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Editorial

N Holtzhausen

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Welcome to the last edition based on the contributions of novice researchers in their voyage of discovery into the theory and practice of P(p)ublic A(a)ministration, M(m)anagement and governance in the realms of social science research. This edition of 2014 is aimed at teaching novice researchers the scientific process of inquiry and thus how to obtain accurate answers to significant and pertinent questions in order to increase the sum of human knowledge and to build on existing theories of public administration, management and governance. Today the world of government is intertwined with reconstruction, decentralisation and development, development planning, sustainability, citizen satisfaction, policy monitoring and evaluation as well as the increasing demands for improved service delivery. This requires skills for designing, conducting and managing quantitative and qualitative research.

The necessity for the government official to understand the relationship and the nature of both quantitative and qualitative research stems from increasing expectations that government and public officials should be accountable for their decisions. The global context provides increasing evidence that the public are seriously demanding service delivery from government, hence from public administration, management and governance and it is expected of public officials to demonstrate skills in the development and implementation of policies, programmes and management. National and international bodies and parliaments are progressively requiring such accountability. So too does the media, citizens and other national and international bodies that endeavour to enhance democracy and democratic governance. Politicians, elected officials and public officials often have to make decisions on the basis of limited resources, unlimited needs, ideological imperatives and relevant priorities. Such decision-making requires accurate data and information that will influence policy decisions and execution.

The advocacy role of public officials and politicians requires that they present their arguments and reasons as rationally and convincingly as possible. This is where honest and accurate research and research results can provide the requisite persuasive tool. It should not come as a surprise then, that government and the public service place a high premium on social research as well as the resultant information and knowledge that enables better understanding

and guidance for decision-making. There is also an increasing concomitant expectation for public officials to design and develop research questions and related projects that are relevant for and within their work environment. The primary reason for such developments is the increased need for appropriate and localised information that will inform policy development and execution. Public officials are often asked for data to help guide decision-making; to design the best policies and to provide reasons for the decisions that they have made. The tool or skill that can provide such data and information is research.

Of necessity however, research in the government has to take into account existing policy and legislation. The public official always has to weigh objective scientific criteria against policy imperatives of, for example, transparency or the right to privacy. Similarly the goals, government agenda and prevailing ideology will also inform research priorities in government and local government delivery.

By learning all this and more novice researchers will become part of a scientific community which adheres to specific mechanisms of control such as ethical standards reflecting the goals and values of research communities. It should be noted that in ancient times this community of researchers was regarded as the keepers of secrets. Today doing research in secret is no longer possible or desirable. However this does not diminish a researcher's responsibility to do ethical research.

The majority of the articles form part of an integrated whole helping novice researchers to gain an understanding of social research through a holistic as well as an analytic or reductionist lens. Seeking systems-integrated solutions to problems based on the interconnections between theory, methodology and practice could deepen the understanding of social phenomena and could help researchers to provide workable solutions to social problems. This edition consists of the following integrated articles:

The first article for this edition is designed to provide an understanding of what research is and of the relationship between research theories and the empirical world.

In **'Theoretical and philosophical considerations in the realm of the Social Sciences for Public Administration and Management emerging researchers'**, Christelle Auriacombe and Natasja Holtzhausen conduct a conceptual and theoretical analysis of the main theoretical and philosophical perspectives that underpin social science.

The article specifically focuses on researchers conducting research in the disciplinary fields of public administration. Firstly, it aims to enhance the researcher's analytical abilities, critical focus and independent insight into social science research in the field of public administration. Secondly, this article investigates the different dimensions of social research in order to provide an understanding of the philosophy of social research.

The authors highlight that there are different ways of thinking about social science research which involve various research dimensions. Importantly, Auriacombe and Holtzhausen state that: “Researchers must realise that by becoming part of the scientific community they should adhere to specific ethical standards reflecting the goals and values of that community”. This article in its entirety should help novice researchers to gain analytical abilities, critical focus and independent insight into research in public administration, public management and governance in the field of social sciences.

The need for more efficient and effective Public Financial Management (PFM) plays a key role in ensuring that the country’s economic and developmental goals are realised. To achieve this, the author of this article is of the opinion that a relationship needs to be established between PFM and good leadership.

In **‘A nexus between Public Financial Management and Public Leadership’**, Tasneem Majam explores this relationship between PFM and leadership, specifically focussing on the need for leadership within the public sector. The article’s research approach is not based on an empirical survey. Rather, it provides a conceptual literature-based overview of PFM and leadership.

The author is of the opinion that public financial managers will only be able to execute their roles and responsibilities effectively if they display certain core leadership competencies and styles. “Public financial managers need to play an active role in the motivation and day-to-day functioning of public officials,” according to Majam. The author further argues that public managers can become effective leaders within the public institution by displaying qualities such as strategic thinking and rational decision-making, and by placing a precedent on ethical, accountable behaviour.

Section 152 of the *Constitution of the Republic of South Africa, 1996*, mandates municipalities to promote the social and economic development of the community and to participate in national and provincial development programmes. As such, Local Government plays a key role in helping to realise the country’s growth and development objectives through Local Economic Development (LED).

In **‘The Implementation of Local Economic Development Policy: The Case of the Emakhazeni Local Municipality in South Africa’**, Sam Koma examines the implementation of LED policy within Local Government in general and more specifically within the Emakhazeni Local Municipality in Mpumalanga, South Africa. Based on the findings of the case study and literature review, the author proposes an LED policy implementation model suited for Local Government. This model outlines three critical variables for policy implementation with reference to LED, namely LED policy content and context; LED policy stakeholders and LED policy implementation. “The integration of these critical variables serves as a *sine qua non* for the implementation of the LED policy”, states the author.

Most Public Administration officials and researchers will agree that transformation in the South African public domain has been spearheaded by policy. **'From policy to prosperity: Implementing municipal strategic plans in South Africa'** examines the link between policy-making and implementation, with specific reference to municipal strategic plans in South Africa as part of the broader policy framework for local government management in the country. In his article, Lyndon du Plessis states that, post 1994, existing policies had to be amended and, in many instances, new policy measures introduced to lay the foundation for a more egalitarian society. The article investigates the transformation of the public policy environment in South Africa with specific reference to the local sphere of government. According to the author, the South African local government environment was found to be challenged by a number of factors. The author stresses that these factors should be considered by municipal managers and staff, as well as politicians and ordinary citizens, as all have a vested interest. "Failure to do this would continue to render question marks over local government's commitment to render quality services relevant and compromise the integrity of this important government endeavour", he concludes.

In 2011, five key Limpopo provincial departments, namely the Provincial Treasury, as well as the Departments of Education, Transport and Roads, Health and Public Works, were placed under national government administration in terms of Section 100 (1) (b) of the *Constitution of the Republic of South Africa*, 1996. In **'Assessment of the intervention of the National Government in the Limpopo Province of South Africa (2011-2013)'**, Dominique Uwizeyimana investigates key management implications that resulted from National Government's seizure of the Limpopo Provincial Government's executive functions, the reasons why Limpopo Province was placed under national government administration and some of the major failures and achievements of this management arrangement.

According to Uwizeyimana, placing Limpopo under national government's administration attracted a large amount of media interest. In this assessment, the author reviews the electronic and printed media in order to identify the key management implications of the implementation of Section 100 (1) (b) in the Province. Focusing on the objectives of the intervention and the success resulting from the Administrators' intervention, the author states that the Administration Team managed to achieve mixed successes during the time under investigation (2011 to 2013). States Uwizeyimana: "On the one hand, the Administrators' command and control helped to reverse the financial crisis... on the other hand however, the Administrators will have to do a lot of work in order to eradicate the culture of corruption and increase provincial staff capacity to improve management practices..."

Equality for women has posed a challenge for the South African public service ever since the inception, adoption and ratification of a number of international and regional instruments that promote gender equality. In **'Gender equality in the South African Public Service: when?'**, Sinval Kahn and Valery Louw examine the extent to which strategies introduced have advanced womens' equality in the South African public service. Findings suggest that these strategies have not had the desired effect in enhancing gender equality. Although much has been done to promote gender equality in the public service, the goals of treaties for womens' equality, non-discrimination in education and employment; as well as the goal of 50% women at SMS by March 2009 have not been achieved, according to the authors.

The research reveals that the commitment and determination of leaders are fundamental in implementing HR policies and practices. It shows that gender equality can only be established in an enabling institutional environment, which can be created by transformational leaders. In line with this, the authors recommend that a transformational leadership approach be adopted in order to transform the South African public service; and that all managers undergo transformational leadership training.

In **'Exploring the cultural roots of the poverty and underdevelopment in Africa: Lessons for policy makers in Africa on the role of good governance in the transformation of Botswana'**, Damian Ukwandu investigates why sub-Saharan Africa remains desperately poor despite its natural resources. In this article, the author states that poor governance (and not culture, Colonialism, slavery etc.) has hampered Africa economically. To illustrate this, Botswana is used as a prime example of how sound policies can transform a largely agricultural economy, to a stable, democratic and prosperous country.

The article highlights that researchers have bemoaned the fact that "bureaucratic authoritarianism" has led to poor governance in developing countries, especially in Africa. Moreover, this notion is further strengthened by the 'theory of prismatic society', otherwise referred to as the 'Sala model of bureaucracy', which underscores that the common mode of governance in many developing countries – especially in Africa – is indeed the main cause of economic stagnation.

The author concludes by postulating that Africa can only follow the same development curve as the rest of the world when it has the right policies in place. "The most important lesson countries in sub-Saharan Africa can learn from the transformation of Botswana is that it is good policies that spur development", Ukwandu writes. Local governments are mandated to encourage participation within the local communities they serve. According to Shaidi in Ukwandu (2014), public participation and consultation in South Africa is a legislative imperative as well as a core value of democracy.

In **'Responsiveness of community participation and action support unit's activities to local communities' needs: A case of eThekweni Municipality'**, Bethuel Ngcamu investigates the responsiveness of the Community Participation (CP) and Action Support (AS) Unit's employee activities in terms of meeting both municipal and local community needs and identifying the impediments to executing them.

This study follows a qualitative approach, whereby the researcher conducted in-depth interviews with CP and AS Unit employees. Notably, the author investigated whether the activities performed by the CP and AS Unit employees within the eThekweni Municipality were responsive to local community needs. The study revealed contradictory findings. According to the author, most research participants reported their function as "coordinating and managing municipal programmes", although they claimed that these programmes were malfunctioning. The study further confirmed that poor communication was one of the key challenges research participants faced. The article concludes that the Unit's key activities, including monitoring and evaluating council programmes, partnership and implementation of programmes, were overlooked. "Both the literature reviewed and the findings of the study have suggested that eThekweni Municipality's decision-makers should initiate a process of radical reengineering of the CP and AS Unit, with the aim of clarifying its core mandate", according to the author.

The article, **"Monitoring and evaluation in municipalities: a case study of KwaZulu-Natal Province"** written by I Govender and PS Reddy explore findings of an empirical survey conducted to evaluate Monitoring and Evaluation (M&E) activities in KwaZulu-Natal municipalities. To contextualise M&E in municipalities, the article describes the benefits of M&E, the level of M&E activities in municipalities, the level at which M&E should be implemented and parties to be involved in the planning and implementation of the M&E system. The article proposes that further research be undertaken to clearly identify the nature of M&E activities in each municipality and to interrogate the current M&E challenges experienced by municipalities.

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Theoretical and philosophical considerations in the realm of the Social Sciences for Public Administration and Management emerging researchers

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ABSTRACT

This article aims to provide a conceptual and theoretical analysis of the main theoretical and philosophical perspectives in social science research for researchers doing research in the disciplinary fields of public administration, management and governance. The purpose is to provide clarity for researchers' own beliefs of how social reality should be viewed to gain the most truthful results and thus, to develop their own ontology. This will enable researchers to have a clear understanding of which research perspective would be appropriate when designing their research in order to develop their own epistemology.

The article attempts to clarify what research is and more specifically the relationship between research theories and the empirical world. The conditions necessary for scientific research and the most important concepts (building blocks) of social science research are explained. The difference between ordinary everyday knowledge and information, social science theory, scientific knowledge and the use of the scientific method receive attention. The dimensions of social science research are distinguished in terms of the sociological, teleological, ontological,

methodological and axiological dimensions as well as on the disciplinary, practical and project levels. The importance of systematic data gathering by meeting specific criteria of the scientific method is emphasised. The keys necessary to unlock the scientific world and to gain an understanding of the importance of scientific knowledge and reasoning as opposed to how knowledge and information are commonly used, is presented.

INTRODUCTION

The notion of ‘the social world’ is not unproblematic and many twentieth century debates in social science philosophy were devoted to discussions between various schools of thought (positivism, phenomenology, hermeneutics, critical theory and post-modernism) about their interpretations of this term (Auriacombe 2008). Many of these debates arose because of the recognition that ‘the social world’ – the world of human beings and their actions – is fundamentally different from the natural and material world. The social world is a world constituted through human meanings and signification, is inherently context-specific, historical, and comprises various open social systems that are complex and indeterminate. All of these dimensions of the social world pose great challenges to the social researcher, not the least in terms of methodological considerations (Auriacombe 2007 and Auriacombe 2008).

For the purpose of this article ‘research’ will refer to the process in which scientific methods are applied in order to discover and increase scientific knowledge in public administration (Auriacombe 2007 and Auriacombe 2008). The scientific nature of research in the public sector derives from the fact that to improve public administration or management a public official must be knowledgeable about research theories. He/she should be proficient in research methodology, analysing and implementing research findings in practice and be able to provide an adequate report of his/her research (Auriacombe 2005 and Auriacombe 2008). The public official should be sufficiently skilled and well acquainted with the methods and techniques of both quantitative and qualitative research. He/she should be able to follow a chosen philosophical perspective and apply appropriate data collection and analysis methods and techniques rigorously (Auriacombe 2013).

To achieve all this it is important to lay a **firm foundation for understanding the nature of social science research** and to gain knowledge of the **key concepts** of social research, to understand the relationship between theory and research, to be able to apply the scientific method of systematic observation

and logical thinking and to learn about the dimensions of social research and the different types of research (Auriacombe 2005).

This article is designed to enhance the researcher's analytical abilities, critical focus and independent insight into social science research in the field of public administration. Secondly in order to provide an understanding of the philosophy of social research this article particularly looked into the different dimensions of social research. It is clear from the above that there are different ways of thinking about social science research which involves different research dimensions. Researchers must realise that by becoming part of the scientific community they should adhere to specific ethical standards reflecting the goals and values of that community (Auriacombe 2007 and Auriacombe 2013).

UNDERSTANDING KEY CONCEPTS OF SOCIAL SCIENCE RESEARCH

Before explaining the nature of social science research, we need to have a broader understanding of the difference between information and knowledge and scientific knowledge (Auriacombe 2008:67).

Information may be defined as accessible facts/data (Auriacombe 2008) and "knowledge derives from the coherent organisation and interpretation of information within a system of ideas (explanatory/theoretical frameworks)" (Auriacombe 2008:67). Non-scientific knowledge can be described as the knowledge of lay-people or knowledge that is accepted without much question of authority, the opinions of peers or tradition of debate. According to Auriacombe (2007) the following are possible sources of non-scientific knowledge:

- Often something is accepted because it derives from some authoritative person regardless of their scientific credibility. The scientific approach assumes that knowledge is accepted, not merely on the basis of it being espoused or propounded by some so-called expert, but rather on the basis that its evidence has been examined (Auriacombe 2007).
- Often the opinions of peers rather than proven expertise are sought. Consider for example, the public official who prefers to support statements and behaviour patterns of a colleague on the basis that they belong to the same political party, social club or religious organisation, rather than that of an established specialist in the field (Auriacombe 2007).
- Objective scientific knowledge balks at knowledge accepted on the basis of traditions which people hold. Such traditions often stand in the way of objectivity and are prone to endorse unfounded stereotypes. For example, anecdotal evidence has it that many employees at a particular South African

university would rather take orders from a junior worker than the rector of the institution simply because this junior employee was a chief in their village (Auriacombe 2007 and 2013).

- Often attempts are made to acquire or disseminate knowledge and insight on the basis of argument. The more convincing the debater, the more logical the argument, the more readily acceptable the presentation of knowledge tends to be. The latter method appeals to the intellect and/or emotions and is not necessarily based on experience and fact. Evidence of this kind of knowledge is often found in political discourse in which frequently diametrically opposed stances are assumed and defended by opposing parties simply based on intellectual and emotional affiliation (Auriacombe 2007 and 2013).

Scientific knowledge

Auriacombe states (2009) that one way of improving our understanding of scientific knowledge is to list some of its key features:

- Science is based on the collective, validated experiences of the members of the scientific community rather than on the individual experiences and observations of any single person (Auriacombe 2008 and Auriacombe 2009).
- Scientific knowledge is the outcome of rigorous, methodical and systematic inquiry, as opposed to the haphazard way in which ordinary knowledge is acquired (Auriacombe 2009).
- Science rejects the value and importance of any personal authority; the only 'authority' that is accepted is the authority of the evidence (Auriacombe 2009).
- Science is not based on taking second-hand sources at face value but is inherently skeptical. It questions all claims, irrespective of the authority and origin, until they have been tested and, furthermore, stood the test of time! (Auriacombe 2008).

These four statements emphasise that scientific knowledge is inherently collaborative in nature; is based on rigorous and methodical inquiry; is evidence based (not authority-based) and inherently sceptical because it treats all knowledge claims to be 'provisional' (as opposed to absolute) (Auriacombe 2013).

Social scientists, as opposed to natural and health scientists, conduct research in order to seek answers and understand (aspects of) the social world. The social world comprises social (in its broadest sense) beings (humans); institutions and organisations; actions and events; interventions (such as policies and programmes) as well as all cultural products of human endeavour (Auriacombe 2013).

Scientific knowledge seeks to be critical, considering any and every piece of “evidence” with circumspection before accepting it as knowledge. At least three character traits are evident in scientific knowledge, namely, systematic observation, control and replication (Auriacombe 2013).

Scientific knowledge is obtained by **systematic** rather than selective observation. The latter type of observation tends to collect only evidence that supports predetermined conclusions, ignoring conflicting evidence. Consider, for example, solutions to social problems that might be ignored by the powers-that-be on the basis that they were proposed by opposition parties (*cf.* Mouton, Auriacombe and Lutabingwa 2006).

Scientific knowledge must be obtained in a **controlled** manner, i.e., by systematic consideration and the careful elimination of alternative explanations. The manner and processes by which knowledge is obtained must be **replicable**. This simply means that, should other researchers utilise the same methods and procedures under other, but similar, circumstances and independently of the original researchers, the same results should be obtained. Scientific knowledge, hence, should be open to scrutiny and critical evaluation (*cf.* Mouton, Auriacombe and Lutabingwa 2006).

Scientific method

Scientific method is a term that refers to the procedures followed by researchers in arriving at conclusions. The mental processes through which decisions are reached determine to a large extent the accuracy of the conclusions made. Facts are essential materials in thinking but must be handled scientifically so as to reach accurate conclusions. The scientific method therefore has to follow a logical process of reasoning (Auriacombe 2009).

To obtain knowledge of the scientific method, the following aspects of this reasoning process could be identified: Logic, deductive, inductive and abductive logic and cause and effect (Auriacombe 2008).

Logic

Logic is the process of using an argument to arrive at a conclusion. In academic research it is frequently used to demonstrate cause and effect (if x...then y). “Logical argumentation or reasoning comprises a number of assertions (untested statements) leading to a conclusion” (Auriacombe 2008). If the assertions/propositions can be proved to be true, they are sound statements, and the argument is said to be valid (true) and the information credible. If the assertions are not sound, then the argument is said to be false (invalid). For an argument to be valid: each piece of evidence in each statement should be correct; the

statements should relate to each other; and the conclusion should flow from the statements (Auriacombe 2008).

Deductive logic

Logical reasoning is mostly used in quantitative research and takes place by means of a process of deduction proceeding from the general to the particular. A broad general statement or hypothesis is made at the start of the research process. The researcher then sets out to find supporting evidence (information) that will prove the statement true (valid). The conclusion is based on describing or explaining a relationship between independent and dependent variables (Creswell 2009:57). It is logically impossible for the conclusion to be false if the premise is true. "Additional evidence will not strengthen the argument, it is complete thus given the evidence, the conclusion is certain" (Auriacombe 2008:102).

Inductive logic

Inductive reasoning is used in qualitative research and "attempts to proceed from the particular to the general. It is more speculative and may be more creative, than deduction" (Auriacombe 2008). One or more related research questions are formulated, followed by data gathering, analysis and interpretation leading to the development of models or theories explaining the phenomenon under study. This type of logic "may support, falsify or expand existing theory, or even establish a new theory" (Creswell 2009:63). Additional supporting evidence may strengthen the conclusion (but will still not necessarily prove it beyond doubt). According to Auriacombe (2009) conclusions must be confined to statements that are fully substantiated by a rigorous research process and the findings.

Four conditions are needed for research using inductive logic:

- Observation must be rigorously performed and recorded.
- Data studied must be accurate and must be collected from the universe in which the researcher is interested.
- Observations must cover representative cases.
- Observations must cover a sufficient number of cases (Auriacombe 2008:112).

Abductive logic

Abductive reasoning uses both deductive and inductive logic. Deductive reasoning is used to describe or explain how and why independent and dependent variables are related. Inductive reasoning is used to test, expand or

develop new theories. This type of logic is used in theory development and studies following a mixed method design (Auriacombe 2013).

Cause and effect

It is almost impossible to understand logical thinking without using the concept causal thinking and relationships. Causal thinking comes naturally to the scientific method used in research. A basis for reasoning in social science research using deductive logic is setting a hypothesis. "Hypotheses represent informed 'suppositions' made relating to the topic, which are still to be verified or proved wrong by means of logical testing as well as analyses of data and information" (Auriacombe 2001:48). Hypotheses are thus tentative answers to research questions (problems).

"Personal experience leads one to believe that all events are the products or results of other events, which are referred to as their causes" (Auriacombe 2001:48). "The danger is that true cause and effect relationship may be completely reversed in the thinking of a researcher" (Auriacombe 2001:50–51). Therefore it is important to recognise the differences between basic and secondary causes:

- Basic causes: These are the deeper, more fundamental reasons for a condition. They are the 'original' causes of a condition.
- Secondary causes: These are causes resulting from basic causes.

The following conditions are seen as necessary for establishing correct cause and effect relationships:

- Be certain that the assumed cause and effect actually exist. Much wasted time and effort can be saved if this rule is applied.
- Consider carefully whether one known condition is a cause or an effect of a second known condition. Do not move too quickly from the hypothesis, or by stating an opening premise to the conclusion.
- Consider carefully whether one known condition is a cause or an effect of some unknown condition.
- Distinguish correctly between basic and secondary causes (Auriacombe 2001:51)

According to Travers (1967:41–44) "Some scientists prefer to state that they are seeking to establish systems of functional relationships rather than causal relationships. Hence the reader will see that the term functional relationship refers to a situation in which is described a relationship that is not directly causal but is based on a complex system of interactions".

The next step to understand the theory of research with ease is to move deeper into explaining what lies behind scientific reasoning. Why some researchers believe

that human behaviour should be explained from the outside (etic) by means of objective observation through the use of general scientific laws (“erklaren”) and others that human behaviour should be understood from an insider’s point of view (emic) by gaining insight into the meaning (“verstehen”) that the subject gives to his/her life world (Weber in Auriacombe 2014 and Schurink 2009).

SOCIAL SCIENCE RESEARCH AND THEORY

To enhance our understanding of the concept “social science research” it is necessary that we firstly consider the relationship between theory and the empirical world.

The relationship between theory and research

The term theory could be defined as “... an explanation of observed regularities” (Bryman and Bell 2003:7). “A theory explains how and why the variables are related, acting as a bridge between or among the variables. Theory may be broad or narrow in scope, and researchers state their theories in several ways such as a series of hypotheses, if-then logic statements or visual models” (Creswell 2009:51).

More specifically a theory is an interrelated set of definitions/concepts/constructs/propositions/hypotheses presenting a systematic analysis of a phenomenon (e.g. unemployment, democracy) by exploring, describing, explaining or predicting it.

Popper (1972) developed a useful framework, namely the Three Worlds Framework, to explain the concepts of non-scientific and scientific knowledge as well as theory and research. For Mouton (2004:138) also, the logic of research is based in three realms, namely the world of everyday life and lay knowledge or World 1, the world of science and scientific research or World 2 and the realm of meta-science or World 3 (Mouton 2004:138).

World 1 is the world of social and physical reality made up of social problems such as poor services, crime, unemployment, etc. Using the logic of World 1 (Mouton in Auriacombe 2011:46) researchers are required to focus on applied research. Applied research is problem-oriented. It aims to understand, explore, describe and explain real life problems in order to address these problems. The “...type of research that one will be doing from a World 1 perspective will mostly inform, among other things, programme development, policy-making, policy execution and decision-making”(Donaldson, Christie and Mark 2009:3).

In **World 2** the researcher brings in existing knowledge of the world of science and writings of other scholars. The emphasis is “... on basic research that is not necessarily problem-oriented but seeks an extension of scientific knowledge” (Mouton in Auriacombe 2011:46). In such research the emphasis is on the literature,

existing concepts and theories. Researchers focusing on constructing theories and models, analysing concepts or reviewing the body of scientific knowledge are doing basic research in the realm of World 2 (Mouton in Auriacombe 2011:46).

World 3 is the realm of meta-science where through a process of cognitive logical scientific reasoning; concepts, typologies, models or theories are developed. The representations of the reality of World 1 and the existing knowledge of World 2 are thus conceptualised and critically analysed to transform the data gathered into knowledge that could contribute to scientific knowledge and the solving of everyday problems (Rossman and Rallis 2012:6-7).

Table 1: Non-scientific and scientific knowledge

WORLD 1 OBJECTS	WORLD 2 OBJECTS
Physical objects (matter)	Scientific concepts or notions
Biological organisms (living organisms) and processes	Scientific theories and models
Human beings (individuals or groups)	Scientific methods and techniques
Human actions and historical events	The body of scientific knowledge or literature
Social interventions (programmes or systems)	Scientific data
Cultural objects (art or literature) and technology	Schools of thought, philosophies or world-views
Social organisations (political parties or clubs) and institutions (schools, banks or companies)	Scientific theories
Collectives (countries, nations or cities)	Indicators

Source: (Adapted from Popper 1972 and Auriacombe 2008:80).

Listing the most typical entities or units of analysis in World 1 (the non-scientific world) and World 2 (the world presenting scientific knowledge) could further help researchers to understand the logic of research. In its broadest terms social science research can be defined as a systematic process of inquiry aimed at obtaining accurate answers to significant and pertinent questions in order to increase the sum of human knowledge (cf. Mouton in Auriacombe 2009).

THE DIMENSIONS OF SOCIAL SCIENCE RESEARCH

The following dimensions of social science research can be distinguished.

The sociological dimension

The sociological dimension where the emphasis is on the fact that researchers operate within a scientific community which adheres to specific mechanisms of control, such as ethical standards, reflecting the goals and values of research communities.

The teleological dimension

The **teleological dimension** of social research refers to the goal driven nature of social science (Auriacombe 2011).

The ontological dimension

"Ontology implies the study of being or reality" (Mouton 1996:11). The ontological dimension of social research therefore refers to the researcher's view regarding the nature of reality (Mouton 1996:11). From the ontological dimension arises the following questions: "to what extent do people have a say in their social world"? (Mouton 1996:11). And should the researcher take an objective or subjective position?

The answer lies in the three basic ontological/theoretical perceptions namely that of the objectivist, nominalist or interpretivist and the pragmatist or realist. The **objectivist** sees the social world in an objective manner, believing that "...the researcher should maintain a detached, objective position" (Mouton 1996:11). **Nominalists** view reality subjectively as "...social constructions built up from the perceptions and actions of social actors" (Mouton 1996:11) and therefore believe that reality can only be constructed. **Pragmatists** are "...not committed to any one system of philosophy" (Mouton 1996:11) (realist or nominalist). They hold an advocacy and participatory world view and have a perspective of historical realism believing that social reality is real but is shaped by social political and cultural factors. Reality is interpreted, and negotiated and is based on an, abductive logic using both a deductive and inductive form of reasoning (Creswell 2009:6).

Epistemology

"Epistemology refers to the nature of knowing and construction of knowledge and is divided into positivist, anti-positivist and realist stances (Schwandt 2007:87).

Positivists study the parts to understand the whole; look for regularities and causal relationships to understand and predict the social world (Bryman

1984 and Schurink and Schurink Internet Source); believe that only phenomena or knowledge confirmed by people's senses can be regarded as knowledge (Bryman 1984 and Schurink and Schurink Internet Source); and believe that science needs to be conducted value-free, i.e. objectively (Bryman 1984 and Schurink and Schurink Internet Source).

Anti-positivists/interpretivists emphasise the fact that social reality is viewed and interpreted by the individual according to his/her ideological position; believe that knowledge is personally experienced rather than acquired from or imposed from outside; believe that the knower and known are interdependent and social science is essentially subjective; see reality as multi-layered and complex (Creswell 2009:5) and believe that a single phenomenon has multiple interpretations.

Realists hold both objective and subjective points of view; focus on the problem and accept the need for both qualitative and quantitative research to understand it; believe that the research question is more important than both the method and paradigm underlying the method; regard the role of ideology as critical and place the emphasis on change and empowerment of marginalised individuals (Auriacombe 2009).

There exists alternative answers to each foundational question. Different beliefs of ontology, meaning how a researcher sees reality, and epistemology, that is, how a researcher thinks social phenomena could be studied; will influence the way that a researcher will go about doing the research (Creswell 2009:5). The same phenomenon could thus be investigated, analysed and interpreted differently depending on the researcher's belief of what social reality is (ontology) and how social phenomena can be known (epistemology) (Punch 2006:31).

The methodological dimension

These are assumptions about the **process of research**. There are three basic methodological dimensions (Mouton in Auriacombe 2009) namely:

- Nomothetic where "methodology focuses on an examination of regularities and relationships to universal laws as in Positivism and a quantitative research approach" (Mouton 1996:12).
- "Ideographic approaches that center on reasons why individuals create and interpret their world in a particular way. The social world can only be understood by obtaining first-hand knowledge of the subject and understanding his/her innermost experiences as in Interpretivism and a qualitative research approach" (Mouton 1996:12).
- Pragmatic, using both nomothetic and ideographic assumptions (mixed methods) as in realism and a mixed-method approach (Mouton 1996:12).

The axiological dimension

Axiology refers to the researcher's beliefs regarding the role of values, ethics and power in generating knowledge. Positivists argue for a science that is value free, is objective and adhering to systematic observation and upholding scientific norms and values. For anti-positivists/interpretivists inquiry is value-bound and researchers reflect on and analyse values as part of the research process (Auriacombe 2009).

For realists values play a major role in interpreting results and values and human action and interaction precede the search for description, theory, explanation, and narrative. They intentionally try to address ideology, values and issues of power (Mouton 1996).

Table 2 is presented to provide a better understanding of the three broad research approaches namely positivism, interpretivism and realism.

Table 2: Different dimensions of research from a philosophical point of view

	Logical Positivism (Objectivism; Empiricism)	Pragmatism, Realism	Constructivism (Interpretive; Naturalism)
Logic	Deductive (arguing from the general to the particular; emphasis on a priori hypothesis (or theory).	Deductive and Inductive	Inductive (arguing from the particular to the general)
Ontology (nature of reality)	Naive realism—objective, external reality. There is a single reality. Things in the world can be known directly.	Choose explanations that best produce desired outcomes. Accept external reality independent of the human mind. Reality is interpreted, and negotiated, consensual.	Subjective point of view. Ontological relativism—multiple social realities, products of human intellects, exist and may change as those who constructed them change. There are only multiple constructed realities. The real world could be discovered by means of a systematic, interactive methodological approach. Reality is internal; truth depends on the knower's frame of reference.

	Logical Positivism (Objectivism; Empiricism)	Pragmatism, Realism	Constructivism (Interpretive; Naturalism)
Epistemology (relationship of the knower to the known)	Objective point of view. Knower and known are dualism, or independent. Learning is transferring what exists in reality to what is known by the learner.	Both objective and subjective points of view.	Subjective point of view. Knower and known are inseparable.
Axiology (role of values in inquiry)	Inquiry is value-free.	Values play a major role in interpreting results. Values and human action and interaction precede the search for description, theory, explanation, and narrative.	Inquiry is value-bound.
Methodology	Quantitative. Experimental research design. Focus on controlled settings and internal validity.	Quantitative and Qualitative (mixed methods or mixed methodology). Quantitative and qualitative methods are compatible. The research question is more important than both the method and paradigm underlying the method.	Qualitative. Naturalistic, emergent research. Focus on natural settings and external validity. The researcher provides insights into the behaviour expressed and the meanings and interpretations that participants give to their life worlds. Use of first-person accounts, documents, and auto ethnographies

The suggested typology makes extensive use of the building blocks identified by Gubba and Lincoln. Available at: www.evaluate-europe.net/projects/eval3/.../Gubba-Lincoln.doc (Accessed on 19/06/2014).

On the **disciplinary level** there are theoretical goals including theory building, understanding of human behaviour, “explanation and prediction of human behaviour, and gaining insight in social reality” (Auriacombe 2011); and practical goals: “... development of programmes or models aimed at improving the quality of life of people and empowering the oppressed or exploited members of society such as women and children” (Auriacombe 2011).

On a **project level** there are theoretical goals including exploratory, descriptive and explanatory and evaluation and prediction research (Auriacombe 2013).

TYPES OF RESEARCH

Different types of research are required during the different stages of the research process. These stages are functionally and causally interconnected. Each stage is linked to another stage on a continuum of research types (Auriacombe 2008).

Exploratory research

Exploratory research is initial research (e.g. pilot studies) conducted to clarify and define the nature of the research problem or opportunity by giving ideas or insights as to how the research problem or opportunity can be addressed (Cant, Gerber-Nel, Nel and Kotze 2003:28). The purpose of this type of research is to progressively narrow the scope of the research topic and, consequently, paraphrase the research problem clearly. According to Cant, Gerber-Nel, Nel and Kotze (2003:28) exploratory research studies are used for many purposes:

- to formulate the research problem or opportunity for more precise investigation in order to formulate a hypothesis;
- to establish priorities for further research;
- to gather information about practical problems of carrying out the research on particular conjectural statements;
- to increase the researcher's familiarity with the problem or opportunity; and
- to clarify some key concepts connected with the research problem or opportunity (Auriacombe 2008).

Descriptive research

Another major purpose of social science research is to describe situations and events. This type of research describes aspects that answer the questions: who, what, when, where and how? Often the researcher will have no formal hypothesis. Implicit in descriptive research is that researchers already know or understand the underlying relationships of the problem or opportunity (Auriacombe 2008). Researchers may have a general understanding of the research problem or opportunity, but conclusive evidence that provides answers to the questions should still be collected to determine a course of action. Cant, Gerber-Nel, Nel and Kotze (2003:28) argue that the purpose of descriptive research is to provide an accurate picture of some aspects of the specific environment, including:

- **Demographic information:** Descriptive research may help researchers to describe the characteristics of certain groups in a target population (Auriacombe 2013).
- **Behavioural information:** Here, estimating the number of people in a specific population who behave in a certain way can be described (Auriacombe 2013).
- **Specific predictions and clear specifications:** Descriptive research can, for example, give information on more detailed aspects by answering the questions: who, what, why, when, where and how? (Auriacombe 2013).

Descriptive research studies can be conducted in two ways: longitudinal, involving a fixed sample of elements (a panel) which are measured repeatedly; and cross-sectional, involving the collection of information from any given sample of population elements only once (Cant, Gerber-Nel, Nel and Kotze 2003:31).

Explanatory research

Explanatory research aims to explain causal relationships. These studies attempt to provide answers to the ‘why’ and ‘how’ questions. The purpose of these studies could be to generate hypotheses, as well as test and validate theories (Mouton 1996:104; Babbie 1992:91–92). Through pursuing explanatory studies, not only do we understand society better, but we are sometimes able to predict the consequences of certain actions (Bailey 1978:38–39).

Exploratory, descriptive and causal research have different uses and it is important for researchers to have knowledge of the different types of research, as the stages in the research process overlap chronologically (Auriacombe 2008).

CONCLUSION

As a first step, to gain an understanding of the theory of research the article focused on the nature of social science. Scientific knowledge, social science research theory, the scientific method and different ways of scientific reasoning were explained.

The three basic methodological dimensions namely the **nomothetic** approach used by **positivists** in quantitative research; **ideographic** approaches used by **interpretivists** in qualitative research and the **pragmatic** approach using both **nomothetic** and **ideographic** assumptions (mixed methods) were attended to and the beliefs of the researchers adhering to the different paradigms in social research regarding the role of values, were discussed.

The importance of the world view of researchers and their knowledge of how the research could best be done was highlighted. It is noteworthy that the relationship between theory and research involves more than a movement between World 1 and World 2 or the cognitive reasoning process in the realm of World 3. Different ways of thinking about the research process involve different research paradigms. Traditional social research draws on the model of a natural scientist conducting research in a laboratory. Positivism has been the dominant paradigm since World War II, but this has since been challenged on many grounds. Social constructionist, interpretative, feminist and other critical approaches have gained popularity in recent years.

Attention was given to the fact that research is goal driven. Research objectives within the different research approaches were discussed, namely exploratory research, descriptive research and explanatory research.

This article was designed to enhance the researcher's analytical abilities, critical focus and independent insight into social science research in the field of public administration. Secondly in order to provide an understanding of the philosophy of social research this article particularly looked into the different dimensions of social research. It is clear from the above that there are different ways of thinking about social science research which involve different research dimensions. Researchers must realise that by becoming part of the scientific community they should adhere to specific ethical standards reflecting the goals and values of that community.

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A nexus between Public Financial Management and Public Leadership

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ABSTRACT

The need for more efficient and effective public financial management (PFM) is paramount to ensuring the realisation of the country's developmental and more importantly economic goals. To achieve the above, a relationship needs to be established between PFM and good public leadership. Managing public finances has become an increasingly complex activity which involves a range of role players, not only in high level positions but throughout the public institution. These role players need to adopt and develop leadership skills to better suit and realise the PFM objectives of the public institution. Safeguarding public assets and resources; detecting fraud and corruption; distributing, allocating and using public money fairly and equitably; effective accountability; amongst others, are all part of PFM as well as key skills that need to be acquired to be a good financial leader. This article seeks to explore this relationship between PFM and public leadership specifically focusing on the need for public leadership in PFM within the public sector.

INTRODUCTION

The relationship between PFM and leadership is of crucial importance in determining and sustaining good financial practice within the public sector. The interface between the two allows for more strategically and effectively run government with regard to public finances.

The article explores the relationship between PFM specifically focusing on public leadership in the public sector to ensure good leadership practices. The research approach of the article is conceptual and theoretical by way of a literature review.

PUBLIC FINANCIAL MANAGEMENT

Nsingo (2007:40) states that “PFM deals with the management of people’s money, which has been entrusted to Government. It involves decision-making regarding the needed financial resources to implement government programmes and projects; where to obtain these resources; how to collect and utilise the resources; and how to control all financial processes within given time frames”. Madue (2009:414) insists that PFM focuses on utilising scarce government resources to ensure the effective, efficient and transparent use of public funds and assets, as well as to achieve value for money in meeting the objectives of good public financial governance in public service delivery.

PFM thus has a dual approach. It deals with the effective and efficient allocation and distribution of financial resources. Furthermore, it also focuses on the mechanisms and systems that are used to ensure that these financial resources are used and controlled in an effective, efficient and economic manner”. A third element identified in this regard is the importance of decision making. A prerequisite for good decision making in PFM is an effective and competent leader. Daft (1999:456) confirms the above by stating that leaders with vision, strategy and direction use their power and influence to make rational decisions.

Pertinent to PFM is the legislation that governs it. In South Africa, for example, the *Public Finance Management Act 1 of 1999* (PFMA) is very important. The PFMA was introduced to revolutionise the financial management situation in SA. The PFMA is seen as a crucial piece of legislation in SA and promotes the goals and objectives of good financial management in the public sector. This is to maximise service delivery through the effective, efficient and economic use of limited resources. It has done so by establishing a new public PFM dispensation with key objectives that include:

- modernising the system of financial management;
- enabling public sector managers to manage government funds and report on their accountability;
- ensuring timely provision of quality information; and
- eliminating wastage and corruption in the use of public funds (Madue 2009:414).

The PFMA (1999:23) in Chapter 5 focuses on the role and importance of an Accounting Officer, who is seen as the financial leader of the public institution. The Accounting Officer requires the financial skills, knowledge and expertise to fulfil the following general responsibilities, according to Section 38–42 of the PFMA (1999:23):

The Accounting Officer for a department, trading entity or constitutional institution, amongst others:

- a. must ensure that the department, trading entity or constitutional institution has and maintains-
 - i. effective, efficient and transparent systems of financial and risk management and internal control;
 - ii. a system of internal audit under the control and direction of an audit committee complying with and operating in accordance with regulations and instructions prescribed in terms of S76 and 77;
 - iii. an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost effective;
 - iv. a system of properly evaluating all major capital projects prior to a final decision on the project;
- b. is responsible for the effective, efficient, economical and transparent use of the resources of the department, trading entity or constitutional institution;
- c. is responsible for the management, including the safeguarding and maintaining of assets;
- d. must keep full and proper records of the financial affairs of the department, trading entity or constitutional institution in accordance with prescribed norms and standards;
- e. must prepare financial statements for each financial year in accordance with generally recognised accounting practice; and
- f. must draw up an inventory of assets and liabilities of the department, trading entity or constitutional institution.

The Accounting Officer as a financial leader needs to constantly acquire the financial skills, knowledge and expertise to be able to significantly fulfil the above mentioned general responsibilities. The PFMA in Chapter 5 highlights a wide range of responsibilities that need to be carried out by the Accounting Officer. Thus it is imperative, especially because it is prescribed legislation that the Accounting Officer strictly adheres to it. The PFMA also highlights the importance, role and responsibilities of other financial leaders such as the Auditor General, Cabinet Ministers, and the MEC for finance.

LEADERSHIP IN THE PUBLIC SECTOR

Scholars from various disciplines define leadership in different ways. There is consensus however that leadership is a complex concept not only limited to high level positions but to all employees within public institutions.

Daft (1999:4) states that “leadership involves the influence of people to bring about change towards a desirable future”. Daft (1999:6) continues to state that “leadership also involves intention, influence, personal responsibility, change, shared purpose and followers. Leadership occurs among people and is not something done to people”. DuBrin (2013:3) agrees that leadership is also the ability to inspire confidence and support among the people who are needed to achieve the public institution’s goals. Thus, leadership involves influence and change coupled with people working together in a cooperative, positive and proactive manner to achieve public institution goals effectively, efficiently and economically. Specifically, leadership in the public sector, according to Raffel, Leisink and Middelbrooks (2009:6) focuses on “public sector problem solving, accountability, transparency, ethics, values and diversity. It involves the important relationship between satisfied public officials and high quality public service delivery which reinforces the need for leaders to more closely examine the nature and nurture of what influences and motivates followers”. Thus, influence in this regard is based on what one values and the ethical considerations attached. Importance is given to respecting others, building communities, manifesting honesty, showing justice and serving the community (Northouse 2007 in Raffel *et al.* 2009:24).

Tizzard (2012:1) describes a leader in the public sector as one who needs to be an excellent and innovative manager and also one who displays formidable professional skills and a high degree of initiative and awareness. He further adds that public sector leaders must recognise their responsibilities to the community and fulfil these responsibilities in a practical, honest and ethical way. Public sector leaders need to be prepared to take unpopular decisions and be ready to account for them; they have to lead and not follow; they have to seek to change public opinion and behaviour, as well as respond to it; and they should be driven by a moral and value based compass (Tizzard 2012:1). Schofield (2008:2) agrees and adds that public sector leaders need to keep up with the increasing pace of technological changes, changing workforce, increasing expectations and changing perceptions of communities. It is vital that public sector leaders allow for citizens to also play a more active role in the shaping and delivering of public services. Dubrin (2013:71) highlights personality traits of effective public sector leaders. These leadership personality traits can be divided into two groups, namely general personality traits (which are observable both within and outside the context of work) and task-related traits (which focus on task accomplishment). General personality traits include self-confidence, humility, trustworthiness, authenticity, assertiveness, enthusiasm, optimism, warmth, and a sense of humour. Task-related personality traits include passion for the work and the people, emotional intelligence (self-awareness, self-management, social awareness, relationship management) flexibility and adaptability, internal locus of control and courage. These personality traits define an effective and successful leader within the public sector.

Dukakis and Portz (nd:7) add to the above stating that to be an effective leader certain practices need to be carried out. Firstly, hiring and motivating public officials. Leaders need to build a team and develop a common vision that will guide the public institution. They also need to delegate to public officials as well as mentor them to achieve their highest level. Public officials on the other hand need to understand the culture and environment of the public institution. Secondly, leaders need to listen and learn. They need to on a daily basis connect with their public officials by listening and learning through both formal and informal conversations. Thirdly, fostering collaboration and support. An effective leader will build support both inside and outside the public institution. This requires effective communication that will foster relationships among key public officials both vertically and horizontally within the public institution. Finally demonstrating character and integrity. Leaders are role-models. Their words and actions exemplify success for other public officials (Dukakis and Portz nd:7).

Prowle, Harradine, Latham, Lowth, Murphy and Orford (2013:7) state that “the challenges facing the public sector, with respect to leadership today are unprecedented and the spotlight is on financial leaders like never before. Given the pace of change and the budgeting pressures it is critical that public managers are equipped with the right skills to deal with the challenges ahead. Dealing with financial austerity poses difficult challenges for financial leadership today”. The main challenges noted by Kiyaga-Nsubuga (2004:4) include mobilising resources; building effective partnerships with key stakeholders; developing effective systems to ensure proper utilisation of human, financial and material resources; ensuring that political leaders and their technical staff work together proactively; and developing key competencies among managerial leadership to ensure that they can develop a strategic vision and direct energies and creativity to their staff towards the realisation of that vision. In addition, using limited resources efficiently, reducing public expenditure, applying accounting systems and practices appropriately and strictly adhering to financial policies and legislation requires an ethical, professional and innovative public sector leader. Dukakis and Portz (nd:8) concur with the above and add that increasing public demands, conflict, new technologies, and an ever-changing environment are also challenges experienced by leaders. In the wake of these challenges, it is evident that strong and effective financial leadership is required to not only anticipate potential challenges but to also have the public sector leadership competencies and styles to meet and solves.

Core public sector leadership competencies and styles

Leaders in the public sector require core leadership competencies and styles to manage their staff effectively, the right knowledge, skills, abilities and attitude are

required. Kiyaga-Nsubuga (2004:3) identifies the following core competencies to effective leadership, namely, ability to inspire a shared vision; strategic thinking; rational decision making; developing organisational talent; delegation and empowerment; creating and leading teams; leading by example; personal strength and maturity; effective communication; innovation and creativity; transparency and accountability; sound knowledge and skills; and ability to mentor others.

Alimo Metcalfe and Alban Metcalfe (2008:294) add that “other core qualities include, being dynamic, sociable, open and considerate, perceived as being an expert, intelligent, original and unconventional, and setting high standards”. “The recent work of Ulrich, Smallwood and Sweetman (2008) has synthesised various leadership competencies to date and proposes five leadership domains: “strategy, talent management, human capital development, execution and personal proficiency” (McCarthy 2014:57).

- Strategist: keeps the long term perspective of the public institution foremost. Effective leaders must not only envision the future but also be able to create it. Key core competencies include strategic vision, engaging the public institution in developing strategy, and creating a strategic footing in the public institution (McCarthy 2014:57).
- Executor: translating the strategy into action. Key competencies include making change happen, ensuring accountability, building teams, and ensuring technical proficiency (McCarthy 2014:57).
- Talent manager: this is concerned with developing staff, engaging them, and ensuring employees put in their best efforts. The key competencies are to communicate with clear and consistent messages, create an aligned direction, and clearly articulate that direction to the relevant stakeholders.
- Human capital developer: ensuring that the public institution has long-term competencies required for future strategic success. Key competencies include the leader’s ability to map the workforce to build the next generation, align the institutional and employees’ expectations, support career development, and encourage networking and relationship building (McCarthy 2014:58).
- Personal proficiency: personal qualities and characteristics of the leader. The key competencies are for the leader to know him/herself, have the ability to practice clear thinking, be able to tolerate stress, tend to character and integrity, and demonstrate personal energy and passion to ultimately deliver results (McCarthy 2014:58).

Successfully developing and nurturing these core competencies within leaders in the public sector will ensure a more organised and efficient public institution. There are core public sector leadership styles that must also be identified. These leadership styles according to various scholars (Alban Metcalfe and Alimo Metcalfe 2007) include:

- Affiliative style: ensures a good working relationship between team members; maintains harmony in the team;
- Authentic style: mobilises people into action undertaken for a personal purpose, and does so through charisma and honesty;
- Coaching style: connects employees with the organisational objective by improving their performance;
- Democratic style: ensures the commitment of team members by seeking consensus and expressing appreciation of their input;
- Engaging style: engages the leader together with others in an organisational mission;
- Directive style: commands action; provides a sense of direction and certainty;
- Laissez-faire style: takes it easy;
- Pace-setting style: sets a standard of high performance for the team by demonstrating the leader's own competence;
- Strategic style: provides organisational strategy and plans for action;
- Transactional style: intervenes as needed interferes as little as possible;
- Transformational style: energises people into action carried out with a sense of purpose by raising their consciousness, emotions and awareness about the ethics and meaning that resonate with their needs and values;
- Inspirational (visionary) style: inspires team members to share the dream and to move towards a long term goal (Law 2013:74).

Within the public sector arena, to ensure a high performance team, the public manager needs to be flexible and adopt a range of core competencies and styles to ensure success.

Boa, Wang, Larsen and Morgan (2012:453) add that “these public sector leadership competencies and styles have traditionally been judged in relationship to a given position within a hierarchical system of governing authority. But, increasingly these competencies and styles are being judged in terms of the ability of government to create authority that operates successfully in horizontally dispersed power settings and is responsive to the expectations of the people. Public financial managers must be good in not only traditional hierarchical management but also at creating and operating in loosely constructed networks that are held together by agreements rather than rules and the exercise of hard power”. Notably public financial managers need to be able to adapt to various changes in the environment and be able to function at various levels within the public institution. To be an effective leader, these managers need to create networks and collaborations with public officials and stakeholders at all levels of government.

These core competencies and styles can be effectively harnessed by continuously providing training and development, coaching and mentoring

these individuals. Thus, an important aspect that must be highlighted is mentoring and coaching.

Mentoring and coaching

Mentoring can be defined in various ways. According to Law (2013:53) the traditional image of a mentor is portrayed as a more mature and experienced person, who passes on his/her knowledge and skills to help protégés. This notion fixes the roles into a learner-teacher hierarchy and counters the values of equality. Allen and Eby (2010:10) add that mentoring reflects a unique relationship between individuals characterised by distinct interpersonal changes and idiosyncratic interaction patterns that define and shape the relationship. Mentoring can also be a learning partnership with the primary goal being protégé growth and development (Allen and Eby 2010:10). Johnson and Ridley (2004:xv) concur stating that “mentoring relationships are dynamic, reciprocal, personal relationships in which a more experienced person (mentor) acts as a guide, role model, teacher and sponsor of a less experienced person (protégé). It is seen as a well-researched and helping relationship focused on positive personal and career outcomes”.

There is a difference between mentoring and coaching. According to Law (2013:55) coaching follows more of an instructor approach. Dubrin (2005:ix) adds that coaching is a method of helping workers grow and improve their job competence by providing suggestions and encouragement. “Mentoring is also a method of helping others grow and develop, but it involves a greater range of helping activities and skills than coaching” (Dubrin 2005:x). Therefore coaching can be seen as a component of mentoring. There is general consensus that mentoring and coaching are “activities within the area of professional and personal development, establishing relationships to ensure the improvement of competence, knowledge, skills and growth”.

Law (2013:75) states that mentoring and coaching can thus help both public managers and leaders to: develop their leadership styles; improve their awareness of themselves and others; improve their level of professional competence; improve effectiveness in their jobs; improve their communication and management skills; manage and create a high-performance team; and learn effectively. According to Allen and Eby (2010:77) new forms of mentoring and coaching are emerging within the public sector. These include firstly, multiple mentoring: this suggests that individuals develop more than one mentoring relationship in the course of their careers. A protégé may maintain a peer-like relationship with a former mentor while at the same time developing a new mentoring relationship with a different mentor. This is prevalent in the public sector where many public officials are forming multiple mentor relationships in

an attempt to develop their competencies, knowledge and skills. Secondly, team mentoring: occurs when a leader serves as a team mentor and develops the team through career coaching, psychosocial support, and role modelling. This highlights the importance of developing mentoring ties between the team leader and each team member as well as between the team members themselves. Moreover, e-mentoring: uses electronic means as a primary channel of communication between the mentor and the protégé. E-mentoring relationships are maintained through various electronic media, including e-mail, chat or the Web. This is seen as a fairly new concept to the mentoring arena and is still in its infancy. Finally, needs-driven mentoring: a network of relationships that span a protégé's entire career. This is based on the changing developmental needs of the protégé throughout his/her career.

This idea of mentoring and coaching is prevalent in government departments fostering a unique way of training and developing public officials in the workplace to achieve effectiveness and efficiency in an ever-changing environment. These collaborations, if built on mutual trust, respect, and the willingness to acquire knowledge and skills, can create competent, skilled and effective leaders within the realm of PFM.

RELATIONSHIP BETWEEN PUBLIC FINANCIAL MANAGEMENT AND PUBLIC LEADERSHIP

The main focus of this article lies in exploring the nexus between PFM and public leadership in terms of the variables influencing their relationship in the context of public management.

Leadership versus public management

Daft (1999:37) states that “leadership cannot replace public management, but is rather an addition to public management”. Public management can be defined as the attainment of public institution goals in an efficient and effective manner through planning, organising, staffing, directing and controlling the resources of government (Daft 1999:35). Leadership is a significant and necessary addition to the above. Ingraham and Getha-Taylor (2004:96) concur adding that leadership is crucial to public institution change and adaption to this change as effectiveness and efficiency is crucial to governments’ goal of service delivery and upliftment of communities.

Dubrin (2013:6) identifies several key distinctions of leadership and public management:

- Public management produces order, consistency and predictability

- Leadership produces change and adaptability to produce new and quality service delivery, new markets and new work processes
- Top level leaders are likely to transform the public institution whereas top level managers just manage or maintain the public institution
- A leader creates a vision, whereas a manager implements the vision.

Dukakis and Portz (nd:4) concur stating that “where leadership is about establishing direction for the public institution, then bringing together, motivating and inspiring people to move in that direction; management involves keeping the current system operating through planning, budgeting, organising, staffing, controlling and problem solving”. Further, leadership focuses on building a vision for the future, while management emphasises the use of resources to meet public institutional goals (Dukakis and Portz nd:5).

Daft (1999:39) compares leadership and public management in certain crucial areas. Firstly, for providing direction, public management focuses on establishing detailed plans and schedules for achieving specific results, then allocating resources to accomplish the plan. Leadership calls for creating a compelling vision of the future and developing farsighted strategies for producing the changes needed to achieve the vision. Secondly, for alignment, public management entails organising a structure to accomplish a plan, staffing the structure with employees, and developing policies, procedures and systems to direct employees and monitor implementation of the plan. Instead, leadership is concerned with communicating the vision and developing a shared culture and set core of values that can lead to the desired future state. Finally, for relationships, public management focuses on the steps needed to ensure effective and efficient service delivery, whereas leadership focuses on inspiring and motivating people (Daft 1999:40).

Although leadership and management are different concepts, leadership is a crucial component of public management. Without leadership, effective and efficient public management cannot be achieved. These two concepts need to form a symbiotic relationship with each other in order to ensure the successful functioning of government. It is evident that where public management focuses on the “doing” of functions, leadership specifically focuses on the “people and relationships” in ensuring the “doing” of functions are achieved successfully and appropriately.

Leadership versus public financial management

Leadership is a crucial component of good PFM. It is seen as a crucial variable that leads to enhanced PFM capacity, as well as organisational performance (OECD 2001:1). Thus, public financial managers need to develop and enhance

their leadership skills and capacity to be able to continuously respond to an ever-changing public sector environment to improve the quality of public service accountability and outcomes. Leadership development of public financial managers is thus vital. There are general trends of leadership development that are followed by public institutions, according to the OECD (2001:1), which include:

- Developing comprehensive strategies: systematic financial strategies need to be formulated and implemented to deal with public sector changes;
- Setting up new institutions for leadership development: government must set up new institutions for identifying and developing future public financial leaders; and
- Linking existing PFM training to leadership development: governments are expanding their existing management development programmes to financial management to encompass leadership development.

The OECD (2001:2) further reiterates that it is vital to also define a competence profile for future public financial managers (leaders); then to identify and select them; encourage mentoring and training continuously; and to keep leadership development sustainable by allocating more of public financial manager's time to developing leaders, and linking incentives with performance for better leadership. Ingraham and Getha-Taylor (2004:109) add that ongoing monitoring and continuing mentoring are important. Successful leadership development of public financial managers includes a strong component of monitoring where individual competence development plans are checked and updated regularly to indicate goals accomplished and changing future goals. The mentoring relationships established continue as mentor and protégé keep in touch. Another important factor is to continuously teach leadership skills especially life skills, such as managing stress or assessing personalities. Finally, maintaining certain competencies, namely leading change, leading people, results driven and building communications. This then guides public financial managers by ensuring successful leadership development and consequently efficient and effective managing of public money.

The link between leadership and PFM is further strengthened by the fact that public financial managers (leaders) require increasingly specialised knowledge and skills in areas such as financial reporting, asset and liability management, risk and internal control management, accounting practices etc. which leads to effective organisational performance, as well as strong and ethical governance (www.ifac.org). Thus, the following criteria that public managers (leaders) should follow are crucial in any public institution:

- Demonstrating ethical leadership and integrity;
- Balancing short term concerns and pressures, such as managing cash with long term vision and sustainable public institution success;

- Ensuring effective compliance and control of financial legislation, processes and practices within public institutions;
- Detecting fraud and corruption;
- Allocating and distributing moneys fairly and equitably;
- Ensuring accountability;
- Driving and managing change and innovation;
- Communicating effectively with public officials
- Displaying core leadership competencies and selecting appropriate leadership styles (www.ifac.org)

These criteria are pertinent to the success of any public institution. By displaying these qualities, public financial managers play a crucial role in motivating, developing, leading, and facilitating public officials in an attempt to develop future public financial managers (leaders). Naidoo (2009:2) affirms the above stating that there is a need for effective leadership within the public sector; where public financial managers must adopt more than one leadership style to transform and better manage situations within the workplace. By combining diverse elements of various leadership styles, public financial managers can effectively fulfil their roles, responsibilities and obligations as well as achieve improved output from public officials. It can be said that continuous training and development as well as the acquisition of financial skills, knowledge and expertise are vital.

CONCLUSION

The article has attempted to highlight the relationship that exists between leadership and PFM. Leadership and PFM play a crucial role in the effective and efficient realisation of goals and objectives. In order for this to be a reality, public officials need to develop their abilities to be able to function in a productive and motivated manner. It is evident that without competent public financial managers, displaying core leadership competencies and styles; effective execution of roles and responsibilities will not be a reality. Also, the impact of these managers on the efficiency of public officials is crucial. Public financial managers need to play an active role in the motivation and day to day functioning of public officials. By displaying qualities such as strategic thinking and rational decision making, as well as being honest, trustworthy, ethical and accountable public managers may become effective leaders within the public institution.

Mentoring and coaching are also pertinent in the achievement of the above. Scholars agree that mentoring and coaching will enhance the financial skills and

knowledge of public officials by ensuring that the mentor-protégé relationship is a continuous and ongoing process. It is with strong and effective financial leadership, displaying vision and foresight that potential and existing challenges can be solved. Notably, leadership and PFM are interrelated and experience a symbiotic relationship to ensure successful PFM within public institutions. The interface between the two allows for more strategically and effectively run government with public finances.

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The Implementation of Local Economic Development Policy

The case of the Emakhazeni Local Municipality in South Africa

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ABSTRACT

This article examines the implementation of Local Economic Development (LED) within the context of the Emakhazeni Local Municipality situated in the Mpumalanga Province in South Africa. The objectives of this article are to examine LED policy implementation and the bottlenecks facing the achievement of LED objectives within the local sphere of government in general and the Emakhazeni Local Municipality in particular and to develop an LED policy implementation model based on the findings of the case study and literature review.

For the purpose of this article, LED serves as an important strategy to boost local economies to address the high levels of poverty, unemployment and inequalities facing the majority of the South African population, and more importantly to ensure global competitiveness and the integration of the South African economy within the global economic context.

INTRODUCTION

The adoption of the *Constitution of the Republic of South Africa* of 1996 was a major breakthrough for the system of local government as it brought a new constitutional status for municipalities. Section 153 of the 1996 Constitution states that a municipality must structure and manage its administration and budgeting, planning processes to give priority to the basic needs of the

community. Section 152 of the 1996 Constitution mandates municipalities to promote the social and economic development of the community and to participate in national and provincial development programmes. This implies that the sphere of local government is conceived to be integral to the realisation of the growth and development objectives underpinning new development frameworks such as the National Development Plan (2011), New Growth Path (2010), the National Spatial Development Perspective (2006) and other provincial growth and development strategies.

The *Local Government: Municipal Systems Act 32 of 2000* as amended specifically mandates municipal councils to adopt a single, inclusive and strategic plan for their development of the municipalities within a prescribed period after the start of the elected term of the municipal council. This strategic plan is referred to as the Integrated Development Plan (IDP), which contains the broader development priorities and objectives of each municipal council and LED embodied within the IDP.

In the South African context, LED is seen as being important for various reasons, for example to create jobs and new economic opportunities, to increase income levels thereby enabling municipalities to pay for services and to broaden the tax and revenue bases of a municipality. LED policy is also intended to empower the most vulnerable, marginalised and poor sectors of local communities to raise sufficient income to meet their basic needs and aspirations. The LED policy cannot be separated from poverty alleviation projects and programmes initiated and implemented at municipal level such as the Expanded Public Works Programmes (EPWPs), the provision of free basic services and the provision of support for Small Medium and Micro enterprises and cooperatives.

THE CHALLENGES OF LED FOR DEVELOPING COUNTRIES

Local municipalities around the world face, to varying degrees, the same problems of inequality, unemployment and growing poverty levels and limited provisioning of basic services to local communities (Horn and Lloyd 2001:59). These challenges are aggravated by international trends and new realities like urbanisation, the technological revolution and globalisation, and the increasing global competitive environment. The impact of these factors on the economies of cities and towns is not an exception. A combination of these factors constitutes the new developmental external framework noted above within which local municipalities must address their economic destiny. In addition to the challenges noted above in South Africa and other less developed countries, economies are also characterised by market failures, market imperfections, inefficiency, risk

and lack of entrepreneurial culture. This places a responsibility on governments for job creation, poverty alleviation and economic growth. Innovative and viable policy strategies are necessary for municipalities to address pressing societal problems manifested through the high unemployment and poverty levels and lack of access to basic services. Municipalities are increasingly required to: mediate between the local and global; balance LED policy aimed at urban competitiveness and poverty alleviation; to engage in more open and transparent state and civil society relations; to reform intergovernmental relations and promote cooperative governance (Development Bank of Southern Africa 2000:26).

Municipalities have a key role to play in coordinating and promoting LED. Municipalities can neither simply focus on providing local services and developing infrastructure, nor limit their regulatory involvement with the private sector through imposing planning restrictions and environmental management rules. Consequently, municipalities have become crucial role-players in the investment decisions of private sector organisations. Hence, many of the important variables that determine whether a private company decides to invest in a particular area are the responsibility of municipalities. These include access to development land, local transport and communications infrastructure, serviced sites, specialised waste disposal facilities, access to trained staff, educational facilities, housing and recreational amenities, to attract and retain skilled staff. In the highly competitive developed economies, LED has become a core activity with a significant impact on the local economy and employment.

An LED policy should balance the need for attracting investment with the needs of local communities. The private sector also requires a competitive advantage through reduced production costs and enhanced social and physical infrastructure. Therefore, a municipality should promote LED and simultaneously protect the environment, stimulate employment and implement poverty alleviation strategies (Development Bank of Southern Africa 2000:29–30).

The 2006 National LED Framework also provides the overarching context within which the roles and responsibilities of different LED stakeholders can be situated. In relation to the practice of LED the activities of the Department of Cooperative Governance (CoG) is at the core of national government programming. CoG has a Chief Directorate which is dedicated to promote LED and implements several programmes with strong LED links. The CoG's LED Chief Directorate supports the following LED activities: the development and review of national policy, strategy and guidelines on LED; providing direct and hands on support to provincial and local government in selected cases; providing management and technical support to Nodal Economic Development Planning; facilitating, coordinating and monitoring donor programmes; and assisting LED capacity building processes (Rogerson 2009:20).

The 2005 LED Policy Guidelines set forth key roles and responsibilities for the provinces and local government. The role of the Provincial Growth and Development Strategy (PGDS) is considered vital for the coordinated development of the local economy in the province (Department of Provincial and Local Government 2005:20) and the role of provincial government is seen as follows:

- to assume a coordination role taking responsibility for resources allocated from national to provincial government and ensuring that these are correlated with the priorities of the various IDPs;
- to establish LED fora to carry out the work of the National LED Forum and establish dedicated LED units in provincial governments; and
- to assume a role in building capacities of municipalities to undertake LED and in supporting them in its implementation.

CONCEPTUALISING POLICY IMPLEMENTATION

Policy implementation refers to the setting in motion of policy directives as authorised by the decision-makers and according to their prescriptions. It implies the practical manifestation of well researched policy issues and should be conducted in a properly planned and programmed manner (Hogwood & Gunn 1986:197). According to Howlett and Ramesh (2003:185) policy implementation constitutes an integral stage of the policy cycle, where policy decisions are translated into action. It is defined as the process whereby programmes or policies are carried out and the translation of plans is put into practice. While some decisions may have been made on the general shape of a policy, still others are required for it to be set in motion, notably, funding must be allocated, personnel assigned, and rules of procedure developed, amongst other matters. From the foregoing, it can be deduced that the implementation process flows from policy decision(s) aimed at addressing a specific problem or need that requires implementers to successfully carry it out in a more practical manner within the broader realm of the policy cycle.

According to Quade (1989:348), the programme for implementation should be simple and should put little reliance on bureaucratic processes. An implementation programme should also take into consideration the following requirements: the financial requirements brought about by new policies or changes in existing policy and organisational and administrative requirements. In other words, the administrative and organisational capacity of the department responsible should be realigned or changed if necessary in order to cope with new policy challenges and human resource requirements. Implementing the policy implies not only the availability of trained staff, but also their commitment

to pursue goals and objectives in a professional manner. This implies that in order for any implementation programme to be effective, adequate financial, human resources and organisational resources should be allocated aimed at realising broader policy objectives.

Fourie (2004:15) believes that the success of this stage of the policy cycle is dependent upon an array of variables such as: 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 among 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 break-down occurs), administrative and management deficiencies, conflict among multiple goals, and vague legislative prescriptions. Hogwood and Gunn (1997:217) cautioned that circumstances external to the implementing agency, absence of adequate resources, inaccurate theories of causes and effect, non-agreement on objectives, unspecified division of labour, faulty communication and coordination between policy implementers, as well as imperfect compliance from constituencies may further abrade effective and full implementation. Wildavsky (1975) states that since policy is made, based on the present knowledge of an uncertain future, it is bound to fall short in some aspects depending on the accuracy of existing knowledge and estimated predictions.

More often than not policies that 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 plans and evaluation mechanisms. Another problem of policy implementation could be political will and commitment from officials. Leadership and political commitment are crucial for the success of policy (Howlett and Ramesh 2003:180).

The separation of policy design from implementation is artificial. Howlett and Ramesh (2003:185) assert that after a public problem has made its way to the policy agenda, various options have been proposed to resolve it, and a government has made some choice among those options; what remains is putting the decision into practice. At the same time, different bureaucratic agencies at different levels or spheres (national, provincial or local) are involved in implementing policy, each with its own interests, ambitions and traditions that affect the implementation process and shape its outcomes (Bardach 1977 and Elmore 1978 in Howlett and Ramesh 2003).

The next section discusses the constitutional mandate and the various categories of local government with reference to the Emakhazeni Local Municipality. The

discussion also covers the socio-economic situation facing the local municipality and the spatial location of the municipality within the Mpumalanga province of the Republic of South Africa.

Background to the case

The Emakhazeni Local Municipality is constituted in terms of the Constitution of 1996 and the *Local Government: Municipal Structures Act* 117 of 1998 as a Category B municipality. In terms of the *Constitution of the Republic of South Africa*, 1996, section 155 (1), there are three categories of municipalities, namely, Category A; Category B; and Category C. A municipality that has exclusive municipal executive and legislative authority in its jurisdiction falls under Category A and a general term for a Category A municipality is a metropolitan municipality. Category B municipalities are municipalities that share municipal executive and legislative authority in a specific area with a Category C municipality within whose area such Category B municipalities fall. A Category B municipality is also referred to as a local municipality. The Constitution of 1996 determines that Category C municipalities are municipalities which have municipal executive and legislative authority in areas that include more than one municipality. The general term for a Category C municipality is a district municipality.

The *Local Government: Municipal Structures Act* 117 of 1998 contains criteria for determining when an area must have a Category A municipality (Metropolitan), with exclusive legislative and executive authority throughout its area of jurisdiction; and a Category B municipality (Local Municipality), that shares executive and legislative authority with a category C municipality (District Municipality). Within these basic types of municipalities, each Provincial Local Government Member of the Executive Council (MEC) must then determine whether an executive mayor or executive council should perform the executive functions of the municipality. The Provincial Local Government MEC must determine whether or not municipalities should have ward committees to strengthen local representation. Provincial MECs have a considerable discretion to influence the viability of each municipality, ensuring the optimum structure for each council, based on local factors, including the political and administrative capacity of the council (Pycroft 1999:188).

The potential advantage of creating different types of municipality is that it affords each MEC for Local Government with the flexibility to determine the most cost-effective form of local government based on the local conditions, service requirements and local political preferences. The disadvantage of this is that the efficiency savings of one type of municipality, as opposed to another, may be slight, as the main costs associated with a municipality are

related to administrative expenditure, service delivery and capital repayment. The type of municipality (whether executive mayor, executive committee, ward based, or sub-council) had only a limited impact on these fundamental financial components. Furthermore, the introduction of non-uniform types of municipalities within the same province, and from province to province, introduced a level of complexity and confusion that could operate against the efforts to encourage public participation in municipal activities (Pycroft 1999:188,189).

The mandate for municipalities is succinctly contained in the preamble to the *Local Government: Municipal Structures Act 117 of 1998* as:

“A vision of democratic and developmental local government in which municipalities fulfil their constitutional obligations to ensure sustainable, effective and efficient municipal services, promote social and economic development, encourage a safe and healthy environment by working with communities in creating environments and human settlements in which all our people can lead uplifted and dignified lives”.

Emakhazeni Local Municipality is located in the Nkangala District municipality in the Mpumalanga province of South Africa. According to the Community Survey conducted by Statistics South Africa in 2007, the local municipality had a population size of 32 840 persons. The municipality is also the least populated in the Nkangala District Municipality with a population density of 6,93 persons per square meter. The municipality is bordered to the West by the Steve Tshwete Local Municipality which is also part of the Nkangala District Municipality, to the South it is bordered by Albert Luthuli Local Municipality which is part of the Gert Sibande District Municipality, to the North by the Thaba Chweu Local Municipality and to the East it is bordered by the Mbombela Local Municipality which are both part of the Ehlanzeni District Municipality in the Mpumalanga Province (Emakhazeni Local Municipality's 2011–2012 Integrated Development Plan).

The Emakhazeni Local Municipality is strategically positioned in the provincial context of the Mpumalanga province as it is located between the Pretoria and Johannesburg complex in the Gauteng province and Nelspruit, the provincial capital of the Mpumalanga province. Moreover, it is situated on the N4 national road of the Maputo Corridor, which is the main link between the Gauteng province, Mpumalanga province and Mozambique. The transport infrastructure in the form of rail lines provides a linkage with Gauteng and Maputo, the capital of Mozambique and Richards Bay, in the KwaZulu-Natal province. The municipality is a tourist destination and further serves as the gateway to the major tourism attraction points in Mpumalanga province and the eastern parts of Limpopo

province through the Kruger National Park to the East and Pilgrim's Rest, Graskop, Mashishing and Hoedspruit to the Northeast of the province (Emakhazeni Local Municipality's 2011–2012 Integrated Development Plan).

The unemployment rate in the Emakhazeni local municipality was 30% in 2010 and the weighted average household income earned by the economically active population per annum is R31 494 53 in terms of the 2001 figures. The economy is composed of various sectors which make it diversified, namely, mining, agriculture, trade, transport, government, community services and manufacturing. Mining is leading in terms of employment within the municipality with 22,7% followed by the trade sector with 20,6% (Emakhazeni Local Municipality's 2011–2012 Integrated Development Plan).

The next section presents the methodology underpinning the field research and a discussion of results based on research questions contained in an interview schedule emanating from the field research work that took place at the Emakhazeni local municipality's offices.

METHODOLOGY AND FINDINGS

The field research work took place at the offices of the Emakhazeni Local Municipality, Mpumalanga province. This work also involved a documentary review of various official documents developed by the Municipality, notably, the IDP Review document for 2010–2011 financial year, Emakhazeni Local Municipality's LED Strategy, March 2007 and the Emkhazeni Responsible Tourism Plan, March 2008. Literature review was also carried out. For the purpose of data analysis an MS Excel spreadsheet was used for data coding, analysis and presentation.

Table 1: Research sample

Profile of respondents	Number of respondents
Municipal manager	1
Manager in the office of the executive mayor	1
IDP and LED officer	2
Corporate and Social Investment officer	1
Chairpersons of Community Development Forum	3
Member of the Executive Mayoral Committee	1
Youth Development Manager	1

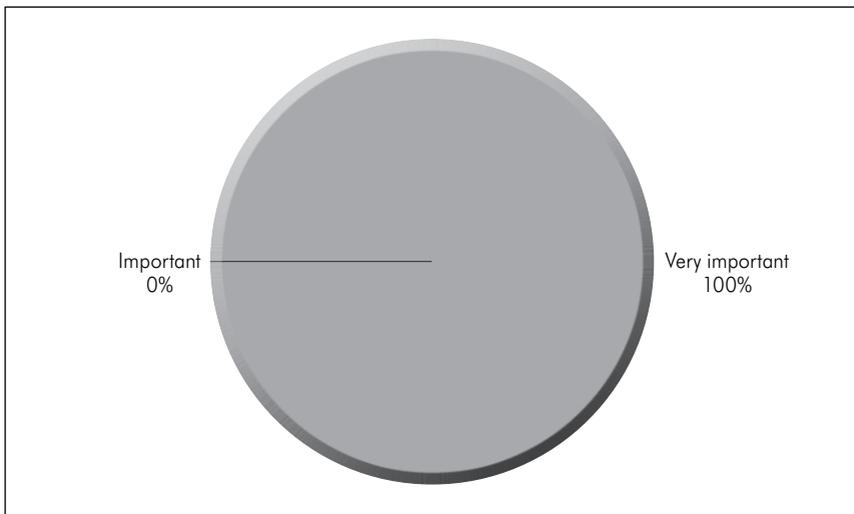
The profile of these above-mentioned research participants includes both the internal staff represented by the senior municipal officials, and the external municipal stakeholders, namely the members of the Community Development Forum involved with the formulation and implementation of the LED policy within the municipality. Noteworthy, the staff establishment of this municipality is relatively small due to inadequate staffing and limitations of resources.

Table 2: Response rate

Number of interviewees	Actual	Response
10	10	10

It is interesting to note that the target number of respondents was actually achieved because all the respondents were available for the focus group interview meetings as per the schedule agreed upon by the author and the municipal LED coordinator. The respondents were required to complete a self-administered questionnaire, which consisted of nine closed questions and one open-ended question. This section provides an analysis of the respondents’ perceptions and views with regard to the LED Policy of the Emakhazeni Local Municipality. The analysis of the respondents is categorised into three broad themes, namely: LED Policy Planning Context; LED Policy Stakeholders; and LED Policy Implementation.

Figure 1: Importance of LED



Source: Koma (2014:264).

Question 1: Importance of LED

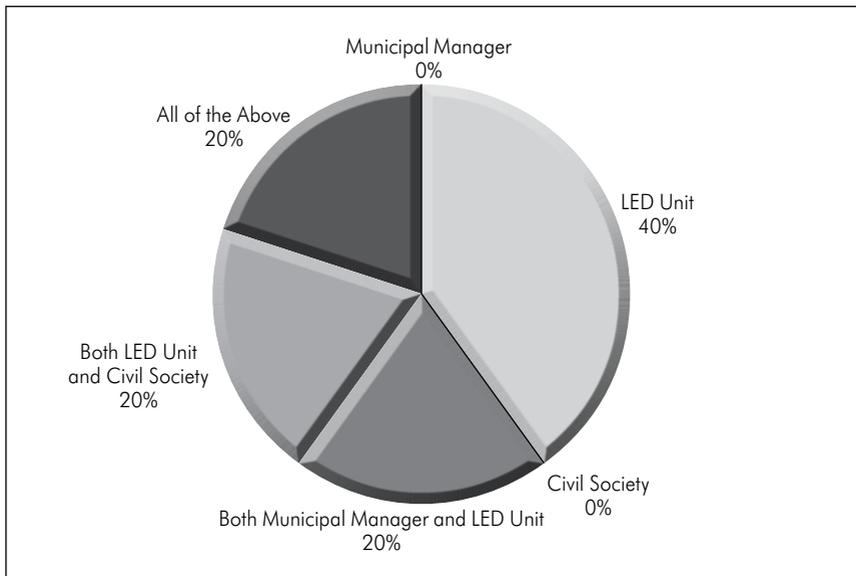
Research participants were required to indicate the importance of LED for the municipality. Figure 1 graphically illustrates the responses of the participants.

In answering this question, the participants were provided with two options in order to indicate their perceived importance of LED for their municipality. Figure 1 highlights that all of the participants were of the view that local economic development is certainly very important for the operations of the municipality. This overwhelming response also indicates the primacy of LED policy for the municipality accorded by the participants. This research finding further reflects that all the important role-players within the municipality acknowledge that LED is very important and strongly needed to realise the strategic objectives of the municipality, namely: economic growth, employment creation and poverty alleviation.

Question 2: Responsibility for implementation of LED

From the responses received and as Figure 2 illustrates, the majority (40%) of the participants indicated that the LED Unit of the municipality is primarily responsible for the implementation of the LED policy.

Figure 2: Responsibility for implementation of LED



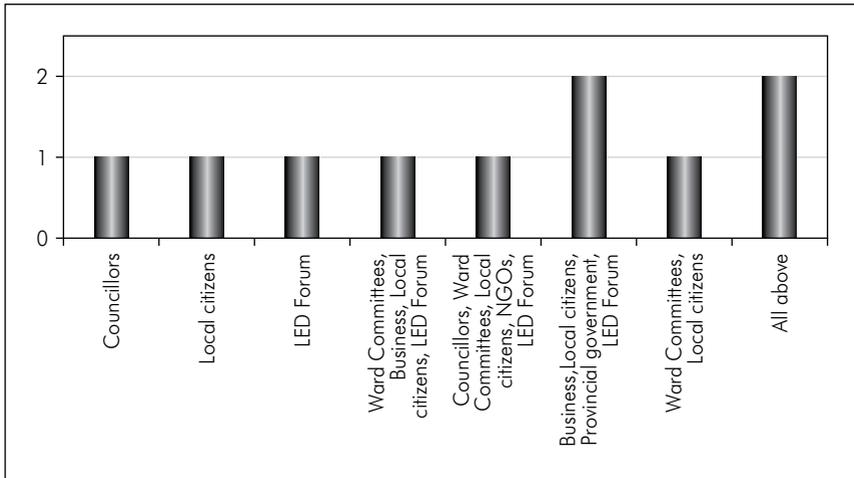
Source: Koma (2014:266).

205 of the respondents were of the view that both the Municipal Manager and the LED Unit are responsible for the implementation of the LED policy, whereas another 20% of the respondents stated that both the LED Unit and civil society are responsible for the policy's implementation. The existence of the LED Unit and the involvement of civil society in the implementation of the LED policy clearly show the inclusive approach adopted by the municipality to realise the objectives of the policy, notably, ensuring economic growth, employment creation and poverty alleviation.

Question 3: Opinions taken into account regarding implementation

Various stakeholders' opinions are taken into account in formulating and implementing LED policies. Participants were asked to highlight which opinions are taken into account when decisions relating to the implementation of the Policy are made.

Figure 3: Opinions taken into account regarding implementation



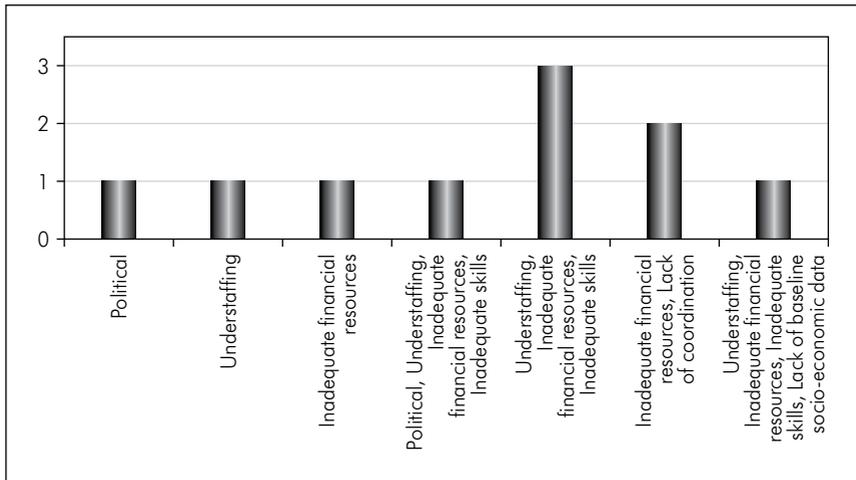
Source: Koma (2014:269).

Figure 3 illustrates that two of the ten (20%) participants underline that the opinions that are taken into account for the implementation of the LED policy, are those of: business, local citizens, provincial government, and the LED Forum. Two of the ten (20%) respondents indicated that all stakeholder opinions, which include: councillors, ward committees, business, local citizens, experts, NGOs, provincial government and the LED Forum, are taken into consideration.

Question 4: Barriers to implementation

Question 4 required participants to reflect on the barriers responsible for influencing the implementation of the LED Policy. Figure 4 illustrates that various factors hinder the implementation process, such as: political barriers, understaffing, inadequate financial resources, inadequate skills, lack of clear national government policy direction, lack of baseline socio-economic data, and a lack of coordination. Respondents were given the prerogative to choose more than one barrier or factor, which they thought to be relevant.

Figure 4: Barriers to implementation



Source: Koma (2014:269).

A combination of understaffing, inadequate financial resources and inadequate skills, as well as a combination of inadequate financial resources and a lack of coordination were identified as the major barriers in the process of implementing the LED policy. The lack of skills, coordination, funding and understaffing for LED policy implementation invariably exhibit the institutional capacity deficiencies facing small local municipalities. It is difficult for small local municipalities to attract and retain qualified and competent LED practitioners due to limited labour supply within the local labour market and financial resources available to them to be able to fulfil this objective. At the same time, the role of provinces in building the capacities of municipalities to undertake LED and in supporting them in its implementation is succinctly provided in the LED Policy Implementation Guidelines, 2005.

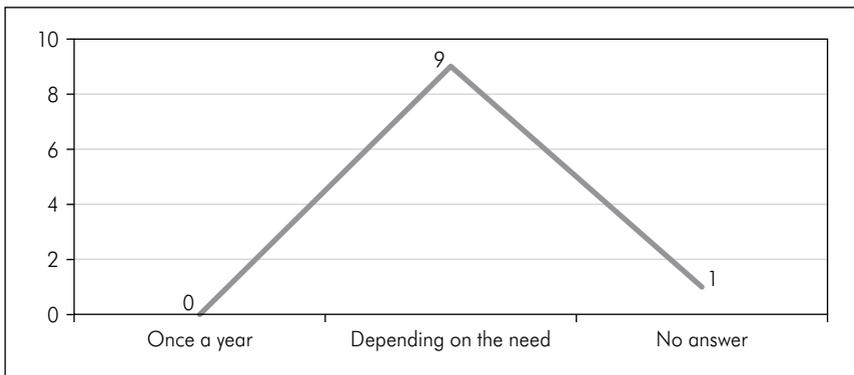
The DBSA launched the LED Fund in 2008 that is aimed at assisting localities with demonstrable economic potential but they are hampered by, a limited

revenue base and access to commercial and grant funding to capitalise on the potential within their areas. Through this fund, low capacity local municipalities could successfully raise funding for LED policy implementation.

Question 5: Frequency of updating and reviewing LED policy

Similar to the need for convening meetings to discuss the progress made with the implementation of the LED policy, it is of paramount importance to regularly update and review the LED policy. This question asked participants how often they reviewed and updated the LED policy. Figure 5 below illustrates the responses.

Figure 5: Frequency of reviewing and updating LED policy

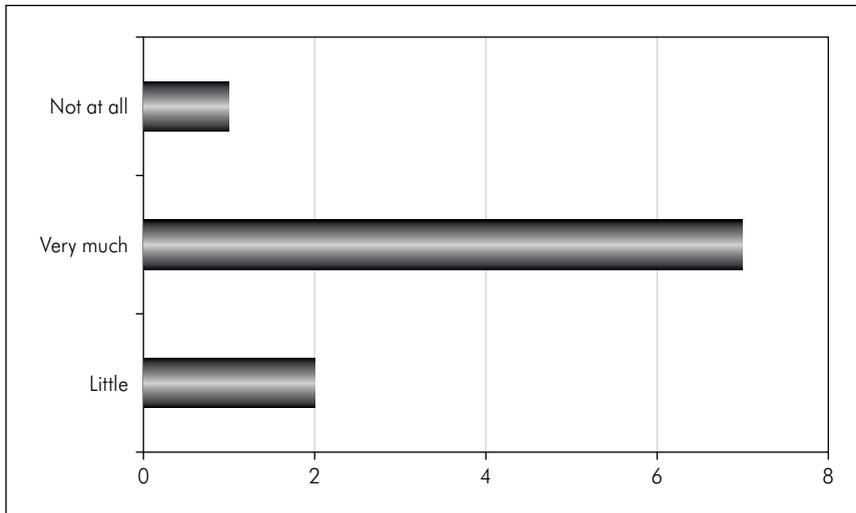


According to Figure 5, the majority of participants (90%) state that the LED policy is only reviewed and updated when there is a need to do so. One respondent did not establish a view. According to the World Bank LED Model (2005) LED strategy should be reviewed at least annually to ensure that it remains relevant. It may be that conditions have changed or that the initial assessment was incorrect for the local conditions. The LED strategy should evolve continuously to respond to the changing competitive environment.

Question 6: Consideration of National and Provincial Growth and Development Strategies

Research participants were required to indicate the extent to which the National and Provincial Growth and Development Strategies were considered in the formulation of the LED policy. From figure 6 below, it is evident that the National and Provincial Growth and Development Strategies form an integral part of the LED policy.

Figure 6: Consideration of National and Provincial Growth and Development Strategies



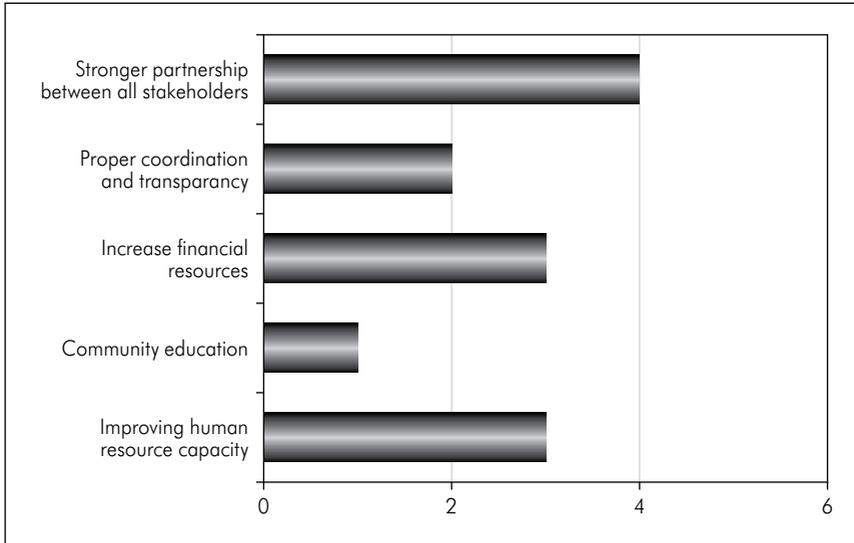
Source: Koma (2014:274).

An overwhelming 70% of the participants affirm that the Growth and Development Strategies are central to the formulation of the LED policy, while one of the ten participants (10%) indicated that these strategies are not considered at all in the formulation of the LED policy. The remaining 20% of the participants highlighted that the National and Provincial Growth and Development Strategies are taken into consideration. This research finding supports the assertion that local municipalities should invariably align their LED policies to the national economic development policies, namely, the New Growth Path, National Development Plan, National Spatial Development Perspective, and Provincial Growth and Development Strategies.

Question 7: Realising objectives of LED policy

The other important question entailed the respondents having to provide their opinion on how the LED policy objectives could be best attained or realised. The participants were not provided with options to choose from, so for the purposes of this analysis, the author categorised the participants' responses into the following: stronger partnership between all stakeholders; proper coordination and transparency; increase in financial resources; community education; and improving human resource capacity. Figure 7 illustrates the responses of the research participants.

Figure 7: Realising objectives of LED policy



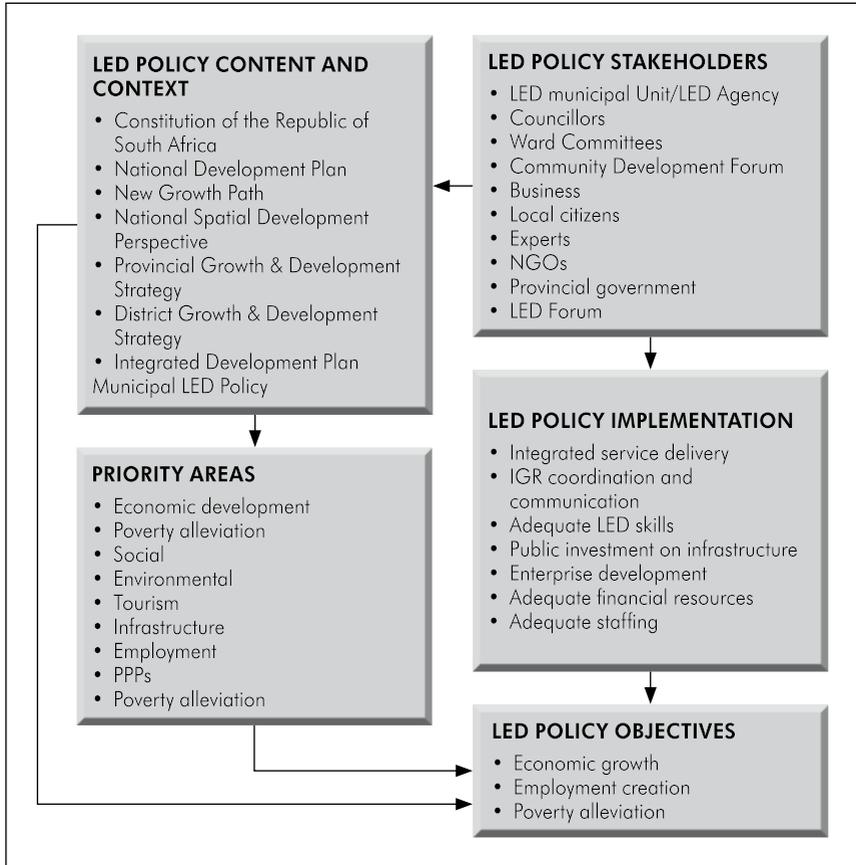
Source: Koma (2014:275).

According to Figure 7, 40% of the participants were of the view that a stronger partnership between all stakeholders, coupled with an improvement in the human resource capacity, as well as an increase in financial resources, would assist the municipality in meeting the objectives of the LED policy. Participants suggest that in terms of improving the human resource capacity of the municipality, there should be an introduction of training and orientation programmes for officials who are involved in the formulation and implementation of the LED policy. Two of the ten respondents believe that the objectives of the policy may be realised if there is greater coordination and transparency in the entire process of formulating and implementing the LED policy. Community education was another important factor suggested by the participants (10%).

These findings suggest that there are numerous bottlenecks facing the implementation of LED policy. Notably, the lack of skills, coordination, funding and understaffing are the major contributing factors affecting the implementation of the policy within the Emakhazeni Municipality. The report on the Strategic Review of Local Government published in 2009 appropriately highlights these above-mentioned factors namely, limited capacities, inadequate financial resources and the lack of proper coordination among the various responsible spheres of government, as the crucial bottlenecks that hinder the effective implementation of the LED policy.

There is little synergy regarding the planning process encapsulating the various strategic national economic development policies namely, the New

Figure 8: LED policy implementation model



Source: Koma (2014:279).

Growth Path, National Spatial Development Perspective and Provincial Growth and Development Strategy and the municipal LED policy implemented by the local municipality. The failure on the part of local municipalities to align municipal LED policy and the national economic development policy frameworks invariably affects the integration of strategic national and provincial development imperatives necessary for the achievement of economic growth, employment creation and poverty alleviation. The lack of synergised and integrated development planning frameworks is a crucial issue that needs the attention of LED policy planners and implementers within the municipality.

The model in Figure 8 is a representation of critical variables that should be taken into account with a view to ensuring proper implementation of the

LED policy within the context of developmental local government. This model is based on the broad themes of the research findings of this research, namely: LED policy content and context; LED policy stakeholders; LED policy implementation and LED policy objectives.

LED policy content and context

The first variable refers to the LED policy content and context. This variable covers the important legislation and public policies that underpin the promotion of growth and development objectives at the macro, micro and meso levels. The Constitution of 1996 provides for local government objectives and Section 153 clearly states that one of the objectives of local government is to promote social and economic development, as already stated. Furthermore, local government must encourage the involvement of communities and community-based organisations (CBOs) in the affairs of local government. The Constitution sets the tone for the promotion and realisation of LED policy objectives, namely, the promotion of social and economic development through economic growth, employment creation and poverty alleviation.

The National Development Plan (NDP) (2011) covers the government's vision for 2030 and reflects on the overall strategic priorities and objectives of government for the next two decades. This plan provides a broader planning framework to inform the formulation of the LED policy. This alignment is crucial for the purpose of ensuring that the LED policy is synchronised with the major thrusts of the NDP. The New Growth Path (NGP) policy broadly outlines the strategic objectives of the government and more importantly contains targets for the achievement of growth and employment creation. Flowing from this NGP policy, LED policy planners should also take into account the intentions of the National Spatial Development Perspective in order to understand and locate the potential economic growth points for their local areas. This would help LED policy planners to generate a sound spatial development plan tailored for the specific circumstances and conditions unique to their local areas. A spatial development plan is integral for the realisation of LED policy objectives.

LED policy cannot be insulated from the imperatives of the provincial government through the formulation of the Provincial Growth and Development Strategies (PGDS). This provincial strategic development framework provides the basis within which LED policy planners should locate the growth and development priorities of the province and give direction to the content of the LED policy. This synergy of both the PGDS and LED policy is imperative for ensuring integrated development planning within the two spheres of government and thus realise the fundamental objectives of intergovernmental

relations and also incorporate the District's Growth and Development Strategy (Koma 2014:280).

The content of the LED policy should also encapsulate the broader municipal strategic plan namely, the Integrated Development Plan (IDP). The IDP is an innovative strategic planning tool aimed at ensuring that the development thinking mode of municipalities locates the short, medium and long-term development plans of municipalities within the parameters of an inclusive and participatory process of consultation, involvement and engagement with local citizens, community-based organisations, non-governmental organisations and the business community. The synergy between the IDP and LED policy is integral for the achievement of LED policy objectives (Koma 2014:281).

As a result, the priority areas for LED policy should principally focus on economic development, employment creation, poverty alleviation, social, environmental, tourism, infrastructure, and public-private partnerships issues. These priority areas are also reflected in the NDP, NGP, Provincial Growth and Development Strategy, National Spatial Development Perspective and IDPs.

LED Policy stakeholders

The other crucial variable situated in the LED policy implementation model involves LED policy stakeholders. It is important to note that in terms of the *White Paper on Local Government*, 1998 developmental local government is defined as a government committed to working with local citizens, non-governmental organisations and community-based organisations to find sustainable ways and means to meet their social, economic and material needs and improve the quality of their lives. This definition of developmental local government clearly provides the context within which the LED policy should be conceptualised and operationalised.

The solicitation of input, views and resources from various stakeholders is crucial to effective implementation of the LED policy. At the municipal level important stakeholders include the Councillors who are expected to provide vision on how they intend to develop, harness and achieve the economic potential of their municipalities in order to boost local economies, generate employment and reduce poverty. The involvement of LED municipal units/agencies/forum in shaping the content of the LED policy is also crucial for the success of the LED policy. These LED municipal structures should be adequately resourced and capacitated in terms of both human and financial resources, and empowered to take a leading role in the mobilisation of resources for the purpose of realisation of LED policy objectives. The active involvement of the ward committees, local citizens, non-government organisations, and experts is imperative for the realisation of developmental local government.

LED policy stakeholders

LED policy implementation is also a crucial variable and therefore municipalities should take the following elements into account, namely:

- Integrated service delivery planning through the provision of basic services such as water and sanitation, electricity, human settlements and education should be prioritised. In order to fulfil integrated service delivery planning it is imperative for municipalities to ensure that Service Delivery Budget Implementation Plans (SDBIPs) are synchronised with IDPs. This should also take into account the service delivery plans that are developed by sector departments at the provincial level such as roads, education, cooperative governance and human settlements (Koma 2014:282).
- Intergovernmental relations (IGR) coordination and communication should be achieved through the jettisoning of silorised development planning processes across the three spheres of government. Thus, coordination of government development frameworks should be effected from the Presidency, the provincial offices of Premiers and municipal managers' departments informed by the NDP, NGP, National Spatial Development Perspective, Provincial Growth and Development Strategies, Municipal IDPs and LED Policy Framework (Koma 2014:283).
- Public investment on infrastructure should be initiated and spearheaded by government departments and municipalities. This would help stimulate and boost local economies and thereby generate employment creation and poverty alleviation. This strategy will further advance the agenda of the South African developmental state demonstrating capacity to intervene in the economy in order to promote and achieve growth and development strategic objectives (Koma 2014:283).
- Enterprise development should be promoted and underpinned by market access and research; availability of premises for enterprises; physical infrastructure such as electricity, telecommunications, roads and transport facilities such as railways and ports; linkages with existing large enterprises; sound trade and enterprise regulations; adequate funding for start-ups and training and capacity building initiatives (Koma 2014:283).
- Adequate financial resources should be made available for municipalities in order to initiate LED projects through various avenues, namely, the Development Finance Institutions notably the Development Bank of Southern Africa (DBSA) and Industrial Development Corporation (IDC). These resources may be allocated in the form of loans, grants and subsidies tailored for municipalities with demonstrable economic potential and capacity to drive growth and development initiatives (Koma 2014:283).

- Adequate LED skills are crucial for the effective implementation of LED policy and various capacity-building initiatives should be developed and customised to cater for the generic skills development of LED policy implementers and this should assume an interdisciplinary focus involving economic, development and spatial planning, public administration and management and project management domains (Koma 2014:284).
- Adequate staffing for LED municipal units/departments and agencies should be a top priority for municipalities. This may be achieved through adequate funding in order to attract and retain professionally qualified, competent and capable LED policy implementers within both resourced, high capacity and under-resourced and low capacity municipalities. The skewed skills levels of LED staff across municipalities should be addressed as a matter of urgency and significance with a view to achieve LED policy objectives (Koma 2014:284).

CONCLUSION

This article commenced with the imperatives for LED in the context of developing countries. The conceptualisation of policy implementation was also highlighted. Policy implementation is viewed as an integral stage of the public policy cycle and basically entails the translation of policy objectives into action carried out by implementers at various levels of an organisation. In the context of public administration, implementers assume a crucial role and responsibility for effecting policies endorsed by policy makers with a view to address a societal problem or social need. The setting of the Emakhazeni Local Municipality situated in the Mpumalanga province of the Republic of South Africa was highlighted. This article also introduced a model for LED policy implementation suited for the sphere of local government. This model clearly outlines three critical variables for policy implementation with reference to LED namely: LED policy content and context; LED policy stakeholders and LED policy implementation. The integration of these critical variables serves as a *sine qua non* for the implementation of the LED policy.

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From policy to prosperity

Implementing municipal strategic plans in South Africa

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ABSTRACT

This article examines the link between policy making and implementation with specific reference to municipal strategic plans in South Africa as part of the broader policy framework for local government management in the country. Existing literature emphasises the sound policy framework that exists for local government, but there has recently been many questions about the ability of municipalities to operationally implement strategies and programmes that emanate from these policies. Based on literature consulted as well as the views obtained from local government practitioners, the outcome of this article points to many challenges that need to be addressed in order to improve the status quo as far as policy implementation is concerned. This is of critical importance if the local sphere of government is going to fulfill its constitutional mandate of providing sustainable services for and developing local communities. The methodology employed in the article consisted primarily of analysis of existing literature, but also includes the views of IDP managers in the Free State as expressed in a recent PhD study.

INTRODUCTION

This article presents an adapted version of work undertaken by the author as part of his PhD study on implementing integrated strategic plans in municipalities in the Free State province of South Africa. The South African public domain has been characterised by fundamental transformation since democratisation

in 1994. In order to facilitate this, it is especially on the policy front that this transformation was spearheaded. Existing policies had to be amended and, in many instances, new policy measures introduced in order to lay the foundation for effecting changes necessary that would be beneficial to all South Africans. This policy transformation included the area of local government where numerous policy changes were introduced in order to improve the functioning of the system of local government and, ultimately, the level of service provision and development to local communities. The transformation in the case of local government is seen as of particular importance as it is at this level where it is perceived the most tangible benefits of governments efforts can be experienced by the ordinary citizen.

It can be argued that policy transformation has to lead to behavioural transformation as well as transformation as far as the results achieved by the relevant organisation. This, in the context of South African local government, is a highly debated issue, because of questions over the improvement of services to local communities. Based on the above, this article explores the extent of the policy transformation at the local sphere of government in South Africa and attempts to determine how the current performance of municipalities in relation to the policy transformation can be improved.

DEFINING PUBLIC POLICY

According to Cloete, Wissink and De Coning (2006:3) public policy can be defined as “a statement of intent that specifies the basic principles to be pursued in attaining specific goals”. This definition emphasises the expression of a public authority’s intended pursuit of a predetermined goal or goals. Easton (1953:129), in Fox, Schwella and Wissink (2004:27) defines public policy as “the authoritative allocation of values through the political process, to groups or individuals in society”. This implies the existence of a legitimate public authority that has been entrusted with power, to represent the interests and values of a specified constituency, in the case of local government, a specifically demarcated geographical constituency. Hanekom and Thornhill (1996:63) refer to public policy as “the formal articulation, statement or publication of a goal that the government intends to pursue with the community”. Hanekom and Thornhill’s reference to the “formal articulation or publication of a government goal” could be interpreted to imply the raising of the expectations of the intended beneficiaries of a policy by the government in that the issue for which the policy was developed will be addressed or solved. It could be argued that when expectations are raised, pressure on the government to meet the raised expectations of communities increase. Failure to do so could isolate such a

government or government agencies from its citizenry. For the purpose of this article, an important question revolves around how these definitions of public policy relate to the South African local government.

PUBLIC POLICY: THE SOUTH AFRICAN LOCAL GOVERNMENT CONTEXT

When considering the definitions attached to public policy, there are numerous inferences that can be made that are of specific relevance to local government in a South African context. For the purpose of this article, there will be exclusive focus on the notion of public policy as the expression of a government's intended pursuit of predetermined goals.

Public policy: Expressing local government's pursuit of predetermined goals

Consideration of local governments' predetermined goals, from a South African perspective, cannot be attempted without reference to the *Constitution of the Republic of South Africa*, 1996 [hereinafter referred to as the Constitution]. Section 152 of the Constitution attaches the following responsibilities to municipalities with regard to their objectives:

- Provision of democratic and accountable government for local communities.
- Ensuring the provision of services to communities in a sustainable manner.
- Promoting social and economic development.
- Promoting a safe and healthy environment.
- Encouraging the involvement of communities and community organisations in the matters of local government.

In the paragraphs that follow an attempt is made to understand how these constitutional objectives have translated into policy initiatives.

Facilitating democratic and accountable local government

It has already been established that fundamental changes took place regarding the local government environment in South Africa. Whatever the nature of these changes may have been, it is clear that these changes have been affected in line with South Africa's transition to a fully-fledged democracy.

According to Van Parys, Beuslinck and Brans (2009:47–48), there have been numerous initiatives to increase the democratic legitimacy of local government in South Africa, due to the limited inclusion of citizens in the past. Van Parys

et al. (2009:48) hold that these initiatives, primarily including increased efforts to promote citizens' participation in local governance, are aimed at "giving more citizens more influence in local government policy decisions in between elections". This is an indication of a concerted effort to extend local democracy beyond the basic form of participatory democracy, to that of participating in elections towards a more deliberative form of democracy. In addition, Govender, Reddy and Pillay (2011:184–185) argue that "deliberative democracy theory turns away from economic understandings of democracy towards ideas of accountability and discussion and essentially, talk-centric replaces voting-centric democracy theory with discussion being the focal point". Thus, democracy should no longer focus on the number of votes for a particular political party, and the decisions this party takes towards satisfying the needs of voters, but should focus on ensuring accountability to local communities, and in so doing promote the notion of good governance. In this regard, Ergun (2011:136) is of the view that the new governance paradigm includes co-administration and multiple societal actors, who are involved in this co-administration process. Govender, Reddy and Pillay (2011:190) add that good governance essentially consists of:

- An effective state.
- Representation of civil society and citizens in policy-making processes.
- Contribution to the local economy by allowing the private sector and other civil society actors to play an independent and productive role in the contribution.

In effect, democratic and accountable local government could denote more involvement by the citizens and citizen groups in the affairs of local government. Examples of specified efforts are provided under the heading "encouraging the involvement of communities and community organisations in the affairs of local government". However, Govender *et al.* (2011:190) are of the opinion that, while participation of citizens in local affairs remains high on government's agenda, there is evidence to suggest that marginalised communities have increasingly been "crowded out from participatory processes due either to lack of capacity or to participatory processes which simply do not reach people". Promoting democratic and accountable local government therefore remains a work in progress, which all local governments, particularly in South Africa, should note.

Rendering sustainable services to local communities

The importance of the constitutional objective to render sustainable municipal services is further emphasised by Sections 73 to 94 of the *Local Government: Municipal Systems Act, 2000* (Act 32 of 2000) [hereinafter referred to as

the Systems Act] which are entirely dedicated to various aspects of local government service rendering. These vary from service tariffs to mechanisms for enhancing municipal services. It is clear what importance the government attaches to service delivery, from a policy perspective.

Furthermore, according to Pretorius and Schurink (2007:19) “one of the most important indicators in assessing the transformation of local government is the experiences and perceptions people have of service delivery in their day-to-day lives, more specifically whether they perceive an improvement in the services delivered to them”. Thus, as time progresses, the mere transition to a democratic system of government may not be deemed sufficient by citizens. Rather, their satisfaction increasingly depends on their levels of satisfaction with basic service delivery, and the quality thereof. Against this background, the constitutional reference to “sustainable” municipal services could therefore be interpreted to mean that service delivery should contain the following two elements:

- Consistency in terms of the availability of services.
- Standards in terms of the quality of available services.

According to Carrim (2011:2), efforts by the Department of Cooperative Governance to accelerate service delivery should aim to:

- Support comprehensive infrastructure planning at municipal level.
- Support municipal infrastructure development, maintenance, operations and service provision in low capacity municipalities, by means of procuring the relevant service providers and ensuring performance as contracted.
- Coordinate a focused technical support programme with existing support partners.
- Monitor the quality of infrastructure provided.
- Develop and coordinate the implementation of an appropriate sector-wide capacity development initiative, and assist municipalities to develop a capacity development plan to strengthen their institutions over the long term.

According to Hemson (2004:18), the realisation of sustainability in service delivery depends essentially on the following factors:

- The provision of sufficient funds from the national treasury to support the operations and maintenance of projects in communities, which are some of the poorest in the country.
- Training and support to encourage the best public management of projects.
- Sufficient public participation in the management of projects.

While the importance of rendering sustainable local government services is justifiable, as provided for in the Constitution, the occurrence of service delivery protests, and dissatisfaction on the part of local communities with

the quality of services, suggests that service rendering also remains a work in progress. Therefore, avenues to improve the level and quality of services, thereby increasing citizen satisfaction, should continuously be explored.

Promoting social and economic development in local government

The developmental nature of South African local government is highlighted by the fact that the *White Paper on Local Government* (1998) as well as subsequent enabling legislation emphasises it.

According to De Visser (2001:2–3), the term development is characterised by two important elements namely a material element and secondly an element of choice. The material element is discussed under this component while the element of choice is examined at a later stage.

The material element of development

This involves promoting the material well-being of communities and reduction of absolute poverty. It could be argued that since the dawn of democracy in South Africa, the majority of the government's efforts have been directed towards improving the material conditions of people, thereby freeing these communities of absolute poverty. Examples include the emphasis on providing access to basic amenities such as water, sanitation and electricity provision, as well as the improvement of infrastructure. The serious nature of, and need to address, these basic services, are illustrated in figures provided by Hollands and Mageza (2010:5), which in 2004 revealed the following:

- In 182 municipalities (out of 283 municipalities at that stage), less than 60% of households had access to refuse removal.
- In 203 municipalities, less than 60% of households had access to sanitation.
- In 122 municipalities, less than 60% of households had access to electricity.
- In 155 municipalities, less than 60% of households had access to clean water.
- In 116 municipalities, more than 60% of households lived in shacks.

In addition, Hollands and Mageza (2010:5) indicate that, at that stage, it was estimated that municipalities would collectively require R14,5 billion in order to install the infrastructure needed for the provision of free basic services to poor households. When considering these figures it is clear why government had to place such a high priority on basic service delivery to local communities. De Visser (2001:2) however, continues to argue that development cannot only revolve around the provision of material goods and services, by stating that “the missing link between a narrow intervention from the outside which improves

certain aspects of people's lives and true development is empowerment: placing people in a position to make choices and determine outcomes independently." As pointed out, this is discussed later.

Promoting a safe and healthy environment

The constitutional requirement that local government promotes a safe and healthy environment implies the physical protection of local inhabitants, as well as the protection of the environment.

According to the World Health Organisation (WHO), in Balfour (date unknown: 2), environmental health is described as "those aspects of human health, including quality of life, that are determined by physical, chemical, biological, social and psychosocial factors in the environment and the theory and practice of assessing, correcting, controlling and preventing those factors to the benefit of present and future generations". Balfour (date unknown: 3) adds that general factors under environmental health include:

- Adequate and safe water supply.
- Basic sanitation.
- Disposal of solid, toxic and hazardous waste.
- Control of air and water pollution.
- Chemical safety.
- Food hygiene and safety.
- Radiation.
- Noise control.
- Vector and vermin control.
- Environmental public health disease control.
- Human habitat.
- Port health.
- Occupational health.
- Accident and disaster prevention and control.

Given the above aspects, it becomes apparent that municipalities have a crucial role to play in establishing and maintaining policy and operational infrastructure, to ensure the environmental health and safety of the residents in their areas of jurisdiction. This implies that the necessary policy measures required to deal with each of these aspects have to be carefully considered and decided upon. This also implies that resources should be directed towards ensuring that policies are implemented for the benefit of the community.

In addition to the "traditional" health and safety functions of municipalities, local government is expected to play an increasing role in the area of crime prevention, as a means of promoting the physical safety of local communities.

The increased rate of various types of criminal activity has resulted in the creation of cross-sections of South Africa in an attempt to curb crime and the effects thereof, which also affected local government. According to Seti (2006:1), local government in South Africa has three important roles to play in crime prevention, which are as follows:

- Establishing metropolitan and municipal police services.
- Aligning resources and objectives within a crime prevention framework.
- Initiating targeted crime prevention programmes that can either be financially supported by the local government itself or through business, donor or national funding.

According to Rauch, Shaw and Louw (2011:11), the concept of municipal policing has become attractive for the following reasons:

- Increasing pressure to respond to the safety needs as expressed by local constituencies.
- The inability of municipalities to influence the priorities, resource allocation and the activities of the South African Police Service (SAPS) in their areas of jurisdiction.
- The lack of ideas regarding how local government can respond to crime in their areas, other than by the traditional means as provided by the SAPS.

Rauch *et al.* (2011:13) add that provision for the creation of municipal police services is contained in the *South African Police Service Amendment Act, (Act 83 of 1998)*. In terms of this Act, municipal police services who act independently from the SAPS are created. These municipal police services are funded by, and are accountable to, local governments, and serve the following purposes:

- Ensuring traffic policing.
- Ensuring the policing of municipal by-laws and regulations.
- Preventing crime, although according to Seti (2006:2) it should be clearly understood that the task of investigating crime has always fallen to the South African Police Service.

The provision that these police services be created independently, and that they be funded by the municipalities themselves, further implies a financial consideration for local governments, which could explain why the number of municipal police services are currently limited to the metropolitan municipalities. It is simply too expensive an addition to the already financially burdened municipal sector in South Africa.

It can nevertheless be concluded that, in terms of the health and safety requirements as provided for in the Constitution, municipalities have a dual role to play. Municipalities must establish and implement policies that ensure the

promotion of environmental health and safety, and simultaneously ensure the physical safety of inhabitants by collective crime prevention efforts, using either municipal policing services or cooperation with the SAPS and local communities.

Encouraging the involvement of communities and community organisations in the matters of local government

It has been emphasised that modern public management practices require more consultation with the citizens or the end-users of services. What is of importance with regard to citizen participation in policy making, is ensuring that there are sufficient platforms for local communities to participate, and ensuring that the results of their participation are translated into policy proposals/action.

As far as creating platforms for participation is concerned, Carrim (2011:1–2) notes that municipal residents are encouraged to participate in the following activities:

- The preparation, adoption, implementation and review of Integrated Development Plans (IDPs).
- The preparation of the municipality's budget.
- The establishment, implementation and review of a municipality's performance management system.
- Monitoring and review of a municipality's performance.
- Decisions about the provision of municipal services.

According to the South African Public Service Commission Report on the assessment of Public Participation Practices (2008:10), the core values and principles for public participation should be centred on the following:

- The belief that those affected by a decision have the right to be involved in the decision-making process.
- The promise that the public's contribution will have an influence on the decision.
- The promotion of sustainable decisions through the recognition and communication of the needs and interests of all participants.
- Seeking inputs from participants regarding how participation will take place, i.e. the mechanisms for participation.
- Providing participants with the information they need to participate in a meaningful way.
- Communicating to participants how their inputs affect decisions.

The said Public Service Commission report (2008:15) refers to the following initiatives that have been implemented in local government to create platforms for community involvement:

- **Imbizos** – in which political leaders, including inter alia municipal mayors and councillors accompanied by senior officials, hold public meetings to engage with communities on issues of government policies and service delivery.
- **Ward committees** – as statutory bodies created in terms of the *Municipal Structures Act, 1998*, ward committees are advisory bodies with the purpose of supporting democratically elected ward councillors in carrying out their mandate of generating proposals for satisfying community needs within the ward.
- **Community development workers (CDWs)** – who act as community based resource persons with the primary function of facilitating community participation, by assisting communities to access information and services from municipalities and/or government departments.
- **Citizen satisfaction surveys** – which aim to engage with citizens to establish their views and expectations on service delivery. This allows for testing of perceived opinions regarding quality and adequacy of services against opinions expressed by the users of the services.

The following is vital for community involvement in local government irrespective of the processes in which citizens are encouraged to participate, the principles and values of participation, or the platforms that have been attempted to promote citizen participation thus far:

- The capacity of citizens to make meaningful contributions to the local cause through a thorough understanding of the processes.
- The sustained willingness of councillors and officials to seek the views of local communities without fear or bias, and to do so not only when it suits their own interests.
- The inclusion of participatory proposals in policies and plans to ensure that participation is not rendered meaningless to communities and diminish.

When considering the above constitutional objectives and its implications for enabling policy initiatives, the overarching understanding would obviously be that these policy initiatives should lead to tangible benefits for municipal residents. Therefore the policy framework needs to be made operational and the next part of the discussion focuses on municipal strategic plans as a mechanism to operationalise the municipal policy framework.

Local government strategic planning: Specifying predetermined goals

In South African local government, the Integrated Development Plan (IDP) to be compiled by each municipality in the country, in terms of Section 25(1) of the

Systems Act, constitutes the strategic plan of municipalities. Myeza (2009:14), in this regard, holds that the IDP serves as the principal strategic plan of a municipality, and that it supersedes all other development initiatives at the local sphere of government.

In addition to the above, Section 25(1) [a] states that IDPs should be strategic and inclusive in nature and should link, integrate and coordinate other plans. Furthermore Section 25(1) [b & c] requires IDPs to be aligned with municipalities' resources and capacity, taking into consideration the annual budget. It thus becomes clear that (i) municipal IDPs can be equated to organisational strategic plans in the case of South African municipalities and (ii) that the strategic plans must be integrated in nature in that they should be linked to other plans of the municipality pertaining to its available resources and capacity. Selected specific aspects that contribute to the integrated nature of IDPs are reflected upon in the paragraphs that follow.

Aspects contributing to the integrated nature of IDP

Section 26 of the Systems Act contains various interrelated aspects that, when contemplating, makes the nature of strategic thought at the local sphere of government considerably clearer. These include the following:

- **Vision for the long term development of municipalities** – In this regard, particular emphasis should be placed on the most critical development and internal transformation needs. South African towns and cities have been subjected to unequal service delivery and development trends. It is therefore important that councils, as elected representatives of local communities, determine what the future town or city should look like, bearing in mind the views and wishes of local communities. The development objectives of a municipality should not be viewed from a merely physical development point of view, but should also reflect the values that the local community and the municipality should be striving towards collectively. Patel (2004:2), in this regard, states that “the IDP process should be used as an opportunity for the municipality to debate and agree on long term vision and strategy (20–25 years) that provides the basis for the shorter 5 year objectives and strategies. This should be done through consultative processes with local residents and all other relevant stakeholders in the municipal processes.”
- **The existing level of development in the municipality** – It is impossible to plan for the future if there is no accurate assessment of what happened in the past, and what is happening at present. This is especially significant for South African municipalities when considering backlogs in terms of service delivery and development, as well as newly created challenges. These include the challenge of new municipal structures as well as a new and extensive

legislative framework for municipalities that has transformed the manner in which organisational management should be approached. According to Dlamini (2007:10), an investigation into existing development and service delivery practices should consider the following:

- *Coordination* – to what extent the service is properly coordinated in terms of resource allocation and stakeholder involvement.
- *Adaptive management* – to what extent management (from a political and executive management perspective) is able to adapt to changes in the environment when considering a development or service delivery initiative.
- *Long term support* – many development initiatives fail, because of the withdrawal, or total lack of support from those in decision-making positions.
- *Adequate financing* – no long-term goal or short-term activity can be achieved in the absence of adequate financial provisions.
- *Participatory strategic management* – the overall idea with the IDP is that as many relevant stakeholders in local government as possible be involved in the development of plans for service delivery and local development.
- **Alignment of local development strategies with national and provincial sector plans** – Local government does not exist in isolation and strives to achieve its goals in a cooperative relationship with national and provincial government. Section 151(3) of the Constitution states that “a municipality has the right to govern, on its own initiative, the local government affairs of its own community, subject to national and provincial legislation”. Section 153(b) furthermore states that municipalities must “participate in national and provincial development plans”. In addition to these constitutional provisions for cooperation between municipalities and the other government spheres, municipalities also rely on the other spheres for assistance, from a resource perspective. Therefore, in order for a properly coordinated effort on the part of the three spheres of government to be ensured, it is important for their efforts to be aligned.
- **Spatial development framework** – According to the *White Paper on Spatial Planning and Land Use Management* (2001), the spatial planning, land use management and land development function involves forward planning and development control. Municipalities thus have to ensure that there is sufficient future planning and proper control of current land use and management practices by means of the following:
 - Regulating land use changes such as the rezoning of a property from residential to commercial use.
 - The regulating of “green fields” land development, i.e. the development of previously undeveloped land.

- The regulation of the subdivision and consolidation of land.
- Regulating the upgrade process of informal settlements and neglected city centres.
- Facilitating land development through more active participation of the municipality in the land development process.

Municipalities are thus responsible for ensuring that land use and management practices for commercial and development initiatives and practices are facilitated, but also that there is sufficient planning and development with regard to residential planning.

Municipal operational strategies

An organisation's operational strategy should be aimed at ensuring that it is able to operate, not only towards achieving day to day efficiency, but also towards long term objectives of the organisation. According to a submission by the Institute of Local Government Management of South Africa (ILGM) to the Parliamentary Public Hearings on coordinated Service Delivery (2010:5), efficient operational management in local government is curtailed by incapacity, skills shortages, poor financial structures, unfunded mandates, as well as a disregard for the legislation meant to enable service delivery operations. It is therefore imperative that municipalities have a combination of responsive and responsible political management, to ensure that the political mandate is aimed at local citizens, while simultaneously ensuring that those in executive and operational positions in municipalities possess the necessary skills and capacity to perform their duties. Well trained officials will be wasted in a political environment that is not conducive to the execution of their skills.

Financial management and performance plans

A financial management plan, including a budget projection for at least the next three years, as well as the key performance indicators and performance targets, must be prepared by each municipality. In as far as these aspects, namely the financial plan and the key performance indicators, are concerned, Craythorne (2006:153) states that in order for the IDP to become operational, it (the IDP) must inform the municipality's annual budget as well as the performance targets set by the municipality, and must also be used to prepare action plans for the implementation of strategies identified by the municipality.

It can therefore be deduced from the above that strategic planning should be an extensive process from a municipal point of view in a South African context, in which all aspects can be quantified in financial terms as well as

performance targets, from the long-term vision of the municipal council for the area to the operational execution of strategies to reach that vision. The plan must therefore be implementable, and Hussey (1999:243) states in this regard that “an essential part of any strategic planning must be a means of making the plans actually happen, and preventing them from becoming a sterile exercise by forcing them to be used in the day to day running of the organisation”. Subban and Theron (2011:102) are of the view that, from a South African perspective, the gap between the planned ideal of IDP and its realisation lies in the “wish list” approach to planning, aimed at providing reparation for the past, instead of focusing on development as a key to improve the quality of life for all local citizens.

It is therefore clear that an organisational plan outlining what is required, and encompassing all aspects from the long-term vision to the individual projects to achieve that vision is insufficient without ensuring that there is an environment within which the plan can be made operational. In this regard the following are factors provided by a sample of eighteen out of twenty four IDP managers in the Free State Province as to why the implementation of IDPs as operational strategies is challenged:

- Concern about the collective understanding of the process by all role-players, i.e. a perceived lack of a common understanding of the process by elected councilors, appointed officials and local citizens in municipal areas.
- In the light of the above, participants were of the view that many targets set in the strategic plans of municipalities were unrealistic as they were unattainable due to a variety of factors.
- The party-political nature that characterises the process and thus prevents decisions that are objective and neutral and are in the best interests of the community.
- A lack of ownership of the process due to the fact that consultants were in many cases responsible for drafting strategic plans thus excluding the municipal role-players from owning the process. This especially applied to local communities where the process of community participation was often regarded to be superficial.
- Financial and human resources were regarded as scarce commodities due to inter alia a general lack of funds, poor financial management and corruption as well as an inability to appoint the most suitable human resources to drive the process.
- Generally, the process of integrated strategic planning was regarded as complicated and that although many municipalities complied with having their plans in place, it did not necessarily translate into tangible benefits to the local communities.

If one considers the above factors, the second element of development emphasised by De Visser (2001:3) and which was referred to earlier, becomes meaningful namely the element of choice.

Choice as an important element of achieving strategic and developmental goals

The dignity to make choices about communities' well-being is regarded as the second element of development by De Visser (2001:3). This implies the availability of choice in services delivered and initiatives embarked upon, in aiming to improve the well-being of local communities. It therefore implies that local communities have to be heard with regard to services provided and development initiatives initiated.

According to a report for the Office of Fair Trading (2010:20), there are various motivations for encouraging choice in public services, including:

- The intrinsic value of choice – people attach internal value to the fact that there are choices available regarding public services, even if it does not necessarily mean a cheaper or better service.
- Choice, if properly managed, serves as a fair mechanism for the allocation of scarce resources.
- Finally, choice can be used as a means to drive improved efficiency and better outcomes.

According to the 2020 Public Services Trust (2010: 21), “choice can be viewed as a driver of improvements by giving the user control over resources (e.g. choices can be made on issues of importance to the individual)”. Kakaza and Ntonzima (2012:6–63) are of the view that community development projects implemented by the government seldom met the expectations of its intended recipients, and that one contributory factor to this was involvement of such communities, or rather the lack thereof.

From the factors provided by the IDP managers in the Free State Province, it could be argued that the element of choice is compromised in that:

- If the collective understanding of the process was weak and targets therefore unrealistic, there would be question marks as to the extent to which residents had a choice.
- A similar argument could be put forward if the influence of party-political factors overrides the neutrality of the IDP process, i.e. to what extent did citizens' choice really play a meaningful role?
- If the IDP process was too complicated and consultants mainly compiled municipalities' plans to comply with the legislative requirements, it once again raises questions over citizens' choice. In this case, importantly though

is the fact that individual municipalities with unique circumstances' choice was being limited merely because all municipalities have to comply with the nationally determined legislation.

From the aforementioned, it becomes clear that although IDPs as an attempt at setting and implementing predetermined organisational goals for South African local government are to be commended, there are many factors that complicate the process. These should be recognised and efforts to eliminate the negative effects of these factors should be on going.

CONCLUSION

The above discussion sets out to investigate the transformation of the public policy environment in South Africa with specific reference to the local sphere of government. It was established that this transformation had far reaching implications as far as the operational activities of South African municipalities were concerned, because municipalities had to implement a newly developed integrated approach to organisational planning and ultimately rendering services.

As is the case with any transformation or change, the South African local government environment was found to be challenged by a number of factors. These factors need to be considered, not only by municipal managers and staff, but also by politicians and ordinary citizens as these parties form an integral part in a tripartite relationship towards constructively solving the problems that exist in local communities. Failure to do this, would continue to render question marks over local government's commitment to render quality services, relevant and compromise the integrity of this important government endeavour.

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Assessment of the intervention of the National Government in the Limpopo Province of South Africa (2011–2013)

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ABSTRACT

In December 2011 the national cabinet took a decision to put five key Limpopo provincial departments under national government administration in terms of Section 100 (1) (b) of the *Constitution of the Republic of South Africa* of 1996. The aim of this decision was to restore the province to a sound financial footing, by building sustainable capacity in the provincial government, upgrading the systems, and ensuring full compliance with legislation including the *Public Finance Management Act* 1 of 1999. The application of Section 100 (1) (b) of the Constitution in the provincial sphere of government creates unique opportunities for the national government to take over the executive functions of the province. This research project assessed the key management implications resulting from the implementation of Section 100 (1) (b), the reasons why Limpopo Province was placed under national government administration and some of the major failures and achievements of the management arrangement which resulted from the national government's seizure of the Limpopo Provincial Government's executive functions.

INTRODUCTION

In December 2011, the national cabinet placed five of the 13 Limpopo provincial departments under administration in line with Section 100 (1) (b) of the South

African Constitution of 1996 (AGSA 2013:21). They were the Provincial Treasury, Education, Transport and Roads, Health and Public Works. When a province is under administration in terms of this Section, members of the national executive (or individuals or teams appointed by them) assume the executive functions which are normally performed by members of the provincial executive branch (Republic of South Africa 1996:57). Placing these five provincial departments under administration in Limpopo can be equated to putting the whole Province under administration because they are the “actual drivers of service delivery in the Province and together consume the biggest chunk of the provincial budget amounts” (Seopela 2012:8). For example, three of these departments under administration, namely the Departments of Education, Health and Public Works together use more than 76% of the total provincial budget (Ndenze 2013:2). The provincial budget used by the five departments under administration is even higher if one takes into account the fact that two other departments, namely the Provincial Treasury and Transport and Roads share the remaining 24% of the provincial budget which goes to the provincial departments which are not officially under administration (Auditor-General Report–AGSA 2013:1). Putting Limpopo under national government’s administration attracted a large amount of media frenzy and public outcry because, it was the first time in the post-1994 democratic South Africa, that nearly half of the Province’s departments were put under administration the same time. The national government’s administration of the five key service delivery departments in Limpopo Province started in 2011 and is still on going in 2014. The focus of this article is on the period 2011 to 2013 and any reference to the first months of 2014 will only be made as and when the context requires. The following sections demonstrate how the management approach used by the Administrators was a top-down approach which, though entirely constitutional, might seem to go against the principle of cooperative governance which is enshrined in the Constitution of 1996.

ACTIVATION OF SECTION 100 (1) (B) OF THE SOUTH AFRICAN CONSTITUTION OF 1996

Chapter III of the South African Constitution of 1996 (hereafter referred to as the Constitution), stipulates that “the South African government comprises three spheres of government, namely national, provincial and municipal”. In terms of Section 41 (1) (g) of this Chapter (i.e. Chapter III), all “three spheres are distinct but interdependent and interrelated. Each sphere of government is required to exercise its powers and perform its functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in one or more of the other spheres” (RSA 1996:25). The Constitution thus entrenches the

principle of 'cooperative governance' and 'interdependence' (Layman 2003:9). Cooperative governance means that despite each sphere having different roles and responsibilities the three spheres of government are "legally obliged to cooperate and to negotiate political and budgeting issues between them" (Layman 2003:9). Cooperative governance is closely related to the principle of intergovernmental relations (IGR) (Layman 2003).

IGR refers to "a set of multiple formal and informal processes, structure and institutional arrangements for both bilateral and multilateral interactions within and between different spheres of government" (Bekink 2006:90). The interdependence of the three spheres of the South African government is the degree to which these spheres depend upon each other for the proper fulfilment of their functions (Layman 2003; RSA 2005:2). "There are two interrelated aspects to this inter-sphere dependency" (RSA 2005:1–2). First, "the provincial spheres have an entitlement to assistance from the national and provincial governments and the local government spheres have an entitlement to assistance from the provincial governments, in order for them to fulfil their constitutional functions" (CoGTA n.d.). Second, "the national and provincial spheres have a duty to supervise the provincial and local spheres respectively to ensure that they fulfil their constitutional function" (CoGTA, n.d.:2). This supervision duty entails the monitoring of the other sphere and also to intervene when, for any reason, a lower sphere of government fails to fulfil its constitutional functions (RSA 2005:2). The extent of such intervention may vary from "issuing a directive to the provincial executive, describing the extent to the failure to fulfil its obligations and stating any steps required to meet its obligations" (Section 100 (a) of the *Constitution of Republic of South Africa* of 1996) but may also extend to taking over the executive functions of that sphere of government (Section 100 (1) (b) (RSA 1996:57), also cited in De Vos 2011:1).

However, while the national government is under a constitutional duty to assist provinces, by legislative and other means, 'to develop the administrative capacity required for the effective exercise' of their executive authority of implementing, inter alia, "provincial legislation and all national legislation within the functional areas listed in Schedules 4 and 5" (Section 125(3) as prescribed in Section 100 (1) (a) of the Constitution of 1996 Section 100 (1) (a) is not a precondition for national intervention (in terms of section b) if the crisis in the province warrants such intervention (DPLG 2007:3). As stipulated in the *Second Certification-judgment* (para 118) by the Court "the national executive is fully entitled, [if not duty-bound], to do what is necessary to ensure the Constitution and legislation consistent with the Constitution are adhered to" by any sphere of government (Constitutional Court 1996). That is, the failure of the national government to assist provincial governments in terms of Section 100 (1) (a) is not reasonable grounds for non-intervention in terms

of Section 100 (b) because that will only aggravate the situation in a Province (DPLG 2007:3). The problem is likely to deteriorate further simply because the conditions that call for the invocation of Section 100 in the Province are a result of the provincial executive's inability to execute their mandate in the first place. The analysis of available literature on the main management and administrative approaches to policy implementation in the following paragraphs shows that the intervention comprised a strongly top-down form of governance which was apparently implemented as a last resort to achieve the strategic governance goals entrenched in the Constitution.

SECTION 100 (1) (B) IN THE CONTEXT OF THE DOMINANT MANAGEMENT APPROACH

Literature shows that the public administration/management (in both theory and practice¹) discourses revolve around three main schools or approaches: namely, the 'top-down', 'bottom-up' and 'hybrid'. Each of them and how they relate to the implementation of Section 100(1) (b) in Limpopo Province is described in the following paragraphs.

The top-down approach

The 'top-down approach', which is also often referred to as 'classical generation' or 'scientific management' suggests that people at the apex of the organisation's bureaucratic pyramid constitute the key actors in effective and successful policy implementation in local spheres/level of government (McLaughlin 1997; Shafritz, Hyde and Parkes 2004:50). "With the top-down planning, the top-management team chooses techniques to align projects and goals" and give step-by-step instructions to their subordinates who must proceed with the implementation (Gundlach and McDonough 2011:1). Literature shows that the effectiveness of this approach depends on two main factors. First, the top-management must have sufficient abilities and knowledge to execute all the management functions (planning, organising, staffing, directing, coordinating, reporting and budgeting functions—generally known in the public administration/management discourse under Gulick and Urwick's famous POSDCORB acronym) (Gulick 1936:3; Basu 2009, cited in Uwizeyimana and Maphunye 2014:92). However, taking into account the ever-changing and unpredictable environment in which policies are made and implemented, the limited capacity of the human mind to process and retain huge amounts of information, and the fact that top-management often lacks first-hand experience of the problems affecting local level people, this is not practically possible (Ghenna 2006:1–4; Choo 2007:330). This top-

down management approach was also criticised for failing to take advantage of talented employees who may have more experience with certain aspects of the project or programme being implemented who may be more familiar with the conditions on the ground than those at the apex of the organisation (Gundlach and McDonough 2011:1).

Secondly, “the management team must have the abilities to get their subordinates to willingly (or forcibly) follow the instructions handed to them with “military precision” (Nagel and Teasley 1988, cited in Uwizeyimana 2011:112). That is, for the top-down approach to succeed, subordinates (those working at the lowest level of administration or bureaucracy, often called street bureaucrats) (Shafritz *et al.* 2004:43) must be passive and unquestioning receivers and executors of the detailed instructions (i.e. step-by-step of how the work must be done) handed to them by the officials at the top (Parson 1995:464–465 and Nagel and Teasley 1988:512). This assumption is at best misinformed because, studies on how humans respond to the instruction handed over to them refute the assumptions that employees ever act as ‘cogs’ in the policy implementation machine (Brynard in Cloete and Wissink 2000:167). This is for example the view held by McLaughlin (1991) who argues that “by the mid-1960s and early 1970s, analysts had discovered that, instead of dutifully and obediently following the instructions handed down by their supervisors, those responsible for policy implementation at various levels of the policy-making and implementation system responded in what appeared to be quite ‘idiosyncratic, frustratingly unpredictable, if not downright resistant ways” (Uwizeyimana 2011:112, citing McLaughlin 1997:172).

As McLaughlin puts it “... contrary to the 1:1 relationship assumed to exist between policy and practice, the Change Agent Study demonstrated that the nature, amount, and pace of change at the local level [i.e. provincial level in this study] was a product of local factors that were largely beyond the control of higher-level policy-makers” (McLaughlin 1997:71). The fact that subordinates do not function with military precision as claimed by supporters of the top-down model, would strongly suggest that “subordinates seek and often find the opportunity to inject their own values or agenda and interests into the process” (Uwizeyimana 2011:96, citing Simon, Smithburg and Thompson 1990:553, Uwizeyimana and Cloete 2013). It also explains why the top-down approach often results in outcomes not only contrary to policy expectations, but also to “enormous variability and often outright failure” (Hariparsad 2004:12). The acknowledgement that people at the Limpopo provincial government were probably not going to respond to instructions from the Administrators in a linear and predictable way could explain why most, if not all the Administrators who were appointed by national departments to implement the intervention in the five Limpopo provincial departments under administration, had to move from

Pretoria and establish their physical presence by setting up their command centre in the provincial treasury. In order to try to reduce resistance, deviation and increase compliance, all the HoDs, CFOs and MECs of departments under administration were stripped off most of their executive powers. All decisions which have financial implications (such as procurement, tendering, hiring of new staff, etc.) had to be approved by the Administrators assigned to each of the departments under administration (Sikhutsi 2013). This management approach applied by the national Administrators was referred to as ‘strong leadership’ (Select Committee on Finance (SCOF 2013:18). According to Mr Tom Monde, the Chief Administrator, the balance between ‘being strong’ and ‘supportive’ approaches was necessary in order to break senior provincial officials’ culture of corruption and incompetency which was perceived to be the root cause of the provincial bankruptcy. In fact, Monde’s advice is that “regular reviews on systemic problems and keeping a close eye on progress should continue in order for the intervention to yield results in Limpopo” (SCOF 2013:18). Monde’s view is that “there must be strong leadership, enforcement, fair and transparent performance management system and consequential action for non-performance or reward for excellence in order to achieve and to facilitate continuous improvement” (Monde in SCOF 2013:18). This top-down approach is quite different from the assumptions of the bottom-up approach.

The bottom-up approach

The bottom-up approach is a “more complex organisational management model which was introduced in the late 1980s and early 1990s to replace the top-down approach” (de Leon and de Leon 2002:4 cited in Uwizeyimana 2011:113). It is a reversal of the top-down approach and arose largely as a reaction to the weaknesses and responses to the criticism of the top-down approach (Cloete and Wissink 2000). Being a reversal of the top-down approach, the bottom-up approach explicitly rejects the perceived notions of “universal principles of management based on the POSDCORB” (described above) and the ideas that top-management know better than people who are on the ground (Uwizeyimana 2011:110, citing McLaughlin 1991; Fox, Schwella and Wissink 2000:78). Thus, the bottom-up approach suggests that people who live where the problems have occurred are in a better position to use their skills and understanding of the local context to formulate and implement policies that are best suited to their local problems (Uwizeyimana 2011). This way of thinking explains why some functions such as “housing delivery, primary health care and the district health system, water and municipal policing have been decentralised to lower spheres of government in South Africa” (CoGTA n.d.:5). With a bottom-up approach, plans are developed at the lowest levels and are then passed on to each next higher

level, or senior management, or spheres, for approval and funding (Gundlach and McDonough 2011:1). The problem with this bottom-up approach especially as applied in the case of Limpopo is that it does not explain what happens when the people at lower spheres of government or “street-bureaucrats” as Michael Lipsky (1980:398) would call them, fail to implement policies they themselves have made and for which they received funding from top-management. For example, what happens when the lower spheres of government (provincial or local governments) mismanage their budgets, and fail to provide services to the residents in their areas of jurisdiction? How do you maintain the principles of cooperative government and intergovernmental relations (Chapter 3 of the South African Constitution) which require the national, provincial and local spheres of government to be distinct, interdependent and interrelated and to “exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere” (Section 41. (1) (g) of the Constitution of 1996); yet these lower spheres have no capacity to execute their constitutional mandates? The main reason was that Limpopo was placed under national administration because of an “entrenched culture of maladministration, fraud and corruption” (Tom Monde, cited in Tau 2014b:1) – but also a lack of people who have the necessary skills, attitude and knowledge (SKAs) to use the provincial budget to provide goods and services to the residents of Limpopo (Mathabata 2014). The Constitution deals with these shortcomings of the bottom-up approach by stating that the inability or unwillingness to execute a constitutional mandate on the part of the people who are entrusted to run lower spheres of government necessitates (if not warrants) the implementation of Section 100 (1) (b) and Section 139 (1) (b) in the provincial and local governments respectively (DLPG 2007: vi).

The hybrid approach

The final competing theory in the public administration and management discourse is the ‘hybrid approach’. This is a combination of both top-down and bottom-up approaches. The hybrid approach resulted from the recognition that both top-down and bottom-up approaches have significant strengths and weaknesses (Cloete and Wissink 2000:170). Using the strength of both approaches ‘you can align each step so that the needs of the project are met’ (Gundlach and McDonough 2011:1). For example, as Gundlach and McDonough (2011:10) argue, “you can determine the needs of the project at the top, and allow accountability to fall with the lower levels. Thus, this combination, allows the merging of the vision of senior management with the skills of lower level employees”. However, while a synthesis of the strengths of both top-down and bottom-up perspectives is increasingly seen as desirable (Najam, 1995 Najam,

A. (1995). *Learning from the literature on policy implementation: A synthesis perspective* (Working Paper WP-95–61). Laxenburg: International Institute for Applied Systems Analysis. Najam 1995; Kellermann, Azzi, Jacobs and Deighton-Smith 1998), the hybrid approach also ignores the fact that lack of knowledge, skills and attitude in the employees at the lower level is often the main cause of failure at lower spheres of government. How can the top management (or national Administrators in the case of Limpopo) rely or cooperate with the provincial employees whose incompetency, corruption culture, lack of skills, knowledge and appropriate attitude to run their province have led their province under administration? Thus, while the hybrid approach fits well with the principle of ‘cooperative governance and interdependency’ enshrined in Chapter 3 of the Constitution of 1996 it could only work if the employees at the lower spheres of government have professional work ethics (i.e. not developed a culture of corruption as was the case in Limpopo) and have the necessary SKAs to play their part in the management arrangement resulting from national government intervention in the provincial executive functions.

In the case of Limpopo Province, the provincial staff who remained after the departments were put under administration were suspected of having been involved in maladministration, fraud and corruption. These people were often suspected of engaging in sabotaging the turnaround strategy being implemented by the Administrators from the national departments instead of cooperating with them (Tom Monde cited in Tau 2014a:1, Goldan cited in Molefe and Maponya 2012). Strong leadership which is provided by the top-down approach is necessary to deal with such behaviour. The analysis in the following paragraphs shows why Limpopo Provincial government was put under national government administration in terms of Section 100 (1) (b).

WHY WAS LIMPOPO PUT UNDER ADMINISTRATION?

Putting spheres of government under administration is not a new phenomenon in South Africa. Phumelela Local Municipality in the Free State was placed under administration as early as December 2004 (DA 2005:6). By November 2010, 21 (8%) municipalities were under section 139, whereas at 30 June 2011 a total of 22 municipalities were either under section 139 (1) (b) or 139 (5) (a) interventions (Ncube and Vacu 2013:110–111). Some provincial departments such as the Eastern Cape Department of Education, Departments of Provincial Treasury; and Police/Roads and Transport in the Free State as well as the Department of Health in Gauteng have been placed under section 100 (1) (a) intervention (De Vos 2011:1) in recent years. However, there is no known province which has had as many as five provincial departments put under administration in terms of Section

100(1) (b) at the same time as was the case in Limpopo in 2011 (PMG 2012b:1). The common denominator among these government spheres (municipalities and provincial departments) which have been put under administration include that they were facing “challenges in terms of governance, financial and service delivery, lack of adequate systems and capacity to effectively manage financial resources, challenged by political difference and disagreements, breakdown of trust between communities and government leading to violent strikes, corruption and others” (Gasela 2007:1–2; NCOP Finance 2013:1). Thus, any institution is generally put under administration only because it has failed to fulfil its constitutional and legal obligation for whatever reason (PMG 2012:1).

There are contradictory views as to why the five key departments in Limpopo were put in the hands of the Administrators appointed by the national government in terms of Section 100 (1) (b) since 2011. On the one hand, there are politicians such as Cassel Mathale, who argue that the idea that the national Cabinet’s decision to put Limpopo under administration was politically motivated rather than a response to a litany of crises including financial mismanagement, maladministration; a culture of corruption and gross violation of the *Public Finance Management Act* 1 of 1999 as amended by Act 29 of 1999 leading the province into total bankruptcy (see Madonsela 2013). Mathale, said that the “financial problems were just politically motivated allegations made by those who support Zuma’s re-election [for the second presidential term] to undermine his province” (SABC 2011:1). Mathale and Julius Malema the former ANC Youth League president and current President (or Commander-in-chief) of the Economic Freedom Fighters (EFF) Party) (as he is often referred to by his own supporters) had publicly supported Kgalema Motlanthe, the then country’s Deputy President who was challenging Zuma for the ANC presidency “at the ruling party’s Mangaung electoral conference” in 2012 (Masoga 2012:2; Bauer 2012:1). The political conspiracy claim is also held by Seopela (2012:1–15) who claims that putting Limpopo under administration or placing ‘Limpopo under Pretoria’ as he puts it is nothing more than ‘abuse of power, arrogance, lies and failure of cooperative governance’ (Seopela 2012:50; see also David Masondo 2012:8, 57).

However, evidence suggests this was the case when Limpopo was put under administration in 2011 because it was facing a financial crisis. In his briefing on the Select Committee on Finance (SCOF), Mr. Tom Monde, the Chief Administrator went as far as comparing Limpopo with a critically ill patient who is in the Intensive Care Unit (ICU) (Tom 2013b:2). Limpopo was said to be technically bankrupt to the point that Masoga (2012:2) said that “If Limpopo was a commercial company, it could have been declared insolvent and consequently liquidated in terms of the prescripts of corporate law”. “Insolvency refers to a situation whereby a company’s liabilities (debts) far exceed its accumulated assets” (Masoga 2012:2). This is a financial state in which a company (and in this case Limpopo Provincial

government) can no longer pay its bills and other obligations (Masoga 2012:2). It is this financial crisis that led Limpopo to approach the National Treasury for an urgent financial bailout in order to be able to pay salaries (Bachner 2004: 306; Manyi 2011:1). The request was that the provincial government's overdraft facility be increased (from R757 million) to between R1 billion and R1,7 billion from the National Treasury (Manyi 2011). Given the fact that the fiscal (financial) year of government commences on 1 April and ends on 31 March the following year (McIntyre and Nicholson, 1999:5) and was requested a bailout on 5 December 2011; then "Limpopo managed to empty all its financial purses" five months before the end of the financial year (Masoga 2012:1).

According to Masoga (2012:1) Limpopo Province was in ICU because of the systemic design of Mathale's provincial government which allowed possibilities for a network of corrupt politicians and businesspeople (commonly known as *tenderpreneurs*²) to "eat and drink on behalf of the masses" (see also Seopela 2012:6). According to Masondo (2014:1), before Limpopo was put under administration, the Finance Minister Pravin Gordhan had revealed that the Province had a R2 billion shortfall; its unauthorised expenditure had grown from R1.5 billion in 2009 to R2.7 billion in 2011; accruals to unpaid service providers had grown to about R500 million, some service providers were being paid eight times in "one month (Manyi 2011:1). In fact "the province had wiped out its overdraft of R757 million in November 2011 and was asking for it to be increased to R1.77 billion in order to be able to pay salaries" (Manyi 2011:1). "While this request was declined, alternative arrangements were made for an early transfer (two days before the actual date of transfer) of their equitable share in order to be able to pay salaries" (GCIS 2011:1–2). A number of financial mismanagements and "wholesale corruption" were identified as being the leading causes of the Province's bankruptcy (Moloto 2014:1). According to the Auditor-General's findings against Limpopo in the 2011/2012 financial year, Limpopo had:

- "R2.8 billion spent illegally on tenders and contracts by violating treasury regulations.
- R132 million wasted through fruitless expenditure.
- R175m spent without due authorisation.
- R641 000 personally paid to Premier Cassel Mathale for his unlawful travel claims. (Scopa has instructed that Mathale repay the money by November 30, 2013).
- R739m spent on tenders and contracts, but the Health Department could not give documents to the AG because they went missing" (AGSA Report 2013; Moloto 2013:1).

Therefore, while "both history and experience have shown that it is exceptionally hard to separate politics from government" (Masoga 2012:2), simply because

'Government is different because government is politics' (Appleby 1945 cited in Uwizeyimana 2013:169), particularly in post-apartheid South Africa (Venter and Landsberg 2007:47–48); "... the South African legislation provides for intervention only when the institutions are at rock bottom (DHET 2013:1).

MEASURES PUT IN PLACE TO DEAL WITH LIMPOPO CHALLENGES

According to Monde (2013b:4) "the intervention diagnostic report was completed prior to the start of the 2012/13 financial year (March 2012)". This report outlined a number of capacity gaps which formed the basis of the national intervention in the Province (Monde 2013b:4)). "Following this diagnostic report, on 10 January 2012, all parties (i.e. the intervention team and Limpopo Province leadership) met to agree on the purpose of the intervention" (Monde 2013b:4). According to Monde (2013b:3–4) "the threefold agreement between the parties' included (a) "to assist the province to upgrade its systems and capabilities to a new normality (b) to ensure compliance with legislation and regulations framework of government, and (c) to enhance the quality of service delivery" (Monde 2013b:3). The three inseparable measures put in place to serve these three objectives of the intervention included:

- a. "Recovery: stop the bleeding in a number of areas (such as Infrastructure, Supply chain management, Asset management and Data and records management), by doing things differently,
- b. Governance, in order to enforce compliance, accountability with consequences to those found guilty of corrupt practices,
- c. Sustainability, to focus on 80/20 principle, whereby major problems can be addressed through building capabilities in 20 per cent of 5 critical areas" (Monde 2013:3).

The analysis of available reports on the implementation of Section 100 (1) (a) suggests that this handful of administrators has achieved mixed results.

SUCCESSES ATTRIBUTED TO THE ADMINISTRATORS' TOP-DOWN APPROACH

One of the biggest and arguably meaningful achievements of this administration team is its ability to get the provincial government out of the financial crisis which led to it being put under administration in 2011. As discussed above, the Province was almost R2.7 billion in the red when the national government

took over in 2011 (Ndenze 2013:2). However, “by 31 July 2013 the provincial government was sitting with a credible balance of R3bn” (Ndenze 2013:2; Magubane 2013:1). In fact, in his State of the Province speech on 20 February 2014, Stan Mathabata, the new Premier of Limpopo reported to the provincial legislature that “the province was in a positive cash position of R4.4 billion as of the end of January 2014” (Mathabata 2014:24). According to Mathabata, the following improvements can be directly attributed to the intervention team:

- “Proper cash flow management controls;
- Dealing with unauthorised expenditure and plans to fund the remainder over the medium-term expenditure framework period.
- Having appropriated a surplus budget.
- Processes are in place to turn around provincial treasury and capacitating it to do its oversight work in the province; and
- Processes are in place to strengthen supply chain management controls in the province” (Mathabatha cited in Masondo 2013:1).

As the premier puts it “we owe it to the selfless and tireless efforts of Section 100 Administrators that today our systems such as contract management, internal audit, BAS, Finest and Supply Chain Management have improved ...” and he went on to argue that “in this regard we would like to sincerely thank President Jacob Zuma and his cabinet for salvaging Limpopo from a next to collapse of corporate governance” and a number of ‘the law enforcement agencies, such as “SARS, the Hawks, SIU, SAPS, Auditor-General and others for assisting and arresting the situation” (Mthabata 2014:24). The other achievement attributed to the implementation of Section 100(1)(b) is progress in fighting corruption. According to Mathabata “It is because of the Administrators and a number of the law enforcement agencies that some of these 300 provincial public servants including high ranking officials, were appearing before Disciplinary Hearings while others are appearing before the courts of law” on charges of corruption” (Dramat 2013; Mathabata 2014:22). Once again, it would be difficult to imagine any law enforcement agency enforcing law using any other approach except the top-down approach to fight crime.

FAILURES ATTRIBUTED TO THE ADMINISTRATORS’ TOP-DOWN APPROACH

It is difficult to speak or even imply failure of the implementation of Section 100(1)(b) in Limpopo when the Administration Team was still continuing its work in the Province at the time of writing this article. Thus this analysis focuses on what the Administrators have not been able to do in the past three years (2011–2013) in Limpopo Province rather than its failure. First of all, there is a view

that the reported financial savings above resulted from stopping infrastructure projects rather than improved financial management practices. For example as a result of the Administrators stopping the Department of COGHSTA from issuing housing tenders R644 million in conditional grants was not spent in the 2013/2014 financial year “because the tenders system were exploitable” (Tau 2014a:1). Instead the full conditional grant was returned to state coffers unused. Thus while the administrators managed to stop potential corruption or wasteful expenditures, the fact that the tender systems are still exploitable suggests the administrators have not yet been able to establish proper financial and procurement procedures in some departments.

Lack of proper financial management and control systems are the result of the fact that at least three of the five departments under administration have not been able to achieve a clean/unqualified audit from the Auditor-General since the Administrators took over the Province in 2011 (AGSA 2013). The ‘Unqualified opinion’ is the best Auditor-General’s opinion any best run organisation should get (Messier and Emby 2005:25). Only two departments (Roads and Transport and Provincial Treasury) managed to achieve a clean (unqualified) Auditors’ Opinion Report for the 2012–13 financial year (AGSA 2013:15). However, according to the Auditor-General’s Report (2013:56) the ‘improvement in the audit outcome at the Department of Roads and Transport (DRT) was largely driven by the newly appointed HoD’, rather than the efforts of the national intervention team. The fact that one new HoD managed to turn around the DRT suggests that appointing a good HoD is the key to successful and sustainable management of the provincial departments. The following Table summarises the 2012/3 Auditor-General’s audit opinions for each of the departments under administration between 2011 and 2013.

Provincial Department	2011/2012	2012/2013	Additional Notes
Education	Disclaimer	Disclaimer	<ul style="list-style-type: none"> • Irregular expenditure of R162m reduced to Nil • The overstatement of immovable assets of R102m (2012) reduced to R36m • Commitments of R299m (2012) reduced to R205m
Health	Disclaimer	Disclaimer	<ul style="list-style-type: none"> • Irregular expenditure of R73m reduced to Nil • Unallocated receipts of R50m (2012) reduced to R21m (2013) • Scope limitation reduced from R739m (2012) to R438m (2013)

Provincial Department	2011/2012	2012/2013	Additional Notes
Provincial Treasury	Unqualified	Unqualified	Except for the non-submission of the Provincial Revenue Fund and Departmental and Public Entities financial statements, this department would have received a clean audit
Public Works	Disclaimer	Disclaimer	<ul style="list-style-type: none"> • Irregular expenditure of R30m reduced to Nil • Although the department was disclaimed for understatement of receivables (rent from employees staying in state owned property), these were recorded in the financial statements of Health and Social Development
Roads and Transport	Qualification	Unqualified	The department moved from receiving a qualification on movable assets in 2012 to an unqualified opinion in 2013

Source: (Select Committee on Finance 2013:8).

The failure to improve in the departments of health, education and public works is of serious concern because as argued above, these three departments use 76% of the total provincial budget. Lack of improvement in these departments is attributed to “the on going shortage of skills at finance units, lack of or bad leadership, chronic corruption in financial and performance management, and governance” (AGSA 2013:2,56). Finally, this analysis indicates that the Administration Team has not yet been able to root out the individuals who had “a culture of maladministration, fraud and corruption – which left Limpopo unable to pay salaries” in 2011 (Monde in Tau 2014a:1). Over 300 public servants, including high ranking officials, have either been charged or face corruption related charges but many of them are still working for the provincial government and many more have not yet been discovered. These people are considered to be a threat to current progress and future sustainability of the Province. The presence of these threats is the reason why Tom Monde, the Chief Administrator was reported as saying that “the Province was still not ready to run on its own and that the Administration Team would not leave” – till they are certain that “those who are threats to sustainability are no longer there” (Monde in Tau 2014a:1). Not only could the corrupt and incompetent provincial staff be partly blamed for the slow progress in departments which are facing serious management problems, “they also pose as threats to the sustainability of what the Administrators had built over the past three years” (Tau 2014a:1).

CONCLUSION

The purpose of this assessment was to do a comprehensive review of the electronic and printed media in order to identify the key management implications of the implementation of Section 100 (1) (b) in Limpopo Province. The evidence presented in this article shows that the practice of implementing Section 100 (1) (b) in Limpopo Province applied a top-down approach within a system based on cooperative governance, as a last resort after national government's attempts at assisting or supporting the provincial government apparently failed. While the principle of cooperative governance requires the national government to see itself as the first among equals 'or *primus inter pares*' in relation to other lower spheres of government, the application of Section 100 (1)(b) asserts the national government as the final authority in provincial executive matters. This is because any assumption of provincial executive responsibility in terms of Section 100 (1)(b) is the ultimate sanction against the failure of the provincial executive authority to execute its constitutional obligations (DPLG 2007:8). Looking at the objectives of the intervention and the success resulting from the Administrators' intervention, it is clear that the Administration Team managed to achieve mixed successes during the time under investigation. On the one hand, the Administrators' command and control clearly helped to reverse the financial crisis which led to the provincial government being put under administration. Thus, "Tough times need tough decisions' and 'tough decisions require tough bosses" (Zille 2009:1) [such as the ones who got Limpopo out of ICU]. On the other hand however, the Administrators will have to do a lot of work in order to eradicate the culture of corruption and increase provincial staff capacity in order to improve management practices which are the *cine-qua-non* conditions for the departments to start getting clean audit reports. The fact that millions and millions of money budgeted for infrastructure projects and services delivery are still being returned to the National Treasury three years after the Province was put under administration suggest that the Administrators have not yet managed to eradicate the culture of corruption they came to deal with in 2011.

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Gender equality in the South African Public Service

When?

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ABSTRACT

Gender inequality has been an integral part of South African history. Transformation of the South African public service is an attempt to redress the past imbalances of gender inequality through education, empowerment, equity and equality. The South African government has set gender equity goals for the inclusion of women in senior management levels in the public service. This article examines the extent to which strategies introduced have advanced women's equality in the South African public service. The findings suggest that these strategies have not had the desired effect in enhancing gender equality, owing to senior management's lack of commitment and determination in promoting women's equality. They reveal that women are empowered, but not promoted to senior management positions, thus remaining significantly disadvantaged. The results show that it will take considerable time for women to reach equality with men at senior management levels. It is recommended that women who demonstrate the necessary competencies and capacity to function effectively at senior management levels should preferably be considered for such positions.

INTRODUCTION

Equality for women has posed a challenge for the South African public service ever since the inception, adoption and ratification of a number of international and regional instruments that promote gender equality. Article 3 of the 1979 Convention on the Elimination of All Forms of Discrimination against Women, provides positive affirmation for the principle of equality by ensuring the full development and advancement of women; while Articles 10 and 11 affirm women's rights regarding non-discrimination in education and employment respectively (Blanchfield 2011). As signatory of the African Union Heads of States Solemn Declaration of Gender Equality, South Africa reaffirmed its commitment to the goal of education; particularly for girls and women and the promotion of women's right to development; and to the concerted effort of leaders at all levels of management to help promote gender parity (African Union 2004).

Gender involves feminine and masculine categories as well as the power relations that constitute them (Hilber 2007:15). According to Nicholson in Fennell and Arnot (2008:21), gender equality can be defined as affirming women's differences from men and stressing the importance of acknowledging separate ways of talking, interacting and conceptualising political and social relations. They argue that gender equality is about bestowing equal recognition upon all people. Gender equality implies the fair treatment of both men and women. Women and men should not only be given equal access to resources and equal opportunities, but they should also be given the means of benefitting from this equality (United Nations Entity for Gender Equality in the Empowerment of Women 2007). Haataja, Leinonen and Mustakallio (2011:9) agree, stating that gender equality means equal rights, possibilities and obligations for both men and women in society. As an objective, gender equality entails that stereotyped concepts of gender roles should not restrict the opportunities of individuals. It also means equal appreciation of the values, choices and life experiences typical of women and men. Gender equality does not mean seeking to make women and men the same. However, gender equality does mean the full and equal enjoyment of rights and freedoms and equal access to resources, opportunities and outcomes by women, men, girls and boys (Republic of South Africa 2013a:3–4). It means that every human being should be respected, treated with dignity and be granted equal development opportunities in achieving their potential.

Section 107 and 111 of the *Constitution of the Republic of South Africa*, 1996 states that good human resource management (HRM) and the optimal development of human potential should take place in a transformed human resource (HR) culture (Republic of South Africa 1998:10) and an enabling

institutional culture (Republic of South Africa 1997:11–12) for which line managers are responsible (Republic of South Africa 1998:10). Daszko and Sheinberg (2005:3) state that transformation is about changing form, appearance or structure. They stress that transformation in the context of the management of institutions and systems occurs first in individuals, and then, in the institution. They argue that transformation is the creation of a new form or change in function or structure. Therefore, transformation is to create profound change, something that may not have existed before.

RESEARCH DESIGN AND METHODOLOGY

This article explores the extent to which gender equality in South Africa has advanced women's equality in the public service. The discussion will focus on strategies and policies that were instituted to address women's equality at senior management level in the South African public service. The article will draw attention to: Do women enjoy equal representation in the workplace? Are unpaid household activities equally shared by men and women? Which leadership approach would bring about gender equality in the public service? Qualitative research methods was used. Questionnaires were administered to randomly selected officials from the public service (Provincial Government of KwaZulu-Natal (KZN), Local Government of Eastern Cape, North West Province, and the South African Social Security Association). A Likert-type rating scale was used. Of the 120 questionnaires submitted, 54 (or 45%) were completed and returned. 48.15% of the respondents were men and 51.85% women. The SPSS computer programme was used to analyse the data and the results of the study were compared with those from previous research. The article addresses the contextualisation of gender equality, which focuses on the theoretical factors of gender equality. The methodological approach addresses the research problem and data collection. The article concludes by presenting the findings and conclusions of the study.

CONTEXTUALISATION OF GENDER EQUALITY

Section 9 of the 1996 *Constitution of the Republic of South Africa* guarantees the equality of women in the South African public service and sets out the equality of South Africans as a right. Firstly, this section reveals that every South African "is equal before the law and has the right to equal protection and benefit of the law" (s 9(1)). Secondly, it explains the practical implications of this concept as "the full and equal enjoyment of all rights and freedoms" (s 9(2)). Thirdly,

Section 9(3) prohibits direct and indirect unfair discrimination on the basis of, among other things, race, gender, colour and culture. These provisions of the Constitution thus imply that neither the government nor any person can prohibit women from advancing to the level of senior management services (SMS) in the public service (Kahn and Louw 2011:671). According to the Public Service Commission (Republic of South Africa 2006), gender equality is a social end state in which there is no unfair discrimination and exclusion on the basis of gender.

Government's desire to transform the South African public service is anchored in legislative frameworks that have transformed the public service to reflect the ideals of a democratic South Africa. The *White Paper on Transformation in the Public Service* of 1995 states that 30% of SMS posts should be occupied by women by 1999 (Republic of South Africa 1995:10.6). This target was increased by the South African Cabinet to 50% representation by women in all SMS posts by 31 March 2009 (Republic of South Africa 2008c:12, 16). The *White Paper on Affirmative Action* of 1998 provides the framework within which legislation, regulations and policies were to redress past imbalances and to improve the conditions of groups that had been disadvantaged on the grounds of race, gender or disability. This led to the proclamation of the *Employment Equity Act* 55 of 1998, which makes provision for the achievement of equity in the workplace by promoting equal opportunity and fair treatment in employment through the elimination of unfair discrimination. The *Promotion of Equality and Prevention of Unfair Discrimination Act* 4 of 2000 (Republic of South Africa 2000), which guarantees women's representation through legislative and other measures; and the *Broad Based Black Economic Empowerment Act* 53 of 2003, which intends to create broader representation in South Africa.

To actualise gender equality in the workplace, the *Women Empowerment and Gender Equality Bill*, 2013, states that gender mainstreaming is a process of identifying gender gaps and making women's, men's, girls', and boys' concerns and experiences integral to the design, implementation, monitoring and evaluation of policies in all sectors of life to ensure that they benefit equally (Republic of South Africa 2013a). The Bill is envisaged to give effect to Section 9 of the *Constitution of the Republic of South Africa*, 1996 in so far as the empowerment of women and gender equality are concerned, and to establish a legal framework for empowerment of women. Section 3 of the Bill would enforce compliance of 50% gender equity at all management decision-making levels. Daly (2012:5–6) agrees, stating that social equity, which is a core value, is fundamental in guiding the effective implementation of human resource policies and practices in institutions. It ensures that employment-related decisions taken by senior management protect and benefit designated groups and ensure that all citizens are fairly treated.

The South African population comprises of 48.47% men and 51.53% women (Republic of South Africa 2012:3); however, the economically active population consists of 54.8% men and 45.2% women. Africans comprise 74.9% of this population (of which 40.7% are men and 34.2% are women); coloureds constitute 10.8% (of which 5.8% are men and 5% are women); Indians comprise 3% (of which 1.9% are men and 1.1% are women); and whites constitute 11.3% (of which 6.4% are men and 4.9% are women) (Republic of South Africa 2013b:7). The above statistics clearly indicate that more men than women are economically active in the workplace. Efforts should be made to increase the numbers of economically active women, since women are the majority of the total population and well able to make a contribution towards the development of the South African economy.

GENDER EQUALITY IN THE WORKPLACE

In South Africa there are three main economic sectors. These are the primary sector, which includes the agriculture and mining sub-sectors; the secondary sector, which includes the manufacturing, utilities and construction sub-sectors; and the tertiary sector, which includes the trade, transport, finance, government and social services sub-sectors (Republic of South Africa 2013b:34). The number of women employed in the tertiary sector increased by 5.6% over the period 2001 to 2011; while the number of men employed in the same sector increased by 4.8%. However, the number of women employed in the secondary and primary sectors decreased by 4% while the number of men employed in the same sectors increased by 9.2% over the stated period (Republic of South Africa 2013b:34). It seems that men dominate in all sub-sectors except services, trade and finance where women are in the majority (75.8%) (Republic of South Africa 2013b:36). Men also seem to dominate in all occupational categories except professional where women seems to dominate (women (6%) and men (5.4%); technicians (women (14.1%) and men (8.9%); clerical (women (17%) and men (5.7%); and domestic (women (14.6%) and men (0.5%) (Republic of South Africa 2013b:38). This is underscored by research done by Statistics South Africa (Republic of South Africa 2013c:33) which shows that women (28.7%) prefer to work in community and social service sectors; while men (21.1%) prefer to work in the trade sub-sector. Men prefer to work in community and social service 15.9%, followed by manufacturing 15.6% and then financial services 13.1% (Republic of South Africa 2013b:33). Therefore, women prefer to work in: government 53.4%, trade 24.4%, private household 14.9%, finance 12.7% and manufacturing 10.3%. However, at the management level, men continue to dominate (men (10.2%) and women (6.1%) (Republic of South Africa 2013b:37).

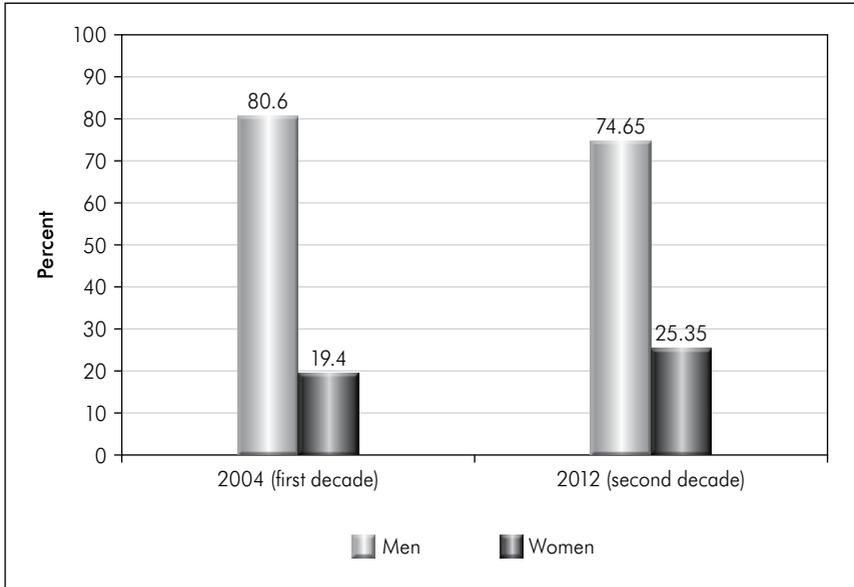
This clearly shows that men are more likely to be decision-makers compared to their female counterparts in their respective occupational categories.

Figure 1 illustrates gender representation at SMS level from the inception of democracy in South Africa until 2012. (Prior to 1999, no statistics were kept regarding gender equality.) The statistics show that, in 1999, 83% of SMS-level employees in the public service were men and 17% were women; while in 2012 the figures were 74.65% for men and 25.35% for women. This represents an increase of 25.35% for women over the preceding twenty years (approximately 1.27% per year). The figure also clearly shows that men remain in the majority at SMS level. South Africa's gender equality figures are, at present, superior to those for the rest of the sub-Saharan African countries – with the exception of Lesotho (World Economic Forum 2013). Figure 1 also shows that there was a larger increase in the representation of women at SMS level (19.4%, or approximately 1.94% per year) during the first decade of the period studied. During the second decade, an increase of 5.95% was recorded which, is approximately 0.74% per year. When compared with the first decade, shows a decline of approximately 1.2% per year over the preceding decade. This difference can be ascribed to: 1) the Silent Generation (people born between 1920–1943) (Salkowitz 2008:47), that promoted gender equality, having retired; 2) the Baby Boomers juggling for senior and top management positions, with men among them promoting their own kind—men (Pearson 2009:3–4).

The *Women Empowerment and Gender Equality*, 2013 is intended to speed up the attaining of 50% representation by women at SMS level in public service decision-making bodies and structures (Republic of South Africa 2013a). This is a shift away from its original purpose which was to achieve 50% representation by women in SMS-level positions overall (Republic of South Africa 2008c:12, 16). At the professionally qualified level, men held 69% of these posts in 2002 while women held 30.9%. In 2012, men held 57.8% of these posts and women held 42.2%. At the technically skilled professional level, men held 56.3% of these posts in 2002 while women held 43.7%. In 2012, men held 57.2% of these posts while women held 42.8% (Republic of South Africa 2013b:11–12). It is clear that male domination continues to prevail at SMS, professional and technically skilled levels in the public service. However, the figures for the latter two levels show that women are closing the gap between them and men and that women are nearing their economically active population target of 45.2%.

According to the Commission for Employment Equity (Republic of South Africa 2013b:11–12), during 2012 more men were recruited, as well as promoted and developed within, the South African public service than were women. At SMS level, men continue to enjoy preference over women in terms of representation, recruitment, promotion and development. Men account for 72.35% of SMS-level employees in the public service and also account for

Figure 1: Gender equality at SMS in the South African Public Service



Source: Adapted from Commission for Employment Equity Annual Report 2012/2013; Department of Public Service and Administration Report 2008/2009

68.75% of recruitment, 64.7% of promotion and 67.9% of development. By contrast, women account for 24.85% of SMS-level employees and for 25.7% of recruitment, 32.3% of promotion and 32.1% of development. From the above statistics it is clear that the status quo of inequality is likely to remain for decades to come (Republic of South Africa 2013b:17, 19). Male domination is also seen at the professional and technically skilled levels within the public service. At the professionally qualified level, males represent 56.1% of the employee population while females account for 55.8%. Men account for 41.6% of employees recruited, 56.8% of employees promoted and 52.3% of employees developed; while women account for 40.4% recruited, 41.3% promoted and 47.6% developed. At the technical level men represent 55.9% of the employee pool and women 42.5%. Men account for 58.3% of those recruited, 54% of those promoted and 60.9% of those developed; while women account for 39.3% of those recruited, 45.3% of those promoted and 39% of those developed. Overall, the above statistics reveal that 1.2% more women are being recruited than men. This research shows that the majority (61.36%) of the respondents indicated that they are able to advance their careers within their institutions. 29.55% remained neutral, while 9.09% disagreed. This research reveals that 44.83% of respondents indicated that

they have not been considered for promotion because of their gender. 34.48% agreed that they have benefited from promotion because of their gender and 20.69% remained neutral. 51.72% of respondents indicated that candidates are considered for promotion based on their competencies and qualifications, while 29.31% disagreed and 18.97% remained neutral. The above statistics also reveal that the status quo of inequality will remain for years to come, unless there is a change of mind, attitude and commitment from senior management in changing the tide of gender inequality (Republic of South Africa 2013b:21, 23).

Male domination is experienced in all major sectors of the South African economy. Men account for 80.2% and women 18.65% of those employed in agriculture; in mining and quarrying men form 83.3% of the employee population and women 13.05%; in manufacturing, men account for 77.8% of employees and women for 8.75%; in electrical trades, men account for 72.4% and women 23.5%; in construction men account for 81.4% and women for 15.75%; in the retail and motor trade/repair service men account for 73.5% and women for 24.9%; in wholesale trade/commercial agents/allied services men make up 72.8% of the employee pool and women 24.6%; in catering/accommodation/other trade, men account for 61.5% and women 31.75%; in transport/storage/communications men account for 72.7% and women for 23.7%; in finance/business services men make up 66.4% and women 29.85% of the employee population; and in community/social/personal services men account for 62.95% and women 35.45% of the employee population (Republic of South Africa 2013b:31, 32). In the professional sub-sectors men enjoy superior status, except in social and personal services where women account for 54.8% and 42.9%. Male domination is also experienced in the skilled sub-sectors except in catering/accommodation/other trade (women 53.6% and men 43.4%); finance/business (women 55.2% and men 43.3%) and community/social/personal services (women 52.5% and men 46.7%) (Republic of South Africa 2013b:34, 36). Corbett and Hill (2012:16) agree, stating that women prefer to work in business support and administrative assistance occupations and as educators, social service professionals, nurses and other health care providers. Men are inclined to work in business and management occupations, in maths, computer and physical science occupations, and in engineering and blue-collar occupations.

At the professionally qualified level of business men enjoy superior status, except in the public sector (women 53.4% and men 44.8%) and in non-profit institutions (women 60.2% and men 36.1%) (Republic of South Africa 2013b:41). At the skilled qualified level of business men also enjoy superior status, except in public sector (women 59.8% and men 40%) and non-profit institutions (women 57.9% and men 41%) (Republic of South Africa 2013b:41).

From the above statistics it seems that women with academic and professional qualifications are inclined to work in the public service and NGOs. This is in accordance with this in which, the majority (61.4%) of respondents indicated that they work in an environment that is dominated by women, while 38.6% indicated that they work in an environment that is dominated by men.

This research reveals that the majority of respondents (48.27%) consider their line managers to be supportive of gender equity in their respective departments, while 15.51% disagree and 36.21% remain neutral. This is contrary to the response to the question: "My department has achieved Government's gender equity goal of 50% women at SMS"; 36.84% of the respondents agreed, while 35.09% disagreed and 28.07% remained neutral. The difference is not significant, which means that respondents are unable to see visible evidence of gender equity in their respective institutions and departments. The majority (66.67%) of the respondents illustrated that the implementation of employment equity policies is a means of increasing women's representation and gender equality in the public service. 10.41% disagree and 22.92% remained neutral. This is underscored by the question: "I have experienced employment equity as a positive process". 60.35% of the respondents indicated that they have experienced employment equity in their respective institutions; while 18.96% disagreed and 20.69% remained neutral.

Women's representation in economic decision-making positions in the private sector is 23% and only 4% are CEOs (Robinson 2014). Burmeister (2014) agrees, claiming that South Africa is leading the way by (23.2%) in regard to women directors compared to the United States (16.1%) and the United Kingdom (15.0%), China (8.5%), Russia (5.9%), India (5.3%) and Brazil (5.1%). Representation by women during the second half of the first decade of democracy (during the presidency of President Mbeki) was as follows: in Parliament 32.65%, in Cabinet 42.5% and in local government 37% (Republic of South Africa 2008:4). During the second half of the second decade of democracy (during the presidency of President Zuma) the situation is as follows: in Parliament 37.5%, in Cabinet 42% and in local government 40% (Mbola 2009). There is a slight increase in representation by women in Parliament and local government during the presidency of President Zuma. However, the South African government has not achieved its 2009 gender equity targets. Women have made inroads into a male-dominated senior management cadre. In 1999 women's representation in the public service was 17% and, since 2005, there has been a steady increase from 29.77% to 34.87% in 2009 (Kahn and Louw 2011:676; Public Service Commission Report 2008:86–87).

This research revealed the overwhelming majority (86.21%) of respondents to be advocates of gender equality in the workplace, while 12.07% disagreed and 1.72% remained neutral. This is supported by the question: "I provide

preferential treatment to my own race and gender". 76.36% of the respondents revealed that they do not provide special treatment to their own race and gender, while 16.36% indicated that they do and 7.27% remained neutral. However, the majority (53.45%) of respondents indicated that their managers do not treat all subordinates equally. 34.48% agreed that subordinates are being treated equally, while 12.07% remained neutral. It is clear that there are differences of opinion regarding how managers treat their subordinates and how subordinates expect to be treated. The gender and race of managers are factors that may influence the way in which managers may react and treat subordinates of different gender and from different race groups.

Remuneration

According to Daly (2012:139–140) compensation is an institution's effort to sustain a competitive compensation position within its local labour market, given its current and anticipated future financial resources. Income is a fundamental part of everyday life which enables people to support themselves and their families (Corbett and Hill 2012:1, 17–18). Daly (2012:140) proposes two types of pay equity that would ensure fairness in compensation both within the institution and across institutional boundaries. These are internal compensation equity (ICE) and external compensation equity (ECI). The ICE ensures that employees possessing similar competencies, skills, abilities, years of service and level of responsibilities receive approximately the same remuneration. ECI ensures that institutions remunerate their employees' market-related salaries. It means that men and women with similar skills-related competencies and years of service should be earning approximately the same salary (Daly 2012:144). This question the remuneration system that is practiced in many countries including South Africa, where women earn less than their male counterparts in certain industries.

The international wage-gap for men and women doing the same work is an average of 13% in favour of men (Economic Forum Gender Gap Report 2013). Women earn less than their male counterparts in almost in every profession in the USA. Women who have graduated and who had been working full time for one year earned, on average, just 82% of what their male counterparts earned. Women earn less than men in certain professions – for example, in education, women earn 86% of what their male counterparts earn, and in sales women earn 77% of what their male counterparts earn (Corbett and Hill 2012:17–18). Women are still not receiving equal pay for doing the same work as their male counterparts (Broder 2013).

According to Corbett and Hill (2012:1) the following factors contribute to the wage/pay gap between men and women: 1) discrimination and cultural gender

norms; 2) the field of study, for example, men are more likely than women to major in the engineering, computer science and technical fields; while women are more likely to major in fields such as social science, medical and education, which typically leads to lower paying jobs. 3) The number of hours worked also influence income. Women seem to be working, on average, 43 hours per week; while men are expected to work 45 hours per week. The wage-gap has a negative effect on the social lives of women. It influences the neighbourhoods in which women live, the education opportunities they offer their children and the food they put on the table. Women are more likely than men to relocate for their spouses' jobs, and they are more likely to leave the workforce or reduce their work hours after becoming parents (McKinnish 2008:836–838). The wage-gap is at its lowest in the non-profit sector at 5%. In the public sector it is 27%, with the private sector wage-gap rising to 35.5%. Gender inequality in general also has a negative effect on remuneration and increases the wage-gap between the educated and skilled and less educated and less skilled. Reducing gender inequality in education may allow employers to benefit from employing relatively cheaper female labour and allowing them to invest in female-intensive sectors (Abu-ghaida and Klasen, 2004:1078).

In South Africa, women earn up to 33% less than their male counterparts doing the same the work (Economic Forum Gender Gap Report 2013; Goko 2013). Burmeister (2014) agrees, stating that in South Africa, women earn on average 34% less than their male counterparts. This is underscored by Statistics South Africa's claim that women with tertiary education earn 82% of what their male counterparts earn (Republic of South Africa 2013c:vi). Research conducted by Kahn, Louw and Motsoeneng (2013) shows that the majority (40.91%) of respondents indicated that they are treated differently than their male counterparts. 31.82% disagreed and 27.27% remained neutral. This shows that women find themselves working in hostile male dominated environments.

Education

Education is central to one's ability to respond to the opportunities that development presents. Yet there are significant gender disparities in education in many developing countries. However, gender equality in school enrolments has steadily increased, faster for girls than for boys (Abu-ghaida and Klasen, 2004:1075). The authors argue that countries that have failed to achieve the millennium developmental goals (MDGs) in respect of gender equity in education will suffer losses in terms of economic growth. However, developing countries that have met their gender equity school enrolment goals are likely to increase their average 1975–2005 GDP per capita levels by 15%. This means that these citizens can effectively contribute to their countries' economic

development (Abu-ghaida and Klasen, 2004:1092). South Africa has fallen short of achieving its MDG of 50% representation by women at SMS level by March 2009. This means that women are less likely than men to effectively contribute to the South African economy because they have not been given development opportunities and their full potential has not been optimised.

Men seem to be enjoying more educational opportunities than women. Women with tertiary education earn about 82% of what their male counterparts earn (Republic of South Africa 2013c:vi, 40). The percentage of adults aged 25 years and above with no formal schooling is highest among black African women (14.8%) compared with black African men (10.8%). The difference between white men and women is less than 1% (Republic of South Africa 2013c:19). Generally, women are less educated than men, which will not only perpetuate future income disparities between men and women, but will also prohibit women from entering paid employment. The difference between population groups in this regard tends to be much larger than the difference between women and men within a single population group (Republic of South Africa 2013c:19–20).

In the three top occupational categories (management, professional and technical and associated professional jobs) women are more likely than men to have tertiary qualifications. The greatest difference between men and women is in the technical category. It shows that the education of women is on the increase compared with men (Republic of South Africa 2013c:39). This research shows that the majority of respondents (36.36%) had bachelor's degrees, 25.45% had post-graduate diplomas, 23.64% had honours degrees, 9.09% had diplomas, 3.64% had grade 12 and 1.82% had master's Degrees. Gender inequality also lowers the average level of human capital because fewer people receive the required educational opportunities to function on a higher cognitive level in performing certain required functions (Abu-ghaida and Klasen, 2004:1078).

GENDER INEQUALITY – HOW LONG?

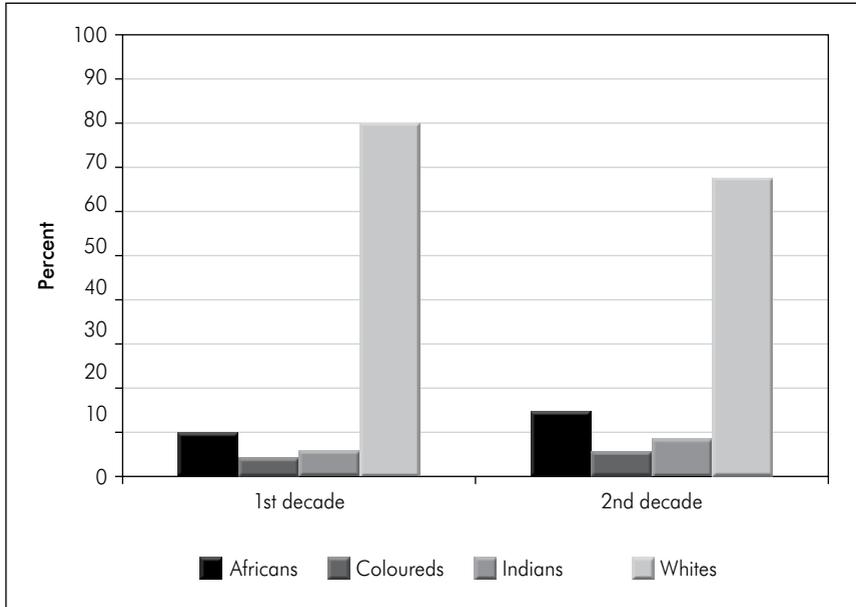
The Public Service Commission (PSC) Report of 2008 (Republic of South Africa 2008:87, 89) suggests that it took the Department of Public Service and Administration (DPSA) a long time after the stated date (1999) to achieve the target of 30% women's representation, and that it may take even longer to achieve the (March 2009) target of 50% representation at SMS. This is supported by Commissioner for Employment Equity (Republic of South Africa 2013b:17) stating that the corporate advancement of South African women will continue to lag behind their male counterparts. Eccles (1996) in Kahn and Louw (2011b:673–675) agrees stating that it will take years before women will enjoy

equality with men. The action taken by the South African National Defence Force (SANDF) attests to this fact. The SANDF has adjusted its target of 50% representation by women at SMS level to 40% women at command level (decision-making bodies and structures) (Department of Defence (2009:D1-7) in (Kahn and Louw 2011:675). This is underscored by Section 3 of the *Women Empowerment and Equity Bill, 2013* (Republic of South Africa 2013a), which would enforce compliance of 50% gender equity at all management decision-making levels. This limits women's advancement to senior management levels. This clearly shows that measures to restrict the effects of the glass ceiling that limits women's advancement are under way. If adopted as an Act, this Bill will also mean that women will not need to be promoted to ranks at SMS level in order to serve on decision-making levels at senior management levels. For example, a middle manager will be able to serve on senior management decision-making levels. However, there is a danger that managers in these situations would be puppets because senior managers would be able to use their clout, prestige, position and power to muscle these juniors into accepting and endorsing their decisions. The danger is that these juniors would soon become the voiceless minority serving on senior management bodies and structures.

Intra-gender disparities have been experienced since the colonial and apartheid eras when black men were degraded by white men (Kandirikira (2002) in Hilber 2007:15). Subsequently, however, there has been an increase in race representation concerning the numbers of Africans employed in the public service – from 74% in 2004 to 80% in 2007 at national government level; while the percentage of Africans serving at provincial level increased from 64% in 2004 to 71% in 2007 (Republic of South Africa 2008:86). Despite the increase in the number of African employees in the public service, intra-gender difference continues to prevail between the different race groups at SMS levels. Figure 2 illustrates gender inequality per race group at SMS levels. The figure shows Africans at 10.4% in 2002 and 15.3% in 2012, which is an increase of 4.9% but still 59.6% below their EAP of 74.9%. Coloureds were at 4.2% in 2002 and 5.8% in 2012, which is an increase of 1.6% and represents about half of their EAP of 10.8%. Indians were at 5.6% in 2002 and 8.4% in 2012, which is an increase of 2.8% and puts them 5.4% above their EAP of 3%. Whites were at 79.7% in 2002 and 67.5% in 2012, which is a decrease of 12.2% and 56.2% above their EAP of 11.3% (Republic of South Africa 2013b:7). The total (12.2%) of whites exceeds the combined total percentage (9.3%) of African, coloureds and Indians. The statistics clearly show that whites maintain their dominance over other race groups.

White men enjoy 51.8% representation over black (African, Coloured and Indian) men, which is a combine total of 20.55%. White men account for 45% recruited, 27.6% promoted and 41.1% developed; compared with a

Figure 2: Gender equality at SMS per race in the South African Public Service



Source: Adapted from Commission for Employment Equity Annual Report 2012/2013

combined total of black men: 23.75% recruited, 27.1% promoted and 26.8% developed. In the same vein, white women also enjoy 15.7% representation over black (African, Coloured and Indian) women, which is a combine total of 9.16%. White women account for 14.05% recruited, 16.8% promoted and 16.6% developed; compared with a combined total of black women: 11.65% recruited, 15.5% promoted and 15.5% developed (Republic of South Africa 2013b:17, 19). Black African women are less likely to be employed than not only black African men, but also than men and women of other race groups. In 2011, 30.8% of black African women were employed compared with more than 56.1% white women, 43.2% of coloured women and 40.2% of Indian women (Republic of South Africa 2013c:28). Black African men are exposed to the same situation as their black female counterparts. In 2011, 72.6% of white men were employed, as were 64.1% of Indian men and 54.7% of coloured men, compared with 42.8% black African men (Republic of South Africa 2013c:28). This research shows that the majority (40.91%) of female respondents indicated that they are treated differently than their male counterparts, while 31.82% disagreed and 27.27% remained neutral. This shows that many women find themselves working in hostile, male-dominated environments.

TRANSFORMATIONAL LEADERSHIP

Leadership creates the symbols and the rituals that constitute the daily practices of the institution's workforce (Thompson and Strickland 2003:420–421). This means that institutional culture encompasses both managerial functions and institutional characteristics (Gibson, Ivancevich and Donnelly 1994:63–64). Therefore, the existing culture of an institution reflects past and present generic functions of management (Cloete 1984:2–3). Since leadership determines institutional culture, leaders should portray clear, visible actions in support of the cultural values and beliefs (Tayeb 1996:83–84).

Metz and Kulik (2008:369) view institutional change as the movement of an institution away from its present state towards some desired future state in order to increase its effectiveness. Nel, Werner, Haasbroek, Poisat, Sono and Schultz (2008:17) agree, stating that institutional culture is the manner in which things are done in the institution compared to the way things are done in other institutions. This means that institutional culture is a system of shared beliefs, values and assumptions that acts as glue to bind employees of an institution together and that also serves as distinguishing feature of the institution (McShane and Von Glinow 2007:253). There is an assumed common understanding amongst employees as to how work should be done informed by institutional policies and manuals. This understanding among employees may also give an indication to the management as to how workers feel about their work. Changing the manner in which things are done, therefore, means tampering with the existing culture of the institution (Nel *et al.* 2008:17). While women are expected to be treated as equal to their male counterparts in the workplace, in African culture and traditions women are expected to be submissive to men. These contradictions allow men to flex their muscles and abuse their power both in the workplace and at home. Men have the power to create an institutional culture in the public service that would allow women to be treated as equals. The majority (69.64%) of respondents reported that the institutional cultures of their respective institutions are non-racial, non-sexist and non-discriminatory. 14.29% disagreed with this, however, while 16.07% remained neutral. This is underscored by the question: "the institutional culture of my department makes provision for gender equity and equality". 73.69% of the respondents unequivocally agreed, while 12.28% disagreed and 14.04% remained neutral. This means that women should not be experiencing obstacles in their development and advancement and, if they do, then management should take the blame for not instituting human resource management policies.

A dysfunctional culture constrains the entry and advancement of people who are different in appearance, attitudes, or culture (Metz and Kulik 2008:370). These authors claim that members of dysfunctional cultures have

a vested interest in maintaining the institution's exclusivity and are unlikely to be supportive of diversity policies initiated by the human resource department. This is underscored by Wilson (2000:299) who states that human resource policies alone are insufficient to overcome the cultural devaluing of difference. Dysfunctional institutional culture is often the reason for large-scale change efforts in public institutions (Osborne and Gaebler 1992). The institutional culture should evoke passion in employees and should portray an optimistic but realistic vision of the future. Leaders and managers should be optimistic and inspire public employees, particularly youth, to excel and develop their talents and abilities (Sheahan 2007:101).

The majority (53.58%) of respondents indicated that the human resource policies and practices in their organisations allow them to achieve self-actualisation, while 33.92% disagreed and 12.50% remained neutral. This is underscored by the question: "I receive positive support and motivation from my line manager". The majority (46.55%) indicated that they receive support and are motivated by their line managers. 32.76% disagreed and 20.69% remained neutral. From the above it is clear that the institutional culture is conducive to employees achieving not only institutional goals and objectives, but also their personal goals. However, 46.55% of respondents indicated that their line managers do not have their best interests at heart when making decisions that affect their work life and careers. 29.31% agreed and 24.14% remained neutral. This shows that there is a degree of mistrust between line managers and subordinates.

Research shows that the current transactional leadership approach is ineffective in transforming the public service towards allowing women to be treated equally to their male counterparts (Kahn and Naidoo 2011a:84). Transactional leadership is the exchange between leaders and subordinates. It does not individualise the needs of subordinates nor does it focus on their personal development (Rost 1993 in Kahn and Naidoo 2011a:80). According to McShane and Von Glinow (2005:450), transactional leadership maintains the status quo, which is counter-productive to the transformation of the South African public service. Since the current leadership of the public service is dominated by white men (Republic of South Africa 2013b:9–10) it is therefore easy for these men to maintain the status quo by promoting people who are similar to them: white men and women, rather than black men and women (Pearson *et al.* 2009:3–5; Republic of South Africa 2013b:33–34; Republic of South Africa 2013c:32–33). It is only when the leadership approach of the South African public service is changed that change in its institutional culture will be able to take place. Such change can be brought about by transformational leadership.

Transformational leadership is a reflection of the traits and behaviours that are necessary for initiating change (Burns 1978). Storker, Grutterink and Kolk

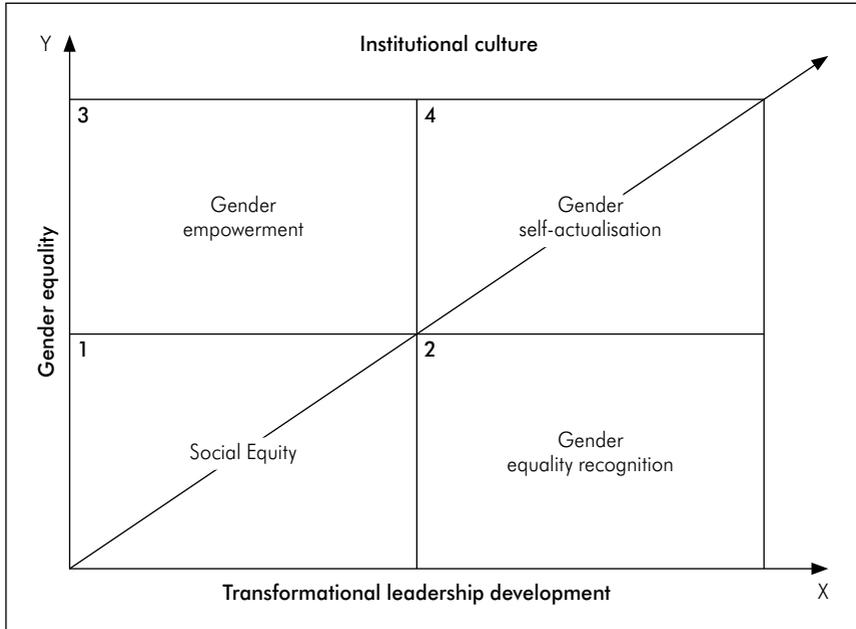
(2012:585) agree, claiming that transformational leaders are not only essentially change agents, because they show subordinates the future and inspire them to achieve this new future, but they are also effective in a situation of crisis or uncertainty. Transformational leadership refers to behaviours that inspire and challenge people to achieve goals (Senior, Martin, Thomas, Topakas, West and Yeats 2012:282). These authors argue that transformational leaders are more capable of transforming an institution because they are prone to supporting a general culture of change. Therefore, transformational leaders would create an institutional culture that would not only embrace gender equality, but would also allow women to be treated equally to their male counterparts. This culture would further make provision for the unique needs, desires and aspirations of men and women, and particularly youth, the future leaders and managers.

From the above discussion it is clear that transformational leaders are able to make provision for the desires and aspirations of employees. These provisions, according to Branson (2013), include providing for family-friendly workplaces for their women employees, allowing flexible working hours for mothers with children, providing opportunities for women to succeed, and treating them the same as their male counterparts. Transformational leaders have the ability not only to inspire employees to embrace the shared vision of making it their own, but also to use their abilities and competencies to achieve both individual and institutional goals (Kahn and Naidoo 2011:86–88). Sheahan (2007:178–180) agrees, stating that a transformational management approach is needed to bring about the transformation of an institution.

MODEL FOR GENDER EQUALITY

It is clear from this research that a new mind-set is needed in managing gender equality in the South African public service. Legislation, regulations, HR policies and practices are key components but, more important are senior management's will, commitment and determination in achieving gender equality. Figure 3 illustrates a model that the authors designed for promoting gender equality in the South African public service. First, the institutional culture should be transformed to create an enabling environment – one where employees feel that they not only belong, but also that they are able to express their unique identity in achieving self-actualisation. To create an institutional culture conducive to self-actualisation means that the leadership approach of the South African public service should not only provide the necessary support, but should also ensure that all employees have access to those support mechanisms (Fennel and Arnot 2008:195–196). The current transactional leadership approach does not promote gender equality transformation in the public service (Kahn and Naidoo

Figure 3: Transformation of gender equality



2011); a transformational leadership approach is needed (Senior *et al.* 2012). This means that the South African public service has to adopt a transformational leadership approach in order to transform gender equality in the public service.

In Figure 3 the Y axis represents a gradual increase in gender equality as men and women are given equal development opportunities, and the extent to which they respect each other's rights in achieving self-actualisation. The X axis represents the gender stages and management levels that transformational leaders would have to achieve to lead their followers in achieving optimal gender equality. The first quadrant depicts social equity as the foundation not only in guiding the effective implementation of HR policies and practices, but also in ensuring that employment-related decisions protect and benefit designated groups (Daly 2012:5–6). Social equity allows boys, girls, men and women to recognise reciprocal equality; and to be utilised according to their abilities and competencies. Senior management's commitment in achieving gender equality should be tested by including such an agreement in their performance agreement. The second quadrant shows that every citizen is entitled to gender equality (Republic of South Africa 1996; Republic of South Africa 2013a:3–4).

This means that everybody is entitled to gender equality recognition and should be given space to display their abilities (Fennell and Arnot 2008:25–

26). Therefore, management should provide equal employment opportunities to all employees; and employees should use these opportunities to advance their careers and realise their desires and dreams (Gómez-Mejía, Balkin and Cardy 2010:306–307). Equal development opportunities should be given to all, from grade R to university. The third quadrant illustrates that all employees should be empowered, entitled to human resource development (HRD) opportunities. HRD provides reciprocal benefits to both employees and the institution. Employees are able to develop their potential and acquire additional competencies that they can use to improve their performance. Candidates with the demonstrated competencies and capacity to function effectively in appropriate positions should be considered for appointment and promotion to such positions (Daly 2012:7). Improved performance, in turn, enhances the institution's effectiveness and productivity (Coetzee, Botha, Kiley and Truman 2007:49–55). Taken together, these translate into profits and better service delivery – and ultimately customer satisfaction (which would reduce service delivery protests.) The fourth quadrant displays how gender equality can allow both men and women to achieve self-actualisation. According to Maslow's Hierarchy of Needs every individual desires to achieve self-actualisation. In achieving self-actualisation, employees are also indirectly contribute in achieving institutional goals and objectives (McShane and Von Glinow 2007:92–93). This creates a win-win situation for both employees and employers (Nel, Kirsten, Swanepoel, Erasmus and Poisat 2008:203–205; Venter 2004:367, 379).

Figure 3 illustrates that transformational leadership, which starts at the intersection of the X and Y axis, and runs throughout the entire hierarchy, is key in transforming gender equality in the South African public service. Therefore, leaders and managers at all hierarchical levels should undergo transformational leadership training.

FINDINGS AND CONCLUSIONS

The research reveals that much has been done to promote gender equality in the public service; however, the goals of treaties of women's equality, non-discrimination in education and employment; as well as the goal of 50% women at SMS by March 2009 have not been achieved. The research shows that it would take considerable time to achieve the gender equity goal, because: 1) it is difficult to achieve gender equality in the primary and secondary sectors, because women prefer to work in the tertiary sector where they can better utilise their competencies and skills. 2) Senior management lacks the will and commitment in ending gender inequality; and 3) senior management does not want to rock the boat, because they only have a few years left before retiring.

It is recommended that women should not only be empowered to function in the primary sector, but also be promoted to senior management positions; their deputies should also preferably be women.

This research shows that women at SMS are close to reaching their EAP target of 45.2% at professional and technical levels; however, in management, they still have a long way to go. There are discrepancies with regard to women's equality among the different race groups, which differ from the South African population ratios. The research reveals that women are developed but not promoted, because men are inclined to appoint their own gender. It is recommended that women who demonstrate the necessary competencies and capacity to function effectively at senior management levels should be given preference over men.

The research reveals that the commitment and determination of leaders are fundamental in implementing HR policies and practices. It shows that gender equality can only be established in an enabling institutional environment, which can be created by transformational leaders. Transformational leaders would create an institutional culture in the public service of South Africa, as well as in sub-Saharan Africa, that would not only make provision for gender equality, but also for the empowerment and promotion of women and youth. It is recommended that a transformational leadership approach be adopted in order to transform the South African public service; and that all managers undergo transformational leadership training.

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Exploring the cultural roots of the poverty and underdevelopment in Africa

Lessons for policy makers in the continent from the role of good governance in the transformation of Botswana

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ABSTRACT

Compared to other parts of the world like South America and Asia that underwent the same history of colonialism, sub-Saharan Africa remains desperately poor and there has been little improvement in the socio-economic outcomes for the majority of its people since political independence was granted to many countries in sub-Saharan Africa in the 1960s. Many reasons are advanced within and outside the continent for the cause of poverty and underdevelopment in Africa such as slavery, geography, globalisation, colonialism, etc. This article aims to critically examine the controversy surrounding the role of culture in the underdevelopment of the continent, in general and Botswana in particular. This article argues contrary to the school of thought which believes that African culture is an impediment to development on the continent. Thus, the fact is what has held the continent back economically is poor governance. The article noted that effects of good policies can be gleaned from the remarkable transformation of Botswana, from a largely agricultural economy at independence, to a stable, democratic and prosperous country today.

INTRODUCTION

Africa is a very poor continent and according to the United Nations Conference on Trade and Development (UNCTAD 2010), 33 African countries are classified as Least Developed Countries (LDCs). The common denominators amongst these countries are lack of inclusive development, poverty and underdevelopment, absence of human development, and limited employment opportunities for the citizens. The deplorable state of the economic condition of the continent is further buttressed by the fact that many African countries are at the bottom of the Human Development Index (HDI) (UNDP 2012). The HDI is a summary of human development around the world published annually by the UNDP and it was created by the Pakistani economist Mahbub ul Haq and the Indian economist Amartya Sen in 1990 (UNDP 2012). It helps people to understand whether a country is developed, still developing, or underdeveloped and it is done with the firm belief that measuring the lives of people is the best way to capture development as “people are the real wealth of a nation” (UNDP 1990). The measurements are captured by factors such as life expectancy, education, literacy and gross domestic product per capita.

There are many thoughts on the reason for poverty and underdevelopment in Africa, but there is little consensus on the real cause of the continent’s poor economic performance despite enormous natural resources and endowments. There is a narrative which holds that Africa’s treacherous geography is responsible for the poverty and underdevelopment of the continent as it exposes the link between geographical variables, diseases and the economic productivity of the country (Diamond 1997; Sachs 2001; Machiavelli 1987; Montesquieu 1989; Toynbee 1961). Some experts are of the view that the high incidence of disease such as HiV/Aids, malaria etc. which are prevalent amongst African countries contributed to the poverty and underdevelopment of the continent (Bloom and Sachs 1998; Gallup and Sachs 2001). The third narrative that dominates much of the literature on the reason for Africa’s poverty and underdevelopment coalesce around the slave trade, which severely depopulated most of the continent and robbed Africa of its productive capacity for centuries (Gemery and Hogendorn 1979; Manning 1981; Inikori 1992). The fourth dominant view in the literature blames Africa’s ills on the devastating effects of colonial rule and this view is popular amongst policy makers and experts within and outside the continent (Grosfoguel 2007; Fall 1993; Northrup 1988; Mehmet 1999; Nkrumah 1965; Crowder 1969; Rugumanu 2005; Mandani 2005; Amin 1974). Finally, globalisation is also a factor which is also prominent within research as a reason for poverty and underdevelopment in Africa (Wallerstein 1974; Gutall 2007; Aksu and Camilleri 2002; Diehl 2001; Held and McGrew 2002; Iriye 2002; Kaplan 1994; Keohane 2002; Krasner 2001).

An exhaustive study of the various reasons given for poverty and underdevelopment of Africa is outside the scope of this article but it is necessary to provide an overview of the dominant thoughts held by many as the reason for the continent's development impasse. The main focus of the article lies in exploring the link between culture and development and if indeed African culture has hampered the developmental objectives of the continent. The researcher will explore the theoretical foundations of the culture development debate and posit that contrary to popular belief it is poor governance that has held the continent back, by unfurling the remarkable changes witnessed in Botswana.

In trying to explain why Africa performed poorly in comparison with other parts of the world, many of the scholars mentioned earlier described reasons for the deplorable performance of the continent. This article is an attempt to critically investigate the cultural narrative as the reason for Africa's poor economic performance. In the first part of the article, there is an explanation of the meaning of culture. The second part concentrates on unravelling the various intellectual postulations undergirding the relationship between culture and development. The conclusion explores the fact that contrary to the common belief of some scholars on African political economy, the transformation of Botswana has shown that it is poor governance and not culture that is an impediment to the continent's economic development and transformation.

CONCEPTUALISING CULTURE

The meaning of culture is so varied and diverse that it is difficult to have a universally accepted and common meaning as culture derives its context, legitimacy and meaning from a specific milieu where in the definition originates (Shixue 2003:3). The meaning of culture is so vast that Kroeber and Clyde (1952:47) were able to identify and list around 164 definitions of culture since 1871 until 1951. Most definitions mirror and capture the personal and collective experience of many countries, tribes, religions, continents and across many persuasions and backgrounds and therefore it does reflect in their "locus of enunciation" (Ndlovu 2012). Jameson (1980:9) in his very incisive study of the meaning of culture across many disciplines like sociology, psychology, history, development studies, etc. was able to pinpoint 160 definitions of culture and many of those definitions were products of the disciplinary perspective which influenced them. In an African socio-cultural milieu, culture means a description of a particular way of life peculiar to a certain group of people or community. Culture could depict the language, music, marriage and burial rites of a people, religion and education, etc. (Irish and Prothro 1965:19; Ukeje 1992:395; Shoremi 1999:94).

Ukeje (1992) argued that culture is the sum total of a people or community's way of life and this can be seen from material and non-material aspects of their life which includes but is not restricted to things mentioned in the preceding paragraph such as: clothing, values, beliefs, thoughts, feelings and customs. A more broad and inclusive definition of culture which properly captured the material and non-material components was provided by Andah (1992:4–5). "Culture embraces all the material and non material expressions of a people as well as the processes with which the expressions are communicated. It has to do with all the social, ethical, intellectual, scientific, artistic, and technological expressions and processes of a people usually ethnically and or nationally or supra-nationally related, and usually living in a geographically contiguous area; what they pass on to their successors and how these are passed on" (Andah 1992:4–5).

Culture could therefore depict glaring similarities between people within the same territorial space that fosters a feeling of oneness which they might wish to preserve for future generations (Mabakogu 2004). In addition, Shoremi (1999:94) is of the view that "...any culture is a set of techniques for adjusting both to the external environment and to other men...cultures produce needs as well as provide a means of fulfilling them". In essence, an individual born into a society would through social interaction, unconsciously imbibe certain traits that could build up personality or act as boosters for adjusting in that society. Other scholars (Oyeneye and Shoremi 1985:3) brought to the fore certain features of culture as: culture is shared by members of a society; culture is not genetically transmitted; it is historically derived and ... transmitted from one generation to another; Culture is created... through the process of adjustment to the social setting; culture is universally found in every human society; and culture is dynamic (Oyeneye and Shoremi 1985:3).

There are some definitions of culture that are more inclusive and embracing of what that culture wants to represent in a society. Scupin, (2006) offers one of those views: "culture can be defined as that complex whole which includes knowledge, belief, arts, morals, law, custom and any other capabilities and habits acquired by man as a member of society" (Scupin 2006).

Scupin (2006) reiterates that culture is a combination of those inherited and acquired tastes which we get from society and which influence our lives by shaping our attitudes, values, goals, behaviour or personality. No human being exists in isolation of a particular cultural milieu and we all bear witness to our society and in this way, our society and its progress depend on how we shape, reinforce and remodel our culture to conform to the needs of our society and community.

Harrison provides an apt definition of culture: "Culture is a set of values and attitudes that guide the actions of individuals and the interaction of people

within a society” (Harrison 1997:31). The economic historian and a leading authority on institutions and development, Douglass North, views culture through a different prism. “In all societies from the most primitive to the most advanced, people impose constraints upon themselves to give a structure to their relations with others. . . Where do informal constraints come from? They come from socially transmitted information and are a part of the heritage that we call culture. . .culture can be defined as the transmission from one generation to the next, via teaching and imitation, of knowledge, values, and other factors that influence behaviour” (North 1990:36–37).

It is important that as pronouncements on an issue which concerns the poor; economically and politically marginalised parts of the world, especially in Africa are made, knowledge’s, narratives and definitions emanating from specific areas and context are taken as our point of departure as it captures the realities and truth of the existence of the people in those areas and countries. In this vein, it is appropriate to bring into the discussion a United Nations report of the well-known South Commission titled *The Challenge to the South* in which they defined culture as encapsulating the following two paradigms (The Report of the South Commission 1990:131–132).

- “The sum of values, beliefs, attitudes, customs, and patterns of behaviour in a given society. Paramount among these are religious beliefs and ethnic and national symbols and traditions, but they also include secular views about the human condition and human relations, individual and social priorities, morality, and rights and obligations, all of which may be institutionalized in various degrees” (The Report of the South Commission 1990:131–132).
- “The activities in the society which express and enrich, while at the same transforming, those values, attitudes, beliefs, and customs. The activities range from grass-roots endeavours and undertakings (for example the production of folk art and handicrafts, the creation and performance of folk music and dance, popular festivities and other forms of collective entertainment) to specialized cultural forms (literature, music, painting, theatre, dance, film-making, including television, etc.” (The Report of the South Commission 1990:131–132).

THE CULTURE AND DEVELOPMENT DEBATE

The relationship between development and culture has long been explored in literature and the topic has its origin in the work of one of the founders of modern economics, Adam Smith, in his narrative *Theory of Moral Sentiments* (Smith 1982). He investigated the beneficial attributes of what he termed ‘cultural values’ to stimulate economic growth and development in a society (Smith

1982). John Stuart Mill seven decades later, made similar comments to the lasting impact of 'cultural values' when he argued that cultural attributes could be a hindrance or a motivating factor in the life of a human being as he/she embarks on the pursuit of financial gain in terms of what Smith termed 'pursuit of personal interests' (Mills 1848 in Smith 1982).

It was indeed the German social scientist Marx Weber writing in the early 20th century who was undoubtedly amongst the first intellectuals to offer a more nuanced perspective on the relationship between culture and development. This was evidenced in his well known books: *The Protestant Ethic and the Spirit of Capitalism* (1905) and *The Religion of China: Confucianism and Taoism* (1951). Weber's (2002) view was that there are a set of values and attitudes, which was associated with the Protestant ethic, such as hard work, thrift, honesty, rationality and austerity, and that those virtues became the basis of achievements and material progress. Weber (2002) argued that the Protestant work ethic laid a theological and intellectual basis for Christians of the Protestant order to believe that the pursuit of wealth was a duty they owed God, themselves and society. Weber (2002) also posited that the Protestant ethics inculcated the virtues crucial for them to indulge and seek maximum economic productivity; which subsequently led to the socio-economic development of Protestant countries like Germany and Great Britain (Weber 2002).

The relationship between culture and development received enormous attention in the development literature with the rise of the modernisation theory, as most countries in Africa were struggling to emerge from the tyranny of colonialism (Yousi 2007:6). Modernisation theory as an idea was culturally laden and its main postulation was premised on the idea that once African countries acquired capital and learned technology and cultural attributes of the developed West, development would then take place (Carden and Hall 2010). The main thrust of modernisation theory was premised on the assumption that acquiring the values, attitudes, behaviours, capital and technologies of the developed world, is the road to economic growth and development (Lewis 1954).

Rostow (1960) theorised that the reason for development and underdevelopment is that the European, and indeed Western countries, had travelled a historical path which involved shedding their cultures from traditional to modern which the developing countries were yet to do. This means that until developing countries like Africa go through the five stages of economic growth as outlined in the thesis of Rostow, development will continue to elude them (Rostow 1960). This view was corroborated by others in the West like W. Arthur Lewis (1954) and David C. McClelland (1964) who theorised that it is the cultural values and attributes of the developing countries which constitutes impediments to development. This means that until the attitudes and values of

the West are copied and imitated, development will elude developing countries of the world such as Africa (Lewis 1954; McClelland 1964).

The central thrust of modernisation theory is the prognosis that Western values and practices are the basis for modernising the non-European and developing parts of the world (Rostow 1960; Lewis 1955; Parsons 1937). Modernisation is the term used to describe the transition from the traditional society of the past to modern society as it is found today in the West. For developing countries in Africa, this means that they have to go through the same historical trajectory as Europe in order to achieve modernisation and development (Mabogunje 2000). Mbaku (2004) is of the view that modernisation theory is actually a summation of an idea which believes that by introducing modern methods in technology and science, concentrating on agricultural production for trade and exports, and focusing on industrialisation that is dependent on a mobile and cheap labour force; developing countries will experience rapid economic growth and development (Bonvillain 2001). The chief proponents of this theory are of the view that the rest of the world needs to imitate the Western model of modernity, progress and development and then impose it on their societies in order for growth and development to take place (Rostow 1960; Lewis 1955).

It is important to emphasise that modernisation theory was very dominant in the 1950s and 1960s as it was assumed that the absence of development in the developing countries of the world we embedded in the traditional values of those countries. It was also incumbent upon the developing countries to adopt the 'modern' ways and 'behaviours' of Western society which were elaborated in the modernisation theory. This narrative was fleshed out by Talcott Parson's (1967) formulation of five sets of pattern variables which clearly showed the differences between traditional and modern societies. In these patterns Parsons argued that the lack of development in developing countries of the world was a consequence of their traditional way of doing things; unlike the modern way and system of the developed Western societies which helped them to engender development (Parsons 1967).

These views were further accentuated by Huntington (1971:285) who was undoubtedly one of the chief advocates of the modernisation theory, offering a clear prism through which development and underdevelopment can be understood, investigated and explained " the proponents of modernization theory pointed out that the concepts of modernity and tradition was central to post-war modernization theory" (Huntington 1971: 285).

It is important that a broad view of the intellectual roots of the modernisation theory should be taken further. As a result of the rapid technological and economical progress and development of European societies in the 19th century, the enlightenment philosophers proposed that it was modernity and reformation of the cultural attributes of the European societies that served as an elixir to the

economic growth and development of their societies (Mills 1848; Smith 1982). They equated it to modernity and this belief fostered by the enlightenment philosophers, subsequently placed European societies at the pinnacle of cultural achievement and social development, and in the process relegated other societies and other cultures to lower 'stages' of development, Africans were labelled 'savage', 'barbaric' and 'primitive' (Schech and Haggis 2000). This proposition implied that other non-western societies like Africa contain cultural attributes which inhibit economic growth and development (Mills 1848; Smith 1982).

This debate was also given prominence by Weber (1958) and Tonnies (1887) when they distinguished between *gemeinschaft* (community) and *gesellschaft* (society) as a way of understanding different ways of human integration and interaction which is occasioned by their cultures. One of the founding fathers of sociology Emile Durkheim (1893) held a similar world-view to Tonnies (1887) and Weber (1922) on the intrinsic role of culture on development. Durkheim's (1893) analysis that there are two different kinds of bonds between people: mechanical solidarity (*solidarité mécanique*) and organic solidarity (*solidarité organique*), was also couched in the same thought process of the European type of solidarity being superior to other societies type of solidarity (Durkheim 1893). This inferiorisation of non-western cultures partly spawned the narrative that African culture is part of the reason for the poverty and underdevelopment of the continent.

Deducing from the postulations of Weber (1922) and Tonnies (1887), a society then refers to groups held together through anonymous, rule-bound, more transparent formal contracts and universalistic principles. These types of societies are exemplified by the European societies and since these forms of interactions or integration foster development according to the theorists, it explains the technological advancement and economic progress of European societies. On the other hand, they referred to community as a form of collective life in which people are tied together through tradition, interpersonal contacts and informal relationships (Weber 1922; Tonnies 1887).

Embedded in this argument of Tonnies (1887) and Weber (1922) is the notion that modern society empowers the individual to take actions and decisions that will prosper or protect his/her interests and he/she can then set up structures and means to protect himself/herself from the vagaries of weather, governments, greed and the selfishness of others. While the modern trait and culture frees the individual, the traditional trait which is characterised by the community governs individuals, by controlling and influencing their perceptions of the world, their values, actions and even the way they conduct their business. It means that this type of modern interaction which is a byproduct of European culture, contributed immensely to the growth and development of European societies

while the community type of interaction, which is an offshoot of African culture, contributed to poverty and underdevelopment of the continent.

Myrdal (1968) in his notable work *Asian Drama: An Inquiry into the Poverty of Nations* held that culture is a very crucial variable in enhancing the modernisation of a society or its impoverishment. This is because cultures are the carriers of values which influence entrepreneurial decisions, investment behaviors and attitudes to business, and other things that relate to commerce and industry. This is how he put it “the conflict between articulated specific traditional valuations and the modernisation ideals can be expressed in terms of the costs to the latter through lost opportunities” (Myrdal 1968:92–93). Lewis concurred with the sentiments of Myrdal when he proposed in *The Theory of Economic Growth* (1955), that culture has a very important role to play in engendering commercial instincts, behaviors and attitudes in an individual and it has a concomitant effect on the society as a whole. Lewis (1955) opined that “economic growth depends on attitudes to work, to wealth, to thrift, to having children, to invention, to strangers, to adventure, and so on, and all these attitudes flow from deep springs in the human mind” (Lewis 1955:14).

More evidence of the relationship between culture and development in literature can be found in the work of the Italian sociologist Edward Banfield (1958) who was befuddled with the disparity in the rate of economic growth between Northern and Southern Italy in the 1950s. Banfield was one of the first to advance a cultural strain in underdevelopment occasioned by his years growing up as a poor child in Southern Italy. In his classic book, *The Moral Basis of a Backward Society* Banfield (1958:8) wrote that the underdevelopment of Southern Italy is as a result of the unguided pursuit of narrow self-interest and rampant greed by its inhabitants, a condition he labels ‘amoral familism’. This amoral familism he believed is rooted in the culture of the people and community and as such inhibits their developmental effort (Banfield 1958:8). Elaborating more on this narrative, Putnam (1993) expounded on the work of Banfield decades earlier by his evidenced based study where he posited that those regions of Italy, like Northern Italy, which had city state administrative structures centuries ago, had more socio-economic development than those regions of Southern Italy where city state administration was absent. This means that the cultural habits of people in the regions are different and it influences their economic performance (Putnam 1993).

There is also a view in which Harrison who spent years in South America as an official of the United States Agency for International Development, observed the reason for the poverty and underdevelopment in the region. He noted that: “It is culture that principally explains, in most cases, why some countries develop more rapidly and equitably than others” (Harrison 1985:16). The corner stone of his thesis on the relationship between culture and development was succinctly

captured in his argument where he maintained that some cultures contained values that engender progress while some cultures contained values that inhibit progress. Harrison (1985:16) explained that cultures have an impact on certain aspects of an individual or community's life, like work ethics, education, merit, justice, authority and secularism, and invariably these aspects have a concomitant effect on the overall development of the community or country (Harrison 1997:32). Hall and Hall (1990:3) in their own study and analysis of the relationship between culture and development postulate that culture can be likened to a giant complicated computer which guides and determines to a large extent the actions and responses of human beings in many facets of life.

It was assumed by some in the West (though erroneously) that modernisation theory was the result of a gradually deepening perception of the obstacles in the way of rapid growth in the former colonies of Africa, and that new ways had to be found to tackle those obstacles which inhibited growth and production in traditional societies (Leys 1995:110). Amongst the adherents of modernisation theory, some considered a shortage of human capital in the form of an educated workforce, and physical capital in the form of machines, equipment and buildings, as the only stumbling blocks to the reduction of poverty and underdevelopment in the developing countries of the world (Millikan and Rostow 1957). It is unfathomable how development can be equated with machines and technology, instead of seeking new ways of improving human welfare and enhancing the opportunities of poor and vulnerable members of the population. This dissonance between idea and reality in modernisation theory, which did not conform to the socio-cultural milieu of the continent, created a lacuna for most of the political leaders to neglect the role of good governance in development, and centralised all decision making processes in the presidency. As a result, African countries were characterised by personal and patrimonial rule and its concomitant effects, namely poor governance, poverty and underdevelopment.

Modernisation theory gained international prominence and popularity after WW II and it evokes the sentiment that the technological, intellectual, cultural and economic progress of the developing countries of the world should be regurgitated, swallowed hook, line and sinker, imbibed and followed by the underdeveloped parts of the world if they are ever desirous of entering into modernity from their traditional way of life and existence. Huntington (1971), one of the main intellectual brains behind the theory elaborates further on the efficacy of modernisation theory during the transition from tradition to modern societies for those in the underdeveloped parts of world: "These categories were, of course, the latest manifestations of a Great Dichotomy between more primitive and more advanced societies which has been a common feature of Western social thought for the past one hundred years" (Huntington 1971:285).

A CRITIQUE OF THE CULTURE AND DEVELOPMENT DISCOURSE

Mitt Romney the former Republican presidential candidate against Barack Obama in 2012 made a comment which triggered a controversy in the culture and development debate during his visit to the State of Israel on his worldwide tour as part of his presidential campaign, with his comment that the economic backwardness and the underdevelopment of the Palestinians is a product of their 'culture' (Sherwood 2012). The Palestinian leadership is not innocent in the poverty and underdevelopment of their people as poor governance, which is evident through corruption, nepotism and cronyism, straddles the whole of the Palestinian political elite and leadership. But the poor governance of the Palestinian leadership is exacerbated by the 'economic apartheid' imposed by Israel which makes good governance almost impossible. Without good governance which entails good policies, development remains a mirage (Zakaria 2012).

One of the fiercest criticisms ever directed at the cultural narrative was the one provided by *Washington Post* columnist Fareed Zakaria (2012), in a response to the comment made by the former Republican presidential aspirant Mitt Romney that the economic disparities between Israel and the Palestinians is attributable to the contrast in the cultures of the two countries. Zakaria opined that in the original work of Weber (2002) he pin-pointed two cultures as being susceptible to poverty and underdevelopment Japan and China. This was the world-view of the German sociologist at the time, but today, Japan is one of the most sophisticated and advanced economies in the world and China has been the fastest growing economy in the world for over thirty years. This example from the original work of Weber means that the cultural narrative is a weak ideological tool if used to explain the absence of development in Africa (Zakaria 2012).

Another weak point in Weber's (1958) work is that he argued that development is much easier in Protestant countries like Germany and the United Kingdom, but then again, Catholic countries like France, Italy and Spain when they started their economic changes and transformation. The goal post was again shifted by the proponents of the cultural narrative to be now characterised as Christian ethics and the spirit of capitalism (Zakaria 2012). Cultures are dynamic and keep on changing over time depending on the policies and an institution surrounding them (Mbakogu 2004). This is the reason the type of Japanese culture Weber envisaged at the start of the 19th century was drastically changed when good governance and sound economic policies were instituted by their governments. Immediately the Japanese economy improved against the dire predictions of cultural apologists who opined that the Confucian deference

to elders is an impediment to economic growth and development and spreads to the rest of Asia starting in South Korea, to Singapore, Taiwan, Malaysia and almost the whole of South East Asia. The economic growth contagion is still on its way on the whole Asian continent (Shixue 2003).

Coming back to the Israeli example, Mitt Romney the former Republican presidential aspirant also conveniently forgot the deplorable state of the Israeli economy in the 1980s which was characterised by inefficiency, waste and underdevelopment until the current Prime Minister in his first term as Premier in the 1990s instituted sound economic policies that ultimately led to the rise of Israel as an economic superpower in the Middle East. This proves that change in the economic trajectory of a country lies not in the lottery of good culture but in sound policies (Sherwood 2012).

Culture and development is one of the central themes explored by Clark (2008) in his book, *Farewell to Alms; A Brief Economic History of the World*. In his book Clark (2008) argued that many forgot that the Industrial Revolution occurred in Britain because of the good political environments which were the gains of the Glorious Revolutions of the 16th century. He opined that the ground was ripe for industrial revolution in Britain and not anywhere else in the world because stable political and economic institutions, a trusted legal system, secure land system and a functioning market system, were the fruits of the Glorious Revolution. It was not the British culture that made the industrial revolution germinate in the country, it was good policies because the industrial revolution would not have been possible in the hitherto existing scheme of things (Clark 2008).

The cultural thesis was also readjusted again when it became apparent that an Asian country like Japan is on the road to top economic growth, development and prosperity contrary to Weber's view in his thesis that Asian cultures and development are not compatible. This means the Eurocentric and Western world view on culture and development was reshaped in order to explain away the Japanese miracle. Japanese cultural norms, traditions and values from its ancient Samurai heritage to its family oriented and community centred model of conducting and organising business—was analysed and critically acclaimed in the West as the engine block of the country's economic growth and development. This same cultural goal post was moved again and again when it became clear that other Asian countries; South Korea, Taiwan, Hong Kong, and Singapore started undergoing unprecedented economic growth and development. The main crux of the thesis on culture and development changed again to say that Confucianism was an important driver of economic growth and development in those countries (Zakaria 2012).

Modernisation theory helped to foster state weakness in Africa, as economic decisions were based on the personal interests of rulers and their close allies,

and not on the country's best interests. Many writers in the field of African politics and development believed that personalisation of state resources by those in power continues to act as an impediment to growth and development in Africa, and if Africa is to witness a new dawn in terms of its development, there has to be good governance in the African polity (Zolberg 1966; Hyden 1983; Sandbrook 1985; Young 1988).

It has to be noted that the reason African leaders adopted this highly centralised and Western idea, which is not tailored to African conditions, was because it helped to guarantee their hold on power, and modernisation theory enabled them to rule unencumbered by parliamentary or judicial oversights (Mabogunje 2000:1400). African political leaders did not adopt this theory because of its validity or efficacy, but rather because it helped them to centralise decision making and assuaged their hunger for power and state resources (Young 1988).

The deleterious impact of modernisation theory on African socio-economic development was that it led to over-concentration of power in the hands of the State, and created opportunities for corrupt civil servants to acquire wealth through being in control of the granting of various state licences for the importation of technologies etc. According to Rasheed (1996): "The states and their overextended control over economic matters, the imposition of extensive regulations and controls and the exclusive and arbitrary licensing and approval powers with which public officials are invested in such situations have created ample opportunities for the abuse of office for personal gain" (Rasheed 1996: 116).

There is an overwhelming consensus in the development literature that good governance is paramount for any country that desires to stimulate economic development, alleviate poverty and create jobs (Sandbrook 1985:33–34; Friedman 2006:398). It is important to be aware of the fact that in order for developing countries to alleviate poverty and underdevelopment, states must create an environment that includes the following: security of property, political stability, social harmony, and a respected legal code that protects the rights of the owners (Sandbrook 1985:33–34; Friedman 2006:138).

Modernisation theory was premised on flawed assumptions that were Eurocentric, Western and caused the post-colonial leaders of Africa to neglect or even appropriate the bureaucracy in their countries, while not recognising its crucial role in growth and development in other parts of the world (Mabogunje 2000). There are certain infrastructures which every state must provide in order for development to be achieved in its country—the State has to provide infrastructure such as roads, ports, airports, railways, electricity, water and telecommunications, as well as a well-educated and skilled labour force (Heleta 2007).

It is no coincidence that when political leaders in Africa neglected institutional bottlenecks that would have helped to reduce the costs of doing business in their countries in favour of building dams, bridges and steel mines which they could not maintain. Therefore it seems as if many countries in Africa seem to lack the technical and technological wherewithal to properly manage these complexities in their industries, it spelt doom for modernisation theory in Africa. According to Friedman (1962) economic freedom went hand-in-hand with economic development, and this lack of economic freedom as a result of poor governance in Africa retarded the continent's growth and development.

GOOD GOVERNANCE IS THE KEY TO DEVELOPMENT IN AFRICA—BOTSWANA'S EXAMPLE

Mills and Herbst (2012) explained that Botswana offers poignant lessons for policy makers in Africa and experts on African poverty and underdevelopment that it is not culture but poor governance that inhibits growth and development on the continent. Mills and Herbst (2012) opined that at independence, 75% of the country's 592 000 square kilometres was desert and 80% of its largely illiterate population lived on 25% of the land. The dominant narrative in Europe then was that Botswana will definitely reach the nadir of poverty and underdevelopment within five years of independence (Mills and Herbst 2012). Against all odds and with 'good governance' (Grindle 2010), the country made giant strides from 1966 to 1986, and economic growth was on average 8% per annum and the economy even grew at 14% in some years and GDP was ten times what it had been in 1979 (Ukwandu 2014).

The reforms were so remarkable that in Africa today, Botswana is in a different league than many other countries in Africa in terms of alleviation of poverty and development. It is on record that by the early 2000s, the country's GDP per capita had risen to \$4 500 per capita and exports had grown from about \$2 million at independence to 2 billion in 2007, while formal sector employment rose to 300 000 in 2004, and there are now 10 000 kilometres of tarmaced road in the country (Ukwandu 2014:225).

The transformation of the Southern African country of Botswana from an economic backwater at independence into a prosperous and democratic country decades after independence shows that there is nothing in African culture that retards development. The greatest impediment to economic growth and development in Africa has been bad governance (Sandbrook 1985). At independence in 1966, Botswana was one of the poorest countries in Africa and indeed in the world, with a per capita income of \$70, and the majority of its people depended on subsistence agriculture for survival (Mills

2010). The country possessed only 10 kilometres of tarmaced road and had less than 30 000 people with salaried employment, as well as around 50 university graduates (Mills 2010). The case of Botswana is a good illustration of the crucial role of good governance in changing the development outcomes of a country. Botswana faced the same challenges as many countries in Africa, such as the devastating effects of colonialism and neo-colonialism, and also had single commodity (diamond) dependence, like Nigeria and Gabon with oil, Ivory Coast and Ghana with cocoa, and Zambia with copper, etc. The country overcame those hurdles thanks largely to their political leaders, who undertook to reform the bureaucracy and judiciary in order to imbue it with the principles and virtues of good governance.

If the case of Botswana is compared with its neighbour Zimbabwe the cultural narrative will be metaphorically speaking dead in the water as the three decades of Robert Mugabe's dictatorship and his disastrous land reform policy has plunged the erstwhile food producer of the region into a desperately poor country now seeking food aid (Mills 2010). The divergence of the economic fates of Botswana and Zimbabwe brings to the fore that socio-economic developments depend entirely on good policies and not on culture. Now that Mugabe and his ZANU-PF's cronies have plundered the once prosperous country, the rhetoric from the political elites in Harare is about the evils of British colonial rule. It is ironic that the same British colonisers were also in Botswana (Ukwandu 2014).

CONCLUSIONS AND LESSONS FOR POLICY MAKERS IN SUB-SAHARAN AFRICA ON HOW TO PROMOTE DEVELOPMENT

It is true that people's behaviour, values and attitudes vary across different regions and different cultures. In a multicultural country like Nigeria, the behaviour and cultural attributes of people from mostly the Christian South Eastern part of the country is very different from that of people from the mostly Muslim parts of the North. The cultural attributes of Africans are not the same as that of people from the mostly Catholic countries of South America who were greatly influenced by their Iberian colonial history. Culture indeed influences the behaviour of people but the extent of the cultural influence on economic growth and development has been exaggerated in the literature as it was clearly shown in this article that with good policies and good governance countries can indeed develop.

Grand theories or undue generalisation of the cultural role in development is unhelpful and so is the idea of totally dismissing the cultural influence in

encouraging entrepreneurs. The central thrust of this article is that policy makers on the continent should concentrate on creating an enabling environment as shown in the example of Botswana instead of paying undue attention to the cultural narrative as these theories seek to find a cultural explanation for the development of countries. Marx Weber seeks to find the reason for the development of Germany and Britain and he attributed it to the Protestant ethics, but when Catholic countries made enormous socio-economic strides, the thesis was reshaped and retooled to mean Christian ethics and the spirit of capitalism. The two countries (Japan and China) Weber used in his narrative as countries where the cultures were impediments to development have changed enormously over the decades. Even the much derided Asian curse at the turn of the century, is now reversed as the Asian miracle, as much of Asia including South Korea, Malaysia, Taiwan, etc. have followed in the footsteps of Japan. Africa's development is only feasible with sound policies (Weber 1922; Weber 2002).

Poverty and underdevelopment is widespread in Africa because poor governance is the bane of development on the continent and because absolute monopolisation of political power inevitably translates into substantial economic powers (Reno 1998; Ayittey 1999). The political leaders and the policy makers have not made sound decisions and that is why the continent is poor. Once Africa gets its economic policies right, the continent will be on the path to not only economic growth but development.

Weber (1964) noted that the dominance of a 'political sultan' or 'chief' in many developing countries specifically sub-Saharan Africa, who enact economic decisions to enrich or assuage personal allies and cronies, instead of rooting the operations of government in clearly mapped out rules and regulations with the national interest in mind, is the main cause of the poverty and underdevelopment in those countries. Ayittey (1999) shared this sentiment when he posited that variants of a 'political sultan' are endemic in Africa, and that this results in poor governance in many ways, 'that the monopolisation of political power by one individual, the grotesque forms of being president-for-life and military dictatorship', coupled with state hegemony in the economy and direction of economic activity, is the cause of the underdevelopment in Africa.

This narrative of bad governance being the cause of poverty and underdevelopment in Africa was sufficiently underscored by researchers who bemoaned the way bureaucratic authoritarianism expresses itself and reproduces poor governance in developing countries, especially those in Africa (Sandbrook 1986; Riggs 1964). This was further accentuated in the 'theory of prismatic society', otherwise referred to as the 'sala model of bureaucracy', where it was stated that this is the common mode of governance in many developing countries especially in Africa and it is indeed the main cause of

economic stagnation. This anomaly occurs by various means, such as lack of accountability and corruption on the part of public servants, and absence of clear goals and priorities in development policies (Riggs 1964).

Finally, Africa can indeed develop like the rest of the world only with the right economic policies. The most important lesson countries in sub-Saharan Africa can learn from the transformation of Botswana is that it is good policies that spur development. There is nothing in the African culture that is a hindrance to economic growth and development. Culture is a very dynamic construct as even the cultural habits of the German people in the 19th century when Weber was writing about the Protestant ethics, are not the same today. The dynamism of culture means that African cultures will continue to adapt to the changing economic landscape of the continent, but the role of good policies is sacrosanct to development.

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Responsiveness of Community Participation and Action Support Unit's activities to local communities' needs

A case of eThekweni Municipality

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ABSTRACT

Community participation by departments in local government have neglected their constitutional responsibility of consulting and influencing participation of the local communities in municipal governance, which has made them (local communities) inactive. This study investigates the responsiveness of the Community Participation and Action Support (CP and AS) Unit employee activities in terms of meeting both municipal and local community needs and identifying their impediments to executing them. This study adopted a qualitative approach whereby in-depth interviews were conducted by the researcher with a sample of 23 CP and AS unit employees. The findings of the study were analysed using NVivo software (version 10). The study revealed contradictory findings in that the majority of the research participants reported their function as coordinating and managing municipal programmes, although they claimed that these programmes were malfunctioning. The study findings showed less activities performed relating to capacity development, communicating with stakeholders, partnership, monitoring and evaluation as well as the implementation of programmes. This, even though the latter programmes form the cornerstone of the existence of community participation departments in municipalities. Furthermore, challenges advanced by the research participants were lack of human resources capacity, excessive

political interference and malfunctioning of programmes. Understanding the extent to which CP and AS activities respond to their stakeholders and their impediments to execute them can enhance public participation, acceptability, accountability, ownership by local communities and smooth implementation of the council programmes. This study will contribute to the body of knowledge as there is a scarcity of published data relating to functioning of the community participation departments in local government, as well as their responsiveness to local communities.

INTRODUCTION

Local government departments that have been mandated to execute the core values of democracy of public participation have been perceived to be failing due to the lack of information being disseminated to local communities, malfunctioning of programmes and human resources incapacity. Madzivhandila and Maloka (2014:652) argue that municipalities must play a significant role in promoting democracy and ensuring that communities participate in decisions that affect them directly. According to Craythorne (2006:314), a municipality has a duty to communicate certain information to its community. According to Shaidi (2007:46), public participation and consultation in South Africa is a legislative imperative as well as a core value of democracy. The study conducted amongst civil society organisations in the Cape Town Metropolitan area by McEwan (2003:16–17) revealed that the lack of information is seen by most to be important in restricting their participation. While, Mafunisa (2010) cites public meetings and hearings, consultative sessions with locally recognised civil society and traditional authorities as being listed as legislated functions to be performed by community participation units or departments in municipalities. According to Williams (2006:197), community participation should be understood as the direct involvement of the community in the planning, governance and overall development programmes at local or within the local government level. Community participation is defined as an active process of organising communities to take part in the socio-economic and political activities of their locality, making them effective participants and beneficiaries of collective decisions that have been taken and executed (Nsingo and Kuye 2005). Gibson (2006:7) states that community participation happens when ordinary citizens come together, deliberate and take action collectively to address problems. Section 108 of the eThekweni Municipality Community Participation Policy (RSA 2006) indicates that units shall notify

the CP and AS Unit of issues, projects or programmes where communities or stakeholders are required to participate. Mbambo and Tshishonga (2008) aver that community participation provides opportunities for the community to express their views in development projects. Thus, the planning and implementation of these projects should be accepted only after considerable discussion and consultation with communities. While this study is informed by arguments raised above, it extends these by investigating whether the activities performed by the CP and AS Unit employees within the eThekweni Municipality are responsive to local community needs. This study is guided by the following research question:

- To what extent are activities of the CP and AS Unit responding to municipal and local community needs and what factors are seen to influence the extent of responsiveness?

Furthermore, the primary objectives of this study are, *inter alia*:

- To investigate the responsiveness of the CP and AS staff activities to municipal and local community needs; and
- To investigate the challenges which are encountered when executing these activities.

The next section covers the literature review and research design, followed by the discussion and conclusion of the study.

LITERATURE REVIEW

Community participation and communication in local government

The cornerstone of good governance, which is public participation in municipal activities, has been seen to be overlooked by staff members of the community participation department who failed to communicate the details of council programmes to local communities and civil society. Community participation, that is, the direct involvement or engagement of ordinary people in the affairs of planning, governance and overall development programmes at local or grassroots level has become an integral part of democratic practice in recent years (Madzivhandila and Asha 2012). While, Nzimakwe and Reddy (2008) argue that community participation form part of domestic engagement and citizenship which is fundamental to the principle of good local governance. Formal channels for communication and engagement between citizens and government are believed to be essential for ensuring efficient and responsive

government (Ballard 2008; Ndevu 2011). These municipal programmes include Grant-in-Aid which is implemented with the purpose to provide support to organisations and bodies, thereby enabling them to understand actions and services to improve the standard of living of the communities, resulting in an improvement in the quality of life for those communities. Another programme is Masakhane Programme which ensures that communities understand council programmes and know their responsibilities towards the municipality (Timm, Jadwat and Sippel 1998). The main problem identified from research findings and highlighted in the eThekweni Municipality community Participation Policy (RSA 2006:3) is the unresponsive system of governance where there is ineffective communication between councillors, officials and community members. The above researchers touch on the factors that discourage communities to participate in municipal governance and their arguments and prescripts have been used to guide this study.

Institutional framework: Community participation

The excessive politicisation of the municipal departments has directly contravened different South African prescripts by undermining the core values of democracy engagement and public participation of local communities and civil society. Different prescripts such as the *Constitution of the Republic of South Africa* of 1996, the *Local Government: Municipal Systems Act* of 2000 (Act 32 of 2000); the *Local Government: Municipal Structures Act* of 1998 (Act 117 of 1998) and the *White Paper on Local Government* (RSA, 1998) have mandated municipalities to involve local communities, civil society and traditional leaders in their daily activities and processes, thus promoting economic development. Section 152 (1)(e) of the *Constitution of the Republic of South Africa* of 1996 sets out the objective of local government which is to encourage the involvement of communities and community organisations in the matters of local government. Section 152(a) of the Constitution suggests that "A municipality must structure and manage its administration, budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community". This is supported by the *Local Government: Municipal Systems Act* of 2000 (Act 1187 of 2000) which states that municipalities provide for the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities. The eThekweni Municipality Community Participation Policy (RSA, 2006:14) cites the following undesirable effects that lead in the failure of proper community participation:

- lack of effective mechanisms of communication between the councillors, officials and the communities;

- local government does not consult with the people when making decisions regarding crucial matters; and
- people at the grassroots level do not have knowledge of how government structures function.

This article is guided by the above legislations; however, it further investigates whether appointed CP and AS Unit officials' activities are guided by their core business and legislations that require direct contact between local communities and municipalities.

The *Local Government: Municipal Systems Act's* (RSA, 2000) additional primary purpose is to define the legal nature of a municipality as including the local community within the municipal area and working in partnership with the municipality's political and administrative structures. This Act further aims to provide for community participation, thereby ensuring universal access to essential services that are affordable to all. Programme 7.4 of the eThekweni Municipality: DRAFT Integrated Development Plan (RSA 2014/2015:236) indicates that the Municipality is committed to ensuring that all citizens and customers are well informed and are partners in the process of development. The importance assigned to community participation in all spheres of the IDP process reflects the concepts of bringing government to the people and active public participation in socio-economic development (McEwan 2003:9). Community participation and IDP are seen as locally based planning instruments that could enable municipalities and communities to respond to poverty, unemployment and inequality (Govender and Reddy 2011). Section 16 (1)(b)(i) of *the Local Government: Municipal Systems Act* (RSA 2000) contributes to building the capacity of local community to enable it to participate in the affairs of the municipality. Section 68 (1) of this Act states that a municipality must develop its human resource capacity to a level that enables it to perform its functions and exercise its powers in an economical, effective, efficient and accountable way. Furthermore, this purpose must comply with the *Skills Development Act* of 1998, and the *Skills Development Levies Act* of 1999. This study is aligned to the previous provisions in that it investigates the extent to which partnerships and relationships are developed by CP and AS Unit staff members with their local communities.

Capacity building programmes: A local government perspective

Although staff members of community participation departments within municipalities tend to possess sound political parties capabilities, they often tend to lack personal, interpersonal, cognitive or intellectual capabilities required in these positions. In order for the local government to be effective

and to maintain its infrastructure, it requires skills and experience and in the current situation it is alleged that many public servants in the municipalities lack skills, are inexperienced and in many instances are chosen for these positions as a result of nepotism (Mafunisa 2010:564). This is supported by Ngcamu (2013:22) and Mle and Maclean (2011:1344) who asserts that the South African sphere of local government is often embroiled in a polluted political landscape characterised by tender rigging, nepotism, corruption, sex in exchange for formal employment opportunities and the mushrooming of fly-by-night politicians, all of which directly affect the smooth functioning of customer care centres within the eThekweni Metropolitan Municipality. Ramjee and Van Donk (2011:20) argue that the current local government crisis, chiefly characterised by lack of community participation, corruption and poor service delivery, has been accounted for as an issue of a lack of technical skills and a lack of properly trained personnel at local government level. This study is also aligned with the arguments advanced by the researchers above, while it specifically targets individual departments within the municipality relating to the competencies which they possess and whether these respond to the needs of local communities.

Programme management: A local government perspective

Failure to involve local communities during all stages of municipal activities has contributed to the malfunctioning of programmes and a lack of beneficial intended outcomes. Williams (2006:197) calls it “spectator politics, where ordinary people have mostly become endorsees of pre-designed planning programmes, often the objects of administrative manipulation”. It is thus in part this inability of the public to be involved in or impact actual decision-making that results in an ineffective government and a frustrated citizenry (Malabela and Ally 2011:1). The study conducted amongst civil society organisations in the Cape Town Metropolitan area by McEwan (2003:16–17) revealed that most interviewees articulated the importance of community involvement in all stages of development projects, from needs assessment to project planning, budgeting, implementation and monitoring and evaluation. The study conducted on two Stellenbosch municipalities revealed that evidence-driven performance, the monitoring and evaluation of programmes and projects, and the mitigation of red-tape and political encumbrances on the administration and community participation were not found among the objectives for performance management (Uys and Jesa 2013:113). This study is informed by the views of the researchers above as it questions the unit’s project management activities, which involve local communities.

Community-driven policy formulation and implementation

Sounds and potentially effective policies introduced by local government have been misunderstood by civil servants due to a lack of policy analytical skills, resulting in the implementation of policies and communication with local communities being hampered. Tshishonga and Mafema (2010) argue that in an attempt to mitigate the ripple effects of the lack of development and service delivery, a myriad of public policies, as well as development programmes, were introduced and implemented by the post-colonial and post-apartheid national regimes. Policies are therefore designed to tackle and solve problems (Hill 2009:6). Insufficient coordination of policy implementation is cited in virtually all sectors, and has significantly hampered the implementation of policies. Khosa (2003:49) suggests that there is a need to close the gap between policy formulation and implementation in South Africa, as discrepancies between policy formulation and implementation are largely caused by unrealistic policies, and a lack of managerial expertise. Brynard (2009:313) argues that the successful implementation of policies requires other critical elements such as citizens' expectations and participation. This study further questions whether local government policies are communicated to local communities by CP and AS Unit staff members.

Politics-Administration dichotomy: Municipality viewpoint

The municipal staff members who also occupy political branch or regional positions tend to have latitude on exercising both powers to realise personal and political mandates by mixing local government and political processes. Svava (1998:51–52) holds that the Politics-Administration dichotomy model, where city councils do not get involved in administration and city managers, having no involvement in shaping policies, efficiently and effectively carry out the policies of the council. Montjoy and Watson (1995) express the view also held by many practitioners that the politics-administration dichotomy model is useful because it provides a rationale for insulating the practice of public administration from political interference. This is confirmed by the *State of Local Government Report in South Africa* (2008:10) that the reasons for distress in municipal governance are as a result of insufficient separations of powers between political parties and municipal councils.

It is a requirement in Section 53 (5)(a) of the *Local Government: Municipal Systems Act* of 2000 that the municipality must determine the roles and areas of responsibility of elected representatives and of the municipal manager concerning lines of accountability and the interaction between the two (Mafunisa, 2010:554). Mulgan (2006:5) suggests that in order to be able to offer the same degree of loyal service to the governance of differing political

persuasions, professional public servants are expected to maintain a certain distance from the concerns of their political masters. The Presidential Review Commission (1998:7) asserts that one of the key weaknesses in the system of governance is the uncertainty and confusion about the roles and responsibilities of political office bearers and their administrative heads of departments. Professionalisation will also insulate employees from undue political and public pressures; facilitate communication and innovation in the municipality; breed professional loyalty; provide worker satisfaction and increase the undertaking of the responsibilities of employees (Mafunisa 2001:326). This study is informed by the arguments advanced by the researches above and further extends by interrogating CP and AS staff members and their challenges regarding the interference of the political bodies in their daily activities.

RESEARCH METHODOLOGY

Research approach

This study adopted qualitative research interviews (King 2004) as this method permitted data collection of an interactive nature and analysis that revealed important themes, patterns and relationships. Non-probability purposive or judgmental sampling was used in this study as it enabled the researcher to use judgment to select cases that will best answer the research question(s) and meet objectives (Anderson, Herr and Nihlen 2007:230). The researcher targeted the population of 35 research participants from the Community Participation and Action Support (CP and AS) Unit whereby 23 consented to participate in this study, thus generating a response rate of 66%. These subjects were selected on the basis of the position they occupies—with the assumption that they were appointed in these positions because they possess the necessary qualities. The research participants were constituted of the middle and junior managers within the unit, including coordinators, managers and senior managers. The data was collected through in-depth interviews and was administered to the respondents by the researcher, based on their willingness to participate in the research without breach of confidentiality. Thus, the researcher documented all deliberations gleaned from the in-depth interviews and produced a summary of the themes, as per their daily activities which they performed and the challenges thereof. The data was captured on the qualitative analytical software (NVivo version 10) where themes were developed in the form of nodes. The decision to make use of NVivo was taken as it is designed to facilitate common qualitative techniques for organising, analysing and sharing data (Wong 2008:15). The total coverage percentage indicates how much of the source content was coded at a particular node or theme.

Research findings

The research findings have revealed vast gaps on the activities performed by the research participants which were less municipal and community focussed, necessitating the realignment of the entire CP and AS unit.

Table 1: Activities performed by CP and AS staff members

Activities	Total coverage %
Coordinating programmes	9.41%
Programme management	5.80%
Capacity development	3.71%
Communicating with stakeholders	1.42%
Monitoring and evaluation of programmes	1.32%
Partnership with stakeholders	0.62%
Implementation of programmes	0.30%

Table 1 shows that the research participants were generally engaged in coordinating programmes, as evidenced by the highest total coverage of 9.41%, as compared to other lowest activities. These coordinated programmes included poverty alleviation, gender, policies, disability, Grant-In-Aid (GIA) and Masakhane. The next highest activities being performed by the research participants related to the management of programmes including Masakhane, GIA, fixed assets, fleet, finances and storeroom, with the total coverage of 5.80%. Another activity performed by the research participants, with the total coverage of 3.71%, related to capacity development which included conducting capacity building programmes, training staff on fleet control and ward committees. Communicating with the stakeholders was noted to be amongst the group of least commonly performed activities, with the total coverage of 1.42%, which includes liaising with councillors and traditional leaders. The lowest activities performed related to the monitoring and evaluation of council programmes (1.32%) and partnerships with various government departments, both internal and external (0.62%). Table 1 further reveals that activities relating to the implementation of programmes reflected the lowest coverage of 0.30%.

The researcher requested that the respondents identify challenges that have the potential to restrict them from performing their primary functions, as stated in their job descriptions. Their responses were categoried into the following themes or nodes as generated through NVivo: capacity development,

human resources, interpersonal relations, policies, political interference, poor communication and programmes/projects.

Table 2: CP and AS challenges

Challenges	Total coverage %
Human resources	8.54%
Malfunctioning of programmes	5.69%
Political interference	3.27%
Capacity development	2.60%
Poor communication	1.25%
Policy formulation and implementation	1.28%
Poor interpersonal relations	0.39%

Table 2 reveals human resources challenges having the highest total coverage of 8.54%, as compared to other challenges observed in this study. These included absenteeism, late coming, unethical behaviour, dishonesty, fragmented reporting lines and marginalisation of managers during the recruitment and selection processes. The next highest total coverage of the challenges was based on the malfunctioning of programmes (5.69%) including poverty alleviation, vulnerable groups and duplication of programmes. The third highest total coverage included political interference (3.27%) emanating from the officials serving in the structures of the ANC and manipulation of the GIA by ANC politicians. Another challenge with the least total coverage of 2.60% related to capacity development, with employees being resistant to conduct workshops and being unmotivated to attend trainings. Poor communication had the lowest total coverage of 1.25%, with specific issues being raised relating to miscommunication amongst managers and poor interdepartmental relations. Policy formulation and implementation, with 1.28% coverage, and interpersonal relations (0.39%) were regarded as the challenges least commonly faced by this unit.

DISCUSSION

The objectives of this study are to investigate the responsiveness of the CP and AS staff members' activities to the municipality's and local communities' needs, as well as to understand the impediments that have led to CP and AS's

failure to respond to these needs. The highest total coverage (9.4%) on the coordination of activities performed by the research participants was based on projects or programmes within the unit and is in disagreement with Khosa's (2003:49) argument that insufficient coordination of policy implementation has the potential to hamper its implementation in local government. The research findings showed the lowest coverage percentage (5.80%) of programme management functions performed by research participants within the unit, which was in disagreement with the findings of the study conducted by Uys and Jesa (2013) on two municipalities in Stellenbosch where it was found that programmes and projects were not amongst the objectives of performance management.

The CP and AS unit is in contradiction with the *Local Government: Municipal Systems Act* section 16 (1)(b)(i), the *Skills Development Act* and the *Skills Levies Act*, as evidenced by the small total coverage of the research participants whose activities focused on capacity building of communities (3.71%). The identification of poor communication channels, as reflected in the research findings (1.42%), is in line with claims made by Nalbandian (1999:188) that councillors are directly liaising with municipal managers or officials concerned, which has detrimentally affected lines of authority. The latter finding is also disputed by Craythorne (2006) that municipalities should communicate information with communities. The research findings on poor communication channels is inconsistent with section 18 (1) of the *Local Government: Municipal Systems Act* and violates section 23 of the eThekweni Municipality Community Participation Policy (RSA 2006) which compels the municipality to disseminate information relating to facilitating community participation. While the above mentioned researchers concur with the finding on poor communication and the inconsistency with the legal requirements, their arguments do not focus on a specific department within the municipality.

The research findings have painted a bleak picture of the role that should be played by the research participants in partnering (0.62%) with internal and external stakeholders and is in contradiction with the Municipal Systems Act's primary purpose, which emphasises the necessity of local communities partnering with both political and administrative structures. The latter findings are also in contradiction with Ismail *et al.* (1999) who state that partnerships are linked to the provision of service delivery. The challenge advanced by the research participants on policy formulation and implementation (1.28%) is in support of Khosa's (2003:49) view point that policies in South Africa are unrealistic, with a lack of managerial expertise, which is also less people driven. This is also in disagreement with Brynard (2009:313) and Nalbandian (1999) who posit that successful policy implementations require citizens' participation. Section 16 (1) of the *Local Government: Municipal System Act* permits a local

community to partake in the monitoring and evaluation of performance, whereby the CP and AS Unit management functions (1.32%) are not performing this function. The lowest total coverage on monitoring and evaluation is incongruent with Section 16(1) of the *Local Government: Municipal Systems Act* that permits local committees to monitor and evaluate performance.

The disproportionately high total coverage (8.54%) of the human resources challenges faced by the research participants, including poor professionalism and ethics, violates the White Paper on the Human Resources Management for the Public Service (RSA 1997) and the Code of Conduct for Public Servants which promotes professional, law abiding behaviour, including honesty, courtesy, punctuality and the responsible use of resources. The marginalisation of the line managers in the recruitment and selection of their subordinates was the major challenge mentioned by the research participants, which is supported by the Presidential Review Commission (1998) on the political appointments in government. The least total coverage (2.60%) of the research participants who cited irrelevant trainings offered to them is aligned with Mafunisa (2010) and Chipu's (2011) arguments that municipality lack certain scarce skills. This assertion was also supported by Ngcamu (2013:22) relating to the political appointments which were based on nepotism and sex in exchange for formal employment. Poor policy formulation and implementation (1.28%) is in accordance with Hill (2009) who cited insufficient coordination as having hampered the implementation of policies. The political interference within the unit (3.27%) is supported by the President Review Commission (1998) on the uncertainty and confusion about the roles and responsibilities of those in political office and administrators.

CONCLUSION

The article observed that staff of the CP and AS Unit were mostly coordinating and managing council programmes. It further observed that CP and AS employees showed low levels of communication with both internal and external stakeholders, which clearly indicates that council programmes were not known by local communities. Poor communication was confirmed as one of the challenges faced by the research participants. The article concludes that the unit's key activities, including monitoring and evaluation of council programmes, partnership and implementation of programmes were overlooked. Overlooking these activities has led to the malfunctioning of programmes, opened the opportunity for political interference and exacerbated the incompetency of employees. This article implies that capacity development programmes performed with local communities are poor in quality, as confirmed by the

research participants that trainings offered to them were irrelevant to their locus and focus. Furthermore, the article concludes that the existing staff members of the unit had limited skills in formulating and implementing council programmes, as a result of the lack of responsiveness to the trainings offered to them.

Both the literature reviewed and the findings of the study have suggested that eThekweni Municipality's decision-makers should initiate a process of radical reengineering of the CP and AS Unit, with the aim of clarifying its core mandate. The clarification of the core mandate should include strategic planning workshops involving all key-stakeholders (e.g. municipal and elected officials, civil society, and traditional leaders) as well as carrying out benchmarking exercises with other municipalities that could assist in providing information on how this portfolio should ideally function. This process could also include a focus on clarifying the roles and responsibilities of both municipal and elected officials in the governance of the CP and AS Unit. The limitation of this study was the paucity of published data on monitoring and evaluation of council programmes. The study is also limited from the methodological perspective and the data collected are not empirical in nature. Future studies could investigate CP and AS strategies influencing public participation by targeting local community structures, including civil society and internal units, or departments, including elected officials (councillors).

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Monitoring and evaluation in municipalities

A case study of KwaZulu-Natal Province

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ABSTRACT

The main objective of the article is to critically review the findings of an empirical survey conducted to evaluate Monitoring and Evaluation (M&E) activities in KwaZulu-Natal municipalities. There is currently a dearth of information on M&E in municipalities in the Province. There has been limited research done in this field as it is a new area of study. The main findings emanating from the survey is the existence of a significant need for a systemic approach to M&E the performance of the municipalities. It is suggested that municipalities implement the Municipal-Wide Monitoring and Evaluation System (MWMES). This system would benefit the municipalities by establishing accurate performance baseline information, generally improving service delivery, and increasing accountability and productivity. Further findings included the fact that the M&E Units should be created as the custodians of municipal governance. These findings emanating from this study could be utilised by the three spheres of government to plan and implement the M&E systems more effectively by aligning and integrating the Government-Wide Monitoring and Evaluation System (GWMES), Provincial-Wide Monitoring and Evaluation System (PWMES) and MWMES. The article further recommends that research be undertaken to investigate the current scope and details of M&E activities in municipalities as well as the M&E knowledge base of staff.

INTRODUCTION

Citizens around the globe are demanding better and more services from their governments to maintain or improve the quality of their livelihood. In South Africa, the challenge of providing basic services to previously disadvantaged communities is compounded by the ineffective service delivery practices of the previous apartheid government, which resulted in dysfunctional local service entities and backlogs in basic service delivery. Municipalities are still transforming to operate in terms of the Constitutional values and principles and find it a challenge to change from an inward autocratic culture to a more consultative citizen centered approach to service delivery (Davids 2011:3573). While the new dispensation introduced political freedom, it has not improved the quality of life of many citizens as they still live in abject poverty. Since municipalities are increasingly encountering issues such as service delivery protests, over-and under-spending of budgets, lack of capacity to undertake its mandate and poor governance that lowers their outputs, an M&E system could assist in managing its performance.

Monitoring is considered as a performance tracking process against set targets and the use of collected data to timeously correct any deviations from the set targets. Evaluation is considered as the worth or merit of the intervention to the beneficiaries when compared against the strategic objectives of the intervention. Monitoring and evaluation complement each other in that the quality of data collected during the monitoring process could influence the outputs, outcomes and impacts of the intervention. In its efforts to align and integrate the management of programme performance, the national government implemented the GWMES which has yet to be fully implemented across the three spheres of government.

To contextualise M&E in municipalities, the article discusses the benefits of M&E, the level of M&E activities in municipalities, the level at which M&E should be implemented and parties to be involved in the planning and implementation of the M&E system. The article proposes that further research be undertaken to clearly identify the nature of M&E activities in each municipality and to interrogate the current M&E challenges experienced by municipalities.

DEVELOPMENTAL LOCAL GOVERNMENT

Local government objectives include providing a democratic and accountable government, provision of services in a sustainable manner and promoting social and economic development by engaging the communities (Section 152 of the Constitution). To ascertain whether the developmental mandates are achieved, accountability, basic service delivery and local economic development initiatives should be monitored and evaluated. While the municipality has

the authority to undertake its designated functions, underperformance of its legislative obligations may result in the province intervening to undertake the municipal tasks (Section 139 of the Constitution). It is incumbent on the municipalities to utilise good governance practices to focus on achieving its developmental mandates. In this context, historical factors have a huge impact on the performance of municipalities.

Apartheid local government marginalised the disadvantaged communities and municipal entities did not possess adequate resources (human, capital, finance) to deliver basic services to all communities. It did not possess an adequate tax base and institutional capacity to be meaningfully involved in the social and economic development of the communities (Republic of South Africa 2008a:7). The problems inherited by the current government from the apartheid government included poor basic service delivery, centralised management systems, poor governance, inaccurate and insufficient baseline data and the lack of professional work ethics and commitment amongst public servants (Republic of South Africa 1997:11). The post-apartheid government, through the municipalities, had to contend with these challenges and deliver the basic services to the communities it serves.

A key element of the restructured government was the decentralisation of power and the creation of the national, provincial and local governments as spheres of government which are interdependent and interrelated. Municipalities, as organs of state, are the first contact centres for their communities and should be able to accurately identify and respond to the communities' needs. (Koma 2010:113). Therefore, the municipalities should engage with their communities through the integrated development planning process to address the basic needs (Republic of South Africa: 1998). The White Paper on Transforming Service Delivery (1997:11) also requires that all municipalities and government institutions implement the eight *Batho Pele* principles to maintain and manage service delivery that is community-focussed.

In this regard, the Constitution (1996:107) also introduced good governance principles of professionalism, accountability, effectiveness, efficiency and economy which are applicable to all government departments and organs of state. It is incumbent on the local government institutions and municipalities to ensure social and economic empowerment of its communities through professional administrative systems which are monitored and evaluated.

STATE OF LOCAL GOVERNMENT IN KWAZULU-NATAL

The KZN province has one Category A metropolitan region, 50 Category B local municipalities and 10 Category C district municipalities. The KwaZulu-

Natal Province is the second largest contributor to the national gross domestic product and has twenty one percent of the country's population (Province of KwaZulu-Natal 2011:7). Of the approximately 9,4 million people in KZN, 5,08 million people live under conditions of poverty with the majority (74%) of the poor residing in rural areas. The unemployment rate is 37% when the narrow definition is used and 47% when the broad definition is used. Approximately two million people live with HIV/Aids (Province of KwaZulu-Natal 2005:ii).

The KwaZulu-Natal Provincial Government is constituted of the provincial legislature and the provincial executive. The provincial legislature has the authority to pass a constitution and any legislation with regards to the functions in Schedule 4 and 5 of the Constitution. It must also provide mechanisms to ensure all provincial organs of state are accountable to it and undertake its oversight role in terms of the provincial executive authority (Section 114 of the Constitution). The executive authority rests with the Premier of the Province and the Executive Council. In terms of Section 139 of the Constitution, the Province could supervise municipalities if the municipalities fail to undertake the executive functions according to the relevant legislation in terms of its service delivery and developmental mandates.

President Zuma described the administrative systems in government as “the worst in the world” and stated that the organs of state are currently challenged by poor governance which is the cause of the service delivery problems (*The Independent* on Saturday 24 April 2010). Under-spending by municipalities deprived communities of service delivery and increases the current backlogs (*The Mercury* 30 July 2010). Another consequence of under-expenditure and service delivery backlogs was the increasing incidents of violent protests by communities dissatisfied with the poor level of service delivery in many municipalities around the country. The Finance Member of the Executive Council (MEC) for KZN reported to the Provincial Legislature that fraud and corruption had reached alarming proportions in KZN due to the weaknesses in the security and internal control systems. This was further confirmed by the Auditor-General's report (2011) which had identified a lack of control, mismanagement, and a lack of governance principles as the root cause for the state of despair in municipalities (COGTA 2009:3).

The violent township protests and the Department of Co-operative Governance and Traditional Affairs (COGTA) Report on the State of Local Government (*Sunday Tribune* 25 October 2009) have forced the government and the African National Congress to engage with the municipalities in order to address their poor performance. The national government (COGTA:2009) developed strategic plans to improve the management of finances, administrative systems, governance protocols and political interference in the municipalities' administrative functions that led to poor performance.

The implementation of the change interventions, the GWMES, the introduction of the Ministries of Strategic Planning and Performance, Monitoring and Evaluation and increasing annual budgets and the performance level of municipalities have not produced the desired service delivery outcomes. To improve the performance management of the municipalities, a M&E system should be implemented to allow for improved accountabilities of the various stakeholders.

CONCEPTUALISING MONITORING AND EVALUATION

Monitoring and Evaluation is a powerful management tool that can assist the government and state institutions to improve the manner tasks are undertaken to achieve its vision and mission. The evidence to make decisions, policy and hold officials accountable should be derived from a systemic results-based performance feedback system that should result in the strategic, tactical and operational decisions being more relevant (Mackay 2007:V). However, the Public Services Commission reported that departments and organs of state do not undertake M&E seriously as a performance management mechanism due to the absence of necessary M&E systems to evaluate programmes (Republic of South Africa 2008a:90).

Monitoring

Monitoring involves the comparison between actual performance and the planned performance (Republic of South Africa 2008a:3). According to the Treasury (2007:1), monitoring also reports on actual performance against what was planned by collecting, analysing and reporting data of all projects, programmes and policies to support effective management. However, Kettner, Moroney and Martin (2008:255) citing (Rossi, Lipsey and Freeman (2004)) define monitoring as an assessment of the extent to which a programme is implemented as designed and serves the intended target group. The emphasis in monitoring should be on controlling the process or procedure to align it towards the achievement of an objective that has relevance for the beneficiaries. A good monitoring system will provide early warning signals, for corrective action to be taken timeously. For the purposes of the study, monitoring is viewed as the tracking of interventions, and using the data collected, to timeously fulfil or enhance the achievement of the set targets to the satisfaction of the targeted stakeholders.

Evaluation

Fournier (2005:140) defines evaluation as an applied inquiry process for collecting and compiling evidence that highlights the effectiveness, efficiency

and value of an intervention. According to Mark, Gary and Julnes (2000:3), the goal of evaluation is social betterment and evaluation can contribute by assisting democratic institutions to better select, oversee, improve and understand the context of social programmes and policies. Mark, Gary and Julnes (2000:19) adds that:

Evaluation should be motivated by the goal of providing information that women and men as administrators; as legislators; and as citizens in a democracy can use to make better sense of the objectives, operations and effects of social policies and programmes.

Conceptually, evaluation is also the systematic or critical assessment of the merit, worth or value of administration, output and outcome of government interventions which is intended to add value to the relevant beneficiaries (Republic of South Africa 2008a:6). Shalock (1995:5) citing Weiss (1972) suggests that the purpose of evaluation is to measure the effects of an intervention against set objectives to improve the quality of decisions made in future interventions. In a similar vein, Newcomer, Hatry and Wholey (2004:xxxiv) consider evaluation as a learning strategy to improve knowledge about the logic and outputs of an intervention. For the purposes of this article, evaluation is regarded as an assessment of the value of an intervention, in relation to its specific purpose to the relevant beneficiaries through the synergistic interactions and interrelations of the systems, environments and stakeholders to enhance the value of future interventions.

Interrelationship between Monitoring and Evaluation

Monitoring and evaluation is a complex, multidisciplinary and skill-intensive endeavour (Presidency 2007:1). Monitoring is the periodic progress measurement of the chosen indicators of a project or programme towards clearly defined short, medium and long-term results (Hunter 2009:8). While performance monitoring is often used inter-changeably with performance evaluation, the latter goes beyond measurement (CAFRAD/ABC Report 2003:7).

Monitoring is a methodical approach to measure outputs against the agreed targets. Data is collected throughout the intervention and compared with the desired outputs requiring timeous action to be taken if there is a deviation from the set targets. However, evaluation seeks reasons for the performance by interrogating the relationship amongst the various environmental factors. Evaluation complements the monitoring function and answers the “why” and “how” questions. Therefore, M&E systems should ensure the complementary

nature of monitoring and evaluation is fully utilised to manage the activities of the municipalities.

Planning and implementation of the national, provincial and municipal-wide monitoring and evaluation systems

The GWMES was implemented (Presidency 2007:1) to align the national, provincial and local governments' developmental goals and provide reliable and accurate data to manage programme performance. Provincial governments had to then implement the PWMES which should align itself to both the GWMES and the MWMES. The GWMES has not been successfully implemented. The provinces formulated and implemented their own M&E systems which are not fully aligned to the GWMES. Municipalities monitor their activities at the department or unit level and there is no holistic MWMES in any municipality in the KZN province.

Therefore it is incumbent on the Department of Performance, Monitoring and Evaluation, in the Presidency to ensure the GWMES is fully aligned and integrated with the PWMES and MWMES to create a central coherent planning agency that encourages engagement of the three spheres of government and good governance. A critical factor to ensure the GWMES is both efficient and effective, is the political will of government. In particular, local political office bearers should be capacitated to understand their oversight roles and the functions of the administrators to avoid unnecessary interference. Good political and administrative leadership in municipalities should result in improved systems, accountabilities, risk management, transparency and governance (Republic of South Africa 2008b:2). In this context, leadership is essential for good governance and improved service delivery.

The municipal leadership has to ensure that the municipality has an M&E policy, which includes the M&E strategies and plans. For the implementation of the M&E system, Govender and Penceliah (2011:22) recommend the following implementation steps, namely:

- The agreed M&E activities should be undertaken by the allocated stakeholders;
- Information should be managed in terms of inputs, activities, outputs and outcomes;
- Results obtained should be compared with the set targets;
- Information sharing and knowledge transfer should be undertaken in the performance appraisal briefings;
- The agreed changes should be implemented;
- Proceedings of the consultations need to be recorded and formally reported to the relevant stakeholders;

- Follow-up of the outcomes and impacts is essential for successful completion and documentation of the intervention; and
- A cost-benefit analysis should be undertaken.

The above activities operate in an open system and could be repeated until the goals are achieved. The M&E system can only be effective and efficient if it is aligned and integrated with the current municipal planning and performance information systems.

The municipality is a complex system that consists of top, middle and lower management who develop and implement strategic, tactical and operational plans, respectively. Municipal plans commence with the IDP through various stakeholder engagements. The community, in particular, informs the IDP of their needs and can assist to monitor progress of the interventions through the systemic assessment model by ensuring good governance practices and by challenging the contents of the performance reports. The ultimate success of the municipalities' interventions depends on the communities' satisfaction of the service delivered (Govender 2011:108).

The contents of the IDP are informed by the regulatory Key Performance Areas (KPA's), provincial and national programmes, stakeholder participation and progress reports generated by the municipal management information systems (MIS) for the previous IDP period. The IDP is then divided into PKAs, programmes and projects. Budgets are compiled and the Service Delivery Budget Implementation Plan (SDBIP) is formulated. Within the SDBIP, for each KPA, objectives, indicators, baselines and targets are set that should be utilised to manage individual and departmental performance.

The municipal MIS should manage both individual and organisational performances in terms of their respective performance agreements and scorecards. The M&E system is then used to monitor and evaluate inputs, activities, outputs, outcomes and impacts of the programmes and projects emanating from the IDP. Performance management reports are then generated and distributed to the relevant stakeholders for comments and corrective action to be taken. The IDP, SDBIP and both the individual and departmental performance management systems should feed data into the M&E system. The information gained from the M&E system should be used to enhance local governance in municipalities.

Noteworthy is that at the national level planning, individual performance, ministry service delivery performance and budgets are linked. The Treasury has adopted an outcomes budgeting approach which considers the Ministers performance agreements and the monitoring and evaluation of set performance targets which influences the Medium Term Expenditure Framework (MTEF) (Republic of South Africa 2010:1).

RESEARCH METHODOLOGY

The study used a case study method and a mixed method research design that incorporates both quantitative and qualitative approaches for data collection. Both mailed questionnaires and structured interviews were utilised to improve interpretive validity and reduce researcher manipulation of the research process. The qualitative aspect of this study included semi-structured interviews with municipal employees involved in the municipal performance management functions. The questionnaires were posted and e-mailed to each municipal manager of the sixty-one municipalities in KwaZulu-Natal Province. The municipalities that responded provided contact details of employees who work in the M&E or the performance management departments. The employees were contacted and direct interviews were scheduled.

Both primary and secondary sources of data were utilised. Primary data was collected through the quantitative design questionnaire mailed to the municipal managers in KZN and by conducting semi-structured interviews with municipal employees involved in performance management functions. Secondary data was sourced from books, journals, internet, legislation, government reports, policy documents and newspaper articles. Data from the mailed questionnaires and the structured interviews was triangulated to achieve better validity of the findings. The research questions for the study were as follows:

- What benefits would M&E systems create for municipalities?;
- To what extent do M&E activities occur in municipalities?;
- At which level should M&E be implemented in municipalities?;
- Which stakeholders and institutional arrangements are preferred to plan and implement M&E systems in municipalities? and
- What are the challenges experienced by municipalities in planning and implementing M&E systems?

The KZN province has one metropolitan region, fifty local municipalities and ten district municipalities. The sample included the fifty municipalities in the B category, ten district municipalities in the C category and one metropole in the A category. The population of sixty-one municipalities in the KZN province was also the sample for the study. The questionnaire was mailed to all of the sixty one municipalities in KZN and the response rate for the mailed questionnaire and the semi-structured interviews was thirty three percent, making the research findings representative of the population.

The raw data consisted of the collected questionnaires. The first stage in data preparation was to transform the raw data into electronic format in the form of spreadsheets. The data was coded and captured into the SPSS software programme in a compatible format. A structured interview questionnaire was

developed for the face-to-face interviews to collect qualitative data. The data collected from the responses was analysed with the PASW Statistics version 18.0 and the results were presented in the form of graphs and tables.

Limitations of the study

There is a dearth of information in respect to systemic MWMES in South Africa. Other limitations of the study were as follows:

- Monitoring and Evaluation systems are not fully implemented in municipalities resulting in the respondents having limited knowledge of a MWMES; and
- Municipalities that did not submit the questionnaires within the available time had to be excluded. However, a thirty three percent response rate for the survey made the sample representative of the target population.

There was a high correlation between the seniority of the interviewee, namely, senior managers employed in the municipal managers' office and the quality of the information provided. Notwithstanding these limitations, the report reflects an informed picture of the M&E landscape within the local government sphere in KwaZulu-Natal.

FINDINGS AND DISCUSSIONS

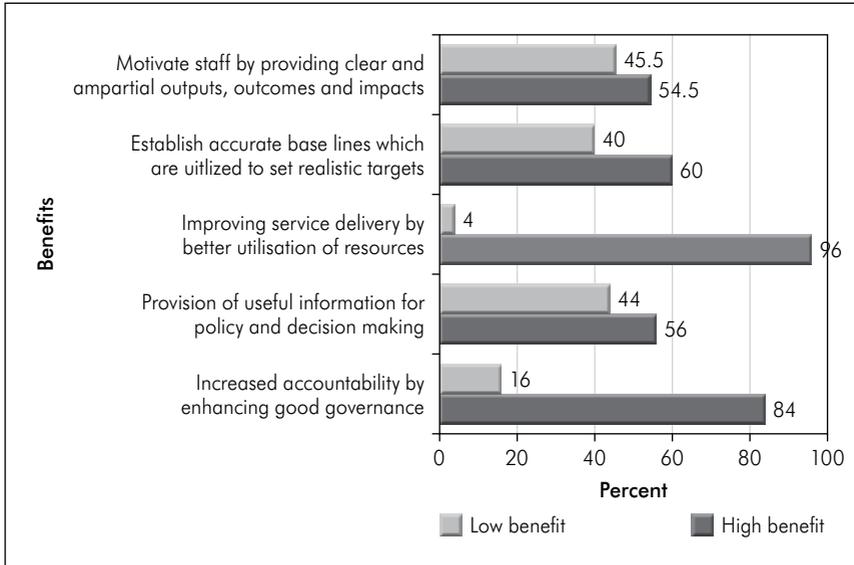
Benefits of Monitoring and Evaluation system to the municipality.

Figure 1 highlights the benefits that could be gained by utilising a M&E system in the municipality.

Respondents identified major benefits for service delivery through better resource management (96%) and increased accountability (84%). The high response rate for service delivery and accountability could be attributed to the regular media reports of service delivery protests and issues of poor governance in municipalities. Another explanation could be the identification of resource constraints that have been created through weak accountability systems in the municipality. The above findings are aligned to Mackay (2007:9) who asserts that M&E systems enhance good governance by encouraging the use of evidence in decision-making and policy development for resource allocations within an intervention, enhancing transparency and support accountability relationships.

The remaining three statements indicating high levels of low benefit could be attributed to the lack of performance appraisal for the lower levels of staff in the municipalities, lack of accurate data to be utilised in setting achievable targets

Figure 1: Benefits of Monitoring and Evaluation system to the municipality



and the minimal involvement in policy development by management. These responses show a lack of awareness of the technical issues of M&E that can only be understood through experience of undertaking M&E functions.

Better performance of the IDP, governance, service delivery and public participation are noted as benefits of the M&E system to the municipalities by the interviewees. The M&E system therefore aids in improving service delivery, transparency, considers the need of the communities and better municipal performance through the IDP.

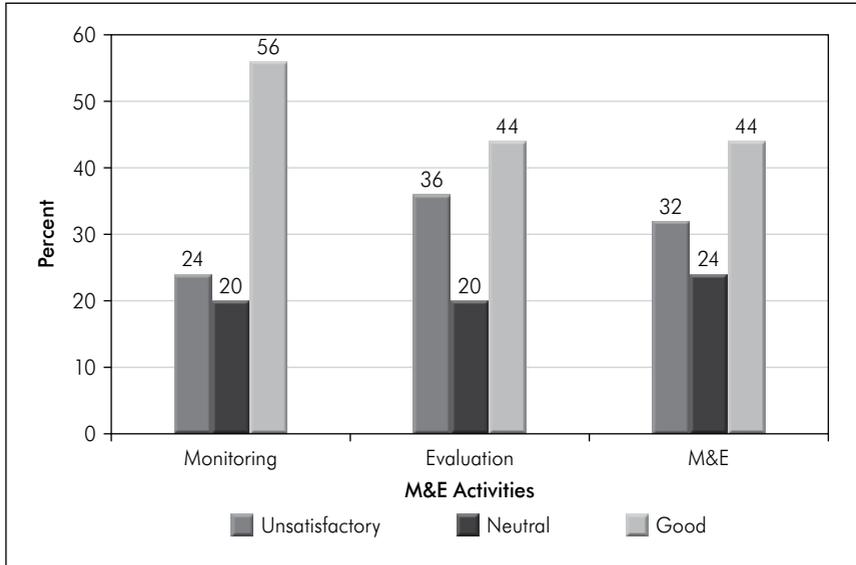
The respondents were not fully capacitated in terms of the benefits and mechanisms of a sustainable M&E system in the municipality. Therefore, it is critical for evaluating capacity development and a better understanding of the performance management principles needed to be provided to all staff in the municipality.

Monitoring and evaluation activities in municipalities

Figure 2 illustrates the composite ratings of M&E activities in municipalities.

More than half (56%) of the respondents indicated that monitoring of outcomes and impacts was good, while 44% of the respondents reported that evaluation and the M&E activities were acceptable in the municipalities. The remaining respondents indicated the monitoring (24%), evaluation (36%) and

Figure 2: Composite ratings of M&E activities in municipalities



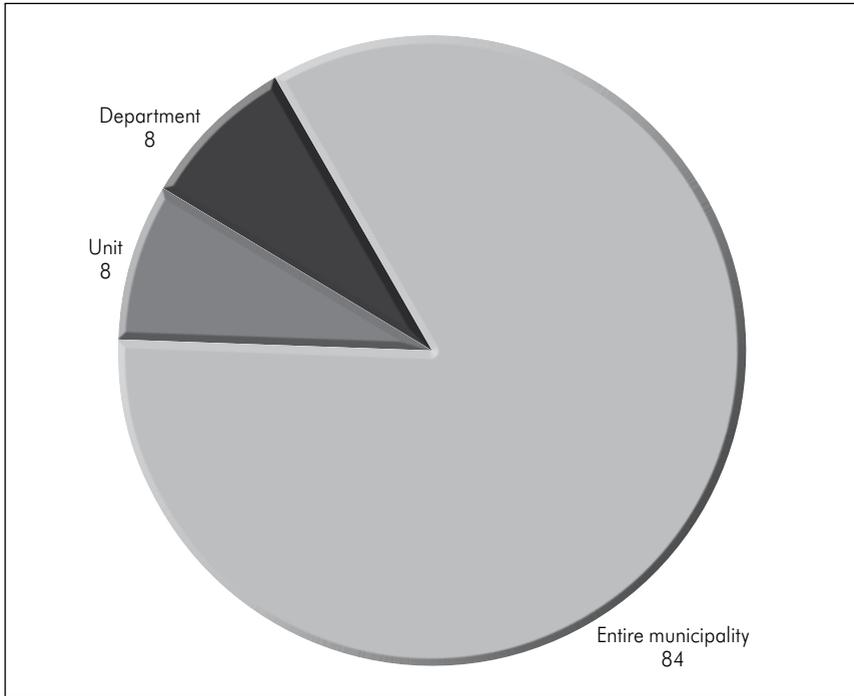
M&E activities (32%) were unsatisfactory. An average of 20% of the respondents reported a neutral response to these questions. The higher level of monitoring confirms that the monitoring activities are easier to undertake than the evaluation functions. Another reason could be the drive by the Treasury Department, and Auditor General's office to ensure compliance with the financial legislation and regulations. Further research has to verify the policies, programmes and projects that were monitored and evaluated and the type of M&E tools and capacities utilised in each category A, B or C municipality.

None of the interviewees indicated that a systemic M&E system was in operation in any of the municipalities. Therefore, it can be inferred that the current M&E activities are undertaken in a fragmented manner within the departments focussing on specific projects or programmes. The fragmented approach limits the benefits of M&E since the various stakeholder perspectives may not have been considered. The absence of a systemic M&E system could be attributed to the lack of a M&E policy in the majority of the municipalities.

Level at which Monitoring and Evaluation system should be implemented

Figure three provides an overview of the level at which the M&E system should be implemented.

Figure 3: Level at which Monitoring and Evaluation system should be implemented



There is agreement among the majority of the respondents that the M&E system should be implemented at the municipal level (84,0%) rather than at the unit (8,0%) or departmental (8,0%) level.

The above responses were motivated as follows:

“The entire municipality needs to understand and know what is expected by the community and other stakeholders. Since the municipality has to be accountable, M&E should be rolled out to everyone and not just a single department. It must be organisation-wide for it to be meaningful and to evaluate the organisational impact”.

Respondents who preferred the departmental and unit level for M&E system implementation commented that it would be cumbersome to simultaneously implement M&E at all levels in the municipality. Monitoring and Evaluation should commence at departmental level and then spread throughout the municipality since the challenges could be resolved at departmental level.

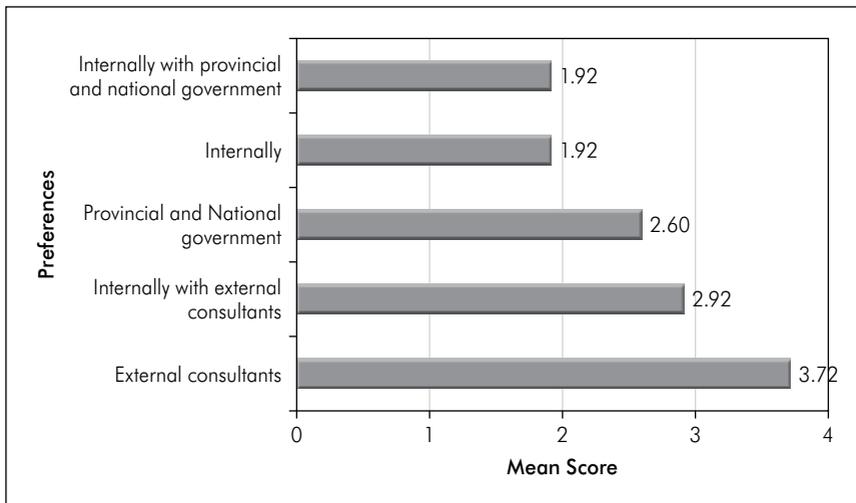
Institutional arrangements for M&E

Currently, the office of the Municipal Manager and the Mayor (54%), corporate services (25%) and the governance cluster (13%) have the primary responsibility of managing the M&E activities for the whole municipality. In the smaller municipalities, the Municipal Manager and the Mayor's office work jointly to manage the M&E activities while in the larger municipalities, the municipal structure allows for the corporate services and governance cluster to manage the M&E functions. The Municipal Manager's office is key to the management of governance since the Municipal Manager is accountable for the performance of the entire municipality and reports to the municipal council.

Preference to engage the various parties in implementing an M&E system

Figure 4 gives an indication of the involvement of stakeholders to plan and implement the M&E system.

Figure 4: Preferences on the involvement of stakeholders to plan and implement the M&E system



The figure above prioritises the factors that should be given preference. The two joint highest ranked factors are “Internally with provincial and national governments” and “Internally”. The lowest ranked factor is for “External Consultants”.

The respondents motivated their preferences with the following comments:

“Internal staff members have better knowledge of the municipal systems than external consultants. The use of external consultants would be time consuming and costly for the municipality. Further, reliance on consultants is less effective due to the lack of capacity to implement and manage the consultants’ recommendations”.

In smaller municipalities, there is a greater need for assistance from provincial government. Both national and provincial governments should ensure good communication with the municipalities, and also assist with the provisions of resources, including M&E skills. The municipality should take ownership of the M&E system but plan together with the provincial and national spheres of government.

Challenges in planning and implementation of a M&E system

The respondents highlighted that the lack of human resources and capacity was the greatest challenge followed by a lack of funding for the planning and implementation of a M&E system. Another important challenge is the number of templates, frameworks and meeting of deadlines which create the perception that M&E is exclusively about reporting and compliance. There is also limited understanding of M&E as the perception of staff is that it focuses only on the senior managers rather than all the employees in the municipality. This view has been confirmed by the following comments by an interviewee:

“The M&E system, as well as processes to enhance the current system is to ensure compliance and ease of reporting. We are moving at a fast paced rate in complying with the Treasury Regulation”.

Other challenges experienced are support and buy-in from senior managers; change management issues; feedback from plan owners; and developing the correct performance indicators.

Incentives to plan and implement a M&E system

The only incentive that exists for municipalities to plan and implement an M&E system is the Municipal Infrastructure Grants. Just above a third of the respondents clearly indicated that there are no incentives currently available for the planning and implementation of M&E systems in municipalities. The comment by the respondents that the Section 57 managers receive performance bonuses due to M&E activities further confirms their understanding of the M&E system as the performance management system for senior managers.

Formal M&E Policy

Approximately one-third of the respondents (33%) indicated that the municipality had an M&E policy while the majority (67%) of the municipalities did not have an M&E policy. It would seem that Category A and Category B municipalities that generally have adequate administrative capacity and resources would have a formal M&E policy. The majority of the smaller municipalities do not have the resources and skills to compile an M&E policy.

Custodians of good governance

The responses as to whether the M&E unit or department should have the primary responsibility of ensuring good governance for the entire municipality, the majority of the respondents seemed to have disagreed. This could be attributed to the current experience of working with compliance agencies that implemented many templates, duplicated requests for the same information and the setting of unrealistic deadlines in many under capacitated municipal environments.

CONCLUSION

Improved service delivery and increased accountability are the greatest benefits offered by the M&E system to the municipality. Other benefits include staff motivation, better information management, capacity development and community participation. To achieve these benefits, the challenges of planning and implementing an M&E system, namely, the lack of financial and human resources, difficulty in implementing the current organisational systems and a lack of understanding of performance management systems and M&E functions need to be addressed. Urgent attention needs to be given to overcome the perception that M&E systems are the same as performance management systems dedicated to appraise the performance of the Section 56 and 57 managers and as a compliance tool that would adversely affect work performance due to the additional workload generated by the M&E system.

The above perception could have been created by the focus of current M&E activities on regulatory compliance requiring the municipalities to submit regular financial reports to the offices of the Auditor-General, national and provincial governments. To streamline the submission of municipal reports, the M&E system should be introduced at the municipal-wide level rather than at the departmental or unit level in the municipality and be located in the municipal managers' office or the corporate services department.

Since the majority of the municipalities do not have a formal M&E policy, national and provincial government should capacitate local municipalities

towards developing and implementing a formal M&E policy. To ensure successful implementation, political and administrative leadership need to work co-operatively to ensure the municipal mandates are successfully achieved. Urgent M&E capacity development interventions need to be implemented in municipalities to create an awareness of the benefits of M&E with a better understanding of the M&E principles, terminology, tools and techniques. To achieve the full benefit of an M&E system, a broader view of M&E as a learning tool should be adopted rather than to ensure regulatory compliance. Further research has to be undertaken for the detailed assessment of the capacity gaps, and the M&E activities currently undertaken in each of the municipalities.

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