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Editorial

Compiled by C J Auriacombe

Technical Editor

Risk management forms a crucial part of the management of an organisation. In **'Guiding Criteria for an Operational Risk Management Framework for South African Municipalities'**, Jacobus Young argues that, due to the increasing misconduct and mismanagement of organisations in developing countries, it is imperative to embed a risk management framework to prevent risk incidents from occurring. However, Young points out, "that the components of a risk management framework be clearly defined and embedded in the organisation". A growing concern for South Africans is a general lack in the effective service provision of municipalities and a general increase in corruption and mis-spending of government funds. These concerns are causing widespread protest actions by the communities.

This article aims to determine whether a risk management framework is embedded according to guiding criteria and principles within the local governments. As such, the purpose and focus of this research article is to identify and confirm guiding criteria and principles for the implementation of an operational risk management framework for municipalities. According to the author, "These criteria and principles aim to assist municipalities to embed a risk management framework, which could support the effective management of risk exposures". Furthermore, "These criteria could be used to determine how an organisation can embed a risk management framework, which can assist in the effective management of risks," states the author. The conclusions and recommendations of this study can be used at any level of government as well as in private organisations. The author also maintains that "the criteria can serve as a checklist to establish the status of implementation of a risk management framework and to assist in bridging a potential gap between current and best practices".

Timely and reliable communication of information on outbreaks like the Ebola virus plays a key role in managing infectious diseases (Covello 2001:28). In **'The Efficacy of Crisis Communication in the Management of Ebola Fever in the Bundibugyo District, Uganda–2007/2008'**, Tonny Muzaale, Benon Basheka and Christelle Auriacombe aim to establish whether interventions facilitated disease outbreak response rates. The research followed a mixed method approach (quantitative and qualitative), with a cross-sectional survey. Systematic sampling which involved using a simple random sampling design, (Ragin 2011 in Muzaale, Basheka and Auriacombe 2018) was applied. The sample consisted of 75

respondents, which included five top health administrators, 55 residents whose families were affected by Ebola and 15 health care workers.

Results revealed key weaknesses in the structural and institutional framework, which hampered the efficient management of the Ebola virus outbreak. "This exacerbated the magnitude of factors that led to many deaths in the Bundibugyo District," they note. According to the authors, "communication sources should be established to help identify outbreaks, transmission mechanisms, contributing factors and control inputs". The authors recommend that, "Government should disseminate information timely and optimally using several media outlets" after disease outbreaks are confirmed. Furthermore, the authors recommend establishing guidelines and documented procedures to coordinate the efficient flow of information, report positive laboratory results and related information (e.g. patient contact information), as well as manage resource needs between district health care workers and the outbreak team.

In **'Moving Beyond Empty Decolonisation Mantras to Real Sustainable Empowerment in Africa'**, Fanie Cloete investigates the perceived need to improve the negative impact of historical colonial value systems and practices in current public policy knowledge generation, transfer and application processes. In particular, the article analyses how decolonising processes and practices have impacted Africa, especially South Africa. According to the author, there is a growing resistance to Eurocentric hegemony in public policymaking, implementation and evaluation in developing countries, especially in Africa. To address African conditions more directly, Cloete notes that "outdated and inappropriate policies need to change to more appropriate processes and results".

The article assesses the current debate on the need to decolonise public policy capacity-building, design and application. It commences with a critical assessment of the nature, focus and scope of the evolving decolonisation paradigm. Hereafter, the capacity-building issues that need to be "decolonised" in terms of this evolving paradigm are reviewed. Furthermore, it investigates how to achieve more integrated and effective public policy outcomes in Africa, especially in South Africa. The research findings highlight that there are not always clear distinctions between Eurocentric and Afrocentric approaches to policymaking and implementation. However, the author states that certain historical and current public policy processes and practices are inappropriately applied in Africa and are in need of change. As the decolonisation discourse is outdated and ineffective, Cloete highlights that concrete, proactive, pragmatic, transdisciplinary, evidence-informed strategies are needed to facilitate sustainable empowerment outcomes in Africa.

Public procurement (PP) is viewed as a core government function that can have a positive effect on creating opportunities for WOBs. In **'Inclusive Public Procurement: Opportunities, Barriers and Strategies (OBS) to Women**

Entrepreneurs' Participation in Public Procurement in Uganda, Benon Basheka highlights that the increased participation of women and Women Owned Businesses (WOB) in PP is a key policy area in both developed and developing countries. The article sets out to examine the current status quo of PP opportunities for WOBs in Uganda. In line with this, the author earmarks barriers to their participation and presents policy and management action strategies needed to address this dilemma. Furthermore, a framework is proposed to maximise the PP-related participation of women.

The study followed a triangulated approach. Interviews were conducted with key informants at central and local government levels. In addition, surveys were administered to various women's enterprises relating to this study. A secondary literature review on women's participation provided useful supporting findings for the study. Based on the opinions and views of interview and survey participants, WOBs' participation in PP in Uganda remains low and is skewed towards the micro and small enterprises. Furthermore, the research highlights system-wide issues that hamper WOBs from participating effectively in the PP system. In line with this, the author states that barriers to women's participation in PP are spread across the entire PP cycle (planning and budgeting, specification criteria, bidding, evaluation, contract awarding and contract management).

Rural enterprises can play a key role in socio-economic development, such as creating employment, alleviating poverty, ensuring better health and well-being, industrialisation of the rural economy, as well as diversification to off-farm economic activities. In **'Business Development Support and the Role of Rural Enterprises'**, Samson Mtisi and Zororo Muranda investigate the role of business support programmes for rural enterprise development in Zimbabwe. The research is based on a conceptual and contextual desktop analysis of relevant literature and official documentation. Research results reveal that an enabling policy environment should be created to optimise rural enterprise development by facilitating access to markets, finance and technology, as well as improved competitiveness and profitability. Furthermore, the authors highlight the need for policy interventions "to address barriers to accessing business support services, especially for the rural enterprises". By optimising the supply and uptake of business support, they believe enterprises will perform better and contribute to rural economic development. National, provincial and local government spheres in South Africa denote an equality-based relationship. However, the country's system of intergovernmental relations (IGR) and cooperative governance continues to face challenges, including poor coordination and integration between and across the different spheres of government.

There is a need to monitor the performance of Public Sector Organisations (PSOs), especially due to calls to improve performance, maintain sustainability and an increased public debt on most national budgets (Diana 2014:51). In

‘Validating a Model for Assessing Performance of Public Sector Organisations (PSOs): A Rapid Assessment of Tanzania Public Service College (TPSC), Ramadhani Marijani highlights the challenge of developing and implementing a functional and sustainable performance evaluation model. According to the author, “Globally, various governments have introduced numerous performance evaluation methods, but few have proved to be successful”.

In light of the ever-increasing pressure to evaluate the performance of the PSOs, this article aims to validate a model for assessing the performance of PSOs, which was developed by Basheka *et al.* (2017) in Uganda, through a Rapid Assessment of TPSC. The aim is to provide the best practices and guidelines for rapid assessments and interventions for improving the performance of PSOs in Tanzania. Based on the empirical findings, the analysis shows that the model has strong internal consistency. The assessment demonstrated convergent validity with the findings of other reports that were used as proxies to determine the performance of the case in question. Research findings reveal that the model is valid, relevant, effective and efficient for assessing the performance of PSOs in Tanzania. In conclusion, the author offers policy implications for TPSC to improve service delivery and suggests areas for future research to further validate the model.

In **‘Cooperative Governance and Intergovernmental Relations between Provincial and Local Government in Gauteng’,** Ramoshidi Ramogayane and Vain Jarbandhan examine the institutional landscape and management practices under which IGR and cooperative governance take place in the province. Using a multi-theoretical framework, the authors investigate how the existing institutional environment (context) and management (administrative) mechanisms, systems and practices in provincial and local government affect IGR and cooperative governance. Conceptual issues, key implications and critical interventions to remedy weaknesses are highlighted.

Research findings point to a complex interplay of legislative, institutional, governance and management issues that affect IGR and cooperative governance in Gauteng. Silo-based institutional culture and practices are earmarked as key impediments to effective IGR in the province. According to the authors, “These challenges manifest through fragmented planning, budgeting, implementation, performance management and accountability across all spheres of government in South Africa”. Government departments that operate abroad face major cultural constraints (Imoh 2015 in Ramogayane and Jarbandhan 2018). Employees within these departments could be affected by culture shock, which could have a serious impact on the work they have to perform. This is especially applicable to diplomats who spend most of their working life adapting to new cultural working environments (Maletzke 1996 in Ramogayane and Jarbandhan 2018).

In **‘A Training Programme to Minimise Culture Shock Among South African Diplomats. Needs, Best Practices and Obligations’,** Anton Brewis, Liza van

Jaarsveldt and Kobus Wessels investigate the role of cultural diversity training in dealing with the negative psychological effects of culture shock for diplomats deployed abroad. Primary and secondary sources are used to determine and explain the contents of the Department of International Relations and Cooperation's (DIRCO) cultural diversity training curriculum for diplomats. These results are analysed, evaluated and compared with three similar international programmes. Best practices concerning cultural diversity training are considered before the results and findings of the analysis are provided. Research results show that, although the DIRCO training programme's content is similar to international best practices; it merely provides basic knowledge and information on culture shock. The authors state that, "Although the current programme includes elements such as culture-general content, time allocation and cultural diversity skills, it fails to provide in-depth cultural diversity training". In conclusion, the authors recommend culture-specific training to reduce culture shock.

Botswana is considered an African role-model and benchmark for good governance practices in the public service. In '**Contextualising Bureaucratic Corruption in the Botswana Public Service**', Kefilwe Mudeme and Natasja Holtzhausen highlight certain transparency and accountability mechanisms adopted by the Botswana public service to curb corruption. The article provides a brief introductory background of Botswana's reputation of accountability, transparency and corruption. Within this context, performance management, financial reporting, records management, public procurement regulation, e-government and meritocratic recruitment are discussed. To provide context, an overview of the statutory and regulatory framework of the country's public service is provided, while bureaucratic corruption is conceptualised. Specific aspects related to corruption, such as the level of corruption in ministries, the forms and causes of bureaucratic corruption and the most occurring offences are highlighted.

The research includes a desktop analysis of literature and official documents to conceptualise the area of investigation (Auriacombe 2007). The methodological approach focused on specific dimensions of unobtrusive research techniques, which study social behaviour to eliminate bias and promote conceptual and contextual analysis.

Despite Botswana's rating as a 'clean' country, the authors highlight that bureaucratic corruption, such as nepotism, patronage, bribery, fraud and cronyism, are said to be on the rise in the public service. According to the authors, "Corruption has been attributed to the government's coalition with the elite, to benefit the privileged few, which has created an opportunity for increased corruption". Moreover, the authors point out that the government abuses its power and authority to silence the public officials while portraying a sound image to the world. "The rise in bureaucratic corruption was inevitable because there are no laws which require public officials to declare their assets and business interests".

In **'A Business Process Re-engineering Framework to Enhance Strategic Planning within Higher Education: The Case of the Tshwane University of Technology'**, Michael Mushaathoni and Gerrit van der Walddt argue that competition within the higher education sector has necessitated institutions applying management instruments, such as business process re-engineering (BPR), to improve effectiveness and efficiency. The article reflects on an empirical investigation conducted at the Tshwane University of Technology (TUT), aimed at determining the extent to which its core business processes are aligned. For this purpose, the principles and processes of BPR, as management instrument, is applied to help enhance strategic orientation and core business processes.

The article presents a BPR framework tailored to the realities of higher education institutions (HEIs), in general, and TUT, in particular. Notably, the custom framework is based on the findings of an extensive literature review, international best practice and an empirical investigation. The framework recognises the need for cross-functional cooperation between different departments and operational units, as well as interaction between the institution and the environment within which it operates. It is suggested that all South African public HEIs design similar frameworks to strategically re-engineer their business processes.

The South African public service plays a pivotal role in the country's transformation process. In **'An Analysis of the Equity Composition of Employees in a Government Department in the Western Cape, South Africa'**, Mogamat Ryklief and Rozenda Hendrickse argue that, to fulfil this role, the public service itself has to undergo certain transformative processes so that government is representative of all citizens. For the purposes of the article, "equity composition" refers to the categories of race and gender invoked by the Employment Equity Act 55 of 1998 to promote equality. To gain more insight into practices within the public service, the study analyses the equity composition of employees in the Department of the Premier (DOTP) in the Western Cape Government. Unstructured interviews were conducted with 20 research participants that were purposively selected from the DOTP. The data collected from the interviews was analysed using qualitative content analysis.

The study found an increase in efforts to accommodate people with disabilities. According to the authors, "The intake of those with disabilities should be increased to at least 2% of total employees, as set out by the Employment Equity Act 55 of 1998". In addition, the authors recommend that the department's human resource (HR) unit increase the intake of people with disabilities at Deputy Director, Director and Head of Department level. Furthermore, it is recommended that the Director of People Management Practices unit designs and rolls out a dedicated training workshop on employment equity throughout the department.

Although various studies indicate that government's Child Support Grant (CSG) has a positive impact on child development, it has been found that some

children lack access to basic needs, while other children do not receive CSGs. In **'The South African Child Support Grant and Poverty Alleviation. A perspective of Ward 84 of Umlazi in Ethekewini Municipality'**, Thulisile Ngcongco and Bongani Qwabe provide an in-depth analysis of how CSG influences the well-being and the development of underprivileged children. According to the authors, the significance of addressing this subject is rooted in the growing demand to advance child welfare in South Africa. "This demand is consistent with national and international frameworks on child protection and development discussed in this article".

A multi-dimensional model informs the theoretical background to the article. A probability sampling was conducted using a random sampling method, where-in 100 beneficiaries of the CSG participated in the survey. The survey findings confirmed the literature reviewed in the article.

While the CSG has evolved into one of the most comprehensive social protection systems with positive impact on child poverty, survey results reveal that other caregivers still have difficulties in accessing the grant. The article recommends implementing awareness campaigns where the community is informed of the eligibility and accessibility criteria for receiving the CSG.

Public value (PV) refers to the tangible and non-tangible outputs and outcomes produced by an integrated public service system (IPSS) to improve citizens' quality of life. In **'Public Value Generation. The Outcome of an Integrated Public Service System'**, Fakir Jessa and Fredrick Uys seek to provide an approach to understanding PV in terms of its effective and efficient generation and measurement, as a systemic outcome of stakeholder engagement within an IPSS. PV theory, schools of thought, approaches, evaluation and examples of applications are explored to provide insight into how socio-economic community matters, problems and demands can be treated through service delivery, community engagement and collaboration with stakeholder networks. Furthermore, the article contrasts PV management with New Public Management (NPM) elements to promote a networked collaborative governance approach to PV. The researchers advance measures for PV governance and implementation in complex environments, long-term community regeneration programmes and projects; and provides foundational bases for a flexible, adaptable and sustainable PV generation framework.

It is argued that PV cannot be generated in a rigid bureaucratic and hierarchical system. The authors state that, "PV theory holds that government bodies and citizens form part of an accountable, inclusive and open stakeholder network, advancing networked governance practices and relationship building". According to the authors, "The operability of an IPSS and the generation of PV depend on collaborative and networked governance, cooperation, coordination, a common set of objectives and vision, a people-centred focus, participatory (multi-agency) stakeholder engagement and effective communication".

In recent years, Zimbabwe has seen changes in policy structures (from centralisation to decentralisation) and instruments (from a one-size-fits-all to a sector-based approach). The country has also introduced new policy processes. In **'Radicals, Moderates and Policy Change in Zimbabwe's Indigenisation and Economic Empowerment Policy'**, Hardlife Zvoushe, Dominique Uwizeyimana and Christelle Auriacombe address policy change experiences using Zimbabwe's Indigenisation and Economic Empowerment (IEE) policy that was launched in 2007. In line with this, the authors analyse changes in the IEE policy over time. The article commences with a brief discussion of the conceptual background of policy change. It proceeds to trace the changes in personnel handling the indigenisation portfolio, and the implications on policy interpretation and implementation thereof. Intra-party-political bickering among Zimbabwe African National Union – Patriotic Front (ZANU-PF) "policy radicals" and "policy moderates" has led to "inconsistency and confusion regarding the IEE policy". The authors highlight that policy actors, personnel changes and contextual variables, such as poor economic performance, capital flight and depressed foreign direct investment (FDI) levels have exacerbated the situation. Despite these challenges, the article highlights that President Mnangagwa's tenure has ushered in wide changes. "The thrust of the new administration is to remove any perceived investment obstacles (of which indigenisation is one) and open the country for investments using the catchphrase 'Zimbabwe is open for business' as the promoting label".

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Guiding Criteria for an Operational Risk Management Framework for South African Municipalities

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ABSTRACT

Risk management forms a crucial part of the management of an organisation. Due to the increasing misconduct and mismanagement of organisations in developing countries, it is imperative to embed a risk management framework to assist management to be effective and prevent risk incidents from occurring. However, it is imperative that the components of a risk management framework be clearly defined and embedded in the organisation. This article investigates various views and approaches with the aim to identify criteria for the implementation of an operational risk management framework. These criteria could be used to determine how an organisation can embed a risk management framework, which can assist in the effective management of risks. The conclusions and recommendations of this study may also be applicable to any level of government as well as private organisations. In addition, the criteria can serve as a checklist to establish the status of implementation of a risk management framework and to assist in bridging a potential gap between current and best practices.

INTRODUCTION

Risk management is a fast growing discipline in most organisations worldwide, especially after various major incidents, which could be linked to a lack of adequate risk management practices. This view can be supported by incidents that started back in 1995 when the Barings Bank collapsed due to inadequate internal control

measures, which can be directly linked to risk management. Since then there were many cases where a lack of adequate risk management caused financial losses. For example, the recent collapse of three Kenyan banks during 2016 due to poor supervision and oversight (The Risk Universe April 2016:7). Closer to South Africa, a case that is currently under investigation is that of African Bank. The Myburgh Commission found that some of the reasons for the downfall of African Bank are the gross negligence of senior management. According to a review by *The City Press* (2016), it was stated “The directors were collectively in breach of their fiduciary and other duties to the bank.” Specific reference was made to the Chief Executive who “fought with his auditors and co-directors on how to report risk and impairments on bad loans...” Unfortunately, there are other similar scenarios, which, in effect, can be attributed to a lack of an effective risk management framework, which, for example, includes the very important aspects of the role of the directors as well as the process of risk reporting. As a result, most organisations are moving closer to a risk-based management approach not only to ensure proactive risk management, but also to adhere to certain regulatory requirements related to governance and risk management.

A growing concern for South Africans is a general lack in the effective service provision of municipalities and a general increase in corruption and miss spending of government funds. These concerns are causing widespread protest actions by the communities. According to the Institute for Security Studies (2009), the primary reason for these protest actions, seems to be dissatisfaction with the delivery of basic municipal services. Mileham (2014) inferred that some of the factors creating a perception of corruption and maladministration, as identified by the Public Protector, are dissatisfaction with poor service delivery, financial mismanagement and allegations of fraud and corruption.

In order to address these risk exposures for municipalities, the development and implementation of an operational risk management framework could be one way to establish a structured approach towards adequately coping with these risk-related incidents. However, the research question for this article is to what extent is a risk management framework embedded according to guiding criteria and principles within the local governments? As such, the purpose and focus of this research article is to identify and confirm guiding criteria and principles for the implementation of an operational risk management framework for municipalities. These criteria and principles aim to assist municipalities to embed a risk management framework, which could support the effective management of risk exposures. According to the Public Financial Management Act (PFMA) of 1999, section 38 (1)(a)(i), an accounting officer must, for example, include a fraud prevention plan as part of a risk management strategy. However, if there is an absence of a risk management framework, this accountability will be a difficult task. Therefore, it is essential that a risk management framework should be developed

and implemented. However, it is imperative to understand this concept and its components.

RISK MANAGEMENT FRAMEWORK

Rouse (2005) defined a framework as a conceptual structure to serve as support or guide of a process. According to ISO 73 (2009:2), a risk management framework can be seen as the components that serve as the foundation and guide for an organisation's risk management program. Blunden and Thirlwell (2010:22) explained that risk frameworks provide a structure for implementing and the embedding of operational risk management. A risk management framework will ensure transparency regarding the risks of the organisation that will allow informed business decision-making (Girling 2013:12). According to the European Investment Fund (EIF) (2010:5), operational risk management frameworks are a set of integrated processes, tools and mitigation strategies that assist with the managing and measuring of operational risk. The Australian/New Zealand Standard (AS/NZS) (2004) inferred that a risk management framework can be described as a set of elements of an organisation's management process to manage risks.

Based on the above views, it seems clear that a risk management framework can be seen as a conceptual structure consisting of a set of components to ensure effective risk management to support sound business decision-making. According to Alvarez (2005:227), a challenge for an organisation is to develop a risk management framework, which will comprise of all the facets of management. However, it is imperative to identify the detail on what an organisation wants to accomplish by developing and embedding a risk management framework. If it is just for the sake of having a risk management framework to, for example, tick a checklist, the total initiative would be nullified and the benefits of a practical risk management approach will be lost. As such, it is important to ensure that risk management creates value, which is supported by the International Organisation for Standardisation (ISO) 31000 (2009) where it is stated that risk management should contribute to the demonstrable achievement of objectives and improvement of performance of various facets of the organisation. This can be regarded as an important principle of an effective risk management framework. According to Young (2014:37), the aim of embedding a risk management framework is to ensure a well-defined move towards the management of risk. This should serve as a guideline on how to accomplish the following objectives: the establishment of an integrated risk management environment; development of a risk management culture; establishment and confirmation of roles and responsibilities relating to risk management; and ensuring a collective understanding of operational risk.

According to the ISO 31000 (2009:8 – 21), organisations should develop, implement and constantly improve a framework with the objective to incorporate a process for managing risk into the organisation's overall governance; strategy; reporting processes; values; and culture. Girling (2013:12) mentioned that with a solid risk management framework an organisation could avoid bad surprises and equip itself with tools and contingency plans to be able to respond swiftly when an event does occur. Therefore, it can be concluded that a risk management framework could ensure an organisation to be proactive in managing the risks inherent to a risk event. According to COSO (2004), an objective of a risk management framework is to assist management to better deal with risk inherent in achieving business objectives.

COSO (2004), furthermore, offers an integrated framework as guidance to organisations to develop their internal risk management programs and identified the following components:

- Internal environment – which also includes the risk culture of the organisation and the organisational structure.
- Objective setting – includes the strategic objectives as well as the risk appetite.
- Event identification – consists of the identifying of the inherent and residual risks.
- Risk response – includes risk controls.
- Information and communication – includes the providing of information and integrated systems.
- Monitoring – consists of continuing evaluations.

The framework developed by the ISO 31000 (2009: 8 – 21) includes components which indicate a process of establishing a risk management framework. The elements are the following:

- Mandate and commitment – this, for example, entails the commitment by management to ensure effective risk management policies, the establishment of a risk culture and assignment of roles and responsibilities.
- Design the framework for managing risk – in order to implement a framework, it is stated that it is, firstly, essential to evaluate and understand the external and internal context of the organisation. The external environment refers to any external factors, which could influence the business of the organisation such as the economic environment, technology, social and cultural environment as well as regulatory requirements. The internal environment could include governance and organisational structure, business objectives and strategies and the organisation's culture. Secondly, the framework should ensure the establishment of a risk management policy, which should link the organisation's objectives and policies with the risk management policy. Thirdly, it is essential to allocate the accountability and responsibilities for risk management at all

management levels. The fourth requirement is that risk management should be integrated into all the organisation's processes and specifically into the strategic plans. The next important requirement is the allocation of appropriate resources for risk management, especially regarding qualified and experienced staff and the supporting management systems. Finally, it is crucial to establish internal and external communication and reporting mechanisms. Internal reporting relates to the providing of adequate risk-related information to make affective business decisions. From an external perspective, it is important to communicate with the stakeholders as well as to report on risk management in terms of regulatory requirements.

- Implementing risk management – firstly, this requires the enactment of the developed risk management framework to manage the risks according to the risk management policy and regulatory requirements. Secondly, it includes the implementing of a risk management process, which should be tailored to the business processes of the organisation. The identified components of the risk management process are the following:
 - Establish the context – this includes the determining of the external and internal parameters to be considered when managing risks. During this step, specific objectives for risk management as well as responsibilities should be established. The risk criteria to evaluate the risks should also be determined during this activity, which can be regarded as an important part of determining a realistic risk appetite.
 - Risk assessment – this step involves the process to identify, analyse and evaluate the risk in order to support effective business decisions regarding the treating of the risks.
 - Risk treatment – this step consists of the process to formulate risk-mitigating plans and control measures for the evaluated risks. In this regard, it is important to allocate responsibilities to the staff who must implement these control measures.
 - Monitoring and review – the responsibility to monitor and review the risks should be specified. This responsibility is a continuous process to confirm that controls are effective and to identify any additional risks.
- Recording the risk management process – this final component aims to ensure that the risk management activities are traceable, because records can provide the foundation for the improvement of the overall risk management approach. (ISO 31000, 2009: 8 – 21).

Based on the abovementioned various components of a risk management framework can be derived. By analysing the above, the following general components of a risk management framework can be identified:

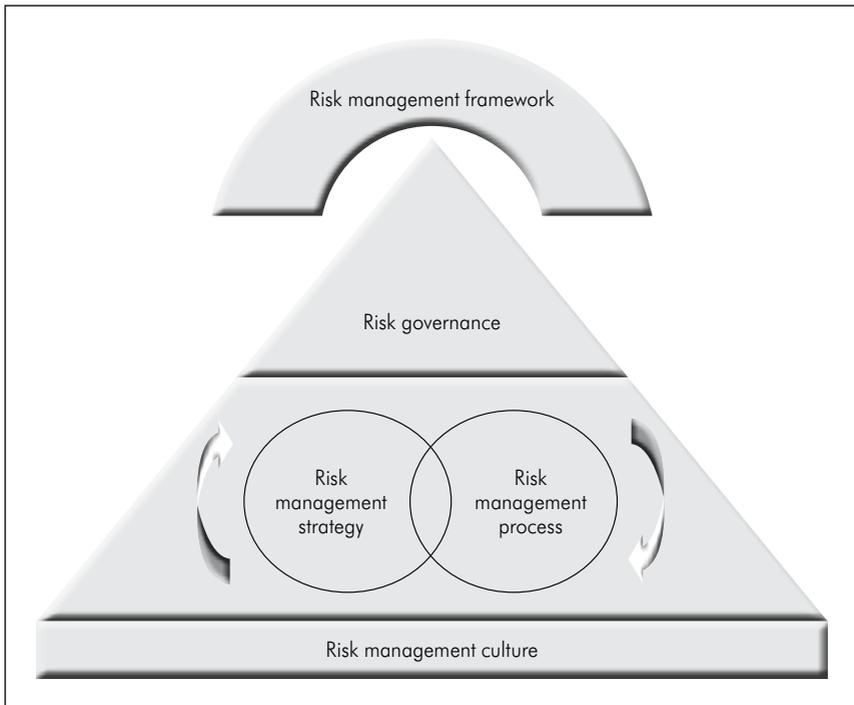
- Risk management culture.

- Governance structure.
- Strategy and planning.
- Risk management process.

The idea is not to eliminate any of the components provided by the different views, but to identify components, which will cover the detail thereof. The aim is to establish a simple and holistic framework, which could assist to remove inconsistencies and ambiguity across organisations operating in a similar environment such as municipalities. It is therefore, necessary to deal with the abovementioned components in more detail in order to identify guiding criteria and principles for implementation. Figure 1 illustrates an approach to a risk management framework.

The figure indicates the four main components of a risk management framework. The bottom of the figure shows risk management culture as the underlying platform and risk governance as the overall management supported by a continuous integrated risk management strategy and risk management process. The next

Figure 1: Risk management framework



Source: (Author's own conceptualisation)

section deals with a risk management culture in order to determine its significance and to identify guiding criteria for implementation.

Risk management culture

According to Chapman (2011:288), a risk culture is the general business-wide view of how risk management should be implemented. Ashby, Palermo and Power (2014:27) inferred that a risk management culture is the norms and traditions of behaviour of individual and groups within an organisation that determine the way in which risks are identified, understood and acted on. In addition, Chapman (2011:288) stated that an organisation's risk culture encompasses the general awareness, attitude, and behaviour of its employees towards the management of risks. According to a Basel Committee on Banking Supervision (BCBS) report (2014:6), the board of directors should establish strong risk management cultures. According to The Hong Kong Institute of Bankers (2013:29), a risk culture should be one of the main components of an operational risk management framework. According to Young (2014:59), a risk management culture must be established for the total organisation and involves all employees. In addition, it is stated that a risk culture should include the principles of managing risk as well as the potential value to the organisation in managing the risks. According to Hussein (2000:94), risk management needs to be embedded in an organisation's culture and business managers need to understand the risk management framework and staff must be knowledgeable with the philosophy and approach. Because the involvement of all employees are emphasised, it can be deduced that a starting point for embedding a risk management culture could be a definition for risk management. In addition, it is necessary to identify the principles for risk management applicable to the organisation as well as to determine the value for the organisation to actually manage risks. Therefore, it can be derived that a risk management culture should be embedded in an organisation and include at least the following:

- A definition for risk management.
- The principles for managing risk.
- The value of risk management to the organisation.

A generally accepted definition for operational risk management is the definition by the Basel Committee on Banking Supervision (2003), namely that it is a loss resulting from inadequate or failed internal processes, people, systems or external events, which includes legal risk, but excludes reputational and strategic risks. Once a definition for risk management is established, it is necessary to identify the principles for managing risks. These principles should be specific to the organisation and guide all activities in terms of risk management. Example of typical risk management principles can be listed as follows:

- Develop and adopt a definition of risk management.
- Incorporate risk management in the daily processes.
- Establish a risk reporting and communication process.
- Ensure the implementation of a practical risk management process (Young 2014:60).

Although these principles are only examples, it is imperative that all employees are aware thereof and able to enforce and implement it during their daily activities. When these principles are adhered to, it should lead to the realisation of the value of risk management. Chapman (2011:288) stated that a well-defined risk management practice would count for little unless it is embedded within the organisation as a whole and part of the risk culture. This could be achieved by establishing risk management principles as part of the organisation's culture.

According to Potter and Early (2014:142), a values-driven risk management process can assist in managing risks driven by behaviour and the worth to the organisation in a manner that is consistent with the organisation's values. On the other hand, it can also be assumed that risk management should add value to the organisation. Once the value of risk management is known to all levels of management, it is envisaged that the implementation of risk management principles would be enhanced ensuring a risk management culture which could support the organisation's strive towards achieving business objectives. Examples of the value-add of risk management are as follows:

- Providing of reliable, relevant and timely risk information for adequate decision-making.
- Monitoring of risk trends to proactively determine preventative actions.
- Providing risk information as input for a realistic risk appetite (Young 2014:60).

In order to get the support of decision-makers for risk management, it is important to identify and understand the potential value-add to ensure a combined effort by all role-players when managing risks.

It seems apparent that the alignment of culture, principles, values and performance could lead to the effective management of risks on a continuous basis. Therefore, a conclusion is that the risk management culture forms an integral component of a risk management framework and could be viewed as important criteria when embedding a risk management framework.

According to the abovementioned review, the following criteria can be defined to establish an effective risk management framework in an organisation:

- Risk culture should be incorporated into a risk management framework and known by all employees.
- Risk management principles should serve as a guideline for risk management.
 - Embedded and known definition for risk management.

- Incorporated risk management into the daily activities of all employees.
- Established risk reporting processes throughout the organisation.
- Established risk management processes.
- Value of risk management should be clearly communicated to all stakeholders.
 - Risk management information should be reliable and available for decision-making.
 - Risk management should allow for proactive actions.
 - Risk information should add value to determine a realistic risk appetite.

According to Young (2014:59), it takes a strong governance structure to establish and reinforce a risk management culture. Anwar (2013:3) mentioned that sound internal governance forms the foundation of an effective operational risk management framework and it is the responsibility of directors of organisations. Therefore, it is imperative to deal with risk governance as the next component of a typical risk management framework.

Risk governance

Blunden and Thirlwell (2010:39) stated that organisations are required to have good governance, as it is the starting point of sound operational risk management. According to (2011:12), corporate governance forms an essential part of risk management because it provides the top-down monitoring and actual management of risk in the organisation. The Hong Kong Institute of Bankers (2013:198) revealed that strong internal governance is at the heart of an effective risk management framework and it is the responsibility of management. According to the BCBS (2014:13), the board of directors should develop a clear, effective and robust governance structure that outlines well-defined, transparent and consistent lines of responsibility. In addition, according to the Public Finance Management Act of 1999 (38.1.a.i.), the accounting officer is responsible for the “effective, efficient and transparent systems of financial and risk management and internal controls”.

The Financial Stability Board (FSB 2013:iii) added to the previous view by inferring that risk governance is a framework which an organisation’s board of directors and management communicate and monitor activities to be aligned with a set risk appetite and within defined risk tolerance levels. According to The Treasury Board of Canada (2001:2), the purpose of a risk management framework is to provide guidance to promote the corporate risk management function, contribute to establishing risk management structures with roles and responsibilities and to propose a set of risk management practices. Therefore, it can be gathered that the risk management structures of an organisation should be established and the roles and responsibilities for risk management should be clearly defined. From the abovementioned, it is evident that the board of directors plays a vital role in

risk management and it is therefore important that roles and responsibilities must be clearly outlined. According to the Institute of Operational Risk (IOR) (2010), a board of director's key responsibilities regarding operational risk are to:

- approve and regularly review the organisation's risk framework and provide clear principles regarding the risk management framework;
- ensure that all employees at all management levels are clear as to their roles and responsibilities regarding risk management;
- approve the risk policies and set the risk appetite for various operational risks;
- evaluate risk reports on operational risk exposures, including risk appetites, in order to ensure appropriate and timely action is taken; and
- ensure that the risk framework and the relevant processes are audited on a regular basis according to independent audit standards.

The role of the board of directors is almost certainly one of the more important concerns of corporate governance regarding risk management. The efficiency of a board of directors can for example be assessed by using the following principles, stipulated by the King Report (2002):

- *Fairness*: all processes and systems of the organisation must be sensible and consider all involved role-players and the future of the organisation.
- *Transparency*: involves the ease with which someone external to the organisation is able to analyse the organisation's actions, economic and non-financial status pertinent to the organisation's business. As such, it determines how sound management is in providing information to reflect the actual situation of the organisation.
- *Independence*: entails the degree to which procedures are affected to address and avoid potential conflicts of interests, such as the composition of the board of directors and board of committees.
- *Responsibility*: allows for remedial action and disciplining negligence regarding the management of the organisation. The board of directors is accountable to the organisation and must perform responsibly towards all stakeholders.
- *Social responsibility*: ensures that a well-managed organisation is aware of, and will respond to social issues and placing a high priority on ethical values.
- *Discipline*: entails the devotion by senior management to adhere to performance that is generally acceptable and ethical.
- *Accountability*: comprises the allocation of accountability to those making decisions. This keeps stakeholders informed with the means to question and assess the actions of the board and its committees.

The aforementioned clearly emphasises the important role of the board of directors regarding risk management. It is also important that these roles and responsibilities be incorporated into a risk management policy. Based on the

abovementioned, the following criteria for effective risk management in terms of risk governance can be identified:

- Risk governance should be an integral part of a risk management framework.
- The role of the board of directors should be clearly stipulated and include the following:
 - Approval and regular review of the risk management framework.
 - Provide clear principles for risk management.
 - Approve risk management policies.
 - Set the risk appetite.
 - Evaluate risk reports and make timely decisions.
 - Ensure regular auditing of the risk management framework and processes.
 - Develop clear, effective and robust governance structures for the organisation.
 - Ensure transparent, well-defined and consistent lines of responsibilities throughout the organisation.

Regarding risk management, it is imperative that the roles and responsibilities of all employees are clearly stated (ISO 31000, 2009:8 – 21). The most important role-players, apart from the board of directors, can furthermore, be grouped as follows:

- **Business management** who should be responsible for managing risks within their areas of responsibility. They are also the risk owners and their primary responsibilities include risk identification and assessment. Risk assessment is a significant risk management activity to ensure a continuous risk management process and can be integrated into an organisation's strategy, business, budget and audit planning processes, instead of executed as an external independent process (Young 2008:41).
- **Risk management** should be responsible for setting risk policies, performing a monitoring role, coordinating risk reports and providing advice to business managers (Young 2014:55). According to Swenson (2003:23), a centralised risk management function should set risk management policies and facilitate operational risk reports.
- **Internal audit** should ensure an independent confirmation to top management that the risk management processes are adequate and being executed to the best interest of the organisation. According to Young (2014:57), internal audit should provide an overall assurance of the adequacy of risk management and can include the evaluation of controls and reviewing the competence and effectiveness of risk management processes.

In conclusion, Blunden and Thirlwell (2010:39) stated that good governance is about enabling the board and senior management to guide and direct the

risk strategy and to review its effectiveness. Therefore, the next component of a risk management framework, namely a risk management strategy will be addressed.

Risk management strategy

According to the Association of Insurance and Risk Managers (AIRMIC) (2010), a strategy sets out the long-term aims of the organisation and the strategic planning horizon for an organisation. Furthermore, it is stated that risk management is a central part of the strategic management of any organisation. However, a risk management strategy is derived from the organisation's overall strategy. According to COSO (2004), strategic objectives are high-level goals that are aligned with the organisation's mission, vision and strategic objectives. In considering these strategic objectives, management identifies risks associated with these strategic choices and considers the implications. In addition to this view, AIRMIC (2010) states that risk management should be a continuous process that supports the development and implementation of the organisation's strategy. The actions of a typical strategic planning process can be stipulated as follows:

- Vision – defining the vision statement of the organisation to determine its future.
- Mission – aligning the organisation's business functions to support the vision.
- Internal and external environment – evaluate the internal and external factors which could influence the product, service or success of the organisation.
- Strategic goals and objectives – define the strategic objectives of the organisation to ensure it is a successful organisation aligned with its vision and mission (Young 2014:44).

According to ISO 31000 (2009: 8 – 21), management should ensure to align risk management objectives with the overall objectives and strategies of the organisation. The setting of a realistic risk appetite for the organisation can be seen as a primary objective of a strategic risk management process. Girling (2013:238) inferred that risk appetite is the total risk the organisation is willing to take. Therefore, it is important that the formulation of the risk appetite forms an integral part of an organisation's strategic planning process in order to ensure that the strategic objectives are aligned with the risk appetite. However, it is vital that the risk management process as a whole should be integrated into the strategic planning process of an organisation. If the aim of the strategic planning process is to determine the organisation's objective, the aim of the strategic risk management process can be seen as the setting of a realistic risk appetite. This can be illustrated in figure 2.

Figure 2: Integrated view between the aims of strategic planning and risk planning processes



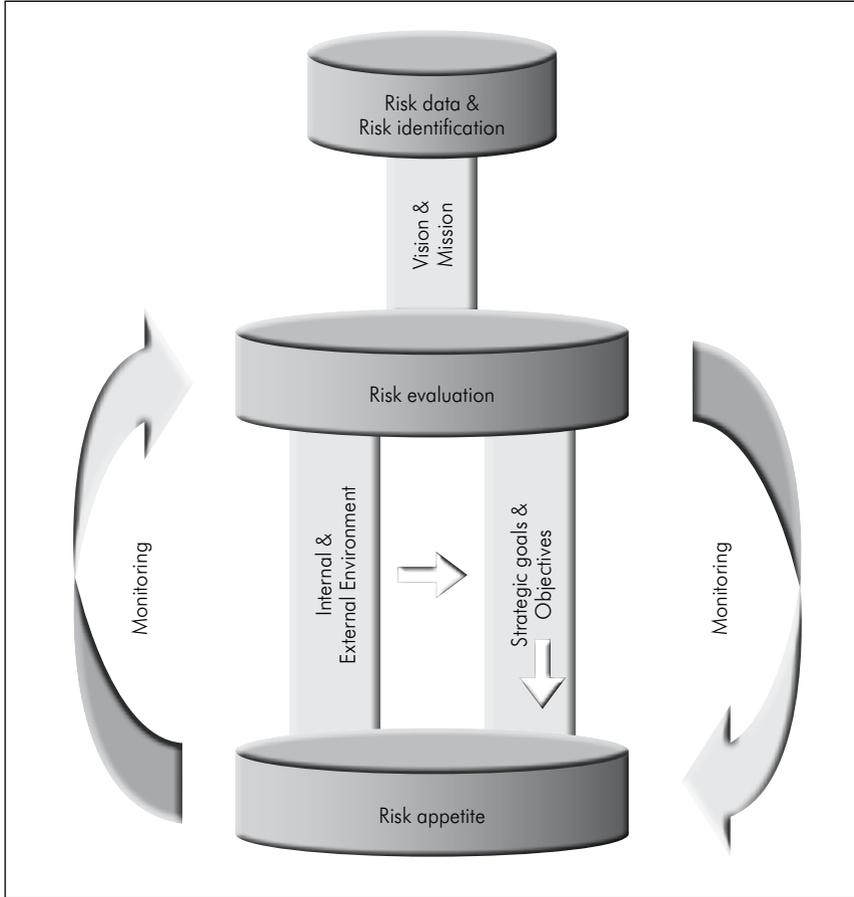
Source: (Author's own conceptualisation)

An integrated strategic risk and management process could include the following steps:

- Collate data relevant to the business strategy and objectives, for example the applicable risk types and risk exposures.
- Evaluate the data to determine the potential influence of the risks on the business objectives.
- Set the risk appetite for each business objective in order to determine the tolerance levels for possible losses.
- Monitoring the risk management during the execution of the business objectives to ensure adequate controls and identifying possible new risk exposures that must be addressed (Young 2014: 44 – 45).

Chapman (2011:289) mentioned that a risk strategy is a description of the objectives of the risk management process and importantly should be expressed in terms of its contribution to the business objectives. This could, for example be achieved by means of including the risk appetite when defining the strategic objectives. The European Network and Information Security Agency (ENISA 2013) define a risk management strategy as an integrated business process which includes all risk management processes, activities, methodologies and policies carried out by the organisation. An integrated approach between strategic management and risk management is illustrated in figure 3.

Figure 3: Integrated approach to a strategic and a risk management process



Source: (Author's own conceptualisation)

This figure indicates that risk data is collated to identify the risks and serve as an input to determine the vision and mission of the organisation. Once determined, risks are evaluated as part of the internal and external analysis of the environment, which provides an input to determine the strategic goals and objectives in setting the risk appetite. Once the objectives and risk appetite are determined a continuous monitoring process ensures that control measures to manage the risks during the execution of action plans to achieve the objectives within the risk appetite are adequate. To ensure an effective strategic management process, it is necessary to integrate the various steps of a typical risk management process, which will be dealt with in the next section.

Risk management process

According to ISO 31000 (2009: 8 – 21), a risk management framework contributes to the effective management of risks by means of the application of a risk management process. Chapman (2011:137) supported this view and stated that to embed a risk management framework involves the implementation of a risk management process. According to ISO 31000 (2009: 8 – 21), a risk management process is one that systematically applies management policies, procedures and practices to identify, analyse, evaluate, treat, monitor and review risk. Girling (2013:219) inferred that an operational risk process is intended to identify, assess, control and mitigate and monitor operational risk. From the abovementioned, it is evident that there is typically a common perception of the parts of a risk management process. If the abovementioned views are analysed, the generic components of a risk management process can be recognised to be risk identification; risk evaluation; risk mitigation and control; and risk monitoring. A brief description of each of these components will be dealt with in the next section in order to conclude with the last component of an operational risk management framework.

Risk identification

Risk identification can be seen as an activity to identify the risk exposures that could possibly affect the successful achievement of business objectives of an organisation. Chapman (2011:159) concluded that risk identification is regarded as a process involving experienced staff who will generate a series of risks and opportunities that could be included in a risk register. This activity involves the analysis of business processes in terms of its objectives, which requires information to identify the inherent risks. According to ISO 31000 (2009: 8 – 21), risk identification aims to identify the risks that are relevant to the organisation's strategic objectives. Therefore, the sources of risk, events or sets of circumstances and their potential consequences should be identified to generate a comprehensive list of risk exposures that could influence the accomplishment of business objectives. The responsibility for performing the risk identification process is that of the business owners who should ensure that the outcome is a realistic risk register of the identified risk exposures. As such, the risk registers should contain the identified risks and can then serve as a basis for the next component and activity of the risk management process, namely risk evaluation.

Risk evaluation

Risk evaluation can be regarded as the logical next step after the risks have been identified. These identified risks are assessed to determine its importance and to be able to determine mitigating and control measures. According to Croitoru

(2014:21 – 31), the aim of risk assessments is to perceive exposed processes carried out according to the likelihood of occurrences and the potential financial consequence for the organisation. Chapman (2011:197) reasoned that risk evaluation aims to assess the identified risks as well as potential opportunities for the business. As such, the risk evaluation process aspires to determine which risks require the attention of management. This process should entail the analysis of the identified risks in order to understand the risk and to provide an input to evaluate/ assess the risks. According to ISO 31000 (2009:8 – 21), risk evaluation serves to assist in making decisions, based on the outcomes of risk analysis, about which risks need to be prioritised and treated. In addition, it can be concluded that risk evaluation entails the analysis of the identified risks to ascertain the potential likelihood and impact of the risks. It also involves the assessment of risk control measures, which deal with the identified risks. After assessing the control measures the residual risks can be finalised, which will also indicate the priority risks that should be managed by means of mitigation or additional control measures, which will be dealt with in the next section.

Risk mitigation and control

Risk control is regarded by many as an important part of a risk management process. According to Olsen and Wu (2008:73), risk control relates to implementing control measures to minimise the effect or avoid the consequence of risk events. These control measures can be reactive in nature, meaning controls will be put in place after an incident or proactive where resources are positioned to deal with incidents before they occur. According to Croitoru (2014:21 – 31), risk control endeavours to convert uncertainties into an advantage for the organisation, restricting the level of risk exposure. Chapman (2011:294) stated that the risk control measures must be relevant in terms of significant issues or events and associated with the primary business objectives. In addition, Chapman (2011:294) inferred that controls must be timeous so that there is enough time to act before negative events become incurable. Young (2014:47) inferred that the management of risk control measures should include the use of techniques to reduce the prospect of an incident, which could result in a loss. As such, its purpose is to eliminate or minimise the potential effect of the identified risk exposures.

According to the abovementioned views, it is clear that risk mitigation and control forms an imperative part of a risk management process. It is essential to prevent a loss from occurring or to minimise the negative effect if a risk incident should take place. In addition, it is also apparent that to be proactive decisions must be made timeously and at the right management levels (Young 2015:881 – 896).

In addition to the abovementioned importance of risk control, it is also necessary to note that risk management is a dynamic process, which requires the

continuous updating of the risk register according to changing circumstances that could lead to new risk exposures. This highlights the importance of a continuous risk monitoring process.

Risk monitoring

Young (2015:881 – 896) mentioned that risk monitoring should be performed regularly. According to ISO 31000 (2009:8 – 21), monitoring involves the following:

- analysing and learning lessons from events, changes and trends;
- detecting changes in the external and internal context including changes to the risk itself which may require revision of risk treatments and priorities; and
- ensuring that the risk control and treatment measures are effective.

Dowd, cited by Alexander (2003:46), revealed that the result of a risk identification and evaluation process is most likely a number of risk indicators, which could assist with the continuous monitoring of operational risks. According to ISO 31000 (2009:8 – 21), the monitoring of risks should be planned and form a component of a risk management process.

Chapman (2011:234) inferred that the main goal of the monitoring of risks is to observe the functioning of risk control actions and to advise on the need for proactive management intervention. The monitoring process will be sufficient when it has satisfied the following sub-objectives:

- The development of warning indicators.
- The monitoring of the internal and external context to ensure the determination of opportunities and risks.
- The timeous implementing of responses to risks and opportunities.
- The continuous updating of risk registers regarding changing circumstances and related actions.
- The reporting on risk management actions to provide a view on the progress made in the success or failure of these actions.
- Contingencies are revised to reflect the current risks and opportunities.

Cleary and Malleret (2006:79) stated that it is management's responsibility to ensure that there are procedures in place to: monitor the events that could result in a loss; provide early warning of changing circumstances that could result in an increase in risk; and ensure that these observations are communicated promptly to the correct management level to address by means of appropriate decisions. According to ISO 31000 (2009:8 – 21), the results of monitoring the risks can be recorded and externally and internally reported on as appropriate. It is clear that risk reporting also forms a crucial part of risk monitoring and therefore the information stemming from the risk management process (risk identification, risk evaluation, and risk control) should be accurate and generated from reliable risk

management methodologies such as, for example, risk and control self-assessments, key risk indicators, and scenario planning. These methodologies fall outside the scope of this study and can be a subject for further research.

In order to serve as a guideline to embed an operational risk management framework, guiding criteria can be deduced from the aforementioned literature review and subsequent conclusions. Therefore, the next section will determine these guiding criteria.

CRITERIA FOR AN OPERATIONAL RISK MANAGEMENT FRAMEWORK

Criteria for an operational risk management framework aim to support organisations (municipalities) to manage their operational risk in an effective way. A list of the criteria for embedding an operational risk management framework can be arranged into the following primary categories:

- Components of an operational risk management framework.
- Risk management governance and the roles and responsibilities of role-players.
- Risk management culture.
- Risk management strategy.
- Risk management process.

Derived from the literature, the criteria for an operational risk management framework are set out in Table 1 according to the abovementioned categories.

To determine the applicability of the criteria identified above, a survey was used to confirm the criteria for embedding an operational risk management framework and to determine the current standing of implementation of an operational risk management framework by municipalities in South Africa. However, it is firstly necessary to conceptualise the context of the local government in South Africa.

CONTEXT OF LOCAL GOVERNMENT IN SOUTH AFRICA

Government in South Africa is structured in three spheres, namely: National Government; Provincial Government; and Local Government or Municipal Government. This article focusses on the municipal government, divided into the following categories of municipalities:

- Metropolitan Municipalities.
- District Municipalities.
- Local Municipalities.

Table 1: Criteria for an operational risk management framework

Category	Criteria
Risk management framework	<ul style="list-style-type: none"> • An operational risk management framework should be a conceptual structure consisting of components of risk governance, risk culture, risk strategy and risk management process. • Operational risk management framework should contribute to the achievement of business objectives. • Operational risk management framework should serve as a guideline to: <ul style="list-style-type: none"> • Establish an integrated risk management environment. • Develop a cultural awareness. • Develop roles and responsibilities. • Create a common understanding of operational risk management. • Operational risk management framework should lead to a proactive approach to operational risk management.
Risk management governance	<ul style="list-style-type: none"> • The board of directors should develop a clear, effective and robust risk governance structure that outlines well-defined, transparent and consistent lines of responsibility. • The board of directors and management should communicate and monitor activities to be aligned with a set risk appetite and within defined risk tolerance levels. • Risk management structures of an organisation should be established and the roles and responsibilities for risk management should be clearly defined. • The board’s key responsibilities regarding operational risk should include: <ul style="list-style-type: none"> • approve and regularly review the organisation’s risk framework and provide clear principles regarding the risk management framework; • ensure that all employees at all management levels are clear as to their roles and responsibilities relating risk management; • approve the risk policies and set the risk appetite for various operational risks; • evaluate risk reports on operational risk exposures, including risk appetites, in order to ensure appropriate and timely action is taken; and • ensure that the risk framework and the relevant processes are audited on a regular basis according to independent audit standards. • Business management should be responsible for managing risks within their areas of responsibility. • Risk management should be responsible for setting risk policies, performing a monitoring role, coordinating risk reports and providing advice to business managers. • Internal audit should ensure an independent confirmation to top management that the risk management processes are adequate to ensure the best value to the organisation.

Category	Criteria
Risk management culture	<ul style="list-style-type: none"> • Risk culture should encompass the general awareness, attitude and behaviour of employees toward risk management. • Risk culture should be an integral part of a risk management framework and known by all employees. • Risk culture should include the principles as a guideline for risk management: <ul style="list-style-type: none"> • Embedded and known definition for risk management. • Incorporated risk management in daily activities. • Establish a risk reporting and communication process. • Established risk management processes. • Risk culture should entail a value-driven approach. <ul style="list-style-type: none"> • Providing reliable, relevant and timely risk information for decision-making. • Monitor trends for proactive preventative actions. • Providing risk information to set a realistic risk appetite.
Risk management strategy	<ul style="list-style-type: none"> • Management should ensure the alignment of risk management objectives with the objectives and strategies of the organisation. • The setting of a realistic risk appetite for the organisation should be a primary objective of a strategic risk management process.
Risk management process	<ul style="list-style-type: none"> • A risk management framework should include the implementation of the risk management process. • Sources of risks and their potential consequences can be identified to generate a comprehensive list of risks that can potentially negatively influence the achievement of business objectives. • Identified risks should be included in a risk register. • Identified risks should be assessed to determine its importance and to be able to determine mitigating and control measures. • Risk evaluation should assist in making decisions to prioritise risks that must be treated. • Risk control should include an activity of assessing and applying controls to reduce or avoid the consequence of risk exposures and events. • Risk monitoring should be a continuous process that is a component of a risk management process. • Risk monitoring should ensure that there are effective procedures in place to determine the events that could cause or increase risks. • Risk monitoring should ensure that there are early warning mechanisms in place to identify increasing risks, and that these observations are communicated swiftly to the correct management levels for appropriate decisions.

Source: (Author's own conceptualisation)

Metropolitan Municipalities were established in densely concentrated centres of economic activity in South Africa. They also accommodate a large number of citizens who often lack secure and decent access to basic services. These municipalities are managed by a Metropolitan Council responsible for the following key roles:

- City-wide spatial integration and socially inclusive development.
- Promotion of equity, social justice and economic prosperity.
- Promotion of local democracy.
- Provision of affordable and efficient services (The White Paper on Local Governments 1998:50 – 63).

When analysing the detail functions related to each of the abovementioned roles, it becomes clear that risk management should form an imperative part at this government level. There are currently eight Metropolitan Municipalities in South Africa, illustrated in Table 2.

There are currently 44 District Municipalities and 226 Local Municipalities, focusing on growing local economies and providing infrastructure and services to their communities (South African Government internet source).

According to The White Paper on Local Government (1998:62), District Municipalities provide the consistency across the country and ensure relationships with Local Municipalities based on the circumstances in each locality.

Due to a general assumption that risk management is still at a grass root level in most local government departments (municipalities), it was decided

Table 2: Metropolitan Municipalities in South Africa

#	Metropolitan Municipality	Location
1	Buffalo City Metropolitan	Eastern Cape
2	City of Cape Town Metropolitan	Western Cape
3	City of Ekurhuleni Metropolitan	Gauteng
4	City of Johannesburg Metropolitan	Gauteng
5	City of Tshwane Metropolitan	Gauteng
6	eThekweni Metropolitan	KwaZulu-Natal
7	Mangaung Metropolitan	Free State
8	Nelson Mandela Bay Metropolitan	Eastern Cape

Source: (The Local Government System in South Africa, internet source)

to concentrate the risk management survey at the Metropolitan level, with the view to possibly expand this research and the results to the District and Local Municipalities in the future.

RESEARCH METHODOLOGY

As part of the empirical study of this article, the eight Metropolitan Municipalities of South Africa were approached to participate in a survey. The aim of the survey was to determine the relevance of the criteria for an operational risk management framework as well as to confirm the current status of implementation of such a framework by the municipalities. The questionnaire invited respondents to indicate their views and experiences regarding specific questions on the identified criteria related to an operational risk management framework as well as their views on the status of implementation on a 5-point Likert scale. Descriptive analysis was used to clarify the response according to the following scale: "1. To no degree; 2. To some degree; 3. To a moderate degree; 4. To a degree; 5. To a full degree".

The data was collated by means of a closed-ended questionnaire, which was distributed to the respondents who were identified as the employees involved in risk and compliance management, internal audit, financial management and business management. The primary reason for distributing the questionnaire to the aforementioned was that these positions can be seen as the key role-players in an organisation's risk management processes. The results of the survey are dealt with in the next section.

RESEARCH RESULTS

The questionnaire was distributed to various role-players of the Metropolitan Municipalities via LimeSurvey and individual contacts. A 65% response rate was recorded of which the results were used for analysis purposes. Most of the respondents either were in business management (30.8%) or risk management (30.8%), indicating that the response should be reasonably accurate in terms of the concepts and management of risks, because they can be seen as the primary role-players regarding risk management.

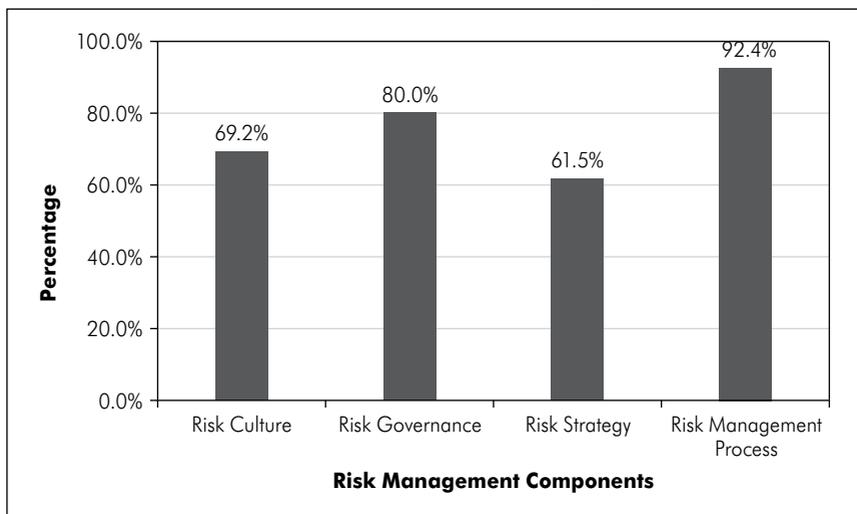
Regarding the years of experience, 31% of the respondents indicated that they have more than 10 years' experience, while 27% have between 5-10 years' experience. As such it can be deduced that the respondents have a high level of experience in their municipalities and potential exposure to risk management. On the other hand, 42% of the respondents indicated that they have less than 5

years' experience within their respective municipalities. In terms of risk management the response shows that 28% of the respondents have more than 10 years' experience, while 35% have between 5 to 10 years' and 26% between 3 to 5 years' experience. As such, an assumption is that risk management is still a fairly new concept for the majority of role-players of the Metropolitan Municipalities. However from the years' of experience of the respondents in the business combined with that of risk management, it can be concluded that the response can be used to derive acceptable conclusions and recommendations in terms of the risk management concepts covered by the questionnaire.

According to the response on the question if an operational risk management framework is embedded in an organisation, 80.8% of the respondents agreed "to a full degree" that it should be embedded. However, only 23.1% of the respondents indicated that it is embedded "to a degree" and "to a full degree", 42.3% "to a moderate degree", 19.2% "to some degree" and 15.4% "to no degree". From these percentages, it can be concluded that embedding an operational risk management framework is still in progress and therefore not yet fully functional in most of the municipalities.

The components of an operational risk management framework were identified as risk culture, risk strategy, risk governance and risk management process. According to the response (illustrated in figure 4), a risk management process is regarded as more important than the other parts of an operational risk management framework, followed by risk governance, risk culture and risk strategy.

Figure 4: Components of an operational risk management framework



Source: (Author's own data)

This response also coincides with the order of priority of the components indicated by the respondents. Although the literature emphasises all four components as part of an operational risk management framework, it can be deduced that when a risk management framework is being developed, it could start with the establishing of a risk management process. The risk management process usually concerns the identification, assessment, control and monitoring of risks and as such can be regarded as an indication on what risk management is and how it can be managed. Therefore, according to the response, the risk management process is the most important and shows that it is a crucial part of developing and implementing an operational risk management framework. The second most important component is indicated as risk governance. A reason for this response can be deduced from the fact that risk governance is addressed in the Public Finance Management Act, where the role of the Accounting Officer is stipulated regarding risk management. Although the components of risk culture and risk strategy are indicated as components of an operational risk management framework, they are indicated as the least important. It is, however, clear that these two components (culture and strategy) are not currently an integral part of a risk management framework and seems to be in a process of development. In response the question to what degree does management ensure the alignment of risk management objectives with the municipality's objectives and strategies, only 7.7% indicated that it is the case, while 30.3% indicated that is the case to "no" or "some" degree. This clearly confirms that the integration of risk and strategic management processes are still at a grass roots level. In addition, the formulation of a risk appetite is a result of a successful integrated approach to a strategic and risk management process (Refer to Figure 3). According to the response, 65.4% indicated that the setting of a realistic risk appetite is currently a primary objective of a strategic risk management process. It can thus be deduced that risk management is currently not an integral part of the municipalities' strategic planning processes.

The response indicated that 92.3% agreed "to a degree" and "to a full degree" that an operational risk management framework should be incorporated into a risk policy. However, only 30% indicated that a risk policy is implemented in their municipality "to a degree" and "to a full degree". Thirty-four percent indicated that it is implemented "to a moderate degree", which indicates most municipalities are still in the process of developing and implementing an approved risk management policy.

The research indicated that 69.2% of the respondents agreed "to a degree" and "to a full degree" that a risk management framework should assist in being proactive in terms of risk management. However, 19.2% indicated that a risk management framework is assisting in being proactive "to a degree" and "to a full degree"; while 61.6% indicated that it is assisting "to a moderate degree" and "to

some degree". It can thus be deduced that a risk management framework is not currently fully effective in the majority of municipalities to manage risks.

Regarding the roles and responsibilities of the board concerning operational risk management, the following were identified in order of priority:

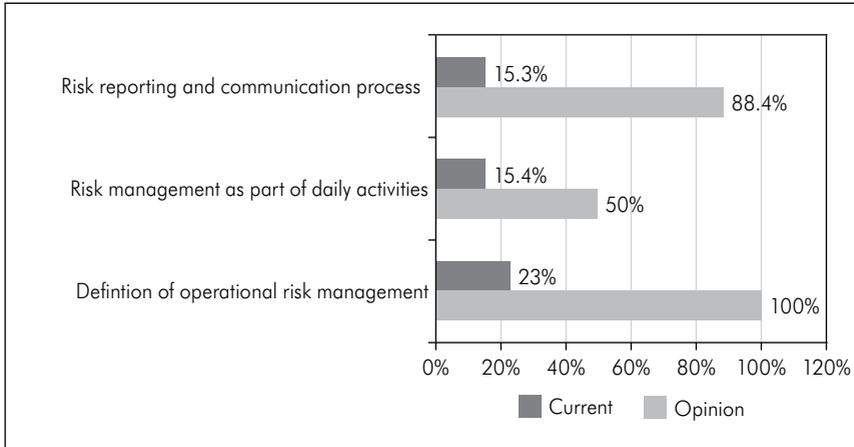
- Approve the risk policies and set the risk appetite.
- Approve and regularly review the organisation's risk framework.
- Evaluate risk reports to ensure appropriate and timely action is taken.
- Ensure that all employees at all management levels are clear as to their roles and responsibilities concerning risk management.
- Ensure that the risk framework and the relevant processes are audited on a regular basis.

From the response, it can be deduced that the approval role of the board concerning risk management is regarded as more important than the other actions such as evaluating the risk reports and ensuring that all employees are clear on their roles and responsibilities towards risk management.

The response, furthermore, indicated that 69.2% of the respondents agreed "to a degree" and "to a full degree" that an operational risk management framework should assist in a municipality being proactive in managing its risks. However, 19.2% indicated that this is currently happening, while the majority (61.6%) indicated that the risk management framework is assisting the municipality to be proactive regarding risk management "to a moderate" and "to some degree". It can therefore be derived that an operational risk management framework is currently not effective in assisting municipalities to be proactive in risk management. In order to exploit the benefits of a risk management framework, it is essential that municipalities consider developing and implementing such a framework.

Regarding the inclusion of the roles and responsibilities of the primary role-players in the risk management framework, 57.7% of the respondents are of the opinion that the roles and responsibilities of business managers regarding risk management should be included in a risk management framework. Hundred per cent agreed that it should include that of risk managers and 19.2% that of internal audit. The response concerning the current situation indicated that 12.2% of the respondents agreed "to a degree" and "to a full degree" that the roles and responsibilities for risk management by business managers is currently included in the risk management framework, 30.8% indicated that it includes the roles and responsibilities of risk management and 11.5% that of internal audit. From the response, it can be deduced that most respondents agreed that the roles and responsibilities regarding risk management by business managers and risk managers should be included in the operational risk framework. Although the current situation seems to require attention, the response confirms that the operational risk management framework for most municipalities seems to be in a development

Figure 5: Risk management principles



Source: (Author's own data)

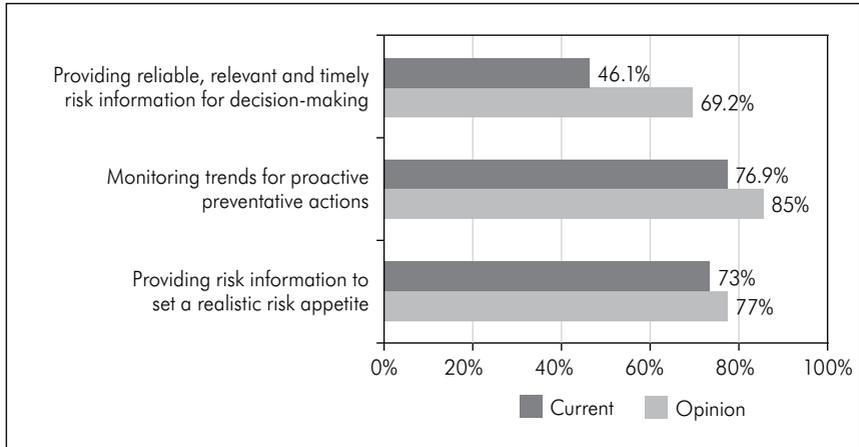
mode and although the roles and responsibilities seem to be defined, it must still be refined and embedded within the municipalities.

Sixty-nine per cent of the respondents indicated that a risk culture should encompass the general awareness, attitude and behaviour of employees towards risk management “to a degree”. However, the response also indicates that 19.2% indicated that this is currently the case “to a degree”, while the majority (61.6%) indicated that it is “to a moderate” or “some degree” the case within their municipalities. This response indicates that the risk culture is not yet embedded in the majority of the municipalities and therefore the benefits of general awareness, attitude and behaviour of employees are not fully exploited.

According to the literature, a risk management culture should include risk management principles. Figure 5 indicates the response regarding important risk management principles.

According to the response, 88.4% of the respondents agreed “to a degree” and “to a full degree” that a risk reporting and communication process is an important principle of a risk culture. However, only 15.3% is of the opinion that it is currently being regarded “to a degree” and “to a full degree” as a principle of an operational risk culture, although 50% indicated that it is “to a moderate degree” part of a risk culture. Regarding risk management as a daily activity and a principle of a risk culture, 50% of the respondents indicated that it should be a principle “to a degree”, although only 15.4% indicated that it is currently the case for their municipalities “to a degree”. Forty-two per cent indicated it as a principle “to a moderate degree”. All the respondents regard a definition of operational risk as the most important principle, although only 23% agreed “to a degree” and

Figure 6: Value-driven Activities



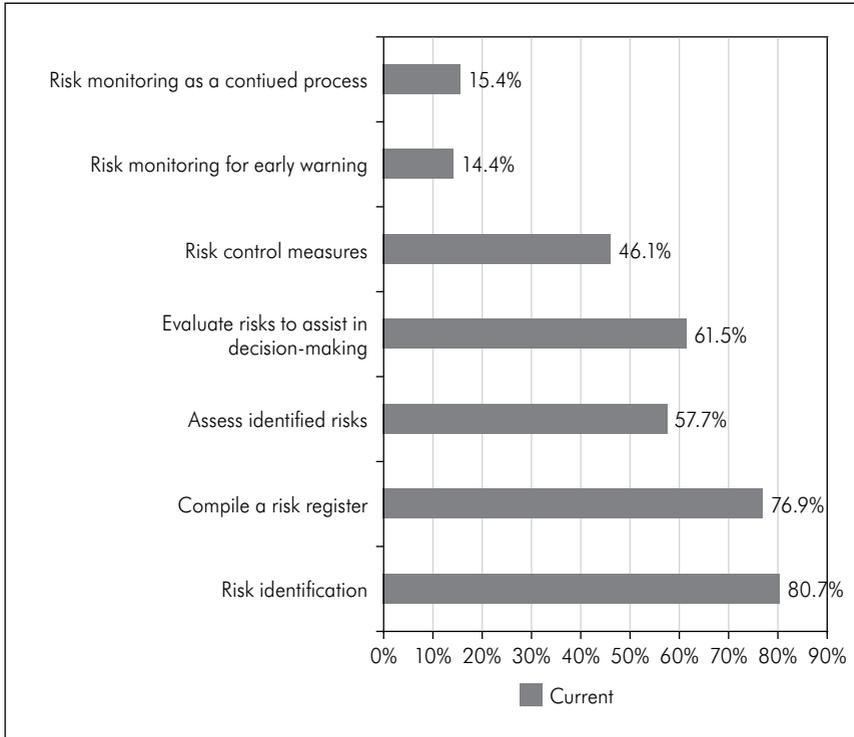
Source: (Author's own data)

“to a full degree” that it is currently seen as a principle of a risk culture. From the response it can be deduced that the three listed principles are regarded as part of a risk culture, however, the current views indicated that it is still not incorporated fully, indicating that the establishment of a risk culture within the municipalities are still in a development phase.

The literature confirmed that a risk culture should be based on a value-driven approach. Three main value-driven activities were identified and the response on the opinion and the current status in municipalities are reflected in figure 6.

The response indicates that 69.2% of the respondents indicated that providing risk information to set a realistic risk appetite is a value-driven activity that forms part of a risk culture, although 46.1% of the respondents indicated that this activity is currently forming part of their risk culture. This seems to be aligned with the overall conclusion that the implementation of a risk management culture still requires attention. Response indicated that monitoring trends for proactive preventative actions is being implemented “to a degree” and “to a full degree” by 76.9% of the respondents, which is almost aligned with the opinion (85%) that it should form part of a risk culture in terms of a value driven approach. It can be deduced that this action is fairly well developed and implemented by most of the responding municipalities. The third activity of providing reliable, relevant and timely risk information for decision-making indicates a response where 77% indicated that it should be a value driven activity “to a degree” and “to a full degree”. The current situation is almost aligned with this view, where 73%, indicated that the activity is at an acceptable level for the responding municipalities. From the overall response it can be deduced that the

Figure 7: Important actions to embed a risk management process



Source: (Author's own data)

municipalities are at a satisfactory level of implementing value-driven activities as part of a risk culture.

The literature review indicated that management should ensure that risk management objectives are aligned with the organisation's objectives and strategy. According to the response, 84.6% of the respondents indicated that they agree with this view "to a degree" and "to a full degree". However, 23.1% of the respondents indicated that they agree "to a degree" and "to a full degree" that this is the current situation for their municipalities. A response of 65% indicated that the risk management objectives are aligned "to some degree" and "to a moderate degree" with the objectives and strategy of their municipalities. This indicates that the alignment of the risk objectives and the objectives and strategy of the municipalities still requires some attention and development in order to ensure this important requirement of a risk management framework is embedded.

The development and implementation of an operational risk management process is regarded as important to ensure a number of actions. These actions and

the corresponding response of the current perceived status within the municipalities are reflected in figure 7.

According to the response, 80.7% of the respondents agreed that risks are identified, which also corresponds with the compiling of a risk register agreed to by 76.9% of the respondents. This indicates that municipalities are adequately identifying risks and registering it in a risk register. Risk identification is also regarded as the first step of an operational risk management process, followed by the next step, namely to assess and evaluate the identified risks. These activities were rated as being implemented by 57.7% and 61.5% respectively. This also indicates an acceptable level of development and implementation of a risk management process. The control component of a risk management process was rated at 46.1%, indicating that the control and mitigating processes are still not adequately applied to proactively manage the identified and assessed risks. The respondents agreed that the monitoring of the risk management processes is still not at an acceptable level of implementation. Risk monitoring as an early warning process and as a continued process were rated as implemented "to a full degree" or "to a degree" by 14.4% and 15.4% respectively. As such, it can be deduced that the responding municipalities adequately implement most components, apart from risk monitoring.

CONCLUSION

This study aimed to provide some insights on concepts and views of an operational risk management framework by means of a literature review. In addition, the study aimed to develop guiding criteria that could be used by municipalities to develop and implement such a framework. It is evident from the literature review that an operational risk management framework should be beneficial to the organisation and be included in its strategic management processes. According to the literature, the main components of an operational risk management framework were identified as a risk culture, a risk strategy, risk governance and a risk management process. The components were analysed in detail in order to identify criteria that could be used as guidelines when establishing an operational risk management framework. These criteria were subsequently subjected to a survey among Metropolitan Municipalities in South Africa firstly, to determine relevance and secondly to determine the current standing of implementation of these criteria, which could add to benefits of embedding an operational risk management framework.

According to the response, it was found that the first component and the related criteria of a risk management culture is an important aspect, however, the respondents indicated that it is still not embedded to an adequate degree.

The second component of a risk management strategy was also found to be in a developing phase, especially concerning the integration of risk management objectives with that of the business strategy and objectives. In this regard, it is recommended that the approach to an integrated strategic and risk management process, illustrated by Figure 3, be considered as a guideline to achieve this objective. The figure indicates how the components of a risk management process can be integrated into a strategic planning process. According to the response, the components of a risk management process are implemented by most municipalities and therefore it should not be difficult to integrate these activities into a strategic planning process.

The third component namely that of risk governance, were indicated as being developed and implemented to a satisfactory level, which can primarily be attributed to the role and responsibilities of the Accounting Officer of a municipality reflected in the PFMA. The fourth component being a risk management process was found to be adequately developed and implemented by the respondents. A risk management process can also be seen as a starting point for risk management, as it usually starts with the identification of risks, followed by registering these risks in a register where after it is assessed, evaluated and controlled. The final activity of a risk management process, which is risk monitoring, was however found to be in a developing phase by the majority of the respondents.

The identified criteria for the development and implementation of an operational risk management framework were found to be applicable. Therefore, the conclusions identified from the empirical analysis can be summarised into the criteria that can assist municipalities to develop and embed a practical operational risk management framework in accordance with the latest approaches and governance in risk management. In addition, the criteria in Table 1 can serve as a checklist to evaluate the status of the implementation of such a framework. It could also be beneficial to address current uncertainties on the concept of an operational risk management framework and therefore addresses the research question of this article namely: are there clear guiding criteria for developing and implementing an operational risk management framework? To address this research question, the purpose of the article was to specify criteria for an operational risk management framework, derived from a literature review. In addition, the criteria can ensure that operational risk management is effective and form part of municipalities' strategy and objectives. Although this article focused on the Metropolitan Municipalities in South Africa, the criteria can be regarded as generic. As such, it can be used by the District and Local Municipalities (or any other organisation) to develop and embed an operational risk management framework to ensure a proactive approach to saving costs, preventing losses and managing risks.

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The Efficacy of Crisis Communication in the Management of Ebola Fever in the Bundibugyo District, Uganda – 2007/2008

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ABSTRACT

To prevent an outbreak from spreading, the mode of communication that is adopted plays a key role. When information about a disease outbreak is not communicated during its early stages, it brings about fear, panic and anxiety. The article addresses the role of crisis communication in managing disease outbreaks in Uganda. The study was carried out in the Western District of Bundibugyo, Uganda, in the two sub-counties of Kasitu and the Bundibugyo Town Council. With regard to the disease outbreak in Bundibugyo, the article attempts to ring-fence to role of crisis communication in managing the Ebola fever outbreak, as well as unearthing related challenges. The methodological approach utilised for this article is quantitative and a qualitative (a mixed-method design) that includes a cross-sectional survey. The study found that key weaknesses in the structural and institutional framework hampered the efficient management of the Ebola fever outbreak and exacerbated the magnitude of factors that led to many deaths in the Bundibugyo District.

BACKGROUND AND METHODOLOGICAL ORIENTATION

Since the turn of this century, the World Health Organisation (WHO) has documented an unprecedented number of disease outbreaks (WHO 2016) throughout the world. Changes in the way we inhabit the planet have disrupted the delicate natural equilibrium of the microbial world; these fluctuations cannot easily be undone (Covello 1992:76). Strategies for healthcare education and social mobilisation during disease outbreaks have been refined in recent years. The WHO, with the support of medical anthropologists, routinely use these strategies in situations where public beliefs about a disease interfere with outbreak control. However, strategies for using the mass media to help control outbreaks are less advanced (Kakuma 2016:11).

Several general characteristics complicate crisis communication interventions to the public during an outbreak (Capron 1989:56). These are further defined by the specific pathogen and the political, economic and cultural context in which the outbreak occurs (Capron 1989:56). As outbreaks are urgent emergencies, rapid efforts should be made to care for infected cases, control the outbreak and prevent it from spreading any further (Kobusingye 2016:89). The speed at which decisions are made can either save lives or cause the disease to spread. As such, rapid decision making should be followed by prompt action, often with the support of an informed public. Although decisions are based on solid scientific information, the unpredictable nature of outbreaks complicate the process and could affect communication with citizens (Covello 1992:76). In the greater African context, public communication strategies have been used successfully during the recent Ebola outbreaks, where control depended on the total engagement of informed and motivated communities (Kakuma 2016:34). In addition, media coverage places those in charge of the outbreak response under close public scrutiny, creating pressure to act rapidly and decisively to protect public health.

In the context of risk communication paradigms, information plays an important role as a measure for precautionary advocacy (when the hazard is high and the outrage is low); outrage management (when the hazard is low and the outrage is high); and crisis communication (when the hazard and the outrage are both high) (Covello 1992:66). Notably, one cannot assume that correct information is all people need to respond appropriately to the situation (Fraenkel and Wallen 2000:89). In general, public health professionals are most comfortable and most skilled in the first of these three paradigms.

According to the WHO (2008:13), effective crisis communication is a particularly vital component of public health emergency response and the management thereof. When the public is at risk of a real or potential health threat, treatment options and resources may be limited and it might take time to organise a direct intervention (Kagoro 2015:23). As such, communicating advice and providing

guidance are often most important tool in managing the risk (Fraenkel and Wallen 2000:89). Crisis communication encourages the public to adopt protective behaviour, facilitates heightened disease surveillance, reduces confusion and allows for a better use of resources, all of which will be necessary for an effective response (WHO 2008:36). Unfortunately, when outbreaks like Ebola occur in Uganda, it is unclear how crisis-related information flows at different levels; whether it is accurate and legitimate; what the complexities and challenges are; and whether there exist communication errors and in which context they occur (Lubaale 2014:6).

During an infectious disease outbreak like Ebola, timely and reliable communication is critical to manage information concerns of key stakeholders affected by the outbreak effectively (Covello 2001:28). Trust comes first in all messages, regardless of the purpose or content of the message. Without trust, success will be limited. Further, it is a long-term process to garner the public's trust, so that they can fully engage the public in the message. In addition to sound communication skills, it requires thoughtful processes and methods (Covello 2001:28). Covello's (2001) risk communication model has proven that traditional communication methods are ineffective in highly stressful and emotionally charged situations. Requirements change drastically in these situations and therefore need incisive, practical communication solutions to calm the situation.

In recent years, disease outbreaks like Ebola have become inevitable and often unpredictable events in Uganda (Kagoro 2015:28). Today, diseases as common as a cold and as rare as Ebola are circling the globe at the speed of light. Crisis communication is an essential element of disease outbreak management (Kakuma 2016:15). Unfortunately, examples of communication dilemmas abound, such as failure to observe confidentiality; and a delayed announcement of a disease outbreak. Often, apathy and low commitment delay outbreak control, undermine public trust and compliance, and prolong economic, social and political turmoil (Palenchar 2008:56). Nonetheless, containment measures including early hospitalisation and isolation, disposal of all materials that come into contact with victims, barrier nursing methods, immediate burial of the dead, provision of health education messages and active surveillance can significantly reduce the number of infections and deaths (Khan 1999:34). However, the above measures can only make sense if they are packaged accurately and communicated in a timely, credible manner to the relevant stakeholders or audiences.

Unfortunately, the Ebola virus outbreak in Bundibugyo may have had a gap in as far as these measures are concerned. The Uganda Ministry of Health (MoH) Report (2007) indicates that the outbreak was confined only to the Bundibugyo District. More than 97% of the cases were detected in four of the ten sub-counties in the district (Kasitu, Bundibugyo Town Council, Bubukwanga and Busaru), while other literature also includes the Harugali Sub-county. The overall attack rate in the district was 43 cases/100 000 people; the highest rate occurred in

the Kasitu Sub-country, followed by the Bundibugyo Town Council (Wamala 2010:44). Inadequate communication had severe repercussions, such as loss of credibility and public trust, public outrage, unnecessary distress and anxiety, as well as conflicts between stakeholders, including those involved in the response. Ultimately, communicating advice and providing guidance is often the most important frontline public health tool in managing a health risk or crisis like Ebola. Therefore, this article aims to establish whether crisis communication interventions contribute to this response.

The methodological approach to this study is both quantitative and a qualitative in nature (mixed method design) and includes a cross-sectional survey design. The qualitative aspect not only investigated the “what”, “where” and “when”, but also the “why” and “how” of decision making. The study made use of systematic sampling, which involves using a simple random sampling design (Ragin 2011:187). The sample consisted of seventy-five respondents, which included five top health administrators, fifty-five residents whose families were affected by Ebola and fifteen healthcare workers. This necessitated the use of the interview method and questionnaires. Primary data was obtained through self-administered questionnaires, while the interview process was based on systematic and established research procedures.

The researchers endeavored to obtain a validity of coefficients of at least 0.70, or 70%. Furthermore, the researchers took multiple measurements, observations or samples to verify response consistency and to customise questions so that only appropriate questions were asked. Data was sorted using the Statistical Package for Social Scientists (SPSS) method. Bivariate analysis was used in the first descriptive stages of research. Hereafter it was supplemented by more advanced, inferential analysis. Qualitative data was analysed using both thematic and content analysis.

CONTEXTUAL CLARIFICATION

Unexpected diseases like Ebola can catch emergency response teams off guard or exceed existing crisis management plans. As non-routine risks, they cannot be managed by routine procedures and require unique, extreme measures (Fraenkel and Wallen 2000:45). This creates uncertainty because response teams cannot pinpoint the causes and ultimate effects of the crisis without some degree of investigation (Fraenkel and Wallen 2000:45). In the context of this article, the term “emergency disease” refers to the Ebola Hemorrhagic Fever (Ebola), a severe, often-fatal disease in humans that killed 43 people in the Bundibugyo District in 2007 (Fischhoff 1995). The term “risk stakeholders” refers to all groups, individuals, institutions, agencies, response teams that are affected or at risk of infection during the outbreak (Jezek, Szczeniowski, Muyembe-Tamfum, McCormick and Heymann 2010:34).

The study area for this article is the Bundibugyo District in Western Uganda, which is bordered by the Hoima District to the northeast, the Kibaale District to the east, the Kabarole District to the south, and the Democratic Republic of the Congo (DRC) to the west and north. By road, the district headquarters at Bundibugyo are located approximately 32 kilometers west of Fort Portal and 71 kilometers north of Kasese, the largest city in the sub-region.

According to the *Emerging Infectious Diseases Journal* (2010:12), the *Bundibugyo ebolavirus* species was identified during an outbreak of Ebola Viral Hemorrhagic Fever in Bundibugyo District (Johnson and Breman 2010:22). To investigate whether the outbreak required response, Ebola fever response teams instituted a case-series investigation (*Emerging Infectious Diseases Journal* 2010:11). They identified 192 suspected cases, of which 42 (22%) were laboratory positive for the novel species; 74 (38%) were probable, while 77 (40%) were negative. Laboratory confirmation delayed the outbreak verification by three months (Johnson and Breman 2010:29).

With a case-fatality rate of 34%, the *Bundibugyo ebolavirus* was less fatal than the Ebola viruses that had caused previous outbreaks in Zaire in 1976. However, most transmissions of the Ebola fever in Bundibugyo District was associated with handling corpses without appropriate protection, which was due to a lack of appropriate safety and risk information (Johnson and Breman 2010:29). This posed a gap that needs to be filled in managing future outbreaks (Kagoro 2015:29). Studies by experts highlight that healthcare workers should maintain a high suspicion index for viral hemorrhagic fevers; capacity should be built for laboratory confirmation of viral hemorrhagic fevers; and standard precautions and increased awareness on risk practices should be institutionalised among healthcare workers and the general public (Jezek, Szczeniowski, Muyembe-Tamfum, McCormick and Heymann 2010). The current study investigates whether these recommendations have been operationalised.

CONCEPTUAL AND THEORETICAL CLARIFICATIONS

Communication is a two-way process aimed at exchanging information, news, ideas and feelings, while also creating and sharing meaning. For communication to take place, a person or institution (sender) sends a message to a recipient or group of recipients, also referred to as receivers. Communication can only take place when the intended recipient(s) receives and understands the transmitted content in accordance with its original purpose. This two-way process of reaching joint understanding is referred to as encoding-decoding (<http://www.business-dictionary.com/definition/communication.html>).

Effective communication has certain key characteristics (<http://www.livestrong.com/article/69309-effective-communication>). The ability to convey a message clearly (encoding) helps ensure that the receiver understands the message (decoding). When decoding a message, the recipient should try and understand the message. Context, which includes the factors such as age, religion, sex and intellectual abilities, should be considered. Feedback can help confirm whether the receiver understand the message. The key to encoding a message is to have an in-depth understanding of your audience (www.mindtool.com in Rushingabigwi 2017).

Effective communication is based on whether the recipient understands the message exactly as the sender had intended. With effective communication, the sender delivers the message timeously, so that the receiver can hear, interpret and make use of the message as per its intended purpose. As various filters can interfere with the effective delivery or receipt of messages, perfect communication is rare.

There are subtle but distinct differences between effective and efficient communication. Effective communication is primarily concerned with ensuring that the recipient or audience comprehends and interprets the message correctly – even if it takes time. For example, managers know that it is crucial for employees to understand directions. Conversely, an efficient message focuses on urgent information dissemination to the receiver, even if it could lead to less-effective communication.

The concept of Crisis and Emergency Risk Communication (CERC) was crafted by the Center for Disease Control and Prevention (CDCP) after the 9/11 attacks on the World Trade Centre, and the 2001 anthrax attacks in New York City, to combine image and reputation research with persuasion and strategic messaging research (Seeger 2010:16). As a disease spreads in anticipated ways, public advice could not be based on pre-existing knowledge regarding naturally caused anthrax (Fearn-Banks 2007:38). Therefore, it needed to evolve according to emerging facts about the outbreak. Many questions that help the population understand the degree of personal risk and cope accordingly, simply could not be answered with certainty (WHO 2004:56).

According to Covello, risk communication entails a “process of exchanging information among interested parties about the nature, magnitude, significance, or control of a risk”. Covello’s (1992) notion of effective risk communication explains the concept of challenges relating to crisis communication (Seeger 2010:16). For the purposes of this article, Covello’s (1992) was deemed a suitable source and reference for analysing crisis communication and emergency disease outbreaks in Africa.

Covello (2001:24) considers risk communication as a science-based approach for conveying information in potentially dangerous situations. Covello (2001:24),

views a crisis as an unexpected, non-routine health hazard that creates a high level of uncertainty and potentially negative outcomes to the public. This definition relates well with crisis communication, which encompasses messages delivered to the public during life threatening emergency events. Fearn-Banks (2007:45) notes that crisis communication is concerned with transferring information to significant persons (the public) to help avoid or prevent a crisis or negative event, facilitate crisis recovery, as well as maintain or enhance reputation.

Both definitions resonate with the Trust Determination Model, which emphasises trust and the credibility of messages during high-stress, highly concerning and emotionally charged situations (Kagoro 2015:13). The applicability may have a positive or negative effect on the goals of the outbreak response. In this case, crisis communication referred to response teams' efforts to inform individuals, groups, institutions and the public about the emergency. This definition is selected because of its relevance to the purpose of the study.

As far as information absorption and exchange within communities are concerned, the following three theories are of significance. According to the Knowledge Gap Theory, information is not evenly acquired by every member of society. For example, people with a higher socio-economic status tend to have a better ability to acquire information. This knowledge gap can lead to a greater rift between people of a lower and higher socio-economic status. In a local democracy context, a local authority should acknowledge that people of a higher socio-economic status obtain and interpret politically relevant information in different ways than less educated people (Van der Waldt 2010, in LGI 2015).

The Muted Group Theory explores the experience of marginalised or disadvantaged groups in society, such as the elderly and women. Marginalised groups' lack of political voice remains a significant challenge. Stakeholders in local democracy should make adequate provision for the "muted" groups in the community (Van der Waldt in LGI 2015).

The Spiral of Silence Theory suggests that when public opinion is formed, minority groups' cultural issues may be silenced. A fear of isolation may prompt minority groups to remain silent when they feel that the majority does not share their views. Shifts in public opinion occur regularly and therefore this theory is used to help explain certain political behaviour (Van der Waldt 2010 in LGI 2015).

CRISIS COMMUNICATION DURING DISEASE OUTBREAK IN UGANDA

Responses to the questionnaire were measured according to a five-point Likert scale, where one represented "strongly disagree" and five represented "strongly agree".

Table 1: Statistical factors that influence crisis communication during disease outbreak in Uganda

Questions	Responses	Frequency	Percentage	Mean
Transparency was highlighted as the most important frontline public healthcare tool in managing the Ebola outbreak.	Strongly Disagree	09	13.4%	3.7554
	Disagree	10	14.9%	
	Agree	28	41.7%	
	Strongly Agree	20	29.8%	
The authorities offered communication advice and guidance in times of crisis.	Strongly Disagree	28	41.7%	2.354
	Disagree	12	17.9%	
	Agree	02	2.9%	
	Strongly Agree	25	37.3%	
Cooperation stood as the most important frontline public healthcare tool in managing the Ebola outbreak.	Strongly Disagree	10	14.9%	3.934
	Disagree	05	7.4%	
	Agree	33	49.2%	
	Strongly Agree	19	28.3%	
Different modes of communication were used to express information and evoke a response to the Ebola outbreak in Bundibugyo.	Strongly Disagree	28	41.7 %	2.354
	Disagree	12	17.9%	
	Agree	02	2.9%	
	Strongly Agree	25	37.3%	
The mass media, such as radio stations, broke the news of the Ebola outbreak in the District.	Strongly Disagree	10	14.9%	2.55
	Disagree	05	7.4%	
	Agree	33	49.2%	
	Strongly Agree	19	28.3%	

Source: (Primary Data 2017)

Notably, “transparency” was highlighted as the most important frontline public healthcare tool in managing the Ebola outbreak. Interview findings revealed that the medical personnel who were involved in the fight against the outbreak were not transparent enough. For example, some of the items and materials that were supposed to be distributed to residents were withheld. Even key communicators were not on the ground all the time to communicate community awareness

messages. The aforementioned findings are corroborated by a prior study by Kagoro (2015), which indicated that teams that were in charge of distributing items and materials to residents failed to do so.

Whether “authorities offered communication advice and guidance in times of crisis”, 41.7% strongly disagreed, 17.9% disagreed, 2.9% agreed and 37.3% strongly agreed. According to Kagoro (2015), communicators were mandated with creating awareness amongst residents. However, the communicators arrived some days after the outbreak. Moreover, there was a disproportionate distribution of manpower, as a hand full of communicators needed to service a large populace. Furthermore, Kagoro (2015) states that the area local council members were all concerned about the disease outbreak and therefore they sensitised residents about the disease as a team. Council members conducted door-to-door visits to inform the residents about the Ebola outbreak. According to the Uganda MoH Report (2010:21), the local authority not only showed concern about the outbreak but also actively participated in awareness-making campaigns. The local area authority used funds that were raised by the district council to erect banners in strategically located places. The Uganda Red Cross Society (URCS) distributed blankets and gumboots to the affected families and provided counseling services to residents.

Regarding “cooperation” as the most important frontline public health tool in managing the Ebola outbreak, a key respondent commented during the interviews, *“Yes, it is a fact that every family was united during this period for the purpose of kicking Ebola out of Bundibugyo”*. In addition, Kivumbi (2016) noted that some residents were not informed about the Ebola outbreak on time and only found out a week after it had broken out. As noted before, information plays an important role in risk communication paradigms (Covello, Peters and Wojtecki 2001). However, it is a misnomer to believe that accurate information is all that people need to respond appropriately to the situation.

Given the foregoing discussion, few people were open about the disease after contracting it. A resident with a family member that had Ebola fever said, *“At first the people were not open about the disease for fear of being referred to as HIV victims. This led to anger and skepticism as well, and to loss of essential credibility”*. Kagoro (2015) pointed out that, following the intervention of government, victims started to openly talk about the disease and its symptoms and they were given moral and material support. To corroborate the above statement, a respondent noted that, *“Panic was relatively rare during the outbreak (though extremely damaging) response to crisis. Efforts to avoid panic, for example, by withholding bad news and making over-reassuring statements actually made panic likelier instead”*.

Notably, different modes of communication were used to convey information on the Ebola outbreak in Bundibugyo. For example, community members were

informed about behavioural changes that could reduce the risk of contracting the fever. Palenchar (2008) stated that the principles of early announcement, transparency and trust building help limit the extent of disasters.

In an attempt to strengthen communication, the mass media broke the news about the Ebola outbreak in the District. A top health administrator said that, *"Some respondents withheld news in this case waiting for the mass media to do so. Efforts to avoid panic, for example by withholding bad news and making over-reassuring statements, actually made panic likelier instead"*. Kakuma (2016) notes that the adopted communication modes would have been effective had the management supported such measures. This would have helped avoid panic and anxiety among the populace.

The research findings revealed that healthcare workers' commitment was the most important tool to stop the virus from spreading. It was noted that some healthcare stopped treating patients out of fear of contracting the virus. Communicators and healthcare workers handled the treatment and prevention skillfully, given the training they had attained prior to the crisis. In line with this, a respondent stated that, *"Undeniably, crisis communication underscored all government activities. Health workers were committed to the task"*.

THE LINK BETWEEN COMMUNICATION AND MANAGING DISEASE OUTBREAKS

Kakuma (2016) noted that people have trouble learning information that conflicts with their prior knowledge, experience or intuition. Pre-existing information provides an "anchoring point" that could impede the acquisition of new information. It helps to be explicit about the change after digesting and justifying the prior view. Door-to-door visits by the area local authority were a common mode of sensitising the people about the Ebola outbreak and preventative measures.

Although infrequent, village meetings were also used as a means of sensitisation. They helped the residents of Bundibugyo cope up with the crisis. In this case, a respondent said that, *"There were no problems in our ability to cope with the crisis... However, messages obtained from meetings were many and some of the messages confused people, especially about the preventative measures that should be taken"*.

Dresser (1998) notes that messages can sometimes be misleading. When messages are not properly synthesised, it could lead to harmful discrepancies. Interview findings revealed that some messages were unclear and the target audience did not act positively. Some stakeholders were not consulted in the development of communication strategies, while others complained that certain communication material was culturally insensitive to Bundibugyo residents. This

could have affected the way people received the message about the fever prevention strategies. Kagoro (2015) notes that, as meetings did not work well in the rural areas such as the Kasitu sub-county, it led to dissatisfaction regarding the information that was conveyed about the outbreak.

Although ideas were exchanged on how to fight the outbreak, they were speculative. For example, during the initial stages of the outbreak, people were unsure whether it was Ebola fever. No one was certain until Government made the official announcement about the outbreak on national television. Kagoro (2015) states that refusing to speculate is better than speculating overconfidently and overoptimistically. This went on for some time until the *New Vision* newspaper announced the true story about the Ebola outbreak in the Bundibugyo District.

A study by Kivumbi (2016) highlights that authorities should always take the initiative to investigate a crisis on time. Hereafter, they should alert the general public immediately to avoid speculation and subsequent fear and anxiety. The radio was used as effective media channel to alert people about the Ebola outbreak Bundibugyo. In the event of outbreaks such as Ebola, crisis communication is designed to help affected communities act wisely in difficult situations (Kobusingye 2016). The MoH aired public awareness messages on most radio stations on how to avoid contracting Ebola fever, as well as ways to prevent it from spreading. The issue became a prominent feature on the radio. However, since few people own radios, this mode of communication was ineffective. A healthcare administrator in the Bundibugyo District Hospital said: *"You cannot risk of talking about the radio because most of our people in Bundibugyo don't own radios"*.

Wabagha (2014) notes that communication mechanisms with a wide coverage could be more effective when it comes to information dissemination than those with limited coverage. Kagoro (2015:45) notes that it is important for authorities to adopt the most effective means of communication or information dissemination during times of crisis. During a crisis, people have the right to be afraid, especially when they are uninformed. A fearless public that allows officials and experts to manage a problem without any form of interference is neither unachievable nor desirable. Notably, vigilance and precaution-taking depend on a measure of sufficient fear.

After the Ebola virus broke out, many residents turned to radio stations to keep them updated. With regard to the aforementioned, Kobusingye (2016) notes that, "unless there are over-reactions, there is need to listen to radios in times of panic and fear". In similar vein, Lubaale (2014) states that, during emerging health crises, authorities are likely to learn things that justify changes in official opinions, predictions or policies by using radio stations as communication channels. Several communication channels should be used to make sure information is conveyed, as one channel may be poorly received, while another may get a warm reception among the public.

Newspapers are effective partners in the campaign against the Ebola virus, since the majority of residents in Bundibugyo are illiterate. Most respondents reported that the mobile communication vans were the most effective method adopted to promote prevention awareness during the outbreak. People turned to other sources to obtain information on the Ebola virus instead of reading newspapers. Other communication channels included toll free information lines, and public information education and communication (IEC) material. Communication material (e.g. charts and banners) used for public awareness making were first pretested to ensure that they were easy to understand, culturally sensitive and audience appropriate.

Non-governmental organisations (NGOs) such as the URCS ensured deeper public engagement through its awareness-making campaigns. For example, it held patient forums in the town of Bundibugyo and focus group discussions to help identify public concerns about the virus. Due to manpower shortages, the URCS also trained members of the public within the district to support its expert team. Mobile phones were used to alert people about the outbreak. Residents with relatives in urban areas received early alerts via mobile phone and subsequently left the district temporarily. Kagoro (2015) notes that, although this was not effective, it helped raise awareness about the outbreak. Some people with mobile phones did not communicate the news for fear of instilling panic. In line with this, Kivumbi (2016) notes that there are always good reasons to withhold information during disease outbreak for fear of provoking panic.

Furthermore, guidelines released by the MoH were crucial in preventing the spread of the virus (Kivumbi 2016). A respondent noted that, *"I bestowed the fight to community efforts and NGOs like the Red Cross"*. In line with this, Kobusingye (2016) stated that, *"People tend to be more critical of authorities who ignore things that have gone wrong than they are of authorities who acknowledge those things... Of course, it takes something like saintliness to acknowledge negatives that the public will never know unless you acknowledge them"*.

Some interviewees revealed that guidelines were applied to a limited class (mainly literates).

Covello, Peters, and McCallum (2001:34) notes that crisis communication tactics during the pre-crisis stage includes researching and collecting information about crisis risks specific to the district's hospital. Hereafter, a crisis management plan should be implemented, which includes making decisions ahead of time about who will handle specific aspects of a crisis. Covello *et al.* (1997) also state that crisis communication during the post-crisis stage includes creates press release templates for the hospital's public relations (PR) team in the event of an outbreak. Furthermore, a chain of command should be established that all employees should follow in the dissemination of information to the public. Although late, a rapid response crisis communications team was organised in the District

during the pre-crisis stage and it mainly consisted of people from Kampala. The crisis alerts were later disseminated to the public with the help of communicators URCS aid workers and the Communication for Development Foundation Uganda (CDFU).

The District did not have enough manpower to raise awareness about the Ebola fever outbreak. A top administrator in connection to the above response said: *“There was not enough manpower, but the residents of Bundibugyo had to rely on the manpower from Kampala the capital city of Uganda. For example, communicators were few, but communication tool kits were devised to help communicators to calm public anxieties”*. In support of the above response, Walusimbi (2016:56) reiterates that the communication tool kits for precautionary advocacy and outrage management were designed to help communicators raise or lower public risk perceptions of Ebola fever and to match top administrators’ needs. Kagoro (2015:45) points out that, after top administration deems it serious enough to alert the people, precautionary advocacy measures are used to alert people about the Ebola outbreak who seem either unconcerned or to calm people who are overconcerned about an outbreak

CONCLUSION

In conclusion, WHO Guidelines were followed after Ebola fever was confirmed in Bundibugyo District. These guidelines acknowledge that crisis communication efforts must focus on building trust, early announcement and transparency. Furthermore, it must be based on an understanding the needs and fears of the public and the planning measures deemed essential to control the disease outbreak. Untimely, failure to communicate a disease outbreak could lead to more deaths. In addition, it also brings about fear, panic and anxiety. It was observed that some citizens of the District were reluctant to switch on their radios out of fear.

The processes involved in outbreak identification, description and investigation should be swift and thorough, while control, communication and documentation activities should be implemented effectively. There is a need for sensitive, specific and timely detection of potential outbreaks that could endanger public health. Furthermore, communication sources should be established to help identify outbreaks, transmission mechanisms, contributing factors and control inputs. District Health Centers (DHCs), in conjunction with the outbreak team, should review recommendations from outbreak reports and update policies appropriately where necessary. When disease outbreaks are confirmed, Government should disseminate information timely and optimally using several media outlets. It took Government three weeks to inform the media about the disease outbreak. Timely

and accurate reporting of all outbreaks via surveillance systems are crucial to preventing deaths.

There is a need to establish guidelines/documented procedures to coordinate the efficient flow of information, as well as to establish procedures and tools for reporting positive laboratory results and related information (e.g. patient contact information). There is also a need to coordinate the flow of information in terms of resource needs between healthcare workers of the district and the outbreak team.

NOTES

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Moving Beyond Empty Decolonisation Mantras to Real Sustainable Empowerment in Africa

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ABSTRACT

The research problem that is addressed in this article is the perceived need to improve the negative impact of historical colonial value systems and practices in current public policy knowledge generation, transfer and application processes and results in Africa, especially in South Africa, through decolonising these processes and products. The issue is that there is a general increasing resistance against a perceived Eurocentric value hegemony in public policy making, implementation and evaluation in developing countries, especially in Africa, which imposes outdated and inappropriate policies on these countries and need to change to more appropriate processes and results that address African conditions more directly. The research questions that are investigated are: 1) How is decolonisation conceptualised? 2) What aspects of prevailing public policy and public policy capacity-building issues need to be decolonised? and 3) How can more integrated and effective public policy outcomes in Africa, especially in South Africa, be achieved?

The conclusions of the article are that watertight distinctions between Eurocentric and Africa-centric approaches do not always exist, and that it is risky to over-generalise such alleged distinctions in many cases. However, there are historical and current public policy processes and practices that are inappropriately applied in Africa and in need of change. A single change recipe does not exist, and different solutions should be considered in different situations in order to achieve more beneficial policy impacts on different African societies than is currently the case. The decolonisation

discourse is outdated and ineffective. A more relevant, proactive, integrative approach is required. The article concludes by identifying the main strategic directions and strategies needed to achieve sustainable empowerment outcomes in African societies. They include concrete, proactive, pragmatic, transdisciplinary, evidence-informed strategies.

INTRODUCTION

This article assesses the current state of the debate on the need to decolonise public policy capacity-building, design and application. It starts off with a critical assessment of the nature, focus and scope of the evolving decolonisation paradigm. It then assesses what needs to be 'decolonised' in terms of this evolving paradigm and concludes with a brief summary of how that should be done in the most effective and efficient manner that goes beyond different outdated decolonisation discourses to achieve sustainable empowerment outcomes in African societies.

THE EVOLVING DECOLONISATION PARADIGM

Decolonisation is frequently seen as equivalent to decoloniality, but in other cases it is perceived as a separate phenomenon (Maldonado-Torres 2006 and 2007). The departure point for this contribution is that such a distinction is very academic and not useful in practice. Maldonado-Torres conceptualises decolonisation or decoloniality in the form of the recent phenomenon of European occupation or colonisation of Africa and Latin America as "...the **dismantling** (my emphasis) of relations of power and conceptions of knowledge that foment the reproduction of racial, gender, and geo-political hierarchies that came into being or found new and more powerful forms of expression in the modern/colonial world" (Maldonado-Torres 2006:117). This conception of decolonisation is useful to start the assessment of this phenomenon, but it is argued below that this perspective is too narrow, reductionist and ideologically driven. It just replaces a narrow Western Eurocentric bias with an African bias.

Mbembe (2016:32) explains that Eurocentrism "...attributes truth only to the Western way of knowledge production. It is a canon that disregards other epistemic traditions. It is a canon that tries to portray colonialism as a normal form of social relations between human beings rather than a system of exploitation and oppression". The decolonisation argument that will be dealt with in this article is that those colonial values and practices that emanate from European colonial

influences and practices in modern Africa are inappropriate in the current era and disregard different African identities that are fundamentally different from European identities. These recent historical and still prevailing Eurocentric colonial value systems and practices therefore have to be replaced by indigenous African values and practices that are supposed to be more appropriate to African conditions, cultures and societies. This is especially relevant in the knowledge generation, transfer and application spheres (research, education and policy implementation), and will allow African nations to break free from an outdated historical colonial hegemony that perpetuates perceptions of African inferiority and subordination in an unequal institutionalised and discriminatory racially-based power relationship with more 'civilised' or 'developed' liberal capitalist Western values and practices.

An interesting early experiment of decolonisation in this regard was attempted by Julius Nyerere in Tanzania between 1967 and 1985. He decided on a radical policy change to replace alleged Western capitalist exploitation in his country after independence from British colonial rule, by forcible collectivisation of private farms in Tanzania and establishing farmers on communal farms (Ujamaa). It was allegedly based on traditional indigenous self-reliance existential social and economic practices and traditions in Tanzania, but was in fact an ideological socialist paradigm imported from European socialist scholars like Karl Marx. It was a miserable social and economic failure and had to be reversed after he stepped down from government in 1985 (Ibhawoh and Dibua 2003).

The *prima facie* validity of the many negative social, economic, political and psychological impacts of colonialism on African and other colonies cannot be denied. Historically, colonisation was the consequence of wars between globally or regionally strong and weaker nations or in some cases more peaceful political and military occupations of weaker nations' lands by stronger powers. In all cases these takeovers happened involuntary and against the wishes of the indigenous populations and established new power relationships that subjugated the weaker parties to the will of the stronger party. The primary purpose of historical colonisation was always economic imperialism in the form of primarily resource extraction from the colonies for the benefit of the coloniser (UNESCO 1981-2012). This included minerals, agricultural and manufactured products as well as human resource extraction in the form of slaves or cheap labour in the colony or the colonial homeland. A secondary goal was political, social and cultural imperialism in the form of an expansion of colonial power, values, cultures and languages (UNESCO 1981-2012). During these occupations the coloniser's values, policies and practices were enforced on the indigenous populations in their colonies. Indigenous languages, cultural, social, economic, political and administrative practices and political and legal systems were in most cases replaced by the Eurocentric policies and practices of the coloniser to facilitate the subjugation

and administration of these colonies, in order to achieve colonial goals optimally. Colonisation in Africa since 1881 is regarded as Eurocentric, because the colonial powers were mainly the British, Dutch, Spanish, Portuguese, French, Germans and Belgians.

However, this historical conception of colonisation is not restricted to the conquering of African nations by more advanced European empires since 1881. Colonisation is a normal exploitative consequence of war, as had been historically recorded from the earliest civilisations. This does not mean that it is an acceptable practice, but colonial-type policies and practices have been enforced by conquerors on the conquered from time immemorial: “to the victor the spoils!” (Fukuyama 2011 and 2014).

Ancient historical texts are full of tales of war and occupation. Boardman (1964) documents for example the colonial occupation of Egypt by the ancient Greeks in 570–526 BC. Before and since then, numerous wars in different African regions resulted in foreign occupations of those regions in contemporary African states for shorter or longer periods during the succeeding medieval and modern periods in global history, spanning more than 9000 years (UNESCO 1981–2012).

The Romanisation of Britain and the rest of the Holy Roman Empire during pre-feudal times attest to this. Similarly the imposition of colonial Mongol and Ottoman Empire values, policies and practices on European countries like the Balkans and Spain during the heyday of these empires, illustrates this general colonial phenomenon. Such colonial influences can still be seen in Southern Spain. The colonial domination of the Catholic Church in the Vatican, across Europe and Latin America during the colonial era is a further earlier example of this phenomenon of globalised economic, religious and cultural imperialism. Later examples include the export of Hapsburg, Russian and Nazi nationalisms as well as Soviet communism to large regions of Northern Europe. One should therefore not be too purist and too narrow in one’s conceptualisation of the nature of historical colonialism as largely a recent European-based occupation process in Africa, South America and Asia only.

In all the cases mentioned so far, colonisation comprised physical occupation by citizens of one country of another country in the form of military, political, technical and administrative personnel, subjugating the indigenous populations to the will of the coloniser. Examples of modern day physical colonialist practices probably include the US’s presence in Afghanistan and to a lesser extent in Iraq, as well as Russia’s unilateral military annexation of Ukrainian Crimea.

As is clear from the conceptualisations of Maldonado-Torres and Mbembe above, colonisation, however, also has a more significant dimension which is mental colonisation. The imposition of colonial values, attitudes and perspectives can be much more durable than the imposition of physical controls. Globalisation

is regarded by some as an example of this type of “occupation of the mind” (wa Thiong'o 1981). In 2001 the Ugandan Prime Minister stated that globalisation –

“...is not a value-free, innocent, self-determining process. It is an international socio-politico-economic and cultural permeation process facilitated by policies of governments, private corporations, international agencies and civil society organizations. It essentially seeks to enhance and deploy a country's (society's or organization's) economic, political, technological, ideological and military power and influence for competitive domination in the world” (Nsibambi 2001:1).

This perspective is a common one among commentators in this field (Cooper 2001; Gilpin 2000; Göymen and Lewis 2015; Hoogveldt 2001; Ninsin 2012; Sandbrook 2003 and Wenjing *et al.* 2012). It has also been legitimised by international institutions. In 2002 the UN convened a high level meeting of African politicians across the continent for a strategic summit on globalisation and its impacts on Africa. The event culminated in the release of a report summarising their findings (UNPAN 2002). The meeting concluded that –

“...globalization is inevitable and its consequences pervasive. However, asymmetry in the distribution of power results in different perceptions and evaluation of the impact of globalization, especially with respect to the distribution of the benefits of globalization. In the case of Africa, its position in the international system has been considerably weakened by the fact that it has been losing the race for economic development in general, and human development in particular, to other regions. This poor performance by African countries accounts in part for the political and social instability and the rise of authoritarian regimes that have characterized much of postcolonial Africa, further weakening the ability of African countries to deal effectively with globalization” (UNPAN 2002:4).

The report further concludes that by the end of the Cold War –

“...support has been withdrawn by the major powers for many African countries considered no longer of strategic importance. This has entailed an increase in the number of so called ‘failed states’ in Africa during the last two decades. This development has also been inimical to the emergence and consolidation of effective democratic and developmentally oriented regimes in Africa. In addition, the end of the cold war has witnessed an over-all decline in the strategic importance of Africa. This has, in turn, substantially reduced Africa's international negotiating power and its ability to manoeuvre

in the international system with a view to gaining a modicum of freedom of choice, autonomy and leverage in its dealings with more powerful actors. In sum then, the cold war and its demise has worked against democracy and economic development in Africa. The problem therefore lies in Africa's position in the global system and not in the specific form taken by globalization" (UNPAN 2002:5).

The UNPAN report summarises a range of economic and political pros and cons of globalisation for Africa but is of the opinion that –

"...the negative consequences of globalization on Africa far out way their positive impact. To reverse this situation, Africa must meet two major challenges. The first is to introduce far-reaching changes in the assumptions, values and objectives of the existing states, so as to transform them into truly developmental states that are strong without being authoritarian. The second is to diversify African economies away from dependence on a few primary commodities, especially depleting natural resources which constitute enclaves in the overall economy" (UNPAN 2002:6).

These perspectives on globalisation highlight the fact that it can largely be seen as just the modern day manifestation of colonialism, enabled and facilitated by the exponential technological development of the current global information society. So-called Western or Eurocentric values, approaches and policies are further still imposed on and ironically still accepted uncritically by African countries, largely in the same way as when they had been imposed during colonial times when those European countries were ruling their African colonies (Momah 2015).

The following assessment by another eminent African scholar on the topic is worthwhile noting as a conclusion to this section:

"Our understanding of decolonization has changed over time: from political, to economic to discursive (epistemological). The political understanding of decolonization has moved from one limited to political independence, independence from external domination, to a broader transformation of institutions, especially those critical to the reproduction of racial and ethnic subjectivities legally enforced under colonialism. The economic understanding has also broadened from one of local ownership over local resources to the transformation of both internal and external institutions that sustain unequal colonial-type economic relations. The epistemological dimension of decolonization has focused on the categories with which we make, unmake and remake, and thereby apprehend, the world. It is intimately tied

to our notions of what is human, what is particular and what is universal”
(Mamdani 2016:79).

DECOLONISATION AS REPLACEMENT OF COLONIAL VALUES AND PRACTICES

Questions that emanate from the above discussion include to what extent these colonial influences still exist today in colonised lands, and, if so, whether they are so detrimental to contemporary society that they need to be decolonised. If decolonisation is necessary, questions that must be answered include whether decolonisation is feasible or not, and if it is feasible, what to do and how to do it. The longest lasting and pervasive colonial legacies across the world are probably the following:

- **physical colonial boundaries** (e.g. the political boundaries that resulted from the scramble for Africa and from the political separation of India and Pakistan);
- **colonial laws and policies** (e.g. the Roman Dutch, Arabic, French, Portuguese and English legal systems and policy approaches and programme);
- **colonial languages** (e.g. Arabic, English, French, Spanish, Portuguese and Russian as official languages);
- **colonial religions** (e.g. Catholicism, Protestantism, and Islamic Sunni-ism and Shia-ism as the major religious philosophies in African countries); and
- **colonial values, attitudes and perspectives** (e.g. democracy, authoritarianism, development, capitalism, socialism, feminism, human, animal and environmental rights and positivist reductionism).

Colonial political boundaries

There is general agreement among scholars that most colonial political boundaries are totally outdated in many former colonial societies, especially in Africa, because they frequently cut across numerous ethnic and tribal areas as well as integrated economic regions, frequently resulting in conflict (UNESCO 1981-2012). As a result, decolonisation of African colonial political boundaries in the form of boundary changes will potentially reduce conflict and probably in principle increase stability in those states. However, the political and economic consequences of effecting this logical rationalisation are seemingly so complex that it is not feasible. On the other hand, the amalgamation of different ethnic and tribal areas into a single multi-ethnic state has also had an empowering impact on those entities because it increased their regional and international bargaining power in principle and could utilise economy of scale benefits to good effect where that was possible. These positive consequences also promoted and still promote

accelerated developmental results in those regions. Therefore, since political decolonisation started in the early 1960s in Africa, virtually no significant changes to these physical-political boundaries have taken place. It is an open question how to achieve decolonisation in this sphere, and whether the policy benefits of colonial boundary changes will justify the costs involved. It is inconceivable that reverting back to the status quo ante before colonisation is possible and desirable. Decolonisation of these boundaries is therefore just a fantasy. The optimistic ideas of the African Union (AU) of Africans being able to travel throughout Africa without visas and on a single African passport, are further probably for many reasons not acceptable to many current African governments (Asiedu 2017; Mbembe 2017).

Colonial laws

The consequences of legal systems comprise probably some of the most lasting historical legacies in any country. Contemporary legal systems in African countries are virtually without exception still based on their former colonial legal systems, whether Arabic, English, French or Portuguese (Okeke 2009). In most African countries, including in South Africa, these historical colonial legal systems have been supplemented by the most popular indigenous legal practices that are not incompatible with the colonial systems, for example from Islamic or indigenous African practices (Okeke 2009:13; AfricanLII 2017). These supplementary legal practices are in most cases in the fields of Marriage, Family, Divorce and Estate Law practices that have strong cultural and religious roots. This makes eminent sense and should be encouraged. No initiative, however, exists to replace prevailing colonial legal systems in any African country with more unique pre-colonial African or Arabic legal systems. In the case of South Africa, the apartheid legal system resulted in physical, social, economic and political separation among racial communities that will probably never be fully reversed, as the invidious impact and legacy of racially separate group areas still illustrate more than a generation after the official end of apartheid.

Colonial languages

The African continent is currently divided into clear official/business language regions. French, English, Portuguese or Spanish are the dominant official languages in most African states, supplemented by Arabic in African countries mostly north of the Sahara (Corporate Council on Africa 2018). There is not a single African state that currently contemplates replacing one of these colonial languages as the dominant state language, with another, indigenous language. The reason for this is clear: the inevitable impact of colonial rule on such (sometimes culturally

and tribally very diverse and fragmented) regions resulted in a situation where the dominant colonial language was a crucially important unifying factor that facilitated political nation-building in those states. The case of the Russian language and culture for this purpose in Soviet satellite states is another interesting example to consider. This unifying factor is still an extremely important symbolic policy variable for the stability of the state concerned. Again the question must be asked whether abolishing prevailing colonial languages in favour of indigenous languages is feasible or desirable. Against the background of the assessment of the inevitable consequences of globalisation above, it seems futile to try to pursue a decolonisation goal in this sphere, because the policy benefits will probably not justify the costs involved. I am not aware of any realistic initiative anywhere in Africa to investigate this issue.

Colonial religions

Out of 55 African countries, indigenous religions are dominant only in three (Madagascar–52%, Mauritius–51% and Togo–51%), while in 32 African countries Christianity is the dominant religion and in 20 Islam is dominant (Vividmaps 2018). The colonial religion legacy is therefore overwhelmingly dominant in Africa. The question is: whether decolonisation should also be applied to religious values in Africa in order to again resurrect and consolidate the unique pre-colonial African religions, cosmological philosophies and myths that are essential for the identities of current African states? Again it seems to be a futile project (Igboin 2011), and I am not aware of any specific initiative in this regard.

Colonial values, attitudes and perspectives

The most recent colonial era in Africa also transplanted classical Western social, economic and political values, attitudes and ideas. Classical and contemporary Western schools of thought about how social life, the economy and politics should be conducted were institutionalised in all educational institutions. This includes the frequently competing principles of democracy, authoritarianism, development, capitalism, socialism, feminism, human and other ‘natural’ rights, positivist reductionism, Weber’s work ethic and other ideas how to understand social interaction more accurately and how to organise and manage society in the best way.

Again, this is not unique to the scramble for Africa, but is characteristic of how the victor’s influence in principle and in practice permeates through the vanquished’s life. In this process, pre-occupation or pre-colonial knowledge and value systems that were contradictory to the colonial way of life were in most cases disrupted, abolished or changed to comply with the new status quo as I

have mentioned earlier in my summary of the colonial legal and religious legacies that exercised significant influences on different sectors of those societies. This led to the economic, social, cultural and political imperialist results also mentioned earlier, because colonial values and mental models were introduced in educational institutions and processes, in most cases as formal substitutes for pre-colonial values and mental models.

It therefore also had a spill over effect on how knowledge in colonised societies was and in most cases still is generated, transferred and applied in society to further the interests that the coloniser identified and prioritised. In virtually all cases these interests were those of the coloniser itself and not the colonised. The victor's interests therefore tended to establish, increase or perpetuate an unequal resource, status, wealth and power gap between the colonial settlers and the indigenous masses. However, in this process of changing the social order and also in order to access the resources in the colonies, the victorious occupier normally also created policies as well as the types of public infrastructure in the colonies that it had been used to in its own country. These changes "modernised" those colonial societies for example by prescribing more modern procedural and substantive rights-based legal processes and also facilitated the resource extraction from and management of the colony (including roads, basic services improvement, schools and other public services and facilities). These policy outputs and services also benefitted the occupied people in many respects, but in the end they have to be assessed against the background of the different negative impacts of occupation or colonisation in general on those colonised societies (UNPAN 2002).

When periods of occupation or colonisation end the status quo ante can theoretically be re-instated by reverting back to pre-occupation or pre-colonial values and practices. However, this is easier done after short periods of colonial imposition when the lasting effects of occupation or colonisation as explained earlier have not been so strongly institutionalised yet. The longer the occupation or colonisation lasts, the more difficult it is to revert back to the status quo ante, as was illustrated in the brief assessment of the colonial boundary, law, language and religion issues summarised above. The reason for this time difference in impact should be obvious: consolidated value transformation largely takes place over extended periods of generations and is seldom permanent in shorter time spans.

The withdrawal of European colonial powers from direct or indirect political rule over African states since about 1880 started around 1960, therefore after about 80 years of colonisation, and ended with the fall of apartheid in 1994 in South Africa. Since the start of the modern decolonisation stage in Africa in the early 1960s up to today, most post-colonial African regimes have retained and in many cases consolidated and even expanded colonial policies and practices in their respective societies. Virtually all African countries have for example retained the colonial political and policy decision-making and governance systems

that colonialism established in those former colonies. In most cases the original colonial independence constitutions are still in operation, perpetuating political structures and processes that are not wholeheartedly embraced and accepted anymore because they have in many cases not organically developed from those societies themselves (e.g. Basheka 2012).

The question here is: why has this happened? Is it perhaps that those post-colonial African regimes who are now in a position to change or improve values, policies or practices that they do not like, are in fact satisfied with the post-colonial status quo because it serves their purposes? In other words decolonisation is not desirable? Or is the reason perhaps that they have tried but that change to a perceived status quo ante before colonialism started, might not be feasible as a result of some of the reasons summarised above? Or perhaps the resisting factor of the globalisation impacts of networks of Eurocentric/Western colonial supporters that stifle change in different ways, are too strong to effect the required changes? Or perhaps they want to change, but do not have the knowledge, insight and/or skills to do it and therefore continue with these practices? Whatever the reasons for the continued existence and in many cases even expansion of colonial-type approaches and practices, it seems as if many of these colonial values, policies and practices are so ingrained in the psyches of African societies that calls for decolonisation are just not heeded in practice.

Nnadozie (2015:197) comments as follows on this puzzling perpetuation of colonial values and practices in contemporary African societies with reference to Ake (1982):

“It is an unpardonable shame that more than half a century after political independence, and more than two decades for the late starters such as South Africa, in order to enable the African states and governments to feed their teeming populations, they are still, cap in hand, begging for the crumbs that fall from the table of the same former colonial masters who dehumanised, exploited and humiliated them. Why have our leaders, in particular and the political elite, in general refused to learn from their own history? African leaders and governments have continued to suffer from the cult of an inferiority complex nurtured by the ideology of development, which our former colonial masters foisted on us – an ideology that presents western society as the superior and ideal state of being and African society as thoroughly inferior and worsted and needing drastic change. This situation is not helped by the academic community, especially the social science disciplines such as the field of Public Administration that cannot offer any assistance in the face of the current quagmire. Instead, those of us students and scholars of Public Administration continue to make ourselves irrelevant by regurgitating western theories, concepts and methodologies that are meant to suit

and tackle problems of western societies. In the process, we compound our problems and help to perpetuate our underdevelopment by serving as agents of imperialism”.

In other words, replacement of colonial value systems in general is the decolonisation goal, in line with the original conception of decolonisation as “drop-and-replace”. Just nationalisation, Africanisation or purely the transformation from a colonial government or curriculum to a post-colonial government or curriculum does not necessarily constitute decolonisation (Mgqwashu 2017, with reference to university curricula). Mbembe (2016:33) commented as follows on this issue:

“Franz Fanon critiques the idea of ‘decolonisation-as-Africanisation’ (1963) ... (he) did not trust the African postcolonial middle class at all. He thought it was lazy, unscrupulous, parasitic and above all lacking spiritual depth precisely because it had ‘totally assimilated colonialist thought in its most corrupt form’. Not engaged in production, nor in invention, nor building, nor labour, its innermost vocation, he thought, was not to transform the nation. It was merely to ‘keep in the running and be part of the racket’. For instance, it constantly demanded the ‘nationalization of the economy’ and of the trading sectors. But nationalization quite simply meant ‘the transfer into native hands of those unfair advantages which were a legacy of the colonial past’. ‘Africanization’ was the ideology masking what fundamentally was a ‘racketeering’ or predatory project – what we call today ‘looting’”.

Both Sebola (2014) and UNPAN (2002:4), support this view. Mbembe (2016:34) also regards xenophobia as an unacceptable manifestation of Africanisation, while wa Thiong’o (1981:88) states very explicitly that to be legitimate and effective as a decolonisation tool, Africanisation should be culturally and educationally focused. In other words, cultural values should be changed through education. Jansen (2017) identifies an explicit racial undertone in the Africanisation school of thought.

The question, however, still is what concrete changes should be brought about? As already concluded above, many physical boundary, legal system, language and religious changes are either not feasible and/or not desirable. Against this brief and superficial historical background, the following preliminary conclusions can now be drawn. It seems as if the insistence on decolonisation in Africa only focuses on the impact of the last wave of European colonisation that started in earnest 140 years ago (since 1880). It is further generally a vague and oversimplified insistence on decolonisation in principle as replacement or substitution, without apparently realising the full consequences of such projects. It seems as if it is not possible to disentangle the different historical influences on cultures,

nations and states in Africa that have accumulated, grown and consolidated over 9 000 years (UNESCO 1981–2012), and the question is: how desirable is it to attempt to do it?

Many colonial ideas, values, policies and practices seem in many cases to be integral elements of the current identities of not only African nations but of all nations across the world that were subject to some or other form of occupation or colonisation in their long histories. The successive waves of colonisation of different African societies over many thousands of years all seem to have contributed to making contemporary African societies inherently what they are today, both in a negative and a positive manner. Mazrui spoke of the “triple heritage” of African identity, namely African, Islamic and Western (Ndlovu-Gatsheni 2015:211). This includes the most recent European colonisation wave since about 1880.

Just replacing selected colonial legacies with allegedly indigenous values, traditions and practices is not as simple and straightforward as one might think. It does, however, seem as if there is a logical need in principle for the amelioration or mitigation of the most negative consequences of colonial values, approaches, policies and programmes that have remained in place from different colonisation eras, if that is feasible to do. I now turn to this issue by posing the question: what aspects of public policy capacity-building do not necessarily need to be replaced, but should be improved?

DECOLONISATION AS AMELIORATION OR SOFTENING OF NEGATIVE COLONIAL IMPACTS

There seems to be a number of initiatives that can and should perhaps be taken to reduce the most detrimental impacts of both pre-colonial and colonial values, policies and practices in African societies, especially in education. In this regard Mbembe (2016:37) states that “...to decolonize the university is... to reform it with the aim of creating a less provincial and more open critical cosmopolitan pluriversalism – a task that involves the radical refounding of our ways of thinking and a transcendence of our disciplinary divisions”. He explains also that “...(i)t is about rejecting the assumption that the modern West is the central root of Africa’s consciousness and cultural heritage. It is about rejecting the notion that Africa is merely an extension of the West. It is not about closing the door to European or other traditions. It is about defining clearly what the centre is in your own language that might even extend beyond continental boundaries” (Mbembe 2016:34).

This view is supported by Nakhooa (2017) who states that “...the supposedly superior ideologies of colonial powers that permeate higher education should be urgently ameliorated to reflect one that respects the dignity, rights, knowledge and contributions of all humankind”.

These views constitute a crucially important deviation from the original “drop-and-replace” decolonisation paradigm. The focus is now not on replacing Eurocentric approaches with African ones but to supplement or contrast these approaches with Africa-based and -focused mental models that are more congruent with African value, cultural and empirical situations and practices, as Mbembe has argued above (see also Jansen 2017).

The recent writings of Mbembe (2016) and Nakhooda (2017) on this issue that were referred to above, as well as others, acknowledge the validity of Western thought and science but advocate their supplementation or comparison with indigenous African thought and ideas where relevant and applicable. Examples in point include the use of ideas of early African scholars that emphasise the African living experience rather than the clinical separation of ideas and bodies of knowledge from the creators of those ideas and the contexts within which these ideas were born. From this perspective, the second wave of decolonisation writings focus rather on a more explicit inclusion of indigenous African value systems like Ubuntu, deliberative democracy instead of multi-party representative or participatory democracy, and the addition of indigenous African values and knowledge systems (even some elements of herbal medicine exemplified by sangomas, witch doctors and other indigenous knowledge specialists for example), to supplement to some extent the gaps and weaknesses in this regard in reductionist Western thought. Kahiga (2012) also motivates in detail the relevance of Karl Popper for African Renaissance thought.

However, this more moderate school of decolonisation thought is still caught up in the modernist, reductionist paradigm that just adds another perspective that is supposed to be more appropriate in the African context. It assumes picking elements from either a Eurocentric or a Western (or perhaps an Eastern) origin to fit specific needs. There does not seem to be sensitivity for resolving potential conflicts among these different competing value systems or practices that might now co-exist in one country. Although this second wave of decolonisation thinking therefore attempts to critique the extreme positivist and reductionist approaches in Western scientific thinking, it falls into the same trap by just proposing an alternative approach in some cases which is as reductionist because it still demands a choice between one or another approach, and thereby building up potential internal inconsistencies in African systems, because of potentially incompatible values and practices. Examples of this dilemma include attempts to synchronise modern human rights-based development approaches that are fundamentally in conflict with traditional tribal societies where modern liberal rights for women, children, animals and nature do not exist. Another example is the dilemma to synchronise tribal leadership in communal areas with modern liberal democratic representation and sometimes fundamental differences in the conception and implications of corruption for good governance. In 2014 the current President of

South Africa, Mr Jacob Zuma was reported to have stated in an official court submission that ‘corruption is a Western concept’ (News-24 2014).

Many decolonisation theorists still perpetuate the reductionist knowledge generation paradigm in Western thought by just adding on alternative or other competing African ideas, philosophies and mental models that are different from prevailing Western or Eurocentric ones. “Eurocentrism” or “Western values” do not in fact exist as coherent bodies of knowledge, as is also the case with “Asian values” (Sen 1997; Bruun & Jacobsen 2000) or even “African values” (Idang 2015; Olasunkanmi 2015). These concepts are vague, non-scientific generalisations that are not always helpful in academic discourses because the evidence base to link them to concrete contexts and illustrations is frequently not strong enough. Examples of South African writings on theoretical and practical capacity-building for African futures that are unfortunately still stuck in this putative confrontational and largely problem identification and decolonisation modes, include Nnadozie (2015), Maserumule (2014 and 2015), Mathebula (2013) and Hanyane (2013).

The term “decolonisation” seems to be inappropriate for future use because it is as narrow, reductionist and ideologically driven as the colonial legacies that it criticises. It seems more constructive to move beyond the Eurocentric – African dichotomy and to develop new, integrated and more holistic mental models for purposes of description, explanation and prediction. These new models of thinking can then very effectively supersede the current still modernist, reductionist, conflict-driven and problem identification – focused approaches inherent in the dichotomy of so-called Western and African models of thinking.

TOWARDS MORE EFFECTIVE SUSTAINABLE EMPOWERMENT IN AFRICA

The development of post-modern, post-positivist knowledge generation approaches in Western thinking was a direct consequence of the negative impacts of overly reductionist thinking in Western thought that was so narrowly focused on identifying individual trees that it missed the nature of the forest itself. This emerging sensitivity of Western social scientists to a more integrated and holistic open systems approach to societal phenomena, that comprises more than the sum of the different constituent parts of the system; developed into the fast-emerging and consolidating complexity thinking paradigm, that explains the different types of interaction among systems variables more coherently. Complexity thinking also provides a more coherent explanation and legitimation of the more holistic approach to African life that is inherent in many indigenous African and even Asian philosophies (OECD 2017).

The fundamental scientific principles according to which mathematical systems, physics, chemistry, psychology, sociology, politics, economics and management work, what variables can influence these systems and how this occurs, are universal. Mazrui's thoughts on this issue, is an excellent example (Ndlovu-Gatsheni 2015; Mamdani 2017). The way these processes play out in different empirical contexts, however, can be different because of different contextual conditions and variables that impact societies or environments in different ways (Cloete and Mmakola 2018). Public policy conditions and environments in more advanced and developed states in North America and Northern Europe are different from those environments in lesser developed states in Asia and Africa. This necessitates different policy approaches and strategies that are more appropriate in certain situations than in others.

The issue is not that European practices of democracy, capitalism, socialism, feminism, liberalism or other value systems are "foreign" to Africa and should therefore be dropped in principle in favour of indigenous African practices that are more suitable to African conditions. As indicated above, current African identities comprise various permutations or mixtures and fusions of different historical influences on those societies over long periods. The 'drop-and-replace' solution has been largely ineffective in the past. Jansen (2017) states this position very forcefully:

"To insist on an African versus European curriculum in the age of globalisation is naïve. Our knowledges are integrated both at the level of knowledge as well as in the hands of knowledge workers. Our leading intellectuals stand with their feet in many worlds, travelling across borders and collaborating with their colleagues in Asia, Latin America and the large, very diverse 'West'. The insistence on a 'them vs us' dichotomy this side of colonial rule is anachronistic and unhelpful for those who actually do research and writing across the world".

Mamdani (2017) echoes Jansen's sentiments. The issue is further also not only what elements of African value systems and practices should be added to prevailing colonial-type legacy systems in specific African, Asian or other contexts if one wants to implement them together in the most efficient and effective manner. This approach can potentially create further cognitive dissonance and other contradictions in complex African societies. The most constructive approach seems to be to follow more concrete, pragmatic, scientific, generic, transdisciplinary and evidence-based approaches that can just be applied in slightly different ways in different contexts to achieve the most efficient and effective results (Du Plessis 2017).

The emerging Evidence-Informed Policy Making (EIPM) and transdisciplinary paradigms

The conjectural decolonisation discourse is an excellent example of what Segone regards as a largely opinion-informed approach in contrast to more evidence-informed approaches (Segone 2008:27; Cloete 2016b), which are approaches to public policy “...that helps people make well informed decisions about policies, programmes and projects by putting the best available evidence at the heart of policy development and implementation” (Cloete 2009, quoting Segone, 2008:27; see also Davies *et al.* 2000). Evidence here means the best available objective qualitative facts and quantitative numbers to support the validity and appropriateness of a policy decision (see also Cairney 2015:3 and National Research Council 2012), and not just subjective opinions that might be influenced by a range of emotional and value-laden perceptions, beliefs and views, and cannot be backed up by systematic, scientifically rigorous evidence.

Nakhooda 2017 concludes in this regard that –

“...(w)hen it relates to science and technology, ... the decolonisation space appears murkier, and experts have trod carefully. The whole value of science lies in the search for, and validation of truths in the universe. Is it possible then, to decolonise truths? Should indigenous knowledge, if considered myth by scientific measure, be in a curriculum at all? Or should indigenous knowledge be incorporated in the curriculum because it presents an alternate view to colonial knowledge? Is science even considered ‘colonised knowledge?’”

This perspective is especially relevant concerning suggestions that decolonisation should also include the incorporation of experiences with indigenous healers as a countervailing or supplementary source of knowledge on health issues. Given the controversial nature of homeopathic approaches to medicating illnesses in mainstream health sciences, this is a very dubious direction to follow from an EIPM perspective.

The emerging EIPM paradigm is ideally suited for this purpose, if scholars and decision-makers are willing to remove their ideological blinkers and to accept evidence-based trends, scenarios about what works best for whom under what conditions and then take more informed policy decisions based on systematic, regular cost-benefit and risk assessments (Cloete 2018). The AU’s Agenda 2063 (AU 2015) is another good example of this type of constructive approach. It is aligned with the UN’s Sustainable Development Goals (SDGs) and the word decolonisation does not once appear in its 24 pages. The emerging transdisciplinary, international resilience and sustainability paradigms, however, are also potentially useful new approaches to overcome this modernist dichotomy of alleged colonial

and decolonial knowledge paradigms. They have the potential to develop integrated post-colonial conceptual and theoretical frameworks to assess the eventual impact of public policy in society better (Magis 2010; Bhamra, Dani and Burnard 2011; Pasteur 2012; Berkis and Ross 2013; McGregor 2014; Miller *et al.* 2014; Steelman *et al.* 2015; Cloete 2015; Gillard 2016; Morchain and Kelsey 2016; Lawrence 2016; ActionAid 2016; Tanner *et al.* 2016).

The African Renaissance approach is another excellent example of this positive, proactive and developmental mindset which is absent in most of the reactive decolonisation discourses (Makgoba 1999). This implies building on all available resources, ideas, strategies and tools to empower African nations to achieve their full developmental potential. This includes even making use of capitalist asset creation and liberal human rights-based approaches where appropriate. It therefore implies a non-ideological and pragmatic, realist evaluation approach to what works for whom under what conditions (Pawson and Tilley 1997; Vogel and Punton 2016). It also implies a dedicated transdisciplinary focus on maximising resilience and sustainable developmental outcomes.

Selected other (mainly South African) contributions that seem to have already succeeded in starting to move beyond this ideological fascination with historical navel-gazing and gut-wrenching, include Nabudere (2007); Turok (2008); Nkuna & Sebola (2012); Van der Waldt (2012, 2014); Du Plessis, Sehume & Martin (2013); Mayanja (2013); Sebola (2014); Thani and Disoloane (2012); Kuye (2014); Basheka (2015); Maserumule and Vil-Nkomo (2015); Matshabaphala (2015); Appiagyei-Atua (2015); Fourie (2016); Jansen (2017); and Mamdani (2017).

Africa-rooted policy programme evaluation approach

An interesting initiative that is already in progress to develop a more appropriate, transdisciplinary Africa-rooted programme evaluation paradigm is the Bellagio project by the African Evaluation Association (AfrEA). Its problem statement is that the application of the current globalised programme evaluation paradigm is not always optimal in Africa and needs to be contextualised to be more suitable to African conditions, cultures and institutions. In this process more appropriate African ontologies, epistemologies and methodologies have to be infused in a more holistic transdisciplinary manner into the application of systematic globally accepted programme evaluation projects on the continent (Bellagio Report 2013; Cloete, Rabie and De Coning 2014).

Chilisa and Malunga (2012) state there is a need for two main African transformations of current Western evaluation culture and practices. The first is decolonising and indigenising evaluation “... to recognize the adaptation of the accumulated Western theory and practice on evaluation to serve the needs of Africans” better, while the second is the development of

“...a relational evaluation branch’ (that)...draws from the concept of ‘wellness’ as personified in African greetings and the southern African concept of ‘I am because we are’. The wellness reflected in the relationship between people extends also to non-living things, emphasizing that evaluation from an African perspective should include a holistic approach that links an intervention to the sustainability of the ecosystem and environment around it” (see also Ofir 2013 and Kwakami et al. 2008).

For evaluation to be “rooted” in Africa it should for example include an analysis of the policy programme intervention’s contribution towards community wellness, and balance both Western and African priorities and indicators.

It seems as if an “Africa-rooted” evaluation paradigm would not contain substantive differences from the prevailing “Western” evaluation paradigm, but its purpose, focus, design and implementation would probably just be more sensitive to African cultural contexts and practices in order to achieve the most accurate and valid results (Cloete 2016a). This is fully in line with the preliminary conclusions that have already been reached above about the general requirements for a more Africa-rooted policy capacity-building regime which is the focus of this article.

This is also the case with evaluation design and implementation in other cultural contexts (for example in the context of Native Americans, New Zealand Maoris, Australian Aborigines, South African Khoi-San, Brazilian, Indian and other indigenous cultural tribes and groups) (see AIHEC 2015). There is a very active thought leadership stream in the American Evaluation Association (AEA) that focuses on what they call “Culturally Competent Evaluation” (LaFrance and Nichols 2010; Rog, Fitzpatrick and Conner 2012; Gervin 2012). Mamdani (2017) advocates significant resource allocations to stimulate and promote indigenous African languages. He regards the institutionalisation of Afrikaans in South Africa as an officially recognised academic, business and government language as one of the most effective decolonisation strategies in Africa.

In order to ensure optimally efficient and effective public policy outcomes within the African context, the same principles probably also apply. Policy planners and implementers have to know the unique African developmental contexts within which their policy programmes have to work and how to ensure that they are designed and implemented in a contextually sensitive manner. This has nothing to do with decolonisation. It has everything to do with good, evidence-informed policy management contextualised for optimal results in Africa.

An excellent example of this good practice is the adoption over the last decades by the OAU and later its successor the AU, of numerous resolutions, treaties, conventions, protocols and charters dealing with issues like the rights of people, individuals, refugees, the elderly, children and women, the protection of nature

and natural resources, good governance, legal justice and legal aid, democratic practices and elections, culture, terrorism, corruption, crime reduction, cyber-security, peacekeeping and peace-building, decentralisation and local government, research and innovation, intellectual property, science and technology (AU 2017). Most of these continent-wide frameworks have integrated generally accepted international values, principles and procedures and contextualised them within the African context. Unfortunately, there seems to be a serious lack of commitment among AU members to uphold in practice the values and principles agreed to in the above AU resolutions and documents (Ojigho 2016).

One probably cannot phrase it better than Jansen (2017) did in this extensive recent quote:

“Remaining trapped in a discourse of ‘the West vs the rest of us’ is to ignore changes in knowledge work over the past three decades since dependency theory held us captive. It is also to ignore the changing authority of African scholars and scholarship. The continued grievance of a hapless African scholarship being dominated by Western ‘knowledge and power’ betrays an inferiority complex, on the one hand, and a lack of intellectual activism on the other hand. Those who complain loudest about a colonised curriculum often do the least to lead major research projects, produce the influential research books, edit influential African journals and speak truth to global power. The curriculum does not change itself. It changes in collaboration as well as competition with scholars around the world. It requires new bodies of research generated by and with African scholars across the disciplines. It also demands new authorities – new PhD graduates who are research ambitious and can generate theory and research which break new ground from field work on African research questions. Where is this scholarship? Neither an Africanised curriculum nor a decolonised curriculum adequately come to terms with the reality of entangled knowledges represented in the realities of a 21st-century academy in which the lines are increasingly blurred between the identity, ownership and authority of scholarly transactions. It is time for curriculum theory and practice to move on from becoming stagnant and entrapped in a purist language of another era”.

CONCLUSIONS

The main conclusions of the article are that watertight distinctions between Eurocentric and Africentric approaches do not always exist, and that it is risky to over-generalise such alleged distinctions in many cases. However, there are historical and current public policy processes and practices that are inappropriate

and in need of improvement. The logic of the decolonisation discourses, however, consistently breaks down on many fronts. Despite its rhetoric aimed at moving away from an alleged Eurocentric, positivist, reductionist paradigm to social investigation, it suffers from similar and even more flaws than the paradigm that it criticises.

Both the 'drop-and-replace' and the 'amelioration-and-mitigation' approaches in the decolonisation/decoloniality discourses are outdated and sterile relics of the past. They are both as stuck in the modernist colonial mindset as colonialism itself. They are both primarily very narrowly problem identification-oriented and reductionist and incomplete in terms of concrete solutions to overcome those problems. These debates are also strongly ideologically-driven and too narrowly focused on the perceived negative impacts on Africa of European democracy, capitalism and liberalism over the last century. They also ignore the fact that earlier occupations of African nations sometimes by other, stronger African nations themselves, has been a normal part of world history.

Just as it is futile to try to depoliticise politics, or roll back the holocaust, apartheid or the genocide of Rwandans, Australian Aborigines and the first nations of North America, one cannot decolonise colonialism. The physical, economic, political, social and psychological consequences of colonialism have been as thoroughly infused over time in those colonial societies as the effects of the holocaust, apartheid and the other events referred to above have been hardwired in the minds and psyches of everyone involved in those events. It is very difficult and in some cases even impossible to disentangle, neutralise or remove these effects because they just contribute to the combined effect of many historical forces that shape individual and collective identities (Mamdani 2016:81).

The best one can and should, however, do is to try to go beyond the negative impacts that these historical events had on specific individuals, groups or communities and try to overcome such impacts by more effective, holistic policy change approaches in a post-colonial world. A much more potentially constructive approach is to replace the fruitless, reactive and negative preoccupation with African decolonisation and victimhood in the past with a proactive focus on post-modernist, post-colonial upliftment and empowerment in the future.

In this process it is necessary to refocus attention on current rather than historical obstacles to progress, meaning heeding the criticism of eminent African intellectuals like Fanon, Mbembe, Mamdani and others as well as the AU and UN quoted above, who have identified serious governance weaknesses in contemporary African states that are major causes of inefficiency, ineffectiveness, corruption and repression in those societies that might even exceed the occurrence of these problems in colonial times.

A single change recipe does not exist, and different solutions should be considered in different situations in order to achieve a more beneficial policy impact on

South African and African society in general than is currently the case. However, if more proactive, evidence-informed, transdisciplinary approaches to development and governance are adopted that go beyond the reactive victimhood syndrome of decolonisation discourses, more effective and sustainable public policy empowerment outcomes based on an appropriate, evidence-informed combination of international and African good practices, might just be feasible in South Africa as well as elsewhere on this continent.

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Inclusive Public Procurement Opportunities, Barriers and Strategies (OBS) to Women Entrepreneur's Participation in Public Procurement in Uganda

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Uganda

ABSTRACT

The agenda and call to increasing Women and Women Owned Businesses (WOB) participation in public procurement is now a key policy area in both developed and developing countries. Influenced by the global declarations and the drive towards realisation of Sustainable Development Goals (SDGs), countries have adopted affirmative action strategies aimed at ensuring equalisation of opportunities between men and women. For any country like Uganda to develop implementable strategies, not only is a situational analysis of the state of affairs necessary but a glance into the opportunities and barriers that mitigate their participation needs to be re-emphasised. Uganda is a country within the East African region whose expenditure on acquisition of goods, services and works to meet government objectives could be exploited to address the gender gap. The purpose of this article is to examine, using empirical findings collected from a cross-sectional survey process the state of affairs regarding women's opportunities in Uganda's public procurement. The article specifically addresses three key issues: opportunities for women and their enterprises, the barriers to their participation and policy and management action strategies needed to address this dilemma. A framework for increasing participation is presented.

INTRODUCTION

Increasing women's economic opportunities and addressing the numerous barriers that mitigate against their full participation in Uganda's public procurement

system, the region and the world at large; is informed and theoretically grounded in a number of premises: 1) women comprise half of the human resources of many economies and evidence shows that economies do better when women are utilised; 2) it is a moral imperative and is a matter of fairness and equity; 3) women have the right to (economic) development; 4) procurement of goods, services and works by government is a key policy tool to advance social economic goals including gender; 5) the global and development agenda pronouncements strongly support gender equity principles; and 6) women are now a formidable force in all sectors and are ready or committed to vigorously advance the gender agenda as a cross-cutting theme in every aspect of public spending.

Public procurement (PP) in any country is viewed as a core government function that can be used to positively equalise opportunities of WOBs. This function of government can also be used to address the barriers that affect women's participation in tendering processes at both the central government and local government levels. Bolton (2016:4) reports from the South African context how over the years the range of public policies that PP can use to promote social inclusion have broadened unlike when PP was used as a tool to protect the environment and was more at the forefront. Recent events and experiences point to numerous examples where PP is and should be used to stimulate innovation and this perspective is receiving growing attention and acceptability. The argument in favour of this reasoning is the increasing purchasing power of governments which has also been due to growth of economies.

Quinot, (2013:405) reminds us that governments have long used PP as a tool to promote socio-economic objectives which are sometimes referred to as 'horizontal' or 'collateral' because they are ancillary to the primary purpose of PP—acquiring goods and services for the government. Recent calls for inclusion of the marginalised—particularly the youth and women, has set a policy imperative agenda for all countries. Consideration of women in the award of tenders and other economic activities of government has seen a steep climb of interest in many countries due to the actual or perceived benefits of this policy shift. From a trade perspective for example, public procurement policy (PPP) is important because it commands a significant share of GDP. Unfortunately, most procurement and investment opportunities in Uganda have rarely considered gender inclusion and equality as a selection criterion during evaluation of PP bids, a trend that has negatively affected WOBs' ability to sell to large buyers. Women entrepreneurs and business owners have been largely unable to capitalise on government spending. Some sectors present more challenges than others with a trend of facts pointing to dominance of women only in some trade sector and small supplies procurement.

Defining a gender-sensitive PPP is urgent and requires political will and administrative support mechanisms. The drive, however, has to deal with a culture

paradigm shift to fight the strong forces that support maintaining a status quo. Challenging entrenched viewpoints requires open engagement and dialogue on potential benefits of change. Such a dialogue requires involvement of all actors/agents to discuss the context in which affirmative action needs to be considered and applied. Experiences from around the globe indicate that affirmative action is more readily acceptable where there is a historical reference to past discrimination. In a number of countries, addressing this challenge has occasioned construction of laws, regulations and policies which protect the rights and opportunities of previously disadvantaged communities. The next section describes the nature and context of women and WOB enterprises.

THE NATURE OF WOMEN-OWNED ENTERPRISES IN UGANDA

Amanda *et al.* (2006:22) report on how challenges relating to women's lack of control over productive resources and assets, has been a systemic issue that has worked with the inequity in marital status and property ownership, which tend to intersect with cultural attitudes and beliefs to create formidable obstacles for women's emancipation. Across Africa, while women are reportedly a powerful force for growth and strong economic and political actors in the machinery of governments and form a formidable force in the private sector and civil society organisations where they are: policymakers, workers, property owners, entrepreneurs, educators, managers and boardroom members; this position has not translated into concrete tangible outcomes to benefit the majority of women. Some women have established their owned enterprises (big or small) a process that has seen them go through normal registration processes like other businesses owned by males. It has given them experience on what challenges the WOBs experience.

While the delays and costs of registration and licensing processes of businesses for example impose a burden on all businesses, emerging evidence suggests that such requirements impose a disproportionate burden on enterprises headed by women. Evidence further suggests that women perceive the regulatory burden as greater than men do, that women are "time poor" and therefore less inclined to formalise their businesses, and that enterprises headed by women are much more likely to be subject to harassment and bribes than businesses headed by men (Amanda *et al.* 2006:27). This current study on Uganda reported experiences where some women indicated the first 'criteria' for winning tenders in some agencies was acceptance of sexual favours from males who managed the tendering processes. Women are seen as "soft targets" (Amanda *et al.* 2006:27). Moreover, as Snyder (2000:17) reported, the contemporary story of female entrepreneurs in

Uganda mirrors the country's experience in the recovery from civil war and its legacy of death, destruction and fear. A "veritable explosion of Ugandan African entrepreneurship was born out of the need to survive amidst chaos" (Snyder 2000:17). The civil wars and economic crises that engulfed the country in the 1970s and early 1980s had profound demographic and structural impacts on any business initiative to reach acceptable levels.

The World Bank (2005:17) in The Gender and Growth Assessment study found that access to business development services and training, particularly in relation to financial management and exporting, were constraints to female entrepreneurial development. While women provided approximately 70% of the labour force, they were predominantly in the informal sector. This highlights their challenges in accessing resources, both tangible and intangible, which also continues to hinder their effective participation in the formal private sector. Some initiatives have undoubtedly been undertaken to address some of these challenges of women's participation. Notable among these has been the establishment of women's business associations which have undertaken advocacy, networking, and training roles although they are yet to cover the significant number of women, especially in the local governments where tendering opportunities exist, due to the decentralised nature of Uganda's PP system. Government also attempted to integrate entrepreneurship courses into the educational curriculum which is laudable and was anticipated at its incubation to help mitigate the negative attitudes that women entrepreneurs believed affected their business operations. The Uganda Investment Authority has also encouraged positive role models through the Distinguished Woman Investor of the Year Award at its annual awards ceremony (Amanda *et al.* 2006:25).

The barriers to WOBs are not unique to a single African country and take a varied nature. Hindrances to the participation of WOBs in PP span across borders and regions and are located at every stage of the PP process and almost in every government Ministry, Department or Agency (MDA). Internationally, key hindrances to WOBs' participation in PP include bundling, where small contracts for unrelated goods are bundled together to enjoy the economies of scale; corruption, lack of information on opportunities, and preferential treatment towards established contractors and by extension those predominantly male-dominated businesses; have stood in the way of increased participation of women in PP.

The other challenges relate to companies fronting as WOBs when they are not. WOBs for example are defined in some countries to refer to businesses with a women ownership level of more than 50% while in other countries, they give a definition where a women owned if she was the principal signatory to the accounts of the company. Further hindrance relates to the processes of tendering which are unnecessarily complicated and require a lot of documentation which

most women or their enterprises may not be able to afford because of a low financial base. The other problem has been blamed on procurement officers who do not appreciate how they can conduct procurement within the law by being supportive of the women's agenda. Perceived inadequate supply of women bidding for contracts and a poor job done by those who have previously won government tenders due to lack of capacity, have equally been cited and documented.

THE PROBLEM AND RESEARCH QUESTIONS

Government procurement spending is sizable. However, it is estimated globally that the share of contracts that are awarded to women or their enterprises is less than 2% globally. Yet, women are estimated to own a sizeable number of businesses in many countries with an estimate of more than 39% of businesses in Latin America (Hetland 2012:3) and 38% of businesses in South Africa. Uganda, like other countries, has not fully exploited PP as a tool to unleash the vast economic potential to attracting women entrepreneurs. Contributing to this under-representation is the absence of a policy stance that explicitly promotes equality for WOBs and drives the promotion of WOBs in PP as is the case in some countries like South Africa, the USA, Kenya and Ethiopia; among others. Besides, there are technicalities such as definitional inconsistencies in terms of what is defined as a WOB, a lack of standardised targets that are set for allocation of a share of PP to WOBs, the absence of a homogeneous monitoring framework to track PP spending awarded to WOBs and a lack of repercussions for not meeting targets. Uganda spends millions of shillings on PP but not much of these opportunities cascade to women or their enterprises.

In the United States, women are estimated to own about 50% of the businesses. There are reported systemic issues and weaknesses that prevent women's participation. However, there is a dearth of empirical facts documenting the exact hindrances yet this is the kind of information policymakers would need to provide solutions. Moreover, with the apparent lack of policy framework to create affirmative action for women in Uganda's public sector procurement, a need for a study to provide a situational analysis was necessary. To address the above gaps, and to generate evidence-based data that could guide solution finding, this study was undertaken to address three key questions:–

- What opportunities exist in Uganda's PP that can be exploited by women or WOBs?
- What factors inhibit women or their businesses from exploiting opportunities in PP in Uganda?
- What strategies need to be undertaken to reduce or minimise the barriers and increase opportunities for business or WOBs in Uganda's PP?

METHODOLOGY AND PROFILING OF RESPONDENTS

The study used two approaches and models as tools of conceptual analysis. The first was the CIPP (context, input, processes and product) model. This model was used with the reasoning that to understand the barriers and opportunities to women's participation in PP and later offer workable strategies, required an understanding of the CIPP of government departments and agencies. The context in which women's enterprises operate and the context in which PP takes place are vital. Next to understanding the context is to consider the inputs (resources, policies) in place for PP and those needed by women or their businesses to participate in PP.

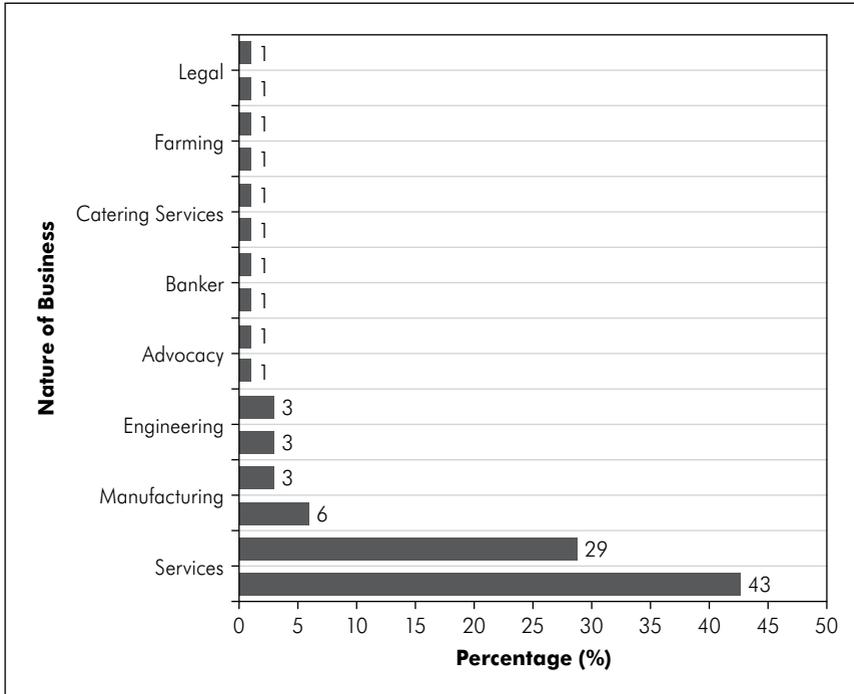
Third, the processes of PP and general registration of women's enterprises present barriers and opportunities. The bidding processes, the rules and regulations involved, all need to be understood. Finally, one needs a review of the expected outputs of the procurement process which, in addition to providing service/goods/supplies, needs payment for tenders. Analysing the procurement spend with particular interest in understanding the payments that go to women's enterprises in the category of works, services and supplies, is crucial. It is appropriate to analyse this trend sector by sector.

In addition to the CIPP model, the study considered the importance of the McKinsey 7-S Framework. The 7-S model was used to understand that the barriers to participation of women in PP lay in the strategies used, the systems in place, the structures, staffing, skills, styles and the shared values practised in the government systems at central and local levels. Reducing the gender gap and addressing the barriers to participation of women in PP needed therefore to address strategies in each of these elements. The systems, styles, skills, strategies, shared values and structures in PP dictate women's involvement or present the barriers to their participation.

A triangulated approach was used in the study. Primary and secondary data was collected and the corresponding data collection methods were applied. Interviews were conducted with key informants at central and local government levels while a survey instrument was administered to various women's enterprises in areas covered by this study. In addition to these two data collection methods, secondary review of documents especially pertaining to women's participation provided useful supporting findings for the study. The study sought to understand the nature of business the respondents were involved in for both the surveyed and those who were interviewed. The analysis of those surveyed found that the majority, at 43%, of respondents' business were in services, 29% were in trade, 6% in manufacturing, as illustrated in Figure 1.

The nature of business sectors where the majority of women were involved points to a policy area where affirmative action initiatives could be directed to

Figure 1: Nature of business of respondents

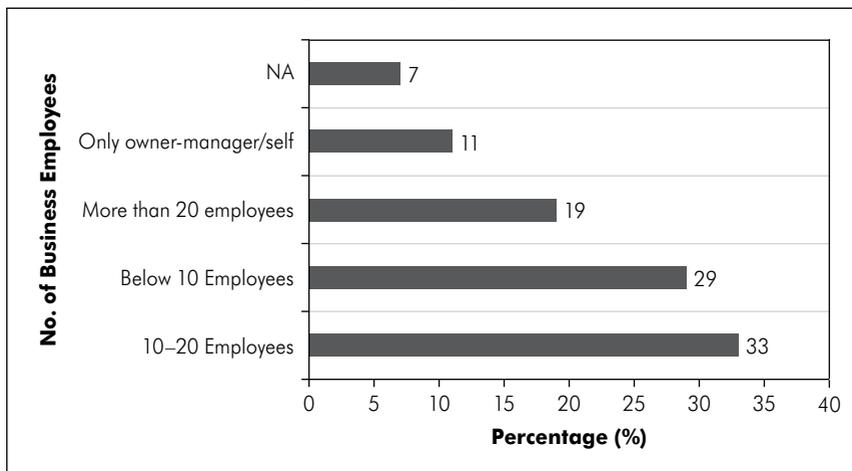


increase participation of women in PP. The findings are suggestive that women could be given special consideration in trade and services sectors.

There can be **reservation schemes for women or their owned enterprises that deal in supplies like stationary and other office equipment as well as in services like catering services, cleaning services, hotel services, and consultancy services** among other areas. WOBs appear to have a competitive advantage according to the findings of this study. This further takes into account the nature of WOBs which are usually small and with limited capital to finance big procurement requirements. Regarding the number of employees in the businesses surveyed, the results showed that the majority (33%) of respondents' businesses had 10–20 employees, 29% were below 10 employees, 19% were more than 20 employees, and 11% were owner-managed as illustrated in Figure 2.

Profiling respondents by the age of their business revealed that 39% of the businesses had been in existence for between 1 to 5-years, 29% 6 to 10-years, 15% over 20-years and 1% was just below one year. The survival rate of most business enterprises is five years implying. 15% of those surveyed had businesses that survived longer than five years.

Figure 2: Number of employees in Surveyed WOBs

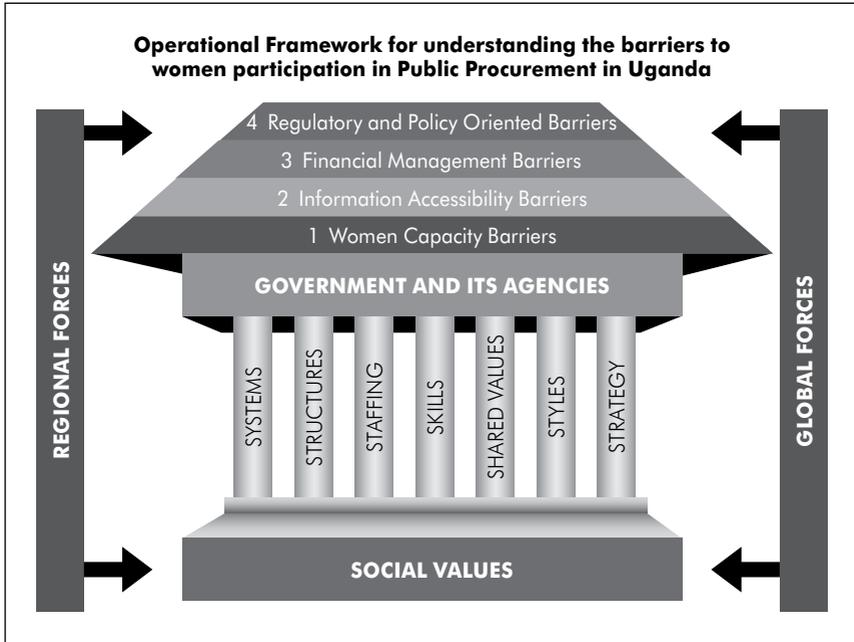


KEY STUDY FINDINGS

The findings are presented around a cluster of variables and themes that collectively target an understanding of the opportunities, barriers and strategies for increasing women's participation.

- The analysis of the survey responses in terms of the status of women's participation in PP bidding in Uganda showed that the majority (38%) of respondents had never participated in PP bidding, 31% had done so just a few times, 14% regularly participated, while 8% participated very often.
- Evidence from the literature indicates that countries which have succeeded in increasing opportunities for women's participation in PP have invested in some specialised trainings targeting WOBs and their owners. This study undertook to assess the extent to which WOBs surveyed had benefited from PP trainings. Analysis of the study findings showed that the majority (38%) of respondents had never participated in PP training, 31% did a few times, 14% regularly participate, while 8% participate very often.
- In terms of the success rates in getting a government contract/bid by women; analysis showed that the majority (56%) of respondents never succeeded in getting a government contract/bid, 19% did a few times, 14% just once, 8% regularly, and 3% very often.
- In terms of the reasons given for not winning a government tender the analysis showed that 24% of respondents were given no reason at all for not winning a government tender in which they participated, 4% lacked capacity, 3% experienced very high bid prices and 1% had incomplete documentation.

Figure 3: Findings on barriers to women’s participation in Uganda



Source: (Basheka 2017)

On the other hand 61% of the respondents found this question not applicable to them.

- The major reasons for not participating in some government tenders are that the majority (24%) of respondents did not participate in government tenders due to corruption, 18% due to a very costly process, 17% was due to insufficient capacity and 6% was due to technical bid documents involved.

Findings on barriers to women’s participation in Uganda

A number of barriers to women participating in Uganda have been reported in the literature as affecting the participation of WOBS in PP. Using the existing international literature in different countries, major barriers (women capacity, information accessibility, financing and Policy-Regulatory Frameworks) were assessed in Uganda. Respondents were asked their views on how they felt each of these factors contributed. In this section, findings on each of the barriers are presented.

Analysis showed that :

- 92% of respondents agreed that women lacked training about PP
- 83% agreed that most women lacked information on tendering opportunities

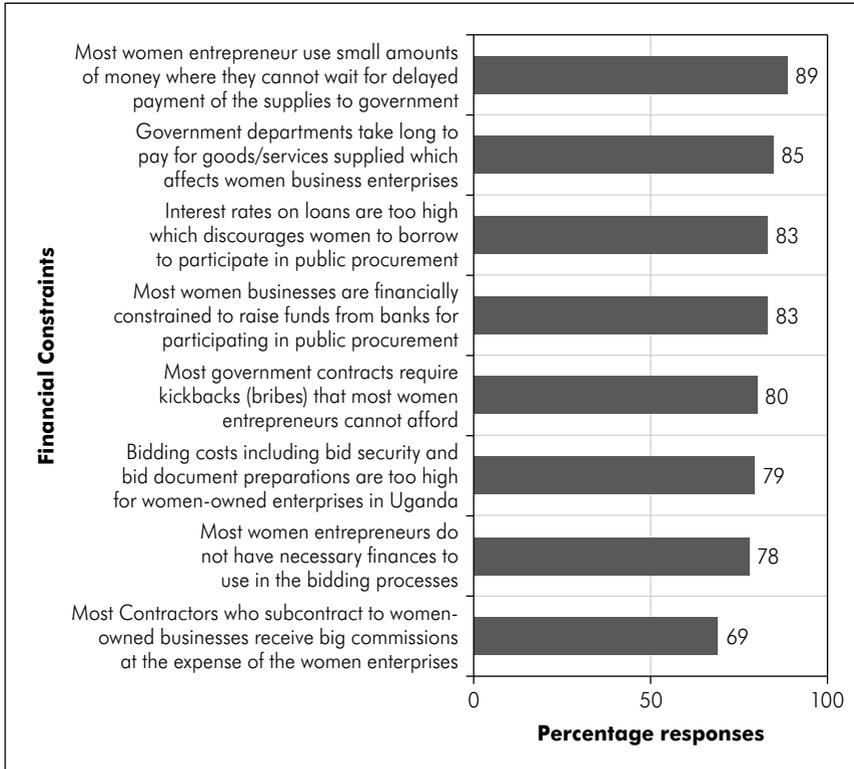
- 79% agreed that most women's enterprises lacked capacity in preparing competitive bids
- 70% agreed that most women's businesses are too small yet most government contracts were too big
- 64% agree that most women entrepreneurs lacked entrepreneurial skills
- 92% agreed that most women lacked training about PP
- 66% agreed that most women entrepreneurs had limited managerial skills although a sizeable 31% disagreed on this
- 55% agreed that quality requirements were too high and most women entrepreneurs could not comply
- 84% agreed that most women lacked information on tendering opportunities
- 66% agreed that most women entrepreneurs lacked the legal requirements for bidding in government agencies
- 80% agreed that most women enterprises lacked capacity in preparing competitive bids
- 76% agreed that most women entrepreneurs lacked capacity to bid in joint ventures because of documents involved

Specifically, the study interrogated the dimensions under each of these broad barriers to participation. For example, financial constraints to women's participation in PP in Uganda varied. Many women entrepreneurs interested in doing business with the government do not have the financial literacy to properly maintain their books and records, nor can they afford to have their accounts audited every year. Other financial requirements, such as performance bonds, bid guarantees, and fees for tender documents, are also beyond the reach of some WOBs. Like all qualification criteria, financial requirements need to be reviewed and appropriately tailored. Rationalising and tailoring technical and financial qualifications should not mean compromising standards.

Financial constraints

Analysis showed that 89% of the respondents agreed that most women entrepreneurs used small amounts of money where they cannot wait for delayed payment of the supplies to government, 85% agreed that government departments take long to pay for goods/services supplied which affects women's business enterprises, 83% agreed that interest rates on loans are too high which discourages women to borrow to participate in PP and women businesses are financially constrained to raise funds from banks for participating in PP respectively. Furthermore 80% of respondents agreed that most government contracts required kickbacks (bribes) that most women entrepreneurs cannot afford, 79% agreed that bidding costs including bid security and bid document preparation were too high for WOBs

Figure 4: Financial constraints



Source: (Primary source)

in Uganda, 78% agreed that most women entrepreneurs did not have necessary finances to use in the bidding processes while 69% agreed that most contractors who subcontracted to WOBs received big commissions at the expense of the women enterprises.

During interviews with key informants, the following major reasons for failure of women enterprises to participate in some government tenders in Uganda were recorded: –

- Lack of capacity
- Suspicion that selection process favours insiders
- Difficulty competing with large firms
- Education level
- Structural issues in organisations
- Cultural biases
- Women do not prefer this kind of job

- They do not know the process
- Women are not transparent
- Lack of adequate knowledge
- Bidder collusion
- Some think winners are predetermined
- Non-competitive products
- Tendering is too complicated
- Low mobilisation power of resources for the down-payment
- Lower experience levels in some of the areas tendered
- Low self-esteem
- Corruption and social pressure to please the bosses
- Mindset where women feel that government tenders are mainly done by men who are able to run up and down
- Failure by women to “oil the system”
- Lack of special considerations by government tenders for women
- Lack of systems for capturing their participation

DEVELOPING A FRAMEWORK FOR ADDRESSING THE BARRIERS

A framework for addressing the challenges requires a collective multiple strategy involving a number of stakeholders. The framework requires a systematic and coordinated approach that aims at addressing the structural and systemic challenges. While the framework assumes a linear view, this is not likely to be the case considering the erratic environment in which government acquisition processes take place. The framework is based on key processes.

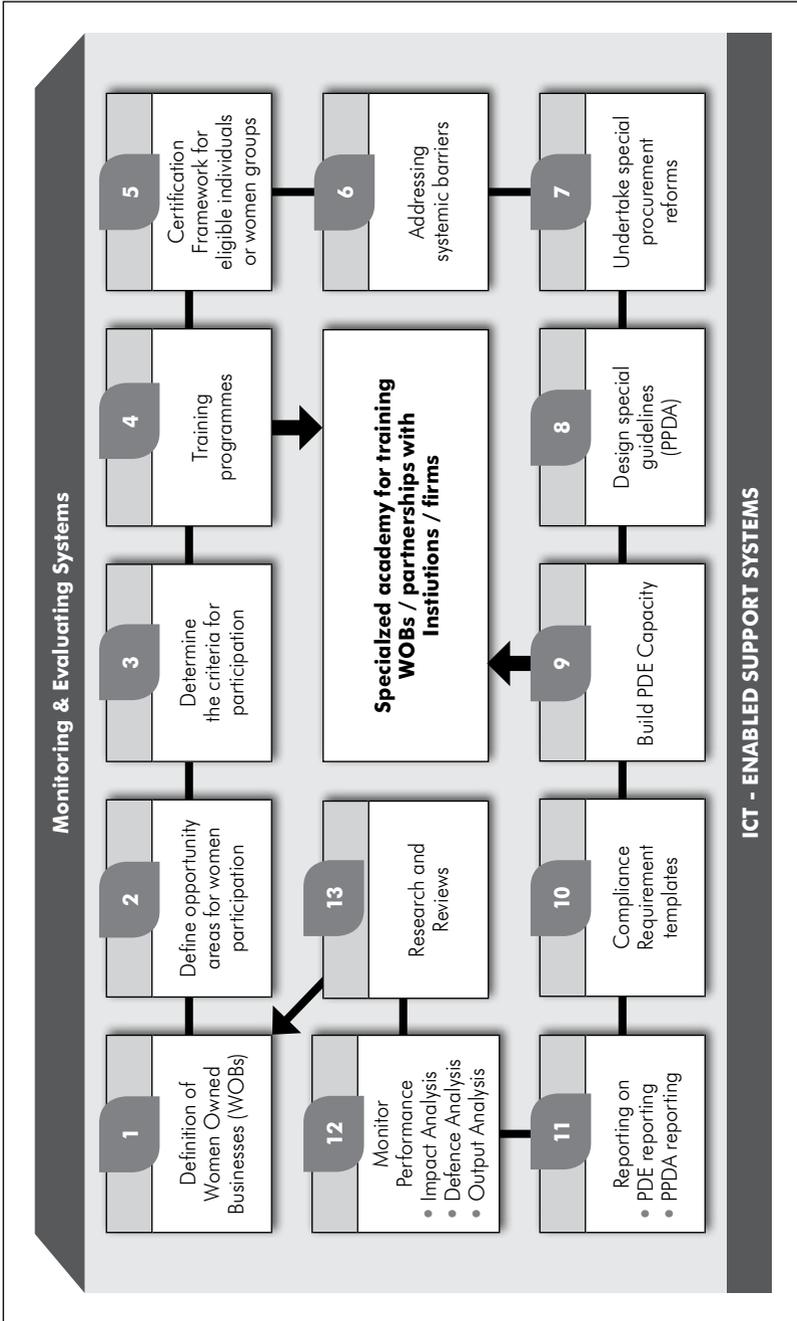
Need to define a Women Owned Business

This is a very important parameter due to the varying opinions. Uganda needs to have its own definition based on its context specific factors. While Kenya for example, defines such as an entity where the woman is a signatory to the accounts, stakeholder consultation with women’s enterprises can generate acceptable standard definition.

Definition of eligibility criteria

Once the definition is agreed on, there is need to define a set of parameters upon which WOBs can be admitted. This criterion should vary depending on the sizes of the enterprises and the sectors where the women are anticipated to participate.

Figure 5: Framework for addressing the barriers to participation of women in public procurement in Uganda



Source: (Bashkeka 2017)

A classification scheme of categories of procurements for segments either by supplies, services, and works or based on agreed thresholds can be established.

Certified training programmes

WOBs need to undergo specialised training programmes on the requirements and dynamics of meeting the criteria agreed upon. The training programmes should go beyond mere procurement cycles in PP but ought to cover management skills, entrepreneurial and basic consultancy practices. Those who have fulfilled certain set requirements will be certified to participate in PP. This is a quality assurance mechanism that would ensure quality and capacity of WOBs and will ensure some degree of standardisation.

Addressing systemic issues in government

The study has identified a number of systemic issues that prevent WOBs from participating in PP. Some of these issues are strategic, others are related to the systems, structures, staff, skills, styles, and shared values. Some issues are related to the procurement frameworks in place while others relate to operation of procurement frameworks by entities. Payment delays, corruption and the evaluation criteria setting, are issues that can be addressed to minimise the frustration of endeavors by WOBs to participate in PP. The registration systems for participation, the requirements for audited accounts, the complexity of bidding documents and accessibility to information for bid opportunities all need to be addressed.

Targeted procurement reforms

The success of the proposals/recommendations will require some targeted procurement reforms. One specific area of law would involve setting the percentage of contracts reserved for women and the youth. The other area will be the bid documents modifications to target the criteria agreed upon in stage two above. Rationalisation of eligibility requirements at the preliminary level would need to be changed to take into account the certification stage that those bidding have already accomplished. Technical tendering restrictions occasioned by the legal framework need to be addressed.

Formulation of special guidelines and frameworks

There will be a need by the Public Procurement and Disposal of Public Assets Authority (PPDA) to design and formulate special guidelines to provide a framework to procurement entities on how to enforce the agreed affirmative action

initiatives. The guidelines could offer special guidance on teaming up arrangements among WOBs, contract sizes to be reserved and the sectors, the reporting arrangements as well as timelines for bidding processes.

Compliance assessment frameworks

PPDA will need to design a compliance assessment framework upon which all Public Development Enterprises (PDEs) will be assessed. The framework should be demanding affirmative action plans from PPDA and contract compliance requirements. Compliance will be required at different levels like PPDA and PDEs level. The framework should have meaningful indicators.

Compliance reporting and rating

There will be a need for quarterly and annual reporting by entities on how the affirmative action plan has been implemented as well as the key challenges, the best practices and lessons learnt. PPDA will base the reporting on templates developed in the compliance assessment framework. The templates should allow scientific rational assessment which can facilitate annual ranking of compliance. The system should also generate the best role models of WOBs in different sectors whose success stories can be documented for mentorship purposes.

Monitoring and review

The system will work where there is continuous monitoring and evaluation to assess what worked and what did not work. This will require evaluating the impact, outcomes, and outputs of agreed affirmative actions.

PPDA annual report

PPDA will be required to give a comprehensive state of gender-participation status report. It could be made a separate report or a special chapter in its annual report can be used for this purpose.

Research and ICT-enabled systems

The system should be based on regular evidence-based research to inform decision-making. Annual research studies will need to be commissioned and findings should be shared extensively among a wide range of stakeholders. The world has changed in the business processes management engagements and the system should emphasise ICT-enabled solutions to allow instant tracking of progress.

RECOMMENDATIONS AND POLICY SUGGESTIONS

The following recommendations could be implemented to address the barriers to women's participation in PP in Uganda.

- **Procurement policy and legal frameworks:** To be effective, legislators and government officials must establish an appropriate legal and regulatory framework as a prerequisite for any affirmative action initiatives. Uganda needs to start from this stage. There is a need to have appropriate legal and policy procurement affirmative action frameworks supported by top level commitment. The ongoing PPDA amendments should be used as a perfect opportunity for crafting an appropriate legal and policy framework that integrate gender and youth issues at the heart of the PP laws.
- **Capacity development:** There is need for increased capacity building and technical assistance for women's businesses to access national and international trading opportunities on a level playing field. It is essential for policies to be developed in support of education, training and business development for women's businesses which are unable to compete due to an apparent lack of technical and managerial skills. Capacity development needs to move beyond the individual to institutional and societal capacity building dimensions. It needs to move beyond trainings in basic procurement tendering procedures to more strategic procurement, managerial and consulting skills. The capacity building needs to move beyond workshops and seminars to systematic mentorship initiatives for WOBs.
- **Transparent procurement systems:** A move towards more transparent procurement policies needs to be emphasised and existing policies that support this principle need to be fully implemented. The process must recognise the need for more gender responsive open policies and special awareness campaigns including the writing of tenders in forms and avenues that can be reached by the WOBs. While there is a need for more transparent procurement policies, the rules and regulations put in place to ensure value for money must also take into account how they can inadvertently restrict small and medium sized WOBs which may not have the capacity to implement the necessary policies and procedures required.
- **Networks for information sharing:** Information sharing is an important mechanism for scaling up the opportunities for women's participation. It is recommended that government-wide information networks be created for sharing bid opportunities to WOBs. A desk office of an IT person could also be established in each women-business oriented network organisation to scan daily opportunities for sharing to WOBs. Existing network women's groups should be linked to key local and international tender portals that offer opportunities for WOBs. There will be a need to simplify the information for the

targeted groups since women's organisations are assumed to know the needs and capacity of their members.

- **Production of success stories by PDEs:** PPDA should annually publish reports from PDEs on stories of successful women suppliers who were involved in PP in selected entities. The nature of contracts won, the sectors, and the amounts involved should be key performance metrics. Women's organisations and the UN-women alongside the relevant government departments should also produce such success stories and annual awards could be given in different categories to encourage competition.
- **Research and needs assessment:** There is need for regular research and needs assessment to identify where technical assistance is required and the adoption of more inclusive PP training programmes could help build the specific capacity of small and medium women's enterprises to gain greater access as identified by the needs assessment.
- **Procurement spend reporting:** PPDA should report on procurement spend per entity indicating the type and volume of procurement being allocated to WBOs in a financial year. A specific chapter in its annual report could as well be created for this purpose.
- **Preferential policies:** There is need for clear policy position on affirmative action initiatives. The exact percentage should be agreed upon at policy level taking into account the comparative ranges and the specific type of preference scheme appropriate for Uganda. Adoption of a standard PPP that includes an affirmative action component specifically favouring women's enterprises will most directly facilitate women's access to PP. There will be need to foster an equitable participation of rural and indigenous women, and social enterprises, increasing their access to opportunities.
- **Rewards for commitment:** Procurement mechanisms should reward commitments made to gender. The criteria for fulfilling a tender should have a clear gender component that the applicant can respond to. Incentivising the private sector to invest in the empowerment of women throughout their business operations, supply chains, senior management and decision-making roles, and corporate social responsibility programmes, can also be supported.
- **Government support systems:** There is need for other visible government support systems for women's economic empowerment at the highest levels through high profile statements by senior officials and public acknowledgment of successful initiatives taking place within the PP domain.
- **Women entrepreneur mapping and skills analysis:** There is need for a profiling of WOBs and their strengths for purposes of advocacy. There is need for further evidence-based analysis by women's organisations to influence policy-makers. The system should identify women who are already involved in the PP

business and present them as role models for other women who may want to get involved in that sector.

- **Public sector policy reforms:** Proactive policies to engage women's businesses should be initiated alongside wider policy reforms to address inequalities within nations: There is need for more proactive policies to include women businesses' access to procurement. As has been shown in the case of India, these policies must go beyond women-focused initiatives such as increasing small and medium enterprises (SMEs) and microfinance in order for enterprises for women to move to the next level. Policies should take into account what prohibits access to PP and international trade; such as education, class and rural locations, so that new procedures developed are not only for the elite but can benefit all society.
- **Policy-oriented research:** There is need for supporting policy-oriented research that aims at identifying existing gaps and one that measures how positively impact on WOBs at all levels can be attained.
- **Establishment of data base:** Women's organisations and UN-women should systematically collect data on women's ownership of businesses at all levels of the economy, including ownership levels within these businesses, how profits are utilised within the family unit, and growth in businesses over time; to monitor progress and to judge the effectiveness of programmes to support WOBs.
- **Frameworks for assessment and solution mapping:** There is need to develop appropriate comprehensive frameworks at government level, regulatory level and PDE level to assess country gaps in supporting gender equality, including women's participation. This will require applying an ecosystem approach to encourage collaboration and enable women's entrepreneurship.
- **WOB definition:** There is need to develop a definition of WOB in Uganda and establish a firm knowledge base of gender disaggregated data for SMEs. This will require understanding women-owned SMEs as a sub-segment of greater SME finance, and therefore develop a specific value proposition to serve them profitably and sustainably.
- **Special supporting systems:** There is need to develop a framework for engaging financial institutions and other government bodies like Uganda registration services bureau, URA, UIA to design requirements that support women's entrepreneurship and increased participation in PP.
- **Cultural shift and perspective change:** There is need for a robust system of ensuring procuring entities are sensitised through training to implement the agreed upon affirmative action initiatives efficiently. Procuring entities need to further develop, operationalise and implement preferential procurement policies, procedures and programmes. Procuring officials must be sensitised to the unique barriers and challenges faced by women entrepreneurs. They require

training to understand and comply with preferential procurement policies, procedures and programmes, and account for their implementation.

- **Affirmative action-oriented reporting:** There will be a need for affirmative action reporting. The ministry of finance needs to generate disaggregated data that indicates the contracts won by WOBs and in the sectors. A trend reporting approach should be adopted. PPDA needs to produce an annual status report on the implementation of affirmative action. If this information is to be integrated in the PPDA annual report, a special chapter devoted to this cause is recommended. PDEs also need to provide quarterly reports upon which PPDA generates its annual report.
- **Champion leadership:** Transformation requires high level advocacy and the women's groups need to agree on sector leadership to champion the advocacy for increased participation of women in PP in Uganda. The leadership should adopt a consultative approach supported by regular feedback to members.
- **Monitoring and evaluation system:** For effectively allowing lesson learning and best practice development, a comprehensive system for monitoring, evaluating and review should be developed and implemented. This could be the primary country responsibility of UN-women.

CONCLUSIONS

The article concludes that emerging from the findings, there is lack of the exact volume and value of PP contracts awarded to women or their enterprises in the PP system of the country. There is no system in place at PPDA and Ministry of Finance, Planning and Economic Development to capture this disaggregated data required for evidence-based decision-making. WOBs' participation in PP in Uganda, based on opinions and views of those interviewed and surveyed, remains low and is skewed towards the micro and small enterprises. The majority of women and their enterprises who have participated in PP have been in supplies and trade which offer low volumes of procurement compared to the lucrative consultancy and works tenders.

Barriers to women's participation in PP are spread across the entire PP cycle—planning and budgeting, specification criteria, bidding, evaluation, and contract award and contract management. Some barriers are structural, legal and others relate to systems in place, the people managing the systems, the shared values, the styles as well as the strategies adopted. Corruption is a major issue that affects the effective participation of WOBs in the PP system. Coupled with the social value systems and the dominance of males in the procurement cycle, most WOBs do not offer required kick-backs hence they miss out on some tenders as they are not given official reasons for not winning contracts.

There are a number of system-wide issues that militate against effective involvement of WOBs in the PP system. There are reported consistent difficulties in accessing information on bid opportunities, lack of managerial expertise and skilled workers to prepare responsive proposals by women's enterprises, coupled with expensive bid processes and limited ICT capacity this hinders their effective participation. The PP regime in Uganda has no specific affirmative action schemes targeting women and their enterprises. There are, however, some positive initiatives like gender-based budgeting, the equal opportunities commission report and the establishment of a gender committee in PPDA.

WOBs generally lack a conducive environment for increased participation in PP. Not only do they lack access to financing but the support systems for their participation are weak. The PP and gender sectors lack a clear framework for mentorship of successful businesses which is required for ensuring sustainability of WOB participation in PP. There is lack of a clear definition of WOB in the context of Uganda which is understood by different stakeholders and can be used as a basis for measuring the performance of women's groups in the PP system. There is lack of a robust training curriculum designed for scaling up the participation of women and their enterprises in PP. There is lack of systematic curricula upon which the training is based and neither are there formally accredited institutions to advance this specialised knowledge transfer. There has been a noticeable concentration of WOBs in services and supplies which offer small economic benefits compared to huge consultancies and construction works. The findings in Uganda do not contradict those found elsewhere as far as women's participation in PP and affirmative action initiatives are concerned. The barriers in Uganda revolve around the women's capacity, the accessibility to information, financial challenges and are related to regulatory and legal frameworks.

NOTES

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Business Development Support and the Role of Rural Enterprises

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ABSTRACT

The article investigates the role of rural enterprises in the rural economy and the importance of providing business development support to these enterprises to fulfill their economic role. The article shows that rural enterprises play an important role in the development of the rural economy including employment creation, poverty alleviation, improved nutrition and the industrialisation of the rural economy. Rural enterprises also promote diversification into non-agricultural activities and the utilisation of natural resources. The provision of business development support helps enterprises to benefit through improved access to markets, technology and finance as well as improved competitiveness and profitability. This enhances improved enterprise performance, which in turn enables them to play their key role in rural economic development. The policy implication is that there is need to provide business development support to rural enterprises and to address support services supply and demand barriers for the improvement of uptake and benefit optimisation. The article is based on a desktop analysis by way of a conceptual and contextual analysis of various types of relevant literature and official documentation.

INTRODUCTION

This article focuses on the important role rural enterprises play in the rural economy in general and rural enterprise business development support programmes undertaken in Zimbabwe in particular. It also addresses the role that business development support provision plays in promoting rural enterprises to enable them to play an effective and efficient role in developing the rural economy. Best practices are drawn from the Zimbabwean experience to contextualise the discussions of the various issues in the article.

CONCEPTUAL CLARIFICATIONS

Rural enterprise

Adding to the debate in the literature as to whether a rural enterprise is really different from an urban one, McElwee and Smith (2014:441), attempt to define a rural enterprise as a venture “whose primary location is in a rural setting”. They also acknowledge, similar to Tunberg (2014:5); Atterton and Affleck (2009:4) and Centre for Rural Economy (2006:5) that rural enterprises are mostly agriculturally based.

Bosworth (2011:8), like Tunberg (2014:6) also acknowledges the difficulties that are faced in trying to come up with a definition of a rural enterprise. Bosworth (2011:8), however, goes on to provide a comprehensive typology of rural enterprises which is depicted in Figure 1. This typology is based on three parameters, i.e. that the venture is located in a rural area, sells a rural product and serves a rural population. This gives four possible categories or types of rural businesses labelled A to D as shown in Figure 1.

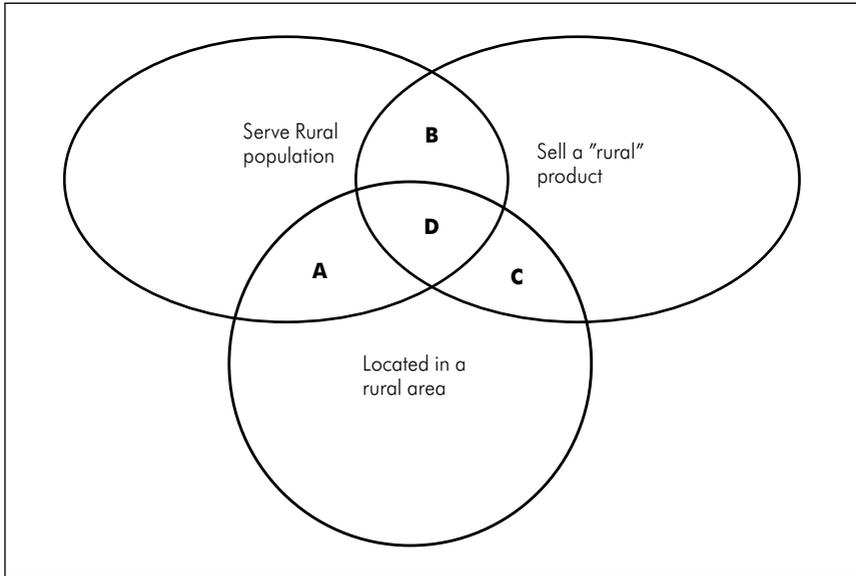
Thus, for purposes of the article as argued by Mtisi and Muranda (2016:9), rural enterprises are considered to be those that are categorised as A, D and C, i.e. those that are primarily located in a rural area. That automatically excludes category B enterprises which are not located in a rural setting.

Business development services (BDS)

In terms of defining business support, the Centre for Rural Economy (2006:14) states that, “Business support typically refers to the external resources that a business draws upon in order to extend or strengthen its internal resource base”.

Another influential definition in the BDS field, by Miehlabradt and McVay depicts BDS as “Business Development Services (BDS) refers to the wide range of services used by entrepreneurs to help them operate efficiently and grow their

Figure 1: Categorising rural businesses



Source: (Borsworth 2011:8)

businesses with the broader purpose of contributing to economic growth, employment generation and poverty alleviation" (Miehlbradt and McVay 2003a:2). Chileshe (2013:89) notes, that most of the literature in the BDS field is practitioner oriented and based on developmental projects. This definition strongly reflects on the purpose of BDS to be developmental oriented in terms of economic growth, employment creation and poverty alleviation, which are usually referred to as secondary benefits of business support provision (Wood 1994:65). This is besides the primary benefits that accrue to the supported individual enterprises in terms of efficiency and growth, among others, as enunciated in this definition that will be discussed below.

THE ROLE OF RURAL BUSINESS ENTERPRISES

The compelling reason why the small enterprise sector needs support is because of the role this sector plays in economic development and its sheer size in most economies globally. Micro, small and medium size enterprises (MSMEs) represent the majority of all business enterprises in the economy (FinScope 2012:19). Some of the key roles that rural enterprises play are discussed in the subsequent subsections.

Employment creation

This is perhaps the most widely recognised role that rural enterprises play in the rural economy

(Pooe and Mafini 2012:92; Atterton and Affleck 2009:10). Rural enterprises tend to be more labour intensive due to the low cost of labour in rural locations (North and Smallbone 1996:152). Hence, this strengthens the employment creation and growth role of rural enterprises to curtail rural unemployment in the process (Boateng 2011:7).

The same argument (employment creation) can be made for the non-rural enterprises because small enterprise development is said to be highly desirable to create employment (Oldsman and Hallberg 2004:140). Notably, the employment creation objective is the major argument why governments globally, have policies towards the development and promotion of small enterprises. In the Zimbabwean scenario, the MSME sector (rural and urban) is responsible for employing approximately 5.7 million people (FinScope 2012:19) which is nearly half of the country's total population of 12 million people (ZimStat 2012). In times of economic hardships, as in the context of Zimbabwe, the MSME sector acts as a safety net (Liedholm 2001:13) resulting in the rapid establishment of new MSMEs given the massive job losses that are normally experienced during economic recessions as in Zimbabwe.

Poverty alleviation

The fact that rural enterprises create employment resulting in the improvement of rural incomes through earned wages means that they actually contribute to alleviation of rural poverty (Boateng 2011:7). Though the wages may be low and sometimes result in out-migration (Mugobo and Ukpere 2012:834) of especially the younger population who seek greener pastures in urban centres, the earned wages still make a positive improvement to household incomes and consequently improved livelihoods. This is perhaps why non-governmental organisations (NGOs) have been at the forefront of developing and implementing business development programmes for rural enterprises as an anti-poverty tool, especially in Africa (Boateng 2011:7). To this end, a group of donors, the former Committee of Donor Agencies of Small Enterprise Development was set up (currently the Donor Committee on Enterprise Development – DCED) to champion enterprise development as a poverty alleviation tool. Similar committees or working groups were also set up under the auspices of organisations such as the Organisation for Economic Cooperation and Development (OECD) and the Asia-Pacific Economic Cooperation (APEC).

The ever increasing number of survivalist enterprises (those without employees) underscores the poverty alleviation role of small enterprises (Rogerson 2001)

where in Zimbabwe, these were found to make up as much as 71% of the estimated 2.8 million MSMEs country wide (FinScope 2012:18). These are said to be playing a key role in curtailing situations where households may slip deeper into poverty, thus aggravating household vulnerabilities. The antipoverty role of small enterprises is also once again demonstrated by the fact that the majority of operators (e.g. in Zimbabwe) are necessity driven (63%) rather than being opportunity driven (34%) as a major motivation to start an enterprise (FinScope 2012:40). FinScope (2012:4) also notes that 66% of operators are household heads who have responsibilities of earning an income for the household.

Rural industrialisation

This is another role that rural enterprises play in the rural economy. Basically, there are two major policy objectives for small enterprise development, i.e. poverty alleviation through employment creation and economic development through the industrialisation of the economy. Hence, rural small enterprises promote the industrialisation of the concerned rural areas (Turlakova 2014:9) through the establishment of small scale industries which research, from an African perspective, has shown to fall into two major categories, i.e. household based activities meant to generate additional income for the household and owner managed operations for the production of goods and services (Wekwete 1988:12).

Utilisation of resources

Rural enterprises assist in the utilisation of natural and other resources that are located in rural areas (Imedashvili, Ivchenko and Kekua 2013:13). They are credited for better utilisation of local resources and ensure value derivation from such resources (Turlakova 2014:9) including human resources through local employment creation. Developments in rural enterprises that deal with rural tourism (Dinis 2011:7) and other natural resource based commercial activities such as those in the non-timber forest products (NTFPs) (Turlakova 2014:9) have resulted in greater utilisation of natural resources in rural areas as a direct benefit of such rural enterprises to the rural communities. Being that most enterprises are agriculture/land-based in the rural economy (Smallbone 2009:12) this results in the economic utilisation of the land that is at the disposal of the rural communities.

Improved nutrition

Again being mostly land-based agricultural concerns, rural enterprises are said to result in improved household food security, nutrition and better access to health care and even education (Jenkins, Gilbert and Baptista 2014:6). This is made

possible by the improved household incomes which can be used to access these and other social services. Besides, rural entrepreneurship can lead to the creation of organisations that provide such social services (Turlakova 2014:10), the idea of social entrepreneurship, thus resulting in improved quality of life and standard of living for individuals, households and communities (Saxena 2012:25).

Diversification into non-agricultural activities

This is another aspect that is credited to rural enterprises. The creation of enterprises in other areas of economic activity besides agriculture results in much needed diversification. There have been various calls for diversification from farm to nonfarm economic activities (McElwee and Smith 2014:451; Tunberg 2014:5). Some of the forms of diversification by rural enterprises include economic activities in the areas of crafts, catering, carpentry, blacksmithing, retail and tourism (Turlakova 2014:10), among others. Diversification helps to promote secondary and services sectors (Boateng 2011:20) being too dependent on the primary sector economic activities that is a characteristic of the rural sector.

Rural economic development

The combined effect of all the above discussed rural enterprise roles in the rural environment lead to the development of the rural regions, thus revitalising the rural economy. Rural entrepreneurship has long been recognised as a rural development strategy (Hoy 1996:4). What this implies is that, without the creation of new enterprises and the support of the existing ones in the rural areas, no real development will occur in these otherwise disadvantaged locations which, consequently, will always lag behind other non-rural locations. Hence, Imedashvili, Ivchenko and Kekua (2013:6) concur that rural enterprise development does bring about rural economic development. This stresses the importance of these enterprises in the revitalisation of rural regions, hence, the need for their continued support.

BENEFITS/IMPORTANCE OF BUSINESS DEVELOPMENT SUPPORT SERVICES

The fact that rural enterprises have been proved to be crucial for the development of the rural economy makes a compelling case for their support as they benefit in various ways to play a key role. Some of the benefits that accrue to MSMEs (rural and non-rural) as a result of implementing business support programmes are discussed below.

Increased productivity

The provision of business support services have been seen to have a positive effect on the productivity of the enterprise (Miehlbradt and McVay 2003a:1) especially if training on improved production processes, quality circles and other productivity enhancement training programmes were undertaken (Batra and Mahmood 2003). In a study of 23 evaluation reports on business advice programmes, the What Works Centre for Local Economic Growth (2014) found that improved productivity was a more important benefit for small enterprises than employment creation when they received business advice. The Batra and Mahmood (2003) study also found that capacity utilisation increased in supported businesses contrary to those that were not supported and also that capacity utilisation decreased at a slower rate in supported firms than in non-supported ones. This clearly demonstrates a positive effect of support on manufacturing enterprises.

Improved competitiveness and growth

Competitiveness and growth is another benefit that is clearly demonstrated in the literature (FAO 2014:4; Centre for Rural Economy 2006:4). Enterprises grow when they draw upon various forms of enterprise support such as access to finance, access to inputs and access to markets.

Improved access to finance

When enterprises go through business plan training, it enhances their chances of producing a bankable business plan that can easily attract funding from financiers (FAO 2014:5). Besides business plan training, financiers find comfort when they deal with enterprise operators who have some financial literacy and business skills training (Mtisi, Dube and Dube 2017:189), thus improving their chances of securing finance as a result (Islam 2013:56). Microfinancing business skills training is often taken as some form of security that tries to enhance business performance which then enhances chances of repayment of the borrowed monies (Chamlee-Wright 2005), especially for rural enterprises who seem to benefit more from microfinancing as they are often declined by the larger financial institutions. This is why there has been an increased development of support programmes that are linked to microfinance (Miehlbradt and McVay 2003b:46) as a strategy of trying to improve loan recoveries.

Improved access to markets

This is one of the most commonly cited reasons for providing business support

to small enterprises in general and especially rural ones. Literature points to the fact that rural enterprises have, as one of their major problems, access to markets (Shield 2005:51; Meccheri and Pellonis 2006:373). Hence, business support programmes are meant to benefit enterprises through improved market access (Islam 2013:56). Agricultural enterprises (which comprise most rural enterprises) find this form of support quite handy given problems faced with accessing agricultural markets (FAO 2014:4), a problem that is compounded for rural enterprises due to distances involved in moving produce to markets (Smallbone 2009:8). Thus, market access becomes a major benefit of enterprises partaking of business support, more so in the rural environment, enabling them to play their critical role of contributing to the development of the rural economy and improvement of livelihoods.

Improved profitability

This is another important benefit (Wood 1994:6) of MSME support programmes. Profitability is a function of revenues and costs, thus business support is touted for increasing enterprise revenues and decreasing operational costs; the outcome of which is increased profitability (Miehlbradt and McVay 2003a:1). In an evaluation of a marketing assistance programme to small enterprises in the UK, Wren and Storey (2002:362) found that an investment of an average £1,000 resulted in £30,000 increase in sales turnover for supported enterprises. One of the benefits of enterprise support is improved market access (ADEA 2013:59) as discussed above, with a possible impact of increased revenues. Business support also results in improved access to input markets at lower costs (Islam 2013:56) as well as improved business operational efficiency (FAO 2014:4), thus the sum total of all this is improved profitability, i.e. when revenue is increased and costs decreased.

However, there have been concerns raised as to whether small enterprise assistance programmes really result in increased revenues and improved profitability because the evidence obtained from some programme evaluations has been somewhat elusive (What Works Centre for Local Economic Growth 2014). Also, displacement concerns have been raised (Centre for Rural Economy 2006) where supported enterprises are said to be benefiting (e.g. increased revenue) at the expense of the non-supported ones with the net effect to the wider local economy being a zero sum game (Wood 1994:66). Hence, there is need to ensure that support programmes minimise the displacement effect perhaps by supporting all enterprises in a given locality by avoiding deliberate targetting.

Increased access to technology

Small enterprises, especially the rural ones, have problems accessing appropriate technology (Meccheri and Pellonis 2006:373), especially in Africa and some

parts of Asia where this is said to be a major problem (Irwin 2011:210). Thus, enterprises benefit through provision of work spaces, machinery and equipment and general access to new technology (Islam 2013:56) for improved operational efficiency (FAO 2014:4) and innovativeness (North and Smallbone, 2006:44). Increased access to technology also results in enterprises benefiting from improved product quality. A lack of technology has been attributed to poor product quality and lack of competitiveness (ADEA 2013:67) by enterprises, especially rural enterprises where this is more pronounced.

Other BDS benefits

Given the pervasiveness of business support services (Smallbone, Xiao and Xu 2008:657), there is a wide range of benefits that accrue to supported enterprises depending on the type of services provided as there is not a single programme that can provide all the possible services available. Other benefits would include, support services' ability to help improve enterprise sustainability over time (FAO 2014:23); to comply with regulations and operate within the realms of the law (Hitchins, Elliot and Gibson 2004:17); exposure to international markets and also improved access to infrastructure (ADEA 2013:65); improved management and skills of supported enterprise operators (Islam 2013:55); among other primary benefits. Of all these benefits, the significance of the benefit is more pronounced on the rural enterprises as they are often more disadvantaged than their urban counterparts given the unfavourable rural entrepreneurial milieu (Stathopoulou, Psaltopoulos and Skuras 2004:414).

Miehlbradt and McVay (2003a:5) say the provision of BDS has also resulted in other additional development impacts that include, among others, environmental preservation, given the green revolution worldwide in the 21st century and gender equity, where programmes take a deliberate move to target assistance for women enterprises (Boateng 2011:19). This has also resulted in some form of empowerment and democratisation by assisting the disadvantaged groups of society, including rural dwellers.

BARRIERS TO THE PROVISION OF BUSINESS SUPPORT

Despite the importance of business support provision for rural enterprises to undertake their role of revitalising the rural economy, there are some barriers that hinder the uptake of business support services by enterprises. These have generally manifested themselves as market failures from both the supply and demand side.

Supply side barriers

According to Miehlbradt and McVay (2003a:35), suppliers of support services have a tendency of serving only urban and not rural enterprises due to various problems about rurality including distance and remoteness (Centre for Rural Economy 2006:6) as providers are mostly urban based. There is also an inclination of suppliers ignoring the small and micro enterprises which make up the majority of rural enterprises in preference for the medium and larger ones. Linked to this is the ability to pay as most rural enterprise operators have their ability to pay compromised due to high prevalence of poverty in rural areas. Another problem is that suppliers sometimes offer services that are not exactly what is required by the small enterprises, something that was common under the old Traditional Approach to services provision (Miehlbradt and McVay 2004:16). This also hinders the uptake of services, not just by rural enterprises alone, but also by their urban counterparts.

Another constraint is the limited skills and experience in the area of small business that some providers have (Smallbone, Xiao and Xu 2008:670), thus compromising their ability to offer appropriately targeted and quality services. It has often been argued that the best business advisor is one who has experience running their own business (Neshamba 2012:7), a key aspect that is unfortunately missing in most business advisors in Zimbabwe.

It has also been found that sometimes suppliers lack appropriate up-to-date information about the small enterprises' needs in order for them to be able to package tailor-made services for them (Miehlbradt and McVay 2003a). The need to build supplier capacity with market assessments in order to collect enough market information is a prerequisite to support programme design (Committee of Donor Agencies for Small Enterprise Development 2001:5).

Another problem that would result in the exclusion of rural enterprises from getting support is that there is a tendency of most support programmes to target high growth enterprises to maximise on impact (Neshamba 2012:8). Rural enterprises are said to have less growth opportunities compared to their urban counterparts (Centre for Rural Economy 2006:20). If this selection criteria is used in identifying programme beneficiaries, rural outreach will be compromised.

For subsidised support programmes, the issue of stimulating the market demand by funding the recipient of support (the enterprise) without necessarily funding the supplier of the service to build their capacity; has been found to be another barrier to the provision of services (Nwankwo, Akunuri and Madichie 2010:572). There is also need to invest in providers in order to build their capacities to provide services to the enterprises, especially rural ones which can hardly be sustainably serviced without some form of subsidy (Otieno and Kiraka 2009).

Demand side barriers

Miehlbradt and McVay (2003a), state that on the demand side, it has been observed that small enterprises lack awareness of what services are available and from whom (McElwee and Smith 2014:447). This leads to poor access and low utilisation of support services by the concerned enterprises as they cannot demand services that they are not aware of. The low awareness levels have been attributed to poor marketing and poor information dissemination of business support services by the providers especially to the rural segment (Xiao and Fu 2009:431).

Sometimes small enterprises are said to be simply risk averse in terms of trying out new support services as some are not sure of the quality that they would be getting from the suppliers of the services (Centre for Rural Economy 2006:34). The inability or unwillingness to pay for services is another big barrier to the uptake of business support services especially in poor and rural communities (Miehlbradt and McVay 2003a:69). What this means is that services ought to be subsidised in order to stimulate demand from the enterprises (Hitchins 2000:19), as advocated for under the Traditional Approach, thus justifying skeptics of the Market Development Approach as far as the very poor entrepreneurs are concerned.

Another demand side problem has been found to be the inability of the enterprises to correctly identify their needs, thus the distinction between *real* and *perceived* needs (Committee of Donor Agencies for Small Enterprise Development 1998b:6) or *latent* and *expressed* needs (Yusuf 2010). This then calls for support services to do a general diagnosis of an enterprise's situation for the identification of real capacity building needs (Dyer and Ross 2007:131) as opposed to going by self-reported (perceived) needs in programme design; in order to maximise the benefits that will accrue to the enterprises receiving support.

CONCLUSIONS

It is clear from the foregoing discussions drawn from literature that rural enterprises have an important role to play in the economic development of rural regions. This has been demonstrated through a discussion of their various contributions including employment creation, poverty alleviation, health and well-being, industrialisation of the rural economy, and diversification to off-farm economic activities, among others. However, in order for these enterprises to fulfill these key roles, the policy implication is that there is need for the provision of support as an enabler, which in turn benefits the enterprises in various ways including access to markets, improved access to finance as well as technology, improved competitiveness and profitability. There is also need for policy intervention in terms of addressing the

barriers to the provision and accessing of business support services, especially for the rural enterprises. This will help to improve the supply and uptake of business support which will in turn help the enterprises to better perform, thus in the process contributing to rural economic development.

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Validating a Model for Assessing Performance of Public Sector Organisations (PSOs)

A Rapid Assessment of Tanzania Public Service College (TPSC)

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ABSTRACT

This article investigates a rapid assessment of the Tanzania Public Service College (TPSC) that was conducted to validate a model for assessing Public Sector Organisations (PSOs) in Uganda**. This was done to provide best practices and a set of guidelines for assessing the performance of PSOs in the Tanzanian context. Based on the empirical findings, the analysis shows that the model is valid and has strong internal consistency as it demonstrates convergent validity with the findings obtained from other reports which were used as proxies to gauge the performance of the chosen case. It is therefore, safe to conclude that the model is valid, relevant, effective and efficient for assessing the performance of PSOs in Tanzania. The article concludes by offering policy implications for the TPSC to improve service delivery and areas for future researchers to further validate a model are suggested.

INTRODUCTION

Dwight Waldo's position on the importance of public organisations in our daily lives is still as valid today as when it was written over 50 years ago (Waldo 1955). Since then, public organisations have mushroomed tremendously to the extent that a multitude of people are now employed by public organisations and injecting colossal financial resources into the global economy (Jordan *et al.*

2012:661). Essentially, the range and complexity of the issues under the government auspices are manifold, far beyond our wildest expectations a few years ago (Denhardt 2008).

The serious impact public organisations have on our lives, as the means through which the governments deliver public services, whether directly or indirectly through contracting the private sector, becomes a matter of necessity (Basheka *et al.* 2017:136). It is readily acknowledged that PSOs are experiencing unprecedented pressures to become more efficient, and in tandem forced to maintain a high level of responsiveness and overall customer services to public constituents (Jordan *et al.* 2012:661).

It is in the above context that the need for obtaining and monitoring the performance of PSOs is undeniable especially due to the present pressure exerted by the need to improve performance, maintain sustainability and an increased public debt on most national budgets (Diana 2014:51). However, the real challenge lies in the development and implementation of a performance evaluation model that would be functional and sustainable. Globally, various governments have introduced numerous performance evaluation methods, but few have proved to be successful and others continue to learn from malfunctions of their previous practices (Jordan *et al.* 2012:661).

In the light of ever increasing pressure to evaluate the performance of the PSOs so as to become more accountable and simultaneously improving service levels, this article sets out to adopt and validate a model for assessing the performance of the PSOs developed by Basheka *et al.* (2017) in Uganda, through a Rapid Assessment of TPSC.

CONCEPTUAL CLARIFICATIONS

Public Sector Organisations (PSOs)

PSOs, parastatals, or State Owned Enterprises (SOEs) are used interchangeably in this article to mean “production and commercial organizations owned by the government or with the majority of participation, run on profit basis and whose accounts are not integrated into the general budget” (Moshi 1998). The typical PSO is a legally autonomous entity that operates along commercial lines but is owned in whole or partly by the government (Ramamurti 1987).

Rapid Assessment

Is a method of using all the techniques of fieldwork to provide solid, field-based findings for use by the policy-makers and programme planners (Beebe 2010:10).

The method uses a team of researchers, encourages triangulation of research findings, and should be conducted as an iterative process to produce high quality findings (Basheka *et al* 2017:138).

PUBLIC AND PRIVATE SECTOR ORGANISATIONS: A TAXONOMY

If apples were oranges, Peter Fredrick Drucker's ideas on management would apply across the board to the government as well as business, but apples are not oranges and government is not business (Guy and Janice 2000:30). Given the diverse nature of the organisational forms, in tandem with ambiguous characterisations of these disparate variants of organisations, it is instructive to declare that PSOs is the focus of this article. However, it is imperative to draw a distinction between public and private organisations for clear understanding.

The contrast between the private and public sectors has received heightened attention in the literature over the recent past (Perry and Kraemer 1983), as evidenced by the number of comparative studies published in Public Administration and Management literature (Perry and Rainey 1988:182). The foremost reason for these studies is their potential relevance to understanding the proper "province and process" for public and private sectors (McCandless and Guy 2013:358; Perry and Rainey 1988:182).

In engaging the contemporarily status of the public-private distinction, the calling card includes the variety of possible definitions and their multiple uses. Therefore, there is a need to select the most useful definition for organisational analysis (McCandless and Guy 2013:358; Perry and Rainey 1988:182). Public and private or "province and process" have been the subject of contentions in relation to core societal values and issues. Webster's new world dictionary of American language cites the origin of "public" in the Latin word for people, and conceives it as referring to matters pertaining to the people, community, nation, or state. Similarly, "private" was also derived from the Latin word meaning the deprived, marginalised, away from the public offices or set apart from the government (Guralnick 1980).

Relatedly, public organisations by many standards have been associated with the government milieu (Pea-body and Rourke 1965), and private organisations have been identified with business entities. This article adopts Fottler's definition of public organisations conceived as "the agencies of government (federal, state and local) constituted by law and authorized to collect taxes and provide services" (Fottler 1981). This definition entails that public and private sector organisations differ enormously. For instance, while the private sector organisations focus solely on profit maximisation, public sector

organisations are typically designed to serve the interests and needs of the public (Jreisat 2000).

Moreover, the seminal work of Rainey *et al.* (1979) offers exhaustive differences between the two sectors which must be taken into consideration; first and foremost, public sector organisations often face high levels of scrutiny and demand for accountability from the public, therefore impairing their managers' flexibility in decision-making; comparatively, private sector organisations have more autonomy and therefore the managers are more flexible in decision-making.

Second, public sector employees are less motivated by monetary incentives, whereas their counterparts in the private sector are highly motivated by monetary incentives.

Third, PSOs operations are highly characterised by norms, policies and protocol and therefore overtly bureaucratic, whereas the private sector organisations' mode of operation is speedy and less bureaucratic.

THE CRADLE OF PUBLIC SECTOR ORGANISATIONS IN TANZANIA

Like any other government, the Tanzanian government is the main provider of public services; this is due to the shift in public opinion regarding the appropriate role of the state in economic affairs, and the understanding that governments have the responsibility for the functioning of the national economy (Aharoni 1980:14). Thus, after attaining independence in 1961 the government realised that economic independence was more important and a critical requirement. To that end in the newly independent Tanzania, the government resorted to the creation of public organisations to serve the purpose of promoting self-sustaining economy.

Through the Arusha Declaration of 1967, public sector organisations assumed a new and extremely important role in the country's economic development effort (Moshi 1978). They were new in the sense of affecting socialist reconstruction and importance because of their roles as engines of economic development. Tanzania's PSOs recorded significant impact on macro-economic performance during that time, the reason being the uses of these organisations as the sole policy instruments in directing the economy. Thus, there was an increase of PSOs from 42 in 1967 to 425 PSOs in 1984 (Moshi 1990). However, in spite of the centrality of these enterprises in Tanzania's economy experience revealed that economic impact of PSOs turned out to be more detrimental than positive (*Ibid*). This is because instead of injecting money into the government revenue, the PSOs became the main veins to siphon off the national budget through subsidies. For example, analysis of the fiscal flows indicates the overall negative impact as evidenced by

the increase in net transfer from the government to PSOs in real terms from Tshs 6.3 billion in 1984/85 to Tshs 50 billion in 1993/94 (Moshi 1998).

To ameliorate the above situation, the Tanzanian government introduced a range of macro-economic policy reforms to improve the performance of the PSOs in the early 1990s, the interventions include:

- External trade liberalisation which reduced monopolistic protection enjoyed by many PSOs;
- Internal trade liberalisation which likewise allowed the entry of other firms to compete with PSOs which hitherto had monopolistic positions;
- Price reforms, especially exchange rates, interest rates and removal of commodity price control; and
- Budget restrictions on flow of subsidies, equity injections and other transfers to PSOs (Moshi 1998).

The above interventions were intended to reduce the size and rehabilitate the PSOs in Tanzania and were implemented through the adoption of the market principles in government activities ushered in by the New Public Management (NPM) where privatisation was the calling card (Sava 2006:4). In 1997 through the Executive Agency Act No.30, Executive Agencies were created. The agencies were designed to promote autonomy and improve service delivery and bring the service closer to the community.

THE CHOSEN CASE STUDY: TANZANIA PUBLIC SERVICE COLLEGE (TPSC)

In August 2000, TPSC which is the focus of this study; was established as a semi-autonomous Executive Agency through the Executive Agency Act No. 30 of 1997 to fill the void of a comprehensive training facility for the public service. TPSC meets its obligations by designing, packaging and delivering demand-driven training programmes, consulting, and actions research services to the public and private sectors.

Since its establishment 16 years ago, TPSC has not yet fully catered for the needs of the public service as required by its establishment order due to among others the budgetary constraints in Ministries, Departments and Agencies (MDAs) (TPSC 2017:1).

The government through the Performance Contracting Division (PCD) under the President's Office Public Service Management and Good Governance (PO-PSM GG) and the Public Enterprise Section (PES) under the office of Treasury Registrar (TR) in the Ministry of Finance and Planning (MFP), is mandated to develop sector and national performance standards consistent with regional and

international benchmarks to be used by the MDAs, Regional Secretariats (RSs), Local Government Authorities (LGAs) and public institutions, to conduct studies and research on the implementation of performance contracts and general performance in the public service of Tanzania.

It was clear that no accurate data was available on the performance of PSOs in Tanzania up to the time of writing this article. This created a demand for performance measurements of PSOs in Tanzania. The validation of a model for assessing PSOs through a rapid assessment of TPSC was undertaken to fill that void.

Objective of the assessment

A rapid assessment of the TPSC was intended to adopt and validate the model for assessing the performance of the PSOs developed by Basheka *et al.* (2017) in Uganda. It was hoped that the validation will provide us with an analysis of the performance of PSOs in Tanzania's context, and therefore provide the interventions for improving the performance of PSOs in Tanzania.

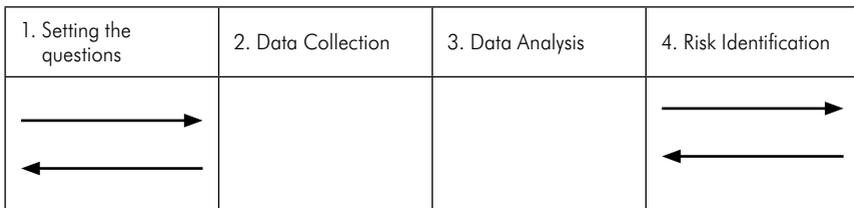
Specific objectives

Specifically the study intended to realise the following;

- To establish the best practices and guidelines for rapid assessment of PSOs in Tanzania.
- To provide a set of guidelines, and checklist for the government of Tanzania to carry out broader rapid assessment in future.
- To assess the relevance, effectiveness, efficiency, sustainability and where possible the impact of a model for assessing the performance of PSOs in Tanzania.

METHODOLOGY

The empirical adaptation and validation of a model through the TPSC rapid assessment involved four basic steps:



Source: Adopted from Basheka *et al.* (2017)

Step 1: Setting of the questions

A list of the questions was adopted from Basheka *et al.* (2017) questions checklist. The list of questions was based on the activities of planning, budgeting, implementation, monitoring and evaluation which are used for assessing the performance of PSOs. The questions were also supported by observation of the actual situation at TPSC.

Step 2: Data collection

Based on the adopted questions, primary and secondary data was collected from TPSC. The primary data was gathered through the rapid assessment questionnaire, institutional assessment questionnaire and interview protocol guide. In this phase, our strategy was not to change the questionnaire items unless it was deemed to fit our context. This was done to keep abreast with the current body of research on PSOs assessments and to focus on the contextual nature of the current assessment. Secondary data was collected from various sets of TPSC reports to provide institutional background and performance.

Step 3: Data analysis and interpretation of the findings

Based on the collected primary and secondary data, analysis techniques were applied for easy interpretation of the emerging findings. The findings were analysed using frequencies and percentages on each question. A qualitative analysis was done using thematic analysis based on the SWOC matrix used to assess TPSC.

RAPID ASSESSMENT MODEL

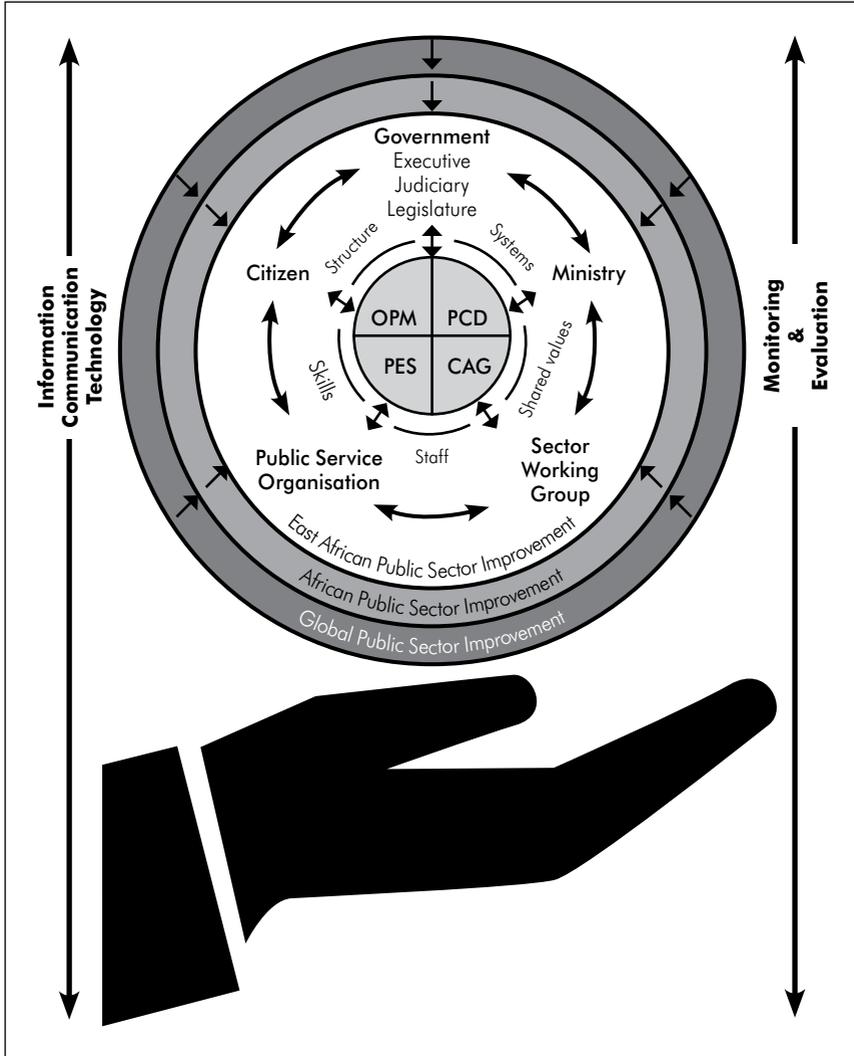
The adopted framework is premised on the conception of a democratic government in which the three tiers of the government (Executive, Judiciary and Legislature) are functioning under the doctrine of separation of powers and checks and balances. Moreover, the government is assumed to be an agent for delivery of needs and aspiration of the citizens and therefore it operates under the principal-agent model (Basheka *et al.* 2017:139).

The model further assumes that the central government delegates some roles to the MDAs. There are a number of PSOs in each sector mandated to implement the sector policies. Moreover, the model appreciates that coordination of efficiency assessment should be done by the specialised government organs like the Prime Minister's Office (PMO), the Controller and Auditor General's Office

(CAG), Performance Contracting Division (PCD), Public Enterprise Section (PES) and the Coordination of Government Business Directorate (CGBD) in the PMO.

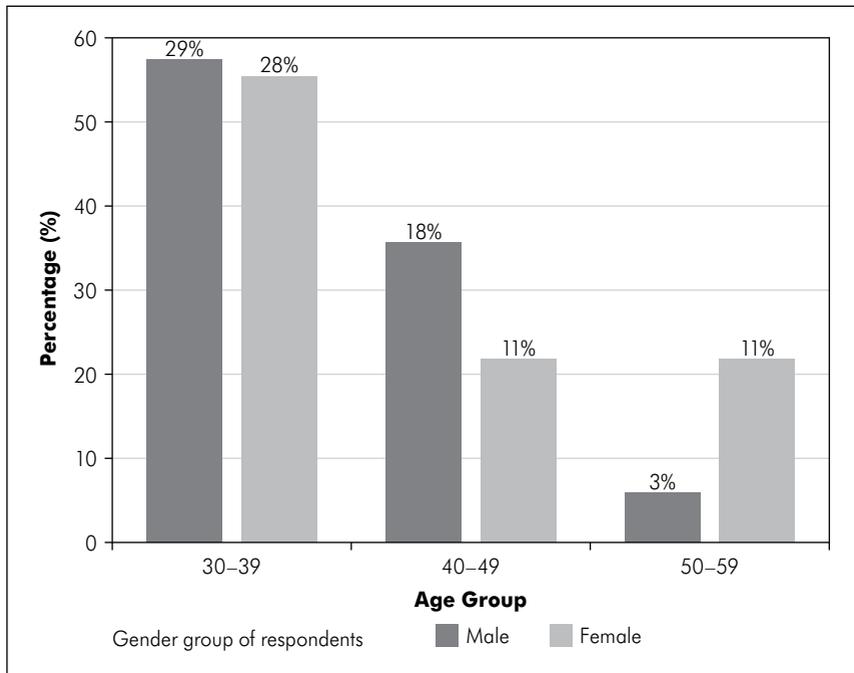
The model suggests that there should be strong systems of monitoring and evaluation across all elements of the framework, supported by well deployed information communication technologies (Basheka *et al.* 2017:140).

Figure 1: Rapid Assessment Model



Source: (Adopted from Basheka *et al.* 2017)

Figure 2: Age Category of respondents by gender



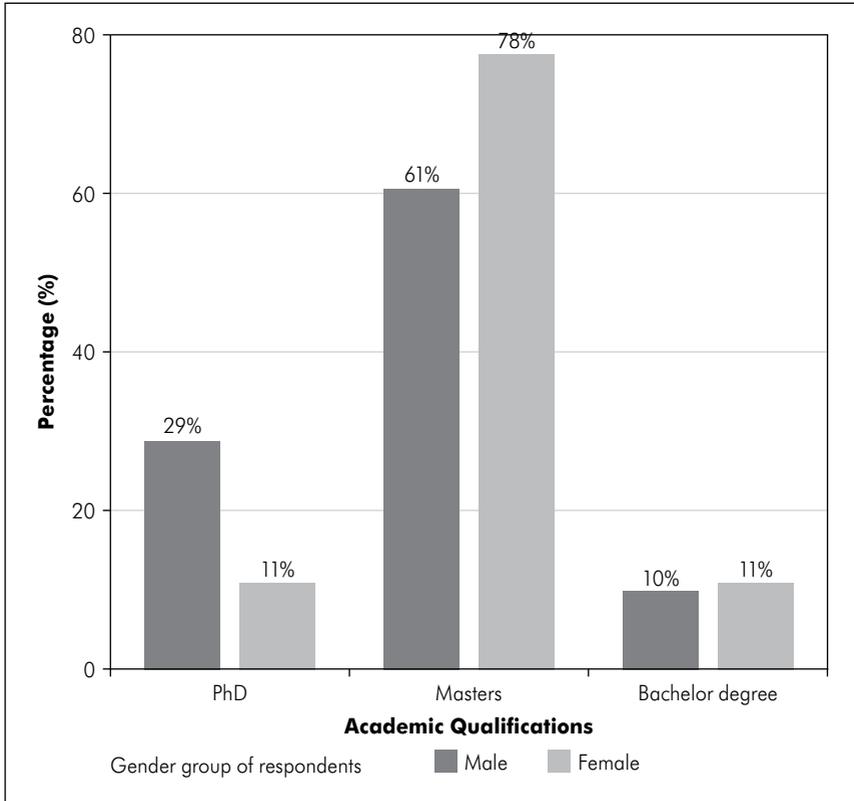
Source: (Author's own construction 2018)

EMPIRICAL FINDINGS

A total of 51 questionnaires were administered within the scope of TPSC's six campuses, the survey targeted the college top and middle level management which comprised of 51 respondents. Having sorted the returned questionnaires, only 40 questionnaires (78%) were validly used while 11 copies (22%) were either discarded due to improper completion or unreturned.

Following from Figure 2 above, 58% of the respondents were from the age group 30–39 years, in which 28% were female and 29% were male, followed by 40–49 years age group 35%, in which 18% were male and 11% female. Moreover, 25% were from 50–59 years age group, in which 11% were female and 3% male. Cumulatively, 50% were male and 50% were female. The findings indicate that the majority of respondents (58%) were within the economically active population in Tanzania. This is the age group of people who are highly concerned about the quality of life and therefore value quality of service delivery.

Figure 3: Highest academic qualification of respondents

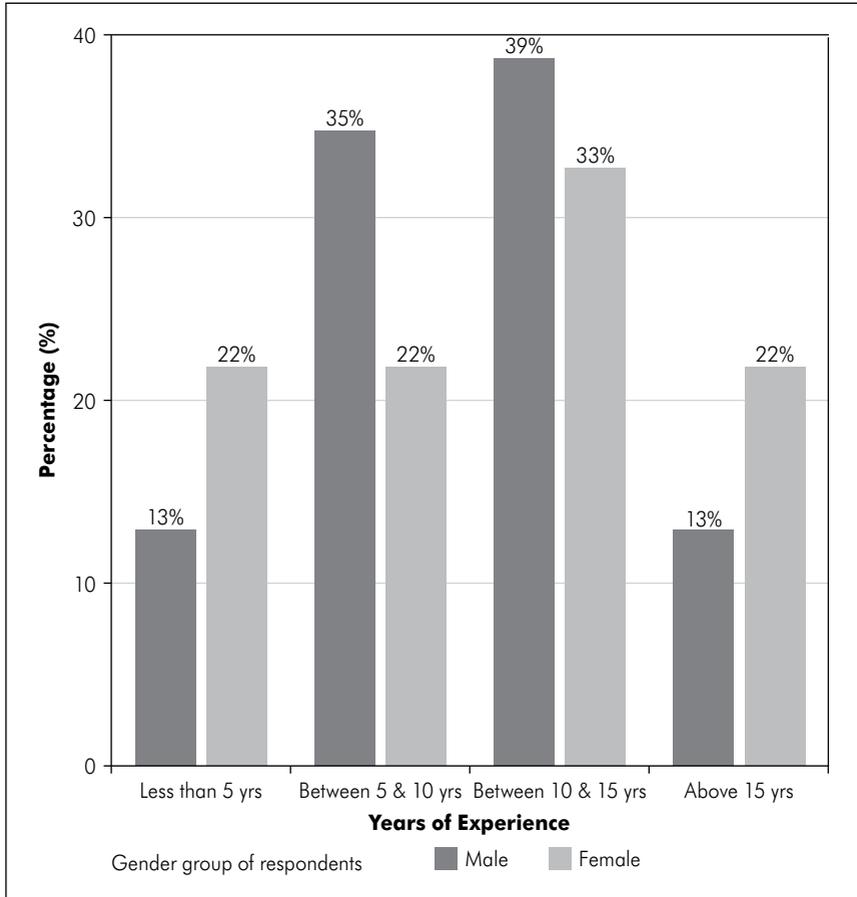


Source: (Author's own construction 2018)

Figure 3 indicates that of survey respondents, 30% had Doctorates as their highest qualifications, 78% had master's degrees and 12% had bachelor degrees. The finding indicates that all respondents attained post-secondary education. This is imperative as the basic literacy skills is the pre-requisite factor in assessing service delivery and therefore performance of an organisation (Galiwago 2008).

Figure 4 indicates that the respondents comprised of experienced individuals ranging from 10 to 15 years 39%, 5 to 10 years 35%, above 15 years 25% and less than 5 years of experience 23%. A good number of respondents were between 10 to 15 years, indicating an experienced group with good institutional memory to provide fair institutional assessment. The respondents were further asked about their understanding of the process of planning, budgeting, implementation, monitoring and evaluation of programmes. The assessments of the findings were as follows:

Figure 4: Years of experience in the public sector



Source: (Author's own construction 2018)

Planning

By combining those who greatly agreed and moderately agreed, 88% of respondents agreed that there are linkages between levels of results from the national down to operational level at TPSC. Likewise, 48% of the respondents were of the view that indicators and targets specified for each level of results at TPSC are SMART (Specific, Measurable, Achievable, and Time-bound). Moreover, of surveyed respondents 38% believed that there is alignment between planning targets and available budget and 60% of the respondents were skeptical about the alignment of planning to the available budget at TPSC.

Budgeting

68% of all respondents believed that the budget supported planned priorities (outputs and outcomes), 46% of the respondents were of the view that the budget process allows effective and efficient prioritisation of the resources, 53% were skeptical of the budget process support. Moreover, 88% of all respondents believed that there are active financial management tracking, reporting systems and dissemination methodologies, for budget execution at TPSC.

Implementation

75% of all respondents indicated there is alignment between organisational priorities and budget deliverables, whereas 43% of the respondents believed that policies and process were directed at delivering the desired results, 58% of respondents indicated that policies and process were not fully oriented at delivering the intended results. Moreover, 83% of the respondents indicated that there are incentives in place to elicit peoples' behaviour towards delivering intended results. Lastly, 43% of the respondents indicated that there are established service delivery standards and 58% of the respondents were doubtful about the existence of service delivery standards.

Monitoring

43% of all respondents were of the view that performance indicators were regularly monitored, but almost half of the respondents (50%) indicated that performance indicators were not regularly monitored. 80% of all respondents indicated that TPSC's responsibilities and monitoring system is integrated to the parent ministry and 43% of the respondents indicated that there is a specified data processing, analysis, reporting and dissemination system at TPSC. 55% were not sure about the specified methodologies for data processing and dissemination. Moreover, 41% of the respondents indicated that the feedback from the monitoring systems are used to improve policies, programmes and projects design and over half of the respondents (58%) indicated that feedbacks are not fully used to improve policies, programmes and project design at TPSC.

Evaluation

91% of all respondents indicated that there is the use of indicators from planning and results information from monitoring in conducting programme evaluations. 51% of respondents were of the view that TPSC's mandate is clearly defined and there is room for an independent evaluation. Moreover, 46% of the respondents

indicated that there is strong stakeholders' involvement and 50% believed the mandate is not very clear and there is partial stakeholders' involvement at TPSC.

INTERDEPENDENCIES

To achieve better efficiency and effective service delivery; planning, budgeting, implementation, monitoring, and evaluation must be coordinated in an organisation. The premise is that the processes and corresponding results should be the yardstick for initiating plans, actions, programmes and corrective interventions to improve service delivery (Basheka *et al.* 2017:145). It is against this backdrop that TPSC was assessed on the extent to which various activities are interdependent, and the extent to which TPSC activities are integrated horizontally across sector parent ministries and vertically along levels of government. The findings are presented below:

Planning-Budgeting

86% of all respondents generally were of the view that planning sets priorities for the budget allocations, while 81% indicated that budgets were aligned to the planned targets. 85% of respondents believed that budgets define final service delivery outputs and 88% indicated that services are delivered as budgeted.

Implementation-Monitoring

86% of all respondents indicated that measurable performance indicators facilitate results monitoring of services, while 43% believed that monitoring systems in place improve service delivery at TPSC and 58% were not sure of the extent to which monitoring systems in place improve service delivery.

Monitoring-Evaluation

40% of the respondents indicated that monitoring systems provides data for evaluation, while 60% were not sure about the capacity of the system to provide data for evaluation and 78% believed that evaluation initiatives assess mentioned results achieved.

Evaluation-Planning

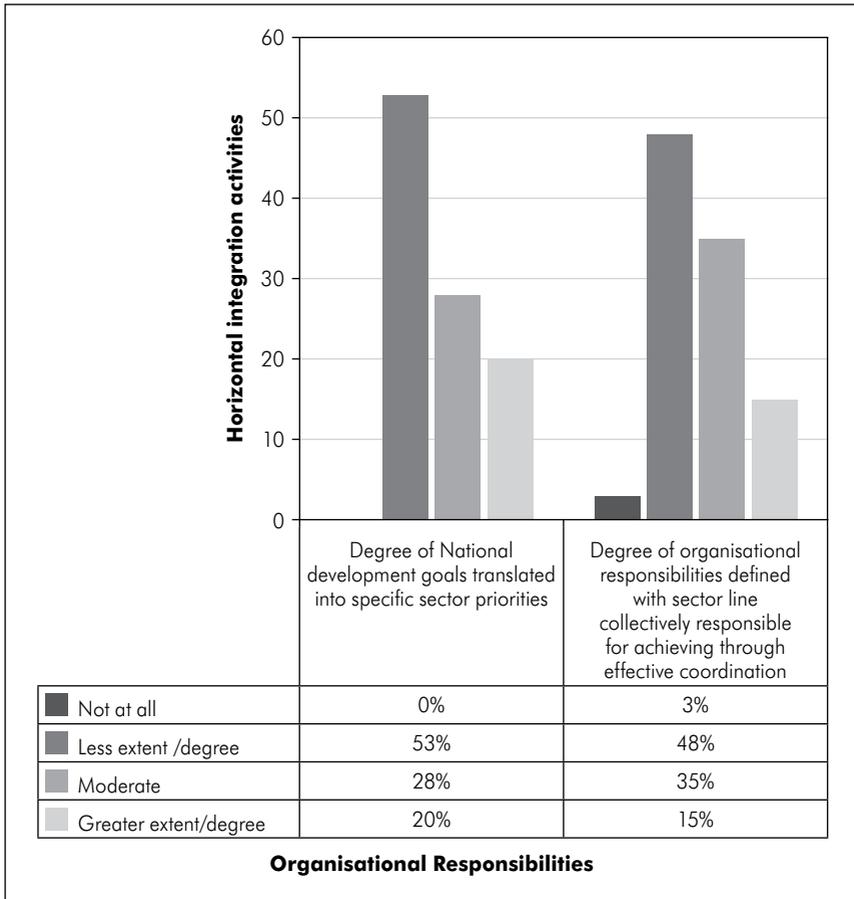
85% of the respondents indicated that evaluations results inform corresponding plans, while 46% believed that planning results consider information from

evaluation exercises and 56% were not sure about the uses of information from evaluation during planning.

HORIZONTAL AND VERTICAL INTEGRATION OF TANZANIA PUBLIC SERVICE COLLEGE MANDATE TO NATIONAL DEVELOPMENT GOALS

The TPSC, being the semi-autonomous executive government agency, is supposed to be horizontally and vertically integrated to national goals as section 4.4 of the

Figure 5: Horizontal integration to national goals



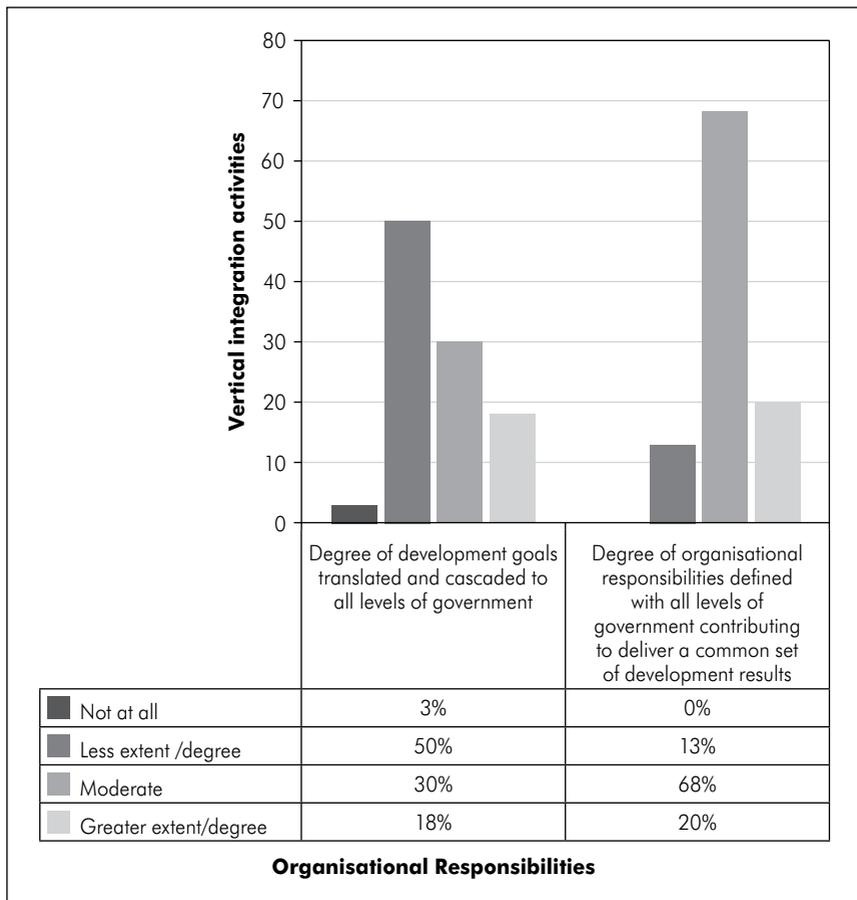
Source: (Author’s own construction 2018)

“Establishment Order” under the functions and objectives state “the market for TPSC’s services and products include central and local government, independent departments, executive agencies; and reform programmes. It also covers school leavers, the general public and private sectors” (URT 1997).

Strengthening the horizontal and vertical integration facilitates better contribution to the national plans, and ensures that the agencies, initiatives and government plans and initiatives complement each other (Basheka *et al.* 2017:146).The Assessment was conducted to ascertain whether TPSC meets these requirements:

48% of the respondents believed that national development goals were translated into TPSC plans, while 53% of the respondents were not sure about the

Figure 6: Vertical integration to national goals



Source: (Author’s own construction 2018)

translation of national goals to the TPSC plans. 50% of all respondents indicated that organisational responsibilities were defined with sector line collectively being responsible for their achievement through effective coordination.

48% of all respondents indicated that development goals at TPSC are translated and cascaded to all levels of the government while 50% of respondents were skeptical about the extent of translation and cascading of the development goals; 88% of all respondents believed that organisational responsibilities defined within all levels of the government contributed to holistic development results. Figures 5 and 6 indicate the horizontal integration of TPSC across sector ministries and through all levels of the government.

VALIDATION OF A MODEL FOR ASSESSING THE PERFORMANCE OF PUBLIC SECTOR ORGANISATIONS: A DISCUSSION

The development of a model is part of theory-building, which is a prerequisite in all fields of knowledge, there will be no serious advance of knowledge without it (Wettenhall 2003:220). Theories and models are analytical concepts as Deutsch (1966:12) testifies “we use models in our thinking all the time, even though we may not stop to notice it”. It is always a model that helps us to understand the situation, draw parallels, and make predictions (Wettenhall 2003:220).

Moreover, researchers also use existing literature to set their research in contemporary context; practice-based researchers may also contextualise their research, through policy and official documents (Kara 2017:5). It is against the above backdrop that the empirical findings from this rapid assessment were triangulated with the findings from the following official documents which were used as proxies to gauge the performance of TPSC:

- The TPSC Stakeholders’ Baseline Survey which was conducted by Mzumbe University in 2016, the survey was meant to do a thorough internal and external audit so as to come up with the complete picture that TPSC portrays to its stakeholders and whether its resources promote performance and attainments of strategic objectives.
- The reports of the CAG on the Financial Statements of the TPSC for the years 2011/12, 2012/13 and 2015/16. The CAG’s mandate is clearly stipulated under Article 143 of the Constitution of the United Republic of Tanzania of 1977 and in Section 10(1) of the Public Audit Act No.11 of 2008; the reports aim to provide information in order to enhance accountability and value for money in the collection and use of public resources.
- The report of the Steering Committee on TPSC’s transformation into a full-fledged Staff College, which presents a critical review of college plans,

available structures, systems and Establishment Order to ascertain the college's performance.

Triangulation of the findings reveals the following, majority of respondents (88%) agreed with all three aspects of planning (linkages, degree of indicators and targets and budget alignments). However, 60% were not in agreement with all aspects of planning, similar observation was reported by the stakeholders' baseline perception survey of 2016 where 60% were not in agreement with all the aspects of planning. Since planning is the inherent aspect of management this calls for TPSC to invest heavily in the planning function to achieve the intended objectives.

At the core of organisation functions is the central role of the budget. Budgeting serves as a statement of priorities and allocation of resources, a management control device and a tool for reporting and accountability (Marijani 2018). In this assessment it was revealed that 68% of all respondents believed there is coherence between the budget and planned priorities, that is the outputs and outcomes can be easily mirrored through the budget. 46% indicated that budget facilitated prioritisation of the resources, and 88% of respondents reported that there is active financial management tracking, reporting systems and dissemination methodologies for budget execution. The findings corroborate the earlier reports by the CAG for the financial years 2011/12, 2012/13 and 2015/2016 which awarded the college "unqualified" opinion, meaning that the college fully complies with requirements of the Public Procurement Act No.7 of 2011 and its underlying regulations of 2013. However, a good percentage of respondents (88%) did not agree with the matter related to financial management at the college, the results confirm the earlier 42% of respondents reported by the stakeholders' perception survey of 2016. In light of such mixed feelings, the chances are financial management at the college needs some improvement.

The above findings imply that TPSC should continue strengthening its internal control systems especially those to do with budgeting. This is because budgeting is such an essential element of public administration, as Martin (1987:301) reminds us "of all the laws whose execution is confided in the government, the one that exercises greatest influence over general prosperity is the law of the budget".

In terms of implementation, 75% of the respondents indicated that there is alignment between organisational priorities and budget deliverables, 43% of the respondents believed that policies and process were directed at delivering the desired results and 83% indicated that TPSC has incentives in place to illicit staff behaviour towards delivering intended behaviour; and 43% reported that there are service delivery standards established. Lastly, 58% were not in agreement with the existence of service delivery standards.

Such mixed feelings on the existence of service delivery standards may be partly attributed to lack of key organisational policies such as research policy,

human resource policy, staff promotional policies, consultancy policies; among others. Similar findings were also reported on the steering committee report (TPSC 2017), that being a public institution TPSC should also comply with public service rules and regulations in management of human resources and the college should develop a staff promotion policy which complies with the National Council for Technical College (NACTE) guidelines.

On whether TPSC regularly monitors indicators there is general agreement, where 43% reported that performance indicators are regularly monitored, a large 50% indicated that performance indicators were not regularly monitored. 80% believed that there is integration of TPSC monitoring systems with the parent ministry; this is done through the governance structure like the Ministerial Advisory Body (MAB) which advises the college and the parent ministry on various strategic issues. 43% reported that there is a specified data analysis, reporting and dissemination system in place, but 55% indicated that there is no system in place for data analysis, reporting and dissemination. 41% of the respondents reported that feedbacks from monitoring systems are used as inputs to improve policies, programmes and projects design, while 58% indicated that inputs from the monitoring systems are not fully used to improve policies, programmes and projects.

Such mixed feelings indicate that there is a missing link between monitoring and evaluation systems and other processes at TPSC. For example, it was observed that quality assurance reports, M&E reports, audit reports and Performance Improvements (PIP) reports are rarely used as inputs in the strategic planning process. Similar results were also reported by TPSC (2016:45) where 67.2% of the respondents from the MDAs reported that TPSC does not utilise its stakeholders' opinions to improve services. It is important that the college utilises the views and ideas of various stakeholders in improving policies and programmes, so that stakeholders understand that their contributions are of value to the college.

By and large, the assessment further reveals that there are interdependencies in almost all the processes, for example on planning and budgeting 86% indicated that planning sets priorities for the budget allocations and 81% reported that budgets were aligned to the planned targets. The majority of the respondents were in agreement with other processes such as implementation monitoring, monitoring and evaluation and evaluation planning.

The assessment also revealed that there is horizontal and vertical integration of the college mandate to national development goals, where 48% indicated that national development goals were translated into TPSC plans, 50% reported that TPSC's responsibilities were defined within sector lines. This is evidenced by the inclusion of two objectives in the TPSC Strategic Plan 2016/17-2020/21 which addresses national agendas aimed at HIV/AIDS infections reduction and improving supportive services and enhancing National Anti-Corruption Strategy implementation and substance (TPSC 2017:5). However, 53% were of the view

that national development goals are not translated into TPSC plans. On vertical integration 48% indicated that national development goals are translated and cascaded down to all levels of the government and 88% believed that organisational responsibilities defined with all levels of the government contributed to broader development results; and 50% were not in agreement on translation and cascading of the national development goals to TPSC plans.

The TPSC (2016:46) also reported similar mixed results on TPSC works with ministries and other organisations where only 33.3% of respondents from the LGAs and parastatals agreed that TPSC's activities are vertically integrated along levels of the government and 62.6% respondents from the parent ministry reported that TPSC's activities are horizontally integrated across sector ministries. Across the public sector Kijazi (2017:xxv) reports that there are problems related to strengthening the machinery of government in Tanzania, which includes inadequate strategic integration between MDAs and LGAs, limited sharing of information in MDAs and LGAs as well as government operational procedures which are long-winded. The above findings imply that TPSC should put more effort into achieving strategic integration; therefore, there should be vertical and horizontal integrations at micro levels between sector ministries and other levels of the government.

CONCLUSIONS AND POLICY IMPLICATIONS

The purpose of this study was to adopt and validate the model for assessing the performance of public sector organisations developed by Basheka *et al.* (2017) in Uganda, with the hope of providing the best practices and guidelines for rapid assessments and interventions for improving the performance of PSOs in Tanzania.

One caveat, our findings have to be cautiously interpreted due to the scope of the study. However, the findings provide a preliminary picture of the current performance of PSOs. Based on the empirical findings the analysis shows that the model is valid and had a strong internal consistency. For example, the assessment demonstrated convergent validity with the findings from other reports which earlier reported the performance of TPSC namely, the TPSC Stakeholders' Baseline Survey (2016), the reports of the CAG on the Financial Statements of the TPSC for the years 2011/12, 2012/13 and 2015/16 and the report of the Steering Committee (2017). Therefore, it is safe to conclude, that the model is relevant, effective, efficient and has a positive impact on assessing the performance of PSOs in Tanzania.

With that, this article contributes to the global knowledge on the assessment of the PSOs by presenting preliminary results of rapid assessment of TPSC. Therefore, for TPSC to continuously improve performance we recommend the following:

First, create massive awareness of its products and services as to date some parastatals and LGAs are not aware of TPSC's mandate. Second, strengthen the internal control systems, especially those related to budgeting.

Third, fasten finalisation of various internal policies in compliance with the public service rules and regulations and NACTE guidelines, especially the policies related to staff promotion, short course training, research and publication and consultancy interventions, to illicit staff behaviour towards delivering intended behaviour. Fourth, continual incorporation of feedback from monitoring and evaluation systems and stakeholders' views into development of new policies, programmes and projects. Fifth, strengthen "strategic integration" through vertical and horizontal integration with the national development goals to contribute to the realisation of the national development vision to become a middle-economy by 2025. This can be done by concentration on core function as stipulated in the TPSC establishment order.

The main limitations of this research are the use of the content analysis method which is sometimes associated with biases from interviewer or interviewee and the use of the single-case study in a limited time; the two obstacles limit generalisation of the findings. Finally, since this validation provides the first test, we encourage other researchers to further validate the model in other contexts through inclusion of more cases, variables and time periods to better understand assessment of performance of PSOs in Tanzania.

NOTES

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Cooperative Governance and Intergovernmental Relations between Provincial and Local Government in Gauteng

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ABSTRACT

This article examines the institutional landscape and management practices under which intergovernmental relations and cooperative governance take place in Gauteng. Little is known about the effect of institutional culture and management practices on intergovernmental relations and cooperative governance. This is because limited academic research has been done on administrative intergovernmental relations (IGR). Using a multi-theoretical framework, this article examines institutional and administrative factors affecting management of IGR and cooperation between provincial and local government in Gauteng. Overall, the empirical findings indicate silo-based institutional culture and practices as key impediments to effective IGR in the province. The article outlines key implications in terms of critical interventions required to remedy identified weaknesses.

INTRODUCTION

The 1994 transition from apartheid to a constitutional democracy ushered in a new system of IGR and cooperative governance in South Africa. The use of the term '*spheres*' in the Constitution, with reference to national, provincial and local government, denotes a relationship of equality, signaling a fundamental paradigm shift from the hierarchical relationship that characterised the previous apartheid

dispensation (Ajam 2001:129; Cameron 2010:682; Levy and Tapscott 2001:5; Tapscott 2000:121). The policy, legislative and institutional architecture has been established to support IGR and cooperative governance in South Africa.

However, the country's system of IGR and cooperative governance continues to face intractable challenges including poor coordination and integration between and across the different spheres of government (Everatt and Gwagwa 2011:268; Levin 2011:252; Levy 2001:97; Levy and Tapscott 2001:17; Mello and Maserumule 2010:291; Murray 2001:80; Tapscott 2000:127). These challenges manifest through silo-based and fragmented planning, budgeting, implementation, performance management and accountability across all spheres of government in South Africa, thus undermining the normative principles and values of cooperative governance as enshrined in the Constitution (Abrahams et. al: 2009:1055; Everatt and Gwagwa 2011:277). This is indicative of limited institutionalisation of IGR in South Africa (Mubangizi 2005:636).

This article examined how the existing institutional environment (context) and management (administrative) mechanisms, systems and practices in provincial and local government affect IGR and cooperative governance. Little academic research has been done on administrative IGR. Consequently, this article outlines conceptual issues and a theoretical framework and provides empirical findings and key implications arising from the study.

METHODOLOGY

The article is based on a case study focusing on provincial government departments and municipalities in Gauteng. A case study approach allows for an in-depth analysis) and explanatory insights (Babbie 2013:338; Leedy and Ormrod 2013:141). A total of 15 managers from the provincial government departments and municipalities were selected for interviews using a non-probability purposive sampling technique. In addition, the study conducted a documentary analysis, which focused on the analysis of municipal integrated development plans (IDPs) in order to assess the extent of intergovernmental alignment and integration between provincial and local government priorities and plans in Gauteng. Moreover, a qualitative analysis in the form of thematic analysis was used to analyse empirical data from the interviews.

CONCEPTUAL CLARIFICATION

The concept of IGR is embedded within the theory and practice of federalism (Bassey 2014:226; Bolaji 2009:115). IGR has a long history with its origin dating

back to American federalism in the 1930s (Bamgbose 2008:77; Edwards 2008:66; Ojo 2014:45). The concept of IGR has, however, evolved over time to become a key institutional feature of any multi-level system of government in modern political systems, including unitary systems (Angahar 2013:112; Bello 2014:67; Horgan 2003:12-13; Phillimore, 2013:228-229; Watts 2001:22–23). In contrast to unitarism which operates on a “principle of overriding central authority”, federalism is based on a “principle of shared sovereignty” between the different spheres of government in a state (Fenna and Hollander 2013:220). In simple terms, federalism combines “self-rule” and “shared-rule” (Béland and Lecours 2011:199; Ojo 2014:43; Breton 2000:4).

The configuration of legislative powers and functions in a federal state has profound implications for the structure and practice of IGR. The manner in which legislative, administrative and fiscal competencies are assigned to the different spheres of government in a federal state shapes IGR (Bolleyer and Thorlakson 2012:567). A division of powers and functions in a federal state creates interdependencies, policy overlaps, duplication and fragmentation (Baracsckay 2013:252; Hollander 2009:138; Horgan 2003:13–14; Painter 1998:52; Simeon 2001:146), thereby accentuating a need for IGR (Bakvis and Brown 2010:484; Biela, Hennl and Zons 2014:3; Phillimore 2013:229).

The concept of IGR is riddled with conceptual definitional difficulties and variations. The literature offers a myriad of different definitions. Various other labels are also attached to IGR such as multi-tiered government and central-local relations (Agranoff 2004:30). IGR commonly refers to relations between the different levels of government in a state to facilitate the achievement of common goals (Ojo 2014:45; Opeskin 2001:129). It also refers to formal and informal processes and institutional arrangements and structures to facilitate bilateral and multilateral cooperation within and between spheres of government (Malan 2002:233; 2005:228; Phillimore 2013:229). Horgan (2003:13) defines it as “the structures and processes....for intergovernmental consultation, co-ordination, and co-operation”.

A common thrust cutting across the foregoing definitions is that IGR is about institutions, structures and processes meant to facilitate interactions, cooperation and relationships between and among governments in a state. It is the ‘glue’ that holds the different levels of government together (Bello 2014:67). Its function is to foster mutual “co-operation, co-existence and friendship” between governments in a state (Bassey 2014:226; also see Bolleyer and Bytzeck 2009:371) and facilitate conflict resolution over jurisdictional powers and functions, management of policy overlaps as well as harmonisation of public policies (Keating 2012:214–215; Akume 2014:172).

IGR entails vertical, horizontal and sectoral dimensions of interactions covering central-state, central-state-local, central-local, state-local, state-state and local

relations (Bowman 2004:535; Lawson 2011:201; Phillimore, 2013:230; Watts 2001:26). It takes place through different institutional mechanisms ranging from executive and administrative interactions involving consultations, coordination and joint decisions between ministers or officials; legislative interactions and cooperation between legislators on legislative matters; intergovernmental fiscal relations including financial transfers between governments; and judicial and non-judicial processes to deal with intergovernmental disputes (Watts 2001:29).

As a dispute resolution mechanism, IGR represents a relatively cheaper political alternative to judicial mechanisms for settlement of disputes through the courts of law. More importantly, IGR aims to promote cooperative governance to ensure effective service delivery to meet the needs of the citizens (Edwards 2008:66). In the context of the study, the concept '*cooperative governance*' is synonymous with the term '*cooperative government*'. Although it draws inspiration from international experience, the concept of cooperative governance is a South African philosophical construct underpinning the country's system of IGR (Edwards 2008:68; Malan 2002:234–235; Malan 2005:229–230; Mathebula 2011:840).

THEORETICAL FRAMEWORK

The article employs a multi-theoretical framework drawing on different theories to philosophically ground the analysis and address pertinent theoretical questions pertaining to the study. Key theoretical strands used in the study include bureaucratic theory, new public management theory, systems theory and collaborative management theory. Both bureaucratic and new public management theories are applicable to the study insofar as they shape the institutional and organisational contextual landscape in which IGR and cooperative governance take place. Systems and collaborative management theories provide alternative paradigms and approaches to the management and institutionalisation of IGR and cooperative governance.

Bureaucratic theory and bureaucratisation of the state

The literature credits German sociologist Max Weber as the leading architect and theorist on bureaucracy (Al-Habil 2011; Kaminski 2013; Mahmood and Basharat 2012; Philip 2013; Steurer 2007; Weymes 2004). Max Weber's theory of bureaucracy, known as *Theory of Social and Economic Organisation*, was formulated in 1947 with a central focus on an ideal organisational structure (Mahmood and Basharat 2012:519-521). Key features of Weber's ideal-type of bureaucracy include labour specialisation, well-defined hierarchical structure, clearly defined

responsibility and authority, systems of rules and procedures, impersonal relations, discipline and written record (Philip 2013:25). Weberian bureaucracy is rule-bound operating within written rules, prescripts and regulations (Kaminski 2013:2). These features shape institutional character and culture of bureaucratic organisations.

Bureaucratic theory has significantly influenced the organisational configuration and operational practices of government (public administration) in many countries. In this respect, Weberian bureaucratic theory has been one of the most influential intellectual pieces of work in public administration literature (Al-Habil 2011: 106). The Weberian bureaucratic model of public administration—based on the principles of accountability, professionalism, merit-based appointments, impersonality, objectivity and specialisation—replaced the patronage system of public administration which privileged personal loyalty and subjectivity in staff recruitment and public service delivery (Steurer 2007:207).

While bureaucracy has proved its resilience and longevity as an organisational model (Farazmand 2010(a):206; Farazmand 2010(b):245), its association with red-tape, delays and rigidity has, however, tainted its reputation (Esau 2006:48; Farazmand 2010(b):246). Additionally, it is said to be conservative and resistant to change (Ionescu 2011:191; Persson and Goldkuhl 2010:51). As key institutional features of a bureaucratic organisational structure, departmentalisation and sectoral specialisation have turned government into administrative silos, thus creating policy fragmentation (Steurer 2007:207). As a result, the bureaucratic organisational model has lost its currency and appeal in modern management theory and practice (Weymes 2004:85). Moreover, hierarchical and top-down bureaucratic approaches to public policy have become ineffectual in addressing complex problems facing modern governments (Thornhill and Van Dijk 2010:103). The rigidities of bureaucratic structures are ill-suited to contemporary societal challenges (Welp *et al.* 2007:300).

New public management theory and modernisation of the public sector

The concept of New Public Management (NPM) can be traced to public sector reforms in the United Kingdom and the United States of America in the late 1970s and early 1980s (Gruening 2001:2; Simonet 2008:618). Its ascendancy is associated with the emergence of a neoliberal ideology in these two countries (Simonet 2008:618). Economic recession and the fiscal crisis of the 1970s and 1980s, coupled with the presumed failure of the traditional bureaucratic model to contain costs and improve service quality, led to NPM-inspired public sector reforms (Dawson and Dargie 1999:462; Gruening 2001:2; Simonet 2008:618; Thornhill and Van Dijk 2010:104). These NPM reforms, which were also adopted in New Zealand and Australia in the 1980s, represent a different public sector

management paradigm to the Weberian bureaucratic model of public administration, which was deemed outdated (Cameron 2009:912; Welp *et al.* 2007:300).

The literature remains divided on whether or not NPM represents theory. There is, however, no dispute that it draws from different theoretical strands. It derives inspiration from a number of theoretical perspectives ranging from public-choice theory, management theory, principal-agent theory to transaction-cost economics (Gruening 2001:17). In essence, NPM seeks to reform and modernise the public sector in line with market-based principles of efficiency and effectiveness (Peters 2013:20; Fábíán 2010:37; Hope 2001:121). Improved public sector performance, innovation and customer satisfaction as well as changes in the structure, culture and management systems of government also drive the NPM reforms (Hope 2001:121; Rosenbloom 2013:388). Overall, NPM has brought new values coupled with changes in the broader strategic objectives and orientation as well as internal structures and processes of the public sector (Diefenbach 2009:897; Van de Walle and Hammerschmid 2011:193).

NPM has, however, been subjected to wide-ranging philosophical and ideological criticisms. It is viewed as foreign or ill-suited to the public sector due to its disregard for intrinsic (public) values associated with public service and administration (Diefenbach 2009:897; Rosenbloom 2013:388). A critique of greater importance to the study relates to NPM's intra-organisational orientation, which ignores inter-organisational dimensions associated with the nature of contemporary public service delivery (Osborne *et al.* 2012:137).

NPM is said to perpetuate operational silos in public administration mainly through agencification of government (i.e. creation of public agencies) (Steurer 2007:208). In other words, it has replaced old silos associated with a traditional ministry or departmental-type configuration with a new brand of silos, giving rise to a new set of fragmentation and coordination challenges (Van de Walle and Hammerschmid 2011:193-194). Overall, NPM therefore represents an antithesis to the principles of IGR and cooperative governance.

Systems theory and approach to public governance and management

Systems theory and systems thinking have a very long history (Wang 2004:394; Yawson 2012:56). Biologist Ludwig von Bertalanffy laid a theoretical foundation for systems theory through the development of a general systems theory in the 1940s (Amagoh 2008:2; Clark and Werder 2007:526; Vanderstraeten 2004:257; Yawson 2012:56). Although it has no universally acceptable definition, a systems theory can simply be defined as *"...the theory underlying the study of systems [or] a trans- and inter-disciplinary theory that underlies studies of complex systems in nature, society, organizations and science"* (Adams *et al.* 2014:112; Yawson

2012:56). A key universal principle underpinning a systems theory is that "...the whole is greater than the sum of its parts" (Wang 2004:395).

The study applied a systems theory as part of the analytical framework and alternative perspective through which IGR and cooperative governance between different organisations could be improved. In systems terms, the organisations consist of interdependent components and sub-systems in the form of people and departments (Clark and Werder 2007:526; Pickel 2007:401; Millett 1998:3–4). These work in concert to achieve organisational objectives (Johnson *et al.* 1964:383) and define the structure and identity of the organisation (Millett 1998:4).

Collaborative management theory in contemporary public administration

Collaboration is gaining currency and popularity in public administration (Cunningham *et al.* 2009:58; Majumdar *et al.* 2009:55). The changing nature of the state and its operations has brought about greater focus on collaborative arrangements (Agranoff and McGuire 2003:1403). This includes a shift from traditional hierarchical (bureaucratic) to collaborative approach to achieve public policy objectives and create public value (Getha-Taylor 2008:103). Contemporary public administration discourse places a strong emphasis on the need for public officials to think and act in a collaborative manner to avoid duplication and improve efficiency, effectiveness and economies of scale and meet public expectations regarding development outcomes (Catlaw and Jordan 2009:290; Hall and Jennings 2012:128; Majumdar *et al.* 2009:56).

As part of new approaches to public sector management and governance, collaborative practices are seen to be offering potential solutions to the problems associated with the NPM philosophy (Alford and Hughes 2008:136). As a new form of governance, collaboration places a greater premium on intergovernmental and intersectoral collaboration to provide public services (Hall and Jennings 2012:127; McGuire 2006:39). It offers multi-sectoral and multi-organisational solutions to problems that cut across jurisdictional and sectoral boundaries through the mobilisation and leveraging of capacities and strengths of different organisations and sectors (Catlaw and Jordan 2009:291; O' Leary and Vij 2012:513; Rosenbloom 2013:389). This approach enhances organisational and institutional capacity of the state for good governance and effective public service delivery.

Collaborative management has been born out of the realisation that complex contemporary problems cannot be addressed by individual organisations through a traditional unitary or single agency approach (Abels 2012:34; Keast and Brown 2002:439). This implies that traditional bureaucratic management approaches have become outdated and ineffective in addressing complex modern challenges (Battaglio and Khankarli 2008:139; McGuire 2006:34; Keast and Brown

2002:442; Silvia 2011:67). In the context of this study, collaborative management, which is used interchangeably with collaborative public management, simply refers to multi-organisational arrangements to address problems and achieve common objectives (O' Leary and Vij 2012:508).

In collaborative management arrangements, public sector managers are required to operate across organisational and sectoral boundaries to address complex problems that require a multi-organisational approach (McGuire 2006:35; O' Leary and Vij 2012:509). However, a general ambivalent attitude towards collaborative thinking and action remains a challenge (Catlaw and Jordan 2009:290). This could be ascribed to the relative newness of the concept itself and the fact that many public sector managers are still steeped in traditional bureaucratic management theory and practice.

SUMMARY OF INTERVIEWS

To empirically address the central question pertaining to the effect of institutional landscape and management practices on IGR and cooperative governance in Gauteng, the study asked selected provincial and local government officials certain key questions. A high-level overview of the key focus areas for the interviews and major findings is provided in Table 1.

ANALYSIS OF EMPIRICAL FINDINGS

The empirical study examined how the structural configuration of provincial and local government as well as institutional culture and politics affect IGR and cooperative governance in Gauteng. The study further looked at existing management practices in provincial government departments and municipalities focusing on both internal (organisational) and external (intergovernmental) coordination of planning, programme and project implementation and performance monitoring, evaluation and reporting. Finally, the study explored the relevance and applicability of collaborative management and systems approaches to the practice of IGR and cooperative governance. The analysis of findings is summarised under the following sub-headings.

Institutional context for intergovernmental relations and cooperation

The macro structure and organisation of government stem from the country's constitutional and legislative architecture, which allocates powers and functions

Table 1: Summary of Interview Responses

Interviews focus areas	Summary of key findings
Institutional and organisational context for IGR and cooperative governance	<ul style="list-style-type: none"> • A fragmented and ad-hoc approach to IGR • Silo-based (territorialism) and compliance-orientated institutional mentality and culture • Inward focus and preoccupation with individual organisational mandates and functions rather than intergovernmental priorities • IGR practice is based on a hierarchical (top-down) approach, thereby undermining the principle of equality of spheres as enshrined in the Constitution • Fragmented institutional arrangements for IGR coordination including overlapping and duplication of functions with provincial and local government agencies and entities • The lack of strategic centre or window of IGR coordination resulting in parallel IGR processes and structures • Fragmented policy and legislative frameworks
Existing management or administrative practices	<ul style="list-style-type: none"> • Fragmented management and administrative systems and mechanisms for intergovernmental coordination and cooperation, resulting in service delivery fragmentation • Weak intergovernmental alignment between various sectoral plans due to poor IDP coordination • Misalignment between provincial and local government planning, budgeting and reporting cycles and processes
Systems thinking and IGR	<ul style="list-style-type: none"> • A systems approach will endanger a systematic approach to IGR and promote common visioning, integrated service delivery, efficiencies and economies of scale
Collaborative management and IGR	<ul style="list-style-type: none"> • A collaborative approach will break existing silos, harmonise systems and processes, create synergies and efficiencies and improve collaboration and public confidence in government

Source: (Author’s own interpretation)

to national, provincial and local spheres of government (see Table 1). The empirical study found that the current structural configuration of provincial and local government in Gauteng poses major institutional and systemic challenges to the structure and practice of IGR and cooperative governance in the province. These include misalignment in institutional configuration and location of functions between the provincial government and municipalities as well as confusion in relation to functional mandates, roles and responsibilities between the different spheres of government in the province. The lack of a single window of

intergovernmental coordination in the province has resulted in parallel IGR processes and structures, leading to administrative and operational inefficiencies of the whole IGR system in the province. The value and relevance of the current two-tier system of district and local municipalities was questioned in the context of Gauteng where local municipalities have relatively better institutional capacity and resources than district municipalities.

The empirical study further identified other structural weaknesses which speak to institutional fragmentation and duplication resulting from the creation of provincial and municipal public agencies and entities in Gauteng. Agencification in the province was described as inefficient due to higher oversight, compliance and administrative (operational) costs, including board fees. Overlapping mandates and duplication of functions and programmes between public agencies and provincial and municipal line departments also came up as another contributory factor to institutional fragmentation and inefficiencies within the province's overall public service delivery system. This finding counters NPM theoretical postulation, which regards agencification as part of institutional options to improve public sector operational efficiencies and effectiveness. However, the interviewees maintained that a better structured and streamlined agency model with clearly defined functional mandate and strong oversight mechanisms could eliminate duplication and improve service delivery efficiencies and effectiveness.

Beyond the structural configuration of government, the study also focused on the institutional culture and politics that characterise provincial and local government in Gauteng as part of the analysis of the broader institutional milieu underpinning IGR and cooperative governance in the province. The existing organisational culture within the provincial government and municipalities was found to be a major institutional impediment to effective IGR and cooperation in the province. The existing culture manifests itself through the psychology (mindset) and attitudes of government officials.

The study identified at least five key manifestations of this organisational culture. The first manifestation relates to the general prevalence of silo-based territorial mentality among government officials, which is evidenced through pre-occupation with individual organisational functional mandates and priorities rather than common intergovernmental priorities and outcomes. This finding supports the theoretical assertion that bureaucratic organisational structures, through departmentalisation and sectoral specialisation, create institutional silos and fragmentation. The second cultural manifestation relates to a general compliance-based culture in which IGR is treated as a mere compliance and procedural (process) issue rather than a core strategic function of government, resulting in mechanical (superficial) rather than substantive coordination and cooperation between the provincial government and municipalities. The third manifestation pertains to a hierarchical and top-down attitude and relationship which

sometimes exist between the provincial government and municipalities, thereby undermining the normative principles and values of cooperative governance. This was described as *“a big brother mentality and approach as some spheres regard themselves as superior to others”*. This is a continuation of an institutional culture that characterised hierarchical IGR during the apartheid dispensation.

The fourth manner in which this organisational culture perpetuates itself is through poor accountability and lack of consequences for poor intergovernmental cooperation. The voluntary nature of the current IGR system, institutional autonomy and different accountability regimes for spheres of government in the province account for this state of affairs. This problem is described in the literature as a conflict between *‘intergovernmentalism’* and *‘parliamentarism’*, which simply refers to the difficulties of enforcing intergovernmental agreements and cooperation in a parliamentary system where governments are required to account to their respective legislatures (Cameron and Simeon 2002:62-68). The fifth manifestation of this culture pertains to bureaucratic red tape and lengthy decision-making processes which impact negatively on the efficiency and effectiveness of the province’s service delivery value chain.

In addition to foregoing structural and cultural factors, institutional politics were found to complicate IGR and cooperation within the local government sphere on the one hand and between the provincial and local spheres of government on the other hand. Ongoing contestations and tensions between district and local municipalities over issues of constitutional powers and functions as well as institutional autonomy of local municipalities were identified as impediments to effective intergovernmental cooperation at the local government level. Party politics were also another complication to IGR and cooperation between the African National Congress (ANC)-run provincial government and opposition-led municipalities due to sharp differences in political ideology, vision and priorities.

Management practices and intergovernmental relations and capacity

While more room for improvement still remains, the empirical analysis points to relatively effective internal management and governance structures in relation to coordination of internal business functions within the provincial government departments and municipalities. This seems to support the assertion of an inwardly focused nature of government (departmentalism) which is a hallmark of traditional bureaucratic structures and associated management tradition and practices (See Table 1).

The study identified existing political and technical intergovernmental structures as key institutional coordination mechanisms for intergovernmental planning, budgeting, implementation and performance monitoring, evaluation and

reporting in the province. However, certain key institutional and systemic challenges and weaknesses were found to be working against effective IGR and cooperation in the province. These include the ad-hoc and haphazard nature of the IGR system, a fragmented IGR institutional model and misalignment of provincial and local government planning, budgeting and reporting systems and cycles due to different policy and legislative frameworks that regulate provincial and local spheres of government. The fragmentation in spatial and transport planning and transformation, including existing bus rapid transit (BRT) systems of the metropolitan municipalities, was cited as a classic example in this regard.

Other identified institutional weaknesses that complicate IGR pertain to the lack of province-wide uniform policy guidelines, norms and standards and integrated reporting systems. Poor participation of provincial sector departments in municipal IDP processes, or delegation of junior officials with no decision-making authority to participate in such processes, also came up as a key challenge to effective intergovernmental planning.

The institutional location of IGR as a secondary function and its juniorisation through appointment of junior officials to coordinate this function were identified as some of the critical factors undermining the strategic importance of IGR as a key tool to promote integrated governance and service delivery in the province. The paucity of strategic and technical competencies to drive and coordinate complex IGR programmes, processes and interfaces between spheres also came to the fore. Poor financial resourcing and the lack of proper management and administrative systems for IGR functions, including IGR tracking, monitoring and evaluation systems, were also highlighted as critical institutional and systemic pathologies hampering effective IGR and cooperative governance in the province.

Alternative management approaches to intergovernmental relations

There was a general consensus among provincial and local government officials that collaborative management and systems approaches will improve the structure and practice of IGR and cooperative governance in the province. The interviews maintained that a systems approach would improve intergovernmental cooperation through common visioning, decision-making, communication, governance and accountability, which in turn would lead to improved service delivery and economies of scale. To amplify an inherent integrative value of a systems approach, one official remarked that *“leveraging an embedded holism of system thinking and approach would help address a fragmented approach to the implementation of government programmes within the whole IGR framework”*.

The interviewees further maintained that a collaborative management approach would eliminate silo-based practices, leverage collaborative solutions and shared learning and improve service delivery synergies, efficiencies and effectiveness as well as public confidence in government. It was found that, in contrast to traditional bureaucratic management practices, collaborative management practices would help harmonise management and administrative processes, systems and practices of provincial and local government to achieve seamless service delivery and broader development outcomes.

Memoranda of understanding (MOUs) and service level agreements (SLAs) were identified as key management instruments that could be used to promote collaborative planning, budgeting, implementation and performance reporting and accountability between the provincial government and municipalities in the province. The interviewees, however, cautioned that the current political, legislative and geographical boundaries that exist between provincial and local government, coupled with territorial and silo-based mentality of officials, have created artificial borders, which could militate against a collaborative and systems approach to IGR and cooperative governance in the province.

IMPLICATIONS FOR INTERGOVERNMENTAL REFORMS

Various key policy, legislative, institutional, governance and management implications, came out of this study, pointing to key strategic considerations and measures required to improve the macro structure and practice of IGR and cooperative governance in Gauteng Province. In the main, a significant investment is required to improve legislative, institutional, governance and management architecture, infrastructure and systems for IGR and cooperative governance in the province – dubbed by Keating (2012:219) as the “fourth order of government”.

Policy and legislative implications

Four main broader policy and legislative implications need to be considered and addressed to enhance the effectiveness and efficiency of the system of IGR and cooperative governance. The first implication relates policy and legislative (regulatory) reforms to ensure alignment and integration of the current fragmented planning, budgeting and reporting cycles, horizons, processes and systems across all spheres of government. The second speaks to the need for the development and implementation of common and uniform government-wide minimum policy norms and standards to ensure vertical and horizontal uniformity in respect of service delivery functions across all spheres of government to address intergovernmental fragmentation.

The third policy implication pertains to the desirability of further decentralisation and devolution of key service delivery functions (e.g. housing function) from the provincial government to high-capacity municipalities to ensure better service delivery coordination, efficiency and effectiveness as well as improved citizen and community satisfaction and experience at local level. The fourth most important policy implication relates to the need for fundamental public service reforms to create a single, integrated and seamless public service across all spheres of government to improve overall state capacity, effectiveness and efficiency and ensure better coordination and address the current silo-based and fragmented public administration and service delivery systems. In this regard, the required reforms should include re-engineering, alignment and integration of human resources (HR) and performance management frameworks, practices and systems including the introduction of performance-based scorecards and incentive bonuses for good intergovernmental collaborative performance and consequence management and accountability measures for non-cooperation between provincial and local government officials.

Institutional and governance implications

Key institutional reforms are required to re-engineer, rationalise and streamline structural and institutional arrangements to improve management and coordination of IGR and cooperative governance in the province. These include the creation of a single strategic centre for overall intergovernmental coordination and the establishment of common province-wide shared service models or institutions, including joint planning and funding models, to eliminate intergovernmental duplication and maximise overall institutional efficiencies, effectiveness and economies of scale in the operations of government and implementation of collaborative programmes in the province.

A decentralised or regional service delivery model would also ensure better service delivery coordination and cooperation as well as overall government responsiveness to citizens and communities. There is also a need for strategic institutional location, resourcing, capacitation and professionalisation of IGR function and practice to reposition IGR as a strategic tool to transcend territorial, functional and jurisdictional boundaries to forge effective cooperation and collaboration towards a common vision. This would require a fundamental paradigm shift and effective change management process to alter the current territorial psychology and silo-based institutional culture towards a results-based IGR practice in the province. IGR strategic leadership and diplomacy is also required to navigate and smooth out complex intergovernmental politics between the spheres of government in the province, especially tensions that may arise between the ANC-run provincial government and the opposition-led municipalities.

Management and administrative implications

Key management and administrative reforms are required to remedy silo-based processes, systems and practices. In this regard, government would need to come up with a results-based intergovernmental collaborative management framework or model to guide the provincial government departments and municipalities towards integrated planning, budgeting, implementation and performance monitoring, evaluation and reporting processes, systems and practices. Such a framework should include an intergovernmental collaborative service delivery model, business process model, standard operating model and service standards.

CONCLUSION

The article points to a complex interplay of legislative, institutional, governance and management issues that affect IGR and cooperative governance in Gauteng. These entail a combination of silo-based institutional culture and practices, hierarchical as opposed to equal relationship between spheres, territorial psychology of officials, fragmented structural configuration of government, misalignment of provincial and local government legislative framework, as well as tensions over constitutional powers and functions between district and local municipalities. Emerging evidence suggests that the outcomes of the 2016 municipal elections will complicate the relations and cooperation between the ANC-run provincial government and the opposition-led municipalities mainly due to sharp differences in political ideology and priorities.

NOTE

- * Mr R Ramogayane is a doctoral student under the supervision of Dr D B Jarbandhan, and co-supervised by Prof C Auriacombe. His doctoral thesis is entitled, *Cooperative governance and intergovernmental relations between provincial and local government in Gauteng*, this article is based on his thesis.

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A Training Programme to Minimise Culture Shock Among South African Diplomats

Needs, Best Practices and Obligations

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ABSTRACT

Diplomats deployed abroad are expected by their employer to work effectively in a cross-cultural environment. The effects of culture shock on a diplomat, or any person being deployed abroad, should not be underestimated. Severe culture shock, which can cause a high level of strain, could lead to a person requesting to be returned to their home country, with the associated high financial costs. Cultural diversity training has been defined by various authors as one aspect that can assist in minimising culture shock since training provides knowledge, insight and the necessary skill to deal with the negative psychological effects of culture shock when deployed abroad. This article is based on a study which was conducted to determine what should be included in a cultural diversity training programme presented to South African diplomats in order to potentially and effectively reduce culture shock. Although the current programme includes elements such as culture-general content, time allocation and cultural diversity skills, it appears to be insufficient. Based on the said study the current cultural diversity training programme in culture shock at the Department of International Relations and Cooperation (DIRCO) is therefore analysed, evaluated and compared with three similar international programmes. This article finds

that the current training programme merely serves as a basis for providing basic knowledge and information on culture shock to assist diplomats in how to adapt when being deployed abroad but does not provide culture-specific training needed to become knowledgeable of a specific culture.

INTRODUCTION

Government departments operating abroad face major cultural constraints (Imoh 2015:47). Employees in these departments could be affected by culture shock that could have a serious impact on the work they have to perform. This is especially applicable in the case of diplomats who will spend most of their working life adapting to new and different cultural working environments (Maletzke 1996:166). Taking the importance of being adequately prepared for culture shock into consideration it is only logical that all employees (especially diplomats) that work in different cultural environments should be properly prepared. Given that culture shock relates to the well-being of employees, it could be argued that the responsibility of preparing employees falls predominantly within the field of public human resource management. Human resource management is specifically focused on personnel recruitment and selection, performance appraisal, and training and development, which includes developing and sustaining cultural competency (Wyatt-Nichol and Naylor 2015:67). A subject field like human resource management should therefore not only acknowledge cultural diversity but also make employees aware of differences within different cultures and how to adapt to these new environments (Laurent 1986:100). For the South African public service, the Human Resource Development and Utilization Section at DIRCO is responsible for providing a training programme on how to effectively reduce the psychological effects caused by culture shock which could negatively affect diplomats deployed abroad. Considering the important role played by DIRCO to prepare diplomats for a culturally diverse work environment it is only natural to ask the question: what should be included in the curriculum of a training programme aimed at minimising culture shock among South African diplomats?

In answering this question this article first provides a background and motivation as to why this research was conducted and selected. Second, the research design and methodology that included the use of primary and secondary sources to determine what should be included in the cultural diversity training curriculum for diplomats are explained. Third, the concepts of culture shock and culture diversity training are explained to create an understanding of the psychological effects of culture shock and the importance of cultural diversity training before

diplomats are deployed abroad. Fourth, best practices concerning cultural diversity training are considered before the results and findings of the analysis are provided. Last, conclusions are drawn and recommendations made as to what should be included in the curriculum of a cultural diversity training programme to minimise the effects of culture shock on South African diplomats. The study benefits not only human resource managers, diplomats and the developers of cultural diversity training programmes, but any individual that has to work or study abroad for an extended period and who will be exposed to different cultures and might experience culture shock.

BACKGROUND AND MOTIVATION FOR THIS ARTICLE

The concept of cultural diversity is commonly used to refer to differences in values and norms, different priorities in these values and norms and in different behaviour and actions (Herbrand 2002:15). These differences could lead to difficulty in adapting and working in a different cultural environment, which refers to the term culture shock. Internationally, culture shock is viewed by various authors as any form of mental or physical distress experienced when a person lives, works or studies in a foreign country and is expected to learn about and adapt to another quite distinct cultural environment (Irwin 2007:2; Moran, Abramson and Moran 2014:250). Due to the nature of their work, diplomats are expected to continuously work in a cross-cultural environment (Dollwet and Reichard 2014:1669). It is therefore imperative that they are adequately prepared to work, live and function in this environment. It is generally accepted by various authors, such as Bolewski (2008:145), Hart (2012:91), Landis, Bennett and Bennett (2004:337), and Herbrand (2002:51) that training can assist by easing the adaptation process in a difficult cultural environment by providing information and knowledge about cultural diversity and understanding the symptoms of culture shock. Romanenko (2011:72) agrees that cultural diversity training programmes are essential to prepare employees for their work environment. According to the Public Service Regulations (2016:95), it is expected of the public sector to provide training and development opportunities for employees to prepare them for their work environment. It can thus be deduced that the training provided by human resource departments within the public service should also make provision for understanding and adequately handling difficult cultural environments and culture shock. In this instance the Diplomatic Academy at DIRCO, assisted by the Employee Wellbeing Centre (EWC) was tasked with the responsibility to provide cultural diversity training in culture shock to diplomats before they were deployed abroad (Teka 2014; DIRCO 2009:10). DIRCO has an obligation to ensure that employees (diplomats) deployed abroad, as the country's representatives, are adequately

selected, trained and supported abroad as well as assisted when they return to their homeland (Moran, *et al.* 2014:253; Vermeulen 2016:233).

The importance of preparing diplomats properly in cultural diversity for their deployment abroad is often underestimated. Public servants, like diplomats, are expected to be professional in the execution of their duties which requires training to gain certain skills and competencies (Van Jaarsveldt 2016:183). In this regard, the South African government has recognised that skilled employees are needed to increase productivity of public services based on performance (Vyas-Doorgapersad 2015:75). As intercultural encounters are at the centre of any overseas deployment (Storti 2007:47), cultural diversity training is of paramount importance to educate a person to enable them to communicate effectively and work together with representatives of different cultures (Korshuk 2004:412). Therefore, the study of Public Administration in general and specifically Public Human Resource Management should consider the importance of cultural diversity training for public servants such as diplomats (Rice and Mathews 2015:28). This kind of training could improve and strengthen performance-enhancing skills and qualifications that can improve the functioning of the public service (Vyas-Doorgapersad 2015:65). Linking to the importance of cultural diversity training, the research methodology used in this article to determine what should be included in a cultural diversity training programme to reduce culture shock, will be explained next.

RESEARCH DESIGN AND METHODS

As indicated above, the purpose of this article was to determine what should be included in the cultural diversity training programme to potentially and effectively reduce culture shock among South African diplomats deployed abroad. Therefore, the research design of this article was primarily of an empirical nature using both secondary and primary data. The existing data was used for comparative analysis and study. Although a comprehensive body of scholarly literature on the assessment of training interventions exists there appears to be a gap in the scholarly literature and knowledge within the field of Public Administration and specifically the subfield Public Human Resource Management, on the defining attributes of a cultural diversity training programme with the potential of effectively reducing culture shock among diplomats.

Considering the main aim and objective of this article a comprehensive literature review was conducted to provide the background and rationale for the research, and to obtain a theoretical perspective for this research. As this research falls within the field of Public Administration, the review included literature within the subfield Public Human Resource Management, with a specific focus on

the development and well-being of public sector employees. As cultural diversity and culture shock are phenomena studied within the field of Industrial and Organisation Psychology, the literature review also included literature from this subject field. Furthermore scholarly literature was consulted on the responsibility of an employer, in this regard DIRCO, to provide an effective cultural diversity training programme for diplomats to minimise culture shock. Second, by means of a comparative study examples of cultural diversity training programmes currently being used throughout the world were analysed and compared with the current cultural diversity training programme in culture shock used at DIRCO. It was challenging to obtain examples of cultural diversity programmes as few are available. After extensive research and communication by email correspondence, information was obtained from experts working in the field of cultural diversity training to get examples of cultural diversity training programmes currently being offered. The following international cultural diversity training programmes in culture shock were analysed to determine international best practices and aspects that should be included in a cultural diversity programme to prepare diplomats for their future work environment. Cultural diversity training programmes reviewed include:

- A cultural diversity training programme compiled by Professor Korshuk, from the Belarusian State University
- A self-study workbook and programme in the Guide Book *Culture Matters* designed for the American Peace Corps and volunteers working abroad
- A training programme presented by Ms Klara Parfuss, from the Diplomatic Academy in Vienna

These training programmes were selected for this research since they represent examples of the best cultural diversity training programmes currently available. In addition, one of the training programmes is from one of the oldest diplomatic academies in the world, another is a self-study programme and the third contains a specific chapter on cultural diversity training for diplomats in an internationally recognised book on the subject. The programme currently being used by DIRCO was evaluated against the three international training programmes on culture shock to determine whether it is equivalent in terms of contents. The elements of the different training programmes were used as a framework to determine and to establish what aspects should be included in a cultural diversity training programme to ensure that diplomats reduce their exposure to culture shock.

UNDERSTANDING CULTURE SHOCK

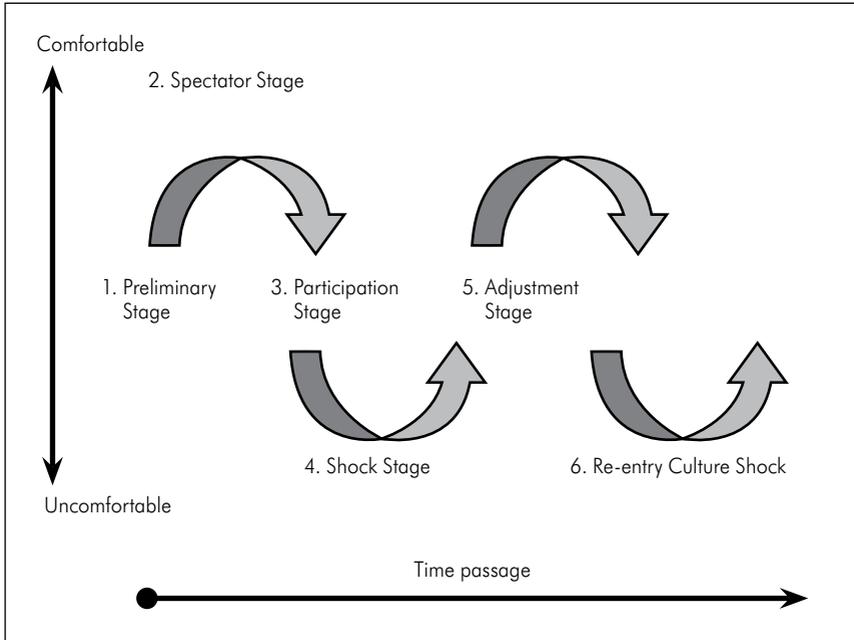
As indicated, public officials, like diplomats, being deployed abroad usually experience problems with adjustment to a new cultural environment which could

lead to severe culture shock (Imoh 2015:47). The term culture shock was coined in the 1950s by the anthropologist, Dr Kalvervo Oberg (Hart 2012:165; Oberg 1954:1; Mead 2000:412) who stated that culture shock is a sense of psychological disorientation and an occupational disease, with its own aetiology, symptoms and cure, of people, like diplomats, who are deployed abroad within a foreign culture. Therefore, aspects associated with culture shock include culture and cultural diversity. Culture includes the system of values, symbols and shared meanings and understandings of a group and it governs what is of worth for a particular group and how members think, feel and behave (Umeh and Andranovich 2005:56; Schwartz, Unger, Zamboanga and Szapocznik 2010:240). Each culture has its own typical characteristics which shape members to form an identity (Kumbier and Schulz von Thun 2006:174). Herbrand (2002:15) states that culture has an orientation, purpose and identification function and at the same time also distinguishes itself from other social groups. According to the UNESCO Universal Declaration of Cultural Diversity (UNESCO 2001), cultural diversity is embodied in the uniqueness and plurality of the identities of the groups and societies making up humankind and is the root of development.

Culture shock can be experienced by anyone from any country when confronted with a new unknown environment (Hart 2012:167) – it is unavoidable. Culture shock also has several symptoms and signs, which includes general unease with new situations, irrational fears, difficulty sleeping, anxiety and depression, homesickness, preoccupation with health and feeling sick or nauseous and can cause such a high level of strain that sometimes a person resigns after a short period and returns to their home country (Irwin 2007:2; Maletzke 1996:166). Furthermore when a person deployed abroad starts to turn against the local culture, their chances of succeeding abroad are seriously undermined (Storti 2007:41). Therefore culture shock can include symptoms of distress which forms part of the adaptation process within a foreign or unknown culture. In addition, Kohls (2001:97) states that intercultural specialists began to recognise that there were distinct stages of personal adjustment which virtually everyone who lived abroad went through (no matter where they came from or what country they were living in). Furthermore, authors also stated that officials should be aware that the pace at which a person advances through the stages differs between individuals (Moran *et al.* 2014:244; Hart 2012:186; Kohls 2001:97). Culture shock can therefore be explained by means of different stages, for instance the preliminary-, spectator-, participation-, shock-, adjustment- and re-entry stages.

These different stages of culture shock are explained in the so-called U-curve, as can be seen in Figure 1, designed to describe the emotional adjustment process of residing in a different cultural environment over a period of time. It suggests that the individual's emotional well-being begins positively and then dips to a

Figure 1: The six stages of culture shock



Source: (Based on Moran *et al.* 2014:244)

negative state of experiencing psychological distress, and eventually returns to a positive level of satisfaction or euphoria (Hart 2012:106; Landis *et al.* 2004:188). Hence Klopff (2001:213) explains that combining the two curves, which refers to the W-curve, indicates the adaptation and re-adaptation of individuals, as can be seen in Figure 1.

From Figure 1 it can be deduced that the adaptation process in a new culture involves a period of happiness, depression and eventual recovery (Onwumechili, Nwosu, Jackson II, and James-Hughes 2003:45). This is then extended to the W-curve when almost the same process occurs when a person returns to their country of origin after being deployed in a foreign country. The six stages of culture shock that can be experienced are explained in Table 1.

As can be seen in Table 1 culture shock is a completely normal phenomenon and part of a successful adaptation (Hart 2012:197). However, this normal phenomenon cannot be prevented and should not be ignored, as it could have an effect on the productivity of diplomats and could be demotivating (Hart 2012:91). Practically everybody who goes abroad for a substantial period of time experiences culture shock (Kohls 2001:101) in some form and/or degree. Culture shock is not only applicable to the diplomats deployed abroad, but also to their

Table 1: Six stages of culture shock

Stages of Culture Shock	Description
Stage 1 – Preliminary stage	This stage involves the preparation for travelling abroad and is a stage full of anticipation and excitement with many unrealistic expectations.
Stage 2 – Spectator stage	This stage is also referred to as the 'honeymoon' stage where the new and unusual is welcomed. Tourists usually experience this stage when visiting a foreign country before returning home again.
Stage 3 – Participation stage	This stage occurs when the individual must do the hard work of living in the culture and in particular learning the language. The individual is not able to identify with the new environment and develops feeling of self-doubt, loss of confidence and stress.
Stage 4 – Shock stage	During this stage the orientation reaches a deep end and culture shock occurs. Similarities are becoming differences, which becomes troubling. This stage is the crisis stage, as the individual either adapts or starts to adjust or does not overcome these feelings and returns to their home country.
Stage 5 – Adjustment stage	After the initial stage of culture shock, acculturation begins. The adjustment stage, known as the recovery and acceptance phase, marks the beginning of the upward slope (as per Figure 1) of adaptation in which acceptance and gradual recovery take place. The individual will have the ability to function in two cultures with confidence.
Stage 6 – Re-entry culture shock stage	For those individuals who are temporarily living in a host country abroad, the return to the home culture introduces the re-entry stage and the same process is repeated as in the stages indicated above. The re-entry stage is also referred to as reverse culture shock which occurs when the individual returns to their home country. A long absence from an individual's home country brings a certain sense of alienation, a psychological distance, only realised on returning to the home country.

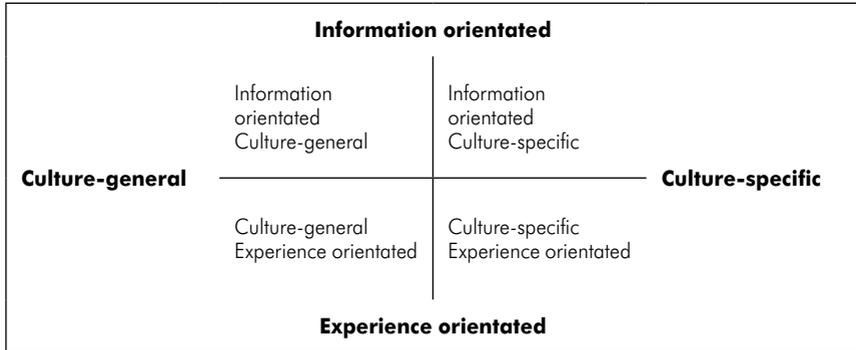
Source: (Adapted from Hart (2012:174,183); Herbrand (2002:29); Irwin (2007:2); Kohls (2001:98); Maletzke (1996:167); Mead (2000:414, 415); Moran *et al.* (2014:244, 250); Oberg (1954:3).

accompanying family members. The inability of a spouse/partner to adjust to a different physical or cultural environment is more cause for failure of deployment abroad (Mead 2000:401; Klopff 2001:237) and is more likely to succeed when the family have a positive perception through training (Imoh 2015:57). Furthermore, the children of diplomats are equally affected by the deployment of their diplomat parents and are not excluded from the negative psychological effects of culture shock. This is confirmed by Hart (2012:167) who states that culture shock is not confined to adults but could also affect children and teenagers. According to Hofstede (2004:37), children brought up in diplomatic families may suffer from *diplomat's children syndrome*, as these children may develop difficulties in attaching themselves later in life, as a result of moving from one school to another in different places. Kohls (2001:116) also argues that children who grow up overseas during their formative years, experience rootlessness mostly evident in the difficulty of identifying with the homeland of their parents; commonly called third-culture kids. It could therefore be said that culture shock among diplomats and their accompanying family cannot be prevented but efforts could be made to minimise it through proper training. To prepare diplomats and their accompanying families for their foreign tour, effective culture shock training should form part of cultural diversity training, as it will assist them in adapting more easily to a foreign culture and accepting the differences in culture that may occur, as well as to know what to expect in a different culture.

CULTURAL DIVERSITY TRAINING EXPLAINED

The first cultural diversity training programme took place in 1960 in the United States of America and since then different formats and methods of cultural diversity training have been developed (Kinast 2005:181). A training programme in general provides a schedule and information to trainees on a particular subject. Therefore, cultural diversity training reinforces cultural competence and should make diplomats and their families aware of the complexity, conflict potential and the requirements for intercultural communication (Wyatt-Nichol and Naylor 2015:63; Herbrand 2002:50; Noe 2013:15; Hart 2012:91) and prepare, equip and enable them to understand the culture of their destination. Effective cultural diversity training is important to ensure a successful deployment in a foreign country (Imoh 2015:48). The correct development and compilation of a cultural diversity training programme is essential to ensure effective training. The programme should be designed to develop cultural awareness, skills and a positive orientation towards other foreign cultures (Fowler and Mumford 1995:1). Furthermore, cultural diversity training programmes should be designed to prepare diplomats to be more effective in interpersonal relations when interacting with individuals

Figure 2: Classification scheme for training methods

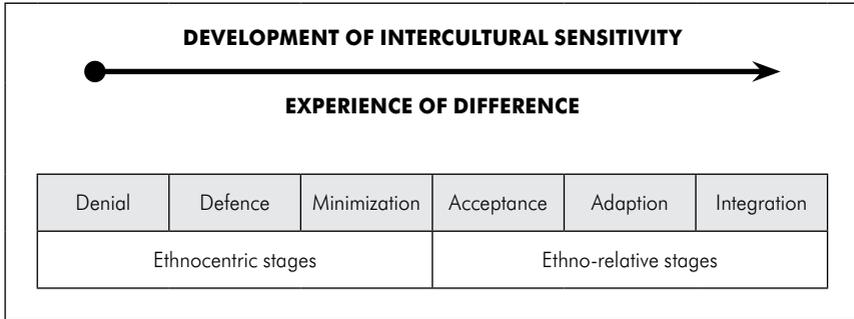


Source: (Gudykunst and Hammer (in Bergemann and Sourisseaux 2003:249)).

from foreign cultures and should serve as a guideline on how to interact and react when confronted with a foreign culture. The design of a training programme aimed at diplomats being deployed abroad should ideally focus on personal growth, professional exchange and development and the effective representation of the country and organisation (Moran *et al.* 2014:257). Diplomats should ‘benefit’ from training on how to deal with cultural differences when being deployed abroad (Cantle 2012:206). Therefore cultural diversity training programmes could differ from each other by having different goals, contents, methods and duration and should be systematic, yet flexible to adapt to the needs of the organisation (Kinast 2005:182; Noe 2013:12). In addition the trainer should have a clear purpose of helping the diplomats (trainees) to anticipate the stress of cultural diversity adaptation and to develop strategies to cope with the stress being experienced (Dongfeng 2012:73). In this regard the method of training for a particular segment of cultural diversity must be linked to the desired goals, such as the knowledge, skills or attitudes needed for working and living effectively in a different cultural environment (Landis *et al.* 2004:454). Therefore, the training method is determined by the content and information provided during the cultural diversity training. These aspects are included in Figure 2 that provides a classification for different training methods:

According to Figure 2, the method of training could be either an *information-orientated* process providing information on a trainee’s own culture and on the foreign culture by means of presentations, or an *experience-orientated* process in which training focuses on previous experience (Bergemann and Sourisseaux 2003:248). The content can also focus on *culture-specific* training, which refers to a person becoming knowledgeable about the basic cultural standards of a specific culture, or *culture-general* training which refers to topics which can be found in each culture (Kinast 2005:184). Culture-general knowledge has the advantage

Figure 3: Development Model of Intercultural Sensitivity (DMIS)



Source: (Landis *et al.* 2004:153)

that its concepts could be applied regardless of the cultures involved, whereas culture-specific knowledge provides guidelines on exactly what should be learnt of a specific culture (Brislin and Yoshida 1994:45).

Some authors state that a combination of the culture-general and culture-specific contents should be included in the cultural diversity training programmes. Landis *et al.* (2004:39) state that an integrated cultural diversity training programme can be conceptualised as having multiple layers, including a combination of the process of training (didactic and/or experiential) and the content of the training (culture-general and culture-specific). Dongfeng (2012:74) states that culture-specific and culture-general training should be combined when culture shock training is provided. In an abstract written by Kalfadellis (2005:1) it is stated that a trainer requires a multidisciplinary approach whereby the trainer designs a programme that includes culture-general and culture-specific information. Moran *et al.* (2014:256) argue that training should consist of culture-general, as well as specifics about a particular region or country's culture. However, it is suggested by Kinast (2005:254) that the culture-general training should be used during the preparation phase of a possible deployment, whereby the culture-specific training should be used when a person has been informed of their deployment to a specific country. Landis *et al.* (2004:190) argues that culture-specific knowledge predicts social cultural adaption; however, knowledge alone cannot account for adaptive behaviour, as certain skills are also required; for instance language skills which affect the quality and quantity of intercultural interactions. Therefore, the classification scheme for training methods could assist the trainer in the selection of applicable training content and the training- orientated process to comply with the cultural diversity training needs of the trainee.

Furthermore, the training programme should make trainees more sensitive towards other cultures and change them from being ethnocentric to ethno-relative. These concepts can be seen in the Development Model of Intercultural Sensitivity

(DMIS), in Figure 3. An ethnocentric person regards their own culture as central and universal and cultural differences are denigrated, whereas an ethno-relative person sees their own culture within the context of other cultures (Landis *et al.* 2004:153).

To ensure that the ethno-relative stage is achieved during training, the training programme should consist of certain fundamentals and components. A combination of these fundamentals and components, as suggested by Deardorff (2009:274) and Moran *et al.* (2014:190), includes:

- Definitions and explanations of culture (culture-general information);
- An understanding and specifics of the new culture (culture-specific information);
- Comprehension of differences between own and new culture;
- Identifying cross-cultural skills and teaching self-awareness; and
- Conflict resolution and content on how to deal with culture shock.

Therefore by means of an effective cultural diversity training programme, diplomats should acquire the skills needed to become more culturally sensitive towards foreign cultures to assist the diplomats in the acculturation process and thus reduce culture shock. The following examples of cultural diversity training programmes were used in this article to determine what should be included in the cultural diversity training programme to potentially and effectively reduce culture shock among South African diplomats deployed abroad.

CULTURAL DIVERSITY TRAINING PROGRAMMES – BEST PRACTICES

The following three cultural diversity training programmes were selected as best practices examples since they represent professional knowledge and skills that should be included in a training programme. These training programmes are examples of the very few training programmes that are currently available internationally.

- *Korshuk's sample training programme outline: Theory and Practice of Intercultural Communication*

This training programme was selected, as Korshuk wrote a chapter on intercultural training of diplomats and a sample training programme in the book *Intercultural Communication and Diplomacy*. The contents of the training programme suggested by Korshuk (2004:412) provide the basis for developing the necessary cultural diversity skills, the capability to analyse a person's system of values and to adapt to a new cultural environment. Furthermore Korshuk (2004:413) includes in

the training programme explanations on culture, provides information on culture-specific and culture-general orientations and provides guidance on acculturation and culture shock. Korshuk (2004:410), who places high value on intercultural communication, states that a cultural diversity training programme should include three components:

- A theoretical component–presentation on cultural differences;
- A practical component – differences/similarities of beliefs, values and norms in various cultures are analysed; and
- A personal component – awareness of the features of the native culture within the context of other cultures.

The author recommends a cultural diversity training programme that includes the aspects mentioned above should be conducted over a period of two to three weeks whereby a large number of topics and examples could be presented and analysed (Korshuk 2004:411). Korshuk (2018) confirms that accompanying spouse/partner and children should attend this training programme.

- *Cultural diversity training self-study workbook and programme from Culture Matters for the American Peace Corps*

This training programme was selected due to its design as a self-study workbook. It serves as a guide for volunteers in the cultural adjustment process. Landis *et al.* (2004:382) state that the training programme has been specifically developed for independent study by American trainees and volunteers to complement culture-general training and to offer other countries a template to introduce content from *Culture Matters* into their cultural diversity programmes. The training programme includes explanations and definitions on culture, identifying the key values of the participant's own culture and that of the host culture, identifying differences and dealing with culture shock and cultural adjustment (Peace Corps 1999:5). The training programme provides insight into the key dimensions of culture but not culture-specific information, as it is impossible to include all the views of different cultures on all the topics (Peace Corps 1999:1). Landis *et al.* (2004:384) offer a 10-week training programme based on the six chapters in *Culture Matters* developed by Storti and Bennhold-Samaan. These chapters include aspects such as establishing a foundation for examining culture, becoming familiar with own culture, examines the subject of communication styles, looks at key cultural differences in workplace, examines the question of social relationships, and explores ways for volunteers to adjust to differences (Peace Corps 1999:5). The programme does not indicate whether accompanying family members should attend the training.

- *Cultural diversity training programme provided at the Diplomatic Academy in Vienna, Austria*

The training programme of the Diplomatic Academy was selected as this Academy is one of the oldest training institutions in the world dedicated to the study of international relations. This venture was started by Empress Maria Theresa when she established the Oriental Academy in 1754 to train young men for the diplomatic service of the Habsburg monarchy (DAV 2014:4). It also teaches international relations based on a network of worldwide partners with emphasis on the standards of diplomacy (Guedes 2008:5). This training programme includes cross-cultural training, coaching and management consulting (Parfuss 2015). The programme provided by the Diplomatic Academy equips its students with intercultural competences, negotiations and management skills which are essential prerequisites for the international profession (DAV 2014:4). The length of this training programme differs, as it is tailored for each group. The minimum duration is half a day and the maximum is a full day (split into two sessions) (Kakuska 2015). Parfuss (2018) confirmed that the Diplomatic Academy only provides training to diplomats and not to family members.

- *Pre-posting presentation on culture and culture shock provided by the Employee Wellbeing Centre at DIRCO*

The cultural diversity training programme in culture shock at DIRCO is a seven hour compact information session (Teka 2015a). Although the programme focuses predominantly on the definition of culture shock, the different stages, and ways to overcome this phenomenon, it also includes other fundamentals, for example defining culture and the issue of change (Teka 2014). The training programme, therefore, only deals with culture-general information and does not provide any culture-specific information to diplomats. The training in culture shock is only compulsory to diplomats, as part of the pre-posting training, and is not compulsory for spouses/partners and/or family members (Teka 2015b).

ANALYSIS, RESULTS AND FINDINGS

The international best practice cultural diversity training programmes in culture shock as well as the programme presented by DIRCO were analysed and compared to determine what should be included in a cultural diversity programme to prepare South African diplomats for their future work environment. See Table 2.

From Table 2 it can be seen that all the training programmes to a large degree, with the exception of culture-specific information and the combination of training processes, include similar content in their curriculum. The training programmes view defining culture, culture-general information, identify cross-cultural skills, conflict resolution, stages of culture shock, personal development in terms of anxiety, threats, stress and productivity, coping with cultural diversity, indicating

Table 2: Evaluation of the Cultural Diversity Training Programmes

Criteria used for evaluation	Training Programmes			
Classification scheme for training methods (Figure 2) by Gudykunst and Hammer (in Bergemann and Sourisseaux 2003:249); Suggested fundamentals and components by Deardorff (2009:274), Moran <i>et al.</i> (2014:190); and Development Model of Intercultural Sensitivity by Landis <i>et al.</i> (2004:153)	Professor Korshuk	American Peace Corps	Diplomatic Academy in Vienna	DIRCO (Employee Wellbeing Centre)
Definition of culture	✓	✓	✓	✓
Focus on culture-general information	✓	✓	✓	✓
Focus on culture-specific information	✓	✗	✗	✗
Identify cross-cultural skills and self-awareness	✓	✓	✓	✓
Conflict resolution	✓	✓	✓	✓
Content on culture shock	✓	✓	✓	✓
Explains the different stages of culture shock	✓	✓	✓	✓
Personal development in terms of anxiety, threats, stress and productivity	✓	✓	✓	✓
Combination (multiple layers) of training processes	✓	✗	✓	✗
Cultural diversity coping strategies	✓	✓	✓	✓
Comprehension and differences between own and new culture	✓	✓	✓	✓
Content allows trainee to see own culture in context of other culture (ethno-relative)	✓	✓	✓	✓
Training programme also for spouses/partners and family	✓	Not indicated	✗	✗
Allocated time duration of cultural diversity training programme	2–3 weeks	10 weeks	8–10 hours	7 hours

Source: (Author’s own interpretation)

the differences between own and new culture, and allow trainees to see own culture in context of new culture as important aspects to form part of the training programme content. It can therefore be deduced that there is international agreement on what aspects should be included in a cultural diversity training programme. Therefore, the cultural diversity training programme in culture shock provided by DIRCO is equivalent in content to international best practice programmes on cultural diversity. In addition, the stages of culture shock are seen as an important aspect in all training programmes, as trainees, like diplomats, should understand the distinct stages of personal adjustment when being deployed abroad. Furthermore, only the training programme of Korshuk included culture-specific content as it is believed that diplomats should be provided in advance with culture-general and culture-specific information. However, under the training programme of the American Peace Corps it was mentioned that culture-specific content was not included, as it is argued that it is not possible to present all the views of all the cultures present when trainees are to be deployed to different regions. However, some authors agree that a combination of culture-general and culture-specific training content should be included to ensure a multidisciplinary approach (Landis *et al.* 2004:39; Dongfeng 2012:74; Kalfadellis 2005:1). From Table 2 it can be concluded that the focus on culture-general content is a means to prepare trainees for deployment abroad. Landis *et al.* (2004:245) state that culture-general training is only useful in terms of a general value orientation framework and conflict goal awareness issues. In this regard the Peace Corps training programme, developed for independent study, could be used as a basis for such an information package. Further training would be required before deployment to include culture-specific training content, as Deardorff (2009:274) indicates that identifying the key values and assumptions of the host culture(s), referring to culture-specific information, should be seen as fundamental training. In addition the inclusion of culture-specific training would create an integrated cultural diversity training programme conceptualised as having multiple layers (Landis *et al.* 2004:39). Therefore, authors agree that culture-specific training has to be provided but should not necessarily be combined with a training programme which focuses on culture-general information. The current cultural diversity training programme in culture shock presented by DIRCO does not make provision for culture-specific training, due to the limited time available and, as stated above, it is not possible to present all views of all cultures on all the topics. However, as far as the multiple layers of training is concerned it can be seen that an integrated training programme is determined by the needs and desired outcomes of the training programme (Landis *et al.* 2004:39). Multiple layers of training could therefore benefit diplomats, as it includes both culture-general and culture-specific content and a combination of training processes selected according to the diplomat's needs.

Furthermore the duration of the four programmes differs which indicates that the importance of a training programme should not necessarily be seen in the length of the programme but rather in the contents and information provided to trainees. Although the duration of the training programme also has an influence on its effectiveness it is important to note that a 10-week training programme cannot be condensed into eight hours. If little time is available, too much information should not be forced on the trainees. In this regard Fowler and Mumford (1995:221) argue that *“even small amounts of intercultural training contain the potential to prevent simple misunderstandings that lead to poor political relationships”*. The cultural diversity training in culture shock is a vital training programme for diplomats, as Hart (2012:172) states that although culture shock cannot be avoided it could be reduced and the duration shortened through sufficient knowledge. It was also found that the cultural diversity training programme provided by DIRCO is the shortest in time allocation of all the training programmes reviewed. Therefore, the training programme provided by DIRCO could serve as a means to make diplomats aware of certain issues and as a basis for training in culture shock, but additional information would still be needed to ensure that diplomats are culturally prepared for their deployment. In addition, only Korshuk’s training programme indicated that spouses/partners and family members should attend the training, despite the negative psychological effects of culture shock experienced by family members deployed abroad.

It should be noted that although Figure 1 indicated the W-curve with the re-entry stage when diplomats return from their deployment abroad, this article did not consider the issue of post-posting debriefing sessions, as it only focused on a pre-posting training programme. However, Teka (2015b) confirms that DIRCO provides separate re-entry (post-posting) training/reorientation/debriefing sessions for returning diplomats.

In line with the above, the following conclusions and recommendations are made:

CONCLUSIONS AND RECOMMENDATIONS

This article reported on a study focused on determining the effectiveness of the current cultural diversity training programme in culture shock presented to diplomats at DICRO to determine what should be included to minimise culture shock. This article found that although the training programme of DIRCO has similar content to international best practices it does not provide in-depth cultural diversity training needed to reduce culture shock effectively. No previous research could be found on the effect of cultural diversity training on culture shock among diplomats, particularly South African diplomats. Therefore this study contributed

to the very limited information on the effect of culture shock training on diplomats and, in particular, South African diplomats. Furthermore, Rice and Mathews (2015:24) state that the majority of scholarly literature in the field of public administration provides little or no coverage on cultural competency. The important role diplomats are playing in the international community should not be limited or prevented by negative psychological reactions to culture shock. The recommendations below are not restricted to the diplomatic community but are applicable to any organisation deploying employees abroad.

- Currently cultural diversity training in culture shock offered by the Employee Wellbeing Centre is compulsory for all diplomats before posting but not compulsory for spouses/life partners or family accompanying these diplomats. It has been determined that the biggest strain of a diplomat's deployment abroad is usually on the spouse/life partner; hence the training programme could also assist the spouse/life partner during the adaptation process. Children of diplomats are equally affected by culture shock. It is therefore recommended that the compulsory cultural diversity training in culture shock be extended to the diplomat's spouse/life partner and the children, as it has also been determined that a common cause of failure of an overseas deployment is the inability of the spouse/life partner to adjust to the new environment.
- It is recommended that DIRCO includes culture-specific training, as it is important for diplomats to obtain knowledge on how to live and work within a specific foreign cultural environment. Culture-specific training will focus specifically on the culture and cultural issues of the country of deployment. This training could be extended to South African Missions abroad.
- Taking into consideration that the training provided by DIRCO is the shortest in time allocation of all the programmes reviewed it could benefit the department and diplomats to extend the duration of the training programme. More time allocated to the training programme will provide an opportunity to include more aspects relating to cultural diversity with reference to culture-specific training and to include a combination of training processes (multiple layers), as indicated in Figure 2. It should also be noted that quality training about culture shock should not be rushed given the impact and severity of culture shock as indicated in Table 1.
- In line with the above, it is recommended that after the initial training and upon each deployment abroad, a diplomat should attend a cross-cultural information induction programme. This induction programme could either be provided at DIRCO before deployment or, due to lack of time, at the South African Mission abroad. An induction programme, which includes culture-specific information, presented by an expert at the Mission could assist by indicating the local cultural obstacles and opportunities. Therefore, on arrival at the posting, a newly appointed diplomat and their family are provided with

culture-specific training by someone at the Mission who is familiar with the local culture.

- Apart from the training already provided by DIRCO, and should it not be possible to provide an induction programme, it is recommended that a self-study information guide or cross-cultural information package on culture-specific information relating to the country of deployment be provided to diplomats and accompanying family before deployment.
- Finally, ongoing research is encouraged and recommended in this particular field of research. Diplomats, as well as spouses/life partners and children, are not immune to culture shock and more research in this field will ensure that it is not necessarily the training programme provided which needs to be improved, but that more knowledge, insight and skills can be obtained through additional programmes organised with the assistance of the South African Missions abroad. Hence, it is not the sole responsibility of the Human Resource Development and Utilization Section at DIRCO to ensure that diplomats are prepared on how to deal with culture shock. The responsibility also falls on the diplomat to be self-disciplined and to engage in self-study to learn about the host culture. This can also be done with the assistance of the South African Missions abroad. Further research could focus on how Missions could assist the Branch: Diplomatic Training Research & Development (DTRD) at DIRCO to ensure that culture shock among diplomats is reduced.

NOTE

- * This article is partly based on Brewis, A. 2017. Uncompleted DPA Thesis entitled, *A Cultural Diversity Training Programme in Culture Shock at the South African Department of International Relations and Cooperation (DIRCO)* at the University of South Africa under the supervision of Prof L C van Jaarsveldt and Prof J S Wessels.

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Contextualising Bureaucratic Corruption in the Botswana Public Service

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ABSTRACT

This article aims to contextualise the status of bureaucratic corruption as well as certain transparency and accountability mechanisms adopted by the Botswana public service to curb corruption. The article is structured as follows: first, the article provides a brief introductory background of Botswana in terms of the context of its accountability, transparency and corruption reputation. This is followed by an overview of the statutory and regulatory framework and a conceptualisation of bureaucratic corruption in the Botswana public service. Specific aspects related to corruption in Botswana such as the level of corruption in ministries, the forms and causes of bureaucratic corruption and the most occurring offences; are highlighted. Transparency and accountability mechanisms in the Botswana public service discussed include performance management, financial reporting, records management, public procurement regulation, e-government and meritocratic recruitment.

The methodology entails a desktop analysis of literature and official documents to conceptualise the area of investigation (Auriacombe 2007). The methodological approach included specific dimensions of unobtrusive research techniques. In general, unobtrusive research techniques study social behaviour to eliminate bias and promote conceptual and contextual analysis. These techniques can be applied to both quantitative and qualitative research (Auriacombe 2007).

INTRODUCTORY BACKGROUND

Corruption undermines good governance and countries have invested large resources to inhibit the 'curse'. Implementation of good governance practices such as transparency and accountability mechanisms in the public service is an attempt to prevent corruption. There are various types of corruption, such as, political, economic, electoral and bureaucratic corruption. Botswana is perceived as one of the least corrupt countries in Africa and reports have suggested that corruption is the seventh most problematic issue when conducting business in the country. Furthermore, international organisations such as the Organisation for Economic Cooperation and Development (OECD) and the Mo Ibrahim Index have ranked Botswana in first position for corruption control, transparency and accountability since 2006 to date. Moreover, Botswana is considered an African role model and benchmark for good governance practices in the public service. Despite Botswana being rated as a 'clean' country, corruption is on the increase in the country. The corrupt acts have not been reported, to retain a corrupt free image with which the country has long been associated. Moreover, Botswana is not as transparent and accountable as has been reported by OECD and the Mo Ibrahim African Governance Index.

Botswana is a land-locked country located in Southern Africa and shares borders with South Africa and Zimbabwe. Botswana is sparsely populated with two million people. The governance system is a decentralised one based on the Westminster approach. The country upholds the rule of law and individual liberties (Throup 2011:5). Furthermore, the governance system accentuates institutional development which has earned the country the title of accountable, transparent and least corrupt country on the African continent as illustrated in Table 1. The institutional structures limit the power of the elite and facilitate the establishment of sound administrative, political and economic institutions (Kruis 2013:2).

The public service in Botswana is reported to be accountable and transparent in all its activities. It was granted a 100% rating by the Mo Ibrahim Index of African Governance in 2006. Furthermore, the Mo Ibrahim Index of African Governance reflects that the government and its officials are not corrupt, as illustrated in Table 1.

STATUTORY AND REGULATORY FRAMEWORK

Transparency and accountability are facilitated through the Constitution, 1966 and the Finance and Audit Act, 1997. The Constitution, adopted in 1965, lays down an institutional framework that includes the parliament as a representative, law-making, and oversight organ intended to ensure that the executive, led by

Table 1: Accountability, transparency and corruption: Botswana public service

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Overall	73.9	75.1	75.3	73.7	74.2	75.8	76.2	74.6	70.4	72.1
Public sector accountability and transparency	100	100	100	100	100	100	100	100	100	100
Accountability of public officials	83.3	83.3	83.3	83.3	83.3	83.3	79.8	76.2	76.2	76.2
Corruption in government and public officials	100	100	100	100	100	100	100	100	100	100
Corruption and bureaucracy	71.4	85.7	85.7	71.4	85.7	85.7	85.7	85.7	76.2	76.2

Source: (Mo Ibrahim Index of African Governance)

the President as the Head of State, delivers on its mandate. The Constitution of Botswana establishes three principal organs of the state, the executive, parliament and judiciary. The Constitution specifies the appointment and powers of principal public service offices and fundamental issues concerning public finance and its management (Sebudubudu 2014:5). The Constitution, 1966, provides for internal checks and balances and requires the government to be open, accountable and transparent. To ensure accountability and transparency the Constitution, 1966, established the Office of the Auditor General to conduct an annual audit of all public accounts (Republic of Botswana Constitution 1966).

The Finance and Audit Act, 1997, ensures fiscal accountability and transparency in the public service. The Act emphasises safeguarding the collection and custody of funds for better public funds management. Further, public funds are to be disbursed with proper legislation and the finance official must be responsible to the citizenry (Finance and Audit Act 1997).

- Section 6 emphasises that every public officer concerned with or responsible for the collection, custody, or disbursement of public moneys or the receipt, custody, issue or use of public supplies, shall comply with financial or other instructions and any directions not inconsistent therewith which may from time to time be issued by the Permanent Secretary in respect of the procedure to be followed in such matters, and the accounting for the same.
- The responsibilities of the Auditor General are highlighted in Section 29, to ensure effective management of public funds. The section notes that in discharging his duties under section 124(2) and (3) of the Constitution, the Auditor-General shall satisfy himself: that all reasonable precautions have been taken to safeguard the collection and custody of public moneys and that the laws, instructions and directions relating thereto have been duly observed, the disbursement of public moneys has taken place under proper authority and for the purposes intended by such authority, all reasonable precautions have been taken to safeguard the receipt, custody, issue and proper use of public supplies, and that the instructions and directions relating thereto have been duly observed; and adequate instructions or directions exist for the guidance of officers responsible for the collection, custody, issue and disbursement of public moneys or the receipt, custody, issue and disbursement of public supplies.

Other legislation which promotes transparency and accountability in the public service of Botswana is the Public Procurement Act, 2002, which guides the procurement of goods and services by the public institutions, to facilitate transparency, accountability, fairness and equity. The Act emphasises that the board should ensure that all public procurement institutions take into account the principles of open, fair and equitable treatment of all contractors, to achieve efficiency, accountability and transparency in the management of public procurement. The

legal and regulatory framework for procurement includes a provision for the setting up of an administrative review board tasked with resolving complaints lodged concerning a procuring institution contravening any legal provisions of the Public Procurement and Asset Disposal Act (Quinot and Amusmith 2013:28).

- Section 7 addresses fair treatment and emphasises that where, for reasons of limitations of capacity, contractors registered in Botswana are unable to satisfy wholly or in part, the specific procurement requirements, they shall be offered an equal opportunity to participate in the bidding process of the beneficiary entity (in conjunction with firms in that country) and where applicable to offer such requirements from third sources.
- In Section 9 discrimination and underpricing is expounded. In the event of evidence demonstrating discrimination in any form against Botswana registered contractors by private firms or public entities of any other country, either in that country or in a third country, in respect of procurement or disposal activities; or discrimination or underpricing or action to this effect by public or private entities of Botswana or public or private entities from another country, which limits competition and places locally registered firms at a disadvantage in the domestic market in respect of procurement or disposal activities, the board shall in consultation with other interested parties and bearing in mind any treaty obligations of the government, submit recommendations to the minister on commensurate measures to compensate for the injustices.
- Obligation to advertise is dealt with in Section 86. The board shall advertise all applications by contractors for registration and thereafter the decisions on the grades and codes accorded to applicants; and tenders being invited, bids received, and award decisions and prices.
- The Act emphasises publicity and the media in Section 87. The board shall publicise the decisions arising from complaints and challenges dealt with by the board or the Independent Complaints Review Committee; and brief the media from time to time on developments in the procurement and disposal system that are of public interest.
- Disclosure of interest by members of the board is highlighted in Section 88. Every member, on receipt of the agenda of the meetings of the board, or on notification of a matter being brought to the attention of the board shall sign a standard declaration form of the Public Procurement and Asset Disposal Board indicating whether he has, or intends to acquire, a direct or indirect personal interest in any specific agenda item or matter requiring the board's consideration and decision; and in the event of such interest, the member in question shall not participate in the deliberation or decision-making.

Corruption in Botswana is attributed to non-observance of procedures, management override of internal controls, collusion between employees, collusion

between employees and third parties, lack of control over management by directors, poor or non-existent ethics policy and poor employment practices. Corruption wrongdoings are mainly tackled in the Corruption and Economic Crime Act, the Penal Code and the Public Service Act (Tshukudu 2011:120).

The Corruption and Economic Crime Act, 1994, confers power on the DCEC to investigate suspected cases of corruption and economic crime and matters connected or incidental thereto. Part IV has a list of offences, which include;

- Corruption by or of the public officer
- Corruption in respect of official transaction
- Acceptance of bribe by public officer after doing act
- Promise of bribe to public officer after doing act
- Corrupt transactions by or with agents
- Bribery for giving assistance in regard to contracts
- Bribery for procuring withdrawal of tender
- Conflict of interest
- Cheating of public revenue
- Possession of unexplained property
- Application for confiscation order
- Application for restraining order

Section 24 of the Corruption and Economic Crime Act, 1994, deals with corruption by public officials:

- A public officer is guilty of corruption in respect of the duties of his office if he directly or indirectly agrees or offers to permit his conduct as a public officer to be influenced by the gift, promise, or prospect of any valuable consideration to be received by him, or by any other person, from any person.
- A person is guilty of corrupting a public officer if he endeavours directly or indirectly to influence the conduct of the public officer in respect of the duties of his office by the gift, promise, or prospect of any valuable consideration to be received by the public officer, or by any other person, from any person.

Section 25 of the Corruption and Economic Crime Act, 1994, addresses corruption in respect of official transaction:

- A public officer is guilty of corruption if he accepts, or agrees or offers to accept, for himself, or for any other person any valuable consideration as an inducement or reward for doing or forbearing to do anything in respect of any matter in which he is concerned in his capacity as a public officer.
- A person is guilty of corrupting a public officer if he gives or agrees or offers to give any valuable consideration to a public officer, whether for the benefit of that public officer or of another person as an inducement or reward for

doing or forbearing to do anything in respect of any matter in which the public officer is concerned in his capacity as a public officer.

Section 31 of the Corruption and Economic Crime Act, 1994, elaborates on conflict of interest:

- A member or an employee of a public body is guilty of corruption if he or an immediate member of his family has a direct or indirect interest in any company or undertaking with which such body proposes to deal, or he has a personal interest in any decision which such body is to make, and he, knowingly, fails to disclose the nature of such interest, or votes or participates in the proceedings of such body relating to such dealing or decision.

Possession of unexplained property as one of the corrupt activities is dealt with in Section 34 of the Corruption and Economic Crime Act, 1994:

- The Director or any officer of the Directorate authorised in writing by the Director may investigate any person where there are reasonable grounds to suspect that that person: maintains a standard of living above that which is commensurate with his present or past known sources of income or assets; or is in control or possession of pecuniary resources or property disproportionate to his present or past known sources of income or assets.
- A person is guilty of corruption if he fails to give a satisfactory explanation to the Director or the officer conducting the investigation under subsection (1) as to how he was able to maintain such a standard of living or how such pecuniary resources or property came under his control or possession.

Disclosure of information is elaborated in Section 4 of the Corruption and Economic Crime Act, 1994:

- Any person who, without lawful authority or reasonable excuse, discloses to any person who is the subject of an investigation in respect of an offence alleged or suspected to have been committed by him under this Act the fact that he is subject to such an investigation or any details of such investigation, or publishes or discloses to any other person either the identity of any person who is the subject of such an investigation or any details of such an investigation, shall be guilty of an offence and shall be liable, on conviction, to imprisonment for a term not exceeding one year or to a fine not exceeding P2 000, or to both.

Botswana has had a codified penal system since June 1964, which parliament amends infrequently when there is need to deal with specific corruption. Penal provisions focusing on corruption are:

- Section 99 of the Penal Code deals with official corruption. The section emphasises that any person who, being employed in the public service, and being

charged with the performance of any duty by virtue of such employment, corruptly solicits, receives, or obtains, or agrees or attempts to receive or obtain any property or benefit of any kind for himself or any other person on account of anything already done or omitted to be done, or to be afterwards done or omitted to be done, by him in the discharge of the duties of his office, is guilty of an offence.

- Section 100 which deals with extortion by public officers, emphasises that any person who, being employed in the public service, takes or accepts from any person for the performance of his duty as such officer, any reward beyond his proper pay and emoluments, or any promise of such reward, is guilty of an offence and is liable to imprisonment for a term not exceeding three years.
- Section 101 penalises receipt of property by public officers in order to show favour. The section states that any person who, being employed in the public service, receives any property or benefit of any kind for himself, on the understanding, express or implied, that he shall favour the person giving the property or conferring the benefit, or anyone in whom that person is interested, in any transaction then pending, or likely to take place, between the person giving the property or conferring the benefit, or anyone in whom he is interested, and any person employed in the public service, is guilty of an offence and is liable to imprisonment for a term not exceeding six months.
- Abuse of office is addressed in Section 104: any person who, being employed in the public service, does or directs to be done, in abuse of the authority of his office any arbitrary act prejudicial to the rights of another is guilty of an offence.
- Section 308, deals with obtaining by false pretense. Any person who by any false pretense, and with intent to defraud, obtains from any other person anything capable of being stolen, or induces any other person to deliver to any person anything capable of being stolen, is capable of an offence and is liable to imprisonment for a term not exceeding seven years.
- Section 312 deals with conspiracy to defraud. Any person who conspires with another by deceit or any fraudulent means to affect the market price of anything publicly sold, or to defraud the public, or any person, whether a particular person or not, or to extort any property from any person, is guilty of an offence and is liable to imprisonment for a term not exceeding three years.
- Section 341 emphasises making a false document. Any person who makes a false document purporting to be what in fact it is not; alters a document without authority in such a manner that if the alteration had been authorised it would have altered the effect of the document; introduces into a document without authority while it is being drawn up a matter which if it had been authorised would have altered the effect of the document; signs a document in

the name of any person without his authority whether such name is or is not the same as that of the person signing.

- Uttering a false document is highlighted in Section 348. Any person who knowingly and fraudulently utters a false document is guilty of an offence of the same kind, and is liable to the same punishment, as if he had forged the document in question.

The Botswana Public Service Act, 2010, lays out a comprehensive legislative framework on public service employment. Its main requirements relate to appointments, termination and retirements from the public service, duties of public officers, and penalties for misconduct or unsatisfactory service. The Public Service Act, 2010, specifies that the behaviours of all public officers must be above reproach. The Act necessitates that the public officers must not only be on their watch against corruption and abuse of office but actively contribute in the fight against corruption by quickly reporting all illegal activities. Further, the Act emphasises that transparency and accountability are paramount in challenging corruption in the public service. As such, public officers must be accountable by acknowledging and rectifying their mistakes. The public officers must be transparent by being open in all administrative matters (Public Service Act 2010).

The Botswana Public Service Act, 2010, specifies that operative checks and balances be in place to guard against misuse of power and building confidence and trust in the public service. The Act for example, highlighted the guidelines for promotions and training which are supposed to be based on performance. A public officer is also not allowed in his private capacity, to be a director of a company but may hold a minority of shares in a public or private company carrying on non-exempt activities, only if he or she has fully paid for such shares and has informed the directors through the permanent secretary. In addition, public officials are prohibited to accept paid employment in any private business either in or out of normal working hours or while on leave. Moreover, the Act necessitates that public officials declare business interests but such declaration does not extend to personal assets such as cars, banking accounts, furniture or personal residences occupied by the official making the declaration (Public Service Act 2010).

Botswana has established institutions such as the Directorate of Public Prosecutions to challenge corruption in the public service. The Directorate of Public Prosecutions was established by the Constitution, 1966, to institute criminal actions against public institutions and officials. The Directorate on Corruption and Economic Crime (DCEC) refers cases to the Directorate of Public Prosecutions for prosecutions (DCEC 2011:10). Anti-Corruption Units are also established in the public service of Botswana, to tackle corruption and ensure transparency and accountability. The purpose of Anti-Corruption Units is to monitor and provide advice on the activities of institutions. The units assess the operational areas such

as human resources, procurement, finance and contracts management and report to the DCEC and the Accounting Officer of the Ministry (DCEC 2013:22).

The Corruption Prevention Committee in the public service of Botswana has been established with the mandate of developing and initiating corruption strategies. The committee is responsible for monitoring the institution's operations and procedures, to address any opportunities for corruption. To achieve this mandate, the committee reviews reports on corruption and takes appropriate measures, implements corruption prevention programmes and educates public officials on the causes and consequences of corruption (DCEC 2011:19). Botswana signed the United Nations Convention Against Corruption 2003, which mandates state parties to pass criminal laws against corrupt practices such as bribery, embezzlement and money laundering, take preventive measures, facilitate collaboration among governments for the purposes of extradition and asset recovery (Mbao 2011:256).

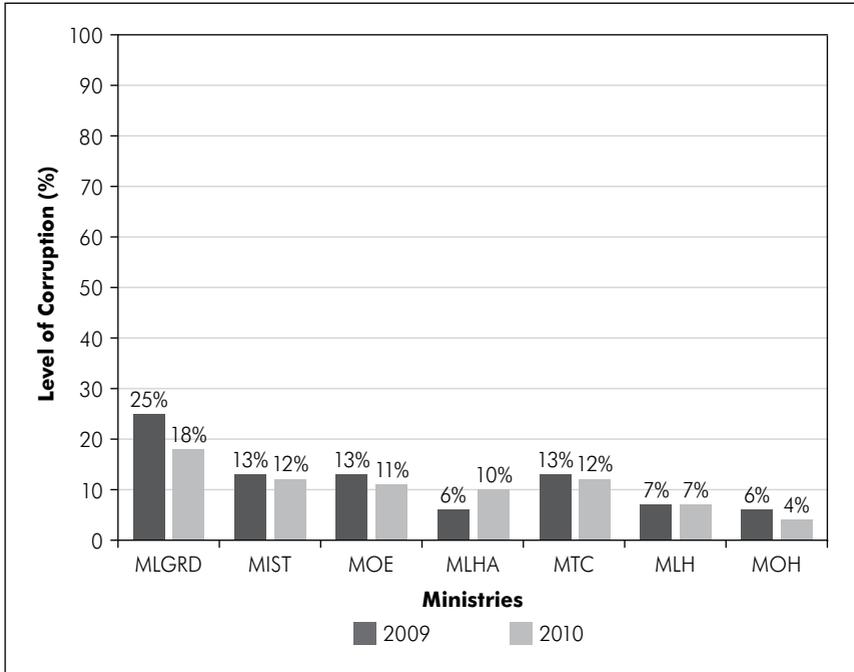
CONTEXTUALISING BUREAUCRATIC CORRUPTION IN THE BOTSWANA PUBLIC SERVICE

This section provides an overview of bureaucratic corruption in the Botswana public service. Botswana ranks as the 35th least corrupt of 175 countries and scored 60 points out of 100 in 2016. According to an internet source (<http://www.transparency.org>) Botswana has progressed to manage corruption effectively. However, Groop (2017:39) reported that despite all the accolades Botswana has been receiving the country still experiences bureaucratic corruption. The level of bureaucratic corruption in the Botswana public service has grown in relation to the level of development and transformation of the country. The Botswana government grew in revenue and expanded its scope and scale, resulting in the growth of public officials' personal wealth of those who engaged in bribery and fraudulent activities. Furthermore, a survey conducted by Afrobarometer in 2014 (Afrobarometer 2008-2014) **confirms** bureaucratic corruption in Botswana is on the rise.

The data (Afrobarometer 2008-2014) provided revealed that bureaucratic corruption has been on a steady incline in the public service of Botswana since 2008. In 2008, 68% of the public perceived that public officials were corrupt, while the number grew in 2012 to 73%. Furthermore, the public perception that public officials were corrupt increased to 78% in 2014. Moreover, bureaucratic corruption has been part of the Botswana public service, but not reported because the focus was on governance (Kapunda and Moffat 2012:85).

The DCEC Annual Report (2015) reported that despite adopting strategies and mechanisms to challenge corruption, there is a steady increase of corruption in the public service of Botswana.

Figure 1: Level of corruption in ministries (2009–2010)



Source: (DCEC Annual Report 2010)

In 2010, the DCEC received 1851 cases of corruption and there was a decrease of cases in 2011 and 2012 with 1800 and 1646 cases respectively. Corruption cases increased in 2013 to 1650 and a further decrease of cases was noted in 2014 where 1371 cases were received by DCEC. In 2015, cases of corruption increased to 1525 (DCEC 2015:12). The DCEC each year samples ministries to evaluate the level of corruption through analysing the cases of corruption reported; and reports have indicated there is bureaucratic corruption. Figure 1 illustrates the level of corruption for the period 2009 to 2010 (DCEC 2010:5).

The ministries surveyed were: Ministry of Local Government and Rural Development (MLGRD), Ministry of Infrastructure, Science and Technology (MIST), Ministry of Education (MOE), Ministry of Labour and Home Affairs (MLHA), Ministry of Transport and Communication (MTC), Ministry of Lands and Housing (MLH) and Ministry of Health (MOH). MLGRD reported 25% of corruption out of the total received in 2009, and the cases slightly decreased in 2010 to 18%. In 2009, 14% of cases were received from MIST and MOE and 12% in 2010. Corruption cases received from MLHA in 2009 and 2010 were 6% and 10% respectively. The cases reported by MTC were 14% (2009) and 12% (2010).

MLH corruption cases were 6% for both 2009 and 2010. In MOH corruption cases noted were 6% in 2009 and a slight decline in 2010 to 4%. The data indicated that corruption was high in 2009 and in 2010 there was a slight decrease.

The DCEC Annual Report (2011) revealed that the cases of corruption reported increased in most of the surveyed ministries, with the exception of MIST and MOE in 2011. MLGRD had a 2% increase bringing the total of cases to 20%. MIST had a small decrease of 1% compared to 2010. MOE reported the same number of cases. Cases of corruption reported in MLHA were 12%, with an increase of 2%. There were 14% of cases reported in MTC, showing an increase of 2% in comparison to 2010. Data indicated that MLH in 2011 had registered 10% corruption cases, with a 2% increase. Corruption cases in MOH increased to 6% and Ministry of Agriculture (MOA) reported corruption cases were 5%.

The DCEC Annual Report (2012) stated that ministries such as Ministry of Youth, Sports and Culture (MYSC), Ministry of Trade and Industry (MTI), Ministry of Minerals, Water and Energy Resources (MMEWR), Ministry of Finance and Development Planning (MFDP) and Ministry of Environment, Wildlife and Tourism (MEWT) were also surveyed in 2012. Corruption cases in MLGRD dropped to 18% and 10% in MIST. In MLHA corruption cases decreased to 10% from 12%, while in MTC corruption reported was the same as in 2010. MLH reported corruption cases were 8%, which is 2% lower than in 2011. The corruption cases reported according to the data showed a small decrease in most of the ministries, while MOH and MOA reported the same percentage as in 2011. Corruption cases from MYSC was 3%, and from MTI the cases were 2%. MMEWR and MFDP corruption cases were 5% and MEWT had 4%.

In 2013, according to the DCEC Annual Report (2013) some ministries had a slight decrease in corruption, while others noted an increase. Ministries such as MTC and MTI registered an increase in corruption level. Corruption in the two ministries was 16% and 4% respectively. MLGRD corruption level was noted to be 15%, MIST was assessed at 4% and MOE at 7%. Corruption levels in MLHA, MOH and MOA were 6%, 7% and 5% respectively. MYSC corruption level was reported to be 2%. In MMEWR corruption level had decreased to 4%, MFDP and MEWT was 2%.

According to the DCEC Annual Report (2014) corruption in 2014 was on the rise and corruption levels in MLGRD, MOE, MTC, MLH, MYSC and MFDP had steadily increased to 18%, 10%, 19%, 11%, 3% and 4% respectively. The following ministries reported a small decline in corruption: MIST (2%), MLHA (5%), MOH (4%) and MOA (2%). Corruption level in MTI, MMEWR and MEWT remained unchanged.

In 2015, corruption level had increased in most of the ministries. Ministries such as: MIST, MLHA, MTC, MLH, MOH, MOA, MYSC, MTI, MMEWR and MFDP experienced an increase in corruption. Corruption increased in MIST (6%),

MLHA (15%), MTC (24%), MLH (26%), MOH (8%), MOA (5%), MYSC (7%), MTI (4%), MMEWR (3%) and MFDP (7%) respectively (DCEC Annual Report 2015).

The Ministerial Anti-Corruption Units are also inundated with reports on corruption. The DCEC Annual Reports 2013 to 2015 highlighted the number of corruption cases the Units received in MLGRD, MIST, MOE, MLHA, MTC, MLH, MOH, MOA and MYSC (DCEC Annual Report 2013).

Corruption cases reported in MLGRD were 85 cases and MIST had 73 cases. MOE had 119, MLHA 46, MTC 40, MLH 75, MOH 61, MOA 38 and MYSC 28 corruption cases. The total number of corruption cases received between January and March was 90. From April to June the number of cases increased to 144. An increase was also noted between July and September (179) and in October to December cases decreased to 162. The overall total corruption cases reported by the Ministerial Anti-Corruption Units was 575 (DCEC Annual Report 2015).

According to the DCEC Annual Report (2015) corruption cases received by the Ministerial Anti-Corruption Units steadily increased in 2015 in comparison to the previous years. The following number of corruption cases was noted: MLGRD 120, MIST 27, MOE 156, MLHA 81, MTC 49, MLH 57, MOH 90, MOA 64 and MYSC 32. The total number of corruption cases received from January to March was 134. From April to June the total was 169 and 214 cases were received between July and September, with 159 reported between October and December. The overall total of corruption cases received in 2015 was 676.

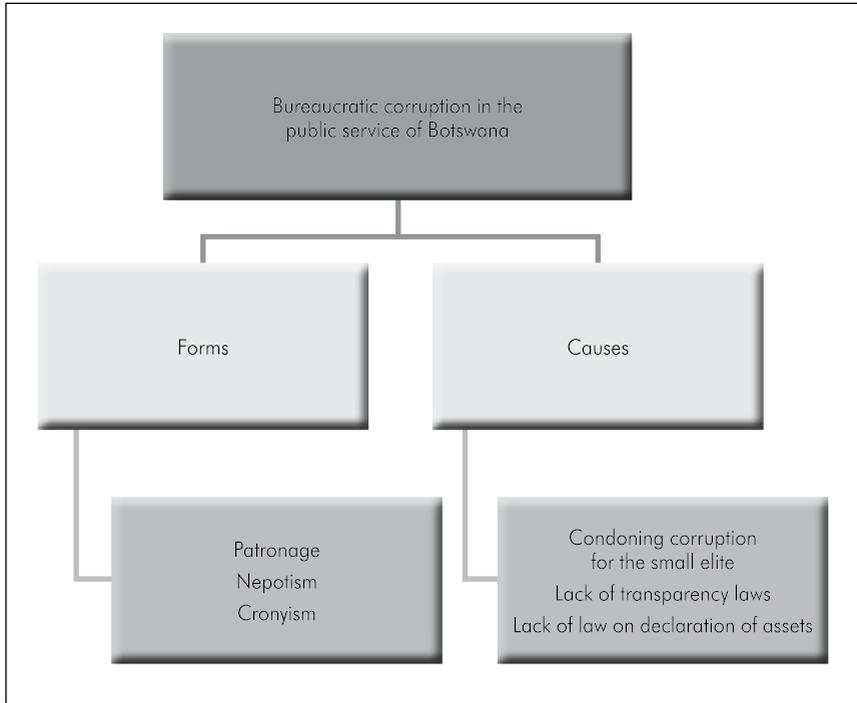
Forms and causes of bureaucratic corruption in the Botswana public service

The forms and causes of public service bureaucratic corruption are highlighted in Figure 2.

Patronage, nepotism and cronyism are prevalent in the Botswana public service because public sector officials' family members and friends generally own companies which tender for the government and conflict of interest is often not disclosed (Molebatsi and Dipholo 2014:795). Nepotism, patronage and failure to disclose and declare assets in the public service were rife in government which allowed a small elite group to control its decision-making process for their own benefit. Consequently, corruption is condoned for this small elite group who are entrepreneurial and the connection between public and private interests is distorted (Sebudubudu 2014:2).

Furthermore, the lack of transparency laws has resulted in bureaucratic corruption rising in the Botswana public service. Botswana traditionally has a reputation of abiding by the democratic and freedom of expression principles in the Constitution. However, it has lost this reputation by clamping down on media freedom, freedom of expression and the right of the citizenry to access

Figure 2: Forms and causes of bureaucratic corruption: Botswana public service

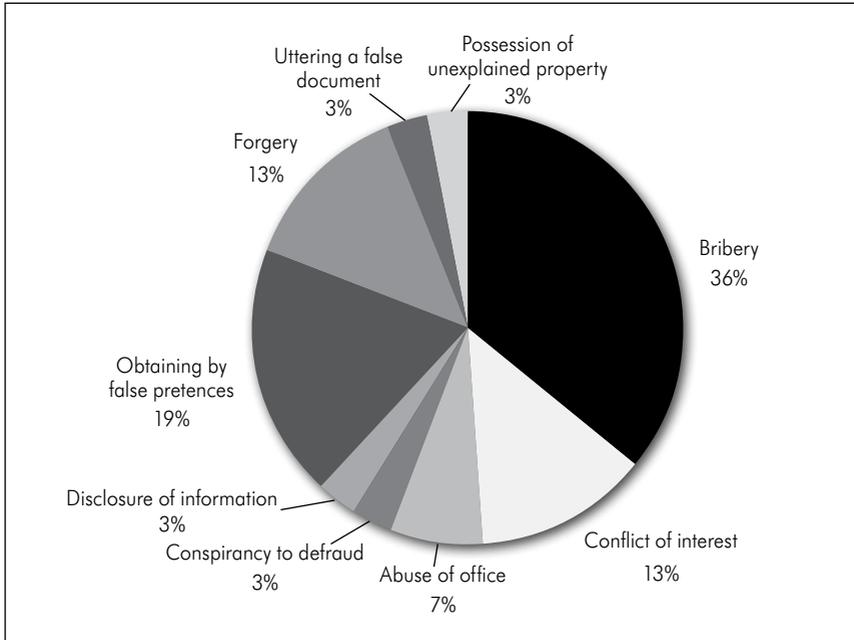


Source: (Author's own construction)

information. In 2012 the ruling party opposed the adoption of the Freedom of Information Act, which was drafted in 2010. This enabled public officials to abuse power (Kapunda and Moffat 2012:86). Furthermore, in April and May 2011 during the public service strike which was considered a massive action, the government deployed the public relations officer and government media control to work in the Office of the President. This was done to monitor the news aired. Consequently, only biased government views were aired on the state station (Kruis 2013:3).

Moreover, since 2014, the lack of freedom of expression and association including free media, contributed to the fall in transparency, public voice and accountability in the public service. Botswana scored 47 out of 100 in transparency in the Resource Governance Index. The fall was attributed to cronyism, patronage and lack of transparency laws between the government and the private sector (OECD 2014:132). Also there is no law that requires public officials in Botswana to declare their assets. Consequently, it undermines the law which could prevent wrongdoing and corruption in the public service (Kapunda and Moffat 2012:87).

Figure 3: Most occurring offences



Source: (DCEC Annual Report 2015)

DCEC highlighted the most occurring offences in the public service of Botswana as illustrated in Figure 3.

Bribery has been reported to be the highest among corruption practices in Botswana’s public service, with 36%. Obtaining by false pretences (19%) is the second most common offence and conflict of interest and forgery are third with 13%. Abuse of office is ranked fourth with 7% occurrence. Disclosure of information, possession of unexplained property, conspiracy to defraud and uttering a false document are the lowest common offences rated at 3%.

The ministries conduct transaction monitoring exercises yearly, to evaluate and detect corrupt and fraudulent activities. In 2014 the findings revealed that the following corruption activities were prevalent in ministries:

- Payment for undelivered goods
- Favouritism in recruitment
- Unfair training opportunities
- Conflict of interest
- Inflated prices for goods and services
- Collusion in the awarding of tenders
- Fraudulent awarding of licences and permits

- Stealing of government property and misuse of vehicles
- Leakage of official information
- Fraudulent claims (overtime, substance and salaries)
- Ghost beneficiaries (employees and students) (DCEC 2014:42).

In 2015, the findings from the transaction monitoring exercise highlighted the following corrupt activities in the ministries:

- Non adherence to tender procedures
- Non adherence to licensing procedures
- Misuse of travel allowance
- Fraudulent overtime claims
- Conflict of interests
- Favouritism in recruitment and promotions
- Theft of government property
- Purchasing from friends and relatives
- Bribery in contract management
- Suspicions of corruption in the allocation of land and boreholes (DCEC 2015:50).

TRANSPARENCY AND ACCOUNTABILITY MECHANISMS IN BOTSWANA PUBLIC SERVICE

Performance management

This section provides an overview of the performance management process in the Botswana public service. The performance management system was introduced in the 1990s as a mechanism to enhance accountability and transparency in the public service. The focus was on establishing performance measurements to assess its effectiveness and efficiency. The establishment of clear and actionable lines of accountability and service standards were underscored (Marobela and Mawere 2011:5311). The performance management system is based on ethical and operational principles which ensures that the system is fair and achieves its purpose of assessing performance in an equitable manner (Bulawa 2012:322).

The performance management system is implemented as a corrective system and not utilised to punish those who underperform. Performance review meetings are characterised with honesty and openness and the officials express their concerns freely without discrimination and intimidation (Tshukudu 2014:27). A balanced scorecard and performance-based rewards system was adopted to measure performance in the public service. Consequently, it is simple to recognise exceptional performance and public officials are promoted based on

competence and merit rather than seniority (Kealesitse, O' Mahony, Lloyd-Walker and Polonsky 2013:34).

To ensure transparency in the performance management system, the Public Service Reform Unit (PSRU) in the office of the President facilitates, monitors, and evaluates the performance system. The PSRU provides advice to enhance the management of service standards (Bulawa 2012:34). Also, the National Strategy Office (NSO) plays a crucial role in facilitating transparency and accountability in the performance management system. The NSO ensures that the government institutions submit their bi-annual reports timeously (Marobela and Mawere 2011:5312). Furthermore, various committees have been established to ensure the performance management system is effective. The Ministerial Performance Improvement Committee is tasked with reviewing public service performance quarterly and the Performance Improvement Committee of Permanent Secretaries for Permanent Secretaries to engage and acquire enhanced solutions to improve performance in the public service (Bulawa 2012:322).

Financial reporting

Public finance management and budgeting is controlled through the Constitution of the Republic of Botswana, 1966. The process and procedures to manage public finances are stipulated (section 117 of the Constitution of the Republic of Botswana, 1966). The administration of finance and the budget in the Botswana public service is the primary function of the MFD, Minister of Finance and Development Planning and line ministry accounting personnel. Their roles and responsibilities are regulated by the Public Finance and Audit Act, 2011 (Act 2 of 2011) to ensure that all revenues and expenditure, assets, and liabilities are managed efficiently and effectively (Botlhale 2011:28).

Botswana adopted the International Public Sector Accounting Standards (IPSAS) and advanced from using cash-based accounting to accruals accounting which provides a clear understanding and transparency of all costs and revenues (Haruna and Vyas-Doorgapersad 2016:7). The Government Accounting and Budgeting System (GABS) is the integrated financial management system adopted in 2002. The implementation of GABS has led to a high level of predictability, transparency and accountability. Work is conducted according to set rules and standards (Tonkope, Baliyan and Tobedza 2017:104). Hence, reporting is conducted timeously and information is accessible and comprehensible which enhances transparency. Also accountability is facilitated through GABS by comparing the actual and the budgeted results on income and expenditure. This has resulted in low incidents of financial corruption (Botlhale 2011:29).

The Public Finance Management Reform Programme (PFMRP) which was implemented focuses on addressing challenges with the management of public

finance. The purpose is to strengthen the financial management system and to maintain financial discipline and accountability (OECD 2014:132). Through PFMRP, Public Expenditure and Financial Accountability (PEFA) was established in 2009 to hold public officials accountable for the utilisation of public funds and promote transparency in financial reporting. The public service financial status is assessed and transparency and comprehensiveness is achieved (Botlhale 2011:27). Botlhale discusses how PFMRP is intended to strengthen financial control.

The implementation of Public Financial Accountability (PFA) arrangements between Executive, Parliament and Judiciary established through the Botswana Public Accounts Committee (PAC) ensures that public funds are utilised properly. Furthermore, it ensures that value for money is achieved when public funds are utilised (Haruna and Vyas-Doorgapersad 2016:8). The PFA also entails explaining, justifying conduct and interrogating actions. By so doing the resources are equitably allocated with the intention to benefit the nation rather than the privileged few (Tonkope *et al.* 2017:106).

Records management

The records management strategy was implemented in the early 1960s to enhance the smooth functioning of the public service. Furthermore, the purpose of the records management strategy is to enhance transparency, accountability and prevent corruption (Ngoepe and Keakopa 2011:148). To promote transparency, the Botswana National Archives and Records Services (BNARS) was established in 1978 under the Archives Act to improve the flow of information and accuracy and is mandated with the preservation, control and disposal of records. BNARS achieves its objectives through coordinating and managing records management practices (Sebina, Moahi and Bwalya 2014:241).

The Botswana public service has a regulating framework under BNARS to maintain transparency and accountability such as the BNARS Records Management Policy 2009 which compels the public service to implement policies, procedures and systems to maintain and preserve government records (Jain and Mujama 2017:104). Through the BNARS Records Management Policy, the public service is obliged to appoint staff to oversee the management of records so that record management is strengthened to avoid retaining misleading information which might lead to manipulation, corruption and fraud (Ngoepe and Keakopa 2011:149). The BNARS Records Management Procedure Manual 2009 is another regulating mechanism which provides guidance for records management procedures and practices. Furthermore, it addresses issues related to mail management, file management, retention and disposal of records. Hence, the public officials are able to keep accurate records which in turn provide evidence of administration and operation (Bwalya and Mutula 2015:175).

Public procurement regulation

Botswana is one of the first countries in Africa to introduce public procurement legislation to evaluate and monitor public service procurement. It is considered an early reformer in public procurement and serves as a benchmark for other countries. Countries such as Uganda have adopted Botswana's procurement strategy to manage the procurement process (Quinot and Arowsmith 2013:36). All public procurement is subject to the Public Procurement and Disposal Act 2002 and the regulations of the Public Procurement Disposal Act 2002 are executed through the Public Procurement and Asset Disposal Board Operations Manual 2008. The latter Manual of 2008 provides standard operational policies and procedures for public procurement (Nyeck 2016:281).

To promote transparency and curb corruption in public procurement, Botswana established an integrated system to circulate and collect procurement information such as requests for proposals, tender information and contract awards. The system provides updated information on all contracts at central government (Botlhale and Lotswao 2015:43). Procurement plans are published on institutions, PPADB websites including the government portal. The plans are posted timeously to enable all the contractors and suppliers to have access to the information and ensure fairness and equality (Tonwe 2013:12).

Accountability is enhanced through ensuring that there is clarity and separation of responsibilities assigned to the public officials to avoid conflict of interest and illegal involvement in the execution of procurement transactions (OECD 2014:136). Furthermore, quality control standards have been established to assess and evaluate public procurement officials' performance and ensure integrity in managing tenders and awarding contracts (Quinot and Arowsmith 2013:33). Moreover, procurement actions cannot be initiated without proper and approved budgets. Consequently, the financial management and procurement systems are interfaced to hold public officials accountable for engaging in any procurement transactions without approval (Nyeck 2016:281).

E-government

Botswana introduced Information and Communication Technology (ICT) in the public service in the 1980s and has since invested substantially in developing and growing ICT through the introduction of e-government to facilitate transparency and accountability in the public service (Bwalya and Zulu 2012:240). Through the National ICT policy called Maitlamo adopted in 2007, Botswana's e-government strategy focuses on facilitating equitable and universal access to information for the public. All government information and services are available on a single government portal and accessible from all locations throughout the country.

Furthermore, the online portal service is client-oriented and provides clear instructions for users to access information and services (Nkwe 2011:128).

A common look and feel is adopted across the government portal and websites to encourage uniformity throughout the institutions. This as a result facilitates the adoption of common transparency and accountability measures (Nubafu and Maiga 2012:32). Furthermore, the public service in Botswana has similar website designs containing various information on government activities. The information ranges from contact details to question and answer forums. The public service has digitised core work by introducing e-procurement, e-legislation, administration information share centre, local government information system, e-project evaluation and e-document (Mosweu 2016:5).

Ensuring accountability through e-government is achieved by securing the government websites and portals. Thus e-signatures are included in the published information online so that the citizenry is aware of whom to hold accountable (Bwalya and Zulu 2012:248). Furthermore, e-signatures ensure that information provided can be relied upon without manipulation. The citizenry can confidently trust government actions, revealed by them taking responsibility for its functions (Nubafu and Maiga 2012:33).

Meritocratic recruitment

The Botswana public service is regarded as the most professional in Africa because of limited interference by politicians. Consequently, it was able to organise and adopt an enhanced staffing strategy (Cypher 2014:260), that is, it is merit based, which implied that human resource recruitment and promotion was considered according to qualifications. For example, DPSM created a portal for unemployed graduates to upload their details. This pool is utilised for filling vacancies in government (Kanyenze, Jauch, Kanengoni, Madzamuse and Muchena 2017:108).

The recruitment system in the Botswana public service ensures equal opportunities and fairness for all applicants. There are also clear career paths, guidelines for recruitment and promotion. Furthermore, the recruitment policy is published on the government website and portal which is easily accessible. The job requirements and competencies are clearly stipulated in the policy (Ezrow and Fraritz 2013:17). Moreover, vacancies are advertised in the institution, websites and newspapers which are clear and concise for all to understand. The jobs are advertised for a period of a month so that every citizen has adequate time to submit an application (Thoroethin 2014:260). There are quality control mechanisms to monitor and assess the recruitment process in the public service. Recruitment and promotion boards have been established to evaluate the recruitment and promotion process to ensure that the rules and regulations are implemented (Cypher 2014:261).

CONCLUSION

Botswana is considered to excel in good governance practices and is rated high by many international governance institutions. For example, the Mo Ibrahim Index of Governance in Africa has ranked Botswana high in transparency and accountability since 2006. Also the Transparency International Corruption Index perceives Botswana as a role model in terms of good governance and its ability to curb public service corruption. Despite these praises, bureaucratic corruption does exist in the public service of Botswana. Bureaucratic corruption such as nepotism, patronage, bribery, fraud and cronyism; has been alleged to be on the rise in the Botswana public service. Corruption has been attributed to the coalition of the government with the elite to benefit the privileged few which has created an opportunity for increased corruption.

Furthermore, Botswana focused on creating and maintaining the image of a clean and successful country while bureaucratic corruption, which was on the increase in the public service, was disregarded. The rise in bureaucratic corruption was inevitable because there are no laws which require public officials to declare their assets and business interests. Moreover, there are no laws which prescribe to, for example, freedom of expression; while public officials are prohibited from expressing their perceptions. The government abuses its power and authority to silence the public officials while portraying a sound image to the world. The strike in 2011 revealed how public officials were denied their right to freedom of expression and how government broadcast and published misleading information to the nation.

NOTE

- * The article is partly based on a PhD thesis that was completed under the supervision of Prof N Holtzhausen: Mudeme, K. *An evaluation of the practice of good governance in the public service of Botswana*. Pretoria: University of Pretoria.

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A Business Process Re-engineering Framework to Enhance Strategic Planning within Higher Education

The Case of the Tshwane University of Technology

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ABSTRACT

The strategic alignment and reengineering of business processes are critical for institutions across sectors to achieve performance improvement and subsequently, competitive advantage. Competition within the higher education sector forces higher education institutions towards management instruments such as business process reengineering (BPR) to improve effectiveness and efficiency. BPR is considered to be an effective instrument to achieve improvements in institutional performance in order to become more competitive. The purpose of this article is to report on findings of an empirical investigation conducted at Tshwane University of Technology, as case study, aimed at determining the extent to which this institution aligns and reengineers its core business processes such that they could contribute to the enhancement of its strategic orientation. This investigation was based on the central theoretical foundation that BPR, as strategic endeavour, facilitates the alignment between an institution's strategic orientation and its core business processes, contributing to the enhancement of strategic planning. The article concludes with a newly-designed generic BPR framework for higher education which emanated from the findings of the investigation.

INTRODUCTION

According to McRoy and Gibbs (2009:688), the pressures for change within the higher education sector are evident worldwide and the pace of such change is ever increasing. McRoy and Gibbs (2009) contend that “doing more with less”, improving the quality of learning and learning experience, and improving efficiency and effectiveness are some of the main pressures public higher education institutions (HEIs) constantly grapple with across the globe. In response to these pressures for change, and in efforts to become more performance oriented, Birnbaum (2000:1) confirms that public HEIs have adopted management instruments that were originally only practised within the private sector.

Consistent with the above assertions, Hood (1995:93) remarks that during the 1980s, in response to global changes, a number of countries moved away from traditional public administration practices towards a New Public Management (NPM) paradigm so as to become more competitive. Van der Waldt (2004:24) further shows that NPM was generally accepted as the management framework through which governments attempted to modernise and reengineer the public sector through the adoption of established private sector practices. Similarly, Bale and Dale (1998:119) and Denhardt and Denhardt (2000:550) express that NPM centres around the presumption that private sector management practices can be successfully applied within the public sector, with due consideration of its unique and distinctive character.

The NPM paradigm also found its way to South Africa. The White Paper on the Transformation of the Public Service 1995 is generally regarded as the first document which indicated the South African Government’s intention to reform the public sector (Carstens and Thornhill 2000:183). Consistent with international experience, the White Paper on the Transformation of the Public Service 1995 reflects that public sector reform interventions are mainly aimed at improving the overall performance of the public sector by emphasising efficiency, effectiveness, economy, and productivity. This emphasis also applies to HEIs, considering that they form part of the broader South African public sector. In response to this requirement, public HEIs should ensure that their business processes are strategically designed and reengineered so as to guarantee improved delivery of public services.

The purpose of this article is to reflect on an empirical investigation conducted at the Tshwane University of Technology (TUT), aimed at determining the extent to which its core business processes are aligned. For this purpose, the principles and processes of BPR, as management instrument, is applied to contribute to the enhancement of a strategic orientation. This investigation culminated in the design of a tailor-made BPR framework which could be applied to TUT as well as similar HEIs in South Africa. This framework could facilitate the alignment between an

institution's strategic orientation and its core business processes, contributing to the enhancement of strategic planning.

BPR AND STRATEGIC PLANNING: A CONCEPTUAL ORIENTATION

On its most fundamental level, Hammer and Champy (1993:31) contend that BPR as management instrument involves the radical redesign of business processes. They continue to argue that BPR entails "rethinking and radical redesign of business processes to achieve dramatic improvements in the critical, contemporary measures of performance, such as cost, quality, service, and speed". Peppard (1996:255–265) and Hunger and Wheelen (2007:134) claim that BPR principles became the industry standard across industries and sectors. Johnston and Clark (2008:425) and Cole and Kelly (2011:233–235) elaborate to illustrate how BPR could lead to radical improvements and rapid change in organisations. Peppard (1996:270), Grover and Malhotra (1997:209–210) and JM Associates (2014), however, reflect that since its early adoptions in business, BPR was gradually adjusted to become a more incremental and continuous strategic approach.

As far as its operational applications are concerned, Daft and Marcic (2011:235) contend that BPR's main focus is adjustments to core business processes that cut across the institution. Campling *et al.* (2008:310–312) emphasise the strategic orientation of BPR in that it focuses on a future state of an institution and agree that its primary purpose is to improve strategic core business processes. Given the above background and to serve as an operational definition for purposes of this article, BPR can be defined as the strategic redesign of core business processes that are critical to the enhancement of an institution's strategic orientation aimed at improving its overall performance.

Just like with BPR, strategic planning is proactive and future and performance oriented (Andersen 2000:187; David 2003:5). Hunger and Wheelen (2007:4) concur that a match between strategic planning and BPR has positive effects on an institution's performance. Hellriegel *et al.* (2005:75–77), and Jones and Hill (2010:10) argue that though strategic planning is mainly performed at the highest management level, managers at other levels of management also have strategic planning responsibilities. Kenny (2005:191) and Pitts and Lei (2006:8) claim that the ultimate objective of strategic planning is to assist institutions to achieve competitive advantage by gaining an edge over competitors. BPR endeavours should be strategically executed to enhance strategic planning for institutions to perform better in order to achieve competitive advantage.

As far as its applications in the public sector and HEIs in particular are concerned, Hope (2001:121) further points out that public sector institutions should

ensure responsiveness to society through the use of effective management tools and techniques. Strategic reengineering of business processes is thus critical for HEIs to achieve improvement in performance and subsequently competitive advantage.

RESEARCH METHODOLOGY

The research followed a qualitative research design and employed a case study method to gather empirical data. Baxter and Jack (2008:544) describe a case study as an approach that facilitates the exploration of a phenomenon using multiple data sets. The findings of the research were based on both method and data triangulation from, among others, a literature survey, case study analysis, document analysis, and opinions and perceptions of participants as units of analysis within the case. Maree (2011:113) shows that using data sets from different sources helps researchers to verify research findings and validates the results, especially if the data from different sources arrives at the same conclusions. Consistent with the remarks by Yin (2014:41), relevant theoretical underpinnings formed the basis for the generalisation of the research findings.

Sampling

Two sampling methods were employed, namely, probability and non-probability sampling. The first group of managers at TUT were purposefully selected because of their particular responsibilities and expert knowledge of strategic business processes. The second group of managers were purposefully selected due to their involvement in strategic planning and BPR efforts within TUT. Purposive sampling was used in conjunction with the stratified sampling method to select the third group of managers. In this case, the purposefully selected population was divided into sub-populations (*cf.* Burger and Silima 2006:660). The sub-populations were the assistant registrars ($n=11$) and senior administrators ($n=25$) responsible for academic administration; directors of distant campuses ($n=3$); and the managers of the environment responsible for quality, planning, and risk management ($n=5$). Participants were randomly selected from these sub-populations, bringing the total number of participants to 32 (73% of the total population of 44).

Data collection instrumentation

Three techniques were used to collect data during the empirical stage of the research. A questionnaire was designed to collect the biographical information of the sampled participants, semi-structured interviews were conducted to gather meaningful input, and finally, content analysis was used to analyse the case study

(i.e. TUT) strategic documents. An interview schedule was designed to facilitate consistency and uniformity. The schedule was pre-tested to ensure that all the questions were well formulated and understood by the participants. ATLAS.ti software was used to categorise the opinions and perceptions of the sampled participants. Thereafter the data collected was analysed and interpreted for factor analysis and sense-making purposes.

RESEARCH FINDINGS

The results of the empirical investigation confirmed the research problem, namely that the case lacked an adequate BPR framework to guide the manner in which the institution could strategically align and reengineer its core business processes. An analysis of the case study strategic documents and the input from participants revealed that although various strategic documents allude to the strategic alignment and reengineering of business processes, the absence of a standardised methodology hampers the operationalisation of this intent, which is of critical importance for the enhancement of strategic planning within HEIs. While the academic administration environment of the case study was the main focus of the research, institutional views on the current status regarding strategic reengineering of business processes were also sought.

Given the above background, the following section presents a proposed BPR framework which is the culmination of –

- a robust literature survey (i.e. theoretical principles);
- international best practice as far as BPR applications are concerned;
- case study analysis by means of content analysis of policy, strategic and management documents; and
- input from participants gained by means of interviews.

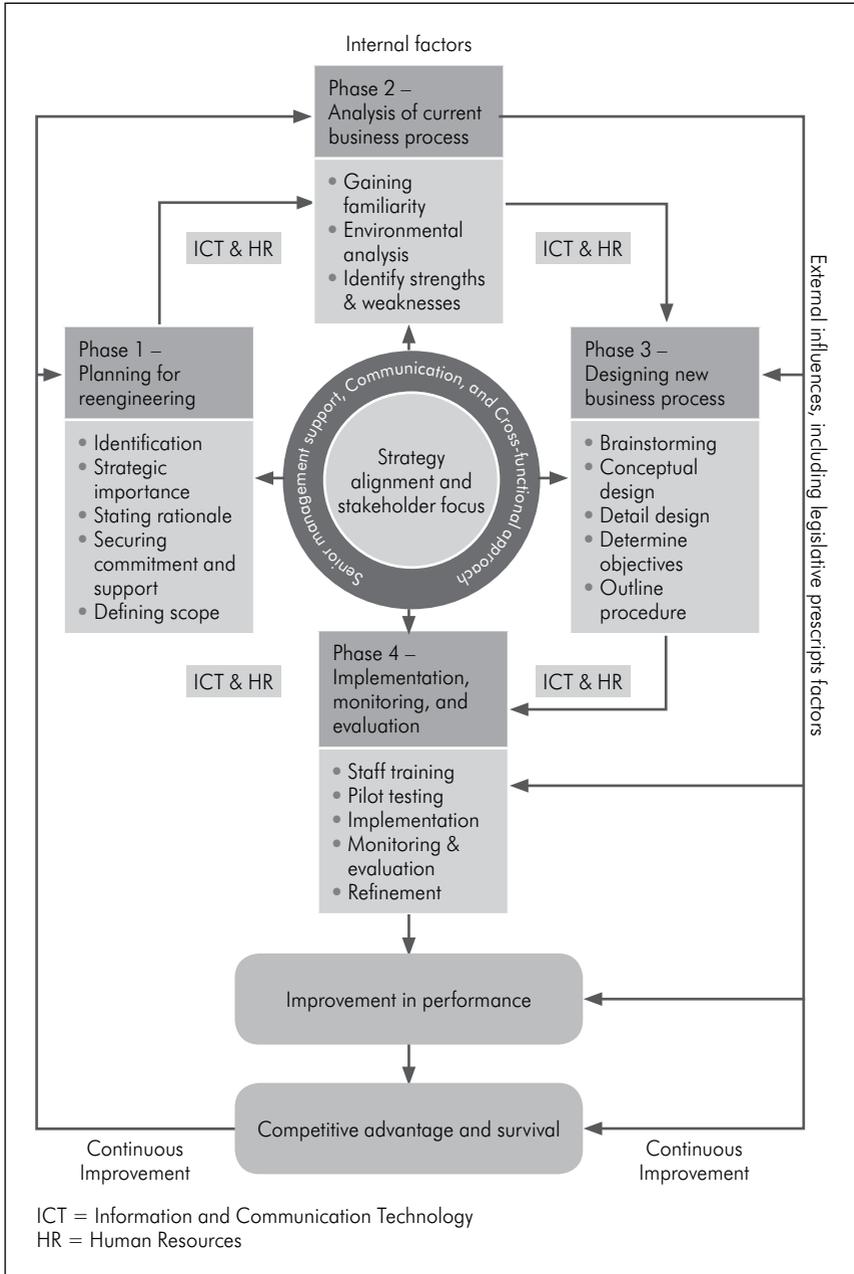
A BPR FRAMEWORK TO ENHANCE STRATEGIC PLANNING WITHIN HIGHER EDUCATION INSTITUTIONS

Figure 1 presents a comprehensive BPR framework aimed at the enhancement of strategic planning within HEIs. An explanation of its elements, phases and application will follow.

Exposition of the elements and phases of the BPR framework

Given that HEIs operate as an open system and that the Strategic Plan of the case study recognises the external environment and internal conditions and resources

Figure 1: A BPR framework for HEIs



as drivers of institutional strategies, the proposed framework is based on the systems approach to management (*cf.* Smith 2007:42). Considering the dynamic nature of the South African higher education sector, the proposed framework promotes a BPR methodology which, among others, involves the reengineering of business processes with due consideration of the national higher education imperatives and legislative requirements. Consideration of the external environment should include an analysis of critical developments within higher education, including changes to national legislation and the requirements of the Department of Higher Education and Training and relevant regulatory bodies. TUT should continuously monitor changes that might have an impact on its business processes to ensure the timely and strategic reengineering of business processes in accordance with the changing environment. Cognisance of the internal factors should also be the basis of all BPR efforts. Lazenby (2014:8) indicates that an analysis of internal capabilities assists institutions to identify their strengths and weaknesses and determine which core competences need to be improved. At the core of the proposed BPR framework is strategy alignment and stakeholder satisfaction, specifically students. Consistent with Hammer and Champy (1993) and Davenport (1993), the framework further promotes the utilisation of ICT and HR as BPR “enablers”.

The framework further advocates an incremental approach to BPR so as to allow for the continuous improvement of business processes. The framework suggests a BPR methodology that provides for the regular monitoring, evaluation, and refinement of business processes. For HEIs in general and TUT in particular, the proposed BPR framework suggests a strategic approach that calls for departments and operational units to direct all their reengineering efforts towards the enhancement of a strategic orientation.

The BPR framework is structured around four basic *phases* according to the continuous improvement principles and with due consideration of external and internal influences (*cf.* Grover and Malhotra 1997; Love and Gunasekaran 1997; Kettinger and Teng 1998; Hayes 2007). Linked to the four phases are seven *critical success factors*, which Lockamy III and Smith (1997:149), Love and Gunasekaran (1997:185), and Terziovski, Fitzpatrick, and O’Neill (2003:36) collectively refer to as the “best predictors” for the effective deployment of BPR. It is argued that the linking of these success factors with the four phases will be the key to the effective application of BPR within the case study. The suggested phases with associated critical success factors, and “enablers” relevant for the successful application of BPR, are briefly outlined below.

Phases of the BPR framework

Phase 1: Planning for BPR. Planning lays a solid foundation upon which BPR can be successfully executed (*cf.* Martinsons 1995:259; Cole and Kelly 2011:17). This

includes the identification of business processes to be reengineered, determination of the strategic importance and stakeholder satisfaction, stating of the BPR rationale, securing of senior management commitment and support, and defining the project scope (cf. Coulson-Thomas 1997:280; Attaran 2004:587). The project scope should also be defined during this stage, including identifying staff members who will form part of a cross functional reengineering team. The commitment of senior management cannot be emphasised enough (cf. Pitman 1995:15). It is necessary that senior management must commit leadership support, including the provision of resources needed for BPR to be successfully applied, as empirically confirmed within the case study. It is further imperative that a standardised criterion be used by all departments and operational units. This will facilitate a common approach to the identification of core business processes for reengineering. To ensure strategy alignment, it is imperative that the identified core business processes be linked to strategic goals and objectives which the identified business processes would enhance. This focus should also satisfy the needs of stakeholders (cf. Carr and Johansson 1995:9).

Phase 2: Analysis of current business processes. In this phase, it is important that BPR teams should spend considerable time analysing current business processes in order to understand them before proceeding to designing future business processes (cf. Johnston and Clark 2008:425). Grover and Malhotra (1997:201) and Chen (2001:92) argue that analysing existing business processes against objectives and expected outcomes helps to identify weaknesses and variations. In accordance with systems management, this phase should also involve an analysis of the environment within which HEIs operate as well as internal (organisational) factors.

Phase 3: Design future business processes. Having identified the shortcomings of and the potential improvements to existing business processes, the next logical step would be to design the future business processes to improve efficiency and effectiveness in the manner in which services are delivered. These include brainstorming future business processes, creating a conceptual business process design, creating a detailed business process design, determining the future business process objectives, and outlining the procedure to be followed to execute new business processes (cf. Grover and Malhotra 1997:201). A cross-functional approach should be adopted in all phases, including the business process design phase, to ensure a cross functional perspective and integrating the contributions of individual departments and operational units to achieve a common purpose (cf. Schermerhorn 2011:41).

Phase 4: Implementation, monitoring, and evaluation. After having designed new business processes, the manager within the relevant environment embarking on BPR should put the newly designed business processes into action through an implementation plan, reflecting the financial, human, and other resources

needed for successful execution. Attaran (2004:590) maintains that pilot testing the reengineered business process, monitoring the results, and providing extensive training to the staff are the main objectives of the BPR implementation phase. Kettinger and Teng (1998:105) argue that the monitoring step of the BPR implementation phase involves determining whether performance goals have been met and Davenport and Short (1990) add that this requires someone to be responsible for managing and monitoring the implementation process. The framework suggests pilot testing, training of staff members, the full implementation of the new business processes, the monitoring and evaluation against predetermined performance objectives/targets, and refinement; as the steps that should form part of this phase. Adopting a pilot testing approach could ensure that the areas of concern are identified and resolved during the pilot stage before the new business processes could be rolled out and fully implemented across all campuses.

The following section presents the critical success factors that are considered key for the effective application of the four phases around which the proposed BPR framework is structured.

Critical success factors for the application of the BPR framework

- *Human resources and informational and communication technology:* Davenport and Short (1990:11–27) and Edosomwan (1996:15) single out the effective utilisation of HR and the application of appropriate ICT as important for institutions to reengineer business processes successfully. Staff members should be equipped with the necessary skills and knowledge to enable them to successfully reengineer and execute business processes.
- *Strategy alignment:* The proposed BPR framework shows that strategy alignment is at the core of the proposed BPR framework which suggests that all BPR endeavours within the case study and other similar HEIs should be strategically driven. Consistent with Ascari, Rock, and Dutta (1995), Love and Gunasekaran (1997), and Terziovski, Fitzpatrick, and O'Neill (2003) and the empirical findings, the framework suggests that for business processes to be successfully reengineered, a need exists to align its reengineering efforts to its strategic goals and objectives. Priority should be given to the reengineering of those business processes which are more likely to positively contribute to the enhancement of strategic planning within the case study. The strategic alignment of BPR projects could also raise general awareness of the strategic direction and associated institutional strategies.
- *Stakeholder satisfaction:* When probing the commonalities that exist between BPR and strategic planning, the authors came to the realisation that institutions need to commit to customer or stakeholder satisfaction and put this at the centre of their BPR framework. The Strategic Plan of the case study places

emphasis on the “offering of career-oriented academic programmes, promotion of research and innovation, engaging in community projects, and partnering with local and international communities in pursuit of common goals”. Given that stakeholder satisfaction is the case study’s strategic imperative and an understanding that teaching and learning, community engagement, and research and innovation are the core functions of public HEIs, necessitated the placing of stakeholder satisfaction at the core of the proposed BPR framework in addition to strategy alignment (*cf.* Lockamy III and Smith 1997:143).

- *Senior management commitment:* It is imperative that senior management commit to the provision of financial, human, and other resources required for the successful execution of BPR. Considering that public HEIs rely mainly on public money and have limited funds to finance their operations, business processes should be reengineered with due cognisance of the nature of their financial positions. Consequently, the proposed framework suggests that senior management should, as reflected by Love and Gunasekaran (1997:183–197) and Terziovski, Fitzpatrick, and O’Neill (2003:35–50) and empirically corroborated, provide the type of leadership that ensures effective and efficient allocation of available limited resources, including making budget provisions for BPR projects so that performance improvement could be maximised.
- *Effective communication:* Effective communication is considered key to the successful execution of any BPR project. Effective communication principles should be applied from the BPR planning phase until the implementation, monitoring, and evaluation phase to keep members of staff within the case study informed. Lack of communication normally leads to misunderstanding and misinterpretation (*cf.* Chan and Choi 1997:211–223), specifically by staff members who are not directly involved in BPR. Empirical exploration findings revealed that lack of effective communication at the case study hampers the filtering down of institutional strategies to lower levels of operation and that this has a negative consequence to the strategic reengineering of business processes. Unrealistic expectations could cause early BPR failures (*cf.* Cole and Kelly 2011:17). Regular updates would make staff members feel that they are part of the BPR project relevant to their areas of operation and thus spark active participation and support (*cf.* Martinsons 1995:259).
- *Continuous improvement:* Peppard (1996:255–270) and Grover and Malhotra (1997:209–210) reflect that BPR shifted from the radical approach advocated by its originators to a modest approach. Lockamy III and Smith (1997:149), Hayes (2007:59), and Ozelic (2010:8) contend that the modest approach advocates both the radical and incremental approach to BPR depending on the performance problem an institution seeks to resolve. The proposed BPR framework suggests mainly an incremental approach to BPR, as the approach

provides for the continuous improvement and refinement of business processes. The empirical investigation revealed a need for the continuous improvement of business processes, as participants expressed the need for an approach that provides for the continuous refinement of business processes. Business processes require regular maintenance and a continuous improvement approach to BPR could facilitate this requirement.

- *Cross-functional approach*: As contended by Daft and Marcic (2011:235), business processes often cut across departments and operational units. The proposed BPR framework suggests that the integration of efforts from staff members from different environments should be promoted throughout BPR processes. This is especially imperative during the planning phase to involve staff members from all the relevant environments so as to draw skills and knowledge from diverse environments and to foster interdepartmental cooperation.

CONCLUSION

The purpose of this article was to present a BPR framework tailored for the realities of HEIs in general and TUT in particular. The framework was designed based on the findings of an extensive literature review, international best practice, and an empirical investigation conducted at the case. The framework consists of four phases and seven critical success factors.

Given the adoption of the systems management approach, the framework recognises a need for cross-functional cooperation between different departments and operational units as well as interaction between the institution and the environment within which it operates.

It is suggested that all South African public HEIs design similar frameworks to strategically reengineer its business processes in order to achieve improvements in general performance and stakeholder satisfaction. With strategy alignment and stakeholder focus at the core, priority should be given to those business processes which would contribute to this ideal and thus achieving competitive advantage and ultimately, business survival.

NOTE

- * Dr AM Mushaathoni is Registrar, Institutional Academic Administration, of the Tshwane University of Technology. This article is based on his doctoral thesis under the supervision of Prof Gerrit van der Waldt entitled *A Business Process Reengineering framework to enhance strategic planning within higher education: The case of the Tshwane University of Technology*.

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An Analysis of the Equity Composition of Employees in a Government Department in the Western Cape, South Africa

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ABSTRACT

In 1994 the newly elected democratic South African government inherited a nation deeply scarred by a history of racial division and social, political and economic inequality. The democratic government was determined to create an environment that felt like home to all, a society that welcomed all and a political environment that catered for all.

The democratic government therefore introduced laws and structures designed to promote the principle of “equity”. Although these have been in force for over 22 years, statistics indicate that white people continue to receive preference over other race groups. This study sought to provide an analysis of the equity composition of employees in the Department of the Premier (DOTP) in the Western Cape government. “Equity composition” refers to the categories of race and gender invoked by the Employment Equity Act 55 of 1998 in order to promote equality. The aim is to reach a set of conclusions and make recommendations that might improve the equity composition of employees in the direction envisaged by the legislation.

The researcher has made use of a qualitative research methodology for this study. Unstructured interviews were conducted with 20 research participants purposively selected from the DOTP and the data gathered from the interviews was analysed using qualitative content analysis. The study found that there has been an increase in efforts to accommodate people with disabilities. It recommends that a dedicated training workshop

regarding employment equity be designed by the director of the people management practices unit and rolled out throughout the department.

INTRODUCTION AND BACKGROUND

A constitutional restructuring such as has been experienced after 1994 inevitably required the transformation of policies, practices and even structures within the South African government. Transformation in this context can be seen as the need for the post-apartheid government to first identify and secondly to amend all legislation, strategies and practices deemed incompatible with its vision (Roux 2002:419).

In order to achieve this type of transformation, mechanisms such as the Reconstruction and Development Programme (RDP) were introduced to ensure the effective and efficient transformation of South Africa from the old apartheid system into a modern democratic state. As the backbone of government, the South African Public Service was to play a pivotal role in the transformation process. But in order to play this role, the public service itself would have to undergo certain transformative processes to ensure that the government was representative of the citizens, and that decisions were taken with a view to meeting the needs of all South Africans.

The democratic government's commitment to the process of transformation was clearly validated when it acknowledged institutional transformation as one of its medium- and long-term initiatives to help implement the RDP (South Africa 1995:3).

STATEMENT OF THE RESEARCH PROBLEM

From the inception of the democratic government in 1994, clear objectives were set and mechanisms such as the RDP in 1994; the Growth, Employment and Redistribution (GEAR) strategy in 1996; the Accelerated and Shared Growth Initiative for South Africa (ASGISA) in 2005; the New Growth Path (NGP) in 2010; the National Development Plan (NDP): Vision for 2030 in 2013; were introduced to achieve the successful transformation of the South African polity. However, the 16th Commission on Employment Equity Report of 2016, which incorporates government, non-governmental organisations (NGOs) and the private sector, indicates that there has been a reduction in the representation of people with disabilities from 2% to 1.7% from the previous year's report. According to the report,

white males are still recruited for top management positions. A major concern of the report is that white people continue to receive preference over other race groups when it comes to employment.

The Western Cape, in particular, which is the location of the study, has been described as the worst-performing province in terms of transformation. In the Western Cape white males are over-represented in management positions, despite the fact that coloured people make up 50.2% of the total economically active population, followed by black people, who make up 31.7% (Hartley 2015:1).

Therefore the researcher was curious to determine why, 22 years into democracy, the South African government still finds itself in the spotlight of the South African media such as the *Cape Times*, *The New Age* and *News 24*, still fighting to achieve total transformation and social, political and economic equality, despite having implemented legislation such as The *Constitution of the Republic of South Africa*, 1996; Employment Equity Act 55 of 1998; Labour Relations Act 66 of 1995; White Paper on Affirmative Action 1998; and the White Paper on the Transformation of the Public Service 1995. The researcher chose to conduct this study at the DOTP in the Western Cape Province, to determine whether the department was indeed complying with the requirements of the relevant legislation.

RESEARCH OBJECTIVES

The researcher set out to investigate the equity composition of employees in the DOTP in the Western Cape, South Africa, to determine whether the department was indeed complying with the requirements of the relevant legislation. The researcher further set out to formulate an innovative approach to creating awareness regarding equity in the public sector.

LITERATURE REVIEW

This section presents the theoretical literature and legislation underpinning the study.

Theoretical framework governing transformation in the public sector

This section seeks to make clear the government's perception of the necessity for redressing the imbalances of the past by favouring designated, previously disadvantaged groups.

- EMPLOYMENT EQUITY

Kleynhans, Markham, Meyer, van Aswegen, & Pilbeam (2006:186) are of the opinion that employment equity can be defined as the process of creating an impartial and equal basis for the recruitment of employees by an employer. This process should be free of any favouritism or discrimination, and employment equity offers principles for an organisation to practise fair and equal recruitment and selection, ensuring both equal opportunity and fair treatment for all employees. An important factor to note is that the recruitment and selection process should ensure that designated groups of people, those disadvantaged by the previous political system of apartheid (principally black people, but also women and people with disabilities) are given preference to boost their career development. This is in essence to ensure that people whose careers were previously restricted can now develop and occupy top positions within organisations, based on their qualifications, skills and experience.

THE IMPACT OF EMPLOYMENT EQUITY ON THE WORKING ENVIRONMENT OF THE DEPARTMENT OF THE PREMIER

The DOTP is one of the departments that make up the Western Cape Government (WCG) (South Africa. Department of the Premier 2016:5–6). The WCG has made a promise to the people that it will provide quality services for all. The DOTP has announced its ambition to become the best run regional government in the world. To achieve this, strict strategic objectives need to be established and implemented, employment equity being one of them. The WCG is faced with a variety of employment equity challenges that include:

- “Addressing the under-representation of African employees at senior-management and middle-management levels. In most instances there is sufficient representation at the lower levels of the organisation.
- Addressing the under-representation of women of all races in different occupational categories and levels throughout the organisation, with a special focus on the more senior levels.
- Addressing occupational categories that have traditionally been gender dominated by implementing skills-development strategies to address the imbalance.
- Addressing the under-representation of people with disabilities in all occupational categories and levels in the organisation. Addressing the physical access and reasonable accommodation in the working environment for people with disabilities” (South Africa. Department of the Premier 2016:5–6).

The DOTP has in its development of the employment equity plan highlighted its desire and efforts to strive towards a diverse and equitable workforce, and a

working environment and culture that respects and honours all who work in it and those whom they serve.

EMPLOYMENT PRACTICES IN PUBLIC HUMAN RESOURCE MANAGEMENT

Public administration has always been shaped by the social, political and cultural environment in which it is located. No exception is made for the human resources departments of these administrations. This can clearly be seen if one compares human resource management systems in South Africa with those in the rest of the world. The most salient characteristic of the South African human resource management system is that all public sector employees enjoy the luxury of being employed and treated in accordance with the Constitution of the Republic of South Africa, which clearly defines the rights of citizens and the way in which they should be treated, specifically emphasising equality and fairness. It should, however, be noted that this was not the case prior to 1994, and apartheid-era systems will be referred to as early developments and discussed below in conjunction with the modern-day approaches to public sector human resource management (Erasmus, Swanepoel, Schenk, van Der Westhuizen & Wessels 2005:62).

DIVERSITY MANAGEMENT

Effective diversity management contributes positively to creating a work environment in which diversity results in improved performance rather than the creation of problems. Every working environment in South Africa is diverse in some way. Diversity management in the context of this article refers to embracing the differences that each individual brings to the table and building on the similarities that exist within the team to effectively and efficiently achieve the goals of the organisation. Diversity management should therefore be used as a tool for the successful implementation of employment equity within South Africa to ensure that transformation can occur without impacting on business continuity. This would ultimately require the support from both the current staff of organisations and those who stand to be employed from the designated groups (Mekwa 2012:16).

LEGISLATIVE FRAMEWORK GOVERNING TRANSFORMATION IN THE PUBLIC SECTOR

The legislation discussed portrays the efforts made by the government to

transform the South African workforce by intervening in the equity composition of both the private and public sectors. This legislation provides the guidelines to which an organisation must conform to effectively achieve employment equity. This section will also discuss how employment equity is implemented in the public service and how the transformation of both society and the workforce can increase productivity.

The Constitution of the Republic of South Africa of 1996

The *Constitution of the Republic of South Africa* of 1996 (hereafter the Constitution), is considered to be the supreme law of the land. It outlines the values of the country, provides important information regarding the rights of citizens, and describes the various structures that exist in South Africa and how they operate. Because of the supreme authority of the Constitution it will be treated as the first point of reference in this discussion of the legal framework for employment equity (South Africa 1996:06).

The White Paper on the Transformation of the Public Service of 1995

The White Paper on the Transformation of the Public Service (hereafter the White Paper) is arguably one of the most vital pieces of legislation that guided the process of transformation in South Africa. The researcher will review six of the 16 chapters contained in the White Paper that are directly related to the research topic, summarising each chapter in order to highlight the important role it played in the transformation of the South African public service. Information is considered to be one of the most powerful tools and therefore the new government of South Africa decided to raise awareness among its citizens, which would ultimately lead to their exercising their rights to good service delivery (South Africa. The Public Service Commission 2009:8).

The Employment Equity Act of 1998

The Employment Equity Act 55 of 1998 forms the basis of this research study as it outlines the guidelines for equity and how it should be governed and implemented within the public and private sectors in South Africa.

The Employment Equity Act defines employment equity as “the promotion of equal opportunity and fair treatment in employment through the elimination of unfair discrimination”. The Act further defines employment equity as involving “implementing affirmative action measures to redress the disadvantages in employment experienced by designated groups, in order to ensure their equitable

representation in all occupational categories and levels in workplace” (South Africa 1998:5).

The White Paper on Affirmative Action in the Public Service of 1998

“The goal of affirmative action in the public service is to speed up the creation of a representative and equitable public service and to build an environment that supports and enables those who have been historically disadvantaged by unfair discrimination to fulfil their maximum potential within it so that the public service may derive the maximum benefit of their skills and talents to improve service delivery” (South Africa 1998:4).

RESEARCH METHODOLOGY

The researcher adopted a qualitative research approach as he was keen to hear the experiences and observations of the research participants on the question of equity. Unstructured interviews were employed as they favour lengthy responses and can provide a holistic understanding of the respondents’ views pertaining to the research topic (Dawson 2002:28).

The researcher accordingly developed the data collection tool for this research study by:

- determining what contents were required in the interview schedule;
- developing a draft interview schedule that contained questions to be posed to obtain responses required to meet the objectives of the study;
- developing themes for the interview schedule and grouping questions into those themes;
sequentially listing all questions to ensure a logical flow of information; and
- piloting the interview schedule on two additional respondents to identify and eradicate any potential shortcomings.

A total of 20 participants were purposively selected to participate in the study.

RESEARCH QUESTIONS

- How does managing the equity composition of employees inform and influence employment equity in the DOTP, located in the Western Cape, South Africa?
- What measures are in place to monitor and evaluate the equity composition of the DOTP located in the Western Cape, South Africa?

FINDINGS

The findings are as follows.

THEME 1: AWARENESS

These questions sought to determine the level of awareness of the respondents pertaining to employment equity.

Question 1

Explain (based on your understanding) what the role of employment equity is within an organisation

Response

The question was answered by all 20 respondents. The general understanding was that employment equity incorporates transformation of the recruitment and selection process to rectify the imbalances created by the previous administration. All respondents had knowledge of the groups categorised as “previously disadvantaged” and could elaborate on the various categories that made up these groups, such as black people and women. Specific reference was made to people with disabilities and the need for their advancement and accommodation in the workplace, especially at a middle and top management level.

Interpretation

The researcher decided to pose this particular question to obtain an understanding of what the research participants knew about employment equity. It was envisaged that the outcome of this question would demonstrate whether or not the respondents had some sort of knowledge of employment equity. The researcher determined that a general consensus existed on the understanding of employment equity, which could be defined in terms of the points presented below:

- To rectify the imbalances of the past;
- To prevent and eventually eradicate all forms of discrimination;
- To promote fair treatment and equal opportunities;
- To employ staff according to the regional demographics of the province, thus creating a workforce that is representative of its environment;
- To promote and create diversity in the workplace; and
- To implement affirmative action policies.

This degree of detail shows that the respondents understood what employment equity entailed. An important point to note is that respondents with a disability

made a point of emphasising that the DOTP should employ more people with disabilities. The researcher noted that both management and operational staff had the same understanding of employment equity.

Question 2

Explain how your department achieves its employment equity targets

Response

The responses to this question can roughly be divided into two groups, as follows:

- Extremely knowledgeable on the topic

The respondents who were extremely knowledgeable regarding the topic provided detailed explanations of how the department achieved its employment equity targets. These detailed explanations outlined the specific methods used by the department such as training initiatives, the fact that certain posts are filled according to priority and with specific affirmative action requirements, and the financial considerations attached to achieving employment equity targets.

- Minimal knowledge on topic

The respondents who evinced a minimal amount of knowledge regarding the topic provided very similar responses that were based on the fact that they knew that an equity plan existed within the department but could not elaborate on the specific ways in which the department achieved its employment equity targets. The respondents who did not make reference to the employment equity plan alluded to the fact that the equity manager ensures that the targets are met while others agreed that the targets are met through the criteria set when advertising a post.

Interpretation

When the researcher posed the above question to the participants it was evident that those at the managerial level were exposed to more information regarding employment equity within the DOTP. There was a major difference in the responses received from those at operational level as compared with those at management level. To elucidate, a summary of responses received from both the operational respondents and the management respondents is set out below.

The responses from the operational participants consisted mainly of the following:

- The department making vacant posts available to all job seekers;
- The employment equity unit sees to it that targets are met;
- Through training; and

- By removing the barriers that restrict designated appointments.

The responses from the managerial respondents seemed to be answered with more confidence and awareness of strategy. The managerial participants' responses highlighted the following:

- The development of employment equity plans;
- Organisational audits;
- Employment equity drives that target specific groups or individuals for specific posts, in compliance with affirmative action requirements; and
- The development and implementation of affirmative action policies.

Based on the results of the first two questions, the researcher was keen to discover what the participants' responses would be when they were asked about a particular component of employment equity within the DOTP.

Question 3

Describe the impact and the importance of having an employment equity plan for your department

Response

All 20 respondents agreed that it was of the utmost importance for the department to have an employment equity plan. The respondents all made reference to the fact that it would help the department to ensure equality and fairness in the workplace. Respondents further suggested that the employment equity plan would create an environment in which people from previously disadvantaged groups would be developed and afforded opportunities to occupy top management positions in the future.

Interpretation

An equity plan is an integral part of employment equity within an organisation.

The general understanding among the respondents was that the importance of the employment equity plan was to guide the department and to enhance the department's drive to reach its equity targets, while being able to monitor and evaluate its progress at the end of a particular period. Some of the more strategic responses discussed how the employment equity plan assisted the department in ensuring that affirmative action was implemented effectively, thus ensuring compliance and accountability.

Respondents at top management level emphasised that the Constitution and the Employment Equity Act 55 of 1998 provide clear direction on the importance of an employment equity plan. They believed that having and adhering to an employment equity plan is incumbent upon all government departments.

Based on analysis of the responses regarding the awareness levels of employees pertaining to employment equity, the researcher is of the opinion that the department can increase its efforts to create awareness regarding employment equity. These efforts should be directed at lower level employees of the department, as the data indicated that management had had sufficient exposure to the topic.

CommLab India (2017) observes that it is absolutely critical to train an employee in the processes, policies and systems that govern a company. Training employees assists them to fathom the background, values, vision, mission and objectives of the company. The training will also assist the employee to efficiently and effectively adjust and adapt to the company's processes, resulting in successful business continuity. It should, however, be noted that as the company grows, existing processes and policies may need to be modified in order to obtain better results. These modifications may require the employees to obtain new skills to implement new processes. Improving the skill sets of employees will also boost their morale, which will inevitably impact on achieving the company's goals.

The DOTP has in the development of its employment equity plan highlighted its desire and determination to strive towards a diverse and equitable workforce. It committed to establishing a working environment and culture that respects and honours all who work in it and those whom they serve: "This EE Plan 2016-2021 confirms the Department's commitment to employment equity and transformation" (South Africa. Department of the Premier 2016:44).

It is recommended that the first step that an organisation needs to take when trying to ensure compliance with any sort of legislation is to educate staff regarding the requirements and importance of the legislation. It is of the utmost importance that all employees are aware of what management has set out to achieve. The easiest way to create awareness is to make use of communication platforms within the organisation. The more employees are exposed to the message being portrayed the better the chance of ensuring their buy-in. In the context of employment equity, compliance cannot merely be achieved by completing and submitting relevant reports. The crucial element of ensuring the successful implementation of legislation is to fully embrace it, resulting in compliance being achieved naturally (Progression 2016).

THEME 2: UNDERSTANDING

The following questions sought to determine the extent to which the respondents understood specific concepts pertaining to employment equity.

Question 1

Explain the role and functions of the department's employment equity unit

Response

The bulk of the respondents had an idea of the role and functions of the department's employment equity unit. Three of them knew of its existence but had no idea of its role and function.

Respondents were of the opinion that the unit's core functions were to ensure the effective implementation of the employment equity plan and the promotion of diversity in the workplace. A second opinion was that the core function of the unit was to report on employment equity matters and ensure that the department is meeting its employment equity targets.

Interpretation

The responses revealed the perception that the most conspicuous roles of the employment equity unit are to create awareness regarding employment equity, to effectively implement the employment equity plan, to meet the employment equity targets of the department, to create and foster a working environment that is representative of the diverse population, to play an oversight (watchdog) role, and to report on employment equity matters to the relevant entities.

Some of the more specific functions of the unit highlighted by the respondents included:

- education of employees on their rights regarding employment equity;
- assurance that people who are appointed with disabilities are adequately accommodated; and
- playing an advisory role during the recruitment and selection process.

This level of response indicates that the roles and functions of the unit are understood by most employees of the various branches within the department. However, the fact that three respondents indicated that they did not know what the roles and function of the unit were indicates that more can be done to raise awareness of the unit and its functions.

Question 2

Explain how the department increases the awareness of diversity issues and fosters intercultural team building in the workplace, to create an environment that is sensitive to cultural diversity

Response

The purpose of this question was to determine what the department was doing to create awareness of diversity and how it fosters intercultural team building in the workplace. The responses to this question were given with a great deal of enthusiasm. The respondents used the question as a platform to provide recommendations as to how the department could best create awareness and ensure cultural diversity in the workplace.

Interpretation

Respondents highlighted the following areas as the measures that the department was currently taking to create cultural diversity in the workplace:

- There are regular team-building exercises;
- The department recognises and commemorates specific cultural days and days commemorating diversity such as the international day of disability;
- The department offers training courses to promote cultural diversity; and
- A specialised unit exists that the staff of the department can go to for advice, support and counselling for problems relating to both their private and professional lives, including but not limited to diversity in the workplace.

The one area about which the respondents expressed disappointment was that the department did not host any cultural events in the workplace that promoted their respective cultures.

The respondents made the following recommendations that they felt would assist with creating cultural diversity in the workplace:

- The department should communicate the code of good practice on employment equity in the workplace;
- The department should allow staff to tell their cultural stories and publish these in the departmental magazines and newsletters;
- The department should host events to promote and commemorate days important in the various cultures of the staff.

Question 3

Explain how the department provides reasonable accommodation in the workplace for people with disabilities

Response

All the respondents could relate to this question by either having a person with a particular type of disability accommodated for in their workplace or being a person with a disability being appropriately accommodated.

The respondents all felt that the department was indeed accommodating people with disabilities in the workplace and were able to identify conspicuous

renovations accomplished and infrastructure being put in place to ensure that this accommodation was adequate.

Interpretation

It was learned from the respondents that the department was indeed striving to provide reasonable accommodation for people with disabilities. The respondents reported that the most outstanding achievement in this regard can be seen when one enters the departmental buildings: all buildings are wheelchair friendly and include the following facilities:

- Special motor-operated lifts at the entrances for staff and visitors who are in wheelchairs and cannot walk up the stairs;
- Special lighting in the offices for staff who are visually impaired;
- Special toilets;
- Special computers (accommodating various disabilities); and
- Special evacuation chairs used to evacuate people in wheelchairs down numerous flights of stairs during emergency procedures when lifts cannot be used.

Two impressive facilities that the researcher was exposed to in these buildings was to experience how the lifts are operated via voice activation, and to observe during a fire drill how a trained guide dog led a blind person out of the building and through the chaos of the fire drill evacuation. The department has developed a disability disclosure form which encourages staff with disabilities to identify their needs to help ensure that they are reasonably accommodated.

Respondents suggested that the department review the needs of the staff with disabilities annually, as their needs might differ from year to year based on the improvement or deterioration of their condition.

According to the findings presented above, it is evident that the department is indeed striving towards providing reasonable accommodation in the workplace for staff with disabilities.

Question 4

Explain what strategies are used to promote equal opportunities and fair treatment in the workplace in order to eliminate unfair discrimination

Response

The responses to this question were somewhat alarming, as 50% of the respondents were not able to answer the question. Instead they indicated that they were

not aware of any strategies currently being used to promote equal opportunities and fair treatment in the workplace. The remaining 50% was split into two groups, those who responded positively and those who had a negative response to the question.

Interpretation

It can be deduced from the responses that although some employees are aware of the strategies being used to create equal opportunities, the majority of employees within the DOTP are still not aware of the strategies being employed, or of their purpose. These need to be more clearly communicated to employees.

Question 5

Explain what systems or processes are used to monitor employment within your department to ensure fairness, accessibility and transparency in the recruitment and selection process

Response

The responses received for this question saw the respondents who were able to answer far outnumber those who could not. Of the respondents 75% could identify one or more strategies currently in place to monitor equity in the recruitment and selection process, while 25% could not.

Interpretation

The results from this question show that the majority of employees in the department were at some point in their careers exposed to some sort of system that monitors employment. The participants evinced a positive attitude when answering this question, indicating that they were satisfied with the systems introduced to achieve fairness and transparency in the recruitment and selection process.

Those respondents who were not able to answer merely stated that they did not know of any such systems.

The responses recorded once again indicate that the majority (75%) of the respondents were aware of the systems in place, which raised concern as to why the remaining minority (25%) were not aware of any systems. The issue of communication and awareness regarding these systems should be highlighted.

When answering this question many of the respondents referred to the employment equity plan. The researcher was therefore interested in determining what their opinion was regarding the success of its implementation.

Question 6

Would you agree or disagree that for the employment equity plan to be implemented effectively there should be consultation with all stakeholders to identify and eradicate issues that may affect the desired outcome of the implementation? Please justify your answer

Response

The reason the researcher chose to pose this question was to obtain the opinions of the respondents regarding the need for consultation with relevant stakeholders to ensure the effective implementation of the employment equity plan.

Of the 20 respondents 19 strongly agreed that in order for the employment equity plan to be implemented effectively, and in order to assist with the eradication of issues that may affect the effective implementation thereof, relevant stakeholders should indeed be consulted.

Interpretation

The results indicate that most of the respondents agree that consultations with stakeholders are necessary.

The one respondent who disagreed about the need for consultation was of the opinion that:

“The first step to any process is the political will, and with it a political champion. Only thereafter will consultation have any meaning in the institutional sense”.

The relevant literature, however, tends to lean towards the need for consultation all along the way, as highlighted in Chapter 3 of the Employment Equity Act (South Africa 1998:9).

The five questions contained in the following theme differ from the questions in the previous themes in that they were not based on any current systems and processes but rather encouraged the respondents to come up with innovative ideas. Respondents were given the opportunity to present ideas by providing recommendations regarding the monitoring and implementation of employment equity in the department. The rationale for posing these questions was to determine what the attitude of the respondents would be towards employment equity if they were given the chance to respond freely and from a position of power (as equity manager). The interpretation will therefore only provide a summary of each question based on the data gathered during the interviews, and will not include percentages of respondents as in the previous questions.

THEME 3: RECOMMENDATIONS

Question 1

Briefly explain (in your opinion) what challenges the department is facing regarding equity and how this affects the implementation of the Employment Equity Act 55 of 1998

Interpretation

The data gathered from the respondents indicated that the department was indeed introducing various systems and building infrastructure that would suitably accommodate all employees, including those who were previously discriminated against and those with disabilities.

The researcher was eager to determine what the respondents would identify as a challenge, as this would indicate the level of knowledge and exposure the respondents had regarding the topic of employment equity.

Respondents were keen to answer this question and gave extensive thought to the challenges the department was facing before answering.

The responses predominantly revolved around suitable accommodation for people with disabilities, the fact that decisions regarding people with disabilities were being made by those who were not disabled or did not possess the necessary understanding of their needs, and the fact that top management positions within the department were still occupied by whites.

A major challenge identified is that employees who occupy the lower levels in the department are not given opportunities to up-skill themselves to a point at which they would be considered to be “fit for purpose” for promotion. Training opportunities exist but are restricted to specific levels of employment.

Question 2

If you were the equity manager for your department how would you ensure that the employment equity plan is integrated into business strategies?

Interpretation

The respondents once again showed great enthusiasm when answering this particular question. Based on their attitudes throughout the interview it seems that if they were to be given the opportunity in reality to comment on matters related to employment equity the department would obtain a very opinionated response from its employees.

The respondents all felt that the department should ensure a greater level of awareness regarding the topic of employment equity and the policies and processes that govern it. They highlighted the fact that training in

the form of workshops should be hosted throughout the department across all levels of employment. Respondents further emphasised the importance of transparency and accountability, and that employment equity should be understood and reported on annually or quarterly by each unit of the department, and not merely in terms of general statistics. The respondents felt that this type of responsibility would encourage a more serious stance regarding employment equity.

This “experimental” question certainly encouraged the respondents and appeared to rekindle their desire to respond to the interview questions.

Question 3

What recommendations would you give your equity manager regarding using employment equity to positively impact business results?

Interpretation

The rationale for posing this particular question was to indirectly determine if the respondents felt that employment equity could positively affect the overall performance of the department. The data gathered from this question and the following question will assist both the researcher when making recommendations on the basis of this study as well as the department, if it is to improve on any areas of its employment equity practices.

The recommendations provided by the respondents focused on aspects such as:

- Creating awareness regarding the advantages of employment equity and highlighting all regulations that govern it;
- Workshops on the plans for implementation of employment equity in the department;
- Extensive consultation with relevant stakeholders; and
- Linking relevant employment equity requirements to the key performance areas of employees.

The data once again indicated that employees within the department have given extensive thought to how the department can use employment equity to improve business performance. The data also indicated that all the respondents were in agreement that the performance of the department can certainly be improved through the effective implementation of employment equity. Compliance with the requirements of employment equity within the department will also enable the department to comply with many national regulations, such as annual reporting to the Department of Labour.

Question 4

What recommendations would you give your equity manager regarding the promotion of information pertaining to employment equity within your department?

Interpretation

The results from this question as well as the previous question will assist both the researcher in making recommendations arising from this study, as well as the department in any attempt to improve its employment equity practices.

In response to this question, the participants highlighted numerous ways for the department to promote and distribute information regarding employment equity. What was encouraging was to see that the respondents all now seemed to have a desire to drive the process of effectively implementing employment equity in the department.

The recommendations made by the respondents focused mainly on the fact that the department should make better use of the tools that it currently has at its disposal, such as the intranet, the *Better Together* magazines, the email system through its communications unit, as well as its walk-in centres.

Respondents made the following further recommendations:

- The department should realise that the promotion of information in terms of employment equity must be in line with the guidelines provided by the Human Rights Commission; and
- Information regarding employment equity should be made publicly available on all media platforms.

The final question of the interview sought to determine how the respondents would create an environment that was welcoming for all. This question was based on the fact that in order for the department to fully comply with the requirements of employment equity, special consideration would need to be given to people with disabilities in terms of accommodation, as well as to the ability of employees to perform successfully in a multi-cultural and multi-racial working environment.

Question 5

How would you create an environment that is welcoming for all within your department?

Interpretation

An important factor to take into consideration when dealing with employment equity is that it does not only revolve around race and gender, but also includes aspects such as the provision of adequate accommodation for people with disabilities. The respondents were of the opinion that equity is complex in South

Africa, as the history of the country had created certain imbalances that now need to be eradicated through processes such as employment equity.

Respondents presented the following ideas on how the department could create an environment that is welcoming for all:

- Create awareness among staff for the need to respect one another's diversity;
- Create an environment in which everyone is treated and seen as equal;
- Create an environment in which employees are able to both comment on and partake in the formulation of policies; and
- Provide settings where different business units can get to know each other and the roles that each unit plays in achieving the objectives of the department in a more social or informal setting.

One respondent presented the following idea:

"I would conduct a survey asking all employees to write down what would make them feel welcome in the workplace. Using this data, I would identify similarities and try and implement it in order to create a positive and welcoming environment for all".

CareerCast (2017) is of the opinion that what sets ordinary leadership apart from great leadership is the leader's desire to constantly reinforce the direction of the organisation. Great leaders are not afraid to effectively involve employees at all levels in decision-making procedures, as this promotes a sense of ownership among them. If management includes employees in decision-making or at least considers their recommendations, then employees are likely to take ownership and responsibility for the effective implementation and improvement of these policies and processes. In the modern workplace employees are constantly looking for ways to improve themselves through training to improve their skill sets. Companies should also be willing to be flexible regarding their policies, to ensure that all employees are made to feel secure.

The researcher agrees that in order to create an environment that is welcoming for all the department would need to determine what systems and practices to put in place and delegate accordingly to ensure the establishment of a serene environment in which each employee feels they belong.

REVIEW AND CONCLUSION

The first section of this article provided background information and introduced the case study approach. It presented, inter alia, the problem statement, the research objectives and the research methodology employed.

The second section of the article offered a literature review, comprising a theoretical and a legislative overview. The literature review focused primarily on secondary data so as to provide a more holistic understanding of the research topic before proceeding with the collection of the primary data. The effective execution of the literature review enabled the researcher to provide information about the regulations governing the equity composition of employees of the South African government in general and of the DOTP in the Western Cape in particular. The literature review also canvassed previous research on the topic, both to learn from it and to ensure that there would be no duplication.

Definitions of key concepts relating to employment equity were introduced. Theory pertaining to the need for the transformation of South Africa was discussed to provide the reader with a clear perspective on the need to redress the imbalances of the past by enhancing opportunities for the previously disadvantaged, designated groups. This section also sought to determine how employment equity was implemented in the public service, and how by transforming society through the workforce government could increase productivity.

A brief account of qualitative research and the procedures for data collection was given, which involved conducting unstructured interviews with the research participants – employees of the DOTP – that was then subjected to content analysis. The researcher used current literature on the research topic to formulate a set of questions that was used to develop an interview schedule.

The decoding and interpretation of the data obtained in order to achieve the objectives identified earlier, was presented. The researcher concluded by stating that despite the department having made numerous efforts to reasonably accommodate all employees (including those with various disabilities), not all categories and issues had been addressed. An assertive leadership style should be adopted to enable the department to fully comply with the regulations set out by legislation and policy. Buy-in by top management would have a great impact on the way the rest of the department views employment equity.

Top management of the department should therefore ensure that the roles and responsibilities linked to employment equity are delegated accordingly and understood by all. In addition to the current system of implementing employment equity, the department should strive to create a better awareness of the topic.

Each government department and all its employees have roles to play in the effective implementation of employment equity. Reflection on the history of racial segregation in South Africa and the formulation of legislation to eradicate exclusion leads to recognition that the effective implementation of employment equity still remains a concern and high priority for the South African government.

RECOMMENDATIONS

The purpose of this section is to present recommendations formulated for consideration by the DOTP, with a view to improving methods of implementing the employment equity practices within the organisation.

The researcher recommends that a special innovative training workshop regarding employment equity be organised by the director of the people management practices unit. The training workshop should be approved by top management of the DOTP and then presented to all staff. The putative content of this workshop should comprise:

- The definition of employment equity;
- The importance of and the role of employment equity with the DOTP;
- The impact and importance of having an employment equity plan for the DOTP;
- Explanation of the roles and functions of the employment equity unit; and
- Explanation of how the DOTP sets its employment equity targets and how these are to be achieved.

According to the research it was evident that lower level employees within the DOTP were not as knowledgeable as senior employees on the topic of employment equity. The researcher therefore recommends that the department's people management practices unit should try different or additional methods (listed below) to communicate the importance and requirements of employment equity to employees on all levels, thus creating awareness on the topic. These methods could include:

- Email;
- Publications on the intranet;
- Publications in the departmental magazines;
- Publications via corporate communication; and
- Publications in the departmental newsletters.

The people management practices unit should approach the corporate communications unit to disseminate information to create awareness regarding employment equity. This information could be distributed as part of the monthly newsletter sent out by the corporate communications unit of the DOTP.

The data gathered from respondents indicated the need for team building, both within individual units and across the various units within the department, to enhance understanding of the roles and responsibilities of each unit within the department.

The researcher therefore recommends that the people management practices unit host a series of information sessions in which each unit of the department

makes a presentation on its core business, backed up by pamphlets for others to take away.

It is recommended that employees from designated groups who were previously disadvantaged be up-skilled in tasks and jobs by the department's training unit, in order to make them more employable and able to apply for higher profile jobs such as middle and top management.

It can be deduced from the research study that considerable effort (for example the installation of voice-activated lifts installed by the department in all its buildings) has been made to ensure that people with disabilities are adequately accommodated. It is therefore recommended that the department's human resource unit increases the intake of people with disabilities at the deputy director, director and head of department level. The intake of those with disabilities should be increased to at least 2% of total employees, as set out by the Employment Equity Act 55 of 1998.

NOTE

- * Mr Y Rykklief completed his Masters in Public Administration (MPA) under the supervision of Prof R Hendrickse. His unpublished dissertation was entitled *The Equity Composition of Employees in a Selected Provincial Government Department in the Western Cape, South Africa*. This article is based on the dissertation.

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The South African Child Support Grant and Poverty Alleviation

A perspective of Ward 84 of Umlazi in Ethekekwini Municipality

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ABSTRACT

In South Africa, social security forms part of the government's poverty-alleviation programme. The Child Support Grant (CSG) was introduced in 1998 as part of social security in addressing child poverty. Various studies indicate that the CSG has had a positive impact on child development. Although positive impacts were evident in these studies, some children were reported as lacking access to basic needs, while other children were not in receipt of the CSG. This article sought to investigate whether the CSG has had a positive impact on child poverty in Ward 84 of Umlazi Township in eThekewini Municipality. A probability sampling was conducted using a random sampling method wherein 100 beneficiaries of the CSG participated in the survey. The findings from the survey confirmed the literature reviewed in the article. The CSG was demonstrated as having a considerable impact on the well-being of the beneficiaries within the identified research site. Whilst the CSG has evolved into one of the most comprehensive social protection systems with positive impact on child poverty, survey results have revealed that other caregivers still have difficulties in accessing the grant. As such, in its final remarks, the article offers conclusion and recommendations including the awareness campaigns where the community is informed of the eligibility and accessibility criteria for receiving the CSG. In totality, the recommendations provided in the article will advance the administration of the grant for its desired impact on child development.

INTRODUCTION

Poverty alleviation has always formed part of government programmes post 1994 in South Africa. From the perspective of children these programmes include the adoption of a Child Grant System (CGS) in 1998 that saw the administration of the Child Support Grant (CSG) as part of government's initiative to reduce child poverty. As a form of social security CSG provides access to financial assistance to caregivers of young children living in abject poverty. The World Bank (2015:9) asserts that providing social security is one of the approaches of poverty alleviation or reduction. Section 27(c) of the Constitution of South Africa of 1996 affirms everyone's right to social security (*Constitution of the Republic of South Africa* 1996) including children; thus government's initiative to adopt the CSG. From an international standpoint, the United Nations Convention on the Rights of the Child of 1989, Article 27 (1), provides that State Parties must "recognise the right of every child to a standard of living adequate for the child's physical, mental, spiritual, moral and social development". (2) "The parent(s) or others responsible for the child have the primary responsibility to secure, within their abilities and financial capabilities, the condition of living necessary for the child's development". (3) "State Parties, in accordance with national conditions and within their means, shall take appropriate measures to assist parents and others responsible for the child to implement this right and shall in case of need provide material assistance and support programmes, particularly with regard to nutrition, clothing and housing" (United Nations Children's Fund 1989). To this effect, the Children's Act 38 of 2005 addresses current social challenges, including poverty and inequalities affecting child development in South Africa (Children's Act 2005). This mandate is entrenched in the Bill of Rights of the South African Constitution of 1996. Section 28 (1)(b)(c)(e) of the Bill of Rights affords children constitutional rights and protection including (b) "family care or parental care, or to appropriate alternative care when removed from the family environment"; and (c) "basic nutrition, shelter, basic health care services and social services" (*Constitution of the Republic of South Africa* 1996).

While government has continued to invest in the CSG, some children from indigent households are yet to benefit from this grant; implying a violation of their rights, and social security deprivation. Furthermore, some indigent children from birth or below the age of one year are not registered for the CSG. Moreover, deprived children who turn 18 years while still attending school are taken out of the system, because the CSG only caters for children up to the age of 18 years. In light of these circumstances, this article is premised on the question – "How does the CSG impact on child well-being and the development of underprivileged children in Ward 84 of Umlazi Township in eThekweni Municipality?" The significance of addressing this question is founded on the growing demand to

advance child welfare in South Africa. This demand is consistent with national and international frameworks on child protection and development discussed in this article. Therefore, based on the survey results, the article provides an in-depth analysis of the CSG and its impact on alleviating poverty in Umlazi, Ward 84 of eThekweni Municipality south of Durban in the KwaZulu-Natal province. The article concludes by providing recommendations that are intended to advance the administration of the grant and thus the envisioned child development.

The entire article is arranged into different sections namely; multidimensional model which informs the theoretical background for the article, dimensions and indicators of child poverty, the research methodology, research results, discussion, recommendations, and conclusion.

RESEARCH DESIGN AND METHODOLOGY

Using a quantitative research method and a case-study approach, an impact analysis was undertaken of the CSG in alleviating child poverty in Ward 84 of Umlazi, which is a Township located within eThekweni Municipality in KwaZulu-Natal. One hundred (100) CSG beneficiaries were randomly selected to participate in the investigation, by visiting local pay points, merchant stores, and the SASSA Umlazi office to better comprehend the plight of children, and to draw conclusions about the future well-being and development of children in the area. The investigation was based on key dimensions of child poverty, including health and safety, early childhood development, and the material living environment depicted in Figure 1 and Table 1. These dimensions informed the closed-ended questionnaire designed and used during the investigation. The questionnaires were personally administered to the participants. Since the questionnaire was in English, it was translated into isiZulu, and directly read to the participants in order to accommodate illiterate participants. The questionnaire was divided into seven sections, namely, demographic and general information, ECD, children's material and living environment, health and safety of children, accessibility of and eligibility for the CSG, children's rights, and sustainable livelihood.

The number of individuals with each characteristic was calculated, using the "*tabulate*" command of Stata 11.0. The medians of continuous variables were assessed, using the "*summarize*" command of Stata 11. Tables and figures were constructed using Microsoft Office Word and Excel 2010 to show the distribution of the variables. The "*tabulate variable 1 variable 2, column row*" command of Stata 11.0 was used to compute the percentages and numbers (n) of variable characteristics. Chi-square analysis using the "*tab variable 1 variable 2, chi*" was used to investigate any relationships between categorical variables. All variables with a P-value of 0.05 or less were consequently considered to be statistically significant

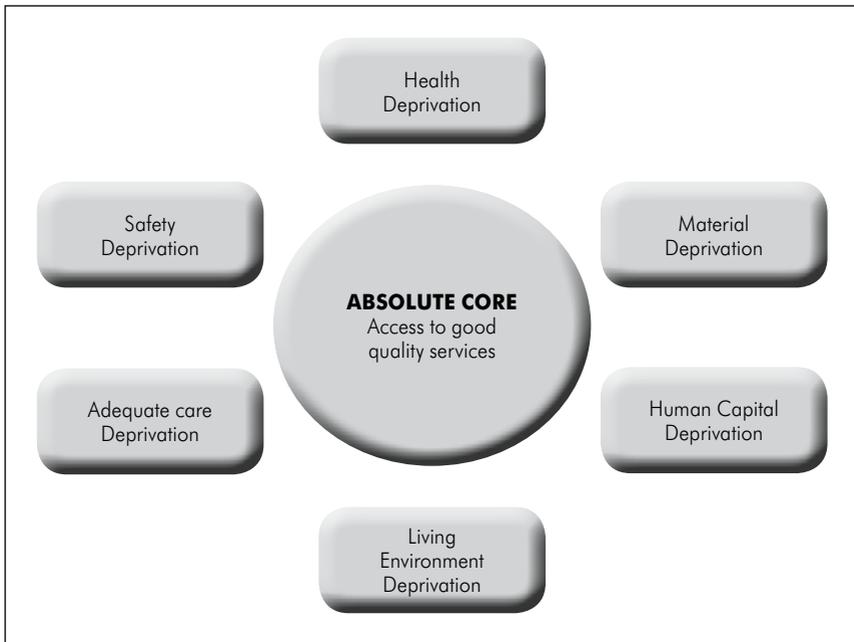
(i.e. the researcher was willing to be wrong only in 5% of instances) and thus a significant relation was implied.

THE MULTIDIMENSIONAL MODEL AND CHILD POVERTY

The multidimensional model discussed in this section informs the theoretical background for this study as well the configuration of analysis, conclusions, and recommendations offered in the article. According to Hall (2012:74), poverty must be described as multifaceted in nature, as depicted in Figure 1.

In Figure 1, it is illustrated that access to “good quality services” remains critical for human development including child development. Overall, the multidimensional model centres its human development debates on human deprivations, including material, human-capital, living-environment, adequate care, safety, and health for the children. Berry and Guthrie (2003:12) argue that children living in deprivation are exposed to sub-optimal living circumstances, unsafe environments, and compromised access to basic services such as food, shelter, education, and care, all identified as basic human rights in the South African Bill of

Figure 1: The Multidimensional Model



Source: (Leatt 2006:22)

Table 1: Dimensions and Indicators of Child Poverty

Dimensions of Child Poverty	Indicators
Health and safety	Nutrition Access to health-care services Child mortality
Early childhood development and education	School attendance Early enrolment
Material and living environment	Income Food security Adequate care

Source: (Alkire et al. 2014:4)

Rights (*Constitution of the Republic of South Africa* 1996). These basic services are the absolute core for sustained development such as child development.

Alkire, Conconi, and Seth (2014:4) provide dimensions and indicators of child poverty derived from the multidimensional model, as illustrated in Table 1.

A combination of the multidimensional model and child poverty dimensions and indicators reflect government’s responsibilities towards development and the well-being of children. In this regard, Ben-Ariech (2000:237) notes the shift from survival and basic needs to development and well-being of the child as a major focus. This remarkable shift has spurred on the initiation of programmes to save children’s lives. In South Africa, this has seen the promulgation of several legislation frameworks and programmes designed to protect children from any form of deprivation identified in the multidimensional model. These frameworks include the Constitution of 1996, the Children’s Act 38 of 2005, and the CSG.

The Constitution of 1996, Section 28(1) of the Bill of Rights, provides children rights to basic nutrition, shelter, basic health-care services, and social assistance, while the Children’s Act 38 of 2005 specifically addresses current social problems such as the alleviation of poverty among children. The Children’s Act further endorses social transformation of children (Dinbabo 2011:16). The Act is in line with the constitutional mandate in as far as the rights of the children are concerned, focusing on issues that impact on the lives of South African children on a daily basis, including poverty. Section 150 of the Act emphasises that the government must take action to protect children if they have been abandoned or orphaned and are without any visible means of support. As such, this has seen the introduction of the CSG in 1998.

The CSG was introduced in April 1998, replacing the apartheid maintenance grant as a poverty alleviation grant aimed at the poorest children as per the recommendations of the Lund Committee. The report of the Committee recommended a new strategy to replace the state maintenance grant (SMG). This child-linked

grant strategy targeted at a wider group of potential beneficiaries, particularly those living in the most disadvantaged areas, including rural areas and informal settlements (Community Agency for Social Enquiry 2000:9).

Flowing from South Africa's legislative framework and global protocols on children as described above, UNICEF (2007:1) argued that how the nation attends to issues of child development including material security, education, health and safety will remain an indispensable question. In accepting this contention, it is therefore critical that an all-inclusive assessment of the well-being of children be undertaken to influence future child development policies.

CONCEPTUAL AND CONTEXTUAL LITERATURE REVIEW

Child well-being and development

The UNICEF's first publication on the 'State of the World's Children' report in 1979 gave impetus to global awareness of the importance to monitor child development. Since then numerous global initiatives to monitor child development have been established. In South Africa, for instance, government has identified the Early Childhood Development (ECD) programme as government's strategic initiative to advance child development including the quality of basic education and care for children.

According to Ben-Ariech (2000:242), South Africa's ECD provides specific and accurate quantitative data that describe the situation of children. This initiative saw the emerging interest among scholars, public agencies, and non-governmental organisations in child well-being and development (Miljeteig 1997:57). With such initiatives, key indicators such as child poverty were identified in order to better understand their impact on child well-being from a policy perspective (Zill, Sigal and Brim 1982:189). Frones (2007:6) argues that social indicators of children's well-being are essential to describe, for instance, the condition of children, to monitor or track child outcomes, or to set future policy goals and strategic intervention, for example, to reduce child poverty.

Dimension and Indicators in Child poverty in South Africa

Chirwa (2009:03) defines child poverty as a condition in which children under the age of 18 years are deprived, or do not have access to basic social goods and services that are essential to achieve basic human standards of living. These include lack of access to government's social programmes, described earlier in the multidimensional model. According to Minujin, Delamonica, Davidziuk, and Gonzalez (2006:483), children are exposed to deprivation through an

environment that is detrimental to their mental, physical, emotional, and spiritual growth. As presented in Table 1 and discussed below, there are various dimensions such as health and safety, early childhood development (ECD) and education, material and living environment. Also presented in the Table are childhood development indicators such as nutrition, access to health-care services, child mortality, school attendance, years of schooling, early enrolment, income, food security, and adequate care that can best describe child poverty and deprivation.

Health and safety

According to the Children's Institute (2010:2) (a leader in child policy research and advocacy in South Africa), community health facilities should be available and free to persons including children, pregnant females, and social-assistance recipients. The institute further maintains that poverty compromises children's health and nutrition. Thus, social grants such as CSG can have the desired impact on children's good health and nourishment (Children's Institute 2010:1). According to UNICEF (2007:13), in 2005, minors between 0–4 years of age accounted for 10.4 per cent of mortality in South Africa. This suggested the need for early receipt of the CSG among impoverished and underdeveloped communities with children that are vulnerable to negative effects of nutritional deprivation and malnourishment (SASSA and UNICEF 2013:4).

Child nutrition and hunger

The Bill of Rights, Section 28(1)(c) of the South African Constitution stipulates that every child has the right to basic nutrition. The benefits of this right are contingent on children's access to sufficient and nutritious food. Therefore governments in developing nations including South Africa should prioritise the provision of basic nutrition to children (Hall, Meintjes and Sambu 2014:117).

Child hunger dropped from 31% in 2002, to 16% in 2006. Since that period the rate of child hunger persisted exposing millions of children susceptible to food insecurity (Hall *et al.* 2014:93). While the government of South Africa has introduced programmes such as CSG that aimed to reduce poverty and food insecurity, in 2012, child hunger was still reported to be 14% (i.e. 2.5 million children) (Hall *et al.* 2014:90).

Access to health-care services

The right to health-care services for everyone is enshrined in Section 27(1) of the South African Constitution of 1996. In addition, Section 28(1) affirms the right to basic health care for children. According to Mathews, Jamieson, Lake, and

Smith (2014:110), in 2012, 16.4% of children in KwaZulu-Natal lived in families reporting child hunger. In KwaZulu-Natal, deprivation and scarcity are considered main drivers of sickness. Therefore, meeting the growth requirements of people becomes fundamental in fulfilling the health necessities of society (Lucy Jamieson *et al.* 2014:116).

Child mortality

According to UNICEF (2007:13), in 2005, children aged 0–4 years accounted for 10.4% of mortality in South Africa. Undeveloped children are vulnerable to negative effects of nutritional deprivation and malnourishment (UNICEF 2008:4). Furthermore, according to the organisation, health is a fundamental human right essential to all aspects of a person’s life and well-being (UNICEF 2012:4). By contrast, in 2010, 8 million children under the age of five across the globe died mainly owing to highly avoidable causes such as pneumonia, diarrhoea, and birth impediments (UNICEF 2008:4). However, South Africa’s under-5 mortality showed some positive trends between 2000 and 2011. During this period child mortality declined between from 74 per to 47 per 1 000 live births. This decline in child mortality was attributed to better community services provided by government (Boroto 2013).

Early childhood development and education

According to the South African Human Rights Commission (SAHRC) and UNICEF (2011:xix), ECD includes all the procedures that support emotional, cognitive, sensory, spiritual, moral, physical, social, and communication growth of children from birth to school-going age. One of the most important contributors to poverty, found in literature, is education, as it is a major indicator of human capital (Baschieri and Falkingham 2007:7). According to Sepuvelda and Nyst (2012:24), social assistance schemes such as the CSG contribute to the recognition of the right to education.

The Bill of Rights, specifically Section 29(1)(a) of the South African Constitution of 1996 expressly guarantees each and everyone the “right to basic education”. Section 29(1) (a) adds that everyone has the “right to basic education, including adult education” (*Constitution of the Republic of South Africa* 1996). Education is fundamental for children to develop their full potential. Hence, education has become a national priority and prominent feature on the children’s rights agenda in South Africa. The prominence of education as a priority in South Africa is mirrored in government’s annual budget, with education constituting more than 21% of government’s total allocated expenditure, accounting for 6% of the Gross Domestic Product (GDP).

In order to fulfil children's rights to education, human rights' treaties prescribe that governments must provide free and compulsory primary education for children. Article 13 of the International Covenant on Economic, Social, and Cultural Rights (ICESCR) of 1966, for instance, provides that everyone has the right to education and, to achieve full realisation of this right, "primary education must be compulsory and available free to all" (UN 1966). Furthermore, Article 28 of the United Nations Convention on the Rights of the Child (CRC) obliges the state to "make primary education compulsory and available free to all" (UNICEF, 1989). The UNICEF (2007:19) report reiterates that the education system of any particular country should be a key determinant as well as a measure of overall child development and well-being.

School attendance

In South Africa, access to education is always contested as a result of fee structure which is unaffordable. Consequently, indigent children are denied access to schools, thus impeding their right to access to education (Anderson, Case and Lam 2001:8). Impressively, in 2009, 99% of primary-school-age children in KwaZulu-Natal had access to education institutions.

Using education as one of the indicators of the multidimensional model will assist in assessing the impact of the CSG in ensuring that the right to education for indigent children is realised. According to UNICEF (2008:3), child recipients of the CSG were more likely to attend a crèche or pre-school than children of a similar age group who were not in receipt of the grant. Furthermore, UNICEF (2008:3) states that the monetary value of fees paid by families for CSG recipients was less than for children not in receipt of the grant.

Early enrolment

Calman and Tarr-Whelan (2005:1) allege that investing in early childhood education generates economic development for communities such as creating employment and a more efficient workforce. Similarly, Engle, Fernald, Alderman, Behrman, O'Gara, Yousafzai, De Mello, Hidrobo, Ulkuer, Ertem, and Iltus (2011:1339) observed that children who attended early childhood education generally performed better in a range of learning assessments including literacy tests, vocabulary, mathematics and quantitative reasoning. Consequently, early childhood education builds an employable and educated workforce. In cognisance of this, the national priorities of government include expanding access to education and quality ECD. In 2008, the CSG was extended to over eight million children every month (Presidency Development Indicators Report 2009).

Material and living environment

There are a variety of means of linking socioeconomic status (SES) to child well-being with most encompassing discrepancies in access to income, food security, and adequate care. High SES families afford their children a range of material and social resources that potentially benefit and sustain the well-being of child. On the contrary, many low SES children lack access to those same resources, thus affecting child development (Bradley and Corwyn 2002:371–372).

According to Welsch (2002:473), adverse environmental conditions affect human well-being. Increasingly, the authors further argues, people value their rights to have access to environmental resources and services including, but not limited to, basics such as clean water and spaces in which to live (Welsch 2002:473). These environmental factors inform decisions, for instance, when deciding where to live as this may, for instance, impact the well-being and sustainable growth of children (Welsch 2002:473).

Income

Lack of access to any form of income, for instance, may be associated with social challenges such as lack of access to education. Hall *et al.* (2014:114) assert that inadequate income undermines children's rights, including access to education, and health-care facilities.

Access to income and its impetus to the realisation of basic human rights is lucidly expressed in the South African Constitution of 1996. The Constitution provides children the right to access social assistance such as the CSG when their immediate families cannot meet their basic needs such as access to education. The UNICEF, through its qualitative and quantitative evaluation of the impact of the CSG on schooling found that children's absenteeism or dropout was due to many economic and social drivers. These included lack of income and money for school fees and food insufficiency. The study further discovered that children who had access to CSG from birth accomplished more schooling grades and achieved higher scores on a math assessments than children who were enrolled as CSG recipients at age six (UNICEF 2012). As such, income poverty measures are critical to determine the number of people that require social support, and to assess whether the state is making headway in realising the right to social assistance (Hall *et al.* 2014:166).

Food Security

The literature on human rights, for example, Altman and Jacobs (2009:411) and Mammen, Bauer and Richards (2009:156) lucidly highlights that food security

signifies the extent to which individuals, including children, access sufficient and nutritious food on a daily basis for an active and healthy life. In South Africa, the right to access sufficient food is entrenched in Section 26 and 27 of the Constitution of 1996 (*Constitution of the Republic of South Africa* 1996). However, in 2016 it was estimated that at least 20% of households did not have access to adequate food (Statistics South Africa 2016). From a children perspective, Devereux and Waidler (2017:v) observed that despite the introduction of the CSG in 1998 and currently over 11 million beneficiaries in South Africa, there is only a marginal improvement in children's nutrition status.

Adequate Care

According to the American Planning Association (APA) (1997) local policies on child development must guarantee child protection including adequate childcare. In South Africa, Section 28(1) of the Bill of Rights of the Constitution of South Africa of 1996 provides children with rights: (b) to family care or parental care, or to appropriate alternative care when removed from the family environment (c) to adequate care including basic nutrition, shelter, basic health care services and other social services deemed necessary for child development. These rights are affirmed in the Child Act of 2005. Chapter 2, Section 2(b) on the objects of the Child Act affirms children's rights namely (i) family care or parental care, or to appropriate alternative care when removed from the family environment and (ii) social services (Children's Act 2005).

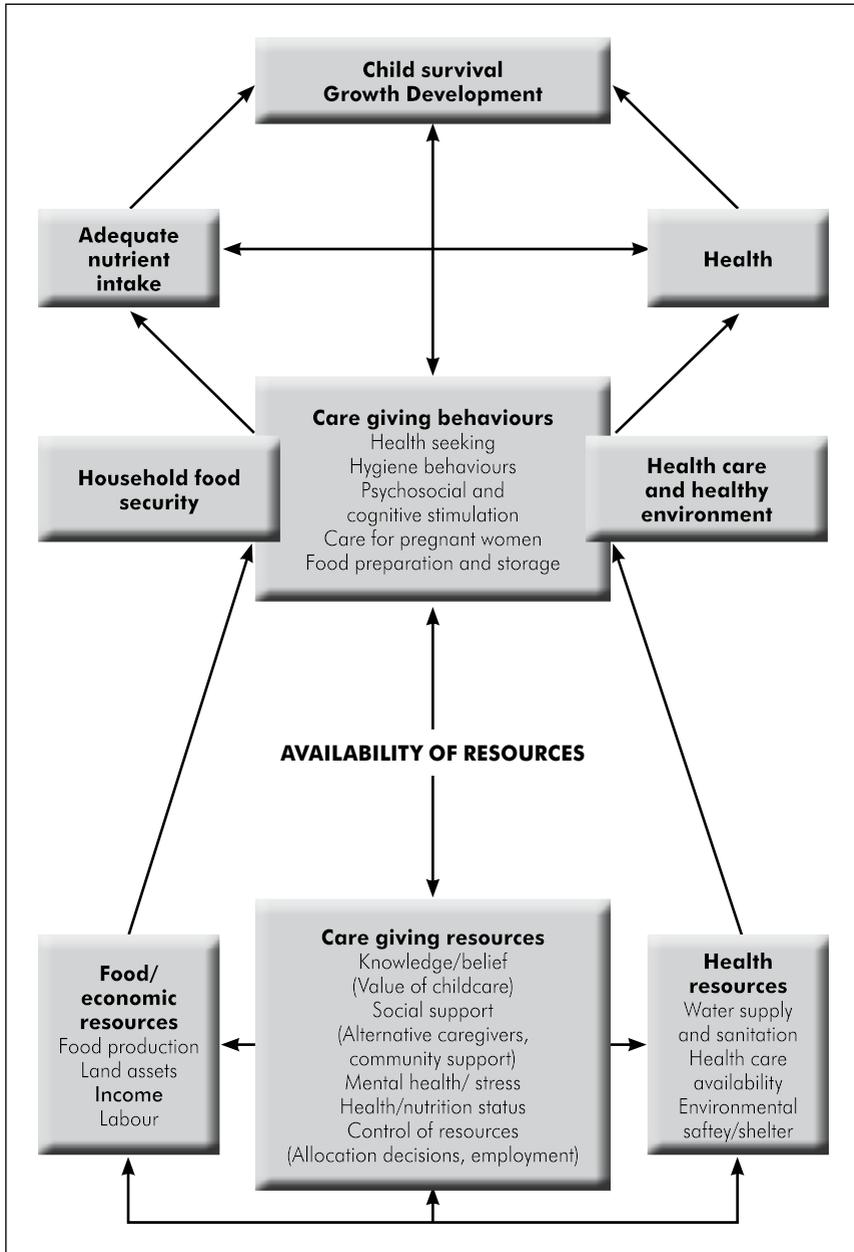
Linked to the multidimensional model presented earlier, and to conclude the literature review section, it should be underlined that ensuring adequate child development through integrated child development interventions is a critical component of the global agenda for sustainable development (Black and Dewey 2014:1). As such, and viewed from the UNICEF's 'expanded model of care' illustrated in Figure 2, there is a need to adopt a holistic approach for promoting children's child development.

The UNICEF's 'expanded model of care' depicts the significant caregiver's behaviour toward child development which largely depends on the required resources such as income (Engle, Menon and Haddad 1996:1) thus, in the context of South Africa and of this article, the need for CSG.

Eligibility and accessibility to the child support grant

According to Brynard (2006:840), the recipients of social assistance strategies are not only determined by suitability for social protection grants, but also by the ability to access the cash transfer; and are therefore a product of the strategy tactic, preparation, and application of social-assistance strategies. According to SASSA

Figure 2: The extended model of care



Source: (UNICEF 1990)

and UNICEF (2013:17), on average, in 2011, 67% children aged 0 to 1 year and 70% children aged 12 to 17 years were in receipt of the CSG in KwaZulu-Natal. This affirms the contention that, while the right of access to social support is being progressively realised, and despite interventions to reach as many children living in poverty as possible, there are still children who cannot benefit from social assistance (Nkosi 2010:349). The expansions to the CSG's criteria for eligibility include an increase in the age threshold from seven to eighteen years old, and adjustments to the income threshold to take inflation into account and recuperate equity (DSD, SASSA and UNICEF 2012: ii). In 2016, around 60 percent of eligible age children receive CSG (DSD, SASSA and UNICEF 2012: ii).

RESEARCH RESULTS

This section displays the presentation of data of the study reported in this article. The entire section is presented into different sections namely, characteristics of the study population, impact of CSG on early childhood development, impact of CSG on the environment, health and safety of the children, accessibility to and eligibility for the CSG, impact of the CSG on the children's rights, impact of the CSG on sustainable livelihood and impact of the CSG on sustainable livelihood. The layout of the research results is presented in figures, tables, and graphical format followed by analysis and discussion.

Characteristics of the study population

A total sample of 100 respondents from the target population (n=100) participated in the survey. The target population comprised of males and females of all ages and backgrounds within Ward 84 of Umlazi, who are in receipt of the CSG. Table 2 depicts a summary of the socio-demographic characteristics of the study participants.

A large majority (96%) of the study participants was female. The median age of the study participants was 32 years with inter-quartile range of 25.5–41.5. The youngest study participant was aged 18 years, whilst the oldest was aged 83 years. The median number of children each study participant had was 2, with an inter-quartile range of 1–3. The highest number of children reported by a study participant was 10. Less than a quarter (23%) of the study participants indicated that they had received the CSG for less than a year. Twenty-three participants (26%) indicated that they had received the CSG for 1–5 years. Furthermore, 28% indicated that they had received the CSG for 6–10 years, whilst 23% revealed that they had received the CSG for over 10 years. A significant proportion of the study participants (58%) expressed that they received no

Table 2: Socio-Demographic Characteristics of child support grant recipients

Characteristics	N=100 n (%)
Age Median (inter-quartile range)	32 (25.5 – 41.5)
Gender • Male • Female	4 (4%) 96 (96%)
Number of children Median (inter-quartile range)	2 (1 – 3)
Number of years receiving CSG • Less than 1 year • 1 – 5 years • 6 – 10 years • More than 10 years	23 (23%) 26 (26%) 28 (28%) 23 (23%)
Monthly income • No income • Less than R1000 • More than R1000	58 (58%) 23 (23%) 19 (19%)

Source: (Compiled by Authors using primary data collected)

monthly income. Twenty-three participants (23%) revealed that they earned less than R1000 per month, while only 19% said that they earned more than R1000 per month.

Impact of CSG on early childhood development

As indicated in Table 3, an overwhelming majority (99%) alleged that the CSG assists children to access early childhood development centres in their areas. Moreover, 99% of the study participants felt that the CSG had a positive impact on ensuring a satisfactory standard of performance at school for their children. All the study participants (100%) felt that the CSG had a positive impact in ensuring that their children attended or remained in school. All of the study participants (100%) felt that the CSG had assisted their children in enrolling early for school. About half of the study participants (51%) expressed that they had applied for their child’s grant when the child was younger than one year old.

Table 3: Early Childhood Development (ECD)

Statement	N=100 n (%)
CSG assists in accessing early childhood development centres for children in your area <ul style="list-style-type: none"> • No • Yes 	1 (1%) 99 (99%)
CSG has had and still has a positive impact in ensuring a satisfactory standard of performance at school <ul style="list-style-type: none"> • No • Yes 	1 (1%) 99 (99%)
CSG has had a positive impact in ensuring that your child attends/remains in school <ul style="list-style-type: none"> • No • Yes 	0 (0%) 100 (100%)
CSG has assisted your child to enrol early for school <ul style="list-style-type: none"> • No • Yes 	0 (0%) 100 (100%)
You applied for your child's grant before he or she was a year old <ul style="list-style-type: none"> • No • Yes 	49 (49%) 51 (51%)

Source: (Compiled by Authors using primary data collected)

Impact of CSG on the environment, health and safety of the children

As indicated in Table 4, a large majority (99%) of the study participants revealed that the CSG assists them in buying food and clothes for their dependants. In addition, 98% of the study respondents believed that the CSG helps to maintain an adequate living standard for the deprived children. However, only 39% of the study participants thought that the CSG helps in ensuring clean water and sanitation for their dependants.

About 99% of respondents expressed that the CSG assists in ensuring the good health of their children, also ensuring that children had good nutrition which would maintain good health. Most respondents (97%) indicated that the CSG helps children with immunisations when required, while 98% of the respondents affirmed that they felt that the CSG assists in ensuring that the overall health and safety of deprived children is maintained. A large majority of respondents (92%) revealed that they use the CSG for needs other than the child's alone.

Table 4: Children’s Material and Living Environment

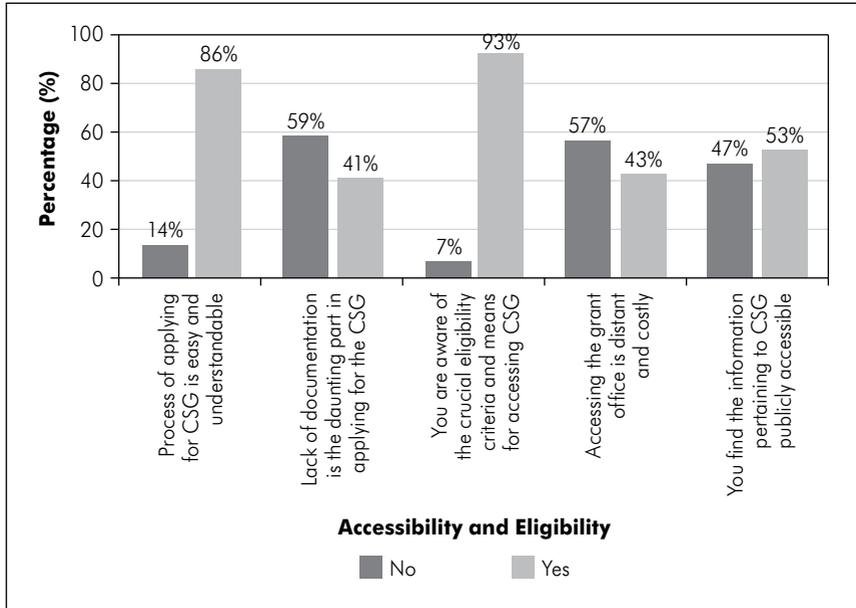
Statement	N=100 n (%)
CSG assists in buying food for children • No • Yes	1 (1%) 99 (99%)
CSG helps to buy clothes for your children • No • Yes	1 (1%) 99 (99%)
CSG has an impact on ensuring clean water and sanitation for your child/children • No • Yes	61 (61%) 39 (39%)
CSG helps maintain an adequate living standard for your child/children • No • Yes	2 (2%) 98 (98%)
CSG is used for needs other than the needs of your child/children • No • Yes	8 (8%) 92 (92%)
CSG assists in ensuring your child/children’s good health • No • Yes	1 (1%) 99 (99%)
CSG helps in ensuring that your child/children go for immunisation when required • No • Yes	3 (3%) 97 (97%)
CSG helps in ensuring that your child has access to nutritious food to maintain good health • No • Yes	1 (1%) 99 (99%)
CSG assists in ensuring that the overall health and safety of your child is maintained • No • Yes	2 (2%) 98 (98%)

Source: (Compiled by Authors using primary data collected)

Accessibility to and eligibility for the CSG

In Figure 3, most of the study participants (86%) thought that the process of applying for the CSG was easy and understandable, while 93% indicated that they were aware of the crucial eligibility criteria and means of accessing CSG.

Figure 3: Accessibility to and eligibility for CSG



Source: (Compiled by Authors using primary data collected)

However, two-fifths of respondents (41%) felt that their lack of documentation was the daunting part of applying for the CSG.

Less than half (43%) of respondents indicated that the grant office is far from them and costly to visit. This indicated that some participants live far from the nearest grant office; and for them to access the office requires the spending of money. Of the participants, 53% expressed that the information pertaining to the CSG was publicly accessible. This may imply that a certain level of awareness is created within the community of Ward 84. Almost all (93%) respondents stated that they were aware of the crucial eligibility criteria and means of accessing the CSG.

Impact of the CSG on the children’s rights

As reflected in Table 5, all study participants agreed that, through receiving the CSG, the child’s right to education had been realised; the child’s right to basic health care and nutrition had been fulfilled; and that the CSG had had a positive impact on eradicating child poverty. A large majority of study participants (99%) felt that the right to the CSG has always been available and accessible, while 98% felt that a good quality of life may be attained through realising the right to social assistance (CSG).

Table 5: Children's Rights

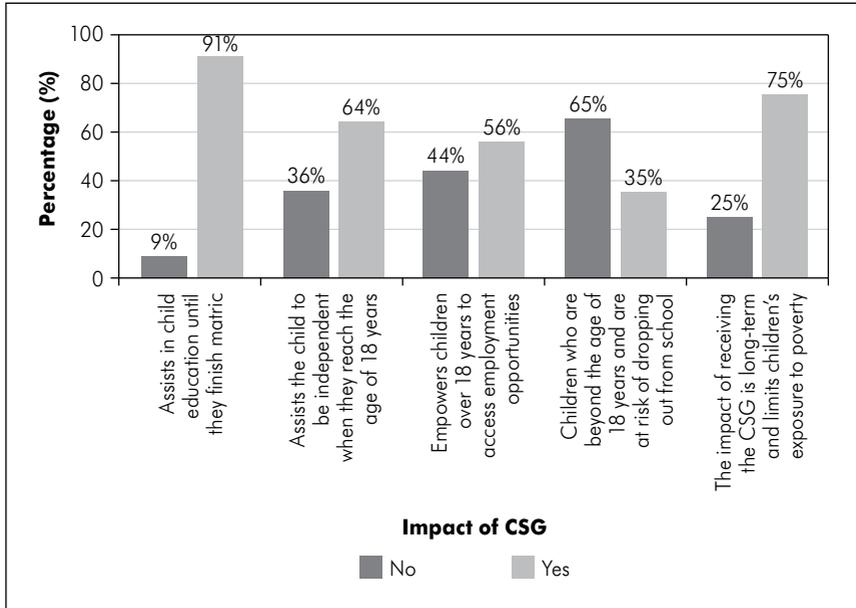
Statement	N=100 n (%)
Through receiving the CSG, the child's right to education is realised <ul style="list-style-type: none"> • No • Yes 	0 (0%) 100 (100%)
The CSG ensures the fulfilment of the child's right to basic health care and basic nutrition <ul style="list-style-type: none"> • No • Yes 	0 (0%) 100 (100%)
The right to social assistance (CSG) is always made available and accessible <ul style="list-style-type: none"> • No • Yes 	1 (1%) 99 (99%)
Realising the right to social security (CSG) has a positive impact on eradicating child poverty <ul style="list-style-type: none"> • No • Yes 	0 (0%) 100 (100%)
A good quality of life may be attained through realising the right to social assistance (CSG) <ul style="list-style-type: none"> • No • Yes 	2 (2%) 98 (98%)

Source: (Compiled by Authors using primary data collected)

Impact of the CSG on sustainable livelihood

In Figure 4, 91% of the respondents believed that the CSG assisted in child education until a child matriculated. However, only about two-thirds (64%) felt that the CSG assisted a child in becoming independent after they reached 18 years. Just over a half (56%) felt that the CSG empowers children over 18 years to access employment opportunities. Thirty five percent (35%) of study participants felt that children who are over the age of 18 years and are still in school are at risk of dropping out of school. Seventy five percent (75%) of respondents felt that the impact of receiving the CSG is long term, and limits children's exposure to poverty.

Figure 4: Impact of CSG on sustainable livelihood



Source: (Compiled by Authors using primary data collected)

DISCUSSION AND FINAL ANALYSIS

The CSG and the right to social security: a human rights' perspective

From a human rights' perspective, the government is obliged to ensure that every person enjoys minimum economic, social, and cultural rights comprising of an acceptable standard of living, equally, and without discrimination (Sepulveda *et al.* 2012:19). From this contention, it should be echoed that the needy people should not only be eligible to apply for the CSG, they should also be afforded easy access to South African Social Security Agency (SASSA) offices. However, close to half of the participants (43%) felt that accessing SASSA's offices are costly and too distant, thus undermining easy access to such social services.

Quality standard of living for children, as their right, may be realised through accessing the CSG. On the positive side, 100% of the respondents indicated that receiving the CSG has afforded them the right to education. The majority of the respondents further revealed that the right to social protection, health, and the right to education was being realised through the CSG. Furthermore, 100% of the participants indicated that receiving the CSG reduced child poverty within Ward

84 of Umlazi. These results indicate that the CSG is able to reach the targeted underprivileged people and reduces human deprivation by promoting, for instance, adequate care thus improving sustainability and child development.

Absolute core access to basic services and sustainable child development

The multidimensional model indicated that at the centre of poverty alleviation is the right to access good-quality services. For the CSG to impact on all dimensions of child poverty it must be linked with access to all basic services, ensuring that beneficiaries are afforded all basic services (Case, Hosegood and Lund 2005:468). Delany, Grinspun and Nyokangi (2016:24) argues that frequently children poverty manifests itself as the outcome of multiple dimensions of deprivation including, among others, malnutrition and restricted access to quality services. In addition, the author affirms the CSG has been linked with better nutrition and educational outcomes for children. Empirically, data revealed that the CSG enables beneficiaries to access quality services. Therefore, although the impact of the CSG is limited due to the low monetary value (Delany *et al.* 2016:24) it may be deduced that CSG impacts positively on the various child development dimensions, expressed in the multidimensional model.

Ninety nine percent (99%) of the respondents indicated that the CSG assists in accessing childhood development centres for their children and 99% indicating that the CSG has a positive impact on ensuring a satisfactory standard of performance in schools. Furthermore, research results revealed that the CSG has a positive impact on improving early enrolment in schools. Combined, these results are an expression of the shift toward sustaining child development. According to Chan (2013), children are the foundation of sustainable development. Therefore, children must be exposed to educational, social, and economic opportunities by the state, their parents and caregivers.

RECOMMENDATIONS

From the analysis of acquired data the article provides the following recommendations:

Recommendation One: Continuous Community Awareness

There should be continuous community awareness of the eligibility and accessibility criteria for receiving the CSG, in which SASSA employees will be able to engage with communities. This would assist government officials to learn

community concerns and experiences regarding the CSG, to improve the grant system, and in ensuring a customer-centric approach as one of SASSA's values.

Recommendation Two: Monitoring and Evaluation of the CSG

A significant number of the study respondents indicated that they use the grant money for other purposes, which, owing to the nature of the research could not be determined. A strategic system to monitor the utilisation of the grant money should be in place as to hold beneficiaries accountable and responsible for the proper and intended usage of the grant.

Recommendation Three: An Alternative Child Support System

The CSG is intended to provide for the basic needs of South African children whose parents or primary care-givers are not able to provide sufficient support due to unemployment or poverty. In order to circumvent situations where grant money can be expended for other purposes other than the needs of the children, other alternative childcare support should be considered by government. These include providing food stamp and fee relief schemes which will allow children to access government's social services such as health and educational centres instead of providing cash payments.

Recommendation Four: Integration of Basic Services

The CSG is one of government's poverty-mitigation agendas. In order to fully address the problem of child poverty, the CSG must be linked to other programmes and government's service delivery agenda such as access to good quality services. As such, government must provide and ensure adequate access to social services required to sustain childhood development. Child poverty must be addressed all round so as to ensure a holistic manner of dealing with the social scourge. The principles of the human rights' approach indicate that human rights should be interdependent. From a childhood development perspective, the process of realising human rights should holistically attend to children's concerns including health and safety, ECD education, material and living environment depicted in the multidimensional model.

Recommendation Five: Caregivers' Capabilities and Childhood Sustainable Development

The acquired data revealed that 58% of the participants had no other source of income. The SASSA should therefore establish sub-programmes such as capacity

building initiative to assist in developing the skills of the primary caregivers as well as the children who have reached the age of 18 who are no longer receiving the CSG. Children's growth and development is profoundly shaped by the educational, social, and economic opportunities afforded to them by adults. The enhancement of skills among adults therefore becomes the means and the end toward childhood sustainable development (Heckman 2006:1900). Akoojee (2010:261) confirm that in the 21st century developmental states must invest in skills enhancement initiatives for adults. These initiatives will particularly assist caregivers to access employment and participate in a range of economic activities such as starting small businesses which will bring in extra income to support their children.

CONCLUSION

The Bill of Rights of the Constitution of South Africa of 1996 and Children Act of 2005 yield children rights that are aligned with international organisations such as UNICEF, to safeguard children's rights. The multidimensional approach to child poverty aided in gauging the effect of the CSG on indigent children. The multidimensional model pointed out that poverty does not only imply lack of income, it possesses various dimensions such as adequate access to social services such as health, particularly for children. The CSG has had a significantly positive impact on alleviating poverty. In the article it was revealed that the CSG bears positive results in the lives of the beneficiaries. Child beneficiaries are able to enrol early in schools, able to access health facilities, and are able to buy food and clothing. The right to an adequate standard of living is being realised through the CSG. Notwithstanding the legislative frameworks on children's rights such as the South African Constitution of 1996 and Children Act of 2005, there is existing evidence on the challenges encountered by indigent people in accessing the CSG. While the findings for the article reveal a positive and significant relationship between the CSG and child development, the authors of the article furnished some recommendations that should inform future research and policy decisions on childcare sustainable development including grant administration and other related initiatives on childhood development.

NOTE

- * Ms T P Ngongo is a masters student under the supervision of Dr B Qwabe at the University of KwaZulu-Natal and this article is partly based on the student's masters thesis. Ngongo, T.P. *Child support grant and poverty alleviation in uMlazi Ward 84: An impact assessment.*

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Public Value Generation

The Outcome of an Integrated Public Service System

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ABSTRACT

Public value (PV) refers to the tangible and non-tangible outputs and outcomes produced by an integrated public service system (IPSS), its purpose being the improvement of the quality of life of citizens. Generating PV entails harnessing resources, capacity and information in an efficient, effective and economic manner. PV postulates and criteria emerge from epistemological and axiological values which are necessary for effective social development, i.e. the recognition of local demands, needs and expectations made by the public or publics to government bodies. PV generation utilises human and material resources which span the micro, meso and macro spheres of socio-economic interactivity, examples being, i.e. public assets, improvement in the quality of life of citizens and an enabling environment for public choice. Generating PV relies on an IPSS, envisioned as a governmental system which is stakeholder driven, constituting stakeholder networks and subscribing to the principles of nonlinearity, self-organisation and deliberative democracy. The operability of an IPSS and the generation of PV are dependent upon the elements of collaborative and networked governance, cooperation, coordination, a common set of objectives and vision, a people-centred focus, participatory (multi-agency) stakeholder engagement and effective communication. This article defines PV generation, provides the theoretical bases for further understanding and explores means for its application and evaluation. It is

argued that PV cannot be generated in a rigid bureaucratic and hierarchical system, as PV generation is determined by deliberation, participation, commonality of purpose and collaborative relations between stakeholders. Effectiveness, efficiency, equity and efficacy are the key drivers of PV generation.

INTRODUCTION

PV encompasses both tangible and non-tangible services and products produced, managed and evaluated by stakeholder teams which share a common vision arising from community needs, benefits, demands and expectations. PV theory holds that government bodies and citizens form part of an accountable, inclusive and open stakeholder network, advancing networked governance practices and relationship building. This article seeks to provide an approach to understanding PV in terms of its effective and efficient generation and measurement, as a systemic outcome of stakeholder engagement within an IPSS. The theoretical and operational aspects of an IPSS were previously outlined (Uys and Jessa 2016:183-209 and 2017:26-48). PV and added PV (APV) generation are contextualised in (i) an IPSS, (ii) embracing, understanding and executing public demands for higher standards of life, (iii) a paradigm change from hierarchy and silo operations to networked and integrated operability, (iv) sustaining and stabilising community participation, and (v) the elimination of resources wastage.

Definitions of PV outline the various schools of thought, approaches and difficulties involved in conceptualising PV in terms of its subjective and objective qualities. The management of PV is explored, given its flexible nature and how it may be conceptualised by the public. This article will contrast PV management with New Public Management (NPM) elements in order to promote a networked collaborative governance approach to PV. The governance regime associated with PV generation is based on the elements of openness, accountability, engagement and transparency, i.e. elements which support the holistic development of citizens in complex environments. Various instruments are introduced, thereby establishing an empirical basis for PV recognition, generation, measurement and evaluation; among the approaches to PV generation, a multidimensional approach is preferred. This article advances measures for PV governance and implementation in complex environments, long-term community regeneration programmes and projects, and provides foundational bases for a flexible, adaptable and sustainable PV generation framework.

DEFINING PV

PV is defined in terms of objects, i.e. material items such as roads, buildings and land, which is inseparable from its counterpart, the conceptual, satisfaction and aesthetic value. A house may therefore be regarded as a socio-economic catalyst that would bring a sense of well-being to its inhabitants. PVs are benefits accruing to civil society, i.e. the outcomes of stakeholder engagement, which the organised community, local, regional and national institutions of state (IOS) are part of within an IPSS. PV integrates social value and public choice, public purpose and public identity (Benington 2011:272). PV subsists in epistemological and axiological underpinnings.

Blaug, Horner and Lekhi (2006:6-7) define PV as new public service theory, emphasising a reoriented interest in the role of public managers and politicians, the public, efficiency of services delivery in advocating for accountability and an opposition to static, top-down models that focus public managers' actions on meeting centrally driven targets. The authors hold that PV prescription is intended to solve the tension between bureaucracy and democracy, with participatory roles for public organisations in decision-making. The authors note that PV induction stands relative to leveraging task teams for the generation thereof; hence the expectation by the public for PV benefits arise. Given the conditions of complexity, i.e. uncertainty and unpredictability, PV conceptualisation in terms of "what adds value in the public sphere" becomes relevant; PV may be created in every social context where demands are made for public goods, efficiency and effectiveness in service delivery (Benington in Benington and Moore 2007:7; Talbot in Meynhardt 2009:206).

Park and Burgess; Lundberg; La Piere; Becker; Kluckhohn; Rescher, (nd.) (in Meynhardt 2009:193-205) define PV as a non-normative theory contextualised in a post-bureaucratic perspective, taking account of the psychological, financial, philosophical and pragmatic attributes that connect the private and public spheres. The authors hold that PV incorporates people's interest, needs, desires, cognitive, psychological and social well-being. Sills (1968), Spano (2009), Railton (2000) and Putnam (2002) (in Rutgers 2015:30-39) define PV as possessing a normative foundation located in human rights, social values and social dynamism. Hills and Sullivan (2006:13) hold that the core attributes of PV are contained in the elements of efficiency, effectiveness, democracy, transparency, equity, authorisation and trust as they relate to the delivery of goods and services. The authors emphasise that PV entails a strong bond between its elements and core PVs, which are quality of life, well-being and happiness, social resources, social relations and social inclusion.

Thompson and Rizova (2015:566) assert that PV requires an unambiguous definition and to merely describe PV in terms of administrative values such as

equity, efficiency, fairness, justice, prudence, transparency and social cohesion, is inadequate. Moore (in Thompson and Rizova 2015:566) states that PV may be understood in terms of realising collective aspirations for specific outcomes with the economic employment of resources and shared authority. Moore and Hartley (in Thompson and Rizova 2015:566) support the view that a definition of PV cannot exclude the regard for justice, social development and public welfare concerns.

Benington (2009:232) holds that deliberative democracy is an essential operating principle for satisfying PV demands, the criteria of which are vested in qualitative and quantitative social elements, as deliberative engagement relates to PV operability and axiology (how value is interpreted, given meaning, and applied). The author holds that the generation of publics gives the public (or community) a voice, an essential vehicle for PV generation.

PV assumes varied interpretations in a domain which is specific to development, growth, rebuilding and regenerating the social fabric. PV conceptualisation and constructs are specific to universally accepted norms, behaviours, practices and values which promote and enable citizens to own and sustain their spaces, livelihood, security and well-being. PV contains the tangible (physical) and nontangible (psychological) elements that restore and sustain quality of life, well-being and general happiness among citizens in a productive society.

New Public Management (NPM) versus PV management (PVM)

The characteristics of NPM and PV management (PVM) differ distinctly and are practised in different ways. NPM is characterised by privatisation, economic austerity, value for money drivers and gearing budgets to tangible rewards. Stoker (in Meynhardt 2009:195) describes NPM as “out with large, multipurpose hierarchical bureaucracies and in with lean, flat, autonomous organisations drawn from the public and private sectors and steered by a tight central leadership corps”. The NPM principles invalidate PV conceptualisation, adoption and adaptation at community and municipal level as NPM serves to diminish public engagement, public enablement, citizen driven innovations and public interest. Turrell (2014:483) points out that NPM shows accountability to the market and contractual outsourcing via the private sector or public agencies. NPM undervalued community driven value creation, i.e. PV generation in both its tangible and nontangible forms, as it was not part of the NPM strategic agenda.

Turell (2014:483) and Bozeman (2007:155, 186) hold that PVM signals in a PV generating delivery system based on alternatives, designed and produced pragmatically. PVM places focus directly on public needs, demands, interests and expectations, vis-à-vis the preservation of human dignity. PVM utilises governance principles relating to results, trust relationships, collective and inclusive operations, expressed preferences, common objectives, satisfactory service outputs

and outcomes, legitimacy and multiple accountability systems aimed at inhibiting fragmentation in governing systems.

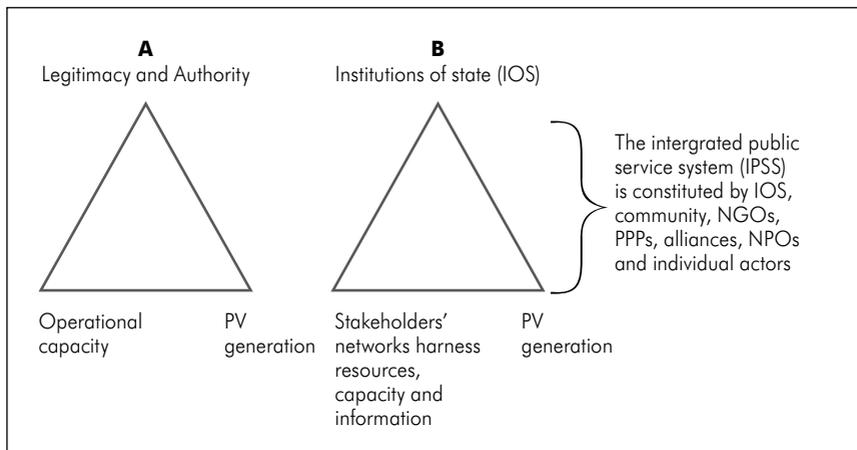
PUBLIC VALUE THEORY

Public values encompass social ethics, while PV refers to infrastructural social elements and their non-tangible derivatives (utilities). De Bruijn and Dicke (in Hills and Sullivan 2006:71) contend that PV and public values are arguably empirically and normatively different.

The strategic triangle as a key construct in PV theory

The strategic triangle (Figure 1A) is the fundamental construct of Moore’s theory of PV (Moore and Khagram 2004:3). Legitimacy and support are integrally tied to the issue of authority of individual actors and stakeholders to act. Operational capacity, vested in public and stakeholder organisations, are obliged to define and generate PV. The two components of the strategic triangle presented in Figure 1A, are integrated into a system for PV generation, measurement and feedback to citizens. Figure 1B represents an adaptation of Moore’s strategic triangle, which shows the components needed for systems integration, namely an IPSS, in equilibrational relationship with (i) the IOS as seats of authority and legitimacy, (ii) an integrated, nonlinear system responsible for networked governance, and (iii) the generation of PV products and services which benefit society generally. In Figure

Figure 1: Strategic triangles A and B



Source: (Adapted from Moore and Khagram 2004:3)

1B, the IPSS serves as a vehicle for PV generation as it bears operational capacity, in conformity with Moore's strategic triangle.

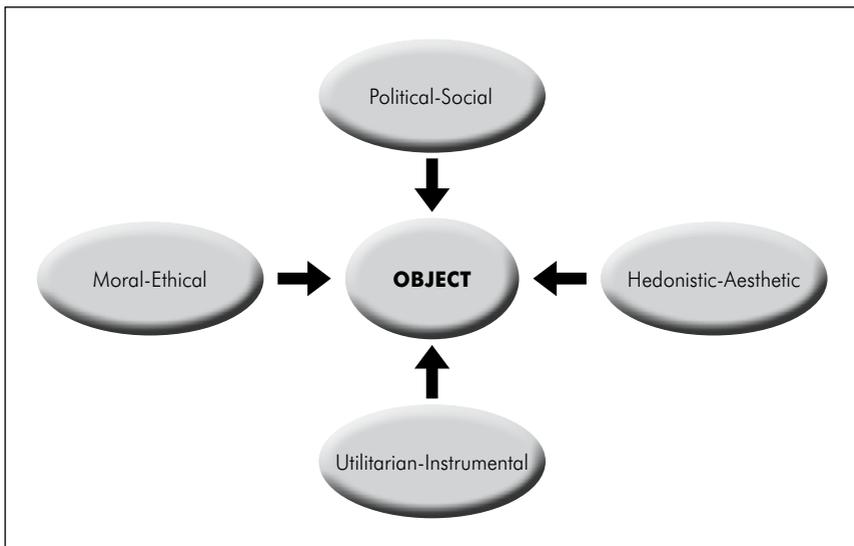
Four dimensions of PV: An alternative to the strategic triangle

In challenging the limitations of Moore's (2004) strategic triangle, Meynhardt (2009:208) proposes four basic dimensions that explain the nature of PV, i.e. the hedonistic, socio-political, moral (ethical) and utilitarian dimensions, illustrated in Figure 2. The author holds that PV cannot be conceived outside of these dimensions, as each dimension contains a variety of elements which are acted upon by citizens and communities on a daily basis. The author stipulates four distinct qualitative constructs, indispensable as socio-economic criteria in complementing Moore's (2004) strategic triangle. He quantifies these value elements as measures of PV which are listed in Table 1. These elements are discussed later in the article.

PV perspective theory

Jørgensen and Rutgers (2015:4-5) believe that a PV perspective arises from, first, public value-creating (or annihilating) processes and, second, from the view that PV management establishes or realises PV; the PV annihilating factors ("disvalues")

Figure 2: Four dimensions of PV



Source: (Meynhardt 2009:208)

are described as, for example, corruption and lack of integrity. The authors argue that PV constitutes desirability, i.e. as an outcome of collective processes.

PV criteria stem from regime values, described as (i) universal PV, (ii) PV critical for the running of governments, and (iii) PVs which are based on norms such as a constitution (Jørgensen and Rutgers 2015:8). The authors hold that a broad PV perspective may be constructed from (i) a theoretical-empirical model, and (ii) an evaluative and prescriptive research agenda, which would in combination serve as the praxis for PV concretisation. A seven-point perspective or framework is presented (Jørgensen and Rutgers 2015:6–7; Bozeman and Johnson 2015):

- Identify the PV universe and empirically state the PVs required;
- Construct a typology of PVs;
- Manage PV operability;
- Frame a PV agenda in order to classify PV into categories (public, public interest, regime and government);
- Systematise PVs, collective versus private values to create balance;
- Appoint the champion or actor responsible for the safeguarding of PV generation;
- Acknowledge the meta-issue of how to approach the study of PV.

The principles of complexity, dynamism, innovation and flexibility may be applied in a unique manner to allow for the generation of PV to meet specific requirements and achievements for beneficiaries.

PV failure theory

PV generation bears the risk of failure since it is dependent upon the willingness for citizens' engagement, stakeholder team coalescence and individual actor agenda. Berlin and Spicer (in Van der Wal, De Graaf and Lawton 2011:332) argue that the multifaceted character of value conflict between inter- and intra-public and government actors, when judgements and decisions are being made in relation to policy and task implementation, can be disabling. The authors hold that either explicitly or implicitly a coercive tendency arises on the part of government hierarchy, which affects public bodies (as stakeholders) negatively. The authors conclude that a purely utilitarian morality cannot exist within bureaucracies. Van der Wal *et al.* (2011:333) and Moore and Khagram (2004:3) employ Weber's notion of "instrumental rationality" to explain that governments believe that they own and produce PV and therefore, where there is conflict, they hold the authority to make decisions; instrumental rationality may be replaced by the utilitarian principle in PV generation, i.e. the need to sustain careful employ of scarce public resources. Bozeman (2007:16) believes that PV generation should not be equated with government responsibility; he proposes a separation of the

governments' responsibility and the responsibility assumed by public groups who actually create PV.

Bozeman (2009:5) argues that PV failure also arises when vital scientific research is not utilised for social development and growth. PV failure occurs when neither the market nor the public sector provides the goods and services required to achieve core public values. Bozeman and Sarewitz (2005:123) list six PV factors which lead to PV failure: (i) poor PV identification, (ii) negative market forces, (iii) non-implementation owing to scarcity of providers, (iv) inadequate time for implementation, (v) poor planning with respect to employ of resources, and (vi) benefit hoarding, where only certain groups in society receive benefits.

Williams and Shearer (2011:1371–1372) hold that the power and heterogeneity of the actors, i.e. government, interest groups and donors, should be factored in as they have an influence on how PV is conceived. Scott (2010:276) argues for a more direct role in the generation of PV by the public and states that the role of government requires more clarity. Blaug, Horner and Lehki (in Scott 2010:276) state that the public must assume an authoritative place in the generation and evaluation of PV in order to avoid failure. Kelly, Muers and Mulgan and Blaug *et al.* (in Scott 2010:286) support the view that PV generation suffers from (i) a lack of embeddedness in relation to formal processes and procedures, and (ii) lack of authority in productive societies. However, the authors maintain that PV failure is avoidable. While a fair amount of tension exists between stakeholders, the most mundane infringement upon these values could cost projects and programmes profound setbacks.

PV GENERATION

The generation of PV is directly linked to the satisfaction of the needs, demands and desires of citizens, stakeholders and individual actors. Bozeman and Johnson (2015:62) present two PV criteria, namely (i) the public sphere and (ii) progressive opportunity, which determine 'what' PV is to be produced. Beierle and Konisky, Stiglitz, Mistral and Kydd (in Bozeman and Johnson 2015:70) hold that cooperation, trust and fairness lend themselves to a healthy social contract in the generation of value. Kelly *et al.*, Borgonovi and Moore (in Spano 2009:330) and Benington and Moore (2007:13–18) contend that the value created or produced by individuals, the market, the community, the government and voluntary interest groups in combination, constitute PV; the higher the need satisfied, the higher the PV and vice versa. Spano (2009:332) contends that cooperation between politicians, public managers, private and public organisations is necessary for the generation of PV in a non-prescriptive and accountable manner. PV is embodied in public (i.e. community) expectations which arise when publics, i.e. public groups driven by

common objectives and vision, become active in the generation of value, intended to benefit groups or entire communities in terms of their need for social well-being and quality of life. The following approaches will examine these propositions.

The governance approach

The governance approach to PV generation and measurement embodies the principles of complexity, uncertainty, network theory and nonlinear integrated management systems; it is dependent upon a fully participating public, and open exchange between the micro, meso and macro spheres of governance networks in a non-bureaucratic context (Stoker 2006:41–42; Stout and Love 2015:13–14). The generation of PV cannot proceed in silos and hierarchical environments in an era of rapid social change which delivers technological and digital benefits such as advanced forms of communication, making the demand for information and inclusion a current phenomenon (Lipnak and Stamps 1994; Clegg 1990; and Kooiman 1993; in Agranoff 2003:1). Pattakos and Dundon (2003) (in Agranoff 2003:1) emphasise the importance of the interconnections between innovation, collaboration and performance, suggesting that PV induction should capitalise on insights and ideas across functional silos.

O'Toole and Radin (in Agranoff 2003:1) hold that PV generation is best achieved through collaboration and that actors should understand the value chain, which they are part of. Klijn (in Agranoff 2003:2–3) states that a PV generation process entails collaborative structures in order to achieve facilitation, rational decision-making, cooperation and learning, as these are indispensable aspects of generating PV. Moore (in Agranoff 2003:2) and Casey (2015:110) explain that effective stakeholder network operations facilitate knowledge transference which stakeholders utilise in PV generation, policy matters and capacity building of network partners. Van der Wal *et al.* (2011:336) employ a stakeholder approach which acknowledges current hierarchical-institutional arrangements as a dominating phenomenon and hence maintain the need for planned public intervention in the realisation of PV outputs. Van der Wal *et al.* (2011:338) hold that a value-rational perspective on governance and purpose-rational orientation (guided by extrinsic 'push' factors); constitute the crux of the "tension" arising between government and communities.

The distinction between government and governance is therefore an important ingredient in the conceptualisation of PV generation, since it is implied by the foregoing views that institutions of state must adapt to the growing calls from communities for collaboration, integration and participation in local affairs. The governance approach to PV generation compels all stakeholders to utilise PV criteria in establishing a worthy and effective networked governance framework for PV generation.

The economic approach

Thompson and Rizova (2015:567) offer an economic approach to PV generation based on market engagement. Moore and Hartley (in Thompson and Rizova 2015:567) argue that PV generation cannot be independently conceived and delivered by government. The authors explain that PV generation is driven by (i) learning from empirical market trends within a complex environment, (ii) legislation that is the binding force between government and business, and (iii) value generation where benefits accrue to individuals and maximising PV as net benefit to the public.

Meynhardt (2009:209–211) uses a business-economic approach to PV generation, integrating the material, financial and psychological factors as well as the social heterogeneity of larger public groupings. All basic needs and hence public goods and services, which give rise to aesthetic non-material gains, have a financial equivalent which is value added in terms of the transformation of the value of a certain good into a higher value (Meynhardt 2009:209). Meynhardt (2009:209-214) deems that the economic approach to PV generation makes a contribution towards advancing social welfare and therefore equates to an investment. The author supports the subjective employment of value regarding one or more basic needs for citizens; it is important therefore to correctly evaluate PV in satisfying customer choices, demands and needs. The author holds that PV is imbued with economic value and also utilises stabilising qualities such as sustainability, innovation, public interest and services quality.

One may assume from Meynhardt's theory (2009) that the accumulated effort (organisation, labour and time) expended, should equate to a quantified sum of PV produced. It may be assumed that material and non-material values produced in an IPSS may be cost, through simple accounting, cost benefit analysis and or cost efficiency analysis. Government officials participating in producing IPSS outputs and outcomes are liable to endorse and process decisions reached through stakeholder consensus.

The multidimensional approach

Bozeman (2009:4) explains that PV mapping (i.e. establishing who will be involved, what is required to be done, the purpose and where human, material and financial resources are located) is a scientific approach to PV representation (i.e. access by stakeholders and individuals), given the multiple complex determinants of social outcomes, while integrating the important role of the public, government and private sector networks in society. PV mapping embraces normative and explanatory theoretical positions to implement gains made by research and development in the communal utilisation of available resources for social benefit.

Bozeman (2009:25) holds that PV mapping employs the churn model of knowledge, value and innovation, contending that research outcomes must hold practical relevance for tangible, non-tangible, desirable or other criteria for gauging the impact of science on social life. He argues that knowledge value collectives (KVCs) and knowledge value alliances (KVAs) between scientists and society should develop social and human resources which recognise multiple complex determinants.

Burt (1992), Loury (1977) and Coleman (1990) (in Tsai and Ghoshal 1998:464-473) hold that social resources, i.e. including norms and values, are embedded in relationships which exist in social networks, organisations and groups. The authors hold that a strong stabilising relationship was found to exist between social resources and PV generation, given the dynamic interaction between three important dimensions, namely (i) structure, from which social interaction flows, (ii) social relations, from which trustworthiness flows, and (iii) the cognitive dimension, i.e. shared vision, from which innovation emerges in a multidimensional context for PV generation. In multidimensional approaches, the critical nature of fairness, equality, openness and accountability plays a vital role in the success of PV generation.

The humanist approach

Meynhardt (2009:193) holds that from a humanist perspective, PV generation relates to how people think and feel about society. In Table 1 Meynhardt (2009:202) presents a needs and values based non-prescriptive framework, featuring the non-tangible elements for PV generation. Four value dimensions are presented, i.e. the moral-ethical, political-social, utilitarian-instrumental and hedonistic-aesthetical values.

Table 1 shows the interrelationships between the non-tangible PV elements. It is contentious whether these elements may be applied as empirical indicators for measuring PV outcomes. In Figure 2 Meynhardt provides an auxiliary view to Moore's (2004) strategic triangle, holding to the four non-tangible PV dimensions stated in Table 1. Stoker (in Meynhardt 2009:194) contends that PV generation demands a deeper awareness of the public by managers; that they need to go beyond the tasks of merely meeting targets and following procedures and to ask if their actions are bringing a net benefit to society.

Nabatchi (2012:8–29) presents a four-frame schema of PV imperatives shown in Table 2; this account of PV generation is framed in the humanist paradigm. She holds that the political, legal, organisational and market factors, feature as drivers of PV generation, which when implemented, will produce unique value content, modes of rationality and choice of methodology. The four frames instrument presents a flexible and adaptable framework for the

Table 1: Four non-tangible PV dimensions

Basic needs	A translation of basic needs, motivated by the following examples	4 Basic value dimensions & PV elements
Positive self-evaluation	<ul style="list-style-type: none"> • Positive self-concept and self-worth • Consistent relationship between self and environment • Feeling of high self-esteem (in social comparison) 	Moral-ethical: <ul style="list-style-type: none"> • Human dignity • Diversity • Integrity • Secrecy
Maximising pleasure and avoiding pain (such as living in poor conditions)	<ul style="list-style-type: none"> • Positive emotions and avoidance of negative feelings • Flow-experience • Experience of self-efficacy due to action 	Hedonistic-aesthetical <ul style="list-style-type: none"> • Cultural heritage • Reliability • Beauty of public spaces • Services quality
Gaining control and coherence over one's conceptual system (social awareness)	<ul style="list-style-type: none"> • Understanding and controlling environment • Predictability of cause and effect relationships • Ability to control expectations to cause desired outcomes 	Utilitarian-instrumental <ul style="list-style-type: none"> • Self-initiative • Openness • Robustness • Sustainability
Positive relationships	<ul style="list-style-type: none"> • Relatedness and sense of belonging • Attachment, group identity • Optimal balance between intimacy and distance 	Political-social <ul style="list-style-type: none"> • Citizen involvement • Equal opportunities • Compromise • Social innovation

Source: (Adapted from Meynhardt 2009:203)

interpretation, communication and negotiation of PV generation by stakeholder network teams.

The humanist approach to PV generation recognises citizens' expectations as organic, as a focus applicable to communities in both advanced and developing societies, who are outside the fold of mainstream social and economic prosperity. PV demands for infrastructure and psychological well-being are common, and are required in terms of social equilibrium and economic inclusion. When basic requirements for social well-being is neglected by institutions of state, the humanist approach to PV generation assumes greater importance in providing solutions to community-based problems.

Table 2: Four public value (PV) frames in governance

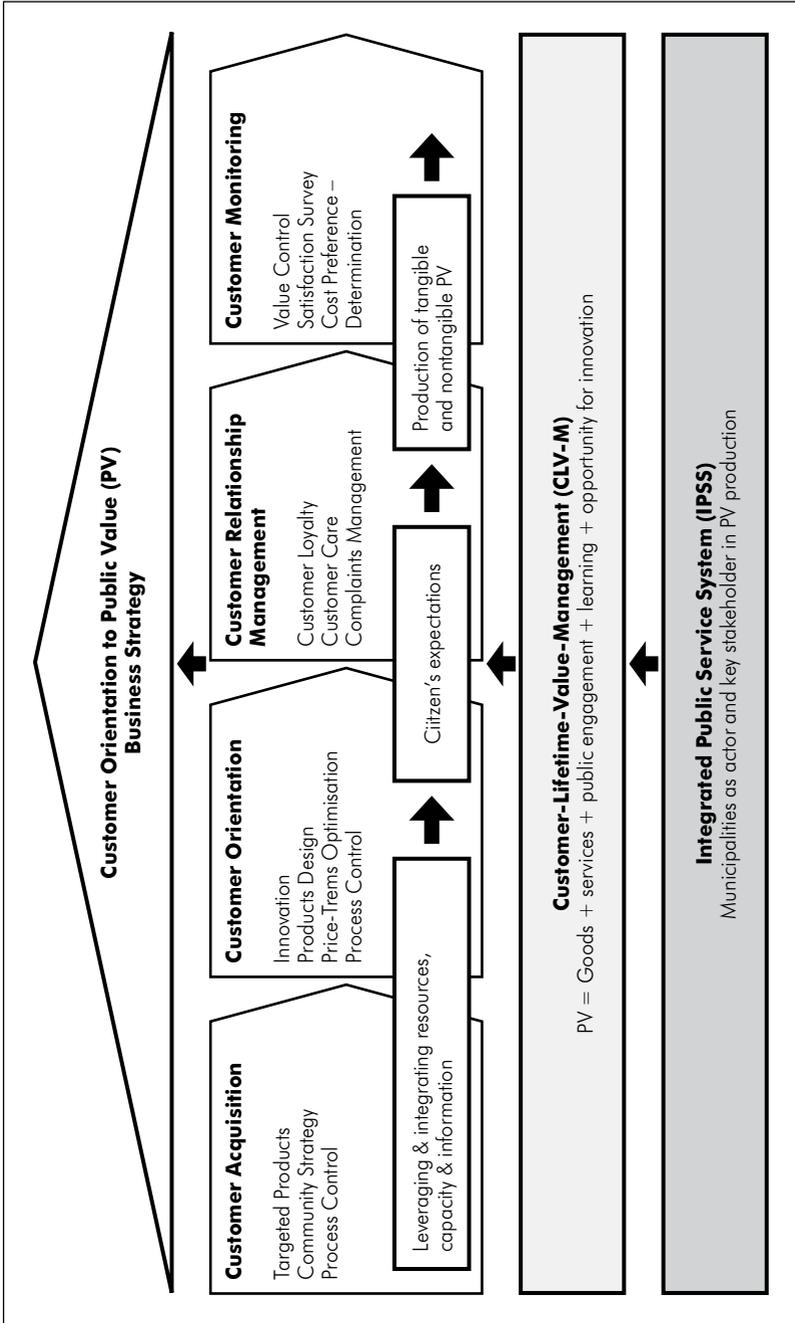
Values Frame	Political	Legal	Organisational	Market
Content Values	Participation, representation, political responsiveness, liberty, equality.	Individual substantive rights, procedural and due process and equity.	Administrative efficiency, specialisation and expertise, authority, merit, formalisation, organisational loyalty, political neutrality.	Cost-savings, cost-efficiency, productivity, flexibility, innovation and customer service
Prevailing Mode of Rationality	Substantive rationality using deductive, dialectical and deontological reasoning grounded in history and political philosophy.	Legal rationality using inductive and deductive reasoning in light of issues, rules and facts.	Technocratic and functional rationality using teleology, utilitarianism and instrumental reason.	Instrumental rationality, reinforced by economic liberalism and economic individualism.
Predominate Methods	Popular participation (both indirect and direct). Institutions that ensures democratic liberties and equality. Civic education.	Adversary procedure, including processes such as rulemaking, investigating, prosecuting and negotiating, among others.	Hierarchy, empiricism scientific methods, e.g. rationally established procedures to assess content values against goals and objectives.	"Running government like a business" Market-oriented reforms e.g., privatisation, downsizing, rightsizing, streamlining, competition, contracting out, franchises, voucher programs and commercialisation.

Source: (Nabatchi 2012:29)

The Customer-Lifetime-Value-Management (CLV-M) approach to PV generation

Hofmann and Mertiens (2000:10) developed the Customer-Lifetime-Value-Management (CLV-M) approach to PV generation. The authors illustrate their approach with a model, shown in Figure 3, in which customer relations and value additions feature prominently. PV generation can be tracked and measured,

Figure 3: Key components of the CLV-M approach to PV generation



Source: (Adopted from Hofmann and Merliens 2000:199)

identifying the value created to the customer and customer satisfaction in terms of expectations that were met. The model was adapted to fit an IPSS context. Essentially, citizens and communities engage each other as stakeholders, participating in the various stages of PV generation as indicated in the diagram.

Government organisations reside in an IPSS as a key stakeholder, as shown in the base tier. The second tier indicates 'what' PV must be generated by stakeholders driving common objectives. The third tier indicates 'where' the actual PV generation occurs and the stage at which value and customer satisfaction is created. The third tier represents the process phase, in which effectiveness and efficiency demands are monitored by stakeholder groups, regarding (i) leveraging resources, (ii) formulating expectations regarding value, quality and satisfaction, and (iii) delivering PV outputs and outcomes. The uppermost tier involves pursuing stakeholder business strategy to ensure stakeholder satisfaction.

The CLV-M approach holds links with the humanist approach as it presents a visual tool for easing access, understanding and interaction for individuals and communities acting in PV generation programmes. In addition, the CLV-M approach also facilitates PV generation in respect of managing a multidimensional approach. Common ground therefore exists between these approaches to PV generation, while in particular, the link between the multidimensional view and the humanist view prevails in relation to structure, building social relations and relationships between parties based on trust, feedback (horizontal and vertical), shared vision and opportunities for creativity and innovation.

The normative-consensus approach to PV generation

Bozeman (2007:10-12) argues that the ideal mix of political and economic authority exercised in integrated public systems, relate to what the public regard as normative publicness, i.e. that level of public interest best serving the long-run survival and well-being of civil society. Bozeman (2007:14) and McInnes (2001:500) note that not all PVs are positive; negative PV may predominate and serve to inhibit the rights of others, invariably minority groups. PV normative characteristics may be understood in terms of (i) normative consensus, namely public ideals, rights, demands and services, (ii) what is good for the whole entity, (iii) PV not necessarily being an ideal of government, (iv) private values being regarded as PV, (v) PV assuming a general consensus, and (vi) basic needs to survive (Bozeman 2007:132-134).

Dunleavy, Margetts, Bastow and Tinkler (2005:467) maintain that PV generation, characterised by disaggregation, competition and incentivisation, is gradually being replaced by reintegration, needs-based holism, co-productivity and digital-era governance (DEG). The authors believe that isocratic government (a government which facilitates the sharing of power between itself and the people)

renders a shift from agency-centred to citizen-centred government, creating a normative-consensus approach to PV generation.

The normative-consensus approach places importance on creating PV from the bottom-up, i.e. utilising a participatory methodology as a catalyst for manifesting the political, economic and social perspectives held by particular community groups and communities, aspiring to a common agenda. The contention that PV generation is a dynamic process implies that growth and development components ought to be constantly applied as norms in society.

EVALUATING THE PV GENERATION PROCESS

Measuring quantities and qualities are daily activities performed by people in a natural manner.

PV is measurable in all its forms, subjectively and objectively. The following methods may be used to measure, assess and evaluate PV generation in terms of its common objectives, efficacy, effectiveness, efficiency, adaptability and sustainability.

The survey method

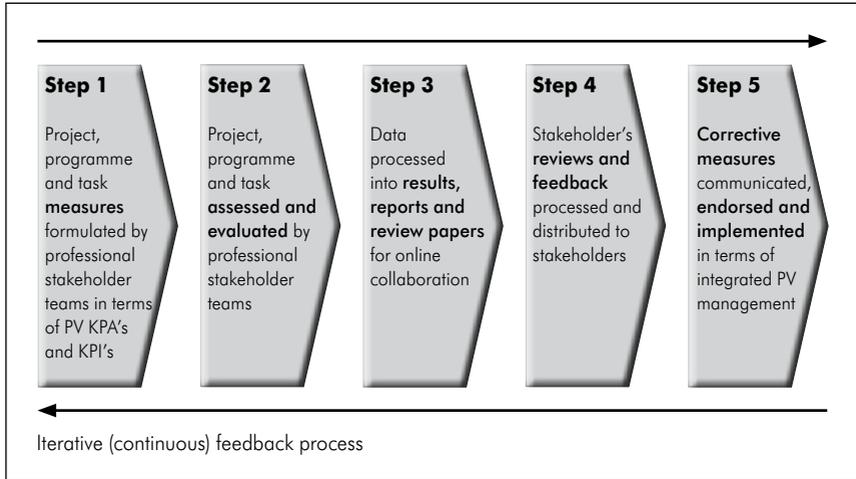
Stejskal and Hájek (2015:145) state that the survey methodology may be used to evaluate PV effectiveness when the population is large. The authors hold that results from a measured service is transferable and comparable to other public services and that it is important for the allocation and monitoring of public resources. The authors contend that the survey method is used to measure (i) market-related behaviour, (ii) return on investment, (iii) product worth and consumer preference, and (iv) costs and benefits of a public service. Measures of PV can be utilised in the IPSS context, where the evaluation of PV demands an ongoing multi-criteria analysis approach.

Figure 4 illustrates a five-step survey method for measuring PV effectiveness. Each step indicates the involvement of stakeholders, individuals, community organisations and government agencies. A continuous feedback mechanism is utilised to ensure positive and negative feedback to all the actors involved in the process. The entire process ensures that stakeholder demands and expectations will be evaluated in terms of its commonalities.

A cluster-driven framework for measuring PV

Clusters of PV relate to broad social outcomes such as quality of life, well-being, happiness, availability of social resources, social inclusion, safety, security,

Figure 4: Five-step survey methodology for measuring PV effectiveness



Source: (Adapted from Flamholtz's in Spano 2009:343)

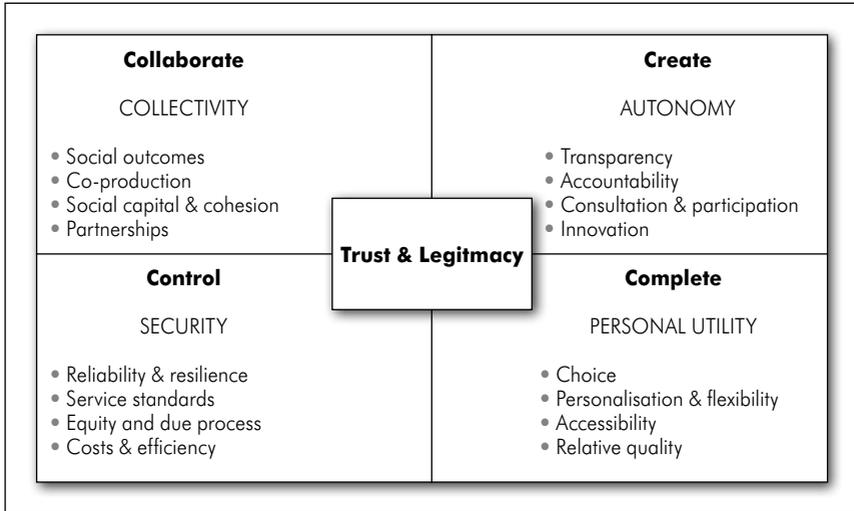
equality and public engagement. Hills and Sullivan (2006:13) point out that the identification of clusters of PV is required in order to measure outputs and outcomes of PV created. Each cluster of public life has PV criteria pertinent to it; a service delivery process for example, would have efficiency, effectiveness, cost effectiveness, democracy, transparency, equity, authorisation and trust as PV measures (Hills and Sullivan 2006:13).

A cluster-driven framework for measuring PV would focus on the (i) appropriateness, (ii) holism, (iii) equality, (iv) trustworthiness, and (v) effectiveness of PV generation; these core criteria are measured against (i) objectives, (ii) task definition, (iii) implementation (iv) outputs, (v) outcomes, and (vi) impact achieved (Hills and Sullivan 2006:13).

The competing values framework (CVF) method

The process of generating PV creates all manners of inherent tensions. The competing values framework (CVF), as shown in Figure 5, evaluates and offers a management tool to deal with tensions related to public choice and PV generation. The CVF has four equally attractive PV groups relating to public choice. Talbot (2008:10) explains the inherent tensions concerning PV appraisal: the quest for flexibility and autonomy versus control and stability and juxtaposed to this, are collective concerns over competitiveness, influenced by the external environment. Competitiveness is a public choice relative to collaborative engagement. The CVF is an integrated and holistic appraisal tool for PV generation. 'Trust and

Figure 5: Competing Values Framework (CVF) for appraising PV generation



Source: (Talbot 2008:17)

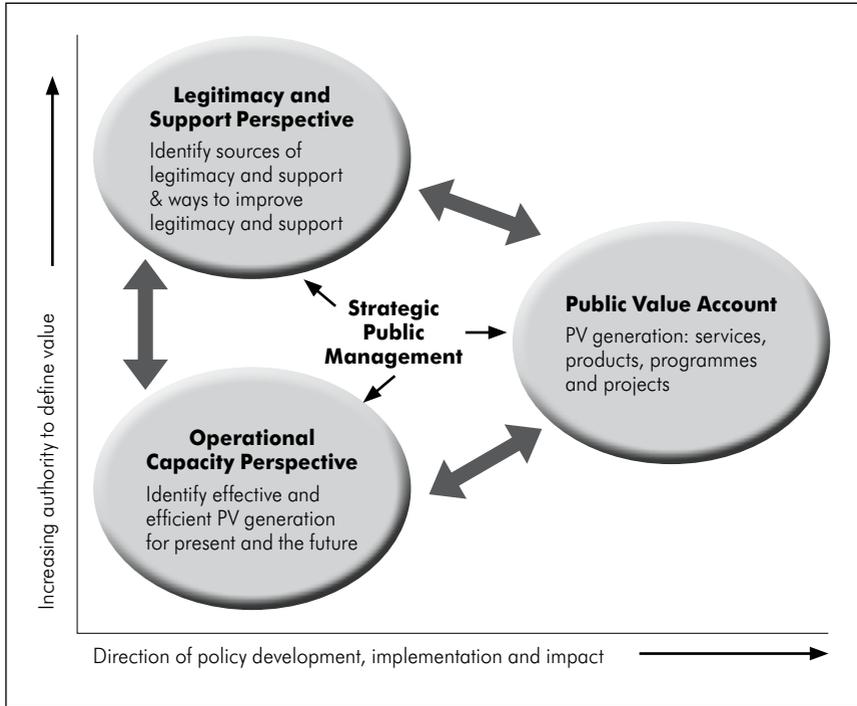
legitimacy’ serve as binding authoritative values compelling actors to establish sound relationships in order to obtain and utilise valuable resources.

Utilising a PV scorecard

The PV scorecard (PVSC) is an evaluation instrument which provides a holistic and balanced assessment, at any point in time, of when, where and how PV was or will be created. The PVSC, illustrated in Figure 6, is based on the Balanced Scorecard concept (Kaplan and Norton 1996) and the theory of the strategic triangle (Moore and Khagram 2004:3). The PVSC allows stakeholders to keep account of the various states of PV generation (Moore 2012:11).

The PVSC allows PV assessment in terms of two parameters, viz. (i) policy development and solidification, and (ii) the increasing legitimacy and authority of the stakeholders who are active in the generation of PV. The PVSC is designed to assess, (i) operational capacity in terms of skills, maturity, capacity and capability, (ii) growing understanding and attraction to legitimacy and support, both from internal as well as external support bases, and (iii) assessment of actual PV created, in terms of its successes, weaknesses and citizens’ expectations. Meynhardt, Gomez and Schweizer (2014:6) prefer an alternative PVSC with five evaluation measures for PV generation, viz. (i) utility, (ii) decency, (iii) profit or benefits accruing, (iv) political acceptability, and (v) the quality of the experience obtained

Figure 6: The public value scorecard (PVSC)



Source: (Recognising public value: developing a PV account and a PV scorecard Moore 2012:30)

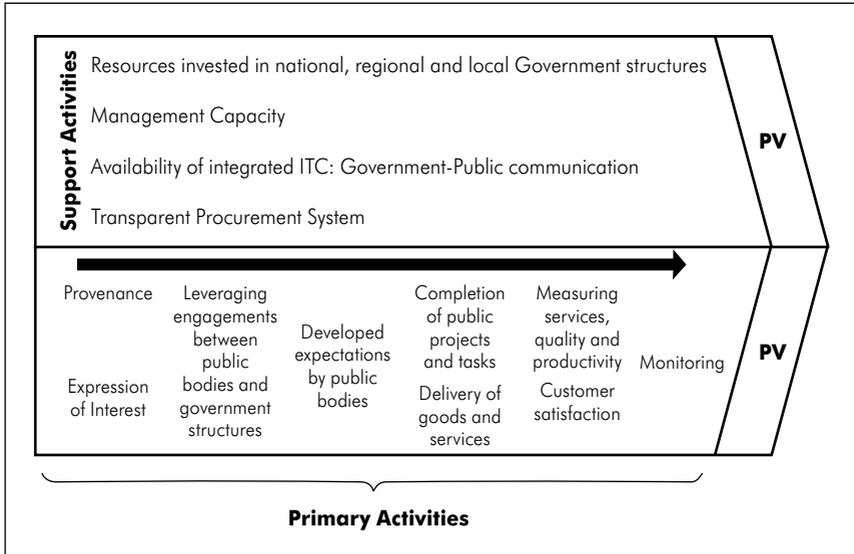
from the PV generated. The PVSC also measures risk factors which allows for subsequent risk mitigation.

Utilising a public value-chain

The public value-chain shown in Figure 7 has an important empirical role in networked governance, co-production and integrated service delivery. The implementation of PV generating programmes may employ a public value-chain instrument to strategically direct, manage and evaluate the productive components of PV generation in various states of progress or weakness. Moore (2012:28) adapted Porter's (1985) value-chain model to show relevant potential for the primary and support activities concerning the generation of PV.

Since PV is created through the efforts of stakeholders, it follows that the utilisation of resources, capacity and information will be geared to realise common objectives, i.e. the generation of beneficial and effective quality outputs and satisfactory outcomes. Critical primary activities, indicated in Figure 7, are provenance,

Figure 7: Public value-chain



Source: (Adapted from Porter’s Organisational Value Chain in Johnson and Scholes (2002:161) and The Value-Chain: Possible Points of Measurement Moore 2012:28)

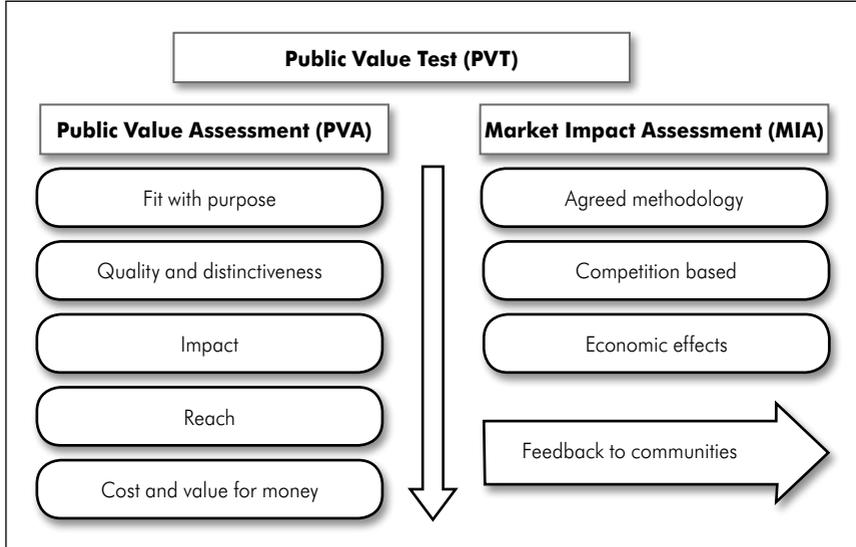
leveraging, expectation, delivery, measuring satisfaction and monitoring sustainability outcomes. Negative feedback, for remedial adjustments and positive feedback for systemic and process enhancement, is ongoing as it strengthens organisational accountability, transparency and co-production. The essential aspects of feedback in the public value-chain are to ensure waste reduction, effectiveness of outputs, detecting volatility and the achievement of common objectives.

The British Broadcasting Corporation (BBC) “two-step” PV test (PVT)

The British Broadcasting Corporation (BBC) successfully utilises a “two-step” PV test (PVT) to measure PV generation in relation to user satisfaction relating to the broadcasting of new programmes. The London Library also uses the PVT. The PVT relies upon feedback from users in order to enhance and improve their products and services. Figure 8 shows the PVT diagram.

The first part of the application of the PVT comprises a survey of PV criteria, i.e. categories listed on the left of the diagram, which administers the BBC PV drivers, obtained from the BBC Charter and known as the Public Value Assessment (PVA). The PVA gathers PV information regarding quality, distinctiveness, impact, reach, cost and value for money (Grant, Tan, Ryan and Nesbitt 2014:13). The second

Figure 8: The British Broadcasting Corporation (BBC) “two-step” PV test (PVT)



Source: (Grant, Tan, Ryan and Nesbitt (2014:13) on BBC protocol C1 – UK Public Services and non-service activities)

part of the application, the Market Impact Assessment (MIA), is done by issuing a follow-up survey, which evaluates post-process market criteria, those indicated on the right, in the diagram (Grant *et al.* 2014:13). According to the authors, the PVs relating to quality access to information, cultural and educational values incorporating capacity building and learning, social values, global values and a global world view; are PV criteria which may be monitored and evaluated with ease.

PRACTICAL EXAMPLES RELATING TO PV EVALUATION CRITERIA

The following examples provide opportunities for municipalities and a host of private and semi-private organisations, to form stakeholders’ networks with communities for the generation of PV. The experience derived from these examples, record a slow progress rate, with high volatility of the circumstances under which organisations performed.

Complex conditions in communities will demand that a number of approaches be utilised simultaneously, i.e. eclectically, since each approach presents unique advantages. One may assume that while PV generation criteria are easily grasped at community level, the actual implementation of regeneration programmes

Table 3: Public Value criteria generated by focus groups in Twin Cities, Minnesota

Tangible PV criteria (public goods and services)	Nontangible PV criteria (social progress, wellbeing, quality of life)
<ul style="list-style-type: none"> • Public safety • Local transport hubs • Build strong local economy • Infrastructure for community stability • Resources for sustainability • Housing conducive to quality of life • Disaster management centres 	<ul style="list-style-type: none"> • Public and non-profit services • Community capacity and capability • Sound quality of life • Adult basic education • Civic education • Effective and efficient service delivery • Aesthetically pleasing environment

Source: (Adapted from Bryson 2012:4)

and projects are best achieved over the long term, of about 20 years. Invariably, community-level education and empowerment programmes are a necessary step towards successful engagement by communities; the complexities of community regeneration, social enhancement and PV achievements are mitigated through community education, empowerment and engagement, in that order.

The Twin Cities ‘experiment’ in PV generation

Bryson (2012:4) collated a set of PV criteria for a study in PV generation, with metro managers, business persons, non-profit organisations (NPOs) and policy-makers from Twin Cities, Minnesota, USA. Table 3 lists the PV criteria compiled. Twin Cities experienced historical, social, economic and educational segregationist policies and high incidence of poverty levels among minority groups (Schultz 2015). The challenges facing the communities of Twin Cities were to bridge the historical divide created between two distinct and divided groups over many years. The key objectives of the study were to restore trust, reduce suspicion, build harmony and establish cooperation among resident groups and individuals.

Creating PV in Beacon Estate, Penwerris, Cornwall, UK

The Beacon Community Regeneration Partnership (1995 to present), in Penwerris, Cornwall, UK, is probably the most successful example of PV generation known to achieve measurable success. The stakeholders’ multi-agency group was led by the Health Department of Exeter Medical School, supported by staff at the London School of Economics. A common agenda was constructed over a two to three-year period; at this point the stakeholder group could initiate tasking. The Beacon Estate community and the local city council were regarded as key

Table 4: Evaluation criteria regarding improvements in the Beacon Estate community

Employment	<ul style="list-style-type: none"> • 300 community members found employment from 1995 to 2001.
Health	<ul style="list-style-type: none"> • Increased rate in breastfeeding. • Decrease in domestic violence. • Reduction in drug abuse. • Decreased rate in child protection. • Behavioural patterns and social relations improved.
Crime	<ul style="list-style-type: none"> • Crime reduction was recorded in all categories. • Play-parks became social places.
Environment	<ul style="list-style-type: none"> • Aesthetics (and repairs) of 700 homes were vastly improved. • Cleaner streets, more street lighting, upgraded green spaces.
Education	<ul style="list-style-type: none"> • Improved school attendance. • Improvement in the subject results of English, mathematics and science. • Training for crèche leaders were introduced. • Sport equipment allowed for improved sport activities after school.

Source: (Social impact valuation of the Beacon Project, 1995-2001 Fujiwara, Hotopp and Lawton 2016)

stakeholders. The economic, social, educational and political aspects of community life saw remarkable improvement (Fujiwara, Hotopp, and Lawton 2016) in the first five years. PV generation in the Beacon Estate community is being sustained and continually enhanced. The relevance of this example lies in the profound commitment of the stakeholders to reverse the poverty, hopelessness and abuse which prevailed in the community. Table 4 points to PV generation efforts over a five-year period.

The need for PV generation in Belgium

Dekkers (2008:506) found extremely poor living conditions among the destitute in Belgium, which affected the material, social, physical and psychological health of the residents. These PV attributes are summarised in Table 5. Community regeneration programmes utilising integration and PV methodology aimed to reduce poverty and improve living conditions.

The need for PV generation in South Africa

Applicable to South Africa, Dinda (2014:890) and Alkire (2009:3) found that community development projects in poor communities globally, raised confidence levels. The authors found that five contributors to social well-being and general happiness are relevant, viz. economic prospects, education, accessible social structures, health and sustainable development, stated in Table 6. In South

Table 5: PV criteria applicable to poor social groups, i.e. communities

PV criteria regarding poor communities	
1. Unpaid bills.	13. Damp conditions.
2. Unable to save; experiencing poverty.	14. Rottenness.
3. Difficulties making ends meet.	15. Pollution.
4. Poor health or a disability.	16. Criminality.
5. Income required, being divorced or widowed.	17. Subsidence (cracks).
6. Consumption costs.	18. Internal noise.
7. Housing costs.	19. Internal privacy.
8. Dwelling living in housing camps.	20. External privacy.
9. Living in rooms.	21. Debts.
10. External noise.	22. Being poorly educated.
11. Darkness in the dwelling.	23. Inability to afford recreation, entertainment or sports.
12. Lack of heating.	24. Poor psychological health.

Source: (Dekkers 2008:506)

Table 6: Criteria for PV generation applicable in South African communities

Economic prosperity	Pro-poor growth approaches to reduce inequality and to build human and social capital.
Education	Improve school enrolment, quality of schooling, school curriculum design, restore school attendance norms, quality of education delivered and development activities, i.e. as it relates to human development.
Social structures	Build social norms, trust, cooperation, reciprocity, responsiveness and networks for shared understanding and collective action.
Health	Productive consumption providing nutritional intake to avoid malnutrition.
Sustainable development	Spending for inclusive growth strategy for sustainable facilities like health, education and housing.

Source: (Adapted from Dinda 2014)

Africa, these categories may be used as (i) poverty measures, as it relates to chronic socio-economic and epistemological deficits in sectors of the society, and (ii) PV focal areas, viz. improvements in the delivery of nutrition, effective utilisation of social resources, housing, school attendance, employment and the delivery of quality education, captured in Table 6. Harris (2007:436) found that South Africans experience lower levels of (i) general happiness, (ii) trust, (iii) satisfaction,

(iv) economic well-being, (v) optimism about prosperity, and (vi) social cohesion. Given the compounded nature of poverty in South Africa, PV generation programmes and projects should assume priority at the level of service delivery.

CONCLUSION

PV generation was explored in terms of its criteria, definitions, applicability, relevance and systemic qualities for the attainment of improved quality of life and social well-being in ailing communities. PV was defined as community and beneficiary-owned tangible and non-tangible assets. PV theory, generation approaches, evaluation and examples of applications were explored in order to provide insight into the means by which socio-economic community matters, problems and demands may be treated, viz. through service delivery, community engagement and collaboration with stakeholder networks acting in an IPSS for PV generation.

PV generation entails transparent network interactivity, focusing on three major components, (i) the institutionalisation of collaborative efforts, (ii) the integration of skill, willingness and capacity, and (iii) adopting a sustainable structure such as an IPSS. Holistic envisioning, the practise of integration and the utilisation of stakeholder networks are implemented in PV generation programmes and projects, taking account of the complexity, heterogeneity of public groups and the institutional and organisational flexibility by which PV is measured. PV generation therefore engages a viable alternative system to the inwardly focused bureaucratic system of government and governance practices.

The management of participation, deliberation, knowledge transfer, empowerment of participants and finally, the adoption of sustainability measures; are crucial PV support functions. PV generation takes cognisance of social interactivity and incorporates deliberative democratic principles such as openness, transparency and administrative flexibility, guided by the objectives of effectiveness, efficiency and economic expediency.

The sociological and economic nature of PV generation and measurement entails public engagement in an organised and constructive environment; it implies too that investment in PV programmes and projects are protected by stakeholders, being the custodians of public assets, material and non-material PVs. What remains a central feature of PV generation and evaluation is that it is derived from the needs, demands and expectations of the public, i.e. PV evolves from public choice. The PV generation criteria highlighted in this article are globally and locally relevant; however, it is vastly reliant on the emergence and implementation of an IPSS. PV generation is therefore anticipated to be relevant for application in the public space, as a criterion in public policy enrichment, as a fresh approach

to the delivery of sustainable and transformative value to communities and as the primary product of an IPSS.

NOTE

- * Mr F Jessa is a doctoral candidate under the supervision of Prof F Uys. His thesis is entitled *Managing an integrated public service system (IPSS) generating public value (PV) with regard to municipalities in the Western Cape province*. This article is based on his thesis.

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Radicals, Moderates and Policy Change in Zimbabwe's Indigenisation and Economic Empowerment Policy

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ABSTRACT

This article addresses policy change experiences using Zimbabwe's Indigenisation and Economic Empowerment policy that was launched in 2007. With regard to policy, there has been changes in policy instruments, structures (from centralisation to decentralisation and a shift from a one-size-fits-all to a sector-based approach), as well as the process of fulfilling the set indigenisation minimum quota, among others. The article broadly observes that policy change under former president Robert Mugabe was evolutionary, marginal and incremental. The possibility of radical policy change was pre-empted by the fact that key policy actors had a common ideological ground, as they were members of the same political party. Nonetheless, Zimbabwe African National Union – Patriotic Front (ZANU-PF) political party has been steeped in factional politics where two presidential aspirants have their respective followers. From this background, the article observes distinct individual policy actors that are classified as “policy radicals” and “policy moderates”. Their ideas, approaches, worldviews and orientation vary. This intra-party political bickering has led to policy inconsistency and confusion. The article concludes by highlighting that, besides

factional politics as a driver of policy change, other key factors include the ideas of policy actors, personnel changes and contextual variables such as poor economic performance characterised by worsening growth domestic product (GDP) scores, capital flight, comparatively depressed foreign direct investment levels, among others.

INTRODUCTION

Béland and Cox (2013:193) argue that “policy making is dominated by paradigmatic thinking”. This implies that all policy decisions are influenced by sets of assumptions or ideas that can provide worthwhile solutions to policy problems. But given the political nature of policy making (Uwizeyimana 2011:99), a policy can be replaced with new assumptions and ideas (Uwizeyimana and Maphunye 2014:90). The pluralist perspective highlights the role of a multiplicity of interest groups and other non-state actors involved in bargaining and competing to influence governance processes and policy matters in general (Howlett, Ramesh & Perl 2009). A multiplicity of policy actors more or less translates to a multiplicity of policy ideas that seldom converge on common solutions to common policy problems (Uwizeyimana 2011:346). Due to policy actors’ competing ideas and assumptions, policies sometimes undergo reviews resulting in either continuation, reform or even termination. All these possibilities reflect experiences in *policy change*, which are reflected in goal adjustment, instrument changes, or generally, change in the approach to policy issues. According to Uwizeyimana (2011:116, citing Ghenna 2006:1-4), “The effective policy is one which consists of fast-moving sequences of small changes, which can more speedily and drastically alter the status quo, instead of static or infrequent major policy change”. As such, policy change varies in terms of magnitude and extent of impact.

This article commences from a theoretical foundation laid by the works of Howlett and Ramesh (1995:1), Howlett *et al.* (2009:1), Kuhn (1970) and Hall (1993). Notably, Kuhn (1970:150) referred to fundamental changes in scientific approaches or underlying assumptions as “paradigmatic shifts”. The article discusses a policy change launched in 2007 in Zimbabwe using the experiences of Zimbabwe’s Indigenisation and Economic Empowerment policy (hereafter IEE policy) (Zvoushe, Uwizeyimana and Auriacombe 2017:122). The IEE policy broadly pursues redistribution of wealth to African Zimbabweans that were previously disadvantaged by unfair discrimination on the basis of race (Chilunjika and Uwizeyimana 2014:133). The article observes a divergence in policy interpretation and implementation, resulting in systemic discord and

policy inconsistency among the key policy actors in Government. The discord is further exacerbated by two factions within the ZANU-PF party, made up of 'radicals' and 'moderates' that were embroiled in a succession race (Zvoushe *et al.* 2017:122). Subsequently, political players have projected their political infighting across policy sectors, albeit with adverse consequences on policy success and investor confidence. These politicians' clash of assumptions and beliefs (paradigms) are based on power struggles rather than a focus on facilitating delivery of policy success.

The article commences by a brief discussion of the conceptual background of policy change to unravel its constitutive elements for analytical purposes. It proceeds to trace the changes in personnel handling the indigenisation portfolio, and the implications on policy interpretation and implementation thereof. Notably, each new Minister had a different approach to the IEE policy. At the height of cabinet Ministers' divergence of perspectives, the president had to clarify Government's position on the IEE policy through a Presidential Statement. The Statement further makes changes to the IEE policy by moving away from a one-size-fits-all to a sector-specific approach to indigenisation.

CONCEPTUALISING POLICY CHANGE

Public policies are not immune to endogenous and exogenous dynamics that often prompt policy adjustments, reforms and even termination. Due to the dynamics and intervening variables fewer policies enjoy policy stability for long (Cloete 2006:45; Goldin and Kenneth and Reinert 2006). With time policies are bound to change in various ways (Okecha 2010:95). Capano and Howlett (2009:3) argue that policy changes take on various forms: "Change in the process; changes in the policy actors' relationships; changes in the basic policy values and goals; changes in the policy strategies; changes in policy instruments; changes in policy definitions; changes in institutional arrangements of a policy field".

Howlett and Ramesh (1995:185) and Howlett *et al.* (2009:202–06) observe two distinct types of policy change, namely normal and paradigmatic or atypical policy change. Normal change denotes situations where there is continuation of past policies with only incremental changes involving minimal expansion and adjustment, such as tightening regulations or offering extra subsidies. As such, there are small differences between the adjusted policy and the old policy, while there are no fundamental changes to agreements that are based on "past negotiations and compromises" (Howlett and Ramesh 1995:185). As there are policy monopolies in specific policy subsystems, there are relatively fixed approaches and interpretation of policy issues (Baumgartner and Jones 1993). In this case, significant policy changes will only be expected when policy monopolies have

been broken, allowing new members with fresh ideas into the policy subsystems. Notably, old members in a particular policy subsystem are likely to have a common fixed approach to handling policy problems.

Paradigmatic policy change denotes a dramatic, revolutionary shift in policy (Chilunjika and Uwizeyimana 2015:131). The concept of “policy paradigm” is associated with two scholars, namely Thomas Kuhn and Peter Hall. Chilunjika and Uwizeyimana (2015:131) argue that the term “paradigm” is attributed to Thomas Kuhn (1970), an American philosopher of Science who is credited for coining and applying the term to make sense of revolutionary changes in scientific knowledge. Kuhn observed and argued that, when developing scientific knowledge, there is a notable shift from one dominant thinking to another. Hall (1993) is credited as the first to borrow, adapt and popularise the Kuhnian concept of “paradigm” in the fields of Public Administration and Policy Studies. A paradigm is defined as “a common epistemological vision shared by members of some knowledge-based community – such as physicists or economists, and even policy-makers – to the extent that knowledge is a significant factor binding them together and shaping their behaviour” (Howlett and Ramesh 1995:188). It reflects a set of basic assumptions, ideas, beliefs, intellectual tradition and dominant thinking in a given policy subsystem. Béland and Cox (2013:193) further highlight that, “Paradigms are pervasive; they occur in every policy field; indeed, some paradigms are broad enough to encompass many different policy fields”. Policy paradigms are born; they grow in influence and popularity; and eventually they die and are replaced by new, contending ones (Uwizeyimana and Maphunye 2015:1). The continued dominance of a paradigm is only guaranteed by its efficiency, efficacy and capacity to solve policy problems in a given policy field. Whenever a paradigm fails to provide answers or solutions to vital policy problems, it naturally opens space for the rise of a new paradigm that, if capable of providing solutions to the said problems, would then automatically become the preferred paradigm (Uwizeyimana and Maphunye 2015:1). The old paradigm would have successfully been replaced by a new contending, competent paradigm. The old paradigm’s failure to solve problematic policy issues has the dual effect of triggering its own downfall and necessitating the birth of a new one. Kuhn (1970:77) argues that, “The decision to reject one paradigm is almost always simultaneously the decision to accept another”.

Hall (1993:281–87) highlights three types/levels of policy change, that is, first-order, second-order and third-order change. First-order change is characteristically incremental and involves minimal policy changes, such as budgetary adjustments. Second-order change involves altering policy instruments without radically changing policy goals. Third-order change involves radical changes and policy discontinuities, characteristically encompassing a “disjunctive process” (Hall 1993:279). The policy paradigms model is often useful in analysing the

role of ideas in policy change, as well as understanding the relationship between ideational influence, political power, party politics and institutions (Wilder and Howlett 2014:183; Baumgartner 2012:239; Baumgartner 2014:475; Hall 1993; Daigneault 2014:481; Béland and Cox 2013:193). On the one hand, the rise, endurance, fall and eventual replacement of policy paradigms undergird the exchanges between competing policy ideas. On the other hand, they reflect the “changing political fortunes of powerful actors in society” championing those paradigms (Béland and Cox 2013:193). Furthermore, each policy is a response to the needs and interests of the contending dominant interest groups in society (Uwizeyimana 2018:25). Such an argument suggests that policy ideas always have proponents who promote their adoption to solve policy problems. As the power of these actors wanes, so does the influence of their ideas in policy making.

FACTIONAL POLITICS

The article’s observation and main argument is that changes to the IEE policy is fuelled by a host of factors. The most notable factor is factional politics involving divided political elites vying to land the highest political office in the country. These succession battles had ripple effects on policy pronouncements and implementation. Political parties are rarely homogenous. The existence of factions is therefore a manifestation of divisions along “intra-party groups” or “coalitions of political actors” pursuing individual interests (Kollnär and Basedau 2005:6, 7). According to Lasswell (in Kollnär and Basedau 2005:8), “the term faction is commonly used to designate any constituent group of a larger unit which works for the advancement of particular persons or policies”. Underscored in the definition is the idea that factions form or coalesce around particular political figures who compete for power. Some have argued that the main purpose for the existence of factional politics is “to influence the composition of the official power apparatus, to determine who rules in a given political centre” (Chazan, Lewis, Mortimer, Rothchild & Stedman 1999:201). Those driving the factional agenda are viewed as motivated by rent-seeking behaviour, which drives them towards targeting the controlling stake in power structures. Control of state apparatus naturally gives victorious factional players leverage over state-controlled resources and distribution of benefits through Government policies and programmes.

In the Zimbabwean context, factional politics emerged from leadership succession in ZANU-PF and by extension, in Zimbabwe. The race to succeed President Robert Mugabe drew many contenders from within ZANU-PF and opposition parties. However, this article is more interested in the ZANU-PF intra-party succession politics. Two contestants emerged from within the ruling

party as potential successors of Robert Mugabe, namely former First Lady Grace Mugabe who was also leader of the ZANU-PF Women's League and former Vice-President, and current President, Emmerson Mnangagwa. In line with this, ZANU-PF has been divided into two opposing camps. One is a group aligned to former First Lady known as Generation 40 (G40), and the other sympathetic to former Vice-President Emmerson Mnangagwa, is popularly known as Team Lacoste.

Some of the notable names in the Grace Mugabe camp included Phelekezela Mphoko (second Vice-President); Patrick Zhuwao (former Minister of Youth, Indigenisation and Economic Empowerment); Saviour Kasukuwere (former Minister of Local Government, Public Works and National Housing), Jonathan Moyo (former Minister of Higher and Tertiary Education), Ignatius Chombo (former Minister of Home Affairs), Walter Mzembe (former Minister of Tourism), Augustine Chihuri (former Police Commissioner), Kudzanai Chipanga (Youth League leader), among others (*The Herald* 19/01/2018 and *Zimbabwe Independent* 30/06/2017).

Some of the notable names in Mnangagwa's camp include Patrick Chinamasa (Minister of Finance), retired Constantino Chiwenga (former Commander Defence Forces), Justice Mayor Wadyajena (Member of Parliament [MP] and Chairman of the Parliamentary Portfolio Committee on Indigenisation), Josiah Hungwe (Minister of State for Liaising on Psychomotor Activities), George Charamba (Presidential Spokesperson), war veterans led by former Minister Christopher Mutsvangwa, among others (Pindula 2017).

The G40 is composed of "young Turks" who constitute a much more youthful grouping that had already begun detaching itself from liberation mantra baggage characteristic of the ZANU-PF culture. Notably, all the front-runners in the grouping have no liberation profiles to their names. On the other hand, Team Lacoste is composed mainly of war veterans who constitute the biggest and most visible subset of the group. Mnangagwa is also a war veteran with a respectable place in the history of the armed struggle. Naturally, war veterans view themselves as guardians of party and national history, as well as custodians of national independence and sovereignty. In 2002, the late Zimbabwe Defence Force Commander, Vitalis Zvinavashe, stated that whoever holds the position of president in the country – now and in the future – must observe the objectives of the liberation struggle. As the security sector they would "not accept, let alone support or salute, anyone with a different agenda that threatens the very existence of our sovereignty" (Zvinavashe, in Tendi 2014:830). When the statement was made, it was interpreted as targeting opposition parties who were largely viewed as "puppets of the West" (Zvoushe *et al.* 2017:134). It also would, later on, pre-empt the rise of ambitious outcrops in the mould of the G40 outfit.

EVOLUTION OF THE INDIGENISATION AND ECONOMIC EMPOWERMENT POLICY

Indigenisation discourse in Zimbabwe dates back to the colonial era when national resources and virtually all goods and services were allocated and distributed along racial lines. Even public infrastructure such as schools, roads, and hospitals were allocated to white settlements. The white-led Government of the colonial era controlled production and the economy at large, (Mapanda 2018:139). The black population was marginalised and their participation in the economy was very limited. During the colonial era, economic disparities pervaded every sphere of life in the country. They were notable between white and black races, urban and rural areas, social classes, provinces and so on (Mapanda 2018:139). Foreign capital that entered the country worked in cohorts with the state to repress the black population by enacting discriminatory legislation and regulations that pushed blacks to the fringes of the economy. As such, the international capitalist class, the minority capitalist class, the minority national bourgeoisie and the white working class enjoyed the benefits of foreign investments (Herbst 1990).

In the first decade of independence, the new black majority government made some efforts to accommodate blacks in various sectors of the economy (Mapanda 2018:139). Some of the earliest indigenisation efforts included the land redistribution programme on a willing seller-willing buyer basis, which was implemented through resettlement schemes (Chilunjika and Uwizeyimana 2017:134). The new majority Government also made efforts to indigenise the civil service through the Prime Minister's Directive of 1980, which was known as the Africanisation of the bureaucracy (Zvoushe, Uwizeyimana and Auriacombe 2017:124). The Government also made efforts to mobilise financial resources for the indigenous business sector, while simultaneously opening some avenues for the mining, manufacturing and distribution sectors. To reduce the influence of transnational corporations, two parastatals in the mining sector – the Zimbabwe Mining Development Corporation (ZMDC) and the Minerals Marketing Corporation of Zimbabwe (MMCZ) – were established. In the parastatal sector, indigenisation took the form of control by blacks who assumed top positions. The Government also established the Small Enterprise Development Corporation (SEDCO), Zimbabwe Development Bank (ZDB), Business Extension Services Advisory Centre (BESA), among others (Zhou 2011). However, there was no ownership transfer to blacks. As such, there was a need for a comprehensive policy to indigenise the economy.

In the second decade of independence, demands for increased black participation in the economy were rising. Although there was an indigenisation policy vacuum in the country, the Government only made sporadic efforts towards indigenisation across sectors (Maphosa 1998:188). In 1992, a task force on the

indigenisation of the economy was formed and was mandated to formulate policy to promote small- and medium-scale enterprises. This resulted in the *National Policy on Indigenisation of the Economy* draft report (Maphosa 1998:188).

The onset of the third decade of independence in 2000 saw the implementation of the Fast Track Land Reform Programme (FTLRP) that was set against the backdrop of the slow and ineffective market-based willing seller-willing buyer land redistribution strategy (Chilunjika and Uwizeyimana 2015:130). State interventionism became a preferred strategy due to the increased frustration among landless peasants across the country. For the government fast-tracking land redistribution meant a giant leap towards indigenising land ownership in the country on the one hand and containing a threatening popular backlash on the other. The momentum introduced at the beginning of the third decade eventually saw the formulation of a full-blown comprehensive indigenisation policy in 2007.

MODERATE AND RADICAL POSITIONS AT INTER-PARTY LEVEL

Although the IEE policy was launched in 2007, more committed and energetic implementation only came during the period of the Government of National Unity (GNU) from 2009 to 2013. The three political parties that formed the GNU were the ZANU-PF and the two opposition parties, the Movement for Democratic Change – Tsvangirai (MDC-T) and Movement for Democratic Change – Mutambara (MDC-M). Among the three political parties, there was a general consensus on the imperative of empowering historically marginalised Zimbabweans. However, there was no consensus on how to achieve the goal (Masunungure and Koga 2013:1). Methodological differences in empowerment approaches led to the rise of two contrasting paradigms between ZANU-PF and the opposition MDC parties.

Masunungure and Koga (2013:1-2) argue that the ZANU-PF preferred the indigenisation paradigm which assumed that empowerment is best achieved through compulsory takeover of businesses to benefit indigenous Zimbabweans. This radical approach in practice explains the rise of overnight millionaires who benefitted from thriving business ventures. The ZANU-PF Manifesto (2013:7) amplifies the party's paradigm that, "the essence of ZANU-PF's ideology is to economically empower the indigenous people of Zimbabwe by enabling them to fully own their country's God-given natural resources and the means of production to unlock or create value from those resources. According to *The Sunday Mail* (06/12/2013 in Magure (2014:37), "Without having to work for someone, if Zimbabweans heed ZANU-PF's message, they can organise themselves into groups to run successful businesses which can help shore the country out of poverty". This aspiration

was later pursued with the implementation of the Indigenisation and Economic Empowerment Act 14 of 2007 (hereafter, the IEE Act), and the various regulations and their amendments that enabled the implementation of the Act. On the basis of their paradigm, the ZANU-PF government went on to prepare indigenisation laws requiring all businesses with a net asset value of US\$500 000 to set aside 51% shareholding to previously marginalised Zimbabweans. This stipulated minimum indigenisation quota was to be achieved within the first five years after the enactment of the IEE Act.

Many of the opposition MDC politicians did not see the empowerment approach of compulsory business takeover in good light and they condemned the paradigm altogether. This route was criticised as a strategy to benefit cliques in positions of power:

“ZANU-PF’s indigenisation policy is about replacing foreign capitalists with African capitalists connected to power with no difference to accumulation and consumption...The policy is limited in its application and amounts to a form of legalised looting by those with political power and their closest friends” (MDC-T 2012:34).

From this position, the ZANU-PF strategy was criticised as heavily defined by elitism, cronyism and exclusion – traits that automatically ruled out claims of broad-based empowerment professed in the policy. This criticism is not isolated. Several reservations have been expressed on the IEE policy option. Matyszak (2014:2) discredited the indigenisation law as “a script written to advance ZANU-PF’s pre-electoral rhetoric and pre-election objectives”. Drawing from past experiences with redistribution policies of the government, Gono (2011a:2-3) states that:

“What we have spoken against before, and we still today and tomorrow, is that any attempt to hide behind the indigenisation law or any law for that matter, in order to commit or justify acts of economic banditry, expropriation and or unfair practices that suggest that we are not a law-abiding citizenry or any attempts to parcel out pieces of the economic cake and opportunities created by this noble piece of legislation to a few connected cliques of people whilst the majority of intended beneficiaries remain with nothing, as happened in the past with respect to other Government empowerment schemes, is totally unacceptable”.

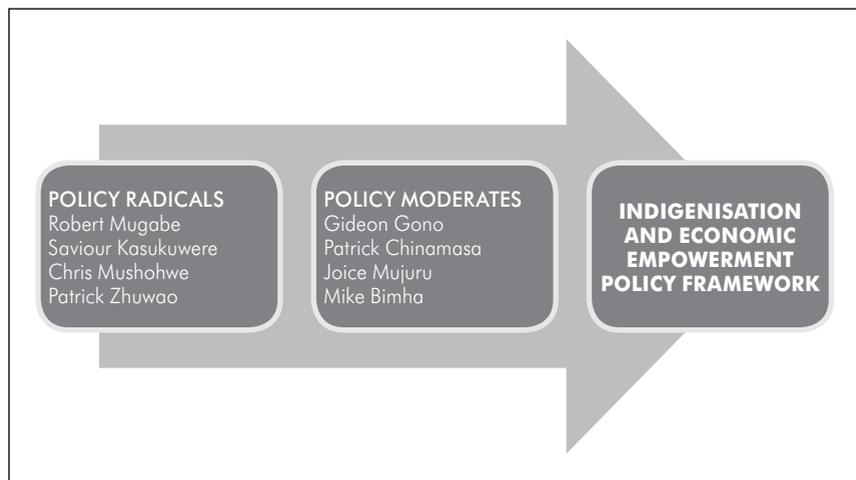
Opposition MDC parties advocated a contrasting paradigm of job creation as their preferable route to empowerment. They assumed that, in the light of the ever-soaring unemployment rate of more than 80%+, job creation was the most ideal route to empowering the people. The MDC-T (2012:34) argued that its jobs plan

was grounded in its “upliftment agenda in which the whole country and every citizen benefit from the national cake”. Against the background of two contrasting political approaches to empowerment, a 2012 opinion survey by the Mass Public Opinion Institute (MPOI) to establish public preference on the two paradigms across the country’s provinces revealed that 78% preferred job creation, while only 19% favoured business takeovers (Masunugure and Koga 2012:3).

POLICY RADICALS VERSUS POLICY MODERATES IN THE ZANU-PF PARTY

Emerging from the implementation of the IEE policy framework is the role and influence of official policy actors, mostly in executive positions. A cursory review of policy pronouncements made by some of the key ZANU-PF policy actors reveals polar differences among those involved with the IEE policy. Their divergent policy positions seem to reveal the influence of ideology and experiential knowledge and/or experiential instinct. This article divides the opposing camps into that of “policy radicals” and “policy moderates”. Some of the popular names associated with the groups are reflected in Figure 1. Radicals take extremist positions that almost border on irrationality. They place demands for overnight changes to policy without much consideration on how these alterations will affect policy success and economic development. By contrast, moderates seem to take a rather toned-down, more sober and calculative approach to policy.

Figure 1: A sample of radicals and moderates involved in the IEE policy



Source: (Authors’ own construction)

The “radicals-moderates” categorisation of policy actors resonates in other commentaries. For example, Matyszak (2016b:5) uses the “hawks – doves” tags in labelling the policy actors. Against the background of a widening policy rift between the two opposed groups of policy actors, it can be observed that those in the radical camp are divorced and distant from the realities of national economic investment dynamics as compared to most of their counterparts in the moderates’ camp. Apart from Joice Mujuru, all the other actors in the moderates’ camp are engaged directly with national fiscal, monetary, trade and commerce issues. Their appreciation of foreign direct investment (FDI) appears to have influenced their support of a moderate position regarding indigenisation issues.

The background and political developments before the emergence of radicals and moderates merits discussion at this point. From ZANU-PF’s viewpoint, the indigenisation programme was the “centrepiece” of their manifesto, and therefore it was naturally supposed to “become the centrepiece of...development endeavours” (General Notice of 2016:4). As reflected in its Election Manifesto (2013:12–13), ZANU-PF promised to create “value of US\$7,3 billion from indigenisation of 1 138 companies across 14 sectors of the economy and over US\$1,844,223,157,000 created from the idle value of empowerment assets unlocked from parastatals, local authorities, mineral rights and claims and from the State”. These initiatives were expected to create 2,265 million jobs. After the elections, the new ZANU-PF Government faced an ‘un-cooperating’ economic environment characterised by shrinking FDI inflows, capital flight and rising unemployment.

Simply, the election promises could not be realised in light of the economic conditions. This thrust the ZANU-PF led Government into deep confusion. In light of the worsening economic situation, some preferred a policy rethink on indigenisation. Others pursued the implementation of their election manifesto “centrepiece”. According to Matyszak (2016a:9): “The post-election hangover revealed the depth of the hole ZANU-PF had dug for itself...Having made such a brouhaha about indigenisation and claimed that this would determine economic planning, it could not abandon the policy without considerable political cost and embarrassment, yet to carry on in the same vein, meant Zimbabwe’s economic trajectory would continue its downward spiral. Since the elections, ZANU-PF has thus been divided between those who wish to stop, and those who wish to continue, digging. The result has been a series of contradictory policy pronouncements by the President and various Ministers” (Matyszak 2016a:9).

This then, is the making of policy radicals (hawks) and policy moderates (doves). For radicals a policy rethink would force them to eat a humble pie and they are set not to stray from the pre-election policy position. They have chosen to push for the continued implementation of the original, unaltered policy framework. Moderates, on the other hand, realising the economic downturn and the

resultant socio-economic effects, settle for a retreat and/or “climb down” in the policy position to save the economy.

Other arguments on the rift between moderates and radicals suggests that their stand-off is a result of ZANU-PF factional politics (Matyszak 2016a:14) that gathered a lot of heat since former Vice-President Joice Mujuru was sacked in 2014. The two factions that emerged – G40 and Team Lacoste – were involved in pervasive fights – even at Cabinet level. They used every available opportunity to publicly attack and discredit each other. A closer look at the names in these two groups shows that several policy radicals are found in G40, while some of the moderates are in Team Lacoste. From this point, implementation of the IEE policy served as an extension of feuding factions’ battlefield. There are two notable episodes of historic clashes between individuals in the opposing camps:

- The first involved Saviour Kasukuwere (former Indigenisation Minister) against Gideon Gono (former central bank Governor) under the Mugabe government (1980–2017).
- The second involves Patrick Zhuwao (former Indigenisation Minister) against Patrick Chinamasa (former Minister of Finance).

OPPOSING IDEAS AND POLICY STYLES

Policy actors involved in the IEE policy have largely disagreed on issues such as policy strategies for driving the indigenisation agenda, and on the interpretation of the IEE policy itself. The policy has therefore been riddled with confusion, inconsistency and disagreements among the key policy stakeholders, from the President to line Ministers. This lack of policy clarity is due to key policy actors’ lack of shared understanding and appreciation of the indigenisation laws. According to Matyszak (2016a), “...the source of the ‘lack of clarity’ arises from the disjunctures between the Act as it is, the Act as various government officials think it ought to be and the implementation of the law, or its conceptualisation, in practice”. Undeniably, the multiplicity of diverging policy statements on indigenisation matters has impaired the economy’s prospects of attracting investment. Former American Ambassador to Zimbabwe, Bruce Wharton echoes this challenge by stating that, “The rules tend to change from week to week and month to month... Indigenisation is a good example of the rules because they seem to change from time to time, depending on who you are talking to. Over the years, the rules of indigenisation have shifted somewhat” (Wharton in Matyszak 2016a:5-6). To date, four Statutory Instruments have been prepared to help implement the IEE policy framework.

One major policy contestation involves former Finance Minister Patrick Chinamasa and former Indigenisation Minister Patrick Zhuwao. On the one

hand, Minister Chinamasa called for an indigenisation policy that attracts and accommodates FDI, and in the process courting the approval of the International Monetary Fund (IMF) towards opening up of credit lines. Minister Zhuwao rejected prospects of resuscitating financial dealings with the IMF and called for a home-grown solution to Zimbabwe's economic recovery (Matyszak 2016a:5). The two Ministers' opposing views led to conflicting regulations in line with their divergent perspectives on indigenisation (Matyszak 2016b:5). Further, the Chinamasa – Zhuwao tussle has revived the policy stand-off between former Indigenisation Minister Saviour Kasukuwere and former Central Bank Governor Gideon Gono over indigenisation of the banking sector. Whilst Zhuwao was pushing for the implementation of the 51% indigenisation threshold, Chinamasa was arguing that banks have already submitted satisfactory indigenisation plans to him (*Zimbabwe Independent* 15/04/2016).

The inconsistency and confusion over the IEE policy was compounded by the fact that, in its ten years of existence, the policy has been handled by six different Ministers who all adopted dissimilar positions regarding policy interpretation and implementation. First, Paul Mangwana presided over the passing of the bill into law in March 2008 (Magaisa 2015: online). Mangwana acknowledged the necessity of indigenisation and economic empowerment in the country. However, he also appreciated the wisdom of taking a cautious approach towards the implementation process because of the destabilising effect the policy could have on the economy and the country's investment prospects. Mangwana was succeeded by Kasukuwere, who was in charge throughout the duration of the GNU (2009-2013). Kasukuwere adopted a radical approach to indigenisation, often deploying threats and harassment tactics on foreign businesses. His preference was a one-size-fits-all approach that set him on a collision course with former Reserve Bank Governor Gideon Gono, former Vice-President Joice Mujuru and the opposition MDC party in general who were all biased towards promotion of foreign direct investment.

After the July 2013 elections Francis Nhema replaced Kasukuwere as Indigenisation Minister. However, he got sacked in January 2015 for aligning with presidential aspirant Vice President Joice Mujuru who was accused of harbouring plans to topple President Mugabe. Nhema, however, took conciliatory approach to indigenisation, preferring negotiation over confrontation with foreign businesses. Muza (2013: online) questioned whether the shift from Kasukuwere to Nhema was emblematic of a change in policy approach from "hawkish to dovish" indigenisation and therefore from a radical to a more sober process of indigenisation. Some have seen it as a shift from a highly politicised indigenisation process that sought political benefits in the context of political contestations of the coalition government era, to a more rational post-election process that sought economic benefits (Masunungure, interview March 10 2016).

Kasukuwere was accused of unilaterally approving and/or making decisions on firms' compliance with the indigenisation requirements without consulting the National Indigenisation and Economic Empowerment Board (NIEEB), as stipulated in the IEE Act. Furthermore, it was unclear how much foreign companies had to contribute to Community Share Ownership Trusts (CSOTs) and Employee Share Ownership Trusts (ESOTs). In line with this, Nhema stated that, "Do we have written instructions for the companies to pay US\$10 million? The answer is no! The confusion is on interpretation of whether the companies contribute US\$1 million, US\$5 million, or pay US\$10 million each and the interpretation from my predecessor was they must pay US\$10 million each" (Francis Nhema in Crisis in Zimbabwe Coalition 2015:18).

Senator Chitaka also alluded to the lack of standardisation in the indigenisation-related payments: "...we need a more quantifiable method of measuring what the contribution should be. How do we measure what this mine should provide compared to that mine?...Now, you get a situation where a big company says it has pledged US\$10 million and we all cheer and a small company pledges US\$1 million and you think you are doing very well. That US\$10 million, if you had a quantifiable way of measure, you may find that a company which was supposed to contribute US\$50 or US\$100 million but because we were relying on *tipeiwo, mafunga kutipei gore rino* [kindly give us, how much have you decided to give us this time], we never get there" (Parliament of Zimbabwe, Parliamentary Debates, 03/03/2015).

The obvious risk of lack of quantifiable standards of payments is the receiving of amounts that are not equal to the respective companies' levels of value, capacity and resources under their control. There is the possibility of either underpayment or overpayment will be palpable and operating businesses will be treated unfairly. To date, this issue has not been addressed and Government continues to call for companies to honour their pledges made years ago.

After the sacking of Nhema, Christopher Mushohwe was appointed as indigenisation Minister. During his brief eight-month stint as Minister, Mushohwe took a hard-line stance to indigenisation. He hinted that Government could even raise the indigenisation threshold to 99%. However, this was in direct opposition to former Vice-President Mnangagwa's recent announcement that Government intends to relax indigenisation laws to attract FDI (*Zimbabwe Daily* 24/12/2014). These opposing positions by policy actors continued to deepen investor confusion and smother confidence in the business environment. In terms of law and regulations, nothing changed during Mushohwe's tenure, besides the fact that he was implicated in indigenisation deal scandals in the Marange diamond fields, Manicaland Province (Magaisa 2015:online).

In August 2015, Patrick Zhuwao, a nephew of President Mugabe, took over from Mushohwe. Zhuwao revived Kasukuwere's combative approach to

indigenisation. While Finance Minister Chinamasa continued to promise investors and the international community a relaxation of indigenisation laws (*NewsDay* 07/05/2014), Minister Zhuwao's message at home was that indigenisation matters would not be reviewed: "I don't negotiate government policy, I don't negotiate legislation, all I do is implement existing legislation...You hear people say let's relook at indigenisation, they really don't know what they are talking about... It [indigenisation] is actually a constitutional provision...you really cannot water down a constitutional provision" (Zhuwao on Nehanda Radio 12/11/2015). In fact, Zhuwao introduced a 10% empowerment levy on businesses', and went on to threaten non-compliant companies with withdrawal of licences and closure should they fail to fulfil the set indigenisation threshold of 51% shareholding to locals by 01 April 2016.

CHANGES IN INDIGENISATION AND ECONOMIC EMPOWERMENT MODELS

The search for a most suitable indigenisation model in Zimbabwe has been characterised by lack of consensus and fierce policy debates between various governmental policy actors. Specifically, problems revolved around how such a model is to be designed. One of the most revealing episodes of policy contestations on model selection involved Kasukuwere, who adopted a radical, one-size-fits-all approach to indigenisation, and Gono, a policy moderate (*The Sunday Mail* 25/05/2014), who preferred a more sober and flexible approach. Gono opposed a one-size-fits-all strategy on the banking sector, citing its sensitivity to rough policy shocks. Apart from the potentially destabilising effect indigenisation could have on the banking sector, it was further argued that the sector was already indigenised. By the end of June 2012, out of the twenty-six banking institutions operating in the country, nineteen were locally owned and seven were regional and international banks (IMF 2012:19). Apart from its specific application to the banking sector, the one-size-fits-all strategy has been condemned as "reckless, inappropriate, disruptive and dangerous" (Mawere 2013:online). Even President Mugabe attempted to clarify matters regarding indigenisation in the resources-based sector, arguing: "How do we apply that principle 51/49 of indigenisation and economic empowerment? When it comes to the natural resources that is very clear. When it comes now to areas of technology, in fact the technology is borrowed, then you cannot apply the same principle of the (51/49) because this is not yours...Those who have brought the resource here own the resource. What you can say is you are participating in that resource that is coming into the country and for that one, you can go 50/50 or you can agree on a ratio which

is sustainable and equitable. It is not every case that we must apply the 51/49” (President Mugabe in the General Notice 2016:5).

Against this call for flexibility and rejection of the one-size-fits-all approach, Gono advocated for a sectoral approach to indigenisation. According to Gono, “a sector-based empowerment programme is more delivery focused, considering the peculiarities of each sector; and has thresholds, timeframes and targets that are easier to set and monitor” (Gono 2011a:8-11).

In addition, some sectors of the economy such as agriculture, transport, communication, education, health, among others, are already under the control of either the Government or indigenous private sector and are therefore already indigenised (Gono 2011a:11). From this perspective, indigenisation was supposed to target “unindigenised sectors such as manufacturing, mining and finance” (Gono 2011a:11).

From the start, the government has used the Equity-Ownership Model, which has been criticised on many fronts. Gono (2011a:6) and Kanyenze (2013:19), for instance, have argued that only a few can fit into, and benefit from, the Equity-Ownership Model. Ideally, an economic empowerment strategy must be broad-based and fulfil the aspirations of the people (Gono 2011). Notably, it must strike a balance between achieving indigenisation objectives and attracting foreign investment (Magaisa 2015; Makwerere and Chiwada 2014:115; Pfumorodze 2013:57; Gono 2012:10 and Magure 2012:67). Furthermore, it must reduce grassroots poverty and ensure social welfare, as well as facilitate equitable redistribution of wealth across a broad spectrum of society (Gono 2011a:4-5). The Equity-Ownership Model falls short in meeting all these targets. The model is not only narrowly focused and prone to elite indigenisation, but also leaves room for rent-seeking behaviour and corruption. The trajectory of implementation experiences clearly reveals that the Equity-Ownership Model has not focused on creating new wealth but on distributing existing foreign-owned wealth to cliques and a connected few (Kanyenze 2013:19). In addition, indigenisation has been seen as a way to reduce unemployment and poverty.

The equity ownership model has since taken on a populist guise as CSOTs and Employee Share Ownership Schemes created the misleading impression of automatically owning 51% shares in business entities without paying for them among workers and communities alike (Kanyenze 2013:19; Lind 2010). The situation has been compounded by the militant approach adopted by radical policy actors such as Kasukuwere, whose approach pressed for overnight indigenisation. In practice, the tight window period set for fulfilling the indigenisation quota was neither realistic nor reasonably flexible. The Reserve Bank of Zimbabwe (2007:90) advocated a more relaxed and extended timeframe for achieving the indigenisation threshold. It made the following recommendations on the timeframes for indigenisation in business entities (2007:90).

Table 1: Recommended timeframes for indigenisation

	CAPITAL INTENSITY AND TECHNOLOGY COMPLEXITY		
	HIGH	MODERATE	LOW
INVESTMENT SIZE	Over US\$500 million	US\$150 – 500 million	Under US\$150 million
Year 1 – 5 Suggested degree of indigenisation	20%	30%	51% immediate compliance (Through fair value type of acquisition structures)
Year 6 – 10 Suggested degree of indigenisation	45%	51% compliance (Through fair value type of acquisition structures)	
Year 11 – 15 Suggested degree of indigenisation	51% compliance (Through fair value type of acquisition structures)		

Source: (The Reserve Bank of Zimbabwe 2007:90)

In the light of the weaknesses in the Equity-Ownership Model, Gono (2011a:6) proposed a Supply and Distribution Indigenisation and Empowerment (SaDIE) Model based on the broad-based participation of indigenous people in the economy's supply and distribution chain. This way, indigenous people would be involved in the supply and distribution of inputs, raw materials and services for the production processes of downstream industries. The SaDIE model takes a gradualist approach to indigenisation and empowerment, whereby companies are given relaxed timeframes for achieving the indigenisation thresholds (Gono 2011a:7). With the model, companies are required to buy inputs and raw materials from indigenous suppliers.

In 2014, two models, the Production Sharing Model (PSM) and the Joint Empowerment Investment Model (JEIM), were proposed (*The Sunday Mail* 25/05/2014). These were believed to have the best chance of “meeting the ideological, legal and policy necessities of indigenisation and economic empowerment” (*The Sunday Mail* 25/05/2014). The two chosen indigenisation models will be employed as the main vehicles for a sector-specific approach to the implementation of the IEE policy framework. Each of these models is more applicable to some sectors than others. For instance, the PSM will mostly be applied to sectors such as mining, land and tourism (where there is 100% local ownership of resources), while the JEIM will be used for other sectors such as manufacturing and others. The models (especially the PSM) have been successfully applied in

various regions of the world including the Middle East, Africa and Latin America, but mostly in gas- and oil-producing countries.

FROM ONE-SIZE-FITS-ALL TO A SECTOR-SPECIFIC APPROACH

After a series of tussles and debating, the policy ideas advanced by moderates such as Gono were upheld. This has led to changes in the approach to indigenisation across sectors of the economy. Under the one-size-fits-all approach that dominated during Kasukuwere's tenure, the implementation of indigenisation thresholds was guided by one template that did not consider the delicacies and diversities of various sectors within the economy. As highlighted earlier, sectors such as the financial services sector did not fit into the one-size-fits-all implementation framework. The insensitivities of the one-size-fits-all approach, coupled with the radical orientation of Indigenisation Ministers Kasukuwere and Zhuwao created deep economic instability fuelled by a hostile business environment and dwindling FDI inflows. The dangers of a blanket approach to indigenisation were soon noted, necessitating a policy review to establish a sector-specific approach. President Mugabe's speech at the 2014 Independence Day celebrations indicated a shift away from the one-size-fits-all approach, emphasising that,

"If a company is established and is getting raw materials from outside and the raw materials are not Zimbabwean, take the case of aluminium, we don't have raw materials for it. If the raw materials come from Tanzania, which has it, and if a company establishes itself here in Willowvale, we cannot demand 51%" (Mugabe in NewsDay 24/04/2014).

The new sector-based approach promulgated in the Presidential Statement of 11 April 2016 divided sectors into four broad categories, which are to be approached differently in terms of implementing the IEE policy. The broad sectors are:

- **The Natural Resources Sector:** All businesses exploiting mineral resources. In this sector, the indigenisation threshold is 51% controlling interest to indigenous Zimbabweans, leaving foreign investors with 49% shareholding. This scheme, according to the Government, is not negotiable.
- **The Non-resources Sector:** This broadly includes businesses that do not exploit natural resources. For these businesses, the compliance with the indigenisation policy is measured on the basis of sector-based empowerment credits or quotas. These are largely negotiated between Line Ministers and private investors, while the Indigenisation Minister plays a coordinating role through the Cabinet Committee on Indigenisation and Economic Empowerment.

The Presidential Statement (11/04/2016) emphasises that businesses operating in the non-resources sector should work towards achieving the following “socially and economically desirable strategies objectives”:

- “beneficiation of raw materials that are extracted in Zimbabwe for the purposes of value addition and exporting, in order to generate the much-needed foreign exchange;
 - transfer appropriate technology to Zimbabwe for the purpose of enhancing productivity, which is critical in reducing import dependence;
 - creation of employment and imparting of new skills to Zimbabweans;
 - granting of ownership and/or employee share ownership for value to indigenous Zimbabweans as may be agreed between an investor and indigenous Zimbabwean partner(s); and
 - developing and creating linkage programmes, enterprise development, value chains and any other desirable objectives as may be defined by the responsible line Ministers for the purpose of attracting FDI into Zimbabwe” (Presidential Statement 11 April 2016).
- **The Financial Services Sector:** Banks and other finance-related institutions. Following the policy contestations around indigenising the banking sector and its sensitivities to crude shocks, it was resolved that the sector continues to be regulated through the Banking Act implemented through the Reserve Bank of Zimbabwe. This position is expected to ensure stability and confidence to operators and prospective investors. In the context of indigenisation and economic empowerment, the sector is expected to finance strategic economic sectors, projects, ESOTs and linkage programmes, among others (Presidential Statement 11/04/2016);
 - **Reserved Sectors:** Sectors reserved for indigenous Zimbabwean entrepreneurs. These sectors are listed in the Third Schedule of the IEE Act, including agriculture (production of food and cash crops); transportation (passenger buses, taxis and car hire services); retail and wholesale trade; barbershop shops, hairdressing and beauty salons; employment agencies; estate agencies; valet services; grain milling; bakeries; tobacco grading, processing and packaging; advertising agencies; and milk processing. The list of reserved sectors is, however, subject to reviews and changes from time to time.

DECENTRALISED, SECTOR-BASED IMPLEMENTATION OF THE IEE POLICY

The Presidential Statement (11/04/2016), read together with amendments to the Indigenisation and Economic Empowerment Act 14 of 2007, further highlights institutional changes to the implementation of the IEE policy. From January 2015,

the implementation of the IEE policy was decentralised to line ministries. As such, businesses in various economic sectors now submit their indigenisation compliance plans to the line Minister in charge of their specific sectors. In the light of this development, the role of the Minister of Indigenisation would be “to coordinate the activities of line Ministries in the implementation of the policy through the relevant Cabinet Committee, which he chairs” (Presidential Statement 11/04/2016). To ensure that the Government’s policies and objectives of indigenisation and economic empowerment are implemented, Section 7 of the amended IEE Act provides that “(a) businesses shall submit indigenisation implementation plans for approval by the line Minister; and (b) the line Minister shall carry out an indigenisation and empowerment assessment rating for every business”.

ADJUSTMENT OF POLICY INSTRUMENTS IN THE MINING SECTOR

The Presidential Statement (11/04/2016) further makes some changes on the stipulated minimum indigenisation quota of 51% where 10% used towards CSOTs; another 10% towards Employee Share Ownership Trusts (ESOTs), and the remaining 31% was supposed to be paid into the National Indigenisation and Economic Empowerment Fund (NIEEF). The new provision proclaims that, where the Government or indigenous Zimbabweans do not have 51% ownership, companies operating in the natural resources sector could ensure compliance by spending at least 75% of their gross revenue locally: “For existing businesses where Government does not have 51% ownership, compliance with the Indigenisation and Economic Empowerment Policy should be through ensuring that the local content retained in Zimbabwe by such businesses is not less than 75% of gross value of the exploited resources. Local content here refers to the value retained in Zimbabwe in the form of wages, salaries, taxation, community ownership schemes, and other activities such as procurement and linkage programmes” (Presidential Statement 11/04/2016).

With the 75% local spending provision to fulfil the minimum indigenisation quota, companies are no longer compelled to create CSOTs and ESOTs or make payments to NIEEF. Platinum miners, for example, have fulfilled indigenisation requirements without paying anything to NIEEF. Of the estimated US\$3 billion generated by the platinum industry from 2012 – 2015, 73% was spend locally on suppliers, government, employees, communities, among others (Chitando 2016).

This relaxation of indigenisation limits appears to have been influenced by exogenous factors in the form of negative economic scenarios. For example, by 2015 the country was in an economic recession marked by a depressed gross domestic product (GDP) growth rate, lack of competitiveness and capital flight.

In 2015, Zimbabwe ranked 171 out of 189 countries on the World Bank (WB) Ease of Doing Business Index. In 2014 Zimbabwe recorded low levels of FDI compared to its southern African neighbours, Zambia, Mozambique and South Africa who received US\$2,4 billion, US\$4,9 billion and US\$5,7 billion, respectively, while Zimbabwe received only US\$545 million (*Zimbabwe Independent* 24/12/2015). There is no doubt that the Indigenisation Act has its own fair share of negative statutes negatively affecting investment and the sustainability of business operations.

TRIUMPHANT MODERATES? PRESIDENT MNANGAGWA'S REFORMISM

Dramatic political events took place in Zimbabwe in November 2017. The Military took control of the state on 15 November 2017, placing President Robert Mugabe under house arrest and arresting several Cabinet Ministers aligned to the First Lady's G40 faction. The Military claimed they were targeting "criminals around President Mugabe", and code-named their operations "Operation Restore Legacy". Massive anti-Mugabe protests engulfed the country, especially in towns and cities; and Parliamentarians began the process of impeaching President Mugabe. The impeachment process eventually forced Mugabe to resign and on 24 of November 2017 and Mnangagwa was subsequently inaugurated as the country's new president. Mnangagwa is generally viewed as a moderate, open, business-minded politician with vast business interests in the country. His tenure has ushered in a new dispensation marked by a change in policy direction across several sectors, especially in investment, mining, infrastructure development.

During his inaugural address, President Mnangagwa promised major policy reforms, including "refining" the IEE policy which is perceived to be a barrier to FDI (*Zimbabwe Independent* 24/11/2017). Undisclosed sources further hinted that, "there is definitely going to be a major policy shift under the new administration...We will sit down and urgently and come up with a new economic plan and reform agenda to ensure recovery, growth and sustainability" (*Zimbabwe Independent* 24/11/2017). In recent bilateral and international meetings such as the Davos World Economic Forum, the words "Zimbabwe is open for business" have almost become President Mnangagwa's signature utterance as he continues his aggressive campaign to woo investors to Zimbabwe. The campaign comes against the background of massive structural and legislative changes that are conducive to foreign investment.

Resonating the new policy thrust echoed in President Mnangagwa's inaugural address, the 2018 National Budget Statement further amplifies business and

investment-focused policy changes as part of the economic recovery strategy. The budget highlights amendments to the IEE in line with “the new economic order” brought by the new administration. In the extractive sector, the 51%/49% shareholding requirement was scrapped on all minerals except diamonds and platinum. The requirement has also been scrapped in all other economic sectors. The reserved sector, however, remains unaltered and areas listed under the category continue to be the preserve of indigenous Zimbabweans. Participation of non-Zimbabweans in the reserved sector is only granted by Government by special dispensation, provided that the proposed business “creates employment; affords the opportunity for the transfers of skills and technology for the benefit of the people of Zimbabwe; promotes the creation of sustainable value chains; and meets the prescribed socially and economically desirable objectives” (Government of Zimbabwe (GoZ) 2017’s National Budget Statement 2018:62).

The wide amendments of the IEE Act and policy are driven by the objective of transforming the business environment, boosting investor confidence, promoting investment and doing away with policy inconsistencies that characterised Mugabe’s tenure. Notably, the theme of the 2018 National Budget, “Towards a new economic order”, speaks to the policy changes and paradigm shift embraced by the new administration.

CONCLUSIONS

Policy change is a key phenomenon of policy making that is driven by various internal or external contextual variables. This article attempted to analyse policy change in the IEE policy over time. It concludes that key drivers of change in the IEE policy include the political bickering of ZANU-PF factional players whose policy clashes produced policy inconsistency and discord which eventually prompted the President to clarify matters regarding IEE policy interpretation and implementation. The Presidential Statement (11/04/2016) issued introduced policy changes such as the sector-specific approach to IEE policy implementation and the provision for 75% local spending of gross revenue. The move from one-size-fits-all to sector-specific approach and decentralised implementation of the IEE policy seem to certify the victory of policy moderates over radicals, since such changes resonate the ideas of the former actors. Economic imperatives such as falling FDI levels and capital flight also inspired policy changes that relaxed the terms of fulfilling the stipulated indigenisation quota. Overall, the changes introduced under the Mugabe administration do not reflect any discontinuity or redefinition of the major IEE policy thrust. However, Mnangagwa’s presidential tenure has ushered in wide changes; the original indigenisation policy is now only applicable to two minerals, diamonds and platinum, and in the reserved sector.

The thrust of the new administration is to remove any perceived investment obstacles (of which indigenisation is one) and open the country for investments using the catchphrase “Zimbabwe is open for business” as the promoting label.

NOTE

- * This article is partly based on an uncompleted doctoral thesis: Zvoushe, H. 2018. Implementation of the Indigenisation and Economic Empowerment Act 14 of 2007 in Selected Mines in the Mining Sector of Zimbabwe under the supervision of Dr D Uwizeyimana and co-supervision of Prof C J Auriacombe.

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