state. In emphasis, the need to consult people in the running of government affairs signals the move towards a developmental thinking. According to section 151 of the *Constitution of the Republic of South Africa* (as amended) of 1996 provisions are made for the establishment of municipalities with executive and legislative authority. Section 153 further provides for the establishment of municipal structures and the provision of administrative functions such as planning to give effect to service delivery of basic services. One such area is the provision of proper sanitation services within a designated locality.

As Penner (2010:5-7) notes, toilets are powerful symbols of inclusion. A conversation about sanitation with reference to toilets provokes thoughts of territorial and political struggles. The United States experienced this reality first hand from the 1950s to the 1970s along racial, class, sex, cultural and religious lines. Politically, in recent times, the so-called 'toilet wars' came to characterise political relations between the residents of Khayelitsha (with reference to

Zwelitsha and Zone 14), the Democratic Alliance (DA) as the ruling party in the Western Cape and the African National Congress (ANC) as the opposition party in the province. The ANC's Youth League destroyed 51 open toilets on the grounds of human dignity and decent living standards. The initial indignity was that toilets were unenclosed requiring people to use them openly or under the cover of blankets. This reality was later followed by building toilets with inferior materials (Penner 2010:10-13). The same political dynamics can be said of the realities surrounding sanitation service provision in Rammulotsi in the Free State.

A developmental local government without the required capacity to deliver on its mandate of equitable basic municipal service provision is ill-founded (Vyas-Doorgapersad 2011:44, Gumede 2009:12-13). In addition municipalities are required to play an economic developmental role (Hinsch 2009:41) and (Maserumule 2008:437). In providing proper sanitation and infrastructure, municipalities must ensure that basic concerns such as availability of sanitation services are provided. Access to such sanitation service is provided and users are given options to choose from a plethora of sanitation services (Otieno 2008:11) and (Department of Cooperative Governance and Traditional Affairs 2009:18-22). Key questions such as what type of sanitation are people using?, where does waste from toilets go?, how many people have problems with the sewerage system?, how satisfied are people with public toilets?, are some of the few questions and concerns that most local municipalities must address.

Municipalities must ensure that the capacity to deliver municipal services is complemented by competence of individuals employed to deliver municipal basic services and goods (De Villiers and Michel 2006:9, National Treasury 2008:34). Lack of proactive planning, programming and project management characterises capacity problems for municipalities to deliver basic services such as sanitation and clean water. Christians (2008:38) further notes the above and add the dimension of poor financial resources and its concomitant planning, lack of technical skills, reactionary nature of local government *modus operandi* and other forms of organisational and systems constraints. This situation leads to poor stimulation of local economic development.

The right to proper sanitation and water usage is recognised by Cahn (2008:15-18) and Tipping (2011) who argue that the recognition of real human rights concerns in the area of water (Hinsch 2009:42, Haigh, Fox and Davies-Coleman 2010:475-476, Blignaut and Van Heerden 2009:415) and sanitation management has advanced the right to protection of water and sanitation provision and usage (Tipping 2011). A number of international treaties are explicit in the recognition of water and sanitation rights. These treaties include but not limited to the Convention on the Elimination of All Forms of Discrimination Against Women, 1979 [Article 14(2)(h)]; the Convention on the

Rights of the Child, 1989 [article 24(2)(c)]; and the African Charter on the Rights and Welfare of the Child, 1990 [article 14(2)(c)].

INTERPRETATION OF RESEARCH FINDINGS

This section contains interpreted research findings. Questions on gender, employment status, period of residency in Doornkop informal settlement, payment or non-payment of municipal services are some of the issues discussed in this section. These research variables are further linked to sanitation issues in the area of study. These findings are reflected in the discussion hereunder.

Question 1.3: Gender

The graph in relation to the survey conducted in Doornkop points to the balance in number (estimate) of female respondents (50%) over male respondents (50%). This result does not in any way reflect population density on the basis of gender in the Doornkop settlement. The balance in gender composition of the respondents can be attributed to a number of factors ranging from unemployed respondents who participated in the survey, and other social factors unknown to

Figure 1: Gender

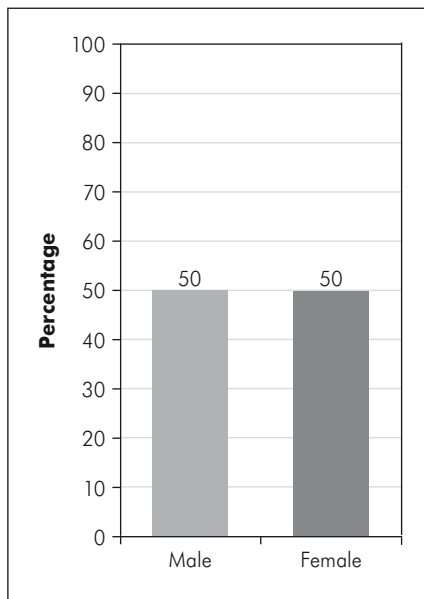
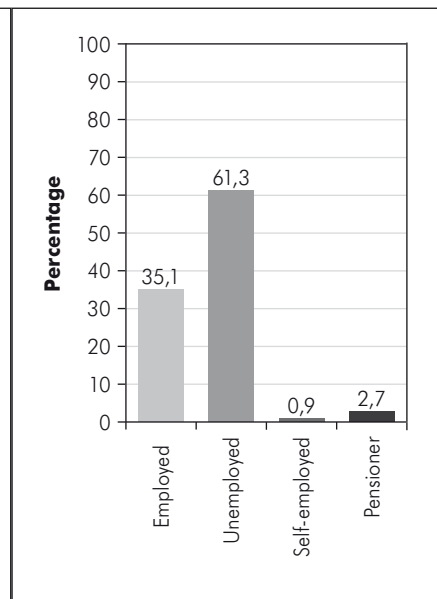


Figure 2: Employment status



the researchers. Another notable factor is the emerging dominant role that most African men play in young families. Young African families seem to be on the rise as observed by the researchers in predominantly informal settlements in the post-apartheid South African society (research field notes, May 2012). This rise in young unemployed African families is likely to put a strain in the provision of sanitation services in the Doornkop informal settlement. Thus the capacity of the Steve Tshwete Local Municipality to provide for basic services such as sanitation services could be compromised. The traditional role of African men to being the financial contributors in family up-keep seems to be the general trend emerging from this study. Female respondents with their children by their side were highly visible in Doornkop as “house-keepers” compared to their male counterparts. These children were observed as seeking attention and affection from their mothers at all times, especially in the presence of strangers such the researchers of this project who doubled their role as field workers (research field notes, 30/04/12 to 04/05/12). This graph also demonstrates the availability of female respondents ready to be interviewed by the researchers. As respondents were a balanced figure of 50% for both genders in African females and males, this finding reveals that there is also a balanced responsibility in promoting good hygiene, including sanitation, by both genders. In addition, this evidence could also suggest a role that most females perform (mostly mothers who are not necessarily married but in a co-habitation relationship with either a boyfriend or girlfriend, or relative) per population density size. The burden of promoting good hygiene and proper sanitation standards and practices on the part of African females interviewed, increases in size commensurate with the sanitation and hygiene needs of the number of both children and other family members. Such a burden manifest itself in form of regular cleaning of toilet facilities (where present), provision of toilet paper, structural maintenance and proper usage. In instances where no toilet exists African females were responsible to take their children to the open field to be relieved. This practice provided safety in numbers against harm by wild animals and the natural elements such as rain, bad weather and other forms, since the mother and her children were likely to accompany each other in every visit.

Question 1.4: Employment status

This question focused on the percentage of the employed and the unemployed in Doornkop informal settlement. The survey established that 36% of the respondents were either employed or self-employed. Conversely, 64% of the respondents declared themselves as unemployed, including pensioners. This evidence indicates the levels of poverty sparked by unemployment especially in informal settlements throughout the country. Because of non-

payment of government-provided public services such as sanitation services, informal shack-dwellers often find refuge in informal settlements throughout the country. Doornkop settlement area is no exception to this reality. Another important question was the need to measure permanent residency status of the respondents. The graph below reflects the results in this regard.

Question 1.5: Residency in the area

This question focused on the residential permanency status of the informal settlement members in Doornkop informal settlements. According to the responses received, 32,4% of the respondents deemed themselves as permanent residents, and enjoyed staying in Doornkop for 8 years and above. Only 38,0% of the respondents regarded themselves as new-comers to Doornkop. Reasons for preferring to stay in Doornkop varied from being unemployed, retrenched, taking care of siblings to studying at home under the care of parents. According to the research findings 29,6% of the respondents said they have been residents of Doornkop for a period of between 5 to 7 years. According to the researcher's findings the majority of this percentage band was young parents and young adults taking care of their aged parents and grandparents.

Respondents were also asked if they paid service rates or not. Their responses are captured below.

Figure 3: Residency in the area

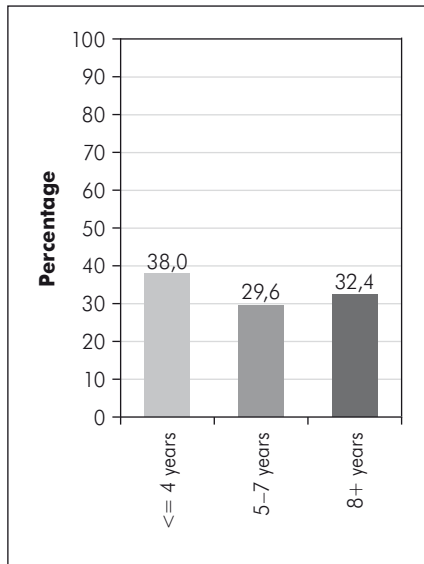
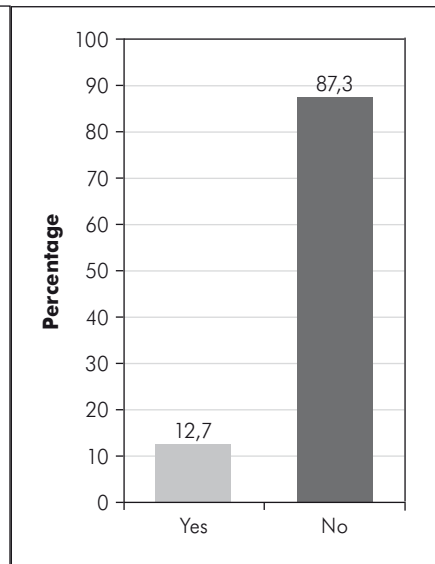


Figure 4: Service ratepayer



Sub-question 1.5.2: Service ratepayer

This question prompted respondents to reply to one of the many questions that have dominated the service delivery discourse in South Africa today. Payment of services or non-payment thereof has even caught the attention of the Minister of Finance Mr. Pravin Godhan in his budget speech in Parliament on 22 February 2012. According to Mr. Pravin Godhan (2012), non-payment of services contributes negatively to sustainable public service delivery (Fraser 08/10/2012). The majority of respondents interviewed suggested that they did not receive public services such as sanitation services as observed in the graph above. Such respondents were found to be at 87,3% of the total number of respondents interviewed. While 12,7% of the respondents said they paid for public services and goods such as electricity but not sanitation services. Conversely, 87,3% of the respondents were non-paying public service and goods receivers. This question has an enormous implication on the financial capacity and sustainability to provide public services especially sanitation services in the Doornkop settlement as part of the Steve Tshwete Local Municipality. Failure to pay for basic services such as sanitation services by the residents of Doornkop settlement renders the Steve Tshwete Local Municipality incapable to budget and acquire materials needed to provide sanitation services such as water pipes, concrete toilet structures and other materials. This state of affairs could be one of the many reasons for the non-provision of sanitation services in the Doornkop settlement area.

Sub-question 1.5.3.5: Payment of municipal services

This question focused on the municipal services paid for by the respondents. A number of municipal services likely to be paid for by the respondents/ratepayers were identified between protection services, hygienic services, energy services and other services. Under each category examples were given. From the interpretation of the results 22,5% of the respondents spent between R451.00 to R555.00 per month, while 27,5% spend between R326.00 to R450.00 per month in paying for services such as gas, paraffin and/or electricity where available. The results indicate that 25% of the respondents spent more than R556.00 per month. Another 25% of the respondents indicated that they spent about R325.00 per month on public services such as protection services, hygienic services, energy services and other services. Spending on energy was the main source of expenditure for most households. No payment for water and sanitation was recorded.

Section B of the survey questionnaire dealt with sanitation issues. A number of questions were prepared. These questions focussed on matters such as quality sanitation issues, types of sanitation services, categories of sanitation services, availability of sanitation services and human rights issues associated with sanitation in Doornkop. Public administration-related issues on sanitation matters in Doornkop were also covered in this section.

Question 2.1: Availability of sanitation service

This question asked respondents whether they receive sanitation services in their immediate establishment (Doomkop). Most respondents, measured at 90,5% indicated that they do not receive sanitation services within their immediate surroundings. It is crucial to note that some sections of the settlement were populated by RDP houses with no proper functioning toilets. In interpreting the results 9,5% of respondents interviewed indicated that they had access to self-made sanitation services such as pit systems. This band of respondents made suggestion of using the open field to relieve themselves, or, where possible seek permission, to neighbours to use their self-made pit toilets since no access to proper sanitation service closer to where they live was available.

A question on sanitation rights was also asked. Feedback in this regard is summarised below.

Question 2.6: Knowledge of sanitation rights

An outcome in this survey was the indifference struck between respondents who knew their sanitation rights against those who did not know what their sanitation rights were. 75,7% of the respondents declared their awareness to

Figure 5: Payment of municipal services

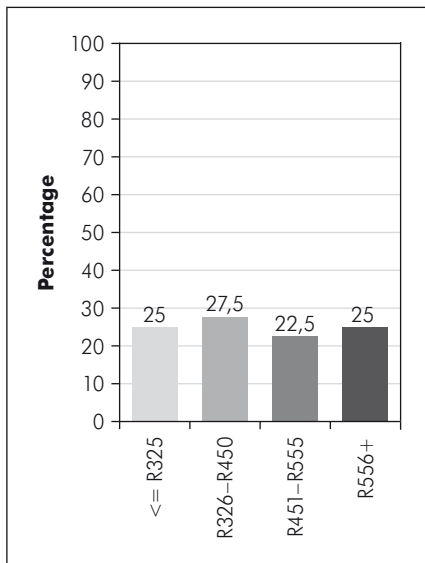


Figure 6: Availability of sanitation service

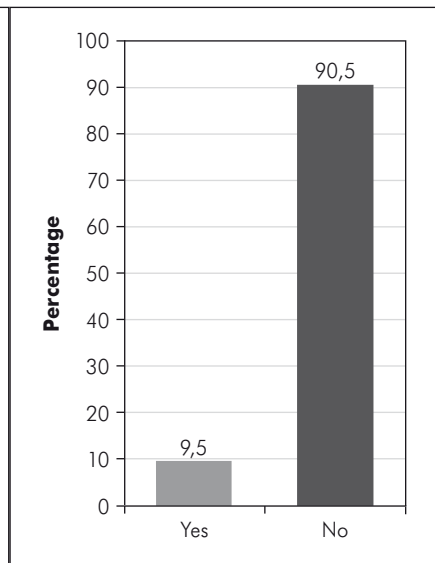


Figure 7: Knowledge of sanitation rights

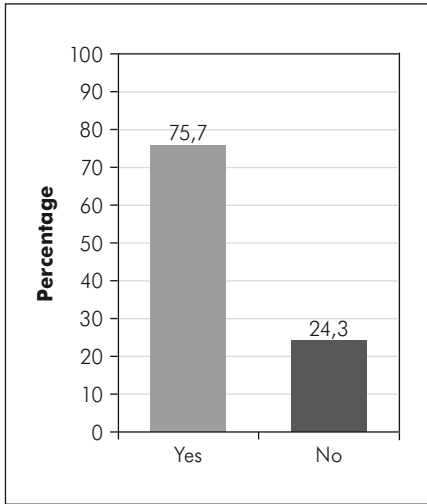
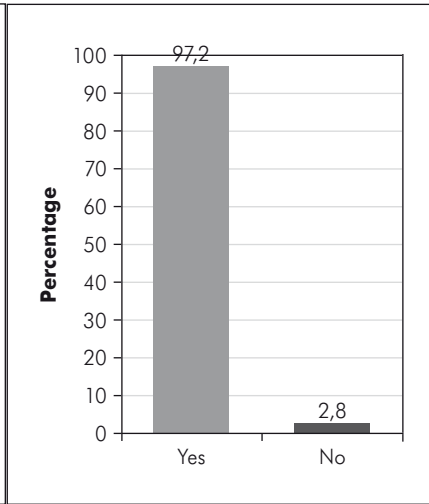


Figure 8: Concern about sanitation standards in one's area



sanitation rights whilst 24,3% declared no knowledge of the said rights. The implication of this finding is that much needs to be done according to the researchers in relation to civic education with reference to sanitation awareness. The social justice principle in administrative law circles is critical in advancing this cause. The *Constitution of the Republic of South Africa* (as amended) of 1996, with reference to chapter 2 (Bill of Rights) makes provision for the right to basic services. Sections 10, 21, 24, 26 and 27 provide for human rights in the areas of human dignity, freedom of movement and residence, the right to a secure healthy and sustainable environment, the right to proper adequate housing and the right to social security and access to basic services such as clean water and sanitation. In turn the level of awareness of the residents of Doornkop offered them the advantage of knowing their rights and constitutional limitations when engaging councillors and officials of Steve Tshwete Local Municipality on issues related to sanitation and clean water provision. As a result the collective intelligence of the residents of Doornkop could not be undermined by the councillors and officials of Steve Tshwete Local Municipality.

Question 2.11: Are you worried about sanitation standards in your area

This question reflected on whether respondents were worried about sanitation standards in their area. The concern of respondents on sanitation standards

was an important question to ask since sanitation was seen and is still seen as a health-related matter. Use of poor sanitation building materials, unsafe water usage, un-hygienic sanitation practices and poorly maintained sanitation infrastructure may be considered as critical factors in determining ideal sanitation standards. 97,2% of the respondents interviewed in a total of 110 respondents held the view that they were concerned and worried about sanitation standards that were non-existent. Only 2,8% of the respondents showed no immediate concern to the existing state of sanitation in Doornkop.

Question 2.12: Knowledge of sanitation standards

This question required respondents to reflect on whether they knew anything about sanitation standards. 6,3% of the respondents interviewed held the view that they had no knowledge of the subject matter. Only 93,7% of the respondents held the view that they were aware or knew something about sanitation standards. This question was linked to the previous 2.11 question above. It was further elaborated by question 2.13 below in relation to regarding sanitation standards as a political issue or not.

Sanitation rights were linked to possible correlation to any form of political influence, be it belonging to a political party, as part of political local agenda, as an election issue and/or driven by political interests and preferences.

Figure 9: Knowledge of sanitation standards

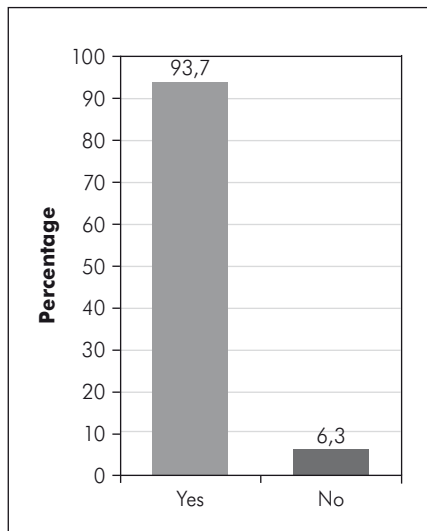
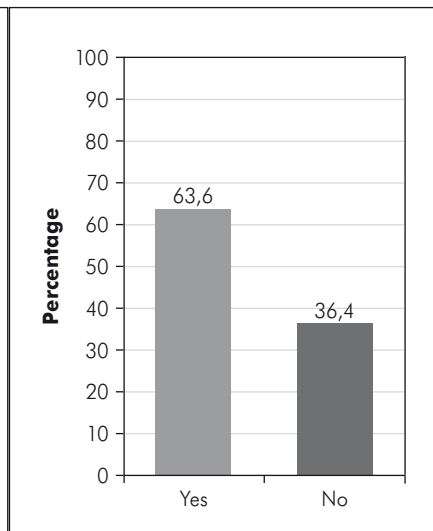


Figure 10: Are sanitation matters political matters?



The following question dealt with the feedback sought from respondents in this regard.

Question 2.13: Are sanitation matters political matters?

63,6% of the respondents held the view that sanitation matters, especially sanitation standards, were and still are political in nature. The meaning of “political” was interpreted by the respondents as any social transaction that involves government intervention in the form of basic service provision, authoritative decisions by government structures (in the case of this research, Steve Tshwete Local Municipality) and the actions, role and influence of municipal councillors, traditional authority and public officials. 36,4% of the respondents held a different view. This view can best be described as apolitical, yet not necessary affiliated or associated with any alternative political process in society. The majority of respondents have indicated that to receive any services in Doornkop you need to be aligned to the ANC political party or “representative” in the Doornkop settlement area. Partisan politics comes into play in shaping governance modes in this informal settlement.

CONCLUSION

The wave of service delivery protests on sanitation that has characterised public space in recent times has set the tone for public discourse on the provision of sanitation services. Khayelitsha with reference to Makhaza and Zone 14 informal settlements, Rammulotsi in Viljoenskroon and more recently Philippi in Cape Town remain at the centre of this debate. Doornkop and its uniqueness as a case study was brought back to the mainstream debate on sanitation by the researchers of this article given the academic limelight it enjoyed in the early 1990s. Provision of sanitation services in this informal settlement has been overshadowed by land-rights contestation concerning landownership.

Developmental local government is an important vehicle to assist in capacitating local government to deliver on its mandate of promoting local economic development and providing sustainable services which includes sanitation services in the case of Doornkop, Rammulotsi, Khayelitsha and Philippi to local communities. This article argue and is aligned to the thinking that there is evidence to prove that the economic success of third world countries should be promoted through effective developmental state practices. Such practices includes good governance, accountable efficient local government and free market economy. Existence of these conditions is critical for the provision of sustainable services such as water and sanitation.

Interventions and solutions on the provision of sanitation services cannot be found through one-size-fits-all approach to service delivery. Rather such interventions and solutions should be traced in the nature of individual case studies referred elsewhere in this article. This article calls for a more effective and accountable local government that is based on the principle of participatory local government in finding possible solutions on service delivery problems such as poor sanitation. Local government should be responsive to needs of local communities, should be led by public officials and elected representatives who are qualified and competent to deliver basic services.

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ANNEXURE 1

Question 2.7: Identify sanitation rights

Q2.7					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		28	25.2	25.2	25.2
	A proper working toilet	1	.9	.9	26.1
	Access to proper sanitation	1	.9	.9	27.0
	Access to a clean toilet that works properly	3	2.7	2.7	29.7
	Access to a decent facility	1	.9	.9	30.6
	Access to a toilet	1	.9	.9	31.5
	Access to basic sanitation services	1	.9	.9	32.4
	access to basic water and sanitation facilities	1	.9	.9	33.3
	Access to basic water and toilet facilities	1	.9	.9	34.2
	Access to clean water and toilets	1	.9	.9	35.1
	Access to clean toilet	1	.9	.9	36.0
	Access to clean toilets	1	.9	.9	36.9
	Access to hygienic toilet facilities	1	.9	.9	37.8
	Access to privacy, clean water and safe environment	1	.9	.9	38.7
	Access to sanitation	1	.9	.9	39.6
	Access to toilet facilities	1	.9	.9	40.5
	Access to toilet facilities	3	2.7	2.7	43.2
Access to toilet facilities and basic water	1	.9	.9	44.1	

Q2.7					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Access to water and sanitation	1	.9	.9	45.0
	access to water and sanitation services	1	.9	.9	45.9
	Access to water and sanitation- toilets	1	.9	.9	46.8
	Access to water and toilet facilities	1	.9	.9	47.7
	Access to water and toilets	1	.9	.9	48.6
	Access to working toilets	1	.9	.9	49.5
	Clean toilet and accessible	1	.9	.9	50.5
	Each household to be provided with a toilet in the yard	1	.9	.9	51.4
	Government to provide us with clean water and flushing toilets	1	.9	.9	52.3
	I do not know	1	.9	.9	53.2
	Municipality is suppose to provide us with toilets with water	1	.9	.9	54.1
	Municipality to provide flushing toilets to avoid sicknesses	1	.9	.9	55.0
	Municipality to provide us with flushing toilets	1	.9	.9	55.9
	Municipality should provide clean water and flushing toilet	1	.9	.9	56.8
	Our toilets were supposed to be fitted with seats and water	1	.9	.9	57.7
	Provision of flushing toilets for the community at large	1	.9	.9	58.6

Q2.7					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	provision of safe water toilet	1	.9	.9	59.5
	Sanitation and water	1	.9	.9	60.4
	That the government should build flushing toilets for us	1	.9	.9	61.3
	That the government should build proper flushing toilets and clean water	1	.9	.9	62.2
	That the municipality has to finish the toilets	1	.9	.9	63.1
	That the municipality should build toilets with water	1	.9	.9	64.0
	that the municipality should provide us with water and flushing toilet	1	.9	.9	64.9
	That the toilets should be finished and have water	1	.9	.9	65.8
	That we were promised pit toilets by Ms. Winnie Mandela and we know that the government is suppose to build toilets	1	.9	.9	66.7
	The environment needs to be clean and put toilet	1	.9	.9	67.6
	The government should create flushing toilets as promised	1	.9	.9	68.5
	The municipality is suppose to build toilets	1	.9	.9	69.4
The municipality must meet us halfway in terms of service delivery	1	.9	.9	70.3	

Q2.7					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	The municipality was suppose to erect seats in our toilets but they have not	1	.9	.9	71.2
	The right to a toilet	1	.9	.9	72.1
	They are suppose to put in seats in the toilets and water	1	.9	.9	73.0
	They have to build hygienic and flushing toilets	1	.9	.9	73.9
	They have to fix our toilets	1	.9	.9	74.8
	They should finish the toilets in our RDP houses	1	.9	.9	75.7
	They should provide us with Flushing toilets in our RDP houses	2	1.8	1.8	77.5
	They were suppose to fit in seats as promised	1	.9	.9	78.4
	To a clean toilet	1	.9	.9	79.3
	To a decent toilet facility	1	.9	.9	80.2
	To basic access to a clean toilet	1	.9	.9	81.1
	To build toilet facilities and provide tap water	1	.9	.9	82.0
	To finish the toilets in the RDP houses	1	.9	.9	82.9
	To have a proper working toilet and hygienic environment	1	.9	.9	83.8
	To have access to clean and workable toilet	1	.9	.9	84.7
To have access to clean usable toilets	1	.9	.9	85.6	

Q2.7					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	To have access to clean water-borne toilet	1	.9	.9	86.5
	To have access to clean, hygiene toilet	2	1.8	1.8	88.3
	To have access to toilet and other basic services	1	.9	.9	89.2
	To provide water and toilets	1	.9	.9	90.1
	Toilet and water	1	.9	.9	91.0
	Toilet facilities and access to water	1	.9	.9	91.9
	water and access to clean hygiene toilets	1	.9	.9	92.8
	Water and sanitation	4	3.6	3.6	96.4
	Water and sanitation-Toilet facilities	1	.9	.9	97.3
	Water and toilet facilities	1	.9	.9	98.2
	We heard that the council will build these toilets	1	.9	.9	99.1
	We heard that they are to give us flushing toilets	1	.9	.9	100.0
	Total	111	100.0	100.0	

This question focused on the knowledge and awareness of the respondents on their sanitation rights. Various responses were recorded by the researchers in this regard. These responses ranged from; “yes I know, but don’t know how the process works and where to go and complain , the right to clean water and enclosed toilets, the right to privacy and services such as electricity and water, to report faulty leaks and toilet blockages, and that it is everyone’s right to have access to a toilet”. 63% of the respondents suggested various rights associated with the usage and maintenance of toilets.

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Ascertaining South Africa's public service senior management competence domains from a developmental state landscape

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ABSTRACT

Adopting the philosophy of a developmental state proved to have a distinct attractiveness for nations around the world, seeing that it offers rapid economic growth and global recognition. Appreciating the fact that such an offering usually comes at an extraordinary price to states, this article ponders briefly on the theoretical basis of a developmental premise. This is done by exploring scholarly contributions in defining the disposition, the rewards, contributions and landscape enclosed within a developmental state.

The ambitious responsibility should be considered of a developmental public service, as state apparatus to initiate, propel and achieve developmental goals. In the light of this fact the article concedes the precarious nature of a developmental landscape to confirm the composite role of the public service as organisation and its inherent senior management.

Contemporary public service senior managers, steering the administration within developmental states, are compelled by their mere position and the deliberate expectations of citizens to display continual

high levels of proficiency in relevant competencies. The South African Public Service is no exception to this developmental state characteristic that is universally accepted. The moral fibre and capacity of the South African Public Service's senior management, as major instrument in promoting developmental achievements, can be nothing but impeccable amidst complex political and socio-economic dynamics.

A triangulation was undertaken between a literature study conducted on six developmental states, a focus group session conducted amongst South African Public Sector senior management and an existing Leadership Development Management Strategic Framework (LDMSF). This suggests competency contributors from which the study recognises and proffers developmental competence domains that specifically apply to the public service.

INTRODUCTION

Literature reveals that the socio-economic and political challenges in the Republic of South Africa are far reaching and highly complex. South Africa's socio-economic circumstances, for example, can be described as having two economies, a concept that was introduced to the nation by former President, Mr Thabo Mbeki (2004). Through the nation's historical association, each one of these two economies display a particular nature and character that either connects the economy with affluence and prosperity or with destitution and dire poverty.

Over the past eighteen years of democracy, the South African leadership and related Public Service were unable to create and promote an environment where significant role-players such as markets, private sector, civil society and citizens could collectively negotiate South Africa's "second" economy to benefit from the rapidly growing "first" economy. Manuel (2007) shows that planned endeavours to offer future innovative economic solutions in South Africa should have its origins in the nation's history with recognition of the challenges that this unique past has unleashed within the state. One of the most critical developmental characteristics through which a state achieves its developmental goals is the aptitude of its public service to act as a significant stakeholder, authority and negotiator within the developmental landscape.

The focus of this article is aimed at clustering competence contributors and competence domains that are inherent to the developmental state landscape. The fact that South Africa has adopted both democratic and

developmental forms of state in less than 20 years has a significant impact on the organisational arrangement of the Public Service and the requirements of a competent civil service. The article subsequently triangulates clustered competence contributors and competence domains, obtained from an extensive literature study conducted on six developmental states (Japan, South Korea, China, Indonesia, Botswana and the Republic of India) against data gathered from a focus group session with senior public managers and a competency framework that currently acts as litmus test of their competence. This competency framework, identified as the Leadership Development Management Strategic Framework (LDMSF) was operationalised during 2007/2008. Since then, however, the country has witnessed major forms of transformation in the political, economic and social spheres when political elites adopted a developmental form of state.

The structure of this article gives a brief overview of the developmental landscape and senior management competence contributors from which competence domains are inferred and recommended.

A DEVELOPMENTAL STATE LANDSCAPE

Johnson (1982:17), Leftwich (2007:133,134,154,162), Fukuyama (2008:27), Mailafia (2009), Edigheji (2010:7,15,21,26,28,140,192), and De Wet (2010:28) are in principle all of the opinion that governments, and then by mere implication its public servants, espouse a distinct character, role and competence when a state is associated with the developmental philosophy. When Castells (1992:55) defined the developmental state, he described the developmental theory of authenticity as maintained, stable, elevated quotients of economic expansion. He furthermore included organisational transformation in the state's industrious structures as having an effect on both the national and international economy. In addition to Castells' (1992:55) description of the developmental state, Mkandawire (2001:290) added the perceptible presence of a developmental philosophy. This philosophy positions the state's "administrative and political resources" in such a manner that it is capable to achieve "economic development" as an outcome. Mkandawire (2001:290) continued by advising against the fact that in defining the developmental state, a failure to differentiate between the theory of authenticity, as sustained economic accomplishments, and the definition could produce a distorted abstraction.

Successful developmental states display characteristics of both economic achievements and a strong public service that is able to formulate, analyse and implement industrial policies (Mkandawire 2001:290). Edigheji (2007), as well as Abdullah and Van Dyk-Robertson (2008:2) identified three different

perspectives on developmental state clarifications. The first perspective depicts political elites holding superiority over the developmental philosophy in a developmental state. The second perspective underscores an organisational arrangement, and the third identifies a public service that has the ability to facilitate citizens' agreement on the developmental agenda.

Edigheji (2009:61) alerts readers to the fact that "in every historical epoch, developmental states have been constructed to respond to specific contextual developmental challenges". Political elites in states across the globe became increasingly attracted to the philosophy of the developmental state as it proffers distinct rewards. Naturally this depends on the nature of the state, its dominant ideology (i.e., socialism, neo-liberalism, etc.), its demographics, its historical circumstances and developmental trajectory. The recompense for a state that is arranged to adopt and realise a developmental philosophy is recognised through distinct characteristics. These can include global competitiveness; a sustained rapid economic growth; a modernised industrial economy; and reduced unemployment and poverty (Mkandawire 2001:2; Gumede 2009:4; De Wet 2010:4). In order to appreciate such recompense, this article briefly imparts an understanding of these four main characteristics.

The Global Competitiveness Report (GCR) (World Economic Forum 2011-2012), presents an initiation into understanding global competitiveness, which is observed as the first of four developmental characteristics. Global competitiveness can be explained as a state's ability to impart high levels of affluence to its citizens through the ingenious application of existing resources. Global competitiveness furthermore implies: a particular manner in which significant institutions within such a state are arranged or in which industrial policies are formulated, analysed and implemented. It also entails a distinct strategy through which national and international influences are managed to encourage a sustained flow and medium-term levels of economic prosperity, in order to achieve a state's developmental goals. Deciphering sustained, rapid economic growth, as second characteristic, denotes an increase in the quantity of merchandise and services produced within a state's economy over time. Economic growth is conventionally calculated as the per cent rate increase in real Gross Domestic Product (GDP) (Leftwich 2007:63). As third characteristic, a modernised, industrial economy simply suggests a process of transformation through which minimal, low-income national economies are converted into thriving diversified economies. The reduction of poverty and unemployment, as fourth characteristic, necessitates a process through which deprivation, destitution or economic inequality amongst citizens within a state are actively addressed and transformed. This should be done through developmental programmes to increase the size of a state's economically active population who participate in the programmes.

The aforementioned recompense, however, seldom emerges without meticulously crafted, goal-oriented investments from political, economic and social elites who consistently act in the public interest (Gumedde 2009:4). Such investments would entail an arrangement of the public service as organisation, as core mechanism and as apparatus (innovator, initiator and coordinator) of the state through which developmental initiatives are enabled. The investments would also include: forged partnerships between the public service, the private sector and society that have the potential as a collective to propel and achieve the state's developmental goals; formulated, analysed, implemented and managed industrial policies, which regulate and steer developmental oriented initiatives. In addition the process would produce public servants that have an innate ability and professionalism to analyse the landscape, interpret the environment, plan and lead developmental initiatives, partnerships and policies towards the achievements of the state's developmental goals.

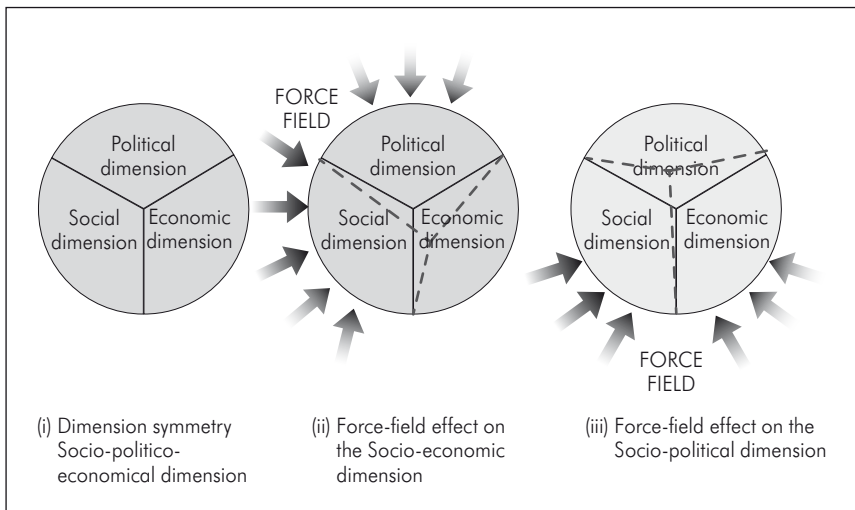
With a particular focus on and interest in the developmental public service, it can be inferred that a developmental public service would enable factors such as the following: economic expansion; planning and management of transformation initiatives in the industrious sectors of the state; advisory leadership in support of the political, economic and social direction of a state towards focused economic achievements; enabled and sustained high speed economic growth; the establishment of interactive networks between the state and markets; facilitation of a global economic awareness within the state; improvement of the economic landscape to promote socio-economic growth; instituting indigenous and global economic innovation; leading transformation in the state's economy and infrastructure; conceptualising industrial policy tools; promoting industry, commerce and capital liberalisation; and detecting political precursors that make social equality possible through economic growth.

Having briefly pondered on the uniqueness of a developmental state, its rewards, investments, and inherent organisations, it is self-explanatory that all such elements would subsist within an inimitable landscape. Leftwich (2007:63), Fukuyama (2008:25), and De Wet (2010:30) define three specific dimensions of development of which the first dimension is "economic development". The objective or intent linked to economic development is simply a sustained proliferation of Gross Domestic Product (GDP) per capita. Natrass and Seekings (2002:215), as well as De Wet (2010:30) add the facilitation of re-distribution as another intent that shapes the economic dimension. The facilitation of redistribution is particularly evident in a country such as South Africa where the majority of the population belongs to a second economy that is characterised by poverty and even dire destitution as opposed to a first economy that signals healthy patterns of sustained economic growth (Heller 2001:139,140; De Wet 2010:30; Ramphele 2012:4).

Fukuyama (2008:25) and De Wet (2010:30) delineate the second dimension as “political development” and classifies it as a more complex dimension with three objectives or intents linked to it. These objectives are outlined subsequently. Firstly, “state building” forms a part of political development as intent State development comprises the following: forceful authority which is lawful, i.e. lawful domination; determining the state’s protective area; and crafting and pursuing an administrative aptitude that can perform the managerial duties of a public service that are recognised as effective, efficient, economic and accountable service delivery to the citizens of that state. Secondly, the “rule of law” as intent from political development provides a lucid, prescribed set of laws within which the public service should execute its tasks. Thirdly, a significant intent of political development is “democracy”. Democracy shapes the implementation of common autonomy through combined and cooperative voting. Democracy is at the same time an effective tool through which monitoring and evaluation of the government’s programmes can take place.

The third dimension of development is a “social dimension”. Fukuyama (2008:26) and De Wet (2010:30) describe the social dimension as a crucial, unpredictable dimension that co-exists with the economic and political dimensions. The intentions relevant to a social dimension are, nation building and national identity, social equality and social capital (Fukuyama 2008:26; De Wet 2010:30). Hjort (2008:42) and De Wet (2010:30) suggest that the

Figure 1: Contending and collaborating dimensions of a developmental state: Influenced through global and national force-fields



Source: De Wet (2010:31)

economic, social and political dimensions are simultaneously contending and collaborating within a developmental state.

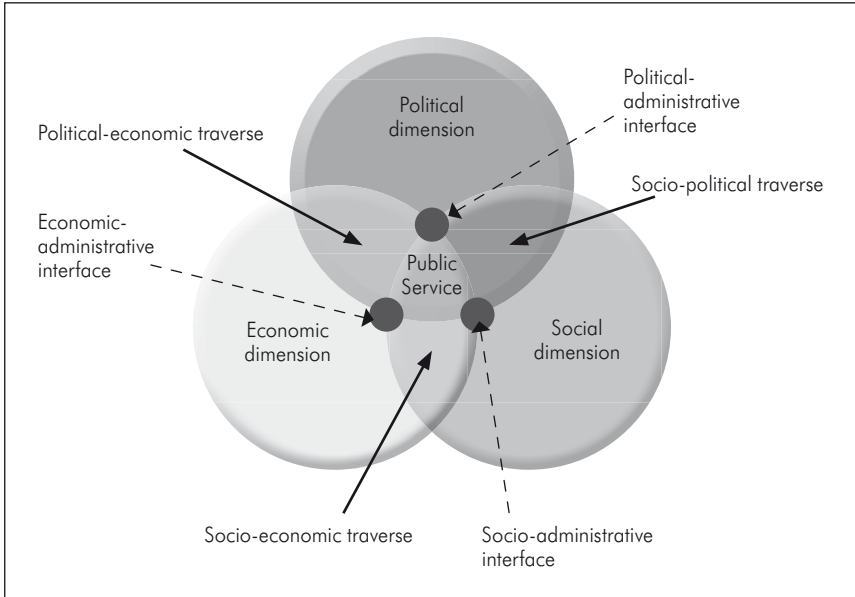
Figure 1 provides a graphic representation of a developmental state landscape and the existing relationships between these three dimensions. In addition to Hjort (2008) and De Wet's (2010:30) observation, Leftwich (2002:58) alludes to the fluctuating combination of internal and external force-fields that have a direct impact on the particular route that a state may follow to become developmental (Chalker 1994; Holmquist and Ford 1994; Wiseman 1997; De Wet 2010:30). The presumption is therefore that internal and external, as well as micro and macro forces are continuously and actively contributing and influencing the direction that developmental states will follow towards the successful achievement of their developmental goals.

Figure 1 illustrates the three dimensions visually as each dimension exists (collaborating and contending) in relation to the other two dimensions. These dimensions are responsive to national and international force-fields such as political changes or political instability, globalisation, information communication technology and international economic crises. However, what is of significance to this article is a magnified view of the three dimensions with a particular interest in the positioning of the public service as interactive enabler within this landscape.

Figure 2 positions a public service as the nucleus of a dynamic landscape consisting of the political, economic and social dimensions. It is important to note that, based on the positioning of a public service within the landscape, in combination with its developmental ambition, there are specific denotations earmarked as noteworthy. It is important for a developmental public service to act as an enabler and apparatus that can administrate, manage and lead professionally towards a state's developmental ambition. In this sense the public service has a significant role to play within the political-economic traverse, the socio-economic traverse and the socio-political traverse. A developmental public service furthermore has a distinct role to play in the political-administrative interface, the economic-administrative interface and the socio-administrative interface.

Considering the ambitious responsibility that is extended to a developmental public service, as displayed in Figure 2, the conceptualisation and interpretation of the unique role of South Africa's Public Service within a developmental landscape may not be constructed without an appreciation and an insight into its position against continuous transformation, as transformation has been an active national force-field since 1994, and still is (De Wet 2010:82). It is therefore critical to concede the precariousness of a continuous state of change and the role of a "high performance" organisation that enables the achievement of South Africa's developmental goals. If recognition is given to a continuous

Figure 2: Positioning a public service in context of the developmental state landscape



state of change, apperception should be assumed to organisation building. An inference can be made that the Public Service should display an adaptability, flexibility and alacrity (Harvey and Brown 2001:8) that facilitate performance and goal achievement.

Behind the facades of every organisation, it is inevitable that human capital is at work. The South African Public Service is no exception to this general truth. Considering the developmental landscape, its character, elements and organisations as context to this article, there is a critical focus on the competence domains required specifically for senior management within a developmental public service. The following paragraph will examine the theoretical underpinnings of competencies, competence and competence domains as it is suggested by academic scholars.

SENIOR MANAGEMENT PUBLIC SERVICE COMPETENCE DOMAINS

Wien and Dudley-Marling (1998:405) and De Wet (2010:96) observed that competence-based approaches are generally reductionist, behaviourist,

restrictive, intransigent, empirically and didactically unjustly based on the generic notion that such approaches are transferrable and multi-functional. The South African Public Service as organisation is compelled by the Green Paper on Public Service Training and Education (1997), Part 2, Chapter 5, to implement a competency-based approach. Paragraph 5.7.5.4 of Part 2, Chapter 5 of the Green Paper on Public Service Training and Education (1997), directed that, "All public service institutions will be required to conduct job evaluations or re-evaluations of all posts, with the purpose of ensuring that they are expressed in terms of the essential competencies required for effective job performance in the context of the new vision and mission determined for the Public Service in the White Paper on the Transformation of the Public Service (1995). The process should involve both sector-specific competencies and core transversal competencies." MacGillivray (2002:7) and De Wet (2010:97) aptly state that public service organisations that are competence-based do meticulously select, employ, empower, and foster amongst its public servants excellence, which includes efficiency, effectiveness, economy and accountability.

Horton, Hondeghem and Farnham (2002:4), as well as De Wet (2010:97) alert readers to the fact that the clarification of the semantics between competence and competency is a potential "minefield". The reason is that there are at least two concepts, different opinions, definitions and spelling together with different interpretations with a diverse foci and relevance to different layers of management. Whiddett and Hollyforde (2003:5) and De Wet (2010:97) suggest the difference between competence and competency as follows: competence connotes an individual's aptitude, founded on job related duties, whereas competency refers to an individual's ability based on conduct.

Hogg (2010:1), De Wet (2010:97) and the Chartered Institute of Personnel Development (CIPD) propose the following definitions: competence correlates with a practice of marginal values and can be validated by execution and that which is delivered; competency relates to the behaviours that is required of a workforce. A workforce should obtain such behaviour patterns to contribute to specific circumstances in which they can accomplish a high level output.

Horton, Hondeghem and Farnham (2002:4) and De Wet (2010:97) points out that competence connects with "outcomes of competence" and competencies can be explained as "inputs that help to achieve successful performance in a job". Competence is therefore about the job and job-outcomes, and competencies are about the individual staff members who "do the work" (Bellis 1997:1; Horton, Hondeghem and Farnham 2002:4; De Wet 2010:97). It can therefore be assumed that an individual is employed for his/her competence (displayed and validated aptitude) and that the duties he or she will assume, require specific competencies (behavioural input and execution) (see Boyatzis 1982:12; Hellriegel, *et al.* 1999:4; Noordegraaf 2007:322).

From the variety of definitions offered above, it can be deduced that competence is an individual's application of an aptitude transferrable to a context (skills, knowledge and attitude). This is required to execute one or more job related tasks (functional, introductory or spontaneous), which are measurable against specific standards of performance where the individual possess an embedded intelligence of her or his performance within the organisational system (De Wet 2010:98). In relation to South Africa as a developmental state, such a definition would translate into senior managers' diligence to affect an aptitude context transferrable (skills, knowledge and attitude) to successfully manage, lead and enable multi-faceted developmental oriented tasks (functional, introductory or spontaneous). Such an aptitude is measured against individual performance agreements or contracts to achieve organisational objectives in line with the state's developmental agenda and goals.

The Department of Public Service and Administration (dpsa) produced a framework for Human Resources and Development (HR&D). This framework guides public service departments, such as National Treasury, when it designs competency frameworks that are relevant to a particular expertise. Treasury produced a Competency Framework for Financial Management (2010) that adopted definitions, outlined by the dpsa. Treasury's Competency Framework for Financial Management (2010) defines competencies as "a mix of skills, related knowledge and attributes to produce a job/task against a defined standard". The Competency Framework for Financial Management (2010) furthermore defines competence as "the outcomes which would define effective performance, i.e. aspects of the job at which a person is competent". The latter document provides definitions to the following terminology for purposes of clarification: a skill is defined as "the innate or learned capacity to achieve pre-determined results consistently with the minimum outlay of time, energy or both".

It is observed that a specific public service context is imported as it refers to the SMS Handbook (2003:2) "effective application of human and material resources" and the Measurable Performance and Accountable Delivery (2010:107) as the concept of "more with less" is required. The Competency Framework for Financial Management (2010) describes knowledge as "the theoretical and/or practical understanding of a subject, facts and information". Attributes are explained as "the quality of character required to be an effective and successful performer in a specific job".

Cognisant of South Africa's history, a subsequent deficit deposit on the nation's skills, and the complex landscape within which public servants have to deliver services, it would be ignorant not to consider the requisite competences of senior managers. Virtanen (2000:333-341) and Schwella, as well as Rossouw (2005) identified five domains of specialisation against which senior managers should deliver successful results. These four domains are recognised as:

- assignment or task competence domain;
- professional competence domain in:
 - discipline;
 - Public Administration;
- political competence domain;
- ethical competence domain.

Making an allowance for the scholarly contributions that supports this article, there is a case for the further inclusion of:

- a political competence domain;
- an economic competence domain;
- a social competence domain;
- a public “business” competence domain.

Recognising that the domains identified in the previous paragraphs carry an equal weight towards successful service delivery, this article focused on the generic elements of public service competence as it relates to South Africa’s developmental landscape. These areas are identified as:

- political competence domain;
- economic competence domain;
- social competence domain;
- professional competence in Public Administration domain;
- public business competence domain.

The preceding paragraphs highlighted the notion of a public service senior manager’s aptitude to excel within South Africa as a developmental state, against the backdrop of a highly complex and dynamic landscape. The introductory notes recognised that competence in public service’s senior management is merely one of the basic attributes that contributes or hinders developmental success.

METHODOLOGY

The methodology sustaining this article can be described on the one hand as conceptual research through qualitative inquiry, supported by an in-depth literature review. The review examined similar elements of public servant proficiencies as competence contributors through which clusters of competence domains were identified from six developmental states (Japan, South Korea, China, Indonesia, Botswana and the Republic of India). The methodology refers on the other hand to a focus group session which

entails data collection techniques and the existing South African Public Service competency framework, identified as the Leadership Development Management Strategic Framework (LDMSF). Kaniki (2009:19) explains that no research study subsists separately from previous inquiry. It was therefore of critical importance to recognise the paradigmatic evolution of developmental states, amongst them South Africa's developmental status and its Public Service's aptitude to deliver on developmental objectives through existing scholarly efforts.

Conceptual research design

Mouton and Marais (1990), Mouton (2008:49, 55-57, 122-123, 144-147), and Durrheim (2009:34-37) explain conceptual research design as inclusive of a plan and structure that support augmented validity of the research findings. The research design of this article is rooted in the topic that this article addresses. The first phase of this article's research plan underpinned a literature study and was aimed at exploring the paradigmatic evolution of six developmental states (Japan, South Korea, China, Indonesia, Botswana and the Republic of India) within the developmental context. The progression of each developmental state was measured through definite examples, patterns and concepts over a specific timeline to ascertain the role ultimately of a public service and key competency contributors, as each state presented itself through diverse circumstances. The second phase of the article's research plan explored South Africa as a developmental state, which simultaneously micro-focussed the literature study contextually. Phase three delineated the border posts that demarcated expectations on public service at senior management level within South Africa as developmental state.

The research efforts explored current senior management competencies and key competency contributors as it became discernible through the gathered data. During phase four, a triangulation between the following article and relevant elements occurred. Key competency contributors gathered from a literature study that followed a paradigmatic evolution of six developmental states was measured against a currently implemented South African Public Service Senior Management Service (SMS) competency framework LDMSF and results gathered from a focus group session with respondents relevant to the research. These included South African Public Service senior managers and senior managers responsible for the identification, construction and management of a senior management competence framework. The structure evidently ensured that all seven developmental states were explored in a scientific coherent manner.

Research questions and findings

The research questions can be outlined as follows: Are there recognisable clusters of competency domains that could be established from scholarly contributions of Japan, South Korea, China, Indonesia, Botswana and the Republic of India as developmental states, through those contributing to competency? What are the similarities between these competency contributors when triangulated against a South African Public Service SMS focus group session and LDMSF?

ASCERTAINING SENIOR MANAGEMENT COMPETENCY DOMAINS FROM A DEVELOPMENTAL STATE LANDSCAPE

The following assumptions and conclusions can be drawn from the data represented in Tables 1 to 5:

A first assumption accepts that the literature study focused exclusively on developmental states and the subsequently related public service competence. In that case the baseline information would be that the data representing the literature study would represent a 100%.

The second assumption would be that the literature study representation in Tables 1 to 5 demonstrates a developmental, senior management public servant's desired state of preparedness to function optimally in a developmental state. Measured against such a desired state, clear inferences can be made about the South African senior management public servant's preparedness to guide senior managers towards optimal functioning in the democratic, developmental state. These are examined on the following pages.

FRAMEWORK

Considering the developmental state landscape and its political dimension, the literature study offered 23 competency contributors, the focus group respondents offered 4 competency contributors and the LDMSF offered 2 competency contributors. The percentage value of the literature study, reflected as the desired state, as it focused solely on the developmental state, presents a value of 100%; focus group respondents offered 17% and the LDMSF offered 8.7%. It can therefore be deduced that the LDMSF might consider a substantial increase in competencies to address the political dimension.

Data gathered on the economic dimension presented the following statistics: the literature study suggested 23 competency contributors whilst focus group

Table 1: Political competence domain: competency contributors

Political domain	Competency contributors
Literature study	The rule of law; Legality, regulation; Transparency and social equality; Democratic character; Strong state structures; Form and character of developmental accomplishments; Typography of South Africa’s history and its influence on the future; Politics and development; Establishing an interactive strength: Strategy selection and action; Maturation paths of transformation; Socio-political relations and interaction; Internal and external force-fields; National and global relations; Entrance into the global society; Construct and re-organise cultural -political precursors; Social capital; Trust building and cooperation; Enable, lead and manage networks; Accountable global leadership; Governance; Developmentalist approach; Developmental state resolve; Official approach to politics; Indigenous and global innovation.
LDMSF	Strategic capability and leadership: Strategic planning, Governance and management frameworks; Leading people: Strategy and task execution management.
Focus group session	Political-administrative interface; Political ideology and the State; Global and domestic landscapes; Trust building.

Source: De Wet (2010:118, 119)

Table 2: Economic competence domain: competency contributors

Economic domain	Competency contributors
Literature study	Interaction between government, and markets; Social and economic capital efforts; Economic expansion; Transformation in industrious sectors; Economic achievements; Launching high speed economic growth; Typography of the state’s history and its influence on the future; Interactive strength: Strategy selection and action; Maturation paths of transformation; International and national force-fields; Global awareness; Interaction between states, banks and business; Transformation of the economy and infrastructure; Conception of industrial policy tools; Promotion of industry commerce and capital liberalisation; Industrial and financial conglomerates; Entrance into the global society; Political precursors that enable social equality through economic growth; Social capital, trust building and cooperation; Social and economic capital efforts; Improved economic landscape: Socio-economic growth; Developmental state resolve; Enable, lead and manage robust networks; Indigenous and global innovation.
LDMSF	–
Focus group session	The State, the economy and development; Economic policies.

Source: De Wet (2010:119-120)

Table 3: Social competence domain: competency contributors

Social domain	Competency contributors
Literature study	Stimulate and encourage interface and discourse; Engagement in the collective public; Inclusion of citizens to agree on the developmental agenda; Typography of the state's history and its influence on the future; Interactive strength: Strategy selection and action; Maturation paths of transformation; People matters; Social relations; Re-institute dignity and self-esteem; The role of national customs; Entrance into the global society; Political precursors to enable social equality through economic growth; Social capital, trust building and cooperation; Social and economic capital efforts; Networks; Diversity management; High quality human capital; Improved economic landscape: Socio-economic growth; Rule of law and social equality; Indigenous authenticity and values; Social inclusivity; Exceptional developmental state resolve; Public participation in policy and decision making; Enabling, leading and managing robust networks; Indigenous and global innovation.
LDMSF	Service delivery innovation; Consultation; Redress; Providing information; Openness and transparency; Value for money; Setting service standards; Ensuring courtesy; Increasing access.
Focus group session	Social sustainability; Innovating initiators and mobilisers of civil society; Including and enabling citizens; Passion for the people and the country.

Source: De Wet (2010:120-121)

respondents suggested 2 competency contributors and the LDMSF suggested 0 competency contributors. The percentage value of the literature study presented a value of 100%, focus group respondents presented 8.6% and the LDMSF presented 0%. It can therefore be reasoned that there is substantial reason for the inclusion of competencies in the LDMSF, that address public sector, senior management competence in the economic dimension.

Competency contributors gathered to support the social dimension of a developmental state revealed that there were 25 from the literature study, 3 from focus group respondents and 9 from the LDMSF. The percentage value of the literature study is 100%, from focus group respondents it is 12% and the LDMSF is 36%. It can be argued that there is significant reason for the inclusion of competencies to address the social dimension of a democratic, developmental state in the LDMSF.

In terms of professional competency contributors in public administration, the literature study provided 36 competency contributors, focus group respondents offered 13 and the LDMSF provided 16 competency contributors. The percentage value against the literature review is 100%, focus group respondents' percentage value is 36% and the LDMSF percentage value is

Table 4: Professional competence domain: Public Administration competency contributors

Professional: Public Administration domain	Competency contributors
Literature study	<p>Legislation and policies; Resolute, effectual, closely controlled and answerable; Anti-corruption Ethical values, principles and norms; Effective implementation of policies, Formulate and implement policies, Ability to execute economic policies, Strong policy control; Direct administrative and political resources to achieve economic development; Organisation constitution; Contending and collaborating dimensions in a developmental state; Skilled and moral servants; Robust character of government; Change enablers; Inter-departmental partnerships; Optimally functioning, results-oriented bureaucracy; Organisation that can safeguard itself against global force-fields; Moderniser and innovator of socio-economic development; Pre-emptive and forceful; Strategies for achievement; Recognise landscape; Strengthened administrative, specialised and depersonalised standards; Well-defined medium term organisational goals to organisational mission; Bureaucratic polity; Merit-based; Reform-induced efficiency improvement; Ability to translate strategy and developmental policies into action; Optimal functioning, results-oriented, streamlined organisations; Resource mobilisation; Real power, authority, technical competence, insulation and continuity; Innovation; Flexibility; Developmental oriented; Accountability; High trust, high discretion, high ambition, honesty; Passion for the nation and its citizens; Responsible, taking ownership, inclusivity, decisive, vigorous; Management and leadership; Performance driven, results oriented; Resource effectiveness.</p>
LDMSF	<p>Legislative framework; Annual performance reporting; Financial reporting; Project and programme performance reporting; Change results impact: Monitoring and evaluation; Change management; Service delivery innovation; Strategic capability and leadership; Organisation communication; Management: People management and empowerment; Project and programme management; Financial management; Change management; Knowledge management; Problem solving and analysis.</p>
Focus group session	<p>Conduct and approach; Global and domestic landscape; Innovative solutions; Passion for the people and the country; Strategic capability and leadership; Matrix management; Programme and project management; Financial management; Human resource management; Culture of Ubuntu; Individual public administration orientation; Seriousness and commitment in line with environment and developmental objectives.</p>

Source: De Wet (2010:121–122)

Table 5: Public business domain: competency contributors

Public business domain	Competency contributors
Literature study	Organisation constitution; Alterations to the way in which business is conducted, both private and public and interaction between private and public sectors; Information and technological innovation; Organisational transformation; Autonomous problem solving and decision making; Operational effectiveness; Communication; Negotiation skills; Resilience; Resource effectiveness – “more with less”; Re-engineer business processes and systems, Organisational development; Human resource management and development; Programme and project management; Financial management; Process and system analysis; Technical innovation; Institution building; Streamlined organisations; Innovation.
LDMSF	Business process delivery loops; People management and empowerment; Programme and project management; Financial management; Technical and professional skills; Best practice; Problem solving and analysis.
Focus group session	Programme and project management; Financial management; Technical skills; Innovation.

Source: De Wef (2010:123)

44%. The notion of improved competencies that specifically apply to the public service becomes evident.

Public business competency contributors are representative of modern bureaucracies and therefore potentially critical to consider for inclusion in the framework directing a public service senior management’s competency. The literature study presented a value of 17 competency contributors, focus group respondents offered 4 and the LDMSF displayed 7 competency contributors. The percentage value for the literature study is 100%, the percentage value for focus group respondents is 23.5% and the percentage value for the LDMSF is 41%. Significant improvements can therefore be made to support public service senior management to impact positively on a contemporary public service.

Based on this analysis it can be argued that if the literature study presents a benchmark of 100% total, the figures displayed in Table 1 represent evidence that the focus group was able to identify a total of 21% competency contributors and the LDMSF present a total of 27.4% competency contributors. It can therefore be argued that there is reason to re-evaluate critically and align the South African Public Service’s senior management competency framework and related competencies, and to consider the suggested competence domains as determinants of competencies that would support senior management of a developmental oriented public service to achieve South Africa’s developmental goals.

Table 6: Competency contributors identified through the literature study, focus group session and LDMSF: statistical values

Political competency contributors			
	Literature study	Focus group session	LDMSF
Value	23	4	2
%	100%	17%	8,7%
Economic competency contributors			
Value	23	2	0
%	100%	8,7%	0%
Social competency contributors			
Value	25	3	9
%	100%	12%	36%
Sub-total: Developmental state landscape	71	9	11
Average %	100%	12,7%	15,5%
Professional competency contributors: Public Administration			
Value	36	13	16
%	100%	36%	44%
Public business competency contributors			
Value	17	4	7
%	100%	23,5%	41%
Average total	124	26	34
Average %	100%	21%	27,4%

Source: De Wet (2010:124)

CONCLUSION

This article explored the topic and contributed through a literature review of Japan, South Korea, China, Indonesia, Botswana and the Republic of India as

developmental states. The research enabled a focus group session and existing data in practice to intensify and redirect the focus of public service senior management competencies. In addition, the research enabled competency contributors that shaped clusters of competence domains that are relevant to a developmental, public service, senior management environment. Such competence domains could contribute towards strengthening a developmental public service's sustained achievement of the state's developmental goals. This article highlighted five domains for inclusion into the public services' senior management competency framework which would strengthen and enable senior management to manage and lead effectively, efficiently, economically and with accountability. The study reinforced each of the five domains with competency contributors that could model a set of developmental public service senior management competencies in the Republic of South Africa as a democratic and developmental state.

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Justifying administrative action for reasonableness

A quest for accountable public administration

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ABSTRACT

Defining reasonableness in the positive and knowing its true meaning in the context of public administration is no easy task. This article attempts to explain the practical functioning of the standard of reasonableness in administrative action and decision-making. The aim of having the standard of a reasonable decision-maker is to produce a set of guidelines that public officials can use. The very presence of the rationality, proportionality and contextual standards of reasonableness has proved to have a positive guiding or justifying effect on the execution of administrative decision-making. These standards of reasonableness have the potential not only to enhance accountability in public administration, but also to enrich the South African administrative justice system.

INTRODUCTION

Reasonableness is about the soundness (goodness) of reason and judgment. It is a constitutional imperative that administrative action must be reasonable. However, the question to ask is what the quality of reasoning is in administrative actions and decisions in the practice of South African public administration.

In terms of the *Constitution of the Republic of South Africa*, 1996 (hereafter the Constitution) (Section 195(1)) a public official as a 'public servant' is called upon to deliver a service to the public (the 'customers') and in his/her service delivery the public official must not only act in a way that is lawful, procedurally fair and *reasonable* (Section 33(1)), but also in such a way that he/

she is alert to the needs of its people and addresses these needs. This means that the Constitution imported the standard of a reasonable decision-maker into public administration. However, to establish the constitutional content of reasonableness is no easy task because the concept is more often than not defined in the negative by the courts and legislation.

The purpose of this research is to explain the practical functioning of the notion of reasonable administrative action by means of an interpretation and analysis of relevant legislation and judicial decisions. In doing this an attempt is made to apply a 'positive' perspective to the understanding of reasonableness in contrast to the more common negative perspective. The first aim of this article is to establish the meaning and content of the word "reasonable" in terms of the Constitution as that meaning must inform one's reading of the *Promotion of Administrative Justice Act, 3 of 2000* (hereafter the PAJA) (the national legislation emanating from the constitutional mandate contained in Section 33(3) of the Constitution). The second task is an interpretation of "reasonableness" in terms of the provisions of the PAJA (which is logically underpinned by an understanding of the Constitution from which it emanates). Establishing the meaning of the three elements of reasonableness (rationality, proportionality and contextual reasonableness) and understanding how public officials should apply them in practice to ensure "good" public administration are crucial to an understanding of reasonableness. The third aim is to establish the extent to which the reasonableness of administrative action may contribute toward accountable public administration.

The foundational principles of a deliberative and accountable public administration have their source in the Constitution and its values. The argument of this article is that in order to promote the constitutional vision, a proper and understandable application of the requirements of administrative justice, with particular emphasis on reasonable administrative action, is needed to foster the principle of accountability.

THE CONSTITUTIONAL MEANING OF REASONABLENESS

Defining reasonableness in the positive (what it is) is no easy task. This explains why the courts and even pieces of legislation often find it easier to define reasonableness in the negative by pointing out what is not reasonable. The exact meaning and content of reasonableness is therefore not clear as no single meaning can be attributed to reasonableness. This article suggests that the constitutional meaning of and intent for reasonableness should be the starting point.

The Constitution makes an unqualified, direct and specific reference to reasonableness. It states that administrative action must be reasonable (Section

33(1)) which implies that all administrative action is subjected to a standard of reasonableness. The Constitution has therefore created the standard of a reasonable decision-maker, but without explaining what is meant by this. This standard does not, however, mean that the decision of a public official must be correct or perfect in all respects. The standard simply means that decisions must fall within the range of decisions that a reasonable public official will make (Klaaren and Penfold 2006:63/109). The standard of reasonableness in itself implies a measure of flexibility which allows the public official appropriate leeway to determine the best way to meet the administrative justice obligations of the Constitution. In this sense “reasonable” may be interpreted as a decision in accordance with reason or within the limits of reason – a space within which various reasonable choices may be made to give scope for legitimate diversity (Hoexter 2009:70). It simply implies that a reasonable decision-maker should not make an irrational or capricious decision, but this reverts to the negative explanation of reasonableness rather than the positive approach that this article strives to introduce. The standard of a reasonable administrative action therefore refers to a midpoint between obviously capricious decision-making and what would be perceived as perfect decision-making. To repeat, it does not suggest that a decision is only reasonable when it is perfect or correct in all respects (Hoexter 2004:159). Reasonableness in this sense seems to be an appropriate standard of administrative justice in a constitutional democracy that values the accountability of public officials.

To complicate matters, various meanings of reasonableness exist depending on the particular context. When reasonableness is determined and defined contextually it is important to locate the issue at hand in its appropriate constitutional setting. The most popular South African contexts in which the concept of reasonableness are located are those of the right to administrative justice (administrative matters), the enforcement of socio-economic rights (non-administrative/policy matters) (Hoexter 2012:340), and the liability of the state for negligent omissions in delict (Pillay 2005:420). The standards of reasonableness under the distinct provisions of the Constitution overlap, but do not duplicate the same function. There is indeed an interaction between these standards that promote the core advantages of reasonableness in public affairs (Quinot and Liebenberg 2011:661), but there is no single concept of reasonableness applicable to all the mentioned contexts (Steinberg 2006:276).

REASONABLENESS IN TERMS OF THE PAJA

The PAJA attempts to give practical effect and content to the scope and meaning of this constitutional obligation upon public officials to act reasonably. In a

sense the obligation to act reasonably is a constitutional matter because the relevant subsections of the PAJA must be construed and applied consistently with the Constitution (*Bato Star Fishing (Pty) Ltd v Minister of Environmental Affairs & Others* 2004 (4) SA 490 (CC): para 25). The PAJA dictates reasonable administrative action by setting reasonableness as a ground for judicial review of administrative action (Sections 6(2)(f)(ii) and 6(2)(h)). The implication is that administrative decision-makers are required to act reasonably or within the limits of reasonableness. The question that inevitably arises is what is meant by reasonableness and what does it imply for public administration. The three important elements of reasonableness are the *rationality* standard (Section 6(2)(f)(ii)), the *proportionality* standard and the *contextual reasonableness* standard (Section 6(2)(h)). The first element refers to the structure of the decision-making process which allows the reasonable decision-maker to make a *rational* decision (i.e. a decision which is supported/justified by the evidence and information before the public official and the reasons given for that decision). In other words, does a set of reasons exist for the decision that would convince someone that the decision is indeed reasonable? The second element relates to the effects of the decision in that a reasonable decision-maker needs to make a decision which is *proportionate* in its effect (i.e. a decision which achieves a reasonable equilibrium in the circumstances). The third element refers to a contextual approach where reasonableness varies from case to case depending on the particular facts and circumstances (i.e. a nuanced, situation-sensitive approach). What is reasonable in a particular case will then depend on the circumstances (i.e. it is context-based) which may be defined by factors such as the nature of the decision, the identity and expertise of the decision-maker, the issues relevant to the decision, the reasons given for the decision, the nature of the competing interests involved and the effect of that decision on the lives and wellbeing of those affected.

Each of the three elements of reasonableness will now be analysed separately.

The rationality standard of reasonableness (Section 6(2)(f)(ii) of PAJA)

Rationality is regarded as a minimum threshold requirement for the exercise of public authority (*Pharmaceutical Manufacturers Association of SA In Re: Ex Parte Application of President of the RSA* 2000 (3) BCLR 241 (CC), 2000 (2) SA 674 (CC): para 90). The rationality standard of reasonableness requires that the administrative action or decision have a sound and rational basis, i.e. be based on reason. Every administrative decision has an element of subjectivity in the sense that a decision is based upon a particular public official's special expertise and qualifications. However, despite this subjectivity a decision must always be capable of objective substantiation – or be justifiable. Justifiability

(a rational connection between the action/decision and the reasons given for it) was contained in Section 24(d) of the *Constitution of the Republic of South Africa*, 200 of 1993 (hereafter the Interim Constitution), but it has been abandoned by the 1996 Constitution and replaced with a simple right to “reasonable” administrative action (Section 33(1)). Reasonableness (which includes rationality and some other standards) sets a higher standard because it calls for more intensive scrutiny (*Minister of Health v New Clicks South Africa (Pty) Ltd* 2006 (2) SA 311 (CC): para 108).

Rationality refers to the structure rather than the effects of an administrative action. The structure refers to the manner in which the action is taken or in which the public official reaches his/her decision. This structure (or manner) of rational decision-making is explained in the PAJA by using the following four requirements (which goes a good deal further than the justifiability requirement of the Interim Constitution). The PAJA (Section 6(2)(f)(ii)) stipulates that administrative action be rationally connected to the following:

- the *purpose* for which it was taken;
- the *purpose* of the empowering provision;
- the *information* before the public official; or
- the *reasons* given for it by the public official.

The meaning of each of the four requirements (the four-pronged test) for rational administrative action will now be analysed separately.

Administrative action must be rationally connected to the purpose for which it was taken (Section 6(2)(f)(ii)(aa) of PAJA).

This subsection of the PAJA clearly requires that there be a rational connection between means and end. This implies that the means or measure chosen (the administrative action) by the public official has to be such that there is at least an objective probability that the end (the purpose) will be achieved. There must be a rational connection between the measure taken and its aims. The measure taken has to be reasonably capable of achieving the desired aims. Whether there is indeed such a rational connection is to be determined objectively (De Ville 2005:201).

A suitable example to explain this requirement comes from a case that was decided before the PAJA was implemented. In *University of Cape Town v Ministers of Education and Culture* 1988 (3) SA 203 (C), the then Minister of Education stopped the payment of state subsidies to that particular university on the basis that the university did not uphold law and order on campus. The Minister exercised his authority in terms of the provisions of the *Universities Act*, 61 of 1955. The university, however, argued that the purpose of the payment of subsidies was to promote tertiary education, and not to uphold law and order

on the campus. The court found that the ministerial conditions were indeed invalid because the means (the promotion of law and order) did not coincide with the ends (the promotion of higher education in terms of Section 25 of the Universities Act). If this case were to be decided in terms of the PAJA it could be argued that there is no rational connection between the Minister's decision (to stop payment of state subsidies) which was taken for the purpose of restoring law and order on campus, and the purpose of the Universities Act which was to promote tertiary education.

Administrative action must be rationally connected to the purpose of the empowering provision (Section 6(2)(f)(ii)(bb) of PAJA).

This subsection of the PAJA, like the previous one, also requires that there be a rational connection between means and end. This requirement for rational decision-making requires a rational connection between the purpose of the decision and the empowering provision. Whether there is indeed such a rational connection is to be determined objectively. In other words, is the decision, objectively speaking, rationally related to the purpose for which the authority was given? The issue here is not whether the decision itself is rational, but whether it is rationally related to the purpose for which the authority was given by the empowering provision. If this is not the case then the decision is arbitrary.

Suppose that an empowering provision allows for compensation to be awarded to an employee for unfair dismissal. Say a Commissioner of the Commission for Conciliation, Mediation and Arbitration (CCMA) then awards compensation to an employee for an action by an employer which is totally unrelated to unfair dismissal. If an award for compensation is then given for unfair dismissal in this situation there would be no rational connection between the granting of the award and the purpose of the empowering provision. In other words, such an award would not achieve the aims and objectives of the empowering provision.

Administrative action must be rationally connected to the information before the public official (Section 6(2)(f)(ii)(cc) of PAJA).

This subsection of the PAJA clearly requires that there be a rational connection between the information (evidence and argument) before the public official and the decision reached. This requirement for rational decision-making ensures that a public official apply his/her mind to the matter before him/her. This means that the action taken must make sense given the information that is available to the public official who makes the decision to take the action. Or to put it differently, the public official must be able to justify the rational connection between the information before him/her and the conclusion reached (*Rustenburg Platinum Mines Ltd v Commission for Conciliation, Mediation and Arbitration* 2007 (1) SA 576 (SCA): para 29).

A suitable example to explain this requirement can be found in a procurement matter where the award of a tender by the Potchefstroom Local Municipality was found to be not rationally connected to the information before the deciding committee. Mr Justice Murphy held that the information on price, company profile, preference and reference sites did not justify the award to a particular company. This decision by the Potchefstroom Local Municipality clearly indicated that there was no rational connection between the outcome of the decision of the municipality and the facts upon which the decision was based (*Total Computer Services (Pty) Ltd v Municipal Manager, Potchefstroom Local Municipality* 2008 (4) SA 346 (T): para 55).

Administrative action must be rationally connected to the reasons given for it by the public official (Section 6(2)(f)(ii)(dd) of PAJA).

This requirement for rational decision-making must be read with Section 33(3) of the Constitution and Section 5(1) of the PAJA on the provision of written reasons. The latter imposes a duty on the public official to provide written reasons on request where rights have been materially or adversely affected (*Cf. Brynard* 2009:638—648).

This subsection (dd) of the PAJA requires that administrative action be rationally connected to the reasons given for it (i.e. that the outcome be rationally justifiable in terms of the reasons). This simply implies that the reasons given by a public official must be supportive of the decision that was taken. To ensure the rationality of the administrative action there must be a rational connection between the action and the reasons given for it by the public official. The reasons also have to show that the public official applied his/her mind to all the relevant issues at stake and did not take account of any irrelevant considerations or bad reasons. The influence of bad or inadequate reasons (i.e. with regard to the integrity of the reasons) points to another dimension of rationality in decision-making. This dimension was emphasised by Mr Justice Cameron when he said: “Once bad reasons played an appreciable or significant role in the outcome, it is in my view impossible to say that the reasons given provide a rational connection to it.” (*Rustenburg Platinum Mines Ltd v Commission for Conciliation, Mediation and Arbitration* 2007 (1) SA 576 (SCA): para 34). This simply means that bad reasons cannot be the basis of rational decisions.

The proportionality standard of reasonableness (Section 36(1) of the Constitution)

The second element of reasonable administrative action promised in Section 33(1) of the Constitution is proportionality. But, unlike rationality and contextual

reasonableness, the status of this element remains somewhat controversial because there is no direct reference to the requirement of proportionality in the PAJA. However, in terms of Section 36(1) of the Constitution proportionality finds application when any fundamental right included in the Bill of Rights (including the right to just administrative action) is limited. This section stipulates that the limitation of a fundamental right must be reasonable and justifiable and therefore mentions specific factors which must be taken into account to determine whether there was proportionality in the limitation of the fundamental right.

What then is proportionality? Proportionality relates to the means or method used to achieve a particular purpose – whether the means are proportional to the purpose. Proportionality has been described as “not using a hammer to crack a nut” (*S v Manamela* 2000 (3) SA 1 (CC): para 34) or as “not using a sledgehammer to kill a fly on the wall”. Proportionality therefore requires that in achieving a statutory purpose, the harm to the individual should not be disproportionate to the gain to the community. What can public officials learn from this? Simply to exercise a sense of proportion — that they need to consider both the need for the action and the possible use of less drastic, oppressive or restrictive means to accomplish a desired purpose or end. The purpose of proportionality is therefore to avoid an imbalance between the adverse and beneficial effects of the administrative action (Hoexter 2012:344).

The principle of proportionality has three elements:

- the *suitability* of the administrative action
- the *necessity* of the administrative action
- a *balance* between adverse and beneficial consequences of the administrative action

The nature of each of the three elements for proportional administrative action (three-stage test) will now be analysed separately.

Suitability of the administrative action (use of lawful and appropriate means)

Suitability (or adequacy) means that the public official must, when exercising his/her authority, choose only those means (from the variety of options available) that are most appropriate for achieving the desired end. In short, there must be proportionality between the means and the ends. This element is almost synonymous with rationality – there must be a rational connection between the means and the end. A public official who orders the demolition of an informal settlement because he/she is of the opinion that it constitutes a breeding place for illness and crime will not pass the test of rationality or proportionality.

Suitability thus refers to the use of lawful and appropriate means to accomplish the public official's objective.

Necessity of the administrative action

Necessity means that the public official must consider the need for the action and take only such steps as are indispensable (necessary) if any prejudice to an individual is involved. The public official must choose the administrative action that causes the least harm (least intrusive option) to those who will be affected by the measure.

A balance between adverse and beneficial consequences of the administrative action

The achievement of a balance implies the weighing up of the advantages and disadvantages when considering the end (purpose or objective) to be attained. The methods or means used must not be out of proportion to the advantages to the community. The public official should determine whether there is a proper balance between the means (used by the public official) and the ends (the advantages and disadvantages of the end which is attained by the performance of the particular administrative action). It also means that the public official should be alert to the presence of less restrictive means to achieve the purpose for which the action was taken ("should not use a hammer to crack a nut"). Some may say that the public official even has a duty to consider less restrictive means (Hoexter 2004:160) to be able to be moderate and to avoid extremes.

The contextual standard of reasonableness (Section 6(2)(h) of PAJA)

This subsection of the PAJA stipulates that administrative action may be judicially reviewed if the action is "so unreasonable that no reasonable person" could have exercised the authority. The subsection must be read consistently (and interpreted purposively) with the Constitution and in particular with Section 33(1) which requires administrative action to be reasonable. Section 6(2)(h) of the PAJA was promulgated to give effect to this constitutional obligation and should then be understood to require that administrative action must simply be reasonable and must mean no less than what the Constitution requires. Ms Justice O'Regan stated that the subsection should be understood to require a simple test, namely that an administrative decision will be reviewable if it is one that a reasonable decision-maker could not reach (*Bato Star Fishing (Pty) Ltd v Minister of Environmental Affairs & Others* 2004 (4) SA 490 (CC): para 44). Reasonableness in this sense is the standard of "good" public administration that the Constitution calls for, whose converse is simply unreasonableness —

axiomatically something that no reasonable public official would perform. Mr Justice Howie refers to such unreasonableness as administrative action which is “so unreasonable that no reasonable person would have resorted to it” (*Trinity Broadcasting (Ciskei) v Independent Communications Authority of South Africa* 2004 (3) SA 346 (SCA): para 20). When the rationality and contextual standards of reasonableness are viewed together they, in essence, come down to the same meaning. This is why Mr Justice Nugent remarked that “If a decision is founded upon reason (*rationality standard*), then it is difficult to see how it could be said to be so unreasonable that no reasonable person could come to it (*contextual standard*), and the converse is equally true” [own addition and emphasis in italics] (*Calibre Clinical Consultants (Pty) Ltd v National Bargaining Council for the Road Freight Industry* 2010 (5) SA 457 (SCA): para 60). However, the PAJA lists them as separate standards of reasonableness and it has been confirmed by Mr Justice Hurt that the contextual standard of reasonableness actually goes beyond mere rationality when he held that “A decision which has no objectively rational connection to the purpose of the empowering provisions (*rationality standard*) must necessarily be one which no reasonable decision-maker could make (*contextual standard*), but an unreasonable decision may not necessarily be so because of irrationality” [own addition and emphasis in italics] (*Head, Western Cape Education Department v Governing Body, Point High School* 2008 (5) SA 18 (SCA): para 15).

The reasonableness of administrative action is always context-based. What constitutes reasonable administrative action will depend on the circumstances of each case. One therefore needs to make an analysis of the factual setting in which the question of reasonableness arises. What is relevant may vary from case to case depending on the particular facts and circumstances of an issue. In *Minister of Environmental Affairs and Tourism v Scenematic Fourteen (Pty) Limited* 2005 (2) All SA 239 (SCA) at para 15, the Supreme Court of Appeal dealt with the reasonableness of a decision (in terms of Section 6(2)(h) of the PAJA) regarding the allocation of fishing rights in the hake longline sector. In the judgment of the Court *a quo* Mr Justice Scott found that the method used by the Department of Environmental Affairs and Tourism to decide on the allocation was “objective, rational and practical *in the circumstances*” [own emphasis] (para 17). The directive circumstances here were the need to transform the fishing industry as prescribed by Section 18(5) of the Marine Living Resources Act, 18 of 1998 (hereafter the MLRA). What is reasonable in one context may, however, not be reasonable in another. The administrative action or decision must be able to achieve a reasonable equilibrium in the particular circumstances. Which equilibrium is the best in the circumstances is left to the discretion of the reasonable public official. This approach is context-sensitive, flexible and allows for some variability of reasonableness. A list of factors was offered in the *Bato*

Star case to allow considerable scope for variance. The mentioned factors to guide a reasonable public official include the nature of the decision, the identity and expertise of the decision-maker, the range of factors relevant to the decision, the reasons given for the decision, the nature of the competing interests involved and the impact of the decision on the lives and wellbeing of those affected (*Bato Star* 2004: para 45). Although the mentioned factors are not expected to perform ‘magic’ for public officials they offer some frame of reference for reasonableness which is otherwise a rather ‘colourless’ concept (Hoexter 2009:71).

But what does this standard imply for public officials who need to make reasonable decisions? The standard simply requires a decision-maker to act reasonably, in the sense that the decision taken needs to be one of the decision-making options or courses of administrative action (band of options or bounds of reasonableness) open to a reasonable public official in all the circumstances. For example, the Department of Environmental Affairs and Tourism has the authority to allocate fishing quotas to applicants from the deep-sea fishing industry in terms of Section 18 of the MLRA. The band of options open to the public official to allocate the fishing quotas are specified as “objectives and principles” in Section 2 of the MLRA. These are the objectives which the public official must have regard to when exercising the authority granted under the MLRA. In the *Bato Star* case Ms Justice O’Regan said that such a decision must strike a reasonable equilibrium between the objectives and principles mentioned in Section 2 and the guidelines of Section 18(5) of the MLRA in the context of the specific facts of the deep-sea fishing industry (*Bato Star* 2004: para 54). This allows a judicious amount of “administrative space” for the public official to ensure reasonable decision-making (Hoexter 2006:67).

CREATING A CULTURE OF ACCOUNTABILITY

The content of the “reasonableness” requirement of administrative justice is now clear but what is its constitutional foundation? The foundation of administrative justice is embedded in the values and principles of the Constitution. The founding values of the Constitution are expressed in section 1 and include, among others, issues such as human dignity, non-racialism, non-sexism, constitutional supremacy, rule of law and a system of democratic government. The constitutional values extracted from these which are the most suitable to be promoted through the application of the principles of administrative justice are linked to a system of democratic government which must ensure accountability, responsiveness and openness (Section 1(d)). Apart from the mentioned commitment to accountability, responsiveness and openness the Constitution in its “principles governing public administration” repeats the commitment to accountability, responsiveness and

transparency (Section 195(1)(e)-(g)) and also requires the fair, impartial and equitable provision of public services (Section 195(1)(d)).

Accountability, in the constitutional sense, means that public officials must explain the way in which they have exercised their authority. They must be able to justify their decisions in terms of the rationality standard of reasonableness. Rationality is ideally suited to do this as it requires that the administrative action or decision have a sound and rational basis, i.e. be based on reason. All four of the requirements for rational decision-making give expression to the fundamental constitutional value of accountability. Firstly, the public official must be able to justify (or give proper account) that the action or decision taken is at least reasonably capable of achieving the desired aims. Secondly, the public official must likewise be able to provide evidence (or give proper account) of a rational connection between the purpose of the decision and the empowering provision. Thirdly, the information (evidence and argument) before the public official and the decision reached must show evidence (or give proper account) of a rational connection. Finally, the reasons given by a public official must be supportive (or give proper account) of the decision that was taken. All of these requirements clearly work toward accountability as it gives structure to the decision-making process and explains the manner in which decisions were taken.

The fourth requirement of the rationality standard of reasonableness (mentioned in the previous paragraph) stipulates that the reasons given by a public official be supportive of the decision that was taken (Section 6(2)(f) (ii)(dd) of the PAJA). This implies that the public officials have to justify their decisions in terms of the reasons given for them. This justification is needed, not only to ensure rationality but to facilitate accountability on the part of the decision-maker. The justification also facilitates a transparent and open mode of administrative action and decision-making. It provides a safeguard against arbitrariness as it is likely that a public official will be exposed if he/she acted arbitrarily. The conduct of public officials should, therefore, be above reproach so that account can readily be given of it in public. At the heart of the realisation of the objective of accountability lies the need for a proper (and rational) decision-making process to be followed by the public official. It is common knowledge that an efficient and effective decision-maker will formulate his/her findings and reasons before making a decision. Reasons, therefore, may improve the process of decision-making and encourage consistency and rationality. The need to explain the rationality of a particular decision requires the decision-maker to apply his/her mind to the facts of each case before coming to a decision.

Accountability by its very nature implies the public scrutiny of public administration. Judicial review of administrative action (as authorised by Section 6 of the PAJA) is a mechanism of public scrutiny to ensure accountability. Judicial review is also a way to enforce the right to reasonable administrative action.

This means that any person who is unhappy with an administrative decision can challenge the decision in court. This is an open and transparent procedure which ensures accountability. Judicial review is a significant mechanism to ensure that administrative action or decisions fall within the bounds of reasonableness as required by the Constitution (*Bato Star* 2004: para 44). Although judicial review is not the only mechanism to promote the principles of participation, accountability and transparency in governance, it is an important means to the attainment of transparent and accountable public administration. The *Bato Star* judgment gave a clear expression of this kind of accountability. The Minister of Environmental Affairs and Tourism was reminded by Mr Justice Ngcobo that the enabling legislation made express provision for the application of the objective of transformation in the allocation of fishing quotas. If the decisions taken do not show evidence of promoting the objective of transformation in the allocation of fishing quotas then the Minister would be acting unlawfully and the decision would be open to attack (*Bato Star* 2004: para 103). However, judicial review may only be used as a last resort. In terms of the PAJA any internal remedy provided for in an enabling legislation must be used before an affected person can approach a court for a judicial review (Section 7(2)). For example, in terms of the Marine Living Resources Act, 18 of 1998 an internal appeal to the Minister is allowed against a decision taken by a public official acting under the authority of that Act (Section 80). In the *Bato Star* case the applicant (who was dissatisfied with the allocated fishing quota) did just that by appealing to the Minister against the Chief Director's decision (*Bato Star* 2004: para 16 and 67). Another example can be found in the *Refugees Act*, 130 of 1998 where an applicant for asylum whose application was rejected by a Refugee Status Determination Officer may appeal to the Refugees Appeal Board (Section 26(1)). The latter is a three-member board appointed by the Minister that can confirm, set aside or substitute any decision taken by a Refugee Status Determination Officer.

CONCLUSION

The analysis of the practical functioning in public administration of the notion of reasonable administrative action provided evidence that the South African administrative justice system is now empowered and ready to make a meaningful contribution to accountable public administration. However, defining reasonableness in the positive has indeed proved not to be an easy task at all. But the Constitution did import the standard of a reasonable decision-maker into our public administration and the PAJA made some contribution to clarify the three elements of reasonableness (rationality, proportionality and contextual reasonableness) in conformity with the Constitution. The article

suggested a logical flow and build up in the understanding of reasonableness. It explained reasonableness as a concept which begins with rationality, as the minimum threshold, then moves on to proportionality as a means to achieve a particular purpose which is proportional or in balance, and ends with the wider concept of reasonableness in its contextual format which is a value judgement on what the best approach in a particular context would be. It was expected of the courts to make some contribution to bring some clarification with regard to the meaning of reasonableness to the table. The *Bato Star* judgment, among others, rose to the occasion. This judgment emphasised the contextual nature (and broader standard) of reasonableness and the fact that a reasonable decision falls within a band of reasonable decisions. This allows for some understanding of the measure of “administrative space” available to the public official to ensure reasonable decision-making. The analysis of the functioning of the three elements of reasonableness provided evidence of the inherent potential to justify administrative action for reasonableness and in so doing contributed toward accountable public administration in South Africa.

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A theoretical understanding of student engagement in curriculum review and development

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ABSTRACT

The question every academic teaching in a higher education institution should ask is whether education is an investment or an end? The answer to the question highlights the difference between institutional success and student engagement as part of institutional success. The reality of the ever-changing environment is that what academics teach their students today becomes superfluous tomorrow. How students learn and engage becomes just as important as what they learn. The article argues that what Public Administration students should know should be guided by how they learn. The article focuses on student engagement as an important consideration during the process of curriculum review and development, since the relationship between content and how content is engaged with is the foundation for successful lifelong learning.

The article will discuss the multiple studies which have made a positive contribution to understanding the different dimensions involved in and constructive outcomes of student engagement. Specific arguments will support the integrated alignment between student, academic and institution in ensuring a successful higher education experience. The changing role of higher education is highlighted within the context of continued calls for relevancy and applicability in curriculum content. The argument supported throughout the article is that since higher education should consider and reflect the needs of its society, it stands to reason that the student should be an active collaborator in determining what is taught as well as how it is taught. It lies in the how a curriculum is taught

that the principles of student engagement, and thus the concept of lifelong learning, are embedded.

INTRODUCTION

Higher education in South Africa is in a state of constant flux of development and assessment. Higher education institutions are asked questions regarding their ability to produce quality students. Although an emphasis might be placed on producing quality students, higher education institutions in South Africa are increasingly also pressured to produce more quality students – to increase their enrolment and throughput rates. Universities should ask themselves whether they are satisfied with the number and quality of students produced, or whether measures should be taken to increase retention and throughput.

The article will question the manner in which higher education institutions challenge and support students through the curriculum as measure of retention and increasing throughput. The reality is that the current job market requires postsecondary education and students are becoming increasingly aware of the necessity to demonstrate the appropriate skills, competencies and knowledge required to perform the task at hand.

However, higher education institutions should ask themselves why time and energy should be invested in determining the key to student success. Kuh, Kinzie, Schuh and Whitt (2005:3-4) maintain that students are no longer passive recipients of institutional efforts to change or educate them, but that they are willing to accept the responsibility for gains achieved through postsecondary experiences. Higher education institutions should focus on how they shape their academic, interpersonal and curricular activities to promote or enhance student engagement. Furthermore, lecturers can no longer passively transfer knowledge to students, because by the time the student enters the job market, the knowledge might be outdated. What will be remembered is the manner in which the student was engaged in the curriculum and lecturers are, thus, increasingly tasked with imparting ways to foster learning, rather than merely act as facilitator of student change. Higher education institutions need to focus on both fostering and facilitating learning if student success is an important indicator of institutional success.

THE CHANGING ROLE OF HIGHER EDUCATION

Education is a journey and embarking on higher education should imply

that the importance of lifelong learning is a fundamental consideration for any higher education institution and its students. Lifelong learning entails the improvement of knowledge, skills and competencies through a variety of formal, non-formal or informal learning opportunities accessed throughout an individual's life. The purpose of lifelong learning is to ensure active citizenship, personal fulfilment, social inclusion and professional enhancement (Van Dijk 2012:54). Higher education institutions which acknowledge their specific place in the lifelong learning journey will be responsive to both its own institutional needs as well as that of society. Badat (2010:16-17) argues that the responsiveness of higher education should be seen in the context of ensuring economic growth and preparing students for the workplace in order to be productive workers for the economy. *The Education White Paper 3 – A Programme for Higher Education Transformation, 1997*, identifies the chronic mismatch between higher education products and modern economy needs as evident from the shortage of trained graduates in various fields of science, engineering and commerce. Interesting to note is that Section 1.4 of the *White Paper 3, 1997*, specifically states that:

“Higher education has an unmatched obligation, which has not been adequately fulfilled, to help lay the foundations of a critical civil society, with a culture of public debate and tolerance which accommodated differences and competing interests.”

The above implies that higher education should fulfil and address the need for critical thinking and empowerment in order to produce a graduate able and capable of contributing productively to society. Cicarelli (1987:128) states that a higher education institution is where students learn to sharpen their skills in critical thinking and communication in order to transform themselves from self-centered individuals into decent and caring citizens. While the educational paradigm underpinning education in South Africa is outcomes-based education (OBE) Maree and Fraser (2004:4) contend that OBE is based on the assumption that all learners can learn, although not at the same pace or in the same manner.

Habermas (1990) argued for higher education as the *“institution assisting in the construction of a rational society”* (Barnett 2007:65), while the reality is that the current understanding of what constitutes a rational society is complex and subject to interpretation. Thus, the higher education institution cannot provide a single version of a single truth, but should rather be a place where discourse and debate reflect the understanding of the world that is both *“too many and insufficient”* (Barnett 2007:65). While traditionalists bemoan the loss of academic standards or the loss of purity in the mission of higher education, more contemporary academics understand the need for responsiveness towards

the production of a knowledge economy, while being accountable and efficient in that endeavour.

Cretchley and Castle (2001:488) argue that since lifelong learning takes place in a variety of settings using a variety of methods, universities need to acknowledge the importance of, for instance, the workplace as site for the production of knowledge. This indicates the importance of including the community in the curriculum development, delivery and review process. The responsiveness of higher education implies its needed engaged character. Barnett (2007:67) makes provision for four types of engagement, namely non-reflectional (higher education being blind and unreflective); extractional (higher education only engaging in that which serves its own benefit); impositional (where higher education engages society knowingly and with the purpose of realising itself within the expectations set by society); and realisational (where engagement is entered into out of obligation or realisation that the purpose of higher education is towards society). Realisational engagement is needed to ensure a proper alignment between higher education needs and societal/economy needs. So the question might arise as to what the obligation of higher education is? What is its responsibility towards society and itself?

The above is not easy questions to answer, since the conditions faced by higher education have an impact on its ability to realise its obligation/responsibility. Barnett (2007:62) argues that higher education is changing rapidly due to globalisation, the interpenetration of higher education with its wider society, the agendas of participation, access and equal opportunities, the marketisation of higher education and competition. The above is substantiated by the *White Paper 3, 1997*, which states that higher education in South Africa should be increased to broaden participation, while ensuring responsiveness to societal needs and interests. The National Plan for Higher Education (2001:7) asserts that the competition between higher education institutions is most significant in its attempts to attract students and obtain financial support for activities. Again, the argument is supported that the more responsive a higher education institution, the more it will be in a position to engage not only with its society (implying producing more relevant and employable graduates), but also engaging students in the journey of lifelong learning.

Kilfoil (2008:1020-1021) maintains that engaging the student means creating a learning space that would connect the “*guru*” with the beginner, a space that would allow for self-expression in assessment, debate and dialogue during contact, a space to learn in a structured manner through courses and tutorials, while ensuring that the space is maintained through which information and knowledge flow. Thus, the answer to the question of responsibility might lie in understanding the requirements of graduateness as a result of higher education. Glover, Law and Youngman (2002:303) explain graduateness as “*the*

description of a set of qualities that usually mark a person who has undertaken a degree course developed under the auspices of nationally monitored quality systems.” Graduateness incorporates specific generic graduate attributes and skills for employability, but should not be seen as context-specific, rather as a demonstration of the ability of the graduate to learn and to continue learning in his/her workplace.

Employability refers to the application of a mix of personal qualities, beliefs, understandings, skilful practices and the ability to reflect on experience in situations of complexity and uncertainty. Griesel and Parker (2009:5) state that employability is influenced by four broad inter-related components, including skilful practices regarding problem solving, communication and lifelong learning, deep understandings of discipline specific knowledge, effectual beliefs about self-worth and personal identity and metacognition which includes the ability to reflect and develop self-awareness. Higher education institutions should not be seen as skills factories, but rather as spaces of engaged learning which produce employable graduates. The tension in higher education lies in balancing job readiness with an unpredictable future, thus implying the need for students to be actively engaged in the process of learning in order to enjoy a state of employability while understanding the importance of lifelong learning. Since the student is such an integral component in the learning process, the concept of student engagement will now be discussed.

WHAT IS STUDENT ENGAGEMENT?

Student engagement is built on two principles, namely determining the amount of time and energy spent by the student on educationally purposeful activities and the amount of time and energy spent by the higher education institution in developing and employing effective educational practices to induce students towards success or doing the right thing (Strydom and Mentz 2010:v). Kuh *et al.* (2005:4) state that time and energy that students spend on activities or tasks should lead to experiences and outcomes that constitute student success. The manner in which the institution allocates human and other resources and organises learning opportunities and services to encourage students to participate and benefit from such activities, should also contribute to student success.

Pascarella and Terenzini (2005:17-60) identified the conceptual categories for the different theories of student engagement. These categories include:

- Developmental theories which focus on the nature and content of intra-individual change. Change is perceived as developmental with emphasis on the ways individuals think and behave.

- College impact models describe student change as the product of environmental and inter-individual experiences. Change is attributed to the characteristics of the higher education institution which the student attends. Thus, student change is the product of student-related characteristics, such as academic achievement, socio-economic status, gender or ethnicity; structural and organisational characteristics, including institutional size, control and selection; or environment characteristics, for example academic, political or social climate created by staff and students on campus.

The developmental theories can further be categorised into clusters which deal with psychosocial development, cognitive structural theories, typological models and person-environment interaction theories and models. Psychosocial theories are based on Chickering's seven vectors for identity development (1969). Chickering and Reisser (1993) argue that the vectors clarify student integration by explaining how students reconcile increasing complex ideas, values and people with their own ideas, values and beliefs. The seven vectors include achieving competence, managing emotions, moving through autonomy toward interdependence, developing mature interpersonal relationships, establishing identity, developing purpose and developing integrity. The questions higher education institutions should ask if what they need to do to facilitate this student engagement process. Chickering and Reisser (1993) suggests the following:

- clarity of institutional objectives and internal consistency of policies, practices and activities;
- institutional size does not restrict opportunity for participation;
- frequent staff-student relationships in diverse settings;
- curricula integrating thought and process;
- teaching is flexible, varied in style and encourages student involvement in learning;
- friendships and student communities become meaningful subcultures; and
- student development programmes and services is offered collaboratively with staff members.

From the above the link between curricula and student identity development becomes apparent. The curriculum should not be only a reflection of the higher education institution, but also of the student it intends to produce through an engaged curriculum.

Cognitive structural theories originate from the work of Jean Piaget (1964) and have subsequently become the cornerstone for describing the nature and processes of change. The construct or meaning which individuals give to their reality during times of change. This has given rise to thinking that the developmental process is hierarchical and that a student will never fit into

his/her 'old' world, since the world now has new meaning. The following are examples of cognitive structural theories:

- Perry's Scheme of Intellectual and Ethical Development (1998) in which students develop their thinking in the following manner. Firstly dualism describes first encounters with change. Difference in opinions lead to discomfort and ambiguity creeps in. Secondly multiple perspectives are recognised and students admit that holding a different view is not necessarily bad. Thirdly, students come to recognise that knowledge is contextual and relative. This is a transformational change and students develop analytical and critical thinking skills. Fourthly students will be compelled to a relative truth by making choices about, for instance, their career, another person, values or behaviour.
- King and Kitchener's Reflective Judgment Model which tracks student change through three stages. Stage one is pre-reflective thinking, stage two is quasi-reflective thinking and stage three is reflective thinking. The eventual aim is to make students realise that knowledge is neither given nor understood, but constructed (King and Kitchener 2002:39-40).
- Magolda's Epistemological Reflection Model describes knowledge as the product of interaction with lecturers, peers and individual students. Knowing and patterns of knowing are socially constructed which result in four stages of knowing, namely absolute knowing, transitional knowing, independent knowing and contextual knowing (Carney 2002).

The cognitive structural theories thus determine student engagement as a product of individual change and adaptation as a result of their encounters with learning. Ensuring that the learning (through the curriculum) is relevant and contextual will result in positive engagement, which implies a more engaged and successful student.

Typological models describe the differences in the way in which individuals perceive their world and respond to it. David Kolb's learning styles and experiential learning theory (1984) is an example of how two students from different backgrounds will experience higher education differently. Kolb (1984:26) argues that learning should be perceived as a process and not in terms of outcomes. Thus, what is known is never absolute, but formed by and a product of experience. The implication of this on curriculum development is that the outcome of the curriculum is not the primary product of the curriculum, but emphasis should rather be placed on the manner in which the student engaged with the curriculum and it was transformed by his/her experience thereof.

Person-environment interaction theories and models, as posited by Holland (1997), Moos (1991) and Wright and Lopez (2002), focus on the extent to which the environment will have a specific impact on student development.

Here aspects of physical surroundings, attitudes and behaviour of peers, visible organisational goals and support and social climate will determine the level of student engagement and subsequent success (Neufield, Rasmussen, Lopez, Ryder, and Magyar-Moe 2006:2-3). Neufeld *et al.* (2006:3) argue that students will engage with the environment because they perceive a similarity with that environment and will be successful because the initial perception is proven positive. In curriculum development terms, the curriculum presents the environment with which the student will share a similarity or interest, but if the curriculum fails to engage the student, the student will choose to leave or fail the curriculum. Consideration should be given to the fact that the engagement with the curriculum takes place in a complex environment which will also have an impact of the engagement of the student. It should be evident from the above arguments that leaving the student out of the curriculum development and review process implies negating a crucial element in eventual student success.

What the development theories contribute is that there is a level of student awareness and self-interest as key ingredient to student engagement. Progression through development leads from self-awareness to self-determination, from impulsiveness to self-control and from external to internal locus of control.

The college impact models have gained attention in the past 15 years and emphasis is placed on creating the conducive and supporting campus that would engage a student as partner in learning. The most important authors contributing to current thinking include:

- Astin's Theory of Involvement (1999 originally published in 1984) where involvement relates to the quality and quantity amount of physical and psychological time the student spends on his/her academic experience. Involvement is argued to be achieved through (Astin 1999:519):
 - investment of psychological and physical energy in tasks;
 - acknowledging that different students will view their investments of time and energy differently;
 - accepting that the amount of learning or development is directly proportional to the quality and quantity of involvement; and
 - determining success is related to the capacity to induce involvement.
- Tinto's Theory of Student Departure which specifically identifies the reasons why students will leave a higher education institution. Tinto's research is longitudinal in nature and describes that students leave because of sociological reasons, and not because of a lack of cognitive or intellectual ability. Students enter university with a variety of different family, personal and academic characteristics which are subsequently altered through their interaction with their environment. Students are integrated when their university experience is positive and if they can identify with what they experience. Should the experience be negative, the student will decide to

leave. This model is based on the extent to which students end up sharing the normative attitudes and values of peers and staff as well as accept their membership into the student-institutional fraternity (Tinto 1997:599-623).

- Pascarella's General Model for Assessing Change (1985) suggests that growth is the product of the direct and indirect impact of five specific variables, namely structural/organisational characteristics of the institution, student background, interactions with agents of socialisation, institutional environment and quality of student effort. The Model posits that learning and cognitive development is indirectly influenced by the structural features of the organisation (including manner of selection, enrolment and student-staff ratio) while the quality of the student effort is mediated by interaction with peers and staff (either informally or formally through the curriculum), obviously taking own aptitude, aspiration and personality into consideration (Pascarella and Terenzini, 2005).

Hutley (n.d) argues that through the college impact models the focus is taken away from teaching content and own teaching style to student-oriented practices. The success of the curriculum is a product of the degree to which student involvement is fostered. All college-impact models share the emphasis on environment as active force in student success. Student success is not only the product of how student respond to change, but also based on the nature and intensity of the institutional environment as inducer of change. Morgan (2001) identifies the benefits of student involvement as contributing to *"an enjoyment of academics and learning"*, while ensuring that a desire to further their education beyond the undergraduate years is established.

Student engagement is thus based on the following:

- Promoting a wide range of educational practices and conditions, including
 - purposeful student-staff interaction;
 - active and collaborative learning;
 - institutional environment perceived by students as inclusive and affirming;
 - and
 - expectations for performance are clear and set at a reasonably high level.
- Promoting student satisfaction based on:
 - learning and development on a variety of dimensions;
 - persistence; and
 - educational attainment.

The reality is that students choose higher education institutions and specific curricula because they want access to high paying jobs which will result in them achieving success in life. Higher education institutions need to identify the mechanisms through which youth arrogance and cynicism can be harnessed

in order to improve institutional performance while guaranteeing a worthwhile student experience. Bennett (2005:3) postulates that higher education institutions should confront students with new ideas which will *“get you breathing, quicken your senses and animate a conscious examination of life’s enduring questions”*. Students will experience their higher education as a series of engagements – engaging with their student houses, their libraries, their student clubs, but most of all with their curriculum and lecturers. Higher education institutions need to recognise that the lecturer who is able to bring the subject matter in a curriculum to life will succeed in engaging his/her student into accepting the joint responsibility for lifelong learning.

DIFFERENT STUDENT ENGAGEMENT INSTRUMENTS

In 1998 the National Survey of Student Engagement (NSSE) was developed in the United States of America in order to provide documentation on the quality of undergraduate education. The aim of the instrument is to offer information and assistance to lecturers wanting to improve student learning. In the development of instruments to assess the level of student engagement, five benchmarks have been identified as critical, including (SASSE 2009):

- Active and collaborative learning which describes the extent to which students are active in classes, either through answering questions, or group work or making presentations. The premise here is that a student that is able to think about what they encounter and apply it in their own context will actively take responsibility for what has been learned.
- Level of academic challenge which deals with the extent to which work is challenging, both intellectually as well as creatively. Questions regarding time spent before, during and after classes are asked to determine whether students actively feel responsible for doing preparation, completing assignments and meeting the expectations set by the lecturer. From an academic point of view, every higher education institution will focus on significant time spent on academic work.
- Enriching educational experiences which focuses on augmenting the classroom experience through exposure to diversity, both culturally (different lecturers, different cultures), but also technologically (using technology to facilitate a closer relationship between lecturer, students and peers).
- Supportive campus environment which describes the influence that a positive and supportive campus working and social environment will have on the success of the student. Campus support focuses on both academic and on-academic support offered to students in the form of, for instance, counsellors, mentors and faculty houses or clubs.

- Student-staff interaction which details the role of the lecturer in promoting life-long learning by acting as role model, mentor and guide to students. Closer interaction can be facilitated by allowing students the opportunity to discuss marks or assignments, discuss career plans or ideas from readings not prescribed in course work. Lecturers should prompt feedback on all class activities which could become part of the lecturer's own research on teaching practices.

The use of an instrument to measure student engagement has the benefit that it produces data that indicates the relationship between the learning environment created (including the curriculum) and the individuals occupying that environment (Oblinger 2006:13.5). Although engagement changes over time, the fact of the matter is that the value of understanding a student's learning activity within the formal learning environment created by a curriculum is undeniable.

The Australasian Survey of Student Engagement (AUSSE) was developed in 2007 and first used in 2009 by 35 participating education institutions in Australia and New Zealand. The primary objective of AUSSE is to *“develop a source of information about students' engagement with learning”* (AUSSE 2010). The survey asks students to assess all above benchmarks while identifying two additional benchmarks, namely work integrated learning and higher order thinking outcomes comprising general learning outcomes, general development outcomes, career readiness, average overall grade, departure intention and overall satisfaction.

In 2009 the South African Survey of Student Engagement (SASSE) was piloted in seven higher education institutions, including University of Fort Hare, University of the Free State, University of the Witwatersrand, Cape Peninsula University of Technology, Tshwane University of Technology, Nelson Mandela Metropolitan University and the University of Johannesburg. All universities were selected to represent both rural and metropolitan institutions. Representation was also achieved based on type of institution being universities, universities of technology and comprehensive universities. The final sample included 13 636 respondents. The purpose of the instrument is to identify drivers of student success over which institutions have control and which can be changed to increase student throughput. Recommendations made focused on (Strydom and Mentz 2010:viii):

- the design and implementation of a four-year undergraduate degree;
- assessing the effectiveness of higher education (throughput and success rates);
- improving the quality of teaching and learning; and
- addressing social cohesion.

Through the use of surveys to determine levels of student engagement, higher education institutions are able to identify and sustain those student experiences which add value to their individual development while also ensuring that institutional success is enhanced. The purpose is to create a university community – a community which does not only nurture knowledge and skills, but becomes the incubator for intellect and integrity (MacDonald 2002:8). Boyer (1990) describes this community as purposeful, open, just, disciplined, caring and celebrative. The reality is that students do not just seek academic education when choosing a higher education institution, they seek a place to belong and a place where they will connect.

ENHANCING STUDENT ENGAGEMENT

Riggs and Gholar (2009:1) propose conation as a strategy to ensure student engagement and argues that conation will assist students to discover and then understand that they themselves have the power, will and ability to unearth elements which will contribute to their success. Students cannot be made to learn, which means that lecturers can teach, can motivate, but cannot learn on behalf of the student. The mind of the student can be identified as demonstrating cognitive ability, affective ability and conation being the ability to strive and direct your energy towards goal achievement. Riggs and Gholar (2009:7-8) describe conation as achieved through the following attributes:

“Belief gives courage. Courage inspires our powerful energy. Energy sustains our commitment to our goal(s). When we activate and combine the first four attributes we strengthen our conviction. When we purposefully act upon our convictions, we experience internal and external change.”

When institutions realise the potential unleashed by students experiencing conation, engagement becomes a must.

Kuh *et al.* (2005:9-16) propose eight principles for higher education institutions wanting to invest in student engagement. The eight principles are:

- *Context is everything* which focuses on placing institutional effectiveness within a context (physical environment, geographic location, history, composition of students and staff)
- *The whole is greater than the sum of the parts* which emphasises learning as a product which takes place both inside and outside the classroom. Students involvement with the whole campus should be seen as integral to classroom learning, if it is to be meaningful or engaging to students.

- *Evidence is essential*: the more, the better which focuses on institutional capacity for accountability and improvement. Higher education institutions capable of being learning institutions themselves means that emphasis is placed on monitoring where they were, what they were doing, where they wanted to go and how to gain momentum to ensure positive change.
- *Test prevailing assumptions* in order to clarify expectations regarding students, staff and the institution.
- *Cast a wide net* which means that in order to understand student success, students should be engaged in the process. Student perceptions about how to succeed in university should be an integral part of understanding how the institution succeeds in promoting student success.
- *Use outsiders to ask hard questions* through engaging with those who challenge insiders to think differently about their institution.
- *Focus on what matters to student success* in order to achieve what is worthwhile for students. Institutions need to improve their internal processes to create a nurturing environment which will add value to student experiences. Institutions who have a strong emphasis on continuous improvement achieve success even when facing declining resources.
- *Stay on course* which emphasises sustainable transformation through a series of small changes which will bring desired results.

From the above the argument to support student engagement as critical in curriculum development and review is evident. The relationship between student engagement and curriculum development and review is also a reciprocal relationship in which one cannot be sustained without the other. Relevant curricula will engage the student and an engaged student will require relevant curricula. Thus, the extent to which Public Administration curriculum development and review consider a level of student engagement will now be discussed.

THE RELEVANCE OF STUDENT ENGAGEMENT IN PUBLIC ADMINISTRATION CURRICULUM DEVELOPMENT AND REVIEW

The traditional approach to curriculum development and review includes planning the curriculum, developing the curriculum, implementing the curriculum and curriculum review. Since the emphasis of the article is not on curriculum development and review, but on student engagement as integral part of curriculum development and review, the process will not be discussed in detail. However, SAQA (2000:6) argues that the curriculum should be understood to include:

- “the aims and objectives of the education system as well as the specific goals of learning institutions;
- what is taught, the underlying values, the selection of content, how it is arranged into subjects, programmes and syllabuses, and what skills and processes are included;
- the strategies of teaching and learning and the relationships between teachers and learners;
- the forms of assessment and evaluation which are used, and their social effects;
- how the curriculum is serviced and resourced, including the organisation of learners, and of time and space and the materials and resources that are made available; and
- how the curriculum reflects the needs and interests of those it serves, including learners, teachers, the community, the nation, the employers and the economy.”

Thus, the curriculum is a broad concept which describes standards set for learning, the design, delivery and assessment thereof, and the quality assurance processes associated with learning. Integral to this is the recognition of the student in the learning process. Since the curriculum should identify the value of learning, the student should be involved as it is the student who should also experience the value of learning obtained through a qualification attained at a higher education institution.

Van Dijk and Thornhill (2011:8-9) argue that the Discipline of Public Administration is the product of its interdisciplinary nature as was already proposed by JN Cloete (1967:4). Public Administration, as a social science, finds its application in various political, social, economic and physical environments. The reality is that some common characteristics in the practice of public administration can be discerned, which contributes to the requirement that Public Administration should impart skills. The fact that the majority of Public Administration curricula in South African higher education institutions are part of economic, management or commerce faculties also have a specific impact on the skills orientation evident in the curricula.

However, the focus of the article is not in the content of the curricula, but on the extent to which students are engaged in the process of curriculum development and review. Based on the arguments presented throughout the article, it should be clear that an engaged student results in institutional and student success.

In the process of curriculum development and review the use of advisory panels are considered to be a crucial element in determining the content of curricula. Advisory panels usually comprise curriculum development and review experts and discipline specific experts/practitioners. The purpose is to ensure

that the curriculum appropriately reflects the issues and challenges apparent in the practice of the discipline. Students can become part of such an advisory panel and should be sourced to ensure that the concerns of students are also reflected in the curriculum. However, since the article makes the argument that the focus should not necessarily be on the content of the curriculum, but on how the curriculum supports an engaged student, the inclusion of the students in the advisory board is not enough. Subsequent to discussing the content, lecturers will decide how the curriculum is to be delivered and this is where the voice of the student should be heard. An engaged student, as was conceptualised earlier in the article, will demonstrate specific graduate attributes and in order to facilitate this, Kilfoil (2008:1021) suggests creating learning spaces where the following types of knowing are promoted:

- *knowing what* which implies knowing about the content of the curriculum;
- *knowing how* which implies demonstrating skills embedded in the curriculum;
- *knowing where* which implies demonstrating skills in application and context;
- *knowing why* which implies a noticeable change resulting from interaction with the curriculum; and
- *knowing to be* which implies embodying the curriculum and thus becoming an employable graduate.

The complex nature of curriculum development and review is reflected if the above types of knowing are considered throughout the process. Practically, the curriculum should reflect activities which engage students and Kuh (2007) suggests the following for increased student engagement:

- first-year seminars and experiences;
- common intellectual experiences;
- learning communities;
- writing-intensive courses;
- collaborative assignment and projects;
- undergraduate research;
- diversity/global learning;
- community-based learning;
- internships; and
- capstone courses and projects.

Thus, in curriculum development and review it is not only the content which should be scrutinised, but specifically the delivery thereof to produce an engaged student. The value of curriculum development and review and the time and effort spent on such an endeavour will be richly rewarded by an engaged student who not only demonstrates the required graduate attributes

when obtaining their qualification, but who will also be an active and willing participant in their own lifelong learning journey.

CONCLUSION

The question might still be asked: Why should higher education institutions care about student engagement? Student engagement affects the bottom line – the money. Without successful throughput universities lose subsidy. University performance is directly affected by student performance and research has proven that without engagement there will be little performance. Through investing in student engagement higher education institutions obtain relevant, quality information about key aspects of the student experience. By knowing how students spend their time, institutions are able to link student learning to educational activities and the institutional processes associated with it.

In knowing how students spend their time and what engages them in the curriculum, higher education institutions will come to realise the importance of including the student in the process of curriculum development and review. Curriculum development and review are processes which facilitate appropriate communication between the designer of the curriculum and its recipient. The purpose is to produce an employable student, one capable of demonstrating specific graduate attributes which could have a positive impact on the economic growth of a country.

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A Normative Approach to Organisational Performance Management (OPM) in municipalities

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ABSTRACT

The research on organisational performance management (OPM) in municipalities in South Africa was undertaken for the purpose of developing a perspective on the importance of its function and to argue for its inclusion in the management system of a municipality. The article emphasises the interrelationships between four themes, namely the objectives, capacity, resources and the type(s) of performance measuring instrument(s) a municipality should employ. Several aspects of municipal performance necessary for the efficient, effective and economic functioning of a municipal entity, its growth and development are explored. Among these are public participation, strategy, leadership, productivity, monitoring and evaluation of successes and failures, and importantly too, the culture of performance management and measurement. The focus of the article is on a theoretical understanding of OPM, its place and purpose, the compelling relevant local government legislation and the commitment of top managers to driving OPM institutionalisation and implementation. The evaluation of the research findings presented enough material from which to develop a normative approach to OPM for each of the four themes. Finally, the article lists suggested norms for the setting out of a normative framework and accompanying strategies for the implementation and institutionalisation of OPM at municipalities in South Africa.

INTRODUCTION

Since municipalities are compelled to report on a wide range of programmes such as local economic development, community safety, infrastructural development, integrated development programmes (IDPs), service delivery and budget implementation plans (SDBIPs), expanded public works programmes (EPWPs), the five-year local government strategic agenda, millennium development goals (MDGs), the effective management and measurement of performance outcomes are crucial. National, provincial and local government legislation and policies refer to a “performance management system” (PMS) without distinguishing specific organisational performance measures from individual performance appraisal; OPM demands an independent focus as an important component of the PMS.

The quality of leadership, level of political pressure on the administration, oversight, financial soberness, level of public participation, quality of delivery of products and services, accountability and transparency – these are all performance management elements which require regular measurement and assessment.

Municipal growth is constrained by bureaucracy, hierarchy, personal and political battles, and lack of development management initiatives, which in turns leads to the avoidance of (empirical) performance-related reporting. This article presents an assessment of OPM at The Drakenstein and Stellenbosch municipalities in the Western Cape. Motivated by the current situation, where the measurement and management of organisational performance is not identifiable, the article seeks to address the institutionalisation of the OPM function at these municipalities. Management loses its effectiveness when outputs and outcomes on programmes and projects are not (empirically) measured.

The article will assess OPM under four themes; (i) the specific objectives for OPM; (ii) capacity; (iii) resources required; and (iv) instrument(s) required for managing and measuring organisational performance. This article offers strategies for the successful implementation and practice of OPM. Doing this requires the alignment of the legislative, organisational and operational frameworks, so as to achieve effective, efficient and economical organisational performance.

DEFINITION AND AIMS OF OPM

Scholars hold varied but related views on OPM. Curtis (1999:263) defines OPM as “an approach to management which harness the endeavours of individual managers and workers to an organisation’s strategic goals”. Cordero, Rolstadus, Moseng and Bredrup (in O’Donnell and Duffy 2002:1201) place an emphasis

on a municipality's learning of "complex inter-relationships" between measuring productivity, managing quality and promoting innovation. Pollitt, Girre, Lonsdale, Mul, Summa and Waerness (2002:4) state that the insistence on the "three E's" (economy, efficiency and effectiveness) lies at the core of the OPM function. Boyne (in Van der Walldt 2007:111-112) concurs with them and adds that "democratic outcomes" and "responsiveness" are critical performance components for successful OPM. Pollitt *et al.* (2002:12) are of the view that (i) the performance audit of the administration in terms of its principles, practices and management, (ii) an audit of the efficiency of resources utilised, and (iii) an audit of an organisation's strategic objectives in relation to outcomes, are critical to OPM functioning.

Franceschini, Galetto and Maisano (2007:109-110) and Sole (2009:9) explain that "external accountability, internal reporting, strategic planning, operations planning and human resource management" are vital in establishing valid performance outcomes. Yasin and Gomes (2010:214) write that the OPM process involves identifying (i) how well the organisation is doing in achieving its goals, (ii) performance enhancement criteria, (iii) innovations, (iv) solutions to challenges, and (v) benchmarking criteria. Thompson (2001:819) argues that the OPM process begins with analyses of strategic imperatives and ends with stakeholder satisfaction.

A "total performance solution" for any organisation is suggested by Hofrichter and McGovern (in Grobler, Wörnich, Carrell, Elbert and Hatfield 2006:481) as having the following vital elements: (i) strong, focused leadership driving performance from the top down, (ii) high performance, (iii) winning behaviour, (iv) measurable goals, and (v) performance rewards and fear of punishment for inadequate performance. For these elements, synergy between the legislative and administrative domains of the organisation, a realistic vision, accountable practices, stringent standards and quality assurance, are necessary imperatives.

Grobler *et al.* (in Craythorne 2003:124) and Van der Walldt (2007:111) state that the OPM function takes on the responsibility for the performance of the entire organisation, in line with its vision, mission and objectives. Pillay and Subban (2007:58-66) hold that performance management will "alert municipalities" to wasteful expenditure, under-performance and capacity limitations, and that "ultimately, a holistic perspective" on organisational performance is crucial for the acceleration of service delivery.

INFLUENCES ON AND BY OPM

OPM was influenced by certain academic and practical trends, which again influenced functional aspects of organisations.

OPM and New Public Management (NPM)

Manning (2001:297) holds that internationally the NPM influenced “a way of thinking” about public management. Pollitt (2003:27-30) concurs and list the characteristics of the NPM as “talk-decision-implementation-results” process. Minogue (1998:18-27) holds that the rationale of the NPM was to trim large bureaucratic organisations so as to achieve efficiencies “through performance auditing and measurement”.

OPM and organisational culture

OPM may encourage a performance-driven organisational culture. Fryer, Anthony and Ogden (2009:480) define the role of OPM as being responsible for “improvements in behaviour, motivation and processes” and they list five “universal criteria” for OPM advancement: (i) leadership commitment, (ii) strategy aligned to performance objectives, (iii) stakeholder involvement, (iv) continuous monitoring, assessment and feedback, and (v) building a culture of performance in the delivery of quality outputs and outcomes. Ketelaar (2007:2) holds that by engaging stakeholders in the design and accomplishment of measures (indicators) and targets, the performance culture of the organisation is incrementally enhanced.

OPM and performance measurement

Melkers and Willoughby (2005:180-189) found that performance measurement enhanced programme performance. Performance measures compel managers to be responsible for the effective use of resources, public participation and comprehensive planning (Holzer and Kloby 2005:517-519; Ketelaar 2007:1-2). The issue of quantifying results on programmes and projects relates directly to the effective use of resources and should be insisted upon by officials and politicians (Pillay and Subban 2007:55; Shah 2009:9-10).

Behn (2003:598) holds that successful performance management requires standards, “a gauge and a context” by which to compare current and past performance, suggesting that critical organisational performance elements such as evaluation, budgeting and learning constitute employable “performance measures”. This argument supports the quality assurance of work done.

OPM and public participation

Municipal success rests on its accountability to its citizens. Accountability and public participation as part of an organisational culture are therefore empirically

related. Russell-Einhorn (in Shah 2007:202-218) states that “monitored data” should be made available to the public so that they may make informed inputs into “complaints and redress institutions” concerning poor delivery of services.

Weeks (in Holzer and Kloby 2005:523) found that public participation and public opinion “create opportunities for deliberation” and decision making for citizens collaborating with municipal managers; “citizen-driven demand” is therefore integral to the assessment of programmes.

The full incorporation of the community in the planning and the review of performance remains a challenge. Dai and Teng (2008:2-3) provide insights into the success achieved in OPM by the People’s Municipal Government of Hangzhou (PMGH), China. The Performance Evaluation System of Hangzhou (PESH), an annual evaluation of the municipality’s services to the public, actively engages the community. High performance is dually rewarded, “materially and mentally”. Customer satisfaction and transparency feature high on the list of criteria for this system.

OPM and leadership

Kee (in Morse, Buss and Kinghorn 2007:157) holds that “sound leadership” and management merge as a governance strategy designed to create a sense of ownership, accountability and responsibility to outcomes. Mayors often lose sight of opportunities and fail to gain legitimacy for their role (as catalytic agents for change) in the administration or to the public (Stone in Morse *et al.* 2007:265-266). Šević (2005:582-596) states that mayors in Serbia (at the time of introducing the NPM) used their leadership positions to dismiss and victimise their political opponents, thereby rendering the performance management system useless. Leadership is therefore “a process of influencing” top managers to be change agents (Johnson and Scholes 2002: 534-549).

Gains, Greasley, John and Stoker (2009:78) refer to “facilitative leadership” and argue that local authorities should be cognisant of four success factors, viz. (i) leadership in the development of local economies, (ii) institutional design that should facilitate productivity, (iii) accountable leaders, and (iv) a unified municipal body.

OPM and monitoring and evaluation (M&E)

According to Patton (2001:12-15), programme evaluation (based on monitored information): (i) is instrumental in increasing accountability and bringing about standards of excellence in programme implementation, (ii) facilitates experiential learning, and (iii) stimulates a culture of best practices.

Shah (2009:1) states that performance-based budgeting, benchmarking, activity-based costing and accrual accounting are M&E tools. Russell-Einhorn (in Shah 2007:218) contends that M&E of public programmes and budgets are a means of ensuring accountability to the public by “strengthening oversight and combating corruption”.

According to Schurink (2004:12-26), Patton’s Utility-Focused Evaluation (UFE) approach is based on the premise that evaluations of programmes are judged by their utility and benefits; Guba and Lincoln’s ‘Fourth-Generation Evaluation’ (FGE) approach to programme evaluation employs two key elements: (i) “responsive focusing”, and (ii) “constructivist methodology”. The “responsive” element deals with claims, concerns and issues brought to guide the evaluation, while the “constructivist” element contains the investigative material, i.e. to check for relevance, direction and worth of the programme, policy or project. These evaluation approaches aim to establish (i) the merits of a programme and its value, (ii) achievement of strategic objectives, (iii) standards for success, (iv) cost effectiveness, (v) organisational responsiveness to stakeholders, and (vi) potential barriers to expected performance (Guerra-Lopez 2008:26; Pollitt 2003:122).

OPM and constraining factors

Red tape is regarded as a major constraining factor to OPM. Red tape is defined as the “official rules that prevent things from getting done quickly and easily” (Longman 1995:1186). Red tape discourages innovation, blocks ambition, hides problems and drives down performance (Coulson 2009:276). In municipalities red tape refers to the restrictive laws, regulations, policies and procedures that inhibit or prevent quick decision making or action. Addington and Graves (in Morse *et al.* 2007:162) suggest that red tape and regulatory requirements should not be used as an excuse for lack of performance in the organisation. Political manoeuvring by politicians may exploit red tape, violating the practice of ethical governance. Mintzberg (1996:77) holds that “corrupt transactions” are associated with “a hierarchy of administrative levels” and political appointments of top officials.

Challenges which remain unaddressed may result in performance failure. Viedge (in Van Dijk 2007:52) contends that the following factors lead to the failure of OPM: (i) employee goals unaligned to strategic goals, (ii) employee incompetence, and (iii) “unchecked financial rewards” (bonuses) paid irrespective of the quality of performance rendered to the organisation. Similarly, where a “culture of commitment to service excellence” is absent, gaps in the measurement of service quality prevail. Rantanen, Kulmala, Lönnqvist and Kujansivu (2007:415-433) add two specific problems faced by the Finnish

public sector and linked to performance failure: (i) conflicting stakeholder needs, and (ii) lack of commitment to programmes by leaders.

OPM and success factors

Organisational performance success is achieved, Van Dijk (2007:53) argues, when top managers commit to measuring their performance. Performance measures should be “tailored” to the unique performance requirements of the organisation, such as the vision, strategy, structures, goals and objectives, and this should be an “ongoing” process. According to Hatry and Fisk (in Holzer and Kloby 2005:520), performance-measuring tools invariably “encompass” strategies (success factors) which serve to overcome challenges and add value to processes. The most important of these strategies are: “(i) establishing goals and measuring results, (ii) justification and quantification of resources, (iii) organisational development and (iv) motivating employees” (Holzer and Kloby 2005:520).

OPM and models

The research on appropriate models of OPM for South African municipalities is important as most municipalities have not yet implemented or employed a comprehensive OPM mechanism. Curtis (1999:260) cautions that “elaborate systems” of OPM and excessive control of the performance-management process are costly and that the choice of performance model should contribute to “mutual organisational learning and problem solving”. The performance model should be (theoretically) understood by all employees, “using simple, low-cost information gathering and dissemination techniques that are within the capabilities of existing leaders and officials” (Curtis 1999:260). Franceschini *et al.* (2007:110) argue that all models should involve communities in formulating, understanding and managing performance instruments. There are different models, such as the “logic model”, “systems model”, “public service quality model”, the “ISO 9000 performance standards”, the New Zealand “service performance measurement” and the “Balanced Scorecard”. Pollitt *et al.* (2002:25) and Mintzberg (1996:76-77) hold that municipalities may employ a “hybrid model” to suit their circumstances.

SOUTH AFRICAN LEGISLATION ON OPM

The following legislative aspects (legislation, regulation and policy) on local government are highlighted in support for a performance-management system

(PMS). The legislative framework refers simply to a PMS, while this article argues that OPM is an integral component of PMS.

The Constitution of the Republic of South Africa of 1996

Chapter 7 of the *Constitution of the Republic of South Africa* of 1996 establishes key principles for the municipal legislative framework. The Constitution gives municipalities the power to administer their own affairs, placing an obligation on municipalities to ensure public participation, ethical governance, accountability and transparency (Baatjies 2009:11).

Section 152 sets out the “objects of local government”, which imbed five measurable key performance areas (KPAs) for successful municipal performance: (i) its democratic and accountable values and culture, (ii) its services to communities, (iii) socio-economic development, (iv) safety and environmental health, and (v) community involvement in the affairs of the municipality. These key performance areas serve to guide municipalities in structuring their strategic and performance objectives.

The White Paper on Transforming Public Service Delivery (1997)

The *White Paper on Transformation of Public Service Delivery* (1997) extends the principles of developmental local government, as stated in Section 152 of the 1996 Constitution. It advocates that municipalities are the “focal point of public service delivery”. Eight key principles for the transformation of service delivery and public participation are stated: (i) efficient monitoring, (ii) rating of employees at the point of service to customers, (iii) adoption of key output indicators, (iv) cost efficiency, (v) cost effectiveness, (vi) adoption of standards of service outputs, (vii) annual performance reports and (viii) public involvement in holding departments accountable (Van der Waldt 2007:40). No reference is made to the scientific evaluation of programmes and projects in municipalities.

The White Paper on Local Government (1998)

Section 3.2 of the *White Paper on Local Government* (1998) compels performance management (PMS) at municipalities to ensure that “plans are implemented” and that “resources are used efficiently”. Community involvement is emphasised in key performance indicator (KPIs) development and the achievement of “development objectives” (Van der Waldt 2007:41). The White Paper prescribes a Service Delivery Budget Improvement Plan (SDBIP), but does not advocate that the SDBIP should be a replacement for a comprehensive business or financial plan for the delivery of services and products. The White

Paper places the emphasis on strategic planning, participatory planning, open (transparent) governance and ward committees as “partners in resource mobilization” (Van der Waldt 2007:41).

The Local Government: Municipal Structures Act, 1998 (No. 117 of 1998)

The *Local Government: Municipal Structures Act*, 1998 (No. 117 of 1988) has significance for OPM as it clarifies the structures, functions, objectives and responsibilities of the municipal council, the internal audit committee, internal performance committee and ward committees. The Act does not make provision for a dedicated OPM function.

The Public Finance Management Act, 1999 (No. 1 of 1999) and the Local Government: Municipal Finance Management Act, 2003 (No. 56 of 2003)

The principles of honesty, integrity, transparency, accountability and quantification of resources and outputs constitute the ‘spirit’ of the legislation in the *Public Finance Management Act*, 1999 (No. 1 of 1999) and the *Local Government: Municipal Finance Management Act*, 2003 (No. 56 of 2003). Both Acts lend implicit support to the OPM function in specifying performance objectives.

The Local Government: Municipal Systems Act, 2000 (No. 32 of 2000)

Chapter 6 of the *Local Government: Municipal Systems Act*, 2000 (No. 32 of 2000) prescribes that a performance management system (PMS) be implemented in municipalities. The Integrated Development Plan (IDP) and public participation are fully elaborated in the Act. The Act allows for links between municipal (strategic) objectives and the ten strategic priorities stated in the Medium-Term Strategic Framework (MTSF). The Act makes provision for intergovernmental relations (IGR) to aid its performance tasks. Section 38 of the Act compels municipalities to establish a performance management function, “commensurate with its resources”, and in terms of the requirements for a PMS. Developing a “culture of performance” is prescribed in the Act. Since IGR matters embrace all municipal programmes to lesser or greater degree, municipalities become “IGR impact zones”, i.e. a convergence place for national programmes, making the need for performance reporting critical as stakeholder groups are increased (Baatjies 2009:11).

The Local Government: Municipal Performance Regulations

The relevance of the local government “Municipal Performance Regulations” (2006) to OPM is that the ramifications of the measured performance of top managers of critical importance. This would entail a report from the internal performance audit committee, the community, actual performance outcomes and the results from programmes and projects evaluated.

The local government “Budget and Reporting Regulations” (2009), referred to as the “*budget regulations*”, serves to “tighten up” on matters of wasteful, irregular and other unauthorised expenditure. The regulations relate to the efficient use of resources.

The local government “Planning and Performance Regulations” (2001) clarifies strategic and planning objectives, indicator development for inputs, outputs and outcomes in the execution of the IDP and SDBIP. It should be acknowledged that a municipality does not “strive to meet its KPIs but rather use its KPIs as measuring tools” (Steytler and De Visser 2007:7-24).

THE ROLE OF STRATEGY IN THE INSTITUTIONALISATION OF OPM

Given the capacity and resources, a municipality would aim to maximise its outputs and outcomes. The strategic intention would be to exceed achievements planned for the year, with the efforts of the entire workforce. There is a need for top management commitment to drive the strategic direction and strategic objectives of the organisation, since the “outcomes orientation (quantifiable social benefits) requires a strategic focus” (Boyne *et al.* 2006:52; Macpherson and Mwita in Van der Waldt 2007:111-126).

Municipalities must ensure alignment between the objectives of the sub-systems of PMS, viz. OPM, individual performance appraisal, human resources, strategic planning, M&E, public participation and the development of a culture of OPM. The alignment of key performance indicators in this regard is critical to effectively administer the organisation (Rogers and Wright 1998:311-315; Van der Waldt 2007:171). Mankins and Steele (2005:68) highlight the “strategy-to-performance gap” and caution that the linkages between strategy and performance planning (and auditing) should be strengthened in order to have an effective OPM function.

The broad plans to execute the municipalities’ vision and mission, goals and objectives on an annual basis are referred to as strategic plans. Creativity, innovation and collaboration with stakeholders are the essential ingredients in successful strategy formulation.

Johnson and Scholes (2002:578) contend that without strategic planning (and strategic thinking) “an organisation and those within it could find themselves in a state of confusion with no clarity of direction, no way of knowing whether they were being successful and quite probably with a disenchanting group of shareholders and a demotivated workforce”. Strategy formulation should seek to instil synergy and reduce goal ambiguity in municipalities.

PROBLEMS CONSTRAINING THE IMPLEMENTATION OF OPM IN SOUTH AFRICA

All municipalities face challenges that impact directly or indirectly on OPM. The Ad Hoc Parliamentary Committee on Coordinated Oversight for Service Delivery (Parliamentary Monitoring Group 2010:2,51-56) listed the major problems facing municipalities as (i) meddling in the political-administrative interface, (ii) corruption in procurement, and (iii) the “non-existence” of internal audit and performance committees. “Party politics” and “blatant lack of communication and accountability”, tended to overshadow delivery to the people.

Kgafela (2010:1) argues that since a broad range of challenges face the 283 municipalities in South Africa, cognisance must be taken of their unique internal and external environments. “Standardised solutions” or “uniform standards, as proposed at the Cooperative Government and Traditional Affairs (COGTA) Indaba in 2008” will not benefit municipalities. Mbele (2010:1) agrees that “the one size fits all approach is neither realistic nor desirable” and suggests that municipalities adopt guidelines for an “effective performance management system”.

A summary of the current problems facing municipalities, as sketched by the Minister at the launch of “Operation Clean Audit-2014” (Shicheka 2009), are as follows:

- at top management level, unsigned performance contracts, absence of risk monitoring, poorly managed and non-existent internal and external audit committees;
- at the political level, technical and conceptual skills deficits, no clear separation of powers, poor “political oversight” at the Parliamentary Standing Committee on Public Accounts (SCOPA) and a lack of transparency;
- at the level of administration, corruption, mismanagement, political party interference and political loyalty by officials, skills deficits and absence of performance reviews from top managers and the municipal manager;
- at the level of finance, poor internal controls, non-compliance with supply chain management regulations, too many disclaimers, poorly constructed

financial statements, inability by officials to properly analyse financial statements; and

- at the level of community involvement, poor public participation methods, weak civil society formations (such as ward committees), violent service delivery protests, lack of involvement in municipal affairs. To verify and add to these problems a research was done on OPM within two municipalities.

EVALUATION OF FINDINGS ARISING OUT OF THE RESEARCH ON OPM AT THE DRAKENSTEIN AND STELLENBOSCH MUNICIPALITIES IN 2011

The population was constituted by the Drakenstein and Stellenbosch municipalities for verification purposes. The respondents in the research (Fakier 2011) were top managers (the municipal manager, executive directors and directors) and middle managers in both municipalities. A mixed methodology in order to maintain high validity and reliability was employed. Primary data was collected through the issue of a questionnaire constituted of four themes. Analysis showed high validity and reliability measures as well as strong correlation measures between questionnaire items.

Theme 1: Objectives required for OPM

Respondents were not confident that the current objectives for OPM in the two municipalities were sufficiently specific and appropriate to institutionalise, implement and manage. While top managers were exposed to new knowledge relating to OPM, lower-rung managers were not. Methodology for the implementation, management and measurement of OPM has not been placed on the agenda. OPM objectives were not “cascaded” to all managers below top management. Managers work in “silos”, with little knowledge sharing between directorates. Managers do not have the same interpretation of the strategic objectives, nor do the strategic objectives detail the implementation of OPM. Evidence-driven performance, M&E of programmes and projects, mitigation of red-tape, political encumbrances on the administration and community participation were not found among the objectives for performance management. No evidence was found relating to the development of a ‘culture of performance’. Objectives were not designed to align strategy, strategic human resources, OPM and operations (IDP and SDBIP). In employing “PMS” terminology, these two municipalities did not make the distinction between OPM and individual performance appraisal. Clear and measurable objectives were not found for the implementation of transparent relations with

stakeholders. Objectives were not stated in favour of choosing a performance-measuring instrument such as the logic model (for tracking and measuring targets, outputs and outcomes) incorporating the “full delivery chain”. The IDP and the SDBIP were assumed by officials to be the performance measuring and managing instrument for the municipality. OPM objectives did not call for strategy enhancement, internal organisational growth and development, stakeholder analysis and value chain management. It is essential, according to Pollitt *et al.* (2002:4), that economy, efficiency and effectiveness influence the formulation of OPM objectives.

Theme 2: Capacity required for the OPM

A detailed study, or report, on the capacity (skill, competencies and experience) to implement OPM was not available. The “human” elements of motivation, visioning, values and ethics should drive the administration and the processing of performance information (Morse *et al.* 2007: 92-355).

Respondents asserted that managers (i) lacked the skill to manage and measure organisational (evidence-driven and outcomes-based) performance; (ii) failed to communicate effectively with lower-level managers; and (iii) did not share or discuss information on performance matters, thereby discouraging interest in organisational performance. In addition, growing customer needs for transparency of performance results were not being addressed.

Top managers perform within the parameters and scope of their independent (and loaded) portfolios and pay little attention to the capacity requirements of lower rung managers, missing the opportunity to raise levels of understanding and ability among lower-level employees on OPM. The enhancement of organisational capacity is integrally tied to the rigor with which managers structure and implement OPM goals. Nel and Beudeker (2009:80) hold that top managers are expected to be innovators, in order to turn adverse factors into benefits and advantages for the purpose of effective performance within the organisation.

In terms of the findings, top managers were not building capacity in the competencies required for OPM implementation. Capacity-related matters were found to be a neglected area, with low employee morale and a clear enthusiasm to know more about OPM and related career paths.

Theme 3: Resources required for OPM

Respondents held that a dedicated and operational OPM function was not in place, since human resources and material resources were not channelled in the direction of building performance-related infrastructure. Survey results show that

middle managers in particular were not fully involved with the quantification, sourcing and application of resources with regard to OPM. The investment of strategic resources on programmes and projects, such as the community, consultants, and national and local policies were neglected in planning. In most cases the work done by consultants is not specific to the needs of the municipality or the stakeholders. It was found that organisational performance measures were not budgeted for, such as ITC and M&E, public participation, strategic planning, analysis of strategic human resources, addressing known challenges, ward committee stipends and service excellence (quality assurance) development. Poor annual reports may be attributed to a lack of finance to measure organisational performance effectively.

Respondents held that resources were required to address the needs of internal communication between directorates and external communication with stakeholders. As a learning organisation, the municipality would be best served by ITC development in respect of OPM and access to information by stakeholders on OPM, (via the internet). ITC information should also carry IDP and SDBIP reports, South African Local Government Association (SALGA) Provincial Executive Committee reports and SALGA working group reports, Ministers and Ministers of the Provincial Executive Committee (MINMEC) reports and Local Government Turnaround Strategy (LGTAS) reports. ITC development is in the interest of advancing community participation and unlocking the image of the municipality as a closed entity. The argument is for resourcing the implementation of the “full delivery chain” (South Africa 2007 Policy Framework for Government-Wide Monitoring and Evaluation Framework) (GWM&EF), as auxiliary instruments to OPM in order to empirically evaluate programmes and projects. Respondents expressed the need for knowledge in this regard.

On the lack of communication with communities, respondents wanted to see more investment in resourcing (i) how communities would be involved; (ii) community meetings and regularity of feedback sessions; and (iii) how the outcomes of community involvement will be measured, evaluated and reported. Section 3.2.4 of the White Paper (1988) states that “ward committees are partners in resource mobilisation” and should “monitor the allocation of resources”.

Theme 4: Instrument(s) required for OPM

One out of the two municipalities surveyed had embarked on the implementation of an OPM instrument, although it is too early to assess progress in this regard. There was some consensus at both municipalities on the need to adopt an OPM instrument. A large percentage of the respondents were uncertain about

the future with respect to the institutionalisation of OPM. The situation may eventually bring about “internal stagnation and strategic inertia”; the remedy for this was to establish consensus on OPM purpose, design and implementation (Pillay and Subban 2007:62; Van Dijk 2007:51).

The availability of knowledge on OPM was not viewed as a problem. However, it was important to respondents that knowledge on performance management be cascaded to all employees. The SALGA “toolkit”, “full delivery chain”, GWM&EF and models were neither under consideration nor known to managers in general; similarly with evidence- and outcomes-driven performance measures, M&E, quality assurance and the assessment of public participation. Respondents acknowledged this disadvantage and showed little confidence that (i) organisational productivity, (ii) commitment to OPM, and (iii) performance achievements will be measured and communicated to stakeholders.

The utilisation of the “full delivery chain” (South Africa 2009 Improving Government Performance: Our Approach) will have the following advantages, (i) it is a visual tool, (ii) it is relatively easy to use at quarterly OPM meetings, (iii) all employees are able to engage the instrument, (iv) it has an easy to follow matrix lay-out, (v) it is supported by the SALGA, (vi) provides substantiated measures, (vii) value for money planning (cost efficiency and cost effectiveness) and hence it will be easy to identify ‘fruitless and wasteful expenditure’.

It remains the “human element factor” that leads to success or failure for the organisation. OPM and the measurement of services and products delivered, coupled with the mobilising of local resources, serve to mitigate these problems (Curtis 1999:270; Kgafela 2010:3; Zaire in De Waal and Counet 2009:377). Using the research data, an ideal framework for organisational performance management for municipalities, is formulated.

A NORMATIVE APPROACH FOR OPM

The normative approach, from which a normative framework stems, aims to assist politicians, municipal officials and stakeholders in structuring objectives and guidelines for OPM of projects, programmes and policies. The normative approach entails on-going debates and a generation of ideas between stakeholders, politicians and public officials about what the norms should be, i.e. for the construction of the normative framework for OPM.

Moore and Braga (2004:14) describe the normative approach as one of contestation, imbedded in the difficulties that organised bodies experience in reaching “satisfactory philosophical and political judgment about what it wants and expects” from their organisations. The normative approach aims to bring consensus on norms and standards, which would ultimately benefit all parties.

In relation to the research, critical success factors (CSFs) were extracted from the analysis of data and subsequent findings. These were used in the construction of a 'normative' framework for OPM, set out below. In presenting OPM 'as it should be', normative approaches and normative evaluations are iterative and producing the best results over a period of time.

Table 1 below depicts political, scientific and managerial elements directly related to a 'normative' approach to the governance of programmes and projects, assisting in the understanding, institutionalisation and implementation of OPM in municipalities. These values and principles are based on the Moore and Braga (2004:14) "social scorecard" model and tailored in terms of the findings from the research.

Table 1: Values and principles in support of a normative approach to OPM.

Political–philosophical values and principles	Scientific values and principles	Managerial values and principles
<ul style="list-style-type: none"> • Community involvement. • Shared responsibility in community building. • Ethic of anti-corruption. • Ethic of collaboration as opposed to 'silo' building. • Empowering stakeholders to engage in municipal affairs. • Relationship building with national and provincial government. • Municipal ethical role in being accountable. • Municipal developmental role. 	<ul style="list-style-type: none"> • Calculating the 'public value' of the municipality. • Programme and project M&E. • Strategy formulation. • SWOT analysis. • Quality Assurance. • Stakeholder Analysis. • Fair allocation and economic treatment of resources. • Measuring performance (OPM). 	<ul style="list-style-type: none"> • The municipality utilises value-chain analysis. • The municipality employs a normative framework. • Concept of customers as a strategic resource. • Assurance of quality customer service and customer satisfaction. • Stakeholder satisfaction. • Municipality exercises its obligation to stakeholders. • Stakeholders have an obligation to municipalities. • Municipal has major role in infrastructural development. • Delivery of stable, safe, developing community. • Development of open spaces for recreation, sport and LED. • Develop a culture for performance excellence in services delivery.

Source: Moore and Braga 2004:14. Customised for South Africa by authors.

These principles are accommodated in a normative framework for the implementation of OPM.

A NORMATIVE FRAMEWORK FOR THE INSTITUTIONALISATION AND IMPLEMENTATION OF OPM IN MUNICIPALITIES

The normative framework fulfils the purpose of being (i) a standard of review, (ii) a reference of *constitutional* text, and (iii) a means of guaranteeing excellence in the delivery of services to the public (Woolman and Botha 2008:150-152). The framework consists of four themes, with its suggested practical interventions for optimum organisational performance management in municipalities.

Theme 1. Construct objectives for an OPM function

Suggested norms for measurable, attainable, clear, developmental objectives:

(i) OPM objectives should be measurable, attainable, clear, developmental and understood by all employees, (ii) OPM objectives should be realistic, embracing the governance principles of transparency, accountability and responsiveness.

Suggested norms for performance planning, excellence in services delivery and alignment of municipal activities to strategic objectives:

(i) Align strategic objectives (Key Performance Areas and Key Performance Indicators), strategic human resources objectives and operational plans (IDPs and SDBIPs), (ii) introduce performance excellence (quality assurance) measures, management and feedback to stakeholders, (iii) planning for economy, efficiency and effectiveness of outputs.

Suggested norms for the implementation of the “full delivery chain” are:

(i) Implement the “full delivery chain” comprehensively, operationalised, for all key performance areas (KPA), (ii) objective for compliance with local government legislation and national policy for community involvement in all matters relating to the administration and delivery of services and products, M&E and setting down the objectives for building a culture of performance excellence, (iii) the municipality should engage on all inter-governmental relations (IGR) matters.

Suggested norms for assisting managers to implement OPM:

(i) Employees are motivated to participate in OPM, (ii) employees across departments know and understand the OPM objectives, (iii) managers overtly support strategic objectives, (iv) managers mitigate resistance to performance appraisal of top managers, (v) managers implement continuous improvement

of performance through internal communication, team-work, knowledge and information sharing.

Theme 2. Create capacity planning for OPM

Suggested norms for managers' capacity to drive OPM:

(i) Staff the OPM function optimally, (ii) managers institute OPM effectively, efficiently and economically, (iii) managers promote employee participation in OPM building capacity to meet growing customer needs.

Suggested norms for compliance to legislation and policy with regard to building capacity of managers:

(i) Managers comply with capacity requirements as legislated and as per policy, (ii) managers in the OPM department/unit are qualified, able, competent and skilled, (iii) managers actively promote M&E and develop a culture of performance excellence.

Suggested norm compelling managers to drive outcomes- and evidence-based performance:

Managers of OPM initiate and drive outcomes- and evidence-based performance management, in congruence with national policies, namely, Improving Government Performance: Our Approach (2009) and the GWM&EF (2007).

Suggested norms to build a culture of performance excellence

(i) Managers motivate, share knowledge in lieu of performance excellence, (ii) promote and encourage incentives for performance excellence, effective internal communication, community involvement and M&E.

Theme 3. Resources planning for OPM

Suggested norm for the establishment of an identifiable, fully operational and dedicated OPM function:

Financial, human and material resources are allocated and utilised in the implementation and institutionalisation of OPM.

Suggested norm for effecting ITC, access to information and efficient employ of municipal resources:

Financial, human and material resources are allocated and utilised in the implementation of an ITC system, favourable to internal OPM functioning and available to the public.

Suggested norm for the investment of time, effort and money on programme evaluation:

(i) Resource M&E function, (ii) programmes, projects, policies are evaluated empirically and periodically.

Suggested norm in the place of legislation and national policies governing community involvement:

Managers utilise local community organisations and the ward committee with regularity and provide feedback regularly, on all performance related matters.

Theme 4. Choice of instrument(s) for OPM

Suggested norms relating to the choice of a performance management and measuring instrument:

(i) The instrument measures programme and projects achievements, blockages, failure and adjustments periodically, (ii) the instrument is “tailored” or “adjusted” to the needs and conditions within or outside of the entity, (iii) the instrument employs a matrix lay-out, is visible, electronic, transportable and user friendly.

Suggested norms for measuring the full delivery chain, M&E and municipal productivity:

(i) The performance instrument measures KPAs, KPIs in terms of inputs, baselines, targets, tasks, activities, outputs and outcomes, (ii) the instrument integrates evaluation (M&E) results for all outputs and outcomes.

Suggested norm for measuring community involvement, customer satisfaction and transparency:

The instrument measures community involvement, customer satisfaction and transparency and level of accountability of municipal officials.

Broad or macro strategies are necessary to implement the above mentioned practical suggestions for organisational performance management.

SUGGESTED BROAD STRATEGIES FOR SUCCESSFUL OPM INSTITUTIONALISATION

The following are suggested strategies for the successful institutionalisation of an OPM function at municipalities, as they emerged from the research findings, evaluation and normative framework.

Theme 1. Regarding the objectives for OPM

The municipality should formally construct objectives (applied norms mentioned above) that seek to institute an OPM function, with a dedicated staff complement and top manager, to direct, manage and measure the performance of the organisation as an integrated entity. They need to align strategy, OPM, strategic human resources and operations for effective and efficient delivery of products and services. Standards for quality output and outcomes should be selected, managed and reported with regularity. The municipality should be kept informed of all national policies and engage policy issues at Ministers of Executive Committees meetings (MINMEC) and other IGR structures. Top managers should facilitate the reduction of red tape, over-legislation and over-regulation in order to achieve excellence and quality in output and outcomes.

Theme 2. Regarding the required capacity for OPM

The municipality should assume responsibility for the provision of adequate and high-quality capacity (skills, competencies and qualifications) to implement OPM. Training in this field with regard to personal growth plans (PGPs) should be a norm, as in performance-measuring instruments, M&E, evaluation of community participation and performance culture awareness.

The municipality is compelled to adopt measures to sustain and grow (develop) capacity (as stated in the norm) to meet the increasing demands (needs) from their communities. The municipality has the responsibility to partner with state departments and the private sector in the place of capacity building with respect to organisational performance management and measurement.

Theme 3. Regarding investment in resources for OPM

The municipality should acquire an ITC system that will (i) facilitate effective internal communication between departments, and (ii) facilitate the needs of stakeholders by making information available on the internet. Material resources (a functioning office) and human resources (adequate staff) should be acquired for establishing a dedicated OPM unit.

The municipality should regard the community as a unique resource in terms of their participation in strategic planning, legislation and OPM functioning. The community should be empowered (through effective public participation training) to engage the municipality on all issues concerning it.

Theme 4. Regarding the instrument(s) for OPM

The municipality should employ an OPM instrument(s) with which inputs, outputs and performance outcomes of programmes and projects may be measured, managed and recorded. The instrument(s) should be adapted to report on M&E of programmes, projects and policies, community participation and customer satisfaction. The performance measuring instrument(s) should be visible, operational and understood by all employees and community representatives.

The implementation of the practical and strategic suggestions for organisational performance management should enhance the performance of municipalities.

CONCLUSION

This article provided an assessment of OPM at two municipalities in the Western Cape. The matter of empirically managing, measuring and evaluating organisational performance, i.e. OPM, was analysed.

Quantitative and qualitative information obtained from the research was evaluated in order to arrive at a set of norms, depicted in the normative framework. The purpose of the research was to motivate for the implementation and institutionalisation of OPM at municipalities in an effective, efficient and cost-saving manner.

The article offered a suggested list of strategies under each of the themes of OPM in order to facilitate the operation of OPM. There is no doubt that, with the proper functioning of OPM, many of the municipalities' managerial challenges would be addressed in a more thorough and scientific way.

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Use of scorecards in measuring the governance of public special schools

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ABSTRACT

Conflicts and dis-functionality in public schools is frequently the root of poor school performance and learner outcomes. This often is a direct result of poor schools governance. Studies have previously identified a number of factors affecting the standard of school governance. One of these is absence of “effective monitoring and evaluation” system for school governance. The current approach of Whole School Evaluation which incorporates the Integrated Quality Management System (IQMS) unfortunately does not possess adequately measurement for school governance to identify specific areas of failure. The authors have designed a measurement instrument to address this particular gap in management of public schools. This is in the form of a balanced scorecard based on Kaplan and Norton (1996) but only developed specifically for measuring the public, educational and non-profit sector. A number of school governance performance areas based on the regulatory frameworks like the *South African Schools Act* (Act 84 of 1996) have been linked to specific indicators and measures and streamlined towards meeting key targets for achieving satisfactory school outcomes.

THEORETICAL BACKGROUND

From governance to good governance

Over the last two decades governance has become a household concept internationally, yet there has hardly been a consensus on how it could be effectively applied to achieve more accountability. Fukuda-Parr and Ponzio (2002) in *'Governance: Past, Present, Future; Setting the governance agenda for the Millennium Declaration'* agrees that the term governance has not been consistently articulated by the international community, yet it can be generalized as:

"the process by which power and authority are exercised in a society in which different actors—government, the private sector and the civil society—try to communicate their interests; reconcile their differences and exercised their legal rights and obligations" (Fukuda-Parr and Ponzio 2002:2).

Governance refers not just to the decision-making processes in the management organisations, but on the processes and systems by which these organisations operate. It describes the mechanisms these organisation apply to ensure that their constituencies follow the established processes and policies of the organisation. Governance therefore is an instrument for maintaining oversight and accountability in a democratic way within an organisational structure to achieve its goals.

Good governance is generally understood to have at least three dimensions: first, the need for a rule-based, open, transparent, efficient, and accountable government; second, the need for government to undertake its task in a manner that is participatory, consultative and that generally lives up to the precepts of formal democracy; and third, the need for government and the state to ensure that the substantive goals of democracy, which would be compatible with the need to attain sustainable human development in the long run, are achieved (Mhone and Edighedji 2003). The Institute on Governance (IOG 2004) has subsequently published the following characteristics of good governance and which are also similar to EU Commission's key principles of good governance:

- **Participation:** providing all men and women with a voice in decision-making.
- **Transparency:** openness, access and free flow of information.
- **Responsiveness:** of institutions and processes to stakeholders.
- **Consensus orientation:** differing interests are mediated to reach a broad consensus on what is in the general interests.
- **Equity:** all men and women have opportunities to become involved.
- **Effectiveness and efficiency:** processes and institutions produce results that meet the needs while making the best use of resources

- **Accountability:** of decision-makers to stakeholders.

MONITORING AND EVALUATION OF PUBLIC SECTOR

According to the Public Service Commission (PSC 2008), one of the key proponents of monitoring and evaluation in South Africa, the concept can be defined separately as:

Monitoring is.....

“a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of organisation an on-going developmental intervention with indications of the extent of progress and achievements of objectives and progress in the use of allocated funds”.

Evaluation is.....

“a systematic and objective assessment of an on-going or completed project, programme, or policy, design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficient, effectiveness, impact and sustainability. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipient and donors”.

The Department for International Development (DFID 2005) defines M&E as a continuous internal and external process conducted by managers or the agencies assigned that responsibility to check the progress of development intervention against pre-defined objectives and plans, or simply put, ‘keeping ship on course’. DFID also views evaluation as basically asking ‘what happened and why’, and answers specific questions related to relevance, effectiveness, efficiency, impact, and sustainability of the programmes output.

Monitoring entails the routine tracking of the key elements of a programme performance through record keeping, regular reporting, surveillance systems and periodic surveys. Monitoring assists programme managers to determine which areas require greater effort and to identify areas that contribute to improved programme performance. In a good monitoring and evaluation system, monitoring is essential to prepare for evaluation. Indicators selected for monitoring will be different depending on the reporting level within the management system. Evaluation is the periodic assessment of the change in targeted results that can be attributed to a programme. It attempts to link a

particular outcome or impact directly to a particular intervention after a period of time. It helps determine the value or worth of a particular programme. Evaluations can be used to link any two parts of the monitoring and evaluation framework (inputs, processes, outputs, outcomes, or impact). For example, one could evaluate whether financial inputs are effectively generating the desired training or service deliveries. At present the Balanced Scorecard is one of the most popular M & E strategies.

Scorecard for measuring the public and non-profit sector

Paul Arveson (1998) sees the Balanced Scorecard (BSC) as a strategic planning and management system to align activities to the vision and strategy of the organisation, improve internal and external communications, and monitor organisation performance against strategic goals. The BSC was originated by Kaplan and Norton in 1992 as a performance measurement framework that added strategic non-financial performance measures to traditional financial metrics in giving managers and executives a more 'balanced' view of organisational performance (Arveson 1998). Through a particular focus on the private sector and business monitoring and evaluation, Kaplan and Norton (1996) proposed the following four perspectives for evaluating the performance of an organisation:

- **Financial perspective:** To succeed financially, how should we appear financially?
- **Customer perspective:** To achieve our vision, how should we appear to our customers?
- **Learning and growth perspective:** To achieve our vision, how will we sustain our ability to change and improve, and adapt to changes in the environment and new changes?
- **Internal process perspective:** To satisfy our shareholders and customers, what business process must we excel at? What are the unique competencies the organisations should have?

Essentially, the BSC offers these four perspectives from which to view the organisation's effectiveness. For each the organisation must first identify goals, and then determine measures and benchmarks that will capture the outcomes of these goals. Although empirical research and many success stories show that strategic measurement can work wonders, there are also many cases where scorecards simply did not work. The most common view argues that the BSC tool works well, when it is well implemented. In reviewing how a scorecard can be applied in measuring governance of public special schools, it is important to revisit the governance of public schools in South Africa.

GOVERNANCE OF PUBLIC SCHOOLS IN SOUTH AFRICA

The White Paper 1 on Education and Training (RSA, 1995) paved the way for genuine democratic approach to education. It installed parents through their SGBs as the custodians of education in public schools in South Africa. However, based on the provisions of the Constitution (RSA 1996), *the National Education Policy Act* (1996a) serves as a basis for all education and school policies. Section 4 of the Act states that the national minister shall determine the national policy for planning, provision, financing, staffing, co-ordination, management, governance, programmes, monitoring, evaluation and well-being of the education system. The Act also provides for the MEC to be responsible for professional administration of education and schools to determine national policies for various issues of school management (Barry 2006). This Act is therefore designed to give foundation and guidance to the creation of regulations at national, provincial and institutional level of all these policies for the purposes of similarity and co-ordination.

Foster and Smith (2002) state that school governance and management are two interwoven elements in the process aimed at enabling schools to provide effective and efficient education and learning. However such provision requires clear policies and the generation, distribution and utilisation of resources in an accountable, equitable and effective manner. Meanwhile, according to Potgieter, Visser, Van der Bank, Mothata and Squelch. (1997) school governance means determining the policies and rules by which the school is to be organised and controlled. Professional management of schools, on the other hand, refers to the day-to-day administration and organising of teaching and learning at the school and to the performance of the departmental responsibilities that are prescribed by law. Davis (1999) however perceives minimum distinction is between “governance” and “professional management” of schools, these two issues are, in practice, even more intertwined than is recognised.

In 1996 the South African government passed the *South African Schools Act*, Act 84 of 1996 (RSA, 1996b), also referred to in this report, as SASA (RSA, 1996b), to deal explicitly with undoing the country’s discriminatory past and to smoothen the path to an open, just and equitable system. The essential idea behind the Act was to put ownership and control of schools in the hands of parents. It mandated the establishment of a School Governing Body (SGB) at every public school in the country. The responsibilities given to SGBs include, among others:

- recommending teacher appointments;
- developing mission statements, code of conduct and other school policies;
- in special cases such as special schools, being Section 21 schools, administering school finances and property. This is one of the major responsibilities (Soudien 2003).

The SASA (RSA 1996b) was intended to build the democratic capacity of the South African people. Each province has been given a two month period in 2003 to manage SGB elections which have become the fourth largest public elections in the country. But how well is the system working? Is it building democracy? And most importantly is it delivering quality education?

SASA makes provision for both governance and professional management of public schools. In terms of SASA (1996b), the governing body, which is a statutory body of elected people, is responsible for governance and stewardship of the school whilst the principal, as part of the School Management Team (SMT), under the authority of HOD, is responsible for professional management. Public schools therefore have to appoint SGBs consisting of parents, teachers, principal, non-teaching staff, and pupils (in special cases where allowed by law). The majority of voting members must be parents. The functions of the SGB are listed, including the following:

- to develop the school's mission and constitution;
- to determine the school's admission policy, subject to the law;
- to determine the school's language policy ... provided it did not discriminate on racial grounds;
- to adopt a code of conduct for learners;
- to determine the times of the school day;
- to make recommendations regarding the appointment of teaching and non-teaching staff;
- to manage school buildings and grounds;
- to draft an annual budget;
- to formulate rules for voluntary religious observance at school (RSA 1996b).

The SGBs could opt for greater decentralisation by applying for additional powers such as the maintenance and improvement of school buildings and grounds, determining subject choice and extra-curricular activities, and buying textbooks, materials and equipment. Section 21 of the SASA (RSA 1996b) states that in addition to the above functions, a school governing body can request to carry out allocated (or additional) functions. The SASA, Section 19, states that the provincial education department is responsible for providing training to the SGBs. It must be noted that SGBs currently face many difficulties which threaten their effectiveness and their ability to carry out all stated responsibilities effectively. Other complications that SGBs face have to do with the following issues:

- SGBs have been forced to focus most on budgets and school fees rather than on issues related to teaching, learning, and school mores due to the decline of state funding

- SGBs have been handed the responsibility of fundraising, and therefore, unequal funding for schools persists, as wealthier school districts rely on their communities to strengthen the quality of education;
- SGB training has been inadequate and has not prepared members to deal with their complex responsibilities and roles (Chaka and Dieltiens 2004: 163).

However, the governing bodies must take the initiative in identifying areas in which it needs training. The HOD has the responsibility to make sure that the principal and other officers of the Department of Education assist the school governing body in this identification process. The challenge for the future is to find ways of moving democratic and effective, quality governance of schools from an idea to practice amid such economic diversity. The purpose of the SASA and other legislation is precisely to increase effective management and administration of schools.

SCORECARD FOR EDUCATION AND SPECIAL SCHOOLS IN THE WESTERN CAPE

“What we measure counts: measuring outcomes is important both in its own right, to demonstrate the effectiveness of what we are doing, and in creating the right incentives to improve performance.” (Dunnell 2007)

Realising how measuring performance and service quality have become increasingly concern issues over the last few decades, monitoring and evaluation of public governance has also become a concept that runs very much through the pinnacle of policy and regulatory developments in South Africa. The BSC as a tool of performance measurement and management initially used extensively for the private sector is frequently adapted and applied to the public sector. Yet as confirmed by Kaplan and Norton (1992) the BSC indeed has some additional shortcomings particular for the public and voluntary sector.

The Western Cape Education Department (WCED 2007a) suggested that Public Service Commission (PSC) is tasked and empowered to investigate, monitor, and evaluate the organisation and administration of the public service. Furthermore, it is regarded in the public sector environment as the custodian and a key driver of performance monitoring and evaluation and it also encourages the use of an adapted Kaplan and Norton’s scorecard for evaluating the performance of public sector. According to PSC (2008) some of the most important values and principles that a measuring instrument for the governance of public sector must undertake are:

- *High standard of professional ethics*

- *Efficiency, effectiveness and economy*
- *Developmental orientation*
- *Equality and equitability*
- *Responsiveness*
- *Participatory*
- *Transparency*
- *Representatively* (PSC 2008)

The WCED Quality Assurance's Monitoring and Evaluation guide (2007a) sees indicators as something that, whether assessed quantitatively or qualitatively, indicates progress through measuring impact, success, or limitations of a project. In the case of school governance scorecard the intention is to measure mostly qualitative indicators. Furthermore as dictated by this WCED Quality Assurance's Monitoring and Evaluation guide the development of these indicators will be such that they encapsulate the following elements:

- *Aptness and relevance* – the indicator should be directly related to the specific objective or goal of the project
- *Specific standardised and quantifiable* – these must be embroiled within the indicator
- *Acceptable and credible* – to the constituencies and role-players for whom they are intended
- *Aggregation* – indicators must be part of a whole and not stand-alone. The relationship between indicators for a particular goal or objective must be explicit
- *Complementary* – allows for cross-checking of signals between indicators
- *Impact orientated* – the indicator must measure what you are trying to achieve
- *Specific* – well-defined and be understandable by all involved, not ambiguous
- *Practical* – must be attainable

The overriding element of this scorecard is the fact that it must meet all the policy requirements as determined by the SASA (RSA 1996b). It is important that it operates within an enabling, legislative and regulatory environment for school monitoring and evaluation of the WCED. As a new instrument, it is imperative that the school governance BSC must be designed on the most simplified scale and must use a manageable number of the most influential and effective indicators according to the school governance goals linked to the determined performance areas. Enough room has to be created for the future expansion and development of the instrument which will be impacted on by future developments and new policies.

Fig. 1: A Synopsis of Scorecard for Measuring School Governance

Indicators	Goals	Measures	Score (0-5)	Comment
1) SGB Election	Every three years the different school constituents elect delegates to participate on the SGB to represent their interests on school matters.	Correct principles and procedures are followed for electing the relevant role-players in fair and democratic manner.		
2) Constitutionality and Legal status	SGB must be fully established and operating in terms of relevant laws and Constitution.	The SGB is in a complete juristic and constitutional state with legal capacity to perform its functions in terms of the SASA (1996). It must also be fully recognised by the laws.		
3) SGB Structure	The set-up of positions, format and numbers of representatives and organisation of the SGB.	Should be constituted correctly in terms of SASA Section 24 with an executive made of Chairperson, Secretary and Treasurer		
4) SGB Sub-committees	SGB should establish various committees to handle specific school matters and to help it govern well.	SGB has created financial, staff appointments, sports, environment and health committee, etc. and each committee is chaired by a governing body member.		
<p>Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No information available = 0</p>				

Source: Authors 2011.

PRESENTING THE SCORECARD: A NORMATIVE MODEL

Fig.1 is part of the school governance scorecard model developed by the authors, it is based on a study, "A scorecard for monitoring and evaluation of governance of special schools in the Western Cape". This model was designed mainly in terms of the principles of Kaplan and Norton's Scorecard for Non-profit Sector (1996).

Performance Area 1: Overall school governing body state: The overall status of the school governing body is important for it to function effectively. As the SASA (RSA, 1996b) indicates the SGB must be established properly in terms of the law. It must also have correct structures and do all its functions as required.

Targets: To have a correct foundation framework and perform all functions excellently as required by law. To target a score of over 90% in this PA as a basis of overall success.

This scorecard model (Fig.1) is a simple instrument to facilitate reporting on governance and effective development of public special schools in the WCED. It has been built around the key principles of good governance as translated in the public sector, the WCED guidelines for effective school governance as well as the IQMS monitoring and evaluation code for schools. These WCED frameworks chiefly provide some important guidance in the development of monitoring and evaluation systems and encourage standards for school governance assessment and reporting. The following scorecard presentation as captured in Fig 1 defines how and why this model is structured in such a manner.

Essentially this BSC contains indicators, goals, measures as well as targets of good school governance practices to assist SGBs in fulfilling their school missions and developing professionally. Good practices are provided for various performance areas, i.e., state of existence and functioning of SGB; meetings; principles of good governance; vision and mission; school financial management and fundraising; communication, employing educators and staff, developing school policies, and school overall development. It focuses mainly on the context of school governance and requires little or no additional data collection from outside. It also takes view of the processes of school governance including policies, status, and responsibilities. The scorecard relies mostly on informed opinions from the school governors, principals, educators, and parents. More advantage is that it takes a short period of time and costs little resources. More issues are broadly covered, but the depth of analysis is generally low.

This scorecard approach is more useful as the focus is on improving the governance process than just measuring performance. However the confirmation of final school governance results requires an independent evaluation through other more in-depth evaluation instruments. It is based on the key performance

areas that policies of good school governance entails and each is viewed in terms of the indicators, goals, objectives and measures. The scores are allocated per indicator and constructed to the following score index as adapted from the WCED Integrated Quality Management System (2001) (See table 1).

Although Section 21 schools are not independent schools, they are more responsible for their own affairs and the school governing body carries considerably more responsibility for the success of the school. It is imperative therefore that school governance in the special schools be adequately empowered and evaluated as required in terms of the experience, expectations and responsibilities. Whereas all the special schools in the Western Cape have Section 21 status, the Western Cape Education Department (WCED) from time to time still embarks on “special projects” whereby that education department assumes the responsibility for purchasing and supplying textbooks to meet pre-identified strategic educational needs, using special funding.

In referring learners to special schools the school management and the parent or guardian need to certify certain requirements in terms of the WCED. Schools therefore need to ensure that only learners who really require extreme special care and who cannot be accommodated in mainstream schools are referred to and admitted in the special school. Moreover to manage the double complications and challenges posed by the new changes in these Section 21 schools, the WCED also concedes to a need for a high level of effectiveness and an accountability mechanism.

The major purpose is to measure the governance of public special schools and to help the school governing bodies, school principals, WCED, and stakeholders to determine their school’s progress along the school governance and management continuum. This scorecard therefore is a short, straightforward measurement tool to help public special schools identify where they are succeeding and where they need to address governance failures.

Table 1: Score Index

Outstanding	No further improvement possible	5
Good	Above average (high standard and high quality)	4
Acceptable	Broadly typical / Average (It meets expectations)	3
Needs Improvement	Below average	2
Needs Urgent Support	Well below average (unacceptably very low standard and quality)	1
Not Available		0

Source: WCED IQMS M&E 2001.

Because this scorecard can be completed by both the internal and external measures, it can also be a useful team building exercise. The purpose therefore is to create performance a pattern that must guide the manner in which a school is appropriately governed as required by the SASA (RSA 1996b) stipulations on school governance. It is hence useful to assist schools gradually improve their standard of governance by periodically doing self-assessments.

The aim of this scorecard is not to enforce monitoring and evaluation to all special schools, but to be applied voluntarily to those that are willing to participate, and as such those schools will be part and members of the “*School Governance Peer Evaluation Group (SGOPEG)*”. The group teams with specialist bodies will, once in 2–3 years, embark on programmes of school governance peer evaluation among member schools. However in-between these periods, member schools will be allowed to use this scorecard to perform self-assessment exercises. These self-assessments would be done yearly at simultaneous periods where the scorecard website would be opened for access by school governing body internal assessors.

The ultimate intention in using an online system is to enable assessment to be done uniformly, effectively and to generate quick results. It will have a self-management system such that can, upon editing of key data, calculate the percentage results and scores by click of a button. It will be up to the particular member school to decide if they want to publicise their outcomes to other member schools or to conceal off their results. Only schools whose results are available for other members would access results of others. Nevertheless, a recommendation by Papalexandris, Ioannou, Prastacos, and Soderquist (2005), suggests that small scale re-evaluation and fine tuning of the scorecard can be performed quarterly or semi-annually with a large scale re-evaluation taking place yearly or whenever there is a significant shift in the education and school’s policy strategy is admirable.

CONCLUSION

A rigorous and somber evaluation of insufficiency in school governance performance should focus on interdependent cross-sectional indicators instead of making general assumptions based on assessment of a few performance areas. SGB’s and Principals may be unable to understand and correct governance problems without monitoring and evaluating the broader range of micro-indicators and measures of school governance. To address the governance problems and insufficiencies schools need to turn to a management tool called the balanced scorecard so as to translate schools vision and missions into measurable objectives. As management of information becomes increasingly

vital for public organisations including educational institutions and schools, the balanced scorecard was introduced in 1992 by Drs. Robert Kaplan and David Norton, as acknowledgment of the new meaning of monitoring and evaluation.

The BSC is a tool that focuses on strategy and objectives to address four perspectives, and translate the strategies into applicable action plans. As indicated earlier, the traditional analysis of a schools performance generally focused on pass rate analysis, and often ended there. But, what about the significant elements of the school that must be successful to generate good pass rates? How can they be monitored and evaluated in defined and measurable terms?

BSC does just what the name implies; it balances the performance perspectives of all the considerable elements within the governance of the school. The four perspectives used in the balanced scorecard are:

- Stakeholders: (Satisfaction)
- Managers: (Internal Processes)
- Employees: (Innovation and Learning)
- Funders: (Financial Results)

All strategies and objectives for the scorecard are aligned with the school vision and mission strategy, in order to support overall school governance success. The SGB, management and all key stakeholders should identify and prioritise areas of achievement for each perspective. By aligning with the school strategies and objectives, scorecard can extend these measurable goals into applicable action plans, which gives stakeholders both involvement in, and accountability for, school governance performance. Developing strategies and objectives for the school requires the SGB and management to consider critical factors for success in each of the scorecard perspectives. By defining the measurable elements necessary to earn stakeholder satisfaction, the SGB and school management team must develop specific action plan to achieve the goal, and still earn the returns as defined in the scorecard's financial perspective. Providing financial incentives to SGB for achieving the measurable goals articulated in the scorecard will help to build more proactive teamwork within the school. It will also give all stakeholders a sense of ownership in the process that can lead to even more ambitious goals for the planning year.

Comprehensive measurements of school governance performance will be enhanced by using the school governance scorecard and the School Governance Index (SGI) could be developed. It is able to offer a report card on the accomplishments of each school based on the indications as well as micro-indicators for the years being investigated with reasonably complete available data for all school governance. The key issue nonetheless is to firstly understand how the scorecard is designed and how it operates. That will give information about the performance areas and indicators that are measured.

Finally, the BSC as a management tool provides feedback around both internal program processes and external outcomes in order to continuously improve school governance performance and results. SGBs use a balanced scorecard to monitor school governance performance in all areas. This balanced scorecard includes several key performance objectives that include school fundraising and finance management, educator and staff employment, and school policy formulation. Progress on each of the indicators is easily reported to the WCED, staff, and all other stakeholders regularly. Each year the SGB of special schools involved will establish specific objectives and measures of the balanced scorecard for that year based on feedback from staff and other stakeholders within the school.

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The trajectory of economic development policies in South Africa

The case for public policy analysis

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ABSTRACT

This article commences with an exposition of the interrelationship between the national economic development policies, namely: the Reconstruction and Development Programme, the Growth, Employment and Redistribution, Accelerated Shared Growth Initiative for South Africa and the New Growth Path as well as local economic development (LED) policy objectives. The thrust of this article is that in order for LED policy objectives to be realised, it is imperative for macroeconomic fundamentals to be in place, notably, amongst others, strategies to curb inflation and unemployment. The article examines the major policy shifts pursued by the democratically elected government since the transition to democracy in 1994 to the present with a view to addressing the economic crisis manifesting itself through slowed economic growth, high unemployment and poverty. The plausible strategies to achieve economic growth, employment creation and poverty alleviation are also elucidated.

INTRODUCTION

The purpose of local economic development (LED) policy is to build up the economic capacity of a local area to improve its economic future. It is a process by which the public, business and non-governmental sector partners work collectively to create better conditions for economic growth and employment

Table 1: Linkage between national economic development policies and the local economic development (LED) policy

National economic policies	Policy objectives	LED Policy objectives
RDP (1994)	Building the economy, and socio-economic development	Economic growth Job creation Poverty alleviation
GEAR (1996)	Economic growth targets Employment creation Private sector investment	Economic growth Job creation Poverty alleviation
ASGISA (2006)	Halve poverty and unemployment rates before 2014 Enhance economic growth	Economic growth Job creation Poverty alleviation
NEW GROWTH PATH (2010)	Increase economic growth (in terms of Gross Domestic Product) Employment creation of 5 million jobs by 2020	Economic growth Job creation Poverty alleviation

generation. Local economic development offers a municipality, the private sector, the non-profit sectors and the local community the opportunity to work together, and aims to enhance competitiveness and thus encourage sustainable growth that is inclusive (Malefane 2009:160).

Therefore, the LED policy is inextricably intertwined with national economic development policies, namely: the Reconstruction and Development Programme (RDP), the Growth, Employment and Redistribution (GEAR) policy, Accelerated Shared Growth Initiative for South Africa (ASGISA) and the New Growth Path (NGP). The interrelationship among these policies is succinctly discussed. It is within this context that this article seeks to examine the major policy shifts pursued by the democratically elected government since the transition to democracy in 1994 to date with a view to addressing the economic crisis manifesting itself through slowed economic growth, high unemployment and poverty. The interrelationship between local economic development policy objectives and the national economic development policies, namely: the Reconstruction and Development Programme (RDP), Growth, Employment and Redistribution Policy (GEAR), Accelerated Shared Growth Initiative for South Africa (ASGISA) and the New Growth Path (NGP) is examined in this article.

The table above pertinently reflects the linkage between the national economic development policies that were initiated since the transition to democracy in 1994 to date as well the LED policy objectives. These national

economic development policies seeks to, amongst others, to achieve high economic growth rate, employment creation, and poverty alleviation and LED policy is initiated to boost local economies, create jobs and alleviate poverty at the micro, regional and local levels.

THEORETICAL FRAMEWORK: PUBLIC POLICY AND IMPLEMENTATION

Policies may be thought of as the main system which provides the framework for the accomplishment of intended objectives. Formulation of policies involves making explicit the various assumptions which are made with respect to the basic premises and the priorities of needs and allocation of the finances. Policies are intended to spell out the parameters in the context of which organisational decisions are to be made. Policy is crucial in administration, for it gives a concrete shape to the political, economic and social objectives which the government lays down in the form of laws, rules, and regulations (Goel 1994:126).

According to Howlett and Ramesh (2003:192), first, changes in social conditions may affect the interpretation of the problem and possibly the manner in which ongoing programmes are implemented. Secondly, changes in economic conditions can have a similar impact on policy implementation. For instance, a programme targeting the poor and unemployed can be expected to undergo changes after an economic upturn and downturn. Thirdly, the availability of new technology can also cause changes in policy implementation. Policies developed to address pollution control, for example, often change in the course of implementation after a cheaper or effective technology has been discovered. Fourthly, variations in political circumstances are also important considerations. A change of government may lead to changes in the way policies are implemented (Mazmanian and Sabatier 1983:31). While many government decisions continue to be taken without attention to the difficulties of implementation, there is a broad recognition now of the need to take these concerns into account at earlier stages of the policy process, such as in the policy formulation stage (Spence 1999). It is easier and more effective for policy makers to take these limitations into account and devise appropriate response *ex ante* rather than *ex post* (Linder and Peters 1984).

Fourie (2004:15) believes that, the success of this stage of the policy cycle is dependent upon an array of variables: the correct definition of the original problem, the accurate identification of causal links, and just determination of realistic objectives, all of these having an impact on whether or not deviations might occur during this implementation stage. According to Van der Waldt

(2001:97), such deviations may occur due to a shift in the programme during the implementation stage, geographic fragmentation (especially between national government and the provincial and local spheres of government), programme fragmentation (when different government agencies are responsible for different sections of policy implementation, and a breakdown occurs), administrative and management deficiencies, conflict between multiple goals, and vague legislative prescriptions. Wildavsky (1975) states that since policy is made, based on the current knowledge of an uncertain future, it is bound to fall short in some or many aspects depending on the accuracy of existing knowledge and estimated predictions.

More often than not, policies set out to achieve ambitious targets may ultimately fall short of their desired outcomes. The lack of reliable data usually hampers policy makers' ability to devise clear policy goals with well-defined implementation plan and evaluation mechanisms. Another problem of policy implementation could be political will and commitment from officials. Leadership and political commitment are critical for the success of policy (McCourt 2001).

By and large, it can be deduced that a public policy is initiated by policy makers in response to a societal problem and changing circumstances with which the population is faced with at a given period. The policy will contain the important goals to be pursued and the course of action needed to achieve the goals. A public policy becomes implementable provided the elected policy makers have authorised and legitimised it through a formalised policy development process.

The next section discusses the origins, rationale and performance of national economic development policies that were implemented from 1994 to 2005, namely: the Reconstruction and Development Programme (RDP), and the Growth, Employment and Redistribution Policy (GEAR).

Economic development policies (1994–2005)

Gelb (2010:32) asserts that in order to understand economic development in South Africa, it is essential to understand the country's economy, economic policy and economic performance. The economy performed very poorly from the mid-1970s up to 1994. Gross Domestic Product (GDP) growth averaged only 3,3% per annum in the 1970s and 1,2% in the 1980s and a fierce policy-induced recession intended to cut inflation meant that growth between 1990 and 1993 was -0,6% per annum. When the post-apartheid era began in 1994, the expectation was created that economic growth would quickly improve. However, eighteen years later, the optimism at the time of transition has been unfulfilled: only limited progress has been made in raising growth while distributional equality had

remained stagnant. In the first decade of democracy, Gross Domestic Product growth averaged only 2,9% per annum but, taking account the population growth of 2% per annum into account, per capita income barely increased at 0,9% per annum. Between 2004 and 2007, growth averaged 5,06% per annum, before dropping to 3,06% in 2008 in the context of the global financial crisis. In June 2009, the official unemployment rate was 23,6%.

In 1995, 32% of the population was living on less than \$2 US per day. This proportion rose to 34% by 2000 before declining to 24% by 2005 (Hoogeveen and Özler 2005). Using a poverty line of R322 per capita per month in 2000 prices, determined by the cost of a basic needs basket of goods and services, 52,5% of the population was in poverty in 1995 while 53% in 2000. This number decreased to 47% in 2005, still an inordinately high proportion. These figures indicate that between 2000 and 2005 there was an improvement in alleviating poverty, and the larger decline in the \$2 US per day numbers compared with the R322 per month numbers suggests that those deepest in poverty had improved their situation somewhat more than those at slightly higher incomes (Gelb 2010:32-34).

The origins of post-apartheid policies are found in the economic crisis which started during the 1970s and was characterised by a structural slowdown in economic growth reinforced by political problems (Gelb 1991). As the democratic dispensation approached, the African National Congress embarked upon an extensive consultative process that resulted in the formulation of the *Reconstruction and Development Programme* (RDP) as the major guiding policy document of the movement and the imminent new government. This initial document was later formally issued as a government White Paper immediately after the African National Congress assumed state power (Mhone 2003:20).

The White Paper describes the Reconstruction and Development Programme “as an integrated, coherent socio-economic policy framework. It seeks to mobilise all our people and our country’s resources toward the final eradication of the results of apartheid and the building of a democratic, non-racial and non-sexist future. It represents a vision for the fundamental transformation of South Africa” (RDP White Paper 1994).

The government implemented the Reconstruction and Development Programme, first, by ensuring that there was a coordinating ministry attached to the Office of the President and the various programmes were assigned to line ministries and departments for execution in 1994. The government also embarked on a low key process of formulating a growth and development strategy, which galvanised both national and provincial spheres of government. Two years later, the Reconstruction and Development Ministry was disbanded and the growth and development process was hampered as the government announced the new macro-economic policy framework: Growth, Employment

and Redistribution (GEAR) policy framework document (Mhone 2003:22; Department of Finance 1996).

Michie and Padayachee (1998:630) points out that other factors that affected the effective implementation of the Reconstruction and Development Programme included, policy differences between key social service departments and the RDP Office; problems in coordinating budgetary and organisational processes within national government departments; the lack of institutional capacity at many levels of government; difficulties in incorporating South Africa's non-governmental organisations into the delivery process; and in some areas, corruption.

However, the macroeconomic policy document, which was voluntarily embarked upon by the government with the encouragement and support of the International Monetary Fund (IMF) and World Bank, who were periodically consulted during its preparation, was a structural adjustment and stabilisation programme of South Africa's own making (Mhone 2003:22). The Growth, Employment and Redistribution (GEAR) policy was an important step in the evolution of the government's policy approach, but it was a major ideological shift embracing neo-liberal values. Instead, it was a broad, sometimes vague, formalisation of the dominant economic approach within the African National Congress. It was formulated reactively, in response to a crisis in the foreign exchange market, which threatened to erode what few economic gains had been made since the advent of democracy. From mid-February 1996, speculative attacks on the South African Rand led to a significant depreciation. The markets signalled the need for clarity of the economic policy. The government responded by formulating the Growth, Employment and Redistribution (GEAR) policy. The implicit aim of GEAR was, therefore, to calm the financial markets with a view to heading off a financial crisis of the magnitude experienced by Mexico in 1995 (Steyn 2005:189).

The government gave as its rationale for adopting the framework, the changing international economic environment, especially the need to insulate South Africa from the Asian economic and financial crisis and other similar crises that might occur among emerging markets in the future. Implicit in adopting the Growth, Employment and Redistribution policy was the contention that the government needed such a policy statement as a way of not only allaying the concerns and fears of foreign and domestic investors but actually attracting such investors. The document cites the implications of the depreciation of the Rand, which had just occurred, as presenting both a threat and an opportunity. Hence, an uncoordinated response, embroiled in conflict, would cause a further crisis and contraction. Linked to an integrated economic strategy it provided a springboard for enhanced economic activity (Mhone 2003:22; Department of Finance 1996:1).

The Growth, Employment and Redistribution policy document noted that while considerable progress had been made in repositioning the economy, re-establishing growth in Gross Domestic Product (GDP) that was in excess of growth in population, lowering rates of inflation, opening up the economy and securing new markets, restructuring the public sector and reforming the civil service, and establishing a policy framework for delivery of social services, much more needed to be done. In particular, it was noted that the growth achieved to address the high levels of unemployment, did not generate sufficient resources to address the deficit in social services, and yielded insufficient progress toward an equitable distribution of income and wealth (Department of Finance 1996). The shift from the Reconstruction and Development Programme (RDP) to Growth, Employment and Redistribution (GEAR) policy represented recognition of the inescapable influence of global economic forces as South Africa sought to attract foreign investment and to promote exports (Pycroft 2000:143).

Table 2 below presents the targets for economic growth, private investment and employment creation set out in the GEAR policy document. It also presents the GEAR targets for the ratio of budget deficit to the gross domestic product (GDP) and inflation.

One year after the Growth, Employment and Redistribution policy was implemented; its performance was mixed in respect of investment, growth, and employment. Growth was presented as being the primary objective of the policy. Real Gross Domestic Product (GDP) grew at 3% and 3,5% in the third and fourth quarters of 1996, with an average of 3% for 1996 as a whole compared to 3,5% in the GEAR projections. However, the growth rate dropped dramatically to -0,8% in the first quarter of 1997. The growth of gross domestic fixed investment declined from 4,5% in the third quarter of 1996 to 2.5% in

Table 2: The GEAR integrated scenario predictions for key variables, 1996–2000

	1996	1997	1998	1999	2000	average
GDP growth (real)	3,5	2,9	3,8	4,9	6,1	4,2
Inflation (CPI)	8,0	9,7	8,1	7,7	7,6	8,2
Fiscal deficit	-5,1	-4,0	-3,5	-3,0	-3,0	-3,7
Employment growth	1,3	3,0	2,7	3,5	4,3	2,9
Private sector investment	9,3	9,1	9,3	13,9	17,0	117

Source: Department of Finance (1996:7).

the fourth quarter, falling to only 2% in the first quarter of 1997 (South African Reserve Bank, Notes 1997).

A weakness of the GEAR policy was its failure to generate new jobs. According to GEAR, 126 000 jobs should have been created in 1996, but instead the number of formal sector jobs fell by more than 100 000 (*Finance Week* 12 June 1997). The annual average level of employment in the private sector declined by 2,7% in 1996, whereas employment by the public sector organisations actually increased by 2%. The need for implementing GEAR was based on the premise that of attracting foreign investment. However, a total of net capital inflows in 1996 amounted to just R3,8 billion, compared to R19,2 billion for 1995. In May 1997, South Africa's foreign reserves were boosted by R5 billion from the proceeds of the partial sale of the telecommunications parastatal, Telkom, to South Western Bell Communications (SBC, United States of America and Telecom, Malaysia). Despite this development, foreign capital flows into South Africa since 1994 continued to be short-term. GEAR failed to reverse this trend in its first year, despite its macro-economic correctness (Michie and Padayachee 1997:632).

Streak (2004:278) posits four arguments that critiqued the performance of the GEAR policy: First, it was incorrect to assume that the poor growth and development performance in the GEAR period was mainly due to the implementation of the policy. Instead, the economy's poor performance can be attributed to the negative external factors, such as the Asian Crisis, the slow-down in the world economy in the late 1990s and more recently, political developments in Zimbabwe and the United States of America. In this vein,

Table 3: Actual outcomes for key economic indicators in GEAR (1996-2000) and in 2001

	1996	1997	1998	1999	2000	2001	average
GDP growth (real)	4,2	2,5	0,8	2,1	3,4	2,2	2,5
Inflation (CPI)	7,4	8,6	6,9	5,2	5,3	6,6	6,6
Fiscal deficit	-4,6	-3,8	-2,3	-2,0	-2,0	-1,4	-2,9
Employment growth	-0,6	-1,7	-3,4	-2	-2,7		-2,0
Private sector investment	7,7	4,8	-1,8	-3,3	6,4	5,3	2,7

Sources: Budget Reviews (National Treasury, 2000:40; 2001:38; 2002:43) for the GDP data, inflation data (National Treasury, 2000:40; 2001:38) and fiscal deficit data (National Treasury, 2000:46; 2001:45; 2002:49). SARB (2002:S132) and SARB (2002:S119) for the private sector investment.

the then Finance Minister, the Director-General of Finance and economists supportive of the Growth, Employment and Redistribution policy often presented the economy's performance over the five year period as being very impressive in the face of the global economic environment. However, it is difficult to secure empirical studies that have measured the impact of negative external factors and policy in producing slow economic growth during the GEAR period (Streak 2004:278).

The study by Weeks (1999), for example, is based on data only for the years 1996-1998, and contradicts the argument of the pro-GEAR supporters that external factors are largely to blame for the poor economic performance (Streak 2004:278). Furthermore, rapid globalisation was an integral part of the Growth, Employment and Redistribution policy, hence, any negative impact associated with the rapid integration into the world economy that GEAR advocated should, therefore, not be used to explain what undermined the success of the strategy (Streak 2004:278).

The second argument in support of the Growth, Employment and Redistribution policy is that it was impossible to know what would have happened to growth, investment, employment and poverty if the GEAR policy had not been implemented. It is argued that the situation would probably have been worse because the conservative macroeconomic policy helped to keep private investment in South Africa by raising investor confidence (Ramos and Manuel 2002). Paradoxically, Streak (2004) argues that it is true that we will not know for certain whether economic performance would have been better under a different strategy, but it is a defensive and thin argument advanced by its proponents.

The third argument used to defend the GEAR policy is that the implementation of conservative fiscal and monetary policy was crucial to prevent the debt trap that threatened economic growth and development in 1996. It was also crucial to show investors that South Africa was not going to attempt to promote development through short-term policies that would undermine sustainable development in the long term (Ramos and Manuel 2002). The fourth argument posited by the pro-GEAR proponents was that the policy was a success despite not delivering the development goods in had promised by 2000. It had, however, improved prospects for them to be delivered in the future (Streak 2004:279).

The success of the implementation of the Growth, Employment and Redistribution policy are postulated as follows: Fiscal restraint and debt reduction in the GEAR period released resources for public investment in goods and services, particularly for the poor, both at present and in the future; the macroeconomic adjustment and liberalisation in foreign trade and investment markets improved the environment for private sector investment in the South

by lowering interest rates, reducing inflation and making it more predictable, lowering unit labour costs and creating a more credible macro-economic policy; budget reform and legal reform, including the implementation of the *Public Finance Management Act (PFMA)* and the Medium Term Expenditure Framework (MTEF) system of budgeting, helped to build capacity of the government to spend effectively on development projects (Streak 2004:279; National Treasury 2001; and Roux 2001).

The next section discusses the arguments advanced against the implementation of the GEAR policy.

Assertion by Growth, Employment and Redistribution (GEAR) policy's critics

According to the Congress of South African Trade Union (COSATU), the Growth, Employment and Redistribution policy was a failure because it promised in keeping with the Reconstruction and Development Programme, to reduce the legacies of inequality and poverty inherited by the democratically elected government in 1994. It even failed to meet its growth, employment and private investment targets. Instead, it hindered progress on the development front to the goal of pursuing macro-economic policy demanded by neo-liberal macroeconomics and the international investment community (Cosatu 2001:3; Weeks 1999:809-810).

COSATU's critique of the macroeconomic policy was glaring in its submission to parliament through the People's Budget (Cosatu 2001:3) by describing the performance of GEAR as: "macroeconomic policy can either aid or retard development to the extent that it maximises or constrains resources available to implement developmental programmes. Over the past five years or so, the emphasis on fiscal austerity has produced perverse planning paradigm in which developmental objectives have been supplanted by the secondary objective of reducing the government deficit. The hope that tight fiscal and monetary policy would attract private investment which, in turn, would drive growth has not materialised, in fact, the opposite has happened. Instead of leading job creation, private capital has led to job shedding and capital disinvestment".

Streak (2004:280) furthermore argues that a number of flaws contained in the GEAR policy indicate that it was bound to fail. First, the policy rests on the assumption that budget deficit reduction will kick start growth through private sector investment responding to lower budget deficits and interest rates. However, the link between deficit reduction, lower interest rates and increased private sector investment is dubious. One cannot rely on private investment kick starting growth, as interest rates might not fall (Weeks 1999:801). At the same time, Gelb (2000) has highlighted the importance of investor confidence

related to crime and political factors as undermining investment in South Africa in the 1990s.

Secondly, the policy adopted a naïve approach to South Africa's reintegration into the global economy. It hinged on foreign direct investment (FDI) for growth and employment creation when the prospects for attracting FDI into South Africa were weak (Dinkelman and Streak 1999). More importantly, in selling liberalisation and integration into the world economy, it downplayed the reality that global capitalism is a ruthless system for those countries that are not yet sufficiently competitive, skill intensive and shrewd enough to play the global game. The job losses associated with structural adjustment in manufacturing sector in the 1990s, currency depreciation, interest rate increases and those associated with the Asian Crisis of 1998, and the dramatic fall of the rand in 2001 bear testimony to the consequences of opening up a protected economy too rapidly (Streak 2004:280).

Thirdly, the macroeconomic policy relied heavily both in conception and implementation on private sector investment-led growth for employment creation, and poverty and inequality reduction. It is also clear that employment creation will also not necessarily result in the reduction of inequality. Studies on the causes of poverty illustrate that unemployment is indeed the primary cause of poverty in South Africa (Bhorat, Liebbrandt, Maziya, Van der Berg and Woolard 2001:9). Therefore, the GEAR policy was correct in its assumptions that employment creation is key to poverty reduction. However, a consideration of the trend in the capital intensity of the economy since the 1970s and the causes of unemployment in South Africa show glaringly why a heavy reliance on private sector investment-led growth to reduce poverty through employment was problematic. It also indicates why government investment is so crucial for reducing poverty in South Africa. Between 1970 and 1990, the South African economy became much more capital intensive, and with it, the labour-absorptive capacity of the economy declined quite considerably. This ensured that, by the 1990s, a given rate of economic growth had become associated with a considerable smaller change in formal sector employment growth than in the 1970s (Streak 2004:281).

The presumed link between economic growth and poverty reduction through employment creation was and still is weakened further by the mismatch between the skills of the poor and the needs of industry. Hence, the labour demand that is generated by economic growth and private sector investment tends to do little in the way of creating jobs for the millions of unskilled poor who are desperately in need of jobs (Ministry for Social Development 2002:70-3). Mhone (2003:47) furthermore asserts that as a result of the past biases in education and training, there is an oversupply of lower level or secondary labour, while there is a shortage of higher level or primary labour. Meanwhile, the economy's demand

for labour is shifting from reliance on lower skilled labour to reliance on relatively skilled labour, which the economy is unable to supply in adequate numbers.

The fourth flaw in the GEAR policy is that it downplayed the potential for government expenditure on the provision of basic services, productive infrastructure, housing, education, roads and others (Michie and Padayachee 1998:628) to promote growth and redistribution. This is significant not only because the level of demand is a crucial determinant of the private sector investment that is key to growth, but also because empirical evidence (Wittenburg 1997) suggests that fast growing regions, or industries also exhibit fast growth in labour productivity, thereby providing support for the view that stimulating the economy can have the virtuous circle effect of increased output leading to productivity gains, which, in turn, make production more profitable (Wittenburg 1997).

Finally, the GEAR policy failed to see that development theory and economic history illustrate that a heavy reliance on sound macroeconomic policy, liberalisation and efficiency reforms and private sector investment was unlikely to produce rapid growth and development in South Africa (Streak 1997:313-315). In addition, development theory and the missing links between austere macroeconomic policy and growth and poverty and inequality reduction and, the potential positive impact of government investment, require an alternative strategy (Streak 1997, Michie and Padayachee 1998; Weeks 1999). This acknowledges the importance of a sound fiscal and monetary policy as a means to stimulate private sector investment and growth that are so important for development, but, it also stresses the need to rely less on these instruments to generate growth and development and more on the government itself, through industrial policy and investment in the social sectors to stimulate poverty-and-inequality-reducing growth (Streak 2004:282).

GEAR's targets for growth, employment and redistribution have been all missed. By the end of 2000, it was clear that the policy had failed to place the South African economy on a higher growth path. Growth, Employment and Redistribution policy had made critical assumptions on the labour market and industrial policy, but there was no clarity in the GEAR policy document how these various policy elements were to be implemented and reconciled. In fact, most of them failed to materialise (Steyn 2005:191).

Statistics South Africa (2001) reported that the number of people employed in both formal and informal sectors increased from 9,6 million in 1995 to about 10,4 million in 1999, while the number of unemployed, by the official definition, increased from 1,8 million in 1995 to about 3,2 million in 1999. While some sectors have been creating employment, as a result of the restructuring taking place in the labour market, many more have been shedding labour, so the net increases in formal sector employment have been low. By 1999, the overall unemployment

rate, by strict or official definition, was 23,2% (while by the expanded definition it was 36,2%) and has been increasing since then (Mhone 2003:51-52).

The next section discusses the national economic development policies that were put in place between 2006 to date, namely: the Accelerated and Shared Growth Initiative for South Africa (ASGISA) and the New Growth Path (NGP).

Economic development policies (2006 to date)

From 2003, the government acknowledged that inequality and poverty had not been addressed during the post-apartheid era (Gelb 2010:52). Former President Thabo Mbeki argued that South Africa comprised two economies: The third world economy exists side by side with the modern first world economy but is structurally disconnected from it. To end the third world economy underdevelopment and marginalisation will require sustained government intervention and resource transfers including education and training, capital for business development and social and economic infrastructure, marketing information and appropriate technology (Mbeki 2003).

Government policy makers talked of building a staircase from the second economy to the first, suggesting that the European's structural funds to address regional disparities offered a useful model for first-economy resources to be channelled to the second economy. In February 2006, a new policy framework was adopted, entitled the Accelerated and Shared Growth Initiative for South Africa (ASGISA), which aimed to halve the number of the population in poverty by 2014. Nominally based on the two economies concept, ASGISA targeted massive expansion of infrastructure and skills; planned spending on infrastructure amounted to nearly 5% of the Gross Domestic Product per annum up to 2010, with a parallel increase in the scale of human resources allocated to skills development and education. ASGISA intended to boost employment by prioritising the tourism and business process outsourcing sectors, both labour-intensive export sectors with opportunities for small and medium-sized businesses (Gelb 2010:52).

According to Bhorat (2007:35), ASGISA is distinguished, relative to its two predecessors, GEAR and RDP, by its strong emphasis on defined and very specific growth-enhancing projects. The delivery of physical infrastructure and a detailed programme for the provision of skills are some of the interventions. However, it is important to note that in many respects, ASGISA is a continuation of the GEAR policy. Having achieved the critical need for macroeconomic stability arguably the core of the Growth, Employment and Redistribution policy the emphasis has now shifted within ASGISA to a more detailed programme of activities designed to deliver the target of 6% per annum.

From a poverty reduction perspective, first, the Accelerated and Shared Growth Initiative for South Africa (ASGISA) had several difficulties. The two economies concept explicitly assumed there were no linkages between the first and second economies, ignoring interactions between growth and inequality. The first economy growth widens the gap between the two economies and in addition, the social consequences of the second economy may well reduce first economy growth, for example damaging investor confidence. This suggests that uplifting the second economy may require significant restructuring of the first economy, which could involve challenging established interests. Secondly, almost all the extensive infrastructure spending programmes outlined by the public sector since 2005 have been aimed at reducing the costs of doing business in the first economy, rather than extending infrastructure services to those in the second economy. Thirdly, much greater policy priority would have to be given to small and medium enterprises than had been true since 1994. A major obstacle facing both increased numbers of small and medium enterprises in South Africa and of higher survival rates is the low supply of entrepreneurs (Gelb 2010:53).

More significantly, ASGISA has identified six binding constraints mitigating against achieving desired growth rates and removing these constraints would promote economic momentum. These constraints are; the relative volatility of the currency; the cost, efficiency and capacity of national logistics system; shortages of suitably skilled labour, and the spatial distortions of apartheid affecting low skilled labour costs; barriers to entry; limits to competition and limited new investment opportunities; the regulatory environment and the burden on small and medium enterprises and deficiencies in state organisation, capacity and leadership (ASGISA Annual Report 2006:3).

In 2010 the Minister responsible for Economic Development, Ebrahim Patel released a new economic policy titled the New Growth Path underpinned by array of policy packages. In the main the New Growth Path places much emphasis on employment creation. The other areas encapsulated in the policy amongst others are rural development, agriculture, skills development, science, mining, tourism and social development.

The global economic downturn also had a negative impact on the growth levels of the South African economy, with a 3% fall in the Gross Domestic Product from the third quarter of 2008 to mid-2009 as stated earlier. Job losses were still more severe, as employment dropped by a million jobs from the end of 2008 to the middle of 2010. As a result, the employment ratio fell back from a 45% in 2008 to 41% in 2010, virtually the same level as in 2002 before the economic boom started (New Growth Path 2010:5). The New Growth Path policy framework has set out the target of creation of five million jobs by 2020 and the achievement of this target would ensure that half of all

working-age South Africans would have paid employment. This would in turn narrow unemployment by 10 percentage points from the current 25% to around 15%. There are two critical variables that would affect the target of five million jobs, namely, the rate of economic growth and the employment intensity of that growth, that is, the rate of growth in employment relative to the rate of growth in Gross Domestic Product. In essence, maximising growth would yield more employment, mostly in the private sector, in order to reach the set target. Therefore, the employment intensity of growth must be kept between 0,5% and 0,8%, while the rate of growth in Gross Domestic Product should ideally rise to between 4% and 7% per annum (New Growth Path 2010:8-9).

CONCLUSION AND RECOMMENDATIONS

The review of the current economic performance and situation in South Africa should be located within the broader historical background of the economic trajectory and economic development policies that were in place. The policy shifts spearheaded by the government since the dawn of democracy furthermore indicates the complexity inherent in the formulation and implementation of public policies that affects economic development.

The triggers for change related to economic development policies appear to be myriad and can be summarised as follows: the Reconstruction and Development Programme (RDP) sought to achieve both social and economic imperatives at the same time and thus the economic dimension of the policy was not clearly articulated from the outset. Consequently, the RDP was mostly associated with infrastructure development and social development projects such as housing, the provision of water and sanitation. In addition, the global economic crisis that occurred in the mid-1990s appeared to have surpassed the implementation capacity of the government through the RDP in order to cushion the effects of the economic crisis on the South African economy. At the same time, ineffective inter-departmental and inter-governmental relations and conflicts also contributed to the weakening of the RDP and the closure of the RDP Ministerial Office attest to this.

Therefore, the formulation and adoption of the Growth, Employment and Redistribution (GEAR) policy should be based upon this background and context. The GEAR policy had clear-cut targets and indicators for fast tracking economic growth, and job creation. The limitation of this policy lay with the setting of ambitious and unrealistic targets and this is manifested through the failure of the policy to achieve its set targets in 2000. The introduction of the Accelerated and Shared Growth Initiative for South Africa (ASGISA) attests to this abovementioned point. The fundamental objective of ASGISA was to amongst

others primarily to accelerate the achievement of growth and employment creation as a result of the disappointing performance of the GEAR policy. Equally, ASGISA targets were set in line with the Millennium Development Goals (MDG) for 2015. However, the lifespan of this policy was short-lived largely as a result of the new political leadership that assumed political power in 2009 after the national democratic elections and thus the New Growth Path is a macro economic development policy initiated by the new political leadership. The New Growth Path was also a response to the global economic recession that started in late 2009 and took root in 2010. The government believed that the policy contained the necessary measures aimed at mitigating the impact of the global economic crisis on the South African economy in terms of slowed economic growth, job loss and reprioritisation. These critical issues also had an impact on local economies as municipalities faced reduced revenues owing to job loss, stagnant economic growth, high number of business liquidations and increasing poverty levels within localities. The relationship between national economic development policies and the local economic development policy is thus significant.

In order for the government to achieve the objectives set out in the New Growth Path policy, there is a plethora of issues that should be taken into account, notably, the achievement of higher growth rates, the expansion of the pool of entrepreneurs, the enhancement of skills development programmes for the unskilled labour and unemployed youth, the attraction of private investment for implementation of public infrastructure programmes, and the streamlining of integrated planning with a major focus on employment creation and poverty alleviation throughout the three spheres of government, effective communication related to public service delivery plans and the capacitation of the state in relation to spending on public infrastructure and service delivery projects.

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