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Contents

Editorial	iii
<i>D Nel-Sanders</i>	
Tribute	viii
Dr Damian Chukwudi Ukwandu	
<i>C J Auriacombe</i>	
The Role of the Budgeting Approach in South Africa	1
Critical Considerations to Enhance Service Delivery	
<i>V T Sambo</i>	
Constitutionalism and Public Administration	21
Critical Considerations for Public Administrators in South Africa	
<i>T Sithomola</i>	
POSTGRADUATE FORUM	
Social Policy Paradigms, Education and Development Through Sports	43
The Implications for South Africa	
<i>O E Dodo and L Ntombana</i>	
Implementation of Demand Management in the South African Police Service	63
<i>B H Matloko and C Alers</i>	
Enhancing the Management Systems and Structures of Technical Vocational Education and Training Colleges in South Africa	86
<i>M D Sithole, H Wissink and N Chiwawa</i>	
Accountable Administrative Gatekeeping	106
Effects on Social Grants for South African Adult Persons with Disabilities	
<i>M M du Toit and L Lues</i>	

**Promoting Gender-based Violence Awareness
in Higher Education Institutions** **126**

The Case of Student Representative Councils in
Selected South African Universities

N von Meullen and G van der Waldt

**Critical Considerations to Achieve and Maintain
Clean Audit Outcomes in South African
Metropolitan Municipalities** **148**

S Mnguni and M Subban

**The Relevance of Civil Society Participation in
Democratic Governance** **171**

S E A Mavee

Editorial

D Nel-Sanders

Chief Editor

This edition of the journal pays tribute to a remarkable scholar and much loved academic of ASSADPAM who sadly passed on 19 August 2022. He has left a void in the School of Public Management, Governance and Public Policy at UJ in particular, and in the ASSADPAM fraternity.

In the first article of this edition, V T Sambo, in **'The Role of the Budgeting Approach in South Africa: Critical Considerations to Enhance Service Delivery'**, argues that in terms of public financial management, post-apartheid South Africa needed to transform the fragmented budgeting system that was inherited from the previous government. To facilitate these reforms, public finances (including the budgeting process) are managed within the ambit of the Public Finance Management Act 1 of 1999. The author highlights that current research underscores the link between public financial management reforms and efficient public service delivery. With this in mind, the article investigates whether South Africa's post-apartheid budgeting approach can play a role in fast-tracking service delivery.

The research findings revealed that the current budgeting system – Zero-based budgeting – emphasises outcomes rather than activities. Furthermore, this budgeting approach does not consider previous spending but starts every spending cycle on a clean slate. Conversely, performance budgeting, which preceded the Zero-based budgeting approach, follows an outcomes-based approach to public service delivery. The research found that Zero-based budgeting had specific shortcomings within a developmental government context. It became clear that the performance-based approach to budgeting is more efficient than Zero-based budgeting when it comes to multi-year service delivery programmes. According to the author, "In South Africa, the long-term implementation of Zero-based budgeting could worsen service delivery outcomes in the short to medium term". As such, the author recommends that government reinstates the performance budgeting approach.

T Sithomola, in his article, **'Constitutionalism and Public Administration: Critical Considerations for Public Administrators in South Africa'**, highlights that the *Constitution of the Republic of South Africa, 1996* remains the cornerstone that guides all aspects of policy and administration across all spheres of government. As the supreme law of the country, the Constitution, 1996 provides direction regarding all institutional and administrative processes across all spheres

of government, state authorities (the executive, legislature and judiciary) and all other state agencies.

Despite the presence of a well-documented Constitution, the author argues that the South African government's integrity has been marred by irregular activities in recent years. In line with this, the article examines the degeneration of constitutionalism, as well as the causes and ramifications of public administrators' actions. The theory of constitutionalism was applied to gain insight into the link between public administration and the implementation of constitutional prescripts to promote good governance. This article is qualitative in nature, and unobtrusive methods and techniques were applied through a conceptual and documentary analysis. The research findings pointed to a gap in public administrators' implementation of the Constitution's guidelines to advance the principles of good governance. Based on the research findings, the author argues that, to remain relevant the textual prescripts of a constitution need to take shape in practice. "To realise these prescripts, there must be a fundamental commitment to the spirit, norms and procedural guidelines of the Constitution and its supporting laws and institutions," states the author. Importantly, the author highlights that the true value of a constitution can only be guaranteed by the presence of true constitutionalism.

POSTGRADUATE FORUM

Sociological, anthropological and biological studies regard education and development as lifespan experiences starting from infancy into adulthood. In **'Social Policy Paradigms, Education and Development Through Sports: The Implications for South Africa'**, O E Dodo and L Ntombana analysed the perceived variables related to sociological orientation, policy-education and development through sports and their association with each other.

A quantitative methodology was adopted to collect and analyse data from 720 participants regarding the topic under study. The results pointed to a clear link between policy-related knowledge and the level of education and age distribution among athletes and fans. Based on the research results, the article recommends the Stakeholders Strategic Diversity Management Model as a possible theoretical and pragmatic framework for addressing social discrimination and inequality. The article argues that inclusive early-policy education for development-through-sport and transformation practices can be facilitated if the recommended model is incorporated in organisational systems. According to the authors, the results and findings has implications for early childhood policy education and development through sports policy for child athletes in South Africa.

B H Matloko and C Alers, in their article **'Implementation of Demand Management in the South African Police Service'**, investigate the effective

implementation of demand management in public administration in South Africa, with specific reference to the South African Police Service (SAPS). The article analyses the main reasons why the Immovable Asset Management component of the SAPS Silverton station is failing to implement generally accepted supply chain and demand management principles. The findings of the article revealed that the SAPS has failed to set realistic timelines, as well as to budget for all the identified needs relating to immovable assets. The authors argue that this failure to comply with statutory requirements, has led to sub-standard supply chain management. To this end, practical recommendations are made to strengthen demand management within the supply chain of the SAPS. The authors conclude that, effective demand management will open opportunities for innovation and create greater visibility. Improved ability to identify risks or bottlenecks will also be obtained.

Evidence shows that Technical Vocational Education and Training (TVET) colleges in South Africa are struggling with the implementation of effective management and efficient performance in their quest to become first-choice institutions. In **'Enhancing the Management Systems and Structures of Technical Vocational Education and Training Colleges in South Africa'**, M D Sithole, H Wissink and N Chiwawa evaluate the efficiency and effectiveness of management structures within the TVET colleges in South Africa. According to the authors, the management structures of the 50 public TVET colleges across South Africa are faced with major challenges. To achieve government's development goals, the Department of Higher Education and Training (DHET) has devised legislation and policies for its public TVET colleges.

To analyse the efficiency of these structures, a qualitative research design was used to collect and analyse data from TVET staff and students through semi-structured interviews and a focus group. The article found that limited support is given to the management structure to implement these policies and legislative objectives. Sithole, Wissink and Chiwawa highlight that, while organisation is essential for success, the structure can have an impact on the management process. To ensure success, the authors underscore the importance of strong organisational structures. Structure guarantees that the organisation has adequate human resources with the appropriate capabilities to achieve its objectives, as well as that those duties are clearly defined.

M M du Toit and L Lues, in their article **'Accountable Administrative Gatekeeping: Effects on Social Grants for South African Adult Persons with Disabilities'**, investigate the role of South African Social Security Agency (SASSA) officials in accountable administrative gatekeeping and its effect on social grants for adult persons with disabilities. Specific focus is placed on the Northern Cape province of South Africa. The research highlighted administrative gatekeeping, the awarding of temporary social grants and socio-economic circumstances as the reasons adult persons with disabilities continue to apply for social grants.

According to the authors, gatekeeping is an essential part of the process of administering social grants for adult persons with disabilities, as outlined in the Social Grants Disability Management Model in 2011. However, the authors highlight that this activity should involve more than checking whether an applicant has the correct documents and is within the prescribed time frame to reapply for a social grant. If gatekeeping is appropriately performed, repeat applicants without changes in their medical or mental condition will not be allowed through the system undetected. In conclusion, the authors recommend that SASSA officials be capacitated and authorised to keep individuals who fail to meet the qualifying criteria from proceeding with the grant process.

In **'Promoting Gender-based Violence Awareness in Higher Education Institutions: The Case of Student Representative Councils in Selected South African Universities'**, N von Meullen and G van der Waldt state that gender-based violence (GBV) is one of the most rampant problems within contemporary society. According to the authors, it has become particularly pervasive on higher education institution (HEI) campuses throughout South Africa. To combat GBV, the South African government published the Gender Based Violence Policy Framework on 31 July 2020, which compels HEIs to create awareness of GBV policies and prevent such incidents on campuses, state the authors. According to the authors, student representative councils (SRCs) play a vital role in the fight against GBV through awareness initiatives on campuses. The article revealed several challenges that SRC members face in creating GBV awareness on campuses. These challenges include a lack of support from management structures, financial constraints, a lack of participation from students, academic consequences, and general non-prioritisation of GBV awareness on campuses. Based on the research findings, the authors propose recommendations to further support university SRCs in the implementation of the GBV Policy Framework. According to the authors, all universities in South Africa should establish a uniform strategy to curb GBV. Furthermore, the authors highlight that a collaborative relationship between university managements and the SRCs needs to be strengthened to help curb this societal evil.

S Mnguni and M Subban, in the article, **'Critical Considerations to Achieve and Maintain Clean Audit Outcomes in South African Metropolitan Municipalities'**, state that, a key objective of local government is to provide democratic and accountable governance for local communities. The article focuses on increasing concerns surrounding municipalities' actions to achieve clean audits. This includes consequence management implementation, an audit action plan, monthly processing and reconciliation in terms of controls and monitoring through effective oversight structures. Through the Stewardship Theory and the New Public Management approach, the study underscores the importance of control mechanisms and accountability to improve the management of limited

resources. The authors recommend that municipalities ensure tighter control and greater oversight with functional internal audits.

In terms of audit outcomes, the empirical research and literature review pointed to five key control components that play a critical role in effective local governance, namely control environment, risk assessment, control activities, information and communication and monitoring. Feedback from the qualitative data analysis revealed that metropolitan municipalities must improve the control environment, control activities, information and communication and monitoring to achieve clean audit outcomes. Based on the findings, the authors call for further research to find pragmatic approaches and suggestions to assist municipalities in addressing financial malpractices.

In **'The Relevance of Civil Society Participation in Democratic Governance'**, S E A Mavee investigates the role of civil society participation to determine the relevance of this type of participation in civil society organisations (CSOs) to promote democratic governance. The article pays attention to civil society, CSOs, partnerships, and international non-governmental organisations (INGOs) and investigates their roles in democratic governance. The article revealed the advantages and disadvantages of civil society participation in terms of CSOs and highlights that CSOs are an important part of the development and enhances co-operation and deliberation between states worldwide. The author cautions that CSOs should not become parallel public service providers in terms of a new type of public service.

Chief Editor

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Tribute

Dr Damian Chukwudi Ukwandu

A tribute to an astute scholar and academic

23 September 1971 – 19 August 2022

Lecturer, School of Public Management, Governance
and Public Policy University of Johannesburg

During his studies, Dr Damian Ukwandu served as a research associate at several institutions. He was a Post-Doctoral Research Fellow in the School of Public Management, Governance and Public Policy (SPMGP) from 2014 until his appointment as a lecturer in the SPMGP in 2017, to date.

Dr Ukwandu believed in the value of lifelong learning and obtained a BSc Sociology and Anthropology in 1998 at the Imo State University Owerri in Imo State, Nigeria; a BA Honours degree in Development Studies in 2005 at the University of South Africa (Unisa); an MA in Development Studies in 2010 at Unisa (Title: *Water use and Sustainable Development in South Africa*); and his PhD in 2014 at Unisa (Title: *The role of good governance in Africa's elusive quest for development*).

Damian was a thinker, philosopher and Pan-Africanist who always shared his critical thinking and insightful research with the fraternity and students. He taught governance and sustainable development and specialised on African development issues for several years at UJ. Dr Ukwandu was widely known as an exceptional researcher and published several scientific articles in the field of Public Management and Governance and Development Studies. He was passionate about environmental sustainability and good governance problems in Africa and supervised several Master's and PhD students in the fields. He will especially be remembered for his contribution to the de-colonialism and sustainability debate in Africa in his classes and on various academic forums – both locally and internationally. The SPMGP has indeed lost an esteemed and beloved scholar.

Damian has left a void in the SPMGP and the fraternity, and his collegiality and mentorship were sincerely appreciated. Dr Ukwandu was not only respected within the academic fraternity; he was also a kind soul. As dedicated Christian, Dr Ukwandu's faith was one of the cornerstones of his daily dealings with both students and colleagues.

Our thoughts and prayers during this difficult time go to his family, friends, colleagues, and students whose lives Damian influenced in so many positive

ways. His legacy as passionate researcher, mentor, loyal colleague, loving and immensely kind friend will always live on.

Go well and rest in peace, Damian. You have been a remarkable friend, scholar and colleague and changed many peoples' lives for the better.

Emeritus Prof Christelle Auriacombe

The Role of the Budgeting Approach in South Africa

Critical Considerations to Enhance Service Delivery

V T Sambo

Department of Public Administration and Management
Unisa

ABSTRACT

This article explores whether South Africa's post-apartheid budgeting approach can play a role in fast-tracking service delivery. In South Africa, post-apartheid public finances (including the budgeting process) are managed within the framework of the Public Finance Management Act 1 of 1999 (PFMA). Existing research points to the importance of implementing public financial management reforms to improve the efficiency of the public service. One of the important aspects that needed to be transformed in terms of the public financial management in South Africa, was the fragmented budgeting system that was inherited from the apartheid government. The article entails a desktop study and is based on a documentary and literature analysis to determine whether the new budgeting system in South Africa can fast-track service delivery. Based on the research findings, the current budgeting system, which takes place within the performance budgeting approach, emphasises outcomes rather than activities. In addition, the Medium-Term Expenditure Framework (MTEF), a three-year rolling spending plan, has also been adopted. The MTEF strengthens the planning processes and helps facilitate effective service delivery. Despite these approaches, empirical evidence has shown that service delivery is still lacking. The article contributes to research of financial governance systems that aim to improve service delivery, which is one of the challenges facing the government.

INTRODUCTION, BACKGROUND AND RATIONALE

When looking at the historical background of public finances in South Africa, it is important to review budgeting and budgeting systems, as this is an important part of the evolution of public finance in the country. The transformation and modernisation of public financial management in South Africa was underpinned by key aspects such as the integration of policies that led to a comprehensive budgeting system aimed at accelerating service delivery and enhancing accountability. The PFMA, which serves as the statutory framework for public financial management in South Africa, has also played a role in promoting transparency and uniformity in budget information. Since the promulgation of the PFMA, the budgeting process has been streamlined in the provincial and national government departments (Institute for Democracy in South Africa (IDASA) 2012:3). This is attributed to the fact that the National Treasury provides departments with guidelines and templates to draft budgets to which they need to adhere. The budget information is accordingly being provided timeously in accordance with the PFMA schedules. While the templates help ensure uniformity, it may also be argued that it creates an environment in which government officials are 'spoon-fed' (IDASA 2012:3).

The introduction of the MTEF in particular requires attention, as it influences the current budgeting processes. The transformation that took place in the public financial management system in general and the budgeting system in particular, was necessitated by shortcomings that the post-1994 democratic government noted. According to F Ischer and Cole (2006:2–3), these shortcomings included the following:

- Budgets lacked linkages between policy, budgeting and implementation, which resulted in uncertainties. Thus, there was no clear, methodical way of judging the effectiveness and efficiency of spending or linking money spent to policy.
- There was little transparency and there were poor information systems. As a result, there was a lack of information to inform the budget process and promote accountability.
- The budget process was incremental and, as a result, the new government could not identify priority areas.
- Accountability was lacking and the system was characterised by many deep-rooted inefficiencies.

The abovementioned shortcomings that were inherited from the apartheid government's budgeting system called for an overhaul of the entire budgeting system. With this budgetary overhaul, the new democratic government hoped to achieve its constitutional mandate of delivering services to all South Africans, in line with

Section 195(1)(d) of the *Constitution of the Republic of South Africa*, 1996. The new government also needed to achieve fiscal discipline, as well as allocative and operational efficiencies, in line with Section 195(1)(b) of the Constitution, 1996 (Republic of South Africa 1996:99). These three fundamentals of public financial management are discussed below.

The mid-1990s saw considerable reforms in South Africa's public financial management system. Initially, emphasis was placed on macro-economic stability, and the strengthening of public spending. The focus subsequently shifted to allocative efficiency and effective service delivery. The main areas of reform were:

- The implementation of a new intergovernmental system that required the three spheres (national, provincial and local) of government to draft and approve their own budgets.
- The introduction of the MTEF, which is a three-year rolling spending plan within national and provincial government departments.
- A change in budget documents with a stronger focus on service delivery information.
- The budget processes were changed, so that key policy choices could be deliberated during the process. By following a new approach, the government aimed to ensure that available resources were linked to plans, as opposed to item-by-item cost estimates as was done previously (F Ischer & Cole 2006:3).

According to Bekker (2009:14), the fact that public institutions are not measured in terms of their profit margins, makes performance management difficult. This is opposed to the private sector, where profit is the most important measure of success. Financial management in government aims to manage limited financial resources and to ensure a prospering economy, efficiency and effectiveness (hereinafter referred to as the 3Es). Moreover, this form of management aims to facilitate appropriateness, which measures to which extent government prioritises specific programmes' outcomes and whether they address the actual needs of communities, as well as the delivery of outputs required to achieve desired outcomes (e.g. service delivery). Evidently, the above aspects do not measure profit as it is traditionally known in the private sector. However, one could argue that, if the above 3Es and "appropriateness" are achieved by a public institution, the private sector benefits as resources have been used for their intended purpose (Bekker 2009:14).

The challenges that South Africa's democratic government inherited from the apartheid government in terms of financial management and/or budgeting processes are not unique to the country (Coombs & Jenkins 1991:10). The authors note that the British government developed the Financial Management Initiative (FMI) in 1982 in an attempt to improve the efficiency, management, allocation and control of financial resources in the civil service (Coombs & Jenkins 1991:10).

Thus, governments go through cycles that require changes in the way things are done to improve the lives of the citizens they serve.

Importantly, the British circumstances differed from those of South Africa. In Britain, changes were not necessitated by a new government dispensation. Rather, it was an acknowledgement that to fully address societal needs, the public financial management system must first be improved. Coombs and Jenkins (1991:10) argue that once all three spheres of government focus on a new managerial culture that focuses on the 3Es, it would start to yield positive results.

In line with this, the article attempts to answer the following question: ‘Has the budgeting approach in South Africa played a role in fast-tracking service delivery?’ This question will be answered through a careful analysis of secondary information sources. This analysis is even more important within the context of South Africa’s democracy. Prior research shows that service delivery is still lacking – especially in rural areas where the majority of black people reside.

First, the article provides conceptual clarifications of theoretical perspectives relating to public financial management in general, and public budgeting in particular. In this discussion, the statutory and regulatory framework governing budgeting in South Africa is also explained. Second, the key role-players in South Africa’s national and provincial financial management framework are considered. In conclusion, aspects of the theoretical and statutory and regulatory frameworks are synthesised to come up with recommendations that will hopefully contribute to the field of Public Financial Management.

CONCEPTUAL CLARIFICATIONS

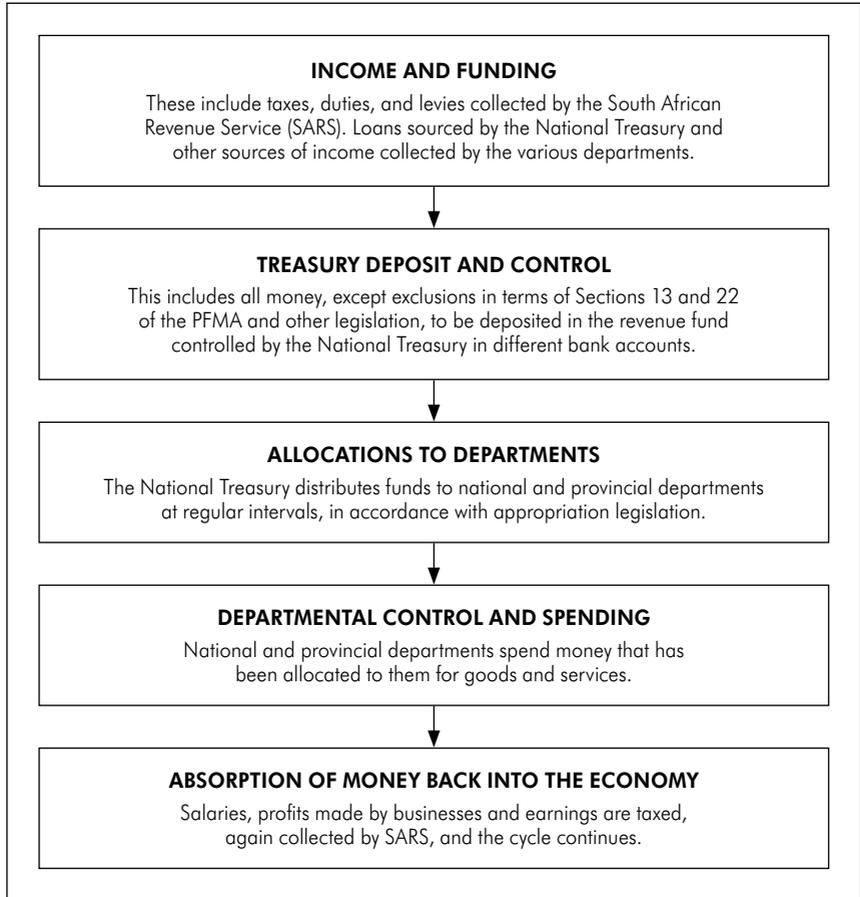
The following section outlines the conceptual and theoretical perspectives of public financial management, with specific reference to budgeting.

Public financial management

Public finance is the cornerstone of any government, as public finances enable government to provide goods and services to its citizens. Therefore, governments should ensure that income and expenses are managed efficiently and effectively through their budgets. Sharan (1967:343) states that there is a multidimensional link between public finances and state finances, as illustrated by the following factors:

- Public finance is evident in the government’s budget, which is mainly financed through taxes that are collected from both individuals and companies.
- Tax income enables government to become a role-player in the country’s economy.

Figure 1: Flow of government funds



Source: (Pauw, Woods, Van der Linde, Fourie and Visser 2002:51)

- Tax income collected by government is funnelled back into the economy through government spending on various items such as salaries and infrastructure development.

Similarly, Thys, Wait, Cronje, Mthethwa, Sambo, Nzewi and Draai (2020:19) define the term ‘public financial management’ as “a multi-faceted discipline that comprises expenditure management, procurement, financial accountability systems, internal controls as well as fiscal and budget implementation, in support of strategic and operational plans of public institutions”. The above points are summarised in Figure 1.

The Presidential Review Commission (1998:13) states that to facilitate good governance and a public financial management system in government, the following are prerequisites:

- An accounting system that focuses on budget and expenditure control as well as financial planning and reporting.
- Management of assets and liabilities.
- A procurement policy.

Based on the above discussion, it is clear that government derives its financial resources mainly from public-derived taxes. This is one of the reasons why a government should be accountable to its citizens regarding expenditure. The World Bank (2013:1) points out that good financial management, whether for countries or private institutions, ensures that funds are used appropriately. Within this context, the term 'public financial management' is defined as "the budgeting, accounting, internal control, flow of funds, financial reporting, and auditing arrangements by which governments receive funds, allocate them, and record their use" (World Bank 2013:1). Good public financial management gives citizens the assurance that their taxes are being used correctly, assures donors and lenders that the funds they provide are being used for their intended purpose, and demonstrates to the private sector that the government can provide an environment conducive to investment and growth.

According to the World Bank (2013), financial management involves the following two efforts: First, ensuring that borrowers are using bank-provided funds for intended purposes. Second, assisting countries to improve their own financial management capacities. Financial management is an important component of the development process and is necessary to achieve the United Nations' (UN) Sustainable Development Goals (SDGs). Goal 17 of the SDGs, namely "Strengthen the means of implementation and revitalise the Global Partnership for Sustainable Development", requires that domestic resource mobilisation be strengthened through international support to developing countries "to improve domestic capacity for tax and other revenue collection" (UN 2016:30).

When discussing government spending, it is also important to refer to fiscal policy. The *Merriam-Webster Dictionary* (Internet source 2022) defines the term 'fiscal policy' as "a government's financial policy that is concerned with budgeting and methods and timing of borrowings in relation to credit policies of central banks". A government's fiscal policy should thus ensure adequate public service delivery through proper budgeting and planning. In addition, fiscal policy should also play a role in allocation, distribution and stabilisation, to combine strong economic growth with low unemployment and inflation rates. Also of importance is the provision of public goods and services and redistributing resources to facilitate an equitable distribution of income (Natrass 1997:191).

According to Bekker (2009:7), South Africa has made progress towards improving governmental fiscal discipline, through legislation and dedicated parliamentary committees. An example of these is the PFMA, which should be read together with the Treasury Regulations and the Public Audit Act 25 of 2004, as amended. In addition, institutions such as the Office of the Auditor-General and other role-players such as the Office of the Accountant General and the Accounting Standards Board have been established to improve fiscal control. The Standing Committee on Public Accounts (SCOPA) acts as a public watchdog of Parliament and is responsible for holding the Executive and state departments to account.

According to Rosen (2006:2), public sector economists have developed the following two approaches to public finance: First, an organic view of society where individuals only contribute and add value to the realisation of social goals, whereas government sets the goals; and second, a mechanistic view which argues that government is a machine that is used to further individual goals (Rosen 2006:2). The organic view of government above provides a more applicable representation of the state's role. In a democratic society, government sets rules and regulations, and creates a conducive environment for businesses, which in turn pay taxes that are used to deliver public services. Looking at a government's role from a mechanistic view is a one-sided view that omits the collective role individuals and government play in the realisation of societal goals. Undeniably, government's functioning is intertwined with individual goals, which implies that government is a key player in attaining societal goals (Rosen 2006:2).

Coombs & Jenkins (1991:9) add that the aim of financial management is to improve the management, allocation and control of resources. With Britain's FMI, financial managers' roles were reviewed as follows:

- Their objectives were clarified, and their performance was measured against these objectives.
- Their responsibilities for effective and efficient resource usage were well-defined.
- Information, training and expert advice were made available to ensure that they carried out their duties effectively (Coombs & Jenkins 1991:9).

The above discussion shows that individuals who manage public finances need to be empowered and given the necessary resources to discharge their duties successfully.

The advent of democracy in South Africa made it necessary for the government to apply sound financial management principles to ensure that the public administration rendered better public services to all citizens. Madue (2009:413) emphasises that accountability in service delivery and financial management is the cornerstone of democracy. Khalo and Fourie (2006:132) note that, not only

was South Africa's Constitution of 1993 (now repealed) racially biased, but resources were also allocated in an unjust and inequitable manner. Furthermore, different government administrations used different approaches to manage financial resources to apply the Exchequer Act and Audit Act 66 of 1975 (Khalo & Fourie 2006:132).

During apartheid, the Department of Finance and State Expenditure and its Function Committees were responsible for deciding on budget allocations as well as co-ordinating budget proposals (Walker & Mengistu 1999:58). The budgeting process was accordingly non-inclusive and centralised. Because budget documents were not accessible, it was difficult to analyse budgets and observe service delivery trends. Consequently, two elements of good governance – accountability and transparency – were compromised. The aforementioned Function Committees were disbanded in 1995 after the democratic government took over (Walker & Mengistu 1999:58).

Budgeting

Reforming the public financial management system in South Africa included the reform of the fragmented budget system of the apartheid government. This was deemed important because a budget is an important financial planning tool that supports service delivery. In addition to budgeting approaches, the process of putting a budget together should be transparent. Importantly, individuals who have been tasked with spending the allocations must be held to account since the public needs to be informed about public expenditure (Walker & Mengistu 1999:58). Sambo (2021:217) describes the three steps that form part of the 'ladder of accountability'. One of these steps, financial accountability, is concerned with the "answerability" of public office-bearers to members of the public on financial matters. The contents of a budget should enable both the public and government to assess budget decisions or outputs through monitoring and evaluation.

Myrick, Dawood and Maphiri (2008:18) are of the view that transparency in the budgetary process allows oversight bodies and the public to hold government accountable. Therefore, transparency in the budgeting process is measured by the extent to which budget-related matters and documents are published. According to Smith (1994:81), the following budgetary principles are of importance:

- **Accuracy:** Budget estimates should be as accurate as possible, as this shows that enough thought was given to the programmes and their related costs.
- **Clarity:** The contents of a budget should be understandable to all who are exposed to it.
- **Comprehensiveness:** A budget should show the total expenditure and revenue that would be spent on all government programmes, for the given period.

- **Publicity:** A budget must be a public document.
- **Periodic:** A budget by its very nature relates to a plan to spend money on programmes within a specific time. If money allocated to certain programmes is not spent by the end of the particular budget period, it must be returned to the Treasury so that it can be allocated to other programmes. Returning money that was allocated to the Treasury could, however, be an indication of a lack of capability and capacity to implement programmes that were budgeted for.

If the above principles are adhered to, it can be said that a government adheres to good budget practices (Smith 1994:81). The Economic Commission for Africa (2005:1) states that economic development and the fight against poverty can be enhanced in the presence of good governance. Within this context, the Economic Commission for Africa (2005:1) states that transparency is one of the key instruments for achieving good governance.

In the recent past, South Africa has done well to meet the requirements of the Open Budget Index (OBI) survey, which rates countries on how their budget documentation is made available to the public. According to Myrick *et al.* (2008:18), South Africa was ranked among the top six countries that provided extensive budget documentation to its citizens. South Africa was also the only developing country among six countries, including France, Slovenia, United Kingdom, New Zealand and the United States, which were rated highly in the OBI. In the 2012 OBI survey (International Budget Partnership 2012:9), South Africa was ranked second in the world, after New Zealand. This trend continued: In the 2021 survey South Africa was rated second for budget transparency (International Budget Partnership 2021:58). This indicates that South Africa is on a par with leading economies regarding transparency on budgetary processes.

Lee and Johnson (1998:16) note that, in essence, a budgeting system considers the process of implementing a budget, institutional structures, competing norms and values, as well as the stakeholders in the budget process and how they relate to each other to produce the desired outcome (Lee & Johnson 1998:16). During the apartheid era, government instituted a line-item budgeting system. Abedian, Strachan and Ajam (1998:54) explain that this traditional budgeting system focused on expenditure controls, where the aim was to control money spent by the government. Service delivery was not highly customer-oriented and, as a result, value for money was not realised.

As opposed to line-item budgeting, democratic governments institute performance budgeting. According to Shall (1999:10), this budgeting system emphasises outcomes and not activities. It endeavours to integrate strategic planning, financial planning and performance management. As a results-oriented budgeting system, system budgeting places the responsibility on public office-bearers to achieve

the 3Es in public service delivery when government funds are spent (Republic of South Africa 1996:99). The need to achieve the 3Es when delivering public services cannot be over-emphasised, as the needs of the public will always exceed available financial resources. Therefore, it is vital that resource usage is characterised by value for money.

In 1994, South Africa introduced a performance budgeting system, which was implemented within the MTEF, while the PFMA and the Constitution, 1996 are the key frameworks upon which it is based. The budgeting process in South Africa is a highly detailed process that happens over a period of 10–12 months. The budget goes through various stages until it is adopted as the country's fiscal framework. However, the Covid-19 pandemic, which emerged strongly in early 2020, necessitated the introduction of zero-based budgeting (ZBB) in South Africa. This budgeting approach does not consider the previous year's budget but budgets from a 'clean slate' (Thys *et al.* 2020:55).

Khalo and Fourie (2006:138) state that the ZBB system evaluates activities to be funded in their entirety and the associated costs would be calculated to determine the budget based on available funds. The rationale for each activity is thoroughly scrutinised to safeguard that allocated funds are spent according to policy imperatives and priorities. Thus, new information must be considered annually when budgets are prepared. Consequently, previous information and redundant activities would be done away with when new ones are started. The ZBB system calls for adequate analysis of policy objectives in terms of priorities. It is important to consider policy priorities because it is key to consider continuity in service delivery and in the provision of goods.

A key shortcoming of ZBB is that the system may be counterproductive should the policy mandate of a government be to redress imbalances and backlogs of the past, as is the case in South Africa (Khalo & Fourie 2006:138). In acknowledging the shortcomings of ZBB, the National Treasury (2021:4) states that, "In recent times, there have been some efforts to reduce spending by reducing baselines across the board, which if continued, could have a negative impact on service delivery". The aforementioned is a major drawback of the ZBB, and South Africa's National Treasury may have to reconsider this budgeting system once the economy has recovered from the Covid-19 pandemic.

Table 1 provides a synopsis of other available budgeting systems, namely line-item budgeting; planning, programme budgeting; management by objectives; and ZBB. The Table highlights the requirements of the various budgeting systems concerning control, planning, management and decision-making. The skills required to implement the various budgeting systems are also outlined. This is an important factor, since a lack of skilled personnel to implement a good budget could be detrimental to a country's economic development (Henry 1980:226).

Table 1: Key fundamentals of various budgeting systems

Feature	Line-item budgeting	Planning, programme budget	Management by objectives	Zero-based-budgeting
Basic Positioning	Control	Planning	Management	Decision-making
Scope	Inputs	Inputs, outputs, effects and alternatives	Inputs, outputs and effects	Inputs, outputs, effects and alternatives
Human resource skills required	Accounting	Economics and planning	Managerial understanding	Management and planning
Important information	Objectives of expenditure	Purpose of agency	Programme effectiveness	Purpose of programme or agency
Style of policy-making	Incremental	Systemic	Decentralised and participatory	Prudently systemic
Planning responsibility	Mainly absent	Central	Comprehensive but allocated	Decentralised
Role of the budget agency	Fiscal correctness	Policy	Programmes, effectiveness and efficiency	Policy prioritisation

Source: (Henry 1980:226)

Medium-Term Expenditure Framework

The MTEF within which South Africa’s budgeting system is implemented, is an aspect of the performance budgeting system. It was introduced in South Africa during the 1998/99 budget cycle. The introduction of the MTEF was due to the shortcomings of the pre-1997 short-term budgeting method, which included an incremental approach towards budgeting and budget votes not reflecting activities of departments (Khalo & Fourie 2006:140). As a three-year rolling strategy, the MTEF sets up spending plans for national and provincial departments. The MTEF’s aim is to strengthen the link between government’s policy choices, the budget and the delivery of services, and, in the process, supporting political decision-making and accountability.

One of the advantages of the MTEF is that legislators have an opportunity to debate spending trends and the subsequent policy direction. Legislators can also assess whether the requested funds are in line with general government objectives and facilitating the transformation process. In addition, legislators are presented with agreed outputs, time frames and reports on actual expenditure and outputs to determine how well specific departments performed in the previous budget cycle (Khalo & Fourie 2006:140). In line with this, Walker and Mengistu (1999:31) emphasise that the main benefit of the MTEF is its ability to link budget and policy and provide information on actual spending on goods and services (Walker & Mengistu 1999:31).

The MTEF, therefore, strengthens the planning process. It not only provides for longer periods but also ensures that continuous and effective service delivery programmes are in place. The three-year budgeting framework takes care of short-term perspectives and expenditure, as well as the medium-term perspectives and estimated spending within a three- to five-year period. Accordingly, long-term perspectives determine the implications of government's commitment to programmes on a permanent basis (Khalo & Fourie 2006:139).

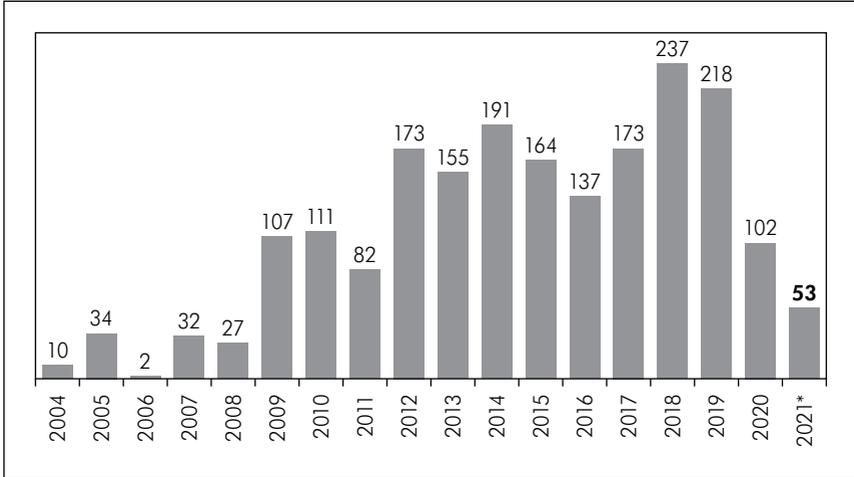
Cameron (2009:13) notes that the MTEF follows a more deliberate approach towards public expenditure planning and management. However, a drawback is that some of the allocations under the MTEF are made a number of years in advance. This could be viewed as incremental budgeting, as allocations for the subsequent years are usually a percentage increase of the financial year under consideration. Inflation and other factors might therefore contribute to incrementalism. Furthermore, it was believed that the MTEF budgeting system would solve the problem of rollovers, where it would not be necessary for departments to ask for rollovers on unspent funds. This trend, however, has taken place within the MTEF environment, which in part undermines the objective of this framework (Khalo & Fourie 2006:140).

Regardless of the above shortcomings of the MTEF, the implementation of the framework within a performance budgeting system has yielded more positive than negative results for South Africa.

Service delivery

Sambo (2019:117) defines service delivery as “the provision of tangible goods and intangible services by government for the satisfaction of citizens”. When expected services are not delivered, are substandard or not delivered to their satisfaction, citizens show their dissatisfaction through service delivery protests. As shown in Figure 2, the Municipal IQ (2021) reports that service delivery protests were low during 2020 and the first half of 2021 due to Covid-19 restrictions. However, service delivery protests were expected to increase as 2021 progressed. This was

Figure 2: Major service delivery protests by year (2004 – May 2021)



Source: (Municipal IQ Municipal Hotspots Monitor 2021)

because it was a local government election year, and there were “severe socio-economic pressures, such as unemployment, [and protests] against floundering municipal services” (Municipal IQ 2021).

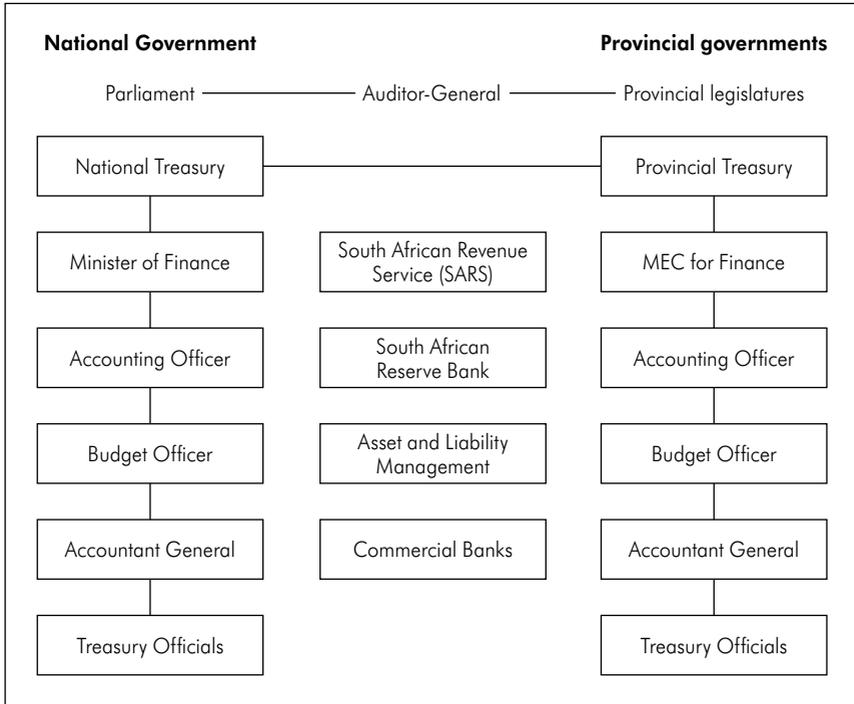
Sambo (2019:118) states that poor governance is likely to lead to poor service delivery. This has resulted in the public feeling increasingly frustrated, as shown by the annual service delivery protests (see Figure 2). Similarly, Tandoh-Offin, Osei, Mawuko-Yevugah and Oduro (2021:107) argue that good governance structures in the public sector could result in vigorous management systems. This, in turn, could lead to the more effective implementation of government programmes, improved service delivery and overall better outcomes.

The importance of the effective and efficient management of public financial resources for effective service delivery was highlighted above. It therefore goes without saying that the budgeting approach that a government chooses has a direct impact on its ability to deliver goods and services to its citizens.

ROLE-PLAYERS IN SOUTH AFRICA’S NATIONAL AND PROVINCIAL FINANCIAL MANAGEMENT FRAMEWORK

Figure 3 shows some of the role-players in South Africa’s national and provincial financial management framework, as well as other important role-players in South Africa’s public financial management system, such as the Auditor-General.

Figure 3: Role-players in South Africa’s national and provincial financial management framework



Source: (Adapted from Pauw *et al.* 2002:47)

The below sections outline the role-players in South Africa’s national and provincial financial management, as outlined in Figure 3.

Parliament

Parliament has the highest legislative authority in South Africa and is responsible for ensuring that public services are delivered appropriately in an efficient and effective way (Pauw *et al.* 2002:48; Republic of South Africa 1996:99).

Provincial legislature

Provincial legislatures are the highest elected authorities in each of the nine provinces. They also have the responsibility of ensuring that public services are delivered appropriately, effectively and efficiently (Pauw *et al.* 2002:48; Republic of South Africa 1996:99).

National and provincial treasuries

Before the democratisation of South Africa, there was a National Department of Finance and State Expenditure. This department has been replaced by the National Treasury, which was established in terms of Section 5 of the PFMA. The Minister of Finance as the head of the Treasury, discharges their duties in terms of Section 6 of the PFMA. The Provincial Treasuries were established in terms of Section 17 of the PFMA. The member of the Executive Council (MEC) for Finance in each of the provinces, is the head of the Provincial Treasury, and they discharge their duties in terms of Section 18 of the PFMA.

The South African National Treasury has been entrusted with the responsibility of managing South Africa's public finances. Promoting efficient and viable public financial management plays an essential role in promoting economic development, good governance, social progress and a rising standard of living for all South Africans. The Constitution, 1996 also mandates the National Treasury to ensure transparency, accountability and sound financial controls in the management of public finances in national and provincial government departments (Republic of South Africa 1996:76).

The PFMA gives effect to Sections 213 and 215 to 219 of the Constitution, 1996, namely to:

- Establish treasuries within the national and provincial spheres of government.
- Introduce uniform treasury norms and standards.
- Prescribe measures to ensure transparency and expenditure control in all spheres of government.
- Set the operational procedures for borrowing, guarantees, procurement and oversight over the various national and provincial revenue funds.

The National Treasury therefore has the mandate to promote the national government's fiscal policy framework. It is also responsible for coordinating inter-governmental financial and fiscal relations and managing the budget process (Republic of South Africa 1996:76). Furthermore, the National Treasury is responsible for ensuring that departments are funded sufficiently in accordance with approved budgets. When additional funding is required, as is often the case, instruments such as government bonds are used to ensure that the funding is acquired at the lowest cost. The national and provincial departments also need to ensure that they have adequate cash on hand to meet their obligations (Pauw *et al.* 2002:50).

While the National Treasury is responsible for managing the country's finances, national and provincial government departments' Accounting Officers are responsible for managing their respective departments' finances in accordance with the PFMA. The National Treasury is thus the custodian of the PFMA as well as the overall management of public finances in the country.

Auditor-General

In South Africa, the Office of the Auditor-General is responsible for auditing all institutions that are funded by taxpayers' money. The Auditor-General is empowered by the Public Audit Act 25 of 2004, as amended, to audit and report any irregularities pertaining to the use of state funds. The Auditor-General is responsible for auditing the level of compliance to public financial management prescripts and control in all spheres of government. This type of financial control is exercised by auditing expenditure in all three spheres of government.

The main function of the Auditor-General is to ensure that the correct accounting procedures and standards are followed regarding reported expenditure and revenue. In terms of its reporting line, the Auditor-General is accountable to the parliamentary public accounts committee. While the Auditor-General plays a vital role in public financial management, its audits are not comprehensive and examine samples to deduce whether procedures have been followed. As such, this function should be supported by functional internal controls and effective internal audit units within public institutions. Effective internal audit functions require internal controls to identify unethical and unlawful behaviour, highlight any irregularities and consider how to prevent these in the future (Sambo 2017:25).

CONCLUSION

The article attempted to determine whether the budgeting approach in South Africa played a role in fast-tracking service delivery through a careful analysis of secondary sources of information. First, the article investigated the historical background of public finance management in South Africa. In this regard, a conceptual and theoretical analysis of budgeting and budgeting systems was provided as an important part of the evolution of public finance in the country. The PFMA and Treasury regulations were highlighted as the key legislative and regulatory frameworks that govern the transformation and modernisation of public financial management in South Africa. It was highlighted that the country's budgeting processes have been streamlined since the promulgation of the PFMA. This was attributed to the support that the National Treasury provides.

The article highlighted that the transformation of the country's public financial management landscape was necessary to correct the fragmented system of the former apartheid government. The mid-1990s, therefore, saw considerable reforms in South Africa's public financial management system. Importantly, these reforms initially emphasised macro-economic stability, and the strengthening of public spending. In terms of strengthening public spending, the article

highlighted the importance of achieving the 3Es in line with the requirements of the Constitution, 1996.

The MTEF as the framework within which the current budgeting system takes place was explained. It was highlighted that this three-year rolling strategy aims to strengthen the link between government's policy choices, the budget and service, in the process supporting political decision-making and accountability. The article highlighted that the MTEF is rolled out within the performance-based budgeting approach – South Africa's budgeting approach in the democratic dispensation. However, in 2020, countries the world over including South Africa, faced several challenges that were brought about by the Covid-19 pandemic. The advent of Covid-19 necessitated the government to change its budgeting approach from performance-based to ZBB.

The key role-players in South Africa's national and provincial financial management framework were highlighted. It became clear that the Treasuries within the national and provincial spheres of government play an important role as the custodians of public financial management. Based on the aforementioned, it became clear that a number of conditions have to be met for a budgeting approach to be effective. First, the individuals who are responsible for public finances need to be empowered and given the necessary resources to discharge their duties successfully. Second, transparency in budget processes is necessary, as the public is an important stakeholder in public budgeting processes. Third, the type of budgeting approach is a key factor in determining effective service delivery.

The performance budgeting approach was explained as an approach which endeavours to integrate strategic planning, financial planning and performance management. The budgeting approach was described as results-oriented. Furthermore, with performance budgeting, public office-bearers are responsible for achieving the 3Es in the delivery of public services. In turn, ZBB was described as a budgeting approach that does not consider previous spending but starts every spending cycle with a clean slate. Based on the research, it was found that the ZBB had specific shortcomings within a developmental government context. Where the policy mandate of government is to redress imbalances and backlogs, as is the case in South Africa, this budgeting approach may be counterproductive as its practice is to discard all the information from previous years. In South Africa, the long-term implementation of ZBB could worsen service delivery outcomes in the short- to medium-term. Thus, it is recommended that South Africa discard ZBB as soon as the economy has recovered from the effects of the Covid-19 pandemic.

In conclusion, the evidence presented in the article shows that the type of budgeting approach adopted by a country has an impact on service delivery. It is evident that in theory, the performance-based approach to budgeting is more efficient than ZBB when it comes to multi-year service delivery programmes.

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Constitutionalism and Public Administration

Critical Considerations for Public Administrators in South Africa

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ABSTRACT

The *Constitution of the Republic of South Africa*, 1996 remains the cornerstone that guides all aspects of the political organisation (polity) and administration across all spheres of government. Despite the presence of a well-documented Constitution, the South African government's integrity has been marred by irregular activities in recent years. This article examines the degeneration of constitutionalism, as well as the causes and ramifications of public administrators' subversion of the constitutional prescripts. The theory of constitutionalism was applied to shape the ideas and concepts to help understand the nexus between public administration and the operationalisation of the constitutional prescripts to promote good governance. This article is qualitative in nature, and unobtrusive methods and techniques were applied through a conceptual and documentary analysis. Based on the research findings, the author argues that the notion of a progressive, well-documented Constitution that fails to transcend beyond its textual prescription is a futile physical document. In the article, the author argues that there is an incongruence between the Constitution, 1996 and the polity, of its actualisation by public administrators to advance the principles of good governance. Undoubtedly, the Constitution, 1996 remains the supreme law of the land and the mainstay of South Africa's democratic framework. However, public administrators' diligent operationalisation of the Constitution is imperative to constitutionalism, as it creates a conducive environment for good governance and efficient state administrative systems.

INTRODUCTION

The inception of a democratic South Africa in 1994 was perceived as a monumental event and coincided with greater prospects of constitutionalism and the rule of law within the Republic. After extensive negotiation processes the Congress for Democratic South Africa (CODESA) and other participating parties reached a negotiated settlement that led to the adoption of the interim Constitution of 1993 and subsequently the refined Constitution of 1996 (Jolobe 2014:344).

Constitutionalism is the fundamental determinant of good governance. As such, in any given constitutional republic, the constitution as noted before, remains the fundamental legal bedrock that guides and navigates all aspects of the polity and the administrative organisation across all entities of government. Through constitutionalism, many governments across the world pursue and successfully achieve their national strategic objectives. It is a well-known fact that South Africa has one of the most well-established constitutions in the world (Mohamed 2017:1). The post-1994 democratic political dispensation tirelessly worked to develop the *Constitution of the Republic of South Africa* of 1996 (the Constitution, 1996). This was a watershed moment that was viewed as a milestone towards laying a solid foundation for democratic constitutionalism in South Africa. Among other critical state-related dimensions, this Constitution prescribes the character, aptitude and decorum expected from public servants upon executing their official obligations.

South Africa identifies itself as a constitutional democracy. This implies that the Constitution of the Republic is the supreme law of the land. Thus, no other law should contradict the prescripts of the Constitution, 1996. This means that every activity must be conducted within the legal ambits of the law. Adhering to the constitutional values is an imperative that safeguards and guarantees the existence and progressive maturity of the country's democracy (Parliament of the Republic of South Africa 1996).

Notably, the operational principles of government institutions and public entities emanate from the Constitution, 1996. Importantly, the Constitution, 1996 laid the groundwork for public servants through its democratic character, where the rule of law is affirmed as a cornerstone of its prescripts. Chapter 10 (Public Administration) of the Constitution, 1996 prescribes *inter alia* a high standard of professional ethics, economic efficiency, and effective use of resources, accountability and transparency (Constitution 1996). Despite the presence of the Constitution, 1996, in recent years, the South African government's integrity has been marred by a variety of anomalous activities. These anomalies demonstrate the subversion of the constitutional prescripts and gains that have been made since its enactment. Among others,

these anomalies include corruption, state capture, maladministration, financial malfeasance, as well as a rogue and unethical governance culture (Alence and Pitcher 2019:11–12). These activities are accompanied by a culture of impunity where there are no consequences for those who commit minor and gross constitutional subversion.

Based on the aforementioned background, this article mainly examines the degeneration of constitutionalism in the South African public administration, which has hampered the progress made between the first and third post-apartheid administrations. This article will comprehensively conceptualise the concept of constitutionalism, where the distinctions between the Constitution and constitutionalism will be outlined and analysed. The researcher will also identify and examine the primary pillars of constitutionalism. Furthermore, the article will also focus on the significance of constitutionalism in a newly democratic state. This article also delves into the fundamental causes and consequences of constitutional subversion. Ultimately, the researcher will make propositions of actions that need to be enacted to restore true constitutionalism in public administration in South Africa.

METHODOLOGICAL INCLINATION

For the purpose of this article, the author employed a qualitative research approach where a wide range of non-empirical methods and techniques were applied to achieve the research objectives in a systematic fashion. The researcher deems this approach the most appropriate on the basis that it provides an apt platform to generate insights and understanding about constitutionalism and Public Administration within the operational context of public administrators in South Africa. Additionally, the methodological approach entails a desktop analysis by means of a literature review. The collected information has been scholarly scrutinised through a process of intellectual analysis, integration, reflection, categorisation and synthesis where concepts were ascribed to principal themes of this article.

Based on the nature of this article, the researcher adopted unobtrusive research techniques which are non-reactive and where information about research subjects is collected through public and readily available documents. The documents consulted include secondary data sources such as scholarly published books and peer-reviewed journal articles, official documents, legislation, relevant newspaper articles and reliable internet sources with a specific focus on constitutionalism and Public Administration. Thus, the researcher did not have any form of direct interaction with the subjects of the research (Auriacombe 2016:6–7). Ultimately, a qualitative description of the findings will focus on the themes that emerged from the research and how it was conceptualised.

CONCEPTUALISATION OF THE CONSTITUTION AND CONSTITUTIONALISM IN A DEMOCRATIC STATE

Conceptualising the concept of 'constitution' has become one of the most scholarly contested discourses in academia. For instance, according to Fombad (2014:414), "from a variety of definitions, one can say that a constitution could be used in at least four senses: the minimalist or material sense; the formal sense; the modern sense and functionalist sense". Many constitutions across the world are regarded as the supreme law of the land or of a country. Thus, according to Jolobe (in Venter and Landsberg 2011:62), "the principle of constitutional supremacy recognises the constitution as the highest law and all laws, [and] actions and institutions exercising government power are subject to it".

Human fallibility calls for constitutional prescripts to guide all the actions and behaviour of those entrusted with the responsibility of diligently administering the state or government's affairs. Simply put, a constitution is a legal document that contains a set of rules to steer the governance of a country or a nation. The constitution prescribes the government must undertake actions that benefit the people and what the people are required to do for the state (Thomas 2008:6).

Moreover, Bulmer (2014:2), describes the constitution as "a set of legal-political rules that are binding to those (public officials) entrusted with state affairs, law-makers (legislators) and law adjudication and interpretation institutions". Additionally, this set of fundamental rules deals with the structure and operationalisation of government institutions to articulate and guarantee the rights of all citizens. As a minimum, a constitution must comply with the international and conventional criteria for a democratic system in terms of representation and human rights (Bulmer 2014:2).

In addition, Schmitt (2008:95) argues that a constitution is a fundamental regulation that determines the type and manner in which the public authority should be exercised (that would be only partly an order function, partly a limitation). "In it, the form in which the nation, as a political body, acts become visible, how and through whom people should be governed, which are the rights and duties of the governed" (Schmitt 2008:95).

Based on Schmitt's concept of the term 'constitution', it can be inferred that it is the legal-political instrument that nations or countries institute to set an order that should be adhered to for achieving political, economic, social and developmental goals in pursuit of a prosperous and stable country (Schmitt 2008:95).

The constitution is an instrumental source that helps establish the basis of the organising and functioning of the state. This implies that neither the state nor the legal system can exist without the presence of a constitution. This is due to the fact that the constitution has an imperative role as the nexus between the state and the law. Moreover, a constitution makes provision for creating entities or state

agencies that are entrusted with responsibilities such as formulating, enforcing and implementing the laws. Thus, it can be argued that the constitution is a statutory imperative and framework for developing and advancing an optimally functioning state (Sinani 2013:52–53).

On the other hand, different legal and social scientists in different parts of the world have ascribed a wide range of connotations to the concept ‘constitutionalism’. Importantly, the concept of constitutionalism is more comprehensive than the concept of “a constitution”. Primarily, a constitution is the supreme legal document that focuses on curtailing the arbitrary exercise of state authority by government officials (Fombad 2014:415).

Additionally, Maru (2009:358), argues that the term ‘constitutionalism’ can be defined as the doctrine that governs the legitimacy of government’s actions. As such, it implies something far more essential than the idea of legality that requires public officials’ conduct be in accordance with the predetermined statutory guidelines. Thus, the phenomenon of constitutionalism guides and ensures that the government’s actions are within the ambit of the law. Furthermore, constitutionalism also provides checks and balances to ensure that public administrators carry out their obligations in accordance with constitutional prescripts (Maru 2009:358).

In contemporary constitutional democracies, constitutionalism has become synonymous with limited government, which is one of the key imperatives for sustaining good governance (Bellamy 2010:1). This denotes that, in a true constitutional democracy, the government not merely focuses on attaining its set governmental aims. In essence, the government must focus on providing a stable and legitimate framework between those entrusted with state authority and the citizens. Thus, constitutionalism revolves around critical good governance dimensions such as accountability, the rule of law, transparency and participative processes in terms of the day-to-day activities of the state (Tzanakopoulou 2018:31).

Da’ud and Alkali (2014:58), argue that constitutionalism is more of an imperative to any political process. Within this context, it seeks to surpass an elementary notion of a country adopting a constitution. Da’ud and Alkali (2014:58) view constitutionalism as a process that comprises far-reaching effects. Importantly, the process entails the perpetual presence of a vibrant political culture that translates the constitution (the physical supreme law document) into a living and diligently practised doctrine by both the state and the citizens.

The above argument revolves around the fact that constitutionalism focuses more on a range of governance and operationalisation-based state structures. Ultimately, constitutionalism is about the government that can protect, uphold and promote the principles of good governance enshrined in the constitution. Here, the focus is on advancing the political, social and economic needs of the citizens without subverting the constitutional values (Da’ud and Alkali 2014:58).

Based on the aforementioned conceptualisation of constitutionalism, it is clear that this concept defies any form of simplistic connotations or ascriptions. It transcends the mere endeavour to curtail governmental arbitrariness, which is the crux of the constitution. As such, contemporary constitutionalism not only calls for limited government actions or undertakings to protect its citizens from the probate elements within the governance of the state.

Against this background, Fombad (2010:44), argues that constitutionalism calls for a government that can operate efficiently and effectively and is compelled to exist within the ambits of the constitutional prescripts. In practice, this phenomenon (constitutionalism) advances the principle of limited state or government authority, an accountable government, respect for the rule of law, as well as transparent, efficient and effective, consensus-oriented and authentic promotion of public participation in pursuit of ideal governance (Fombad 2010:44).

Notably, constitutionalism in practice revolves around the following principles or attributes. These elements include:

- Effective and efficient restraints on the authority of those who govern (public officials/administrators).
- Charles Montesquieu's *Trias Politica* or separation of powers.
- Recognising and guaranteeing fundamental human rights.
- An independent and nonpartisan judiciary.
- The veneration of the rule of law to curb uncertainty in the affairs of the state.
- The presence of functional and impartial institutions to enhance constitutional democracy (Fombad 2014:416; Da'ud and Alkali 2014:59).

Undeniably, there are clear distinctions between a constitution and constitutionalism. It can be inferred that constitutionalism transcends a good or well-crafted constitution. In fact, it goes beyond the constitutionality of governmental decisions and actions. Proponents of constitutionalism continuously call for governments to move beyond the obsession with the formal rationality of their actions and focus on popularising constitutionalism across all state structures and agencies. There is an ongoing contention that displeasure with the formal validity of legal prescripts and state actions will not guarantee constitutionalism, which is an imperative element that brings life to the constitution (Mzikamanda 2011:5).

The above conceptualisation of the concepts, 'constitution' and 'constitutionalism' points to the fact that, despite the presence of advanced constitutions in most countries across the world that oblige those who govern, there is no guarantee that the outcomes will correspond with the constitutional values and prescripts. Despite the presence of a progressive Constitution in South Africa – particularly Chapter 2 (Bill of Rights) and Chapter 10 (Public Administration) – many public administrators in various state structures, agencies and departments have been linked to unethical and unlawful conduct (state capture, maladministration,

financial malpractices and unethical conduct) that go against the precepts of the Constitution, 1996. This type of unethical and unlawful conduct can be ascribed to the lack of constitutionalism, which equates to constitutional subversion.

THEORETICAL UNDERPINNING OF CONSTITUTIONALISM

During the past few decades, constitutionalism has gained traction among public policy scholars. Various academics have provided different conceptualisations, depending on the purpose and context. Researchers and legal scholars have advanced a theoretical lens or perspective to gain a deeper understanding of the theory and practice of constitutionalism. These scholarly investigations form the basis for further research or scholarly engagement regarding constitutional law.

According to Chulu (2016:5), “The theory of constitutionalism originated from the ancient Greek philosophy in a systematic, theoretical, normative, and descriptive form of democracy with a particular reference to scholars such as Aristotle”. Additionally, this theory is often linked with the political philosophies of scholars such as John Locke and Charles Montesquieu. These philosophers argued that the government’s power and authority must be statutorily limited. Thus, the government’s legitimacy relies heavily on its ability to follow constitutionally set limitations (Waluchow 2001:4). These philosophers laid a strong foundation that creates a link between political and administrative activities and the constitution.

Constitutionalism ensures that governments remain committed to preserving the validity and legitimacy of their authority over the ruled (citizens). The fundamental logic of this theory is that both *non-derogable* and *derogable* human rights and freedoms must be protected by those bestowed with such authority. The rights can only be exercised where the political and administrative systems are guided by, and conform to, the existing and just constitutional prescriptions (Basheka and Auriacombe 2019:103).

In essence, constitutionalism is a doctrine that is intertwined with the state. From an administrative perspective, constitutionalism applies to those who execute their official obligations within the structures of the state. More specifically, constitutionalism consists of principles associated with organisational structures of government. These principles are mainly concerned with creating efficient and effective organisational structures that are capable of advancing the needs of those they serve (Barber 2018).

In this article, the author focuses on the concept ‘constitutionalism’ through the lens of interactions among administrators and the constitutional guidelines of the duties they carry out on the state’s behalf. Governments across the globe pursue the theory and practice of constitutionalism to strengthen good governance and refine their democratic processes. Constitutionalism is an ongoing process that requires

the government's commitment to upholding constitutional practices. Undeniably, this forms the foundation for any form of progress in a country (Chulu 2016:16).

The theory of constitutionalism emphasises the interplay between public administrators and the constitution across all the spheres and agencies of government. This theory is best suited to explain the expected interaction of public administrators with the constitutional prescriptions and principles. From a theoretical perspective, public administrators are responsible for implementing the constitutional prescriptions and guidelines on permissible conduct and the state's standard operating procedures (Basheka and Auriacombe 2019:123).

South Africa's three former Constitutions were all characterised by discriminatory practices. However, the current Constitution provides a suitable platform for the state to achieve its constitutional aspirations. Thus, the Constitution, 1996 has led to the formulation of institutional designs and other key state agencies and their constitutional mandates. It can be inferred that the proper implementation of a country's constitution leads to a culture of constitutionalism, which, in turn, strengthens the nexus between the public administrators and their political counterparts.

FUNCTIONS OF A CONSTITUTION

Different types of government systems subscribe to a wide range of constitutions. Some subscribe to liberal constitutions, while others subscribe to authoritarian and theocratic ones. However, many progressive states, including South Africa, have constitutions that are guided by a human rights approach. In a democratic state, the functions of a constitution revolve around critical dimensions, such as determining the authority and functions of government, organising common affairs of the nation and outlining the relationships between government and the governed (Gildenhuis and Knipe 2000:5).

The organisation of state institutions

A country's constitution is a legal document that symbolises the state's existence or any other ascriptions within the government. A constitution helps establish and regulate the political platforms and organisations of a nation. It defines a wide range of state institutions and agencies by prescribing their composition, authority and functions (Katabaro 2016:19). Through the constitution, a plan is established to organise various organs of the state. The constitution is a crucial instrument that determines how the arms of the state (the legislature, executive and judiciary) will be constituted and how they will be legally operated (Gildenhuis and Knipe 2000:5).

In addition, a constitution establishes constitutional institutions to ensure the integrity of political processes, such as elections and institutions. Here, the focus

is on ensuring accountability and transparency, as well as respecting human rights and the rule of law (Bulmer 2014:17). In the case of South Africa, these institutions include the Public Protector, the South African Human Rights Commission, the Independent Electoral Commission and the Auditor-General. These Chapter 9 Institutions play a critical role in promoting the ideals of constitutionalism in South Africa.

Division of functions and relationships among different spheres of government

According to Bulmer (2014:4), “Many constitutions establish federal, quasi-federal or decentralised processes for the sharing of power between provinces, regions or other sub-state communities”. In comparison with many constitutions across the world, the Constitution, 1996 makes provision for a multi-sphere government system. This implies that government institutions and departments that perform common functions are created at a national, provincial and local government level.

These spheres of government have extensive tasks and responsibilities that must be executed by public administrators. As such, the Constitution, 1996 not only outlines their authority and functions, but also determines and guides their congruent relationships with one another. This also includes their degree of independence and autonomy and the allocating of state functions (Gildenhuys and Knipe 2000:6).

Committing the state to socio-economic and developmental goals

After World War II, socio-economic rights took centre stage through the inception of global human rights conventions and declarations. These included the 1948 Universal Declaration of Human Rights (UDHR) and the 1966 International Covenant on Economic, Social and Cultural Rights (ICESCR) (Khoza 2007:19). In line with this, many democratic constitutions are anchored in freedoms such as speech, association, dignity, equality and assembly. However, the Constitution, 1996 goes beyond these freedoms. It mandates the state to advance and realise the economic, social and cultural rights of all the citizens within the Republic (Bulmer 2014:4). In this regard, those entrusted with serving citizens are constitutionally compelled to promote the proper utilisation and management of resources and advance the economy and social stability.

Within the context of the Constitution, 1996, constitutionalism becomes an instrumental mechanism that legitimises public administrators’ authority to carry out their duties to promote the welfare of the people they serve. Through genuine constitutionalism, common concern must be honoured in pursuit of public interest rather than undue personal enrichment (Katabaro 2016:18). The socio-economic

rights enshrined in the Constitution, 1996 that public administrators are mandated to facilitate, include the right to adequate housing, healthcare, education, water and social security (Khoza 2007:19).

Organisation of relationships between government and the governed

The relationship between the state and citizens has been a topical, and sometimes controversial, discourse for centuries. A country's constitution is an authoritative instrument that declares citizens' duties, responsibilities and rights. Likewise, it outlines the obligatory responsibilities the state must honour to fulfil and maintain the rights of the citizens (Katabaro 2016:20).

According to Gildenhuis and Knipe (2000:6), one of the most important functions of a constitution is to guarantee and protect the citizens' civil rights. The rationale is to ensure that government authorities such as public administrators do not lose sight of their responsibilities and misappropriate the powers bestowed upon them. Thus, a constitution plays the role of protecting individual citizens from the state. This is based on the premise that political power is vested in the will of the citizens. As such, public administrators must execute the will of the people (Auriacombe 2019:25).

STATUTORY AND POLICY FRAMEWORK GUIDING SOUTH AFRICA'S PUBLIC ADMINISTRATORS

The Republic of South Africa features on the list of democratic governments that have progressive statutory and policy frameworks to direct its public administration's affairs. This framework defines laws and policies as vital tools and mechanisms to outline the required processes and procedures that public administrators should follow (Sithomola 2019:69).

Based on the nature of public administration, the laws and policies that the researcher has selected for the purpose of this article include the Public Service Act 103 of 1994; the Constitution, 1996; the Public Service Code of Conduct of 1997; the White Paper on Service Delivery of 1997 (*Batho Pele* Paper); the Promotion of Administrative Justice Act 3 of 2000; and the Public Administration Management Act 11 of 2014.

Public Service Act 103 of 1994

The Public Service Act, 1994 "provides for the organisation and administration of public service of the Republic, the regulations of the conditions of employment,

terms of office, discipline, retirement and discharge of members of the public service, and matters connected therewith". For instance, the Act outlines the roles of political and administrative office-bearers.

The Constitution of the Republic of South Africa, 1996

The South African government has a constitutional obligation to fulfil its citizens' economic and social aspirations. This role must be fulfilled through the diligent application of fundamental values and principles governing the public administration, as outlined in Chapter 10 of the Constitution, 1996. Section 195(1) calls upon public office-bearers to exercise the following values and principles when rendering specific services to the citizens:

- Promoting and maintaining a high standard of professional ethics.
- Promoting the efficient, effective and prudent utilisation of public resources.
- Promoting a development-oriented public administration.
- Promoting a public administration that demonstrates a high level of accountability.
- Granting citizens the opportunity to participate in public policymaking and responding to their needs fairly, equitably and impartially.
- Ensuring transparency which is fostered by providing the public with timely, accessible and accurate information (Constitution 1996).

Without these principles, the rights outlined in the Bill of Rights will never be achieved. Moreover, these prescripts cannot yield any positive, tangible results in the absence of constitutionalism (Van Heerden 2009:60–61).

Public Service Code of Conduct of 1997

To comply with the public service's constitutional mandate, all state employees must adhere to the Public Service Code of Conduct of 1997. The Code serves as a guideline regarding what is expected from state employees. All employees are expected to adhere to the Code of Conduct to strengthen professionalism within the public service, as outlined in Section 195 of the Constitution, 1996. The Code of Conduct clearly stipulates that public officials must be committed to the Republic and honour the Constitution. It further calls upon public officials to place the public's interests first and to promote sound, efficient, transparent and accountable administration (Public Service Commission 1997:2–5).

White Paper on Service Delivery of 1997

As part of modernising and restructuring the public service, South Africa's first democratic government adopted the White Paper on Service Delivery to support

the implementation of New Public Management (NPM). Also known as the *Batho Pele* principles, this policy denotes citizens as customers. It also focuses on aspects such as delegation, decentralisation, and a results-based approach, and calls for a more efficient and effective public service (Webb 2007:2). Above all, this policy focuses on fundamental human rights and the administrative objectives of the public administration. Thus, the aforementioned are intertwined with constitutional values and prescripts.

The *Batho Pele* principles include dimensions such as consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money (Department of Public Service and Administration (DPSA) 2014:4). In line with the aforementioned, Webb (2007:6) questions whether these objectives have been achieved. However, the author adds that, “what counts is the intention of the South African government to modernise, transform or reform the public service” (Webb 2007:6). Answering Webb’s question based on the trajectory that was adopted a decade ago would be an easy task. The question is based on “intentions”, where one would say it remains a textual optimism if constitutionalism within public administration does not reflect the ideals and values of the constitution in practice.

Promotion of Administrative Justice Act 3 of 2000

According to the Department of International Relations and Cooperation (2017:1), the Promotion of Administrative Justice Act, 2000 gives effect to “the right to administrative action that is lawful, reasonable and procedurally fair as well as the right to written reasons for administrative action contemplated in Section 33 of the Constitution, 1996”.

This Act plays a key role in public administration and constitutionalism as its provisions and administrative law is applicable to all the activities performed by public administrators on a day-to-day basis. More specifically, it stipulates parameters in which accurate administrative action must be undertaken (Sewpersadh and Mubangizi 2017:12).

Public Administration Management Act 11 of 2014

This Act reaffirms and reiterates the stipulations of Section 195 of the Constitution, 1996, in terms of public administration. This Act seeks to strengthen the oversight of ethics, integrity and discipline, and where necessary, interventions where systematic weaknesses are identified. The Act reiterates the importance of sound ethics and integrity in public administration (Public Administration Management Act 2014:18).

CAUSES OF CONSTITUTIONAL SUBVERSION

Academics in the field of Legal and Public Administration agree that constitutionalism is the anchor of good governance, which plays a key role in the utilisation of resources, operationalisation of public policies, as well as stable and functional public institutions. The quality of the services that various state departments and agencies render is determined by public officials' commitment to constitutionalism. As such, they have the responsibility to serve the public, as prescribed by the Constitution, 1996.

It should be borne in mind that unethical and unlawful conduct by public officials is common in both democratic and undemocratic governments across the world. Consequently, governments grapple with the effects of poor governance on service delivery and the promotion and adherence to the constitution (Mafunisa in Kuye, Thornhill and Fourie 2002:192). The below section outlines the causes of constitutional subversion, which lead to a low level or lack of constitutionalism:

Political interference in public administration

According to Burnell (2008:21), "Democracy is not defined solely in terms of elections and the competition for votes. The political party system and the way the parties are structured internally are important features of representative democracy that have a significant bearing on constitutional implementation and accountability".

A conventional feature of a constitutional democratic system is the separation of the state's authority. In South Africa, the state's authority is divided into the legislative, executive and judicial institutions. These three arms of the state are independent of one another. The purpose of this separation is to ensure that there are checks and balances in place among the three distinctive arms of the state. These authorities also help prevent the state from exercising its authority arbitrarily. Thus, each authority performs its designated functions based on the constitutional prescriptions (Van Heerden 2009:49).

Political intrusion takes place when political office-bearers interfere with administrative decision-making processes that are within the exclusive jurisdiction of administrative office-bearers. Within this context, political office-bearers interfere with administrative dimensions such as organising, planning, coordinating, procurement and staffing (Mfuru, Sarwatt and Kanire 2018:49).

This intrusion can be attributed to elements who assume strategic positions specifically to erode the established constitutional order. For instance, in South Africa, state capture has undermined the country's pursuit of democratic governance. Based on the testimonies presented at the State Capture Commission, it is clear that the executive arm of the state was infiltrated by elements with a mandate to overthrow the state's pursuit of constitutional values and principles.

With South Africa's widespread state capture, key political representatives in government, senior public administrators and a handful of influential private individuals pulled their weight to steer public institutions and agencies away from fulfilling their constitutional mandate. The focus was on serving the interests of a few private individuals at the expense of the South African citizens. The objective was to dismantle the constitutional order (the democratic will of the people, the sovereignty of the Republic and the supreme law of the land) to control the state (Mkhabela in Meirotti and Masterson 2018:123).

Deviation from the set standards for personal enrichment

Public officials are required to maintain and bolster the public's confidence and trust in the state. This can only occur when they display the highest standards of professional skills, efficiency, accountability and uphold, exercise and protect the constitution and its supporting laws to advance the public's needs (Whitton 2001:4).

Loss of public trust and confidence in public officials, points to a deviation from the social contract between the state and its citizens. When public officials deviate from the constitutional mandate, it demonstrates that they prioritise their personal interests by seeking political support and re-election. Within this context, the focus is on gaining control over massive funds budgeted for development and investment programmes, as opposed to serving the public's interests (Ivanyna, Mourmouras and Rangazas 2018:74).

Deviations from the Constitution is a recurring theme within South African public administration discourse. Within this context, unethical public administrators deliberately act "unconstitutionally" by ignoring the prescripts of the ultimate law of the country. These include neglecting the rule of law, civil rights and civil liberties that the Constitution, 1996 guarantees to individual citizens of the country (Gildenhuis 2004:92).

There are many instances in South Africa where the supreme law of the land and its supporting parliamentary legislation was neglected or side-lined by public administrators. This state of affairs was clearly highlighted by state and non-state institutions such as the Auditor-General, Public Protector, Corruption Watch, the Special Investigating Unit, the Hawks and evidence-based parliamentary debates brought forward by opposition parties. Examples of constitutional deviations that have taken place in recent years include "Nkandla Gate", corrupt activities between private businesses and the state, financial malpractices that have bankrupted state-owned enterprises such as Eskom, South African Airways (SAA) and the South African Broadcasting Corporation (SABC) (Gumede 2017). Within this context, procurement standards and procedures are often flouted by public administrators and political representatives. As a result, service delivery to ordinary

South Africans is unconstitutionally compromised since funds and resources are diverted to serve the personal interests of corrupt officials (Dassah 2018:7–8).

Lack of constitutional understanding

Various scholars have commented on the complex legislation that public administrators are required to apply to ensure that their actions are within the ambit of the law. Mafunisa (in Kuye *et al.* 2002:194) argues that complex laws and policies may sometimes create an environment for unethical behaviour among public administrators. Regulations and technical stipulations may also be complex for public administrators to comprehend. As such, public administrators who lack legislative understanding run the risk of unwittingly acting unethically. Furthermore, the inaccurate interpretation of legislation leads to inconsistencies. Consequently, it is highly unlikely for any government department or agency to achieve the set goals in such an environment (Mafunisa in Kuye *et al.* 2002:194). Ultimately, a lack of constitutional understanding creates a culture of “unconstitutionalism” (Burnell 2008:11).

Former Minister of the DPSA, Ayanda Dlodlo (DPSA 2018) underscored that public service, governance and administration should be underpinned by the central values of the Constitution, 1996. These values include equity, social justice and respect for human rights. Unsurprisingly, the Constitution, 1996, includes an exclusive chapter that focuses on the principles and values of public administration (DPSA 2018). As highlighted by former Minister Dlodlo, the Constitution, 1996 remains the cornerstone of South Africa’s democracy. This leads to the following question: Does the public sector personnel component, especially at the senior managerial level, understand the provisions of the Constitution?

It can be inferred that the quality of the services that public administrators in South Africa render is, in many cases, a reflection of their knowledge of the Constitution. Within this context, public administrators have a long way to go to grasp and implement the country’s constitution. This simply affirms that there is still an enormous lack of required knowledge and understating of the constitutional directives that are essential for optimum performance by public administrators (Van Heerden 2009:58–59).

Lack of conventional ethical and moral capital

Ethics and morals are mainly concerned with issues such as propriety, rightness and wrongness (Sirswal in Islam 2015:74). Moreover, they are key ingredients in selflessness, objectivity, accountability, integrity, openness, honesty and leadership (Sirswal in Islam 2015:77–78). Importantly, ethics and morals help facilitate positive human conduct on a day-to-day basis. Despite the mandatory

constitutional prescripts that call for a high standard of professional ethics among public administrators, as outlined in Chapter 10 of the Constitution, 1996, the South African public sector continues to grapple with unethical and immoral conduct. Unethical and immoral behaviour lead to corruption and therefore undermine constitutionalism. Corruption simply signifies the departure from ethics, morality, conventional governance tradition, law and civic virtue (Vorster 2012:133).

According to Gildenhuis (2004:19), "Laws and regulations are supposed to guarantee stability through the orderly conduct of public officials". However, in reality, laws and regulations alone cannot guarantee administrative and political stability. As such, government structures and institutions should not be based solely on the Constitution. It should also be anchored in the ethics and morals that characterise virtuous people. Maladministration and poor governance in the public sector can also be ascribed to the lack of moral capital from political and administrative office-bearers (Gildenhuis 2004). However, by applying set ethical and moral values when executing their official obligations, public administrators can realise the ideals and values of the Constitution. Undeniably, this will ultimately lead to true constitutionalism within the public sector.

CONSEQUENCES OF CONSTITUTIONAL SUBVERSION

The absence of constitutionalism always leads to undesirable consequences within the state and the general public. Lack of constitutionalism undermines development endeavours, leads to a lack of accountability, undermines essential state functions, creates a corruption-enabling environment and leads to poor governance and service delivery.

The destabilisation of development endeavours

Development scholars agree that unchecked abuse of public office by public administrators and political representatives is likely to undermine equitable growth and development. The rule of law, coupled with constitutionalism, are two essential governance dimensions to ensure a successful market-driven economy. These two governance dimensions provide a firm rights- and responsibility-driven market framework that helps attract investors (Anderson 1999:2).

The lack of constitutionalism within the South African public sector has a negative impact on the country's development. Failure to abide by the principles of constitutionalism jeopardises any possibility of sustainable economic and social development. Institutions and agencies that are responsible for driving the development agenda, as outlined in the National Development Plan (NDP): 2030, are used to pursue the interests of a few politically connected individuals.

A lack of constitutionalism within state institutions and agencies invariably impacts millions of ordinary citizens. Development policies and resources are diverted from the intended aims of uplifting mainly poverty-stricken citizens. Thus, a lack of constitutionalism within the public sector has led to widespread corruption and maladministration. It has hampered local and foreign direct investment, stock market-related capital and investment, global competitiveness and economic growth. These undesirable dimensions have ultimately derailed South Africa from a promising African economy to a country characterised by intergenerational poverty (Corruption Watch 2019).

Rogue governance

Lack of constitutionalism creates a culture of poor governance, as those entrusted with public responsibilities deliberately cease to apply the required principles. Chapter 10 of the Constitution, 1996 mandates public servants to demonstrate a high level of professional ethics and provide services fairly and equitably. Based on these constitutional prescriptions, it is evident that the standards for effective, efficient, transparent and accountable service delivery are ignored by those responsible for executing the strategic socio-economic goals outlined in the NDP (Sithomola 2019:73). Forson, Baah-Ennumh, Buracom, Chen and Peng (2016:566) argue that the absence of accountability – especially from public officials and political representatives – creates an environment of “unaccountability”, which in turn breeds a culture of impunity.

A well-documented case of the improper application of constitutionalism in governance of public affairs took place at Life Esidimeni Hospital, where the Gauteng Department of Health jeopardised the lives of mental health patients. The Arbitrator in the Life Esidimeni case, former Deputy Chief Justice Dikgang Moseneke (in Duroiaye and Agaba 2018:163) stated that “The public officials behind the project had acted irrationally and had abused their power”. The Tribunal concluded that the project was characterised by secrecy, a lack of accountability and transparency, as well as unknown ulterior motives. The Tribunal revealed that these governance activities ultimately led to the suffering and wrongful deaths of many mental health patients, which is in direct contradiction to the guidelines outlined in Chapter 10 of the Constitution, 1996.

Creating an environment where corruption thrives

Bhargava (2005:1) defines the term ‘corruption’ as “the abuse of public or corporate office for private gain”. This undesirable phenomenon manifests itself in many forms and domains, such as the procurement of goods and services, subsidy distribution, concessions provision and resource allocation. Additionally, Mills

(2012:3), regards corruption as “antithetical to the purposes of public administration”. The author adds that corruption gains traction when public service institutions and their administrators fail to adhere to professional ethics and to serve with honesty and integrity. Ideally, public administration should focus on protecting the state assets and citizens by adhering to set constitutional principles (Mills 2012:3).

Political representatives and bureaucrats play a central role in institutionalising corrupt activities in the public administration. Corruption in the public sector encompasses the abuse of resources and assets where public officials act in self-interest, as opposed to the public’s needs (Sewpersadh and Mubangizi 2017:3). According to Forson *et al.* (2016:566), “Corruption undermines the rule of law by eroding democratic institutions essential for fair and equitable societies. Thus, only when the rule of law prevails, can sustainable development be guaranteed”.

During the past 10 years, there has been a gradual erosion of true constitutionalism. This has created a fertile breeding ground for endemic corruption by political and administrative office-bearers. As a result, citizens no longer have confidence in state departments and state-owned enterprises (Olasunkanmi 2018:275).

In terms of the Constitution, 1996, public funds sourced through tax collection, loans from private financial service institutions, income from government investments and other means of financing the government budget should be allocated to crucial services such as education, healthcare, social security grants, water and sanitation, housing and roads. However, in many cases, these funds are used for private gain to the detriment of public service delivery (Corruption Watch 2019). Unfortunately, this weakens the institutions and agencies responsible for delivering the aforementioned basic services.

Substandard public institutions are incapable of playing any oversight role to safeguard, monitor and evaluate resource usage to deliver services, as prescribed by the Constitution, 1996 (Mwije 2013:8). For instance, the measures that were put in place to respond to the Covid-19 pandemic were marred by procurement and tender irregularities. Former Auditor-General Kimi Makwetu and his team uncovered a range of illegal and irregular activities surrounding Personal Protective Equipment (PPE) funds. Public administrators, elected office-bearers and “tenderpreneurs” were all involved in these irregular practices (BusinessTech 2020), where taxpayers’ resources were diverted for personal gain.

The Auditor-General (AG) highlighted many instances where the national and provincial departments failed to procure PPE at the market-related prices, as prescribed by the National Treasury’s specifications. Furthermore, the AG revealed that certain participating companies did not possess valid tax clearance certificates and failed to provide quotations, while some of the commissioning departments flouted regular and competitive tender-bidding processes (Auditor-General South Africa 2020). The aforementioned serves as yet another clear example of constitutional subversion within government.

CONCLUSIONS

As the supreme law of the country, the Constitution, 1996 provides direction regarding all institutional and administrative processes across all spheres of government, state authorities (the executive, legislature and judiciary) and all other state agencies. Thus, South Africa's Constitution covers all the activities and processes that are needed to realise "a better life for all".

Despite its importance, it takes more than the Constitution to preserve and maintain the ideals of a prosperous South Africa, as envisaged through the CODESA concessions. Undeniably, the Constitution, 1996 sets clear guidelines for public administrators. To realise these prescripts, there must be a fundamental commitment to the spirit, norms and procedural guidelines of the Constitution and its supporting laws and institutions. This also requires ethical public administrators that guide their conduct and practices and internalise constitutional prescripts to uphold and honour the Constitution. Thus, public administration principles, as outlined in Chapter 10 of the Constitution, 1996, are only relevant if public office-bearers fail to live by and implement the values and norms that the Constitution sets.

Importantly, the vibrancy and relevance of the Constitution can only be guaranteed by the presence of true constitutionalism. Constitutionalism helps ensure that a state is governed in such a way that it facilitates stability. Thus, the well-being of the Republic (its citizens, state institutions, assets and resources) relies on constitutionalism, as it helps ensure a well-governed state.

Rather than interrogating the relevance of the Constitution to public administrators in South Africa, more focus should be placed on the dimension of constitutionalism and measures that need to be undertaken to realise this invaluable and elusive governance principle. In addition, there is room for improvement in terms of the efficient operationalisation/implementation of the country's statutory and policy framework in pursuit of socio-economic and political stability.

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Social Policy Paradigms, Education and Development Through Sports

The Implications for South Africa

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ABSTRACT

Education and development are lifespan experiences starting from infancy into adulthood in sociological, anthropological and biological studies. This article conducted an analysis of principal factors as perceived variables related to sociological orientation, policy-education and development through sports and their association with each other. It adopted a quantitative methodology to collect and analyse data from 720 participants. The result showed a significant association between knowledge of policy with the level of education and age distribution among athletes and fans. The results and findings have implications for early childhood policy education and development through sports policy for child athletes in South Africa. The article further explored challenges perceived to be associated with South African policy implementation towards inclusive and equitable participation demographically affecting black athletes and fans who started rugby when older than their white counterparts. The article, therefore, recommends the Stakeholders Strategic Diversity Management Model (SSDMM) as a possible theoretical and pragmatic framework for addressing social discrimination and inequality through early childhood policy-education and development through sport policy- making and implementation in a heterogeneous society.

INTRODUCTION, BACKGROUND AND RATIONALE OF THE STUDY

Sport is used for many purposes by multilateral organisations, such as the United Nations, United Nations Educational, Scientific and Cultural Organisation (UNESCO), CARE International, and Right to Play. Governmental bodies, such as the Sports Authority of India, Austrian Sports Commission, United Kingdom (UK) Sports, and the South Africa Sports and Recreation Department use sports for nation-building, promotion of healthy lifestyle and culture transformation of peoples' lives (Hartmann and Kwauk 2011; National Sport and Recreation Plan (NSRP) 2012).

Development-Through-Sport (DTS) as a social construct, drives policies that include peace and conflict resolution, social equity, and justice (Beulter 2008). In rare cases, it is used as an instrument in land negotiations, and in corporate social initiatives by industries and for commercial purposes (Cardenas 2012). DTS-based programmes have been shown to improve the learning performance of children and young people, encouraging school attendance and a desire to succeed academically (Torres 2015). While much research into the health and development impacts of sport has been conducted in developed countries, multiple studies support this relationship in developing countries. For example, a study on DTS involvement among children and young people in Namibia has shown that those who participated in sports and physical activity were more likely to pass the Grade 10 examinations (Torres 2015). Researchers have also suggested that sport's relationship with children continues into tertiary education (Grupe 1985; Torres 2015). The dual nature of values and norms adds to sport's importance and is subject to change in terms of its constitutive or formal rules based on society's benefits and standards. This line of thinking makes DTS a social construct due to its changing nature (Steenbergen, De Knop & Elling 2001:50–51).

To determine these social constructs, DTS exacerbated tensions that pose a question about sport's transcending values in a social or educational setting. Sport's extended values are beyond the game's analytical, normative judgements, and justifications. It is due to sport's relative autonomy of socio-cultural rootedness and that of the broader network of commonly held values and norms that made sports practices embedded, and extendable in values. The very nature of these 'concomitant values' required in early sports participation or specialisation must be critically evaluated in relation to the later stage of an athlete's development and education (Coakley 1996). This is especially important if there are consequences that cannot necessarily be ignored in policy formulation and implementation (Grupe 1985; Torres 2015). Studies acknowledged that sport has a formative positive influence on young people such as, employability, social value, physical fitness and confidence (Beamon 2010; Bredemeier 1995; Coakley 2011;

Shields and Bredemeier 1995) and a negative formative influence such as asocial values like drugs and over-confidence (Begg, Langley, Moffitt & Marshall 1996).

The article also explores the implementation of transformation in South Africa among rugby and football players and fans interviewed, to make inferences and determine whether or not there were cases of imbalances and social discrimination in the developmental processes in early childhood that might influence socialisation of players and fans of the selected sports.

The South African notion of transformation is gazetted to achieve an inclusive sport that addresses racial and social discrimination (NSRP 2012). Also, with affirmative action, “it would enable the equitable distribution of wealth among the people for the realisation of full human capabilities and opportunities to underpin” developmental policy principles in the sports sector (Hiraide 2013). Among myriads of developmental interventions is the programme on sport transformation in South Africa, which is aimed at social inclusion as enshrined in the 1999 Constitution and other legislation that promote affirmative action (NSRP 2012; Eminent Persons Group (EPG) 2014; The South African Department of Labour 2004). Also, specific sports, like soccer and rugby; are contact sports that can play an essential role in socialisation and networking among various ethnic minorities and majorities, particularly among the youth. It may imply that some sports tend to be integrative in some respects but can be different when another frame of reference is used. For individuals, participation in-game might be reflective or enhance social integration in society (James 2001). But, Steenbergen, De Knop and Elling (2001:90) suggested that a practical approach to integrative social functions of sport is to be viewed and analysed critically in public policy and implementation.

Public policy’s task is to improve everyone’s quality of life through developing capabilities that are aligned with the former United Nations Millennium Development Goals and the *Constitution of the Republic of South Africa*, 1996 (Nussbaum 2011). What appeared in the literature is challenged in the implementation of the intervention as prescribed in the policy framework of the National Sports and Recreation Plan of 2011 and the strategic goal set by the EPG report of 2014. The deviation in both the Millennium and National Sports Plan goals was reported to be due to the imaginary neoliberal approaches adopted for the delivery of sports for development globally (Ball 2012; EPG Report 2018).

According to Van Deventer (2007), it is ideal to combine sociological, physiological and physical variables in the development of an individual to enhance the holistic well-being of persons and society. So also is advocating for social policy education to create social orientation among athletes and fans at the earliest age possible in order to attain an inclusive society and sports development in a heterogeneous society. The study explores six factors’ (Interpersonal Relations (IR), Institutional Change (IC), Organisational Culture and Integrity (OCI), Policy Evaluation and Effectiveness (PEE), Social Corporate Integration (SCI), and Policy

Networking (PN)) components of players' and fans' perceptions of transformation policy in South Africa. These factors were used to advocate for inclusive sport in early education and society in post-apartheid South Africa.

The research for this article involved how the ideals of DTS can be used for the development of early-social-policy-education or transformation interventions (STPE) that can be used to develop a framework underpinned by equality, dignity and the right to control one's visions. The use of sport for development has been widely embraced across political, cultural and geographical divides, because of its uniqueness and popularity (James 2001; Whitley, Forneris & Barker 2015). It cuts across all strata of society, whether rich or poor, and beyond the racial divides (Bolsmann 2014; Carrington & McDonald 2002; Darnell & Hayhurst 2011, 2012; Steenbergen, De knop & Elling 2001).

Therefore, examining the stakeholders' inferred responses to issues of policy education within the context of sport for development and transformation policy outcomes, should provide the curricula and knowledge-based contextual analysis and modelling of sport to advocate the potential value of adopting Freirean inspired critical pedagogy in early childhood (Giulianotti 2011; Jeanes & Spaaij 2016). Critical pedagogy assumes that practitioners are in the best position to recognise connections between individual problems, experiences and the social context in which people are embedded (Culpan & Bruce 2007; Hill, Philpot, Walton-Fisette, Sutherland, Flemons, Ovens & Flory 2018). Advancing Paulo Freire's theory on 'critical pedagogy' in this review was to provoke critical policy education among stakeholders to influence policy change in early childhood education curriculum design to include, among others, the incorporation of policy education on racial education using sport as a tool for the development of early age socialisation skills to enhance racial relations and integration in adulthood experience (Walton-Fisette & Sutherland 2018). Critical pedagogy is meant to be an education, aimed at transforming an oppressive structure, using learned experiences to reposition the role of education in the sport for development and transformation in a heterogeneous society like South Africa (Giulianotti 2011; Burnette 2015; Jeanes & Spaaij 2016). Scholars pointed out that there is a lack of work that critically examines the pedagogies that underpin DTS initiatives. Moreover, the authors claimed that there is almost no attention given to the educational processes that *best* support the social objectives of DTS programmes (Burnette 2015; Jeanes & Spaaij 2016). This was confirmed through the survey results reported below.

This article aims to develop a Strategic Stakeholder Integrated Diversity Management model (SSIDMM), which espouses a bottom-up approach based on principles that would address exclusion and inequality in sport. The model must serve as the framework in which individuals interact and interpret their experiences and allows the organisation's culture and its values, norms, and preferred styles, as well as its structures and systems.

Hence, the objectives of the study are:

- To explore the principal component factors associated with policy knowledge, players' qualifications, and years of experience in playing in a selected sport.
- To assess the perceived impacts of policy implementation in relation to policy knowledge and experience of the sport in adulthood.
- To propose a policy framework that is inclusive and a practical model for addressing inequality and discrimination in sport from the perspectives of early child development, education and adulthood.

SPORT, INCLUSION AND DEVELOPMENT

The study by Campbell, Williams and Gilden (2002) suggested that when a community is empowered through advocacy and social awareness, it helps curb the scourge of community HIV/Aids spread. This implies that, the less awareness about a situation, the less motivated the people would be towards a particular problem. The effects of this stance can be consequential. Therefore, Campbell *et al.* (2002) argued that 'social capital' necessitates development through critical consciousness or education. The position was supported by Burnett (2006) that 'building social capital' is fundamental and critical in the formation of an active community engagement over an issue such as social inclusion and invariably racial inequality. Sports remains a veritable tool for society to build and activate social capital in this regard.

Hence, sport has been found to be instrumental for building social capacity when integrated with other variables such as social awareness and education (Burnett 2009). Some scholars are skeptical of the imposition of social policy advocacy to achieve 'social protection' and 'agenda on community' (Hickey & Seeking 2017; Ouma & Adesina 2019; Stubbs & Zrinščak 2006). This is the result of its perceived negative impact on broad-based development that meant to benefit all irrespective of culture, religion, race, gender and political affinity or affiliation (Sacsac 2005: International Labour Organisation Convention 1989:1).

In terms of sport and social inclusion, it could be argued that social knowledge and skills are learned within the context of family and community by apprentices of parents, teachers or coaches at a more tender age before adulthood (Collins, Brown & Holum 1991; Collin, Brown & Newman 1988). Hence, situating social policy education in family and community advocacy could potentially influence the quality of socialisation and integration of a child through adulthood and invariably improve social inclusion and broad-based development when community is mobilised. The absence of institutional networking and capacity at societal level adversely affects development (Ono & Ferreira 2010; Woolcock & Narayan 2000).

Thus, international communities explore the use of sport as an instrument for social inclusion and to drive development (Giulianotti 2011; Hylton 2013).

Apolitically, sport has been extensively used to drive the advancement of the United Nations' policies such as the Millennium Development Goals (MDGs) and other peace initiatives globally (Beutler 2008). For example, sport is used to target youth development (Coalter 2010); to conceptualise a broader range of problem-solving mechanisms outside politics (Coalter 2010); it is used to foster leadership skills among young people and to build social capital (Hartmann & Kwauk 2011) and to invest in educating through sport such as HIV/Aids sports for development in countries like Zambia (Jeanes & Spaaij 2016; Kay & Bradbury 2009).

A MANAGEMENT APPROACH TO SPORT

Scholars have argued that the strategies for implementation of developmental interventions determine the levels of success and its challenges when institutionalised and regulated from top-to-bottom (Black 2017). The top-down management approach is to organise, administer and implement the administrating process from the top and implementation at the bottom. However, the bottom-management approach is to operationalise the management from the bottom to the top to make it workable. Critics of a top-down approach to development faulted its non-aligned approach which favours broad-based development of bottom-to-top; the reason being that it poses a challenge to those outside the influence of the political economy in favour of broader development approaches (Darnell & Hayhurst 2011, 2012). Thus, an inclusive social policy driven to succeed must resonate among the community to galvanise their buy-in and support (Adesina 2011). It should be a bottom-top approach rather than the other way around (top-to-bottom approach). DTS entwined with initiatives, promotes social values and limits people or groups' freedom of association preferentially (Forde 2013; Jeanes & Spaaij 2016; Rossi & Rynne 2014; Whitley, Forneris, & Barker 2015).

The bottom-to-top approach for development, as adopted by organisations such as the Global North Agencies, provides minimal initiatives devised and intended for beneficiaries outside the local boundaries funded by conglomerates of non-governmental agencies (Whitley, Forreeris & Barker 2015). Such interventions are delivered and managed by local stakeholders and staff of the hosting countries (Hayhurst 2009). Forde (2013) argues in support of a bottom-up approach to sport or transformation interventions that are more often designed to be in line with global discourses around simple social problems, rather than addressing the structural factors causing the problems.

Hence, it is reasonable to suggest that the need for research is based on investigating the gap in sport for transformation and development in praxis in South Africa. It explores the absence of the early-social-policy-education process and its impact on DTS in South African sports transformation among the selected athletes

surveyed. The issue of social inclusion in sports or transformation in a heterogeneous setting (James 2001) has been seldom spoken of or addressed in research. Sen (1999) argues that what predicates development is the educative process. Thus, early-social-policy-education (ESPE) helps in equipping stakeholders with skills in handling '*integrated complexities*' during '*trade-offs*' and '*compromises*' needed to foster collaboration in any social intervention activity and policymaking (Giller, Tittonell, Rufino, Van Wijk, Zingore, Mapfumo & Rowe 2011).

DISCRIMINATION AND EXCLUSION IN SPORT

Social exclusion (discrimination), according to Moore and Kieffer (2013), occurs when a particular societal group is constrained or held back by factors that apply to the minority group. In the South African context, it was the reversal of views held by Moore and Kieffer (2013), which was the majority group that was constrained and held back by minorities historically (South Africa History Online 2017; Nambo 2016). The most common features of constraints as pointed out by Moore and Kieffer (2013) are: 1) When a group receives less favourable treatment from others; 2) In a stratified society where stacking occurs, minority groups will be the ones that experience discrimination; 3) It argued that discrimination (SE) takes a form of targeted policy towards certain groups to raise participation levels to reflect social ranking. Should the league systems (pyramid structure) in sports be considered a deliberate policy to discriminate against other groups? 4) It alleged that discrimination in-game could occur unofficially and that it is silent without overarching influence being noticed. It could also take the form of official policy to discriminate in sports, such as what happened during the apartheid regime (Carrigall 1971). The author went on to describe discrimination as something that has to do with attitudes leading to stereotypes, which later develop into a myth that produces bias and has grown into a self-fulfilling prophecy (Moore & Kieffer 2013).

The issues surrounding SE have to do with stereotypical images of groups of people and the imbalance of power and resources. From the statement of Moore *et al.*, the imbalance refers to inequality. Social inequality is not the same as "difference". It implies that people are disadvantaged, relative to others. The disadvantage in question is in a social context (Wilkinson & Pickett 2017).

METHODOLOGY

As part of a bigger mixed-methods approach to the study, a quantitative approach was followed to achieve the research objectives set above for this part of the study. To understand the role of players' educational levels as end-user participants in

relation to their policy knowledge, and the association between age and years of playing experience, a principal factor analysis was conducted to determine the variables associated with early child development and policy-educational issues. The study focused on participants' views of the implementation of transformation policy in addressing inequality and social inclusion in rugby and football in adulthood in selected provinces (Gauteng, North-West, Northern Cape and Eastern Cape) in South Africa.

Sample

A stratified random sample of 720 rugby and football players and fans participated in the study. They were identified as the end-users who might be directly affected by transformation policies. They were selected at local, provincial, regional and national levels. The respondents were selected from both the South African Football Association (SAFA) and South African Rugby Union (SARU) federation structures and league table positions respectively in Gauteng, North-West, Northern Cape, and Eastern Cape Provinces.

The research sample size of 720 was estimated with 95% confidence level and +/-3.5 precision level. There were 240 football players, 240 rugby players, 120 rugby fans and 120 football fans who participated, respectively. More senior players and fans (45.4%) were represented in the study than under 23 (34.2%) and under 19 (20.4%) players. Within the under 19 age group, more of the participants were playing football (61.6) than rugby (38.4%) and similarly, in the under 23 age group, more players played football (64.1%) than rugby (35.9%). However, in the senior age group, more participants played rugby (66.2%) than football (33.8%). The gender profile represented in the study: male representation in both sports is significantly higher (89.6%) than that of the female players (10.4%).

Instrument

After ethical clearance was received from the Research Ethics Committee of the Nelson Mandela University and informed consent received from participants, they were requested to complete a questionnaire. The questionnaire was used to elicit information and inquiry in terms of the sport transformation charter policy of 2012, and the social transformation agenda of 1994 and the labour laws in South Africa (Employment Equity Act 55 of 1998, the Basic Conditions of Employment Act 11 of 2002 and the Labour Relations Act 6 of 1995), underpinned the study's narratives and the inquiry into the perceptions of the stakeholders. The questionnaire was subjected to a pilot study to determine its clarity and final changes and adjustments were made. To determine the Cronbach Alpha coefficient (Cronbach

Alpha) as a measure of the reliability of the instrument, its internal consistency was assessed. The reliability for the entire instrument was high (alpha = .923).

Data analysis

SPSS (version 25) software was used in the analysis of quantitative data according to Mean distribution, cross-tabulation of association, Analysis of Variance (ANOVA) test, Chi-Square association and principal component analysis were performed to understand the impact of policy knowledge, years of playing and age of players in relation to education and development. The six factors identified through factor analysis explained 18.66%, 10.87%, 7.90%, 5.24%, 4.44% and 4.19% of the variance, respectively, and collectively explained 51.32% of the total variance. Items that contributed less than .45 on each factor were excluded.

Results

The six factors were named after taking the content of the items and item loading on each factor into consideration. Factor 1 is named Interpersonal Relations (IR) because it showed how players' beliefs had changed since 1994 in post-apartheid South Africa to promote interpersonal relationships among races. Factor 2 was named Institutional Change (IC), indicating how players perceived and related to institutional changes. Factor 3 was related to the extent of diversity in the organisational culture and the level of inclusion within the federations and was thus named Organisation Culture and Integration (OCI). Factor 4 indicated how players perceived the extent of implementation of transformation: policy evaluation and effectiveness were tagged as Policy Evaluation and Effectiveness (PEE). Factor 5 represented the impact of the transformation policy on social and corporate integration, tagged Social and Corporate Integration (SCI). Lastly, Factor 6 was named Policy Networking (PN), as it represented the players' understanding and description of the policy and networking. All the elements were rendered acceptable to high reliability, with Cronbach Alpha scores between .561 and .928. The descriptive results and reliability for each factor were determined.

A Chi-Square test for independence (with continuity correction) indicated a significant association between the observed frequencies of players' and fans' sport and their gender, $H_0: \chi^2(1, N = 719) = 9.073, p = .003, \phi = -.112$. The large effect size was indicative of the practical implications that the association had for the study, as the male representation in both sports was significantly higher (89.6%) than that of the female players (10.4%). The researcher thus exercised caution when discussing results as they might be biased towards the male perceptions of the participants.

The result shows the age group categorisation of participants who played in their various leagues as under 19 (20.3%), under 23 (34%), and senior players and fans (45%) in both rugby and football. The distribution was fair between the groups.

A significant association between the observed frequencies of players' and fans' sport and their age groups was found, $H_0: \chi^2 (2, N = 716) = 61.268, P = .000, \Phi = .293$, as presented. More senior players and fans (45.4%) were represented in the study than under 23 (34.2%) and under 19 (20.4%) players and fans. Within the under 19 age group, more of the participants were playing football (61.6%) than rugby (38.4%) and similarly, in the under 23 age group, more players played football (64.1%) than rugby (35.9%). However, in the senior age group, more participants played rugby (66.2%) than football (33.8%). This indicated that the younger age groups were more representative of football players' and fans' perceptions, while the players in the older age group were more representative of rugby participants' perceptions.

The educational qualifications of the participants indicate that 550 participants (76.4%) had completed their Matric (Grade 12)/Diploma, while 13.5% had completed an undergraduate qualification and 4.9% a postgraduate qualification. A few participants had not completed secondary school (< Grade 11) ($n = 34, 4.7\%$).

Also, the descriptions of participants' ethnicity are represented. There was a proportional representation of all the racial groups. It was a fair representation of the current context of sport in South Africa, with 374 (52.1%) black players and fans, 183 (25.5%) white players and fans 147 (20.5%) coloured players and fans and 14 (1.9%) Indian players and fans.

Lastly, the study explored the description of stakeholders' policy knowledge. It is presented below.

Players' knowledge of sport transformation policies

It shows the participants' knowledge about the sport transformation policy. Only 276 (38.4%) of the respondents indicated that they had read the policy. Consequentially, a large number of participants did not know the policy. The result showed that 257 (35.7%) respondents indicated they did not know it, while 176 (24.4%) knew about it, but had not read it and 10 respondents (1.4%) indicated that they were 'not interested in reading it'.

The association between players' knowledge of the policy and their age groups, education and race was further explored. The result represents the cross-tabulation between participants' knowledge of the policy and their age groups. The observed frequencies of participants' age groups and their policy knowledge, $H_0: \chi^2 (6, N = 716) = 209.885, p < .000, \Phi = .541$, show a significant association between the two variables. Almost half of the under 19 age group (47.3%) did not

know the policy, while 64.5% of the under 23 participants did not know it. Only 8.3% of the senior players indicated that they did not know the policy. It might be indicative of the fact that knowledge of the sport transformation policy comes with age and experience.

The association between participants' education and their knowledge of the sport transformation policy was further explored and presented.

Association between participants' education and knowledge

A Chi-Square analysis of the observed frequencies of participants' policy knowledge and their education showed a significant association between the two variables, $H_0: \chi^2 (9, N = 716) = 52.758, p = .000, \Phi = .271$. The results indicated that most players who had only 'school education/diploma' represented 40.7%, while respondents with education 'less than grade' represented 11 (20.6%) who did not know the policy, while most players with an undergraduate (46.4%) and post-graduate qualification (48.6%) indicated that they knew the policy. Knowledge of the policy could thus be associated with the educational level of the players and fans.

When the racial groups of the sample were considered, a Chi-Square test of the association between race and policy knowledge showed a significant association between the observed frequencies' two variables, $H_0: \chi^2 (9, N = 718) = 99.795, p = .000, \Phi = .373$. While most of the black (48.7%) and Indian (92.3%) participants indicated that they did not know the policy, most of the white (57.6%) and coloured (46.9%) participants stated that they 'knew the policy'.

Group differences between players and differences in policy knowledge

A one-way between-groups analysis of variance was conducted to explore perception differences between players according to their knowledge of the sport transformation policy on the six factors. The players grouped according to their 'knowledge of policy' representing players who 'read the policy', 'did not read the policy', 'knew of it but had not read it' and those who were 'not interested to read it' in football and rugby. The result showed a statistically significant difference at the $p < .05$ for IC: $F (3, 476) = 8.27, p = .000$, and PN: $F (3, 476) = 14.75$. Moderate effect size was found for both factors, with eta squared = .049 and .085 respectively. Post-hoc comparisons conducted, using Bonferroni tests, indicated that the 'player who knew the policy' ($M = 2.95, SD = .788$), perceived much less IC than players 'who had not read it yet'. The players who were not interested to know or read the policy ($M = 2.86, SD = .739$) perceived the PN much less than the other groups.

Correlations between the six factors and the players' age and number of years playing either rugby or football

The relationships between the elements, the age, and the number of years playing their sport are presented below. Significant weak negative correlations were observed between the factors for both the age and the number of years that players had been participating in their sports. It indicated that as participants aged, they perceived these aspects of sport transformation policy to decrease. See Table 1, Correlation between age, number of years playing and the six factors. The relationships between the factors and the age and number of years playing their sport are presented in Table 1.

Table 1: Table of correlations between age, number of years playing and the six factors

	Age	Years playing	IR	IC	OCI	PEE	SCI	PN
Age	1	.817**	.107*	-.115*	-.041	-.054	.021	-.078
Years playing			0.127**	-.008	-.059	.005	.006	-.119**
** . Correlation is significant at the 0.01 level (2-tailed). * . Correlation is significant at the 0.05 level (2-tailed).								

Significant weak negative correlations were observed between some of the factors for both the age and the number of years players were participating in their sport. This indicates that as players age, they perceive these aspects of sport transformation policy to decrease.

DISCUSSION

The study shows a significant association between the observed frequencies of players' and fans' participation in sport and their age groups. It indicates that 'younger age groups' are more representative of football players' perceptions, while the players and fans in the older age group are more representative of rugby players' perceptions. In a similar analysis, the result also showed that older players and fans are more knowledgeable about policy than younger players and fans. It implies that rugby players and fans are more knowledgeable or inclined towards policy knowledge than football players who are predominantly younger athletes and fans compared to rugby (Chalip 2004; Coakley 2006). The implication is that rugby has been introduced to white players at a far younger age than black players and other minority

groups due to a cultural disposition toward the sport, while football players are more inclined to start playing football at a tender age than rugby (Durandt, Parker, Masimla & Lambert 2011). Hence, the early socialisation and education on policy content are more demanding for rugby than football, merely due to the historical antecedent of racial discrimination experienced in the past (Chalip 2004 & SAHOL 2011). On the other hand, football has not been hurt by perceptions because it has been part of the most played sport during the apartheid era. It has been considered as being a black people's sport in South Africa compared to rugby (Bolmann 2014; Schausteck de Almeida, Bolsmann, Marchi Junior & De Souza 2015).

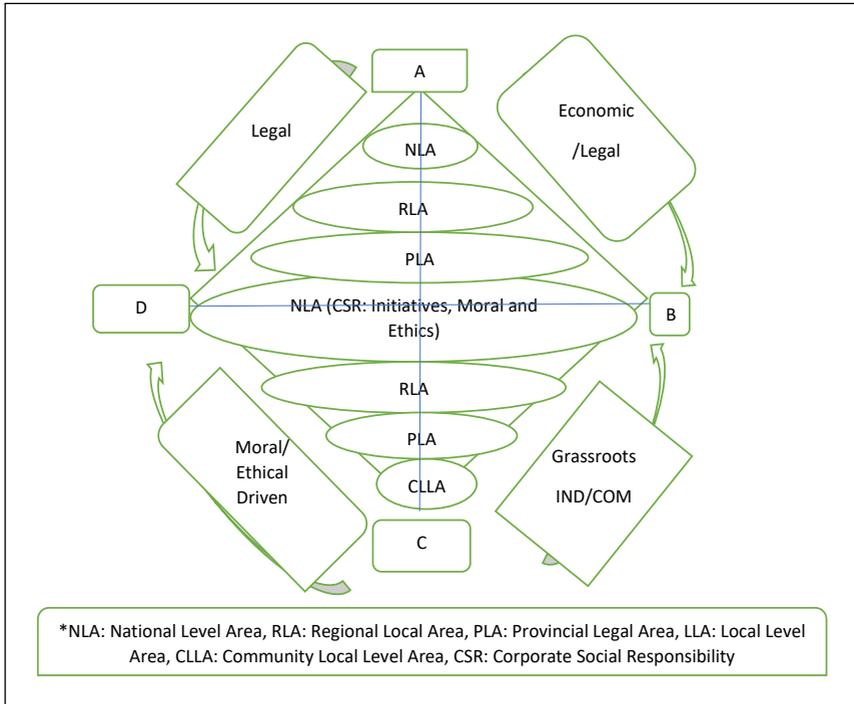
The overall findings of the study imply that transformation policy knowledge is low among the black players more than the coloured players and the Indian players as minorities. It means that a lack of educational prowess and awareness might be indicative of slow transformation implementation at early child policy education, socialisation and physical development.

This study recommends prescribed policy-education measures for inculcating early child policy education into sports development and education for teachers, coaches and administrators (Vilhjalmsson & Kristjansdottir 2003). This recommendation is for the benefit of advancing the human capabilities of individuals and communities towards self-realisation and determination. Also, it would facilitate free participation at the highest level of the sport of individual choice without prejudice or social exclusion due to structural policies' gaps and education (Darnell & Kayhurst 2011). To this end, political players need to work in collaboration with social players within the policy space (Coalter 2010) to achieve the intended policy interventions' objectives, which are to reduce (if not eliminate) inequality and racial discrimination in sport (Chalip 2004, 2005). Achieving that would integrate the diversity of interest in synthetic ways to make the collective goals of a winning nation among the commonwealth and rival groups globally (NSRP 2012; EPG 2014).

In that regard, a strategic stakeholder integrative diversity model for inclusive and equitable sport is recommended which is a bottom-top approach to development through sports (Dodo, Van Niekerk & Lyoka 2020; James 2001; Whitley, Forneris & Barker 2015).

The top-down management model can be counter-revolutionary in nature, meaning that it generates an adverse reaction to policy enforcement at the grassroots due to poor investment returns for Corporate Social Responsibility (CSR) (Bruseau, Chiagouris & Rocio 2017). This kind of model affects the extent of transformation levels which declines. It also lacks stakeholder collaboration due to divergences and conflicts of interests. It complicates corporate governance in managing the differences within the various agencies. The effects of this approach are not visibly observed or noticed due to its embedded or spiritual nature of stakeholders' behaviour towards policies and due to reduced economic scale at the grassroots, which invariably undermines the effects of transformation at the grassroots. The top-down

Figure 1: Stakeholders integrated diversity management model for sport transformation and social development



Source: (Dodo, Niekerk and Lyoka 2019)

model (Black 2017), known as the espoused action intervention model, often falls short of complying with standards as intended but produces a downward spiral effect that could jeopardise sport development and change at the grassroots which invariably can affect the national structure in a short or long term.

The model needs to be tested empirically to determine its effectiveness, more so when the model is not the preferred ‘neoliberal model with a top-down approach’ that favours capitalisation of sports, but rather considering the social capital approach of bottom-up that demands cooperative governance and collegiality in participation and development processes for both public and private players in the sector (Holvino *et al.* 2004).

Policy implications

On the other hand, ignoring the call for a pragmatic policy paradigm shift may lead to a deterioration of social fabric within a fragile state and worsening of the

social ills. It might result in costly and catastrophic socio-economic ruin, human devastation, and loss of lives (Coakley 2006, 2011; Arnold 1994; Begg *et al.* 1996). This could quickly be averted through effective implementation of sports for development or transformation interventions that would enhance human capabilities despite their complexities through ‘trade-offs’ and ‘compromises’ (Ken 1999; Burnette 2015; Giller *et al.* 2011).

CONCLUSION

Inclusive early-policies education for development-through-sport and transformation practices could achieve this if the model recommended is incorporated in most, if not all, of the organisations’ systems, using bottom-up networking approaches rather than the traditional top-down approach (Hartmann 2003). This would include, for example, how work is organised and done; how employees are recruited, selected, evaluated, and promoted; how, by whom, and on what bases decisions are made, implemented and evaluated; and how the organisation engages with the surrounding community and other stakeholders. This policy framework inherently varies from the traditional approach, which is a top-down approach to policy implementation currently in practice. The government will require public-private partnership collaboration and networking at the grassroots level up the pyramid structures of sport development nationally. By implication, the bottom-top approach will resonate with the education process which commences from early childhood to adulthood in a bottom-top direction of development in the same way as sport (DTS) should be inclusive, effective and relevant at the top of a developmental pyramid of sports and social (Adesina 2011; Dodo *et al.* 2020; Ouama & Adesina 2019).

NOTE

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Implementation of Demand Management in the South African Police Service

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ABSTRACT

The article investigates the effective implementation of demand management in public administration in South Africa and particularly at the South African Police Service (SAPS). The purpose of the article is to analyse the main reasons why the Immovable Asset Management component of the SAPS Silverton station is not implementing generally accepted Supply Chain Management (SCM) and demand management principles. The article employed a mixed methods research design and data was gathered from managers and officials in the Immovable Asset Management component responsible for demand management. The findings revealed that the SAPS is not setting realistic timelines and not budgeting for all identified needs relating to immovable assets. End-user demands are subsequently not met. It was found that, not complying with statutory requirements leads to the lack of implementing generally accepted SCM principles. Recommendations were made to strengthen demand management within the supply chain of the SAPS.

INTRODUCTION

Effective demand management processes enable public institutions to be proactive to anticipated demands, and more reactive to unanticipated demands. In addition, increasing flexibility in public demand management processes assists the public sector to respond effectively to unplanned external supply chain events.

Unfortunately, SCM at the SAPS faces numerous challenges, such as the lack of integrated planning, not efficiently implementing generally accepted SCM principles and not meeting due dates. It appears that the available SCM principles and rules are often ambiguous and problematic to implement. The ultimate challenge relates to the entrenched lack of accountability leading to substandard service delivery and unsatisfactory immovable asset management (Masete and Mafini 2018:3). The Public Protector found in 2011 that the SAPS did not adhere to appropriate demand and procurement management processes (Madonsela 2011). In addition, the Institute for Security Studies published an article about SCM procedures not being implemented effectively in the SAPS (Newham and Faull 2011). Moreover, in 2019, the SCM division of the SAPS at Silverton in Pretoria received qualifications on audit reports due to demand management procedures not being complied with (Parker 2019:13–47). In another incident, at the end of 2020, a Lieutenant-General, (former) head of Crime Intelligence, was suspended following allegations of corruption, specifically the irregular procurement of personal protective equipment used during the Covid-19 pandemic, involving the use of a secret service account (Petrus 2021). A 2022 report by Corruption Watch (CW) has revealed that allegations of corruption in the SAPS range from abuse of authority, such as the use of state resources and the dereliction of duty (Patel 2022). Consequently, a question arises about the reasons for the SAPS not complying with the implementation of generally accepted SCM and demand management principles.

The problem under investigation is the ineffective and insufficient implementation of SCM policies and processes, specifically demand management processes, within the Immoveable Asset Management component of the SAPS. This article focuses on demand management in the public sector by critically analysing the main reasons why the Immoveable Asset Management component of the SAPS Silverton station is not implementing generally accepted SCM principles in the demand management processes.

PUBLIC SECTOR SUPPLY CHAIN MANAGEMENT

SCM's mandatory functions are to manage and coordinate all the supply chain activities necessary to support an organisation's strategy of delivering the right quantity of a product to the right place at the right time. SCM is a chain that involves many strings such as upstream and downstream relationships management whereby suppliers deliver customer value at reduced costs. SCM also includes coordination and collaboration with funders, suppliers, third-party service providers and customers. It usually includes supply chain planning and the process of analysing, evaluating and defining strategies, including network design, sourcing, transportation and inventory policy (Ambe 2012:132&133; Mtshali 2017:1; Jenkins 2022).

Although SCM has been undervalued and its strategic importance not been recognised before 2004, SCM became one of the key mechanisms enabling government to implement public policy. The National Treasury's Supply Chain Management Guide for Accounting Officers (National Treasury 2004a:22) states that it is vital for public managers to understand and utilise techniques to assist them in their planning, implementation and control on public processes and activities. As part of the strategic plan of any public institution, resources required for the fulfilment of its needs, demands and obligations should be clearly analysed. This includes a detailed analysis of products, goods, services and assets required, such as how much can be accomplished, how quickly and with what materials and equipment. Accounting officers and authorities should thus ensure that any needs of an institution are understood and that the requirements are linked to the institution's budget. All the needs and the required resources must be identified and assessed to bring the SCM practitioner closer to the end-users. The demands of the end-users need to be identified in the User Immovable Asset Management Plan that forms part of the institution's strategic plan, as well as in the institutional Procurement Plan (National Treasury 2004b:9; Mantzaris 2017:121).

Generally accepted supply chain management principles

Proper and successful SCM rests upon five pillars, namely value for money, open and effective competition, ethical and fair dealing, accountability and reporting and equity (Treasury Regulations 2017).

Value for money

This is an essential test against which an organisation must justify a procurement outcome. Best value for money means the best available outcome when all relevant costs and benefits over the procurement cycle are considered. In the public sector, the procurement function must always provide value for money and must be carried out in a cost-effective way. Procurement sections, whether centrally located or devolved to individual departments, should avoid any unnecessary costs and delays for themselves or suppliers, monitor the supply arrangements and reconsider them if they cease to provide the expected benefits (Treasury Regulations 2017).

Open and effective competition

Open and effective competition requires a framework of procurement laws, policies and practices that is transparent and readily accessible to all parties. This pillar of public procurement also requires openness in the procurement process and encourages effective competition through procurement methods suited to market circumstances. Furthermore, SCM departments need to ensure that potential

suppliers have reasonable access to procurement opportunities, available opportunities for bids are published in the Government Tender Bulletin and adequate and timely information is provided to suppliers to enable them to bid (Treasury Regulations 2017).

Ethical and fair dealing

In procurement, if all parties comply with ethical standards, they can deal with each other on a basis of mutual trust and respect and conduct their business in a fair and reasonable manner and with integrity. Hence, government staff associated with procurement, particularly those dealing directly with suppliers or potential suppliers, are required to recognise and declare any conflicts of interest or the potential therefor and to deal with suppliers even-handedly (Adebanjo 2009:225; Treasury Regulations 2017).

Accountability and reporting

Accountability and reporting involve ensuring that individuals and organisations are answerable for their plans, actions and outcomes. Within the procurement framework Heads of Departments are accountable to their Ministers for the overall management of procurement activities. Furthermore, individual procurement officers are accountable to heads of procurement, and to their clients, for the services they provide (Sibanda 2017:324; Treasury Regulations 2017).

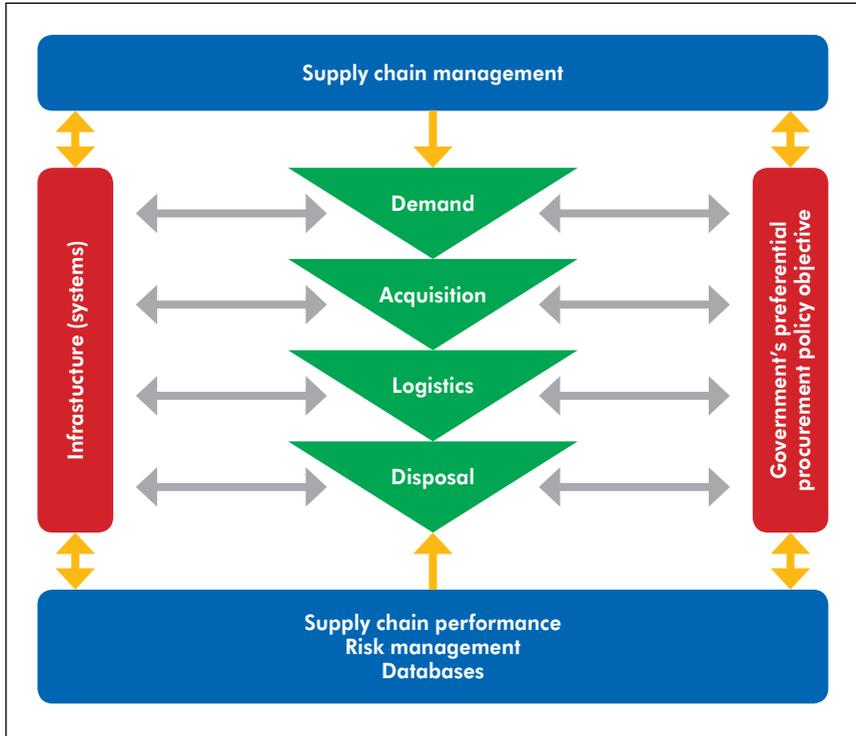
Equity

The word 'equity' means the application and observance of government policies which are designed to advance persons disadvantaged by unfair discrimination. This pillar is vital to public sector procurement in South Africa. It ensures that government is committed to economic growth by implementing measures to support industry generally, and especially to advance the development of small-, medium- and micro-enterprises and historically disadvantaged individuals (Treasury Regulations 2017).

DEMAND MANAGEMENT

The application of demand management is still fairly recent, and an emerging topic within SCM. The concept of customers wanting a product or a specific service is called 'demand'. Demand management is the process of predicting, planning and managing the demand for products, services or movable and immovable assets. Determining what the demand might be in the future and planning how to manage it, is demand management. Demand management centres on the identification of the needs of end-users for services and goods or products and to

Figure 1: Position of demand management within SCM



Source: (Ambe and Maleka 2016:259)

strategically align the demands with the operational capability of the organisation. Demand management is thus a way for public institutions to obtain substantial benefits, such as better external and internal collaboration with its customers and end-users, more efficient and strategic resource allocation, team empowerment and focused public service delivery. Increased execution and operational efficiency by focusing on the needs of its customers are also achieved through effective demand management. The lack of accurately identifying and capturing the needs of the end-users leads to, among other hindrances, poor customer service, improper stock rotation, losses due to waste, the lack or surplus of inventory and in public departments, ineffective service delivery (Adebanjo 2009:224–233).

Demand management is the first element and a critical component of SCM and is an essential requirement in developing best practices for effective SCM. Demand management as an SCM process balances the requirements of internal and external customers with the capabilities of the supply chain. Demand management can therefore be viewed as the decision-making processes that allow

public institutions to procure at the right time, at the right place and at the right cost (Bizana, Naudé and Ambe 2015:64).

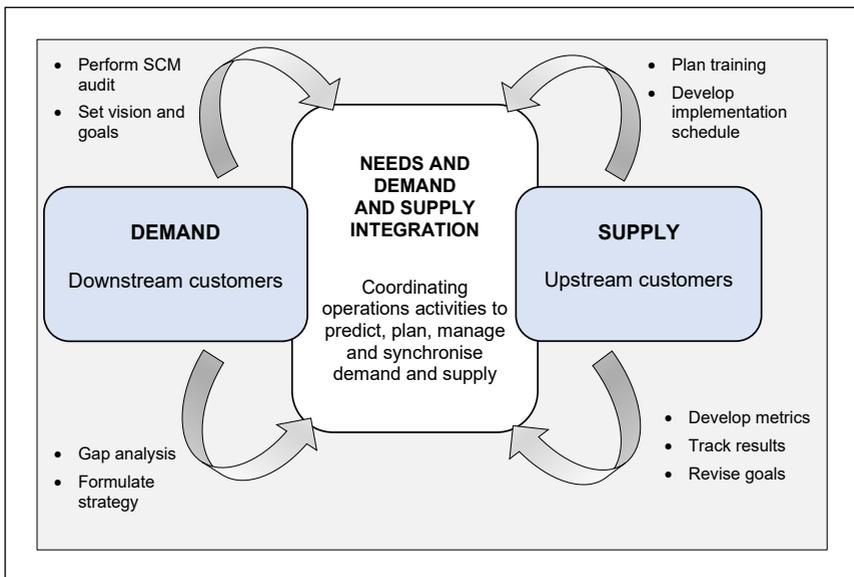
Figure 1 illustrates the position of demand management within the SCM system.

Relationship between supply and demand

Historically, institutions have separated the processes used to plan for and manage demand and then supply of the resources and labour needed to meet that demand. As a result, government departments are unable to consistently ensure that supply meets demand. Too often, the needs or demands and the supply functions were not synchronised; resulting in a shortage of the products that the customers and end-users actually want, and a surplus of products that are not wanted. To create a more efficient and effective SCM model, government institutions, including the SAPS, must acknowledge that they need to integrate demand and supply systems. A systematic process is required to integrate demand and supply systems.

Demand management leads the supply chain process towards, *inter alia*, the enablement of logistics management that pertains to coding of items, setting of inventory levels, placing of orders, receiving and distribution, stores/warehouse management, expediting orders, transport management and vendor performance. Until a need or demand is addressed, demand management cannot be regarded

Figure 2: Integration of supply and demand



Source: (Authors' own interpretation)

as achieved. Consequently, the application of the entire supply chain process triggered by the demand of goods and services must be adhered to (National Treasury 2004a:86–88).

A simplified illustration of the integration of supply and demand in the South African public sector is presented in Figure 2.

Demand management process

The demand management process is concerned with forecasting demand and synchronising it with production, procurement and distribution capabilities (Croxton, Lambert, Garcia-Dastugue and Rogers 2002:51–52). The demand management process comprises six steps that are aimed at designing an efficient operational system for matching supply and demand. These sub-processes are (Croxton, *et al.* 2002:54):

- **Determine demand management goals and strategy:** In this step, the institution needs to understand its customer requirements, customer relationship management process and the supply chain infrastructure. The institution then needs to set the long-term and intermediate goals for demand management, making certain that they are linked to the overall financial goals of the institution.
- **Determine forecasting procedures:** The institution needs to determine levels of forecasts and the relevant sources of data before choosing the most appropriate methods and plan for the forecasting process.
- **Conduct a gap analysis and identify the gaps:** The institution should perform a thorough analysis of the gaps between the goals of the demand management process and the existing state as revealed by supply chain audits. As it develops an efficient operational system, the institution needs to focus intensely on the gaps identified.
- **Plan information flow:** After the strategy has been set, the institution can identify the initiatives needed to implement it. These initiatives, which may range from systems integration to the development of a new inventory planning system, help build the demand management process.
- **Determine synchronised procedures:** The institution must prioritise the initiatives and set a logical sequence of procedures for implementation. Allocation procedures also need to be determined. Some tasks or actions can be undertaken in parallel.
- **Develop a contingency management system:** A list of potential interruptions to the demand management process and accompanying contingency plans must be developed.
- **Develop a framework of metrics:** Metrics for key performance criteria include value maximisation, order fulfilment, customer service, total supply chain costs, inventory management, asset utilisation, relative delivery time, warranty costs, returns and percentage of costs to the value of goods.

At the SAPS, the main objective of demand management by the Immovable Asset Management component is the compilation of the Custodian Immovable Asset Management Plans that includes an assessment of all SAPS buildings. The assessment covers the life cycle of the facilities, the performance of all infrastructural assets as well as methods on how to maintain the buildings and infrastructure.

Accountability and demand management

In principle, accountability is typically understood as the commanding allocation of resources and exercising control and coordination. Answerability is the commitment to provide information about decisions and actions and to validate those actions to the public and to institutions of oversight. Accountability is, therefore, a key determinant of the state of governance as it promotes good governance in public affairs and sound financial management. In this sense, accountability determines who is liable for what and what kind of conduct is illegal. An official's ethical conduct must therefore be above reproach, so that they will be accountable to the public. To secure accountability for sound public financial management, it is imperative that effective control systems be established. It is also important to present timely, objective, understandable and balanced reports to the relevant stakeholders. Furthermore, it is critically important that records and accounts be kept, and an effective system of financial control maintained (Sibanda 2017:324&325).

According to Peruzzotti and Smulovitz (2006:5) accountability is the ability to ensure that public managers and officials are answerable for their behaviour where they are forced to justify and inform the citizenry about their decisions and possibly eventually be sanctioned for them. Accountability is thus, furnishing satisfactory, reliable, verifiable and accessible records, reasons and explanations for the actions of those having custody of authority, human resources, public money, other resources and assets.

However, despite the importance of accountable demand management, there is a growing perception that organisations are not being answerable to their stakeholders, other individuals and institutions. Non-accountability to stakeholders results in an organisation making short-term decisions, failing to invest in strengthening the human, physical and financial resources, which ultimately has a negative impact on organisational performance and service delivery (Khoza and Adam 2005:31–57).

REGULATORY FRAMEWORK FOR THE IMPLEMENTATION OF SUPPLY CHAIN MANAGEMENT

The procurement processes in all government spheres need to be equitable, transparent, fair, competitive and cost-effective (Mhelembe and Mafini 2019:2).

To reach this ideal, Section 217 of the *Constitution of the Republic of South Africa* of 1996 lays the foundation by explicitly stating the principles of procurement and demand management imperatives. Section 217(2) of the Constitution of 1996 stipulates that government entities, in the implementation of their procurement policies, can give preference to certain categories of persons. Government institutions at all three spheres of government are therefore not prevented from implementing procurement policies which provide for categories of preference in the allocation of contracts. These include the protection of persons or categories of persons that are or were disadvantaged by unfair discrimination in the country (Constitution 1996:Section 217(2) (a)(b)). According to Thobakgale and Mokgopo (2018:47), public procurement in South Africa has therefore been granted constitutional status to bring transformation in the public sector and to ensure that all the spheres of government procure services and goods to improve the livelihood of ordinary citizens.

In addition to the Constitution of 1996, the Public Finance Management Act 1 of 1999 as amended by Act 29 of 1999, is one of the most important pieces of legislation passed by the democratic government in South Africa and promotes the objective of good financial management to maximise service delivery through the effective and efficient use of the limited resources. The Public Finance Management Act of 1999 provides for the establishment of a regulatory framework for SCM that includes demand management in national and provincial departments as well as in state-owned enterprises (Ambe and Badenhorst-Weiss 2012:11008). Sections 38 (1)(a)(iii) and 51 (1) (a) (iii) of the Public Finance Management Act prescribe that accounting officers must ensure that the institution has and maintains an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective. Specifically, Treasury Regulation 16A6.2 stipulates that an institution's SCM system must provide for the adjudication of bids through a bid adjudication committee, the establishment, composition and functioning of bid specification, evaluation and adjudication committees and the selection of bid adjudication members (National Treasury 2015).

The government has further implemented the Preferential Procurement Policy Framework Act 5 of 2000 (as amended in 2011) as the basis on which all procurement activities are to be based. This Act promotes historically disadvantaged individuals and a broad-ranging set of development objectives by means of allocating preferences points to these various policy objectives. The Preferential Procurement Policy Framework Act is a step forward in the process of procurement reforms and provides a framework for the implementation of the provisions and requirements laid out in Sections 217(2) and 217(3) of the Constitution of 1996. It therefore contains a framework for the application of preferences and a preferences points system in the public sector bidding system.

The Municipal Finance Management Act 56 of 2003 establishes a regulatory framework for SCM in municipalities and municipal entities (Thobakgale and Mokgopo 2018:44). The aim of the Municipal Finance Management Act of 2003 is to assist municipalities to maximise their capacity to provide services as planned. It clearly outlines measures for combating fraud, corruption, favouritism and unfair and irregular practices, and seeks to promote ethical behaviour among officials and other role-players involved in SCM.

The Broad-Based Black Economic Empowerment Act 53 of 2003 provided a Broad-based charter to promote Black Economic Empowerment, a racially selective programme launched by the South African government to redress the inequalities of apartheid. Although race is the overriding factor, it includes measures such as employment preference, skills development, ownership, management, socio-economic development and preferential procurement. In essence, this Act establishes a code of good practice to inform the development of qualification criteria for the issuing of licences, the sale of state-owned enterprises and for entering partnerships with the private sector and the implementation of a preferential procurement policy.

The Government Immovable Asset Management Act 19 of 2007 aims to provide for a uniform framework for the management of an immovable asset that is held or used by a national or provincial department and to ensure the coordination of the use of an immovable asset with the service delivery objectives of a national or provincial department. The purpose of the Government Immovable Asset Management Act of 2007 is also to provide for issuing of guidelines and minimum standards in respect of immovable asset management by a national or provincial department.

Then, the Construction Industry Development Board (CIDB) drives enhanced delivery management, capacity improvement and contractor development in the construction industry through strategic interventions and partnerships. The CIDB provides best practice guidelines to promote efficient and effective construction procurement, while meeting requirements for compliance to the procurement legislative and regulatory framework. The overseeing department of the CIDB is the Department of Public Works and Infrastructure (Department of Public Works 2017; National Government Handbook 2020).

RESEARCH DESIGN AND METHODOLOGY

A mixed methods research design was applied during the research. A structured questionnaire that comprised of closed-ended questions was designed and distributed to the respondents. The study also used semi-structured interviews as data collection tool. The purposive sampling technique was applied. The population was drawn from the Immovable Asset Management component of the SAPS in Silverton, Pretoria. Only SAPS managers and officials responsible for demand management

comprised the target population to reach the purpose of the study. The following Table reflects the site population, sample size and sampling technique applied:

Table 1: Selected target population, sample size and sampling techniques

Data Collection Instrument	Population	Sample Size	Sampling Technique
Structured questionnaire	190	100	Random sampling
Personal interviews	20	5	Purposive sampling

Quantitative data was analysed by using frequency tables, cross tabulations, correlations, charts and graphs. The Statistical Package for the Social Sciences (SPSS) computer software program was utilised to analyse the data. The qualitative data was analysed by identifying themes, structuring and summarising the data.

RESULTS AND FINDINGS OF QUALITATIVE DATA

Personal interviews were conducted with five senior managers at the level of Brigadier to Major General. All the participants were responsible for SCM and were able to answer questions about the implementation of SCM and demand management policies and processes. The findings were analysed based on seven themes and associated questions.

Objective 1: Implementation of generally accepted SCM principles

Question 1.1 *In your opinion, does the SAPS comply with the implementation of generally accepted SCM principles that also affect demand management within the Immovable Asset Management component?*

Four of the five participants confirmed that the SAPS does not always implement generally accepted SCM principles, namely, value for money, open and effective competition, fair dealings, accountability and equity. Participant A argued that the procurement department will not always accept the lowest price offer for products when pressed for time. Excessive costs are often made so that products are delivered before set due dates. He cautioned against using suppliers that regularly delay deliveries. He added that it is difficult to implement SCM principles due to external influences and indicated that an undue political mandate overshadows internal processes. Participant B suggested that suppliers must be monitored and reassessed should they cease to provide agreed upon services. He was convinced

that this practice would encourage openness and competition in the procurement processes. Participant C hinted that conflict of interest is not always declared and added that the actual nature and value of gifts received from suppliers are often not correctly recorded in the departmental registers. His arguments confirmed that ethical standards are not always upheld by the procurement department.

Objective 2: Nature of the policies and processes for the implementation of demand management

Question 2.1 What is the nature and scope of existing guidelines, systems and processes towards the implementation of demand management within the SAPS?

Participant A indicated that, although the demand management processes allow for the timely submission of User Immovable Asset Management Plans, delays are caused by the actual execution of the plans. Consequently, most projects extend beyond prescribed timelines. As a result, identified needs are not addressed. In addition, Participant A mentioned that project timelines are a bit skewed because the timelines are mainly based on monetary value. Participant B decisively stated that *“programme and project management nullify the successful implementation of demand management”*. Participant C emphasised that demand management guidelines and policies should derive from the Government Immovable Asset Management Government Act of 2007. He indicated that the SAPS's National Instruction of 2012 for immovable asset management is not sufficiently linked to demand management principles and guidelines. He also stressed that User Immovable Asset Management Plans are not budgeted for. Participant D revealed that the process flow from the User Immovable Asset Management Plans into the official demand management processes, is lacking clarity. He suggested that the SAPS invest in a system to register projects and monitor progress. Such a system could be accessed by divisions at different provinces to obtain information about registered projects. Participant E complained that the maintenance requirements for buildings are not sufficiently determined, resulting in cost shortages.

Objective 3: Minimum capacity necessary to implement demand management

Question 3.1 Does the SAPS have the required minimum capacity to effectively implement demand management?

All the participants indicated that the current capacity is not sufficient to effectively implement demand management within the SAPS. Participant A said that *“more manpower is needed to get better results”*. He added that the need for more staff is critical due to an increasing backlog in work. Furthermore, Participants A and

D confirmed that the current capacity personnel are not technically inclined to understand the technicalities surrounding the aspect of certifying the technical needs received from the end-users. Participants B, C and E indicated that the Section Head must be technically qualified for the effective implementation of demand management. They were all in agreement that qualified technical personnel must be employed in the Immovable Asset Management section.

Objective 4: Accountability of officials involved in the implementation of demand management

Question 4.1 How can the accountability of officials who are involved in the implementation of demand management within the SAPS be enhanced?

Participants A and B strongly disagreed that officials with demand management responsibilities are held accountable. Participant B stated that the officials *“are not technically inclined”* and can therefore not be held accountable for the failure of any technical aspects. He raised a concern about the provision of accredited training to the officials when saying *“the SAPS is lacking in keeping up with the South African National Standard (SANS) and the International Organization for Standardization (ISO) standards due to irrelevant training”*. Participant C echoed the sentiments of Participants A and B that officials are not qualified technicians and are just administrators who comply with administrative requirements and issues. Untrained and unqualified employees lead to the non-adherence to SCM principles, and impact negatively on the demand management cycle. Participant D directly answered the question by confirming that unqualified persons are employed, and that accountability will only be enhanced when the best suitable candidates are employed for positions in the Immovable Asset Management component. All the above sentiments were confirmed by Participant E. He added that demand management officials are not qualified to perform their duties and as a result, *“investigations are conducted left and right”*, and that *“members do not know the right way anymore”*.

Question 4.2 To what extent is training in demand management useful at the SAPS?

Participants A, B, C and E acknowledged that continuous training is needed and that staff should be encouraged to participate in relevant training programmes. They confirmed that training is indeed offered to officials within demand management, however, they believed that the training is outdated and irrelevant to the job specifications. They emphasised that the roles and responsibilities of demand management officials within the Immovable Asset Management unit are not incorporated into the training needs and outcomes. In addition, Participants C and

D also highlighted that the training offered is solely intended for the administration purposes of demand management and not for the implementation of technical services.

Question 4.3 Are SCM practitioners informed about their roles and responsibility with regard to demand management at the SAPS?

Participant A agreed that the officials are informed about their roles and responsibilities and that they know what is expected from them. Participant B emphasised that the officials in demand management can produce the required results of their administrative tasks. He elaborated and added that the results include “a procurement plan, annual performance plan and the buildings plans”. Participant C complained that the required plans and strategies lack depth and knowledge in terms of the physical and tangible technical aspects relating to immovable asset management. Tabled procurement and buildings or facility plans are not based on actual needs and real solutions, as argued by Participant D. A lack of in-depth knowledge and skills very often hampers the quality of the plans and reports prepared by the Immoveable Asset Management component. The actions and performance of the unit suffer due to a lack of knowledge and skills. Participant E confirmed that the unit’s immovable asset management plans are unfortunately not practicable and are impossible to implement at ground level, that is, at the provincial sphere of government.

RESULTS AND FINDINGS OF QUANTIFIABLE DATA

Initially, 100 questionnaires were distributed to officials within the Immoveable Asset Management components. Eventually, 94 officials completed and returned the self-administered questionnaire. Of these officials 25 had been employed at the SAPS for six to 10 years. The profile of respondents is fully suited to gain rich data and insight regarding the implementation of demand management in the SAPS. The findings were analysed based on four themes and associated statements. The statements complemented the interview questions to create a deeper understanding of the implementation of demand management in the SAPS.

Objective 1: Implementation of generally accepted SCM principles

The respondents were requested to indicate the extent to which the Immoveable Asset Management component of the SAPS is implementing the following statements relating to demand management.

Statement 1.1 Needs are visible in the Procurement Plan

The needs and demands of the end-users need to be identified in the User Immovable Asset Management Plan, which forms part of the institutional strategic plan, as well as in the Procurement Plan (National Treasury 2004:9). Of the respondents, only 22% disagreed. However, 52% of the respondents agreed that the needs are formulated and added as budgetary items.

Statement 1.2 Project timelines are accurate and according to relevant grading

The CIDB provides guidelines to promote efficient and effective construction procurement. For example, the importance of setting project implementation timelines is prescribed by the CIDB (National Government Handbook 2020:Online). The majority of the respondents disagreed that project timelines are accurate and according to the relevant grading. In total, 45% of the respondents disagreed, while 31% remained neutral. Regrettably, it can be assumed that the project timelines are not accurate and not according to the relevant grading as prescribed by the CIDB.

Objective 2: Scope of policies for the implementation of demand management

The respondents were requested to indicate the extent to which the Immovable Asset Management component of the SAPS is implementing the following statements relating to policies and processes towards the implementation of demand management.

Statement 2.1 SCM committees, policies and procedures are in place

Bid Adjudication Committees are responsible for the establishment, composition and functioning of bid specification, evaluation and adjudication committees and the selection of bid adjudication members (National Treasury 2015). Of the respondents, 49% agreed that SCM committees, policies and procedures are in place.

Statement 2.2 A forum or direct communication with regard to the implementation of demand management exists between the SAPS and other state organs

The SAPS must liaise with all stakeholders through relevant forums and provincial community police boards (South African Police Service Act 68 1995: Sections 19–21). The SAPS must also establish and maintain partnerships to promote communication and cooperation so that the needs of the end-users are met (Constitution 1996: Section 215). When asked whether the SAPS creates and maintains forums

with other state organs for the implementation of demand management, 42% of the respondents agreed.

Objective 3: Capacity necessary to effectively implement demand management

The respondents were requested to indicate the extent to which the Immovable Asset Management component of the SAPS has the required minimum capacity to effectively implement demand management.

Statement 3.1 The SAPS has the capacity to address the needs of all 278 police stations

Officials with particular administrative and technical skills are required to perform demand management in an effective and efficient manner. Unfortunately, 63% of the respondents did not agree that the SAPS has the capacity to address the needs at its police stations.

Statement 3.2 The SAPS is taking the necessary steps against employees who do not perform according to minimum standards

The majority of the respondents disagreed that the SAPS is taking the necessary steps against employees who do not perform. In total, 46% of the respondents disagreed. Unfortunately, it can be deduced that the SAPS does not take the necessary steps against employees who do not perform according to minimum standards.

Objective 4: Commitment and accountability of SCM officials involved in implementation of demand management

The respondents were requested to indicate the extent to which SCM officials involved in the implementation of demand management are committed to their work and accountable for their actions and behaviour.

Statement 4.1 The SAPS creates a common understanding and interpretation of demand management to ensure that employees are accountable

Of the respondents, 40% disagreed that the SAPS creates a common understanding of generally accepted SCM principles that affect demand management to ensure that employees are accountable. Of the respondents 29% remained neutral. Unfortunately, it can be deduced that the SAPS does not create a common

understanding and interpretation of demand management requirements, policies and procedures.

Statement 4.2 The code of conduct for SCM practitioners is implemented within the SAPS

National Treasury issued a code of conduct for SCM practitioners that should be adhered to by all officials and other role-players involved in SCM. General principles, such as the declaration of conflict of interest and the importance of confidentiality, are advocated by the code of conduct (National Treasury 2003). Of the respondents 47% agreed that the code of conduct for SCM practitioners is indeed implemented in the SAPS.

REALISATION OF THE RESEARCH OBJECTIVES

As noted above, the purpose of the article to analyse the main reasons why the Immovable Asset Management component of the SAPS Silverton station is not implementing generally accepted SCM and demand management principles, is realised in the following conclusions.

Objective 1: Critically analyse the main reasons why the Immovable Asset Management component of the SAPS Silverton station is not implementing generally accepted SCM principles, specifically in the demand management processes

The SAPS does not always implement generally accepted SCM principles. It is confirmed that ethical standards are not upheld by the procurement department. Possible reasons for not implementing the SCM principles are undue to external and political influences. It is also concluded that continuous training is needed. Unfortunately, the training offered is solely intended for the administration purposes not for the implementation of technically inclined services. Therefore, the roles and responsibilities of demand management officials within the Immovable Asset Management unit should be considered and incorporated into the training needs and outcomes.

The needs and demands of the end-users are indeed identified in the User Immovable Asset Management Plan and visible in the Procurement Plan. Unfortunately, not all the demands are budgeted for. Meaning, important needs might be overlooked in the budgeting processes. It is also deduced that project timelines are not accurate and not according to the relevant grading as prescribed by the CIDB.

Objective 2: Analyse the nature and scope of the policies and processes for the implementation of demand management in the SAPS

Limited guidelines and directives towards the allocation, maintenance and successful completion of infrastructure projects are available. Although the demand management processes allow for the timeous submission of User Immovable Asset Management Plans, delays are caused by the actual execution of the plans. Consequently, most projects extend beyond prescribed timelines. In addition, the SAPS's National Instruction 3 of 2012 for immovable asset management is not sufficiently linked to demand management principles and guidelines. Moreover, the objectives of the Immovable Asset Management Government Act of 2007 are not met. As a result, the maintenance requirements for buildings are not sufficiently addressed and budgeted for. Providentially, the Bid Adjudication Committees are fully functional and the SCM and demand management committees adhere to legislated requirements. Unfortunately, the existing SCM policies and procedures are lacking efficiency and relevance and improvements in the procedure are required.

Objective 3: Critically analyse the capacity of the SAPS to effectively implement demand management

Unfortunately, the SAPS does not have the capacity to address the facility management needs of all 278 police stations. The current capacity personnel are not technically inclined and often do not understand the technicalities surrounding the needs received from the end-users. The staff compilation showed that current demand management officials are leaning towards merely performing administrative functions. The conclusion is thus that the technical aspects of the work is neglected. As a result, the demand management officials and practitioners rely on desktop analyses performed by the end-users which could be incorrect and done in favour of that end-user. Most of the participants indicated that for the effective implementation of demand management, the section head must be technically qualified. The study further revealed that qualified technical personnel should be employed in the Immovable Asset Management component.

Objective 4: Establish how the accountability of officials involved in demand management in the SAPS can be enhanced

The SAPS unfortunately does not create a common understanding and interpretation of demand management policies and procedures, despite the

availability of the code of conduct for SCM practitioners. It is also concluded that, demand management officials are not held accountable for their actions, notwithstanding disciplinary measures being available for use. The end-users of the services rendered by the Immovable Asset Management component understand their responsibilities, resulting in minimum follow-up requests for maintenance. The commitment and accountability of officials involved with the implementation of demand management may be enhanced by creating a better common understanding of the meaning of demand management policies and procedures.

RECOMMENDATIONS

Implementing generally accepted SCM principles

The SAPS needs to diligently implement generally accepted SCM principles, namely, value for money, open and effective competition, fair dealings, accountability and equity. It is therefore recommended that ethical standards should be upheld by the procurement department. In addition, undue external and political influences must be limited and underperforming suppliers must be monitored and reassessed.

Nature and scope of the policies for the implementation of demand management

It is recommended that policies that give guidelines and directives towards the allocation, maintenance and completion of infrastructure projects are drafted and made available to SCM officials and practitioners. Although the demand management processes allow for the timeous submission of User Immovable Asset Management Plans, delays must be prevented during the actual execution of the plans so that projects do not extend beyond prescribed timelines. It is important that the SAPS's National Instruction 3 of 2012 for immovable asset management be linked to demand management principles and guidelines. Moreover, the objectives of the Government Immovable Asset Management Government Act of 2007 should be met. In doing so, the maintenance requirements for buildings will be sufficiently addressed and budgeted for. Furthermore, it is recommended that the SCM policies and procedures that lack efficiency be identified and updated. In addition, standard operating procedures for demand management must be updated to accommodate alternative steps and exceptions to typical cases. It is also suggested that collaboration between the SAPS and the Department of Public Works be advanced.

Capacity of the SAPS to effectively implement demand management

It is recommended that the SAPS recruit and employ sufficient and appropriately qualified staff to effectively implement demand management to address the facility management needs of all 278 police stations. Professionals who understand the technicalities surrounding the needs received from the end-users, need to be employed. Importantly, the Head of the Immovable Asset Management component must be technically qualified.

Project deadlines and strategic plans should be formulated more accurately and realistically. Furthermore, the SAPS must not hesitate to take the necessary steps against employees who do not perform according to set minimum standards.

Accountability of officials involved in demand management in the SAPS

The demand management officials of the Immovable Asset Management component must be held accountable for their actions and behaviour. In addition, it is suggested that SANS and ISO accredited training is provided to capacitate the officials with the relevant technical knowledge and skills. The roles and responsibilities of demand management officials should be considered and incorporated into the training outcomes. It is crucial that the SAPS creates a common understanding and interpretation of demand management policies and procedures.

CONCLUSION

The study was intended to understand the implementation of demand management in the Immovable Asset Management component of the SAPS and subsequently did not incorporate all SCM processes and procedures. Therefore, the study does not represent the views of all the SCM officials of the SAPS. Consequently, the findings, conclusions and recommendations are limited and cannot be generalised to the entire public service. Despite these limitations, the findings are important to Public Administration as discipline as it provided guidelines for the implementation of demand management in the public sector. The study also recommended practical ways to strengthen and improve demand management at the SAPS. Effective demand management will open opportunities for innovation and create greater visibility. Improved ability to identify risks or bottlenecks will also be obtained.

However, there are many more aspects that must be studied to provide further clarity on the implementation of demand management in the supply chain.

Hence, a comparative assessment to validate the critical success factors for demand management in the SAPS and other preferred government departments in South Africa, is recommended.

NOTE

- * This article is partly based on B.H. Matloko's Master of Public Administration mini-dissertation conducted at the University of South Africa, titled: Matloko, B.H. 2020. *Implementation of demand management in the South African Police Service: A selected case*, that was conducted under the supervision of Doctor Corlia Alers.

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Enhancing the Management Systems and Structures of Technical Vocational Education and Training Colleges in South Africa

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ABSTRACT

The purpose of this article is to evaluate the efficiency and effectiveness of management structures for the Technical Vocational Education and Training (TVET) colleges in South Africa. A qualitative research design was used to collect and analyse data from TVET staff and students through semi-structured interviews and a focus group with the aim of addressing the inefficiencies caused by the ineffective management structures of TVET colleges. TVET colleges in South Africa are struggling with the implementation of effective management, efficient performance and becoming institutions of first choice. The management structures of the 50 public TVET colleges across South Africa are faced with major challenges that are present throughout the sector. Some of these challenges are critical to overcome because the South African government has tasked the TVET sector through its National Development Plan to have 2.5 million students enrolled in TVET colleges by 2030, and thereby become a major driver in addressing inequality, unemployment, and poverty. To achieve the development goals and objectives of the South African government, the Department of Higher Educational and Training (DHET) has devised legislation and policies for its public TVET colleges. The article found that unfortunately, not much support is given to the management structure to implement these policies and legislative objectives.

INTRODUCTION

TVET colleges in South Africa have undergone multiple transformations since 1994, and the reforms have resulted in significant developments. The merging of former technical colleges, colleges of education, and training centres shaped the landscape for the new TVET colleges (Terblanche 2018). The merging of colleges presented new challenges for managers and administrative personnel. The change was symbolic of an attempt to shed the negative image of the old technical college system by combining the smaller and weaker colleges into stronger TVET institutions (Singh 2015). But the restructuring of colleges brought with it some challenges which the college managers, supervisors and administrators have to address in their day-to-day administration of these institutions.

Despite the attempted adaptation to the legislation, college subsystem transformation was undertaken in the absence of a coherent management framework. The environmental complexities and turbulence brought to the forefront fundamental issues and tensions relating to leadership, management structure, culture and management practices (Nundkumar 2016). This means, there is a gap that needs consideration in the field of TVET management practices. To bridge this gap, the study was conducted to assess the TVET challenges facing the colleges and possible measures for enhancing the management structures of TVET colleges in South Africa.

BACKGROUND OF TVET IN SOUTH AFRICA

The TVET system in South Africa since the ushering in of democracy in 1994 has experienced an extensive reform that is a constant feature (Van der Bijl and Taylor 2016). The South African government inherited an education system that was fragmented and unequal. The first, perhaps symbolic reform was the restructuring of 152 technical colleges that delivered vocational and technical education (Ramrathan 2016). The merging of the technical colleges led to a complete change with the increase in size and complexity surrounding the landscape of 50 Further Education and Training (FET) colleges. The FET landscape was established in 2002 under the directives laid down in the Further Education and Training Act 98 of 1998 to increase autonomy and independence in relation to governance, and to enhance administrative and management capacity through the consolidation of existing personnel (Badenhorst and Radile 2018).

The merging process involved bringing together colleges with vastly different organisational cultures, identities, management and leadership. During the apartheid era the appointment of managers did not require qualification, skills and experience for individuals to be part of the management structure and this

created hierarchical power differentials (Beharry-Ramraj 2016). The functionality of these colleges needs to occur in response to the community needs and social-economic development (Vally 2015). This relates to having a well-trained, skilled, and competent management and leadership for sustaining an effective TVET college. The process was expected to bring about increased efficiencies, responsiveness, and equity across the country. But the pre-1994 fragmented and unequal racial treatment in higher education had a ripple effect on the system and impacted negatively on the post-merger FET colleges (Beharry-Ramraj 2016).

The TVET colleges in South Africa have undergone various transformations. These changes have also presented challenges to TVET management over the years despite multiple changes intended to improve the quality and efficiency of the colleges. The most pressing issues are poor leadership, lack of management skills, poor performance, and inequitable resources (Dlamini 2015). The merging of technical colleges to FET colleges led to the changing of roles and management that created issues to the management structure of the colleges. The TVET colleges require an effective management structure to be able to adapt to change and deliver on expectations. Between 1998 and 2006 the college system operated without a strong identity that subsequently led to poor management.

The DHET took over the management of all 50 public TVET colleges from the provincial competence and the highest priority was given to strengthening and expansion of TVET colleges (Resnick and Thurlow 2015). Despite extensive efforts to redefine and distinguish the management systems of these TVET colleges there is a high level of dysfunctionality in provinces and the persistent tension in their management structures within the TVET colleges (Balkrishen and Mestry 2016). Improving TVET management is widely regarded as one of the key dimensions needed to address youth unemployment and associated issues facing the sector (Tadle, Valdez, Fernandez, Uy and De Castro 2021). The challenges presented in the sector are directly linked to poor management structures and lack of cooperation.

The government made provision for substantial resources to be awarded to TVET colleges to make them viable and capable institutions (Nawi, Tambi, Samat and Mustapha 2020). The resources are not being used properly and the managers are unable to account for them. Sibiyi and Nyembezi (2018) argue that the government needs to focus on improving the management and leadership in the TVET sector. Otherwise, it is pointless to provide resources to TVET institutions that have weak management and leadership. In the literature, various scholars have presented evidence that TVET colleges can transform South Africa's skills shortage but only if there is a coherent management structure. Badenhorst and Radile (2018) indicated that an effective management structure are still evading the colleges in the TVET sector.

Despite the attempted adaptation to the legislation, college subsystem transformation was undertaken in the absence of a coherent management framework. The environmental complexities and turbulence brought to the forefront fundamental issues and tensions relating to leadership, management structure, culture and management practices (Nundkumar 2016). This means, there is a gap that needs consideration in the field of TVET management practices. But few studies have been conducted on management practices in the TVET sector. To bridge this gap, the study was conducted to assess the TVET challenges facing the colleges and possible measures for enhancing the management structure of the TVET college situation in South Africa.

ESTABLISHMENT OF TVET COLLEGES IN SOUTH AFRICA

The origin of the TVET colleges in South Africa dates back to the apartheid era when the colleges were known as technical colleges. First, between 1994 and 2002 the TVET colleges in South Africa were formally known as technical colleges until the merging and restructuring processes that resulted in the landscape of the FET colleges (Beharry-Ramraj 2016). Second, in May 2003 the then ministry of education officially announced the launch of FET colleges to address the effects of the apartheid legacy. Thus, the goal was to combine the 152 small and weak technical colleges with the strong 50 FET colleges which would address the imbalances of the apartheid legacy (Vally 2015). Third, the term TVET was introduced into the South African Educational system in 2012 by the DHET. The shift from the FET to TVET colleges was announced in 2014 by the ministry of the DHET at the launch of the White Paper for Post-School Education and Training (Van der Bijl and Taylor 2016). The instruction directed the transition of all public FET colleges to change their name to TVET, and since 2014 the colleges have been recognised as TVET colleges.

Technical colleges in South Africa from 1994 to 2002

The historical legacy of apartheid education in South Africa meant that a privileged technical college was originally restricted to promote unequal participation and access to education. But before the end of apartheid in the 1990s, the technical colleges opened their registrations to other racial groups (DHET 2012). The economic growth encouraged the technical colleges to be opened to all other races including African, Indian, and Coloured people (Akoojee 2016). The levels of resources and funding investment in these institutions reflected the legacy of desperate and unfair funding (Wedekind 2016). The privileged (white-dominated) technical colleges had better resources and attention, while black

technical colleges had restrictions that prevented them from being successful. The democratic government established in 1994 inherited 152 technical colleges that were based on the racial classification of the former apartheid government. According to Sethibe (2016), the provincial authorities were responsible for the management of a complex mix of historically white institutions with considerable autonomy. The historically black colleges had less independence and autonomy and this gave rise to the urgent need for the reform of the technical college system.

Oketch (2009) explained that the former white-dominated technical colleges operated on a semi-autonomous model of governance with better resources and college councils that provided linkages to the local industry. The National Committee on Further Education (NCFE) (NCFE 1997) reported the negative features of technical colleges and weak leadership, governance, and outdated programmes that were unresponsive to community needs. The programmes offered by technical colleges failed to prepare students adequately for success in further learning and employment (Resnick and Thurlow 2015). To address these features, the educational authorities promulgated measures to respond to the weaknesses and deficiencies of 152 technical colleges, which have guided the change of name from technical to FET, and currently, TVET colleges.

The NCFE in 1997 presented a draft report that indicated that technical colleges in South Africa lack an identity. It concerns a series of major systemic reforms in the areas of governance, finance, staff employment practices, and certificates. Increasing the autonomy in technical colleges was also central to the government. In response to this, the government shifted a fragmented technical college system through the implementation of the FET Act, 1998 that facilitates the restructuring of technical colleges (RSA 1998). The Act promoted a strong articulation and provision of FET which informed the need for change. The NCFE released a final report entitled "A New Institutional Landscape for Public Further Education and Training Colleges" (NCFE 1997). The report served as a blueprint for the amalgamation of 152 technical colleges to 50 multi-campus colleges. The description below provides an overview of the shift from technical colleges to FET colleges which has shaped the current TVET system.

Further Education and Training from 2003 to 2013

The change of FETs was symbolic of an attempt to shed the negative image of the old technical college system. The process was expected to bring about increased efficiencies, responsiveness, and equity across the country. But the pre-1994 fragmented and unequal racial treatment in higher education had a ripple effect on the system and impacted negatively on the post-merger FET colleges (Kanwar, Balasubramanian and Carr 2019).

Among others, the problems identified in the post-merger FET colleges are differences in employment status often created and sustained by hierarchical power differentials (Sethibe 2016). The power in structures was influenced by communication barriers and caused consequent friction between the role-players that subsequently led to confusion over accountability (Wedekind 2016). It was difficult for both provincial officials and college officials, given the limited capacity and support available on the ground to effect the changes that would improve the situation. For colleges, the merger process involved bringing together colleges with vastly different organisational cultures, identities, and resource bases.

Oketch (2009) indicates that the flow of communication to staff around the provinces was weak, and high levels of resistance were experienced particularly from previously white technical colleges. The tensions associated with race and cultural beliefs were not addressed effectively, and a lack of planning to deal with culture hindered the integration of the three institutions (Vally 2015). The lack of clarity around leadership and lines of accountability during the initial period of the merger led to its restricted decision-making and further added to the instability of the FET colleges. The management of the FET colleges was expected to move beyond traditional conceptions of their role to be flexible and responsive to the community needs (Juan and Hannan 2019).

Technical Vocational Education and Training Colleges from 2014

The term TVET was introduced in South Africa in 2012, through a process that was underpinned by the Further Education and Training Colleges Amendment Bill (B24-2012). The transition from FET to TVET was meant to form part of a bigger strategy to improve the South African Post-School Educational System to ensure that TVET colleges are in line with international trends and standards, as part of the transition, the government believes that TVET colleges are ready to be granted full autonomy, and the well-performing colleges to have discretion in managing their own affairs. The Minister of Higher Education, at a conference that was held in 2014 to launch the White Paper on Post-School Education and Training, announced that all public FET colleges were to be renamed and called TVET colleges (Van der Bijl and Taylor 2016).

The shift from FET to TVET colleges was an easy task in South Africa because FET colleges were already focused on the same skills development and vocational training which TVET is meant to promote. The transition was meant to form part of a bigger strategy on behalf of the DHET to implement new efforts to improve the status of the colleges and turn them into efficiently functioning institutions. The process was expected to bring about increased efficiencies, responsiveness, and equity across the country. The 50 registered and accredited public TVET colleges in South Africa operate on around 364 campuses spread across the rural

and urban areas of the country. The DHET is responsible for TVET colleges and each province has a regional office that provides specialised professional support to the TVET colleges. There are more than 700 000 students in public TVET colleges, and this means that TVET colleges are in a rapid growth and development phase (Nundkumar and Subban 2020).

The change from FET to TVET is a signal for the importance of integrating formal education with practical training and aligning the combined product to occupational requirements. TVET seems to embody a fundamental institutional enigma despite multiple changes intended to improve the quality and efficiency of the colleges. They are still viewed as underperforming, perhaps even impervious to change efforts because of weak management structures. In 2013, nine FET colleges were under administration. The Finance and Fiscal Commission observed that “the sector is facing governance and management problems” concerning financial management, human resources, student support, and accountable administration. Financial accountability in the sector needs serious attention, to ensure that any additional funding to the sector is used effectively and efficiently (Turpie and Visser 2013). TVET colleges continue to experience management challenges to a large extent that contributes to the instability of the colleges.

THEORETICAL FRAMEWORK

According to van Zyl (2014), theories of management are a set of ideas established by authors and scholars to explain and provide an understanding of the management practices in higher education. The theoretical framework is an important area in this study, as it unites the researcher to the relevant existing knowledge. Management theories are a set of general rules that provide guidance or assist managers when executing their management functions (Scott 2015). The managers of the TVET colleges are required, directly or indirectly, to apply the management approaches that assist them in ensuring that the colleges are effectively managed.

This study was guided by the New Public Management (NPM) theory. The NPM theory has a very different underlying theoretical basis of economics and management related to the private sector. Shai (2017) asserts that NPM attempts to enhance productivity, performance, accountability, and flexibility in the public sector. Chiwawa, Wissink and Fox (2021) posit NPM as a reform model arguing that the quality and efficiency of the civil service should be improved by introducing management techniques and practices drawn mainly from the private sector. The model promises a leaner and improved government as well as decentralisation and better mechanisms of public accountability (Chiwawa *et al.* 2021). This theory represents an attempt to make the public sector more business-like and to

improve the efficiency of the government through adopting ideas and management models from the private sector. The above definition of the model points out that the key elements of the NPM revolve around the adoption of private sector management techniques and methods and how to implement them in the public sector with the emphasis on efficiency; movement away from input controls, rules and procedures, towards output measurement and performance targets; and devolution of management controls with improved reporting and monitoring mechanisms.

The NPM theory was perceived as one of the essential approaches adopted to rectify the failures of classical management theory in education. The government demands TVET colleges to be accountable and to increase their efficiency. This has resulted in performance evaluation and auditing which the TVET colleges need to adhere to, thereby ensuring proper controls exist to protect the resources of the college against being misused. Under the NPM, managers are expected to be given the freedom to manage, but still must ensure that service delivery is achieved at a reasonable cost. The NPM emphasises that the TVET colleges need to increase the number of professional management appointees to ensure greater control, accountability, economic efficiency, and student access and quality outcomes. Therefore, managers applying the NPM approaches are encouraged to create change in the organisation to ensure that management practices are implemented, and thereby achieve the goals and objectives of the organisation.

RESEARCH DESIGN AND METHODOLOGY

This study employed a qualitative research approach focussing on a TVET college as a case study to understand the experiences, opinions, and views of the participants who were perceived to have knowledge and understanding of the management practices of the TVET colleges. Individual in-depth interviews and focus group discussions were used to solicit the research participants' opinions on the subject matter. The personal views and responses of the research participants were thematically analysed to provide the meaning to the research phenomenon.

The study interviewed eight managers ranging from top-, middle- and lower-level managers who were purposively selected to participate in the study. A focus group discussion was also conducted with eight students including those from the Student Representative Council (SRC) who were grouped together in one venue and encouraged to voice their opinions and views. The sample size that represented the study was 16 participants. Purposive sampling was employed to ensure that the participants had both experience and knowledge of the management practices at TVET colleges. The students were selected based on their availability and accessibility. Therefore, convenience sampling was mainly employed to

select the participants for a focus group discussion. To recruit the participants, the researchers devised a flyer/poster with a summary of the content of the study and the researchers' contact details. The poster included the date, venue and time the focus group discussion was scheduled to take place.

The researchers transcribed all interviews, both the notes and audio tape-recordings, the aim being to transform a large amount of text into a standard organised and concise summary of key results. The researchers then read the entire transcription of the interview text to gain a general understanding of what the participants were talking about. At this point, the researchers were able to get ideas of the main points and the issues the participants were expressing and identified several topics that emerged from the interviews and focus group. Codes were then assigned and grouped into categories to formulate the themes.

EFFECTIVE MANAGEMENT AND GOVERNANCE STRUCTURES

The management of TVET colleges were recently affected by policy changes and developments which directly impact their ability to manage the colleges effectively and efficiently. Before 1994, the apartheid government did not address matters concerning the governance and management of public colleges which were then known as Technical Colleges (Ramrathan 2016). Hence, in the appointment of managers, competences and skills were not required to qualify an individual to serve in the management structure of a public college.

Post-1994, the first democratically elected government was challenged to adopt measures to address the lack of effective management and governance structures in the institutions of higher learning (Terreblanche 2017). Currently, the government has made provision for effective management and governance structures to be put in place within higher education.

Management structure

A management structure appears in every organisation, and it determines how the roles and responsibilities are assigned, coordinated, controlled and communicated among the different levels of management (Singh 2015). The management structure is influenced by hierarchical power over decision-making and span of control (Schraeder, Self, Jordan and Portis 2014). This governs the system in which the management is organised. An effective management structure guarantees continued growth in the organisation, comprising of management that is competent and professional and who execute their duties in compliance with all rules and regulations (Nundkumar and Subban 2020). An effective management structure

should strive towards achieving common goals and creating an organisational culture that values workplace relationships, communication between management and encourages employee engagement and participation before decision-making.

Ahmad (2015) posits that a management structure for the colleges is required to effectively communicate with the leadership about matters concerning strategic planning, budget, implementation of policies and processes, human resources, and student affairs. The TVET colleges are characterised by a few people at the top with more power to make decisions, and the middle management and lower level positions are mainly responsible for policy implementation and administration (Nzembe 2017). The South African Human Resource Development Council (HRDC) reported that effective management in the TVET colleges is characterised by a management structure which ensures proper functionality of the institutions, aimed at bringing comprehensive sustainable development and good performance. Ramrathan (2016) points out that for the TVET colleges to be able to function effectively, there must be a management structure that is responsible for the management of the college. Nadrifar, Bandani and Shahryari (2016) support this statement, indicating that management structure is at the heart of any organisation.

An effective management structure plays a crucial role in ensuring that the organisation continues to perform according to the required standards (Estalaki 2017). The management structure exists to ensure that the resources are used for the purpose they are allocated for, and to ensure that accountability is encouraged to protect the organisational resources against risk. Gilbert and Sutherland (2013) argue that a good management structure is usually influenced by the management approach, based on the cooperation of management and labour, particularly lower-level staff members. Gamble (2016) maintains that the rules and regulations governing the TVET colleges stipulates that every college must have a management structure, a college council and a SRC to play a significant role in the administration and management of the college. The management of the TVET colleges is thus divided into three levels:

- **Top level:** This consists of the principal who is regarded as the accounting officer of the college and who reports and is accountable to the minister of the DHET (Gamble 2016). The principal is responsible for the development of a strategic plan in line with the TVET college. The managerial function of the principal is to ensure planning, organising and directing of the colleges (RSA 2006).
- **Middle level:** This consists of the deputy principals who are responsible for specific portfolios. The deputy principals are appointed by the Member of the Executive Council (MEC) in terms of the conditions set by a prominent South African public service trade union, the Public Servants Association (PSA) as members of the middle management services (MMS). The managers at this level are responsible for formalising policies and plans, as well as coordinating activities of the units or department (DHET 2015).

- **First level:** This level includes campus managers and managers from various units, such as the heads of departments, that are grouped together. According to the regulation (RSA 2015), it stipulates that a TVET college management must consist of sectional managers such as, “financial manager, human resources (HR) manager, and student support manager” and others. However, the principal of the college has the power to make final decisions in all matters of college administration and management.

ORGANISATIONAL CULTURE AND TVET COLLEGES

Kanwar *et al.* (2015) state that an organisational culture refers to a system of shared assumptions, values and beliefs which govern how employees behave in organisations. These shared values and principles have a strong influence on how each individual acts and performs their responsibilities. Realising the close connection between the processes taking place inside an organisation makes it easier to understand the intricate task of directing an efficient organisation. Dadich, Stout and Hosseinzadeh (2014) describe an organisational structure as a system which indicates how activities are determined and administered to achieve the goals and objectives of the organisation. These activities usually include policies, roles, and responsibilities that directly influence the TVET culture. Each college is unique in terms of its culture; including facilities, centralisation or dispersion and all these factors represent the symbolic expression of the organisational values and beliefs shared by all employees (Algahtani 2014). TVET colleges in South Africa are part of educational institutions that are similar to business organisations in many ways except that TVET colleges deliver education and training. They have structures, processes, missions, goals, and strategies to reach those goals. The business of TVET colleges is influenced by powerful, external forces such as demographic, economic, and political conditions. They are also shaped by strong forces that emanate from within. The internal dynamic has its roots in the history of the colleges and derives its force from its values, processes and goals.

The TVET culture is a primary component of functional decision-making within the TVET colleges. For administrators, faculty, and staff to effectively coordinate an efficient academic environment for healthy education, continuing cultural assessment and change are necessary. The core business of educational institutions, including TVET colleges, is teaching and learning, and one of the most important tasks of the manager is to create an organisational culture that is conducive to this and who encourages the TVET staff members to make optimal use of their capabilities. However, the TVET colleges seem to be faced with major challenges because of a negative culture, low employee engagement, lack of empathy and flexibility.

FINDINGS AND INFERENCES

The research into a TVET college as a case study confirmed some of the major concerns raised by other authors and researchers regarding the management dysfunctions at TVET colleges in South Africa. The findings show that TVET culture is a primary component of functional decision making within the TVET colleges. For administrators, faculty, and staff to effectively coordinate an efficient academic environment, major changes are necessary. The core business of educational institutions including TVET colleges is teaching and learning, and one of the most important tasks of the manager is to create an organisational culture that is conducive and encourages the TVET staff members to make optimal use of their capabilities. This study confirms that TVET colleges seem to be faced with major challenges because of a negative culture, low employee engagement, lack of empathy and flexibility.

Concerning the evaluation of the management system and tools implemented by the management structures, the study confirms that the TVET colleges utilise Internal Continuous Assessment (ICASS), Integrated Quality Management System (IQMS), Continual Professional Teacher Development (CPTD) and Student Support Services (SSS) systems in the administration of the college. ICASS and IQMS are used as scientific management practices whereby the systems allow management to monitor and evaluate performance. However, these mechanisms exist but are poorly implemented, as confirmed by the following quote from some of the research participants:

Management in ICASS ensures that constant monitoring support and evaluation at the college is done through classroom visits and document checking of lecturers by senior lecturers and HODs. However, this is mainly just ceremonial due to shortage of staff (Sithole 2020:117).

Similar comments were made by another interviewee who had the following to say:

The IQMS is used to monitor and control whether individual employee's performance still meets the goals and objectives of the college. IQMS serves as PMS and DAS, although sometimes it does not serve the intended purpose because the school development team is failing to monitor IQMS (Sithole 2020:117).

The research findings indicate that the availability of resources to ensure effective implementation of IQMS, ICASS and CPTD were revealed to be a major constraint affecting the colleges. In this regard, the study found that the management practices at TVET colleges were greatly influenced by a lack of financial and

physical resources. While the lower-levels management situated at the campus level was responsible for its implementation, they were not provided with adequate resources. This was confirmed by the following quote:

Management is expecting lecturers to achieve good performance results but fails to make provision for resources to ensure that ICASS goals are achieved. As campus managers, we are really struggling with resources and unable to do anything. While there are specific deadlines for assessment controls and tasks, ICASS clearly indicates when all assessments should be completed and recorded to achieve quality but how can that happen when we wait for ever for resources such as textbooks? (Sithole 2020:117)

The study also found that the centralised management system had a negative impact on the administration of the colleges, and this resulted in ineffective management practices. The management systems require active participation and cooperation between the managers at all levels. The TVET colleges' senior managers at the central office are disconnected from the college. Most common challenges impacting the management and administration include management and leadership, performance, funding, infrastructure and facilities. Learning and teaching at the TVET colleges are being affected by a lack of resources (Cloete and Thornhill 2017). Learning and teaching materials are not received timeously, and all campus libraries have obsolete study materials. This makes it difficult for the students to obtain the necessary textbooks and other study materials for learning. The lack of human capacity is also having a negative impact on the management of the colleges. Unqualified and incompetent administrators and lecturers contribute to the poor performance results of the colleges. This position is reflected in the following quote:

CPTD is a system which requires HR department to play an effective role in assisting those lecturers with shortage of skills. It provides them with opportunities to participate in CPTD programmes. At this college, this is a nightmare; you will send documents requesting assistance with training the lecturers, but this will not always be taken into consideration (Sithole 2020:116).

The lack of computer Local Area Networks (LANs) for the purposes of study and the completion of assignments also impacts negatively on the students' access to learning materials. The management makes provision for computers only for a learning session. Poor management and weak leadership are challenges that affect the TVET colleges. According to the research participants, management at the colleges is not only weak, but the lack of resources and human capacity is related to poor management and centralisation of all decisions. Lack of consultation and access to information is another challenge that affects the TVET colleges. The

study finds that the current management structure treats strategic plans, annual reports, and auditor-general statements as confidential documents. This is against the Constitutional mandate which gives the right to students, academics and the public to have access to these public documents.

The TVET colleges follow a centralised management practice where the powers for decision-making rest exclusively with the college principal who is often unwilling to delegate authority. As a result, campus management must wait for long periods of time for approval of requisitions and other necessary documents that could have been dealt with at the campus level. The study further found that the SSS are failing to coordinate the activities as prescribed in the SSS framework. There is a wilful non-compliance with the framework which prescribes the activities that should be performed by the SSS structure.

The SSS exists to offer support services including career counselling and assistance to us as students with social issues. The college does not have an effective support system for students who are dealing with social issues. We are aware that the TVET colleges has SSS framework which should be implemented, but at this college it is invisible (Sithole 2020:132).

The infrastructure and facilities at the TVET colleges, including sports facilities and grounds, ablution facilities, and the libraries were found to be in bad condition and in need of much maintenance. Even though the management structure of the colleges has an official manager appointed to oversee infrastructure and facilities maintenance, few improvements have yet been made. Furthermore, the funding model for TVET colleges currently deprives students from receiving equal benefits to students studying at national universities. For example, students studying at TVET colleges do not receive laptop allowances and textbooks. The study found that the lack of study materials was also influenced by the unequal system of the National Student Financial Aid Scheme (NSFAS) and the unwillingness to release funds by the college management.

RECOMMENDATIONS

The following recommendations are made as a result of the findings and inferences of this study.

Conduct monitoring and evaluation: Monitoring and evaluation are systematic tools that assist management to measure progress towards achieving strategic goals and objectives. It is done to determine whether the institution or project is fulfilling its obligations in terms of the development goals and objectives of central government. The Further Education and Training Colleges Act 16 of 2006

mandates that the college councils of the TVET colleges should establish a monitoring and evaluation committee to monitor and evaluate the administration and operation of the colleges. TVET colleges have limited personnel and the committee presently does not exist, as was evident at uMgungudlovu.

The study also recommends that it is vital for the TVET colleges to set up a monitoring and evaluation team to assess and investigate the challenges experienced by TVET colleges. Furthermore, the team should report to the college management and council so that the barriers with the portfolio managers are addressed expediently. This will contribute towards enhancing the management and administration of the colleges. It will also encourage accountability for all management officials including the college principal, since poor management in the TVET sector is also associated with a lack of accountability.

Change the funding model for the TVET colleges: The availability of resources in any institution is determined by the provision of adequate funding. The current funding model for the TVET colleges needs to be revised to consider and include areas such as facilities and infrastructure. Budgets for facilities and infrastructure should therefore be increased. The government should recognise that it is impossible to encourage the TVET colleges to increase enrolment while the colleges are facing infrastructural incapacities. A proportionate distribution of resources should also be encouraged throughout all institutions of higher learning, unlike the current position where traditional universities receive larger budget allocations compared to the TVET colleges. Currently, the NSFAS benefits are not equal between university and TVET learners. Students enrolled in post-school education at public TVET colleges should be treated equally in terms of funding. By so doing, this will address the lack of textbooks and study materials for students enrolled at the TVET colleges.

Provide intensive training programmes: The DHET should establish intensive training programmes for managers in the TVET sector to ensure that management structures are well-informed about the management systems as provided by the DHET. This will enable the TVET colleges to have competent managers who are able to ensure effective implementation of managerial functions. Non-compliance with the rules and regulations should also be addressed by providing management with intensive training. Non-performance needs to be strictly addressed with consequence management strategies and processes.

Increase credibility and respect for rules and regulations: Disciplinary and other measures against individual TVET managers who fail to comply with the rules and regulations should be firm and sufficiently deterrent to discourage future non-compliance. These measures should be implemented to discourage non-compliance and thereby ensure that college principals adhere to the rules and regulations. Credibility management and respect for rules and regulations should also go along with training in the fields of the laws and rules/regulations that guide TVET colleges.

TVET management should transition from a centralised to a decentralised system: Adopting a decentralised management system can be a significant undertaking that requires a lot of change management and patience by all management and staff involved. Decentralising operations into smaller manageable units could be a solution to many of the problems encountered at the TVET colleges. This encourages lower-level managers to run their departments or units independently and allows for timeous decision-making. Decentralisation provides opportunities and experience to the lower-level managers in decision-making, thereby helping them to be competent and compliant. In this regard, decentralisation can have great potential in the TVET colleges. It is thus crucial that campus managers are trained and allowed to monitor and manage their own affairs independently.

CONCLUSION

While organisation is essential for success, the specific structure and systems can have an impact on the management process. A management structure can determine the level of management: who takes final decisions, how organisational goals and duties are communicated, and how the organisational manager interacts with their staff. The management structure provides direction to all employees by establishing the official reporting mechanisms that govern the company's workflow. A good organisational structure makes it easier for team members and individuals to attain their goals by coordinating all operations. Each employee has a job description that specifies their responsibilities, and each position on the company's organisational chart has its own designation. Planning the management structure guarantees that the organisation has adequate people resources with the appropriate capabilities to achieve its objectives, as well as that those duties are clearly defined. From a systems perspective, the way roles, power, and duties are assigned, regulated, and coordinated, as well as how information moves across management levels, is determined by organisational structure. In order to drive economic success, organisations should employ leadership frameworks to communicate what is required of their leaders, and to implement systems to ensure that compliance with organisational structure, policies, goals and objectives is achieved.

NOTE

- * This article is a result of empirical research done towards completing a Master's degree in Public Administration (MPA) by Mandisa Sithole, supervised by Professor H F Wissink. The content of the research was reworked, and this article was prepared by Dr Nyasha Chiwawa a post-doctoral

research fellow working under the supervision of Prof H F Wissink at the UKZN. The title of the Master's dissertation is: *Enhancing Management Structure at the TVET colleges: A Case Study of uMgungundlovu TVET College.*

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Accountable Administrative Gatekeeping

Effects on Social Grants for South African Adult Persons with Disabilities

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ABSTRACT

This article investigates the role of South African Social Security Agency (SASSA) officials in accountable administrative gatekeeping and its effect on social grants for adult persons with disabilities (PWDs) in the Northern Cape province of South Africa. Notwithstanding the implementation of an administrative gatekeeping element of the Social Grants Disability Management Model (SGDMM) in 2011, adult PWDs presenting with the same medical condition, with minor or no confirmable impairment, keep returning to SASSA and are allowed through the system, only to be rejected again citing the same reasons as before. As part of accountable administrative gatekeeping, SASSA officials need to confirm the accuracy of supporting documents and check documented proof of medical history to ascertain that applicants of social grants for adult PWDs are not booked for medical assessments within three months of their last assessment. An interpretivist paradigm and phenomenological research design were applied. There were 16 open-ended questions divided into three sections, namely (i) knowledge of Acts of Parliament and policies relevant to social grants for adult PWDs; (ii) the process of gatekeeping to be followed when adult PWDs apply for social grants; and (iii) attitude towards social grants for adult PWDs. The primary data consisted of responses from four semi-structured focus group discussions with SASSA officials (selected through non-probability and purposive sampling). The findings from the responses of semi-structured focus group

discussions with SASSA officials during a study on the administration of social grants for adult PWDs in the Northern Cape will be analysed and reported on. Final recommendations for achieving accountable administrative gatekeeping and its effects on social grants for South African adult PWDs will be made. It was found that administrative gatekeeping, the awarding of temporary social grants and socio-economic circumstances are the reasons adult PWDs keep on applying for social grants.

INTRODUCTION

SASSA is an entity of the Department of Social Development established in 2006. This essential agency is tasked with accountable administration of social grants (older persons, adult persons with disabilities, war veterans, grant-in-aid, care dependency, foster child, child support, and social relief of distress). In 2011 the SGDMM was introduced to deal with challenges relating to social grants for adult PWDs. Among other things, the 2011 SGDMM identifies several stakeholders critical to the accountable administration of social grants for adult PWDs, namely applicants of social grants for adult PWDs, contracted medical doctors, and SASSA officials (the focus of this article) (SGDMM 2011:27). Consequently, the intention behind accountable administrative gatekeeping, one of the elements of the 2011 SGDMM, was that SASSA officials would screen potential applicants of social grants for adult PWDs and ensure that only those with medical records to prove eligibility for the social grants go through for medical assessment by a contracted medical doctor (SGDMM 2011:41). This responsibility is underpinned by Section 195(1) of the *Constitution of the Republic of South Africa, 1996*, which stipulates that public administration should be accountable through the custodians, that is, public administrators (SASSA officials). Accountability is therefore also deeply entrenched in the South African democracy.

According to the Regulations of the Social Assistance Act 13 of 2004 (as amended) a SASSA official is an individual, at any level, employed by SASSA to offer all reasonable assistance to a South African citizen to enable the said individual to exercise their rights in terms of this Act. Officials of SASSA are appointed in terms of the SASSA Act 9 of 2004. For this study, a SASSA official is an official dealing with assessments for disability grants (these include screening, referral, booking, application, verification, and approval) and who has been employed for at least 24 months before this study. SASSA officials play a critical role in gatekeeping, which involves thorough screening of the applicants before they can be booked for medical assessment by contracted medical doctors. Other roles

for SASSA officials entail monitoring and overseeing the implementation of the disability management model (SGDMM 2011:43).

South African legislation supporting SASSA in fulfilling its mandate in terms of section 195(1)(b) of the Constitution of 1996 includes the White Paper on Transforming Public Service Delivery (1997), the Public Finance Management Act 1 of 1999, the South African Social Security Agency Act 9 of 2004, and the Social Assistance Act 13 of 2004. These legislative directives further call for accountable administration of social grants for South African adult PWDs. Therefore, the 2011 SGDMM was introduced to ensure that SASSA officials apply standardisation and uniformity to all disability-related processes in an environment where quality services are rendered.

This article investigates the role of SASSA officials in accountable administrative gatekeeping and its effect on social grants for adult PWDs. Here, the responses from semi-structured focus group discussions with SASSA officials based in the Northern Cape province of South Africa will be analysed and reported on. The Northern Cape is one of the nine provinces in South Africa and the largest province in terms of the country's total landmass. It covers 372 889km² but is sparsely populated and accounts for just 2.2% of the total population with 1.29 million people. Despite being the most sparsely populated province, the Northern Cape had the highest number of social grants for adult PWDs in payment (compared to the other eight provinces in South Africa), in proportion to the total number of social grants in payment (total number of social grants approved and paid out during a certain period) during the financial year ending 31 March 2018 (SASSA 2019a:26). The high number of social grants for adult PWDs in payment in the Northern Cape could be attributed to the fact that (i) most of the economically inactive population recorded in the Northern Cape during the 2012–2018 period reported inactivity due to illness or disability, and/or (ii) that social grants for adult PWDs are the only social grants that cater to the specific group of working age (19–59 years) who are unable to support themselves, nationally. The number of social grants for adult PWDs in payment in the Northern Cape was recorded at 12.85% in proportion to the total number of social grants in payment, which is 5.65% higher than the national average (SASSA 2019a:28).

This article begins by providing theoretical context supporting the article. The focus of the article is then demarcated, and the data and measurements of the study are explained. The research results are analysed and reported on, focusing on (i) knowledge of Acts of Parliament and policies relevant to social grants for adult PWDs; (ii) the process of gatekeeping to be followed when adult PWDs apply for social grants; and (iii) attitude towards social grants for adult PWDs. The article concludes with recommendations to the National Department of Social Development and SASSA Northern Cape.

METHODOLOGY

A phenomenological research design, which falls within the interpretivist paradigm was followed (Maree, Creswell, Ebersöhn, Eloff, Ferreira, Ivankova, Jansen, Nieuwenhuis, Pietersen and Plano Clark 2020:34). Before collecting the primary data, a pilot study was conducted during which the validity of the research instrument was tested to investigate the feasibility of the planned research project and bring to the fore possible deficiencies in the measurement procedure (Strydom 2011:179). The respondents who participated in the pilot did not form part of the final group of respondents (Maree *et al.* 2020:155).

Semi-structured focus group discussions were conducted with SASSA officials directly involved in the administrative gatekeeping element of the 2011 SGDMM at regional, district, or local office levels, all of whom are residents of the Northern Cape. The 16 open-ended questions were divided into three sections, namely (i) knowledge of Acts of Parliament and policies relevant to social grants for adult PWDs (7 questions); (ii) the process of gatekeeping to be followed when adult PWDs apply for social grants (5 questions); and (iii) attitude towards social grants for adult PWDs (4 questions).

Purposive sampling was used to select respondents for the four semi-structured focus group discussions with SASSA officials ($n = 90$). Invitations to participate were hand-delivered. Once a reasonable number was received from the four districts (Frances Baard, Namakwa, Pixley Ka Seme, and ZF Mgcawu), the respondents were telephonically contacted to set a date and time for the semi-structured focus group discussions. Although 51 (56.7%) SASSA officials indicated their willingness to participate in the focus group discussions, the final number of respondents totalled 34 (37.8%).

Ethical considerations when conducting research include the confidentiality of results and findings of the study and the protection of the respondents' identities (Strydom 2011:241). The respondents in the study were first issued with a letter explaining the purpose, expected duration, and procedures of the research. They were then allowed to indicate, in writing, their willingness or unwillingness to participate in the study. These actions addressed the aspects of informed consent and freedom of choice. The respondents were very clearly told they could withdraw during the study should they feel uncomfortable. The project received ethical approval from the University of the Free State Ethics Committee (UFS-HSD2016/1581).

Focus group discussions usually yield qualitative and observational data, and analyses can thus be demanding (Maree *et al.* 2020:110). The focus group discussions with SASSA officials were recorded, audiotaped, and transcribed verbatim. The information from the transcripts was used to formulate conclusions and recommendations to achieve the aim and objectives of the study. Content analysis

techniques were used to analyse data since it enabled a systematic coding of data by organising the information into categories to discover patterns undetectable by merely listening to the tapes or reading the transcripts (Neuman 2014:273).

THEORETICAL CONTEXT

There is no shortage of scholarly literature on the definition of “accountability” and its relevance to upholding a democratic dispensation (Poncian and Mgya 2015:107; Signé 2018:10; Andrews 2019:305; Munzhedzi 2016:1; Engelstad, Gulbrandsen, Mangset and Teigen 2019:3; Goede 2019:2239). This article does not attempt to traverse the literature but rather to demarcate the functional boundaries of public accountability and public administration relevant to the argument of this article. Public accountability is “accountability in, and about, the public domain” (Bovens, Schillemans, Robert and Goodin 2014:7; Munzhedzi 2016:2). Public accountability requires informed public administrators (*the accountable actor*), administrative processes and procedures (*the nature of the conduct*), the implementation of processes and application of procedures to the benefit of the public (*the accountable forum*), and consequences for the non-performance or actions (*the nature of the obligation*) of public officials (Bovens *et al.* 2014:10; Boothe 2019:643; Kaufmann, Taggart and Bozeman 2019:18). Administration as an activity means “1 performance of executive duties: management [or] 2 the act or process of administration [or] 3 the execution of public affairs as distinguished from policy-making [or] ... 4 the term of office of an administrative officer” (Merriam-Webster Online Dictionary 2020). The concept “activity” necessitates that there is someone to perform the activity, and the definition of the concept “to administer” is therefore acknowledged. According to the Merriam-Webster Online Dictionary (2020), it means “to manage the operation of (... government) or the use of ... to put (something) into effect”. The importance of public accountability and public administration lies in its provision of a democratic means (Bovens *et al.* 2014:14) to warrant that the conduct of public administrators is to the benefit of the public good (Papi, Bigoni, Bracci and Deidda Gagliardo 2018:503).

Contemporary theories of administration subscribe to the following basic assumptions, several of which hold true for SASSA:

- Organisations are national institutions that aim to accomplish established objectives (Drucker 1954; Sherwin 1976; Latham 1981).
- Coherent organisational behaviour is best achieved through systems of defined rules and formal authority (Fayol 1949; Weber 1947).
- Organisational control and coordination are critical factors for maintaining organisations rationally (Gulick and Urwick 1937; Weber 1947).

- There is a best or most appropriate structure for every organisation, considering its given objectives, environmental conditions, and the nature of its products/services (Von Bertalanffy 1951; Luthans 1985).
- Specialisation and division of labour increase the quality and quantity of production, particularly in highly skilled jobs and professions (Fayol 1949; Taylor 1947).

Contemporary theories of administration include a vital element of public management. The Administrative Management Theory (pioneered by Henri Fayol 1949) is used as a departure point in this study. This theory advocates for emphasis to be put on organisational management, and human and behavioural factors in the management process. The focus of the theory is on how the organisation's management is structured and how well the individuals therein are organised to accomplish the tasks given to them (Abah 2017:49). Of the 14 principles introduced by Fayol, five – (i) division of work by specialisation, (ii) centralisation, (iii) top management led decision-making system, (iv) unity of direction, and (v) recruit, train staff and encourage them to remain (Uzuegbu and Nnadozie 2015:70; Amanawa 2022:2); hold true for the day-to-day activities of SASSA officials upon rendering their services to adult PWDs. The 2011 SGDMM has clearly defined specialised roles and responsibilities for each SASSA official, i.e. the *division of work by specialisation* to administer activities in a uniform and standardised manner (*centralisation*) with the common goal of adhering to national policy (*top management-led decision-making system*) to ensure that social grants for adult PWDs are paid (*unity of direction*). One of the service delivery objectives of the SGDMM is to improve the quality of service delivery through training staff and service providers (*recruitment and training of staff*).

Administration of social grants for adult PWDs by SASSA entails the four-step model (screening, attesting, quality assurance, and verification) an applicant goes through before an outcome for application is issued. The application lifespan is designed so that individual SASSA officials perform strictly only one of the activities in an application cycle to counter tendencies towards corruption or fraud. It ideally takes four (or, in exceptional circumstances, three) SASSA officials to complete an application for a social grant for adult PWDs (Parliamentary Monitoring Group 2011:2).

The extreme specialisation that Fayolism promotes is contrary to modern ideals of how to provide a motivating and satisfying workplace. Admittedly, while efficiency in administering social grants for adult PWDs might improve, this repetitive performance of tasks might lead to boredom and a lack of individual growth (Bergh 2017:287). Hence the need to move from specialisation-intensive jobs to motivation-intensive jobs to balance the employees' human needs and the employers' organisational goals (Bridgman, Cummings and Ballard 2019:3).

The definitions of the concept of disability vary depending on the sector and country (World Health Organization (WHO) 2018:4). For example, a disability requiring healthcare or rehabilitation may not necessarily be a disability for the purposes of eligibility for social welfare benefits or compensation for workplace accidents. Whereas a disability was once assumed to be strictly a physical or medical condition, in recent years the understanding of disability has shifted to one that considers a person's physical, social, and political context (Livermore 2011:63). Today, disability is understood to arise from the interaction between a person's health condition or impairment (e.g. cerebral palsy, Down syndrome, and depression) and a multitude of personal and environmental factors (e.g. negative attitudes, inaccessible transportation and public buildings, and limited social supports) (WHO 2018:4). The WHO has moved towards a new International Classification of Functioning, Disability, and Health system, which defines disability as an umbrella term for impairments, activity limitations, and participation restrictions (WHO 2018:4).

In South Africa, in terms of clause 1 of the 2010 Social Assistance Amendment Bill "disability," in respect of an applicant, means a moderate to severe impairment that limits an adult PWD's ability to function because of a physical, sensory, communication, intellectual, or mental disability rendering the adult PWD unable to either (i) obtain the means needed to enable them to provide for their maintenance; or (ii) be gainfully employed. This approach to disability recognises both the physical and/or potential medical barriers to employment that beneficiaries may face (recurring physical or mental impairment that substantially limits their prospects) and the socio-economic aspect (capacity or opportunity to perform major life activities, which might include entry into or advancement in education, employment, etc) (Livermore 2011:63). This definition of disability is often used when determining whether an applicant is deemed to have a disability for purposes of being awarded the state-administered social grants for adult PWDs. While in some countries, adult PWDs receive social security disability benefits purely based on their disability, South Africa's eligibility criteria are based on both the level of impairment and need.

DEMARCATING THE FOCUS OF THE ARTICLE

In South Africa, the disability grant is a social grant payable to persons aged 19–59 years suffering from a mental or physical disability that permanently limits their daily functioning and renders them unfit to sufficiently provide for their own maintenance for longer than six months (SASSA 2019b:3). To qualify for a disability grant, an applicant must demonstrate an inability to engage in substantial gainful activity due to a medically determinable impairment (Livermore 2011:61)

that is expected to last at least 12 months (SASSA 2019b:3). For those found to be functionally impaired for a period of fewer than six months, social relief of distress is recommended.

Statistical analysis of grants in payment from 2012/13 to the 2017/18 financial years shows that despite the introduction of screening and gatekeeping elements in the 2011 SGDMM, the number of applications and rejections for social grants for adult PWDs in the Northern Cape has not decreased year on year (as per the expected norm). The 2012/13 statistics indicate that 36 989 medical assessments were conducted. This number increased to 39 533 in 2013/14 and 43 068 in 2014/15. The highest number recorded was 43 351 in 2015/16. From 2016/17, the number of assessments seemed to stabilise at around 40 000 (41 845 in 2016/17 and 41 555 in 2017/18). The 2017/18 financial year recorded the highest rejection rate at 32.9%. For the medical assessments conducted for adult PWDs in 2012–2018, the rejection rate remained at an average of 29%, at an estimated cost of R9.9 million (SASSA 2019a:1).

The administration of social grants for adult PWDs became a national government function in 2005, primarily due to a lack of standardisation and uniformity in respect of the structure and disability operations. Before then, this function had been decentralised to the nine provinces, respectively, and the various administrations (SASSA 2011:9). This decentralisation brought forth its unique challenges, among other things, a lack of appropriately skilled staff, inconsequent application of assessment criteria, and standards, high staff turnover, and fraud and corruption (SASSA 2011:4). It was seemingly recognised by the management of SASSA that these challenges could be overcome by changing the structure of accountable gatekeeping, introducing uniform standards and procedures, and prescribing uniform guidelines for administering social grants for adult PWDs (SASSA 2011:10). The 2011 SGDMM addresses the majority, if not all, of the identified challenges. The express intention of the 2011 SGDMM was, therefore, to adhere to the legislative directives advocating accountable administrative gatekeeping in a practical manner and emphasising the importance of the SASSA official as a role-player. The SASSA official should perform proper gatekeeping to establish the duration of the medical condition, ascertain that the applicant is receiving and complying with treatment conditions, and determine eligibility in line with the applicant's income and assets (SASSA 2011:28). Gatekeeping involves all the activities that an applicant goes through before actual application forms for social grants are completed or captured on the Social Pensions System and includes (i) checking documented proof of medical history, and (ii) verifying documents to ensure that the applicant is not booked for medical assessment within three months from the last assessment date. This is done to ascertain the manifestation of a medical or mental condition and the severity of impairment thereof (SASSA 2011:29). These activities could either be technical (checking documented proof

of medical history) or administrative (verifying documents to ascertain that the applicant is not booked for medical assessment within three months from the last assessment date). This is done to control the bookings for medical assessments, prevent double booking, and curb the rising reassessment rate.

Gatekeeping thus refers to a series of activities (screening, referral, and booking) performed by a SASSA official to ascertain the manifestation of a medical condition and severity of impairment thereof, and is done at an entry point when applicants approach a SASSA office to apply for social grants for adult PWDs (SASSA 2011:29). If gatekeeping is adequately administered, only the most eligible will go through to the next step, which is medical assessment. After the condition and its severity have been verified, the SASSA official books the applicant for a medical evaluation with the contracted medical doctor.

However, despite the enforcement of administrative gatekeeping, as prescribed by the 2011 SGDMM, during the administration of the social grants for adult PWDs (SASSA 2019a:1) by the SASSA officials in the Northern Cape, the high number of rejections remains constant. SASSA officials are not empowered to turn away applicants at screening once it has been established that they do not meet the criteria. That is because (i) only the contracted medical doctors can recommend the awarding of social grants for adult PWDs, and (ii) outcome letters are system-generated, so an applicant has no other option but to go through the whole process to receive a written negative response at the end. It thus appears that the only gatekeeping function SASSA officials fulfil is to advise on the required documentation, not necessarily to help ensure that only the most deserving applicants are taken through the system.

RESEARCH RESULTS

Knowledge of Acts of Parliament and policies relevant to social grants for adult PWDs

The seven questions in section A of the semi-structured interview schedule aimed to examine SASSA officials' knowledge of the legislation governing the administration of social grants for adult PWDs. The responses to the seven questions are discussed in this section.

Respondents' opinions were sought on the available South African legislation supporting SASSA in administering social grants for adult PWDs. All respondents acknowledged that the Constitution, the supreme law of the land, is the yardstick from which all Acts and policies are derived and that it states, without any uncertainty, the importance of human rights (Chapter Two, the Bill of Rights). While the Constitution (specifically Chapter Two) gave every South African citizen the

right to social assistance and was mentioned by the SASSA officials, Chapter Ten of the Constitution covers public and accountable administration, though this was not mentioned explicitly by any respondent. As anticipated, the respondents mentioned the SASSA Act 9 of 2004, the Social Assistance Act 13 of 2004 (as amended), and policies and regulations proclaimed by the Minister of Social Development from time to time. Whereas it appeared easy for the respondents in all four focus groups to articulate holistically what is prescribed by the said legislation, it appeared to be difficult for them to name the different pieces of legislation and how they contribute towards accountable administrative gatekeeping in the process of social grants for adult PWDs.

It was essential to establish whether the 2011 SGDMM adequately addresses policy concerns (since that was its original intention) or, if not, why. The SASSA officials were also asked to identify gaps in the policies on the administration of social grants for adult PWDs. On the question of whether policy issues are adequately addressed, one is left with the impression that policy-wise, the 2011 SGDMM is on point, despite being problematic to implement under various circumstances. Its implementation exposes the fact that there can never be a one-size-fits-all solution when it comes to the administration of social grants for adult PWDs. It reveals that proper thought was not given to the dynamics of each province, district, or local office (i.e. demographics of the region and resources at each SASSA service point). Also, the uniqueness of the medical conditions presented by each applicant requires tailor-made solutions.

The process of gatekeeping to be followed when adult PWDs apply for social grants

The five questions posed in section B of the semi-structured interview schedule were aimed at probing the administration process of social grants for adult PWDs, as set out in the 2011 SGDMM. The responses are presented in this section.

First, it was noted that the respondents were knowledgeable about the legislation supporting SASSA as well as the 2011 SGDMM. They deemed the process to be streamlined and well thought through and said it “looks good on paper” (thus, it appeared to be executable and assisted in making officials accountable). The respondents acknowledged that it was developed with good intentions and that it is necessary to ensure that only the most deserving applicants eventually receive the social grants for adult PWDs. The process prescribes uniform standards that must be adhered to.

From the onset, it was apparent that the process is not realistic, as a SASSA official cannot dismiss an application and is obliged, in terms of the Promotion of Administrative Justice Act 3 of 2000, to give an applicant reasons in writing for

any administrative decision taken. However, a SASSA outcome letter is system-generated and is only issued once an application has been processed. Thus, the SASSA officials must take the applicant through the application-to-approval process, often knowing from the onset that a rejection awaits the applicant at the end. Repeatedly an expectation is created since taking an applicant through the application-to-approval process could be misconstrued as an indication that the outcome is bound to be positive.

A second observation, namely that the process is centralised around one critical stakeholder group, the contracted medical doctors, was of significant concern. It was mentioned that “there is absolutely nothing that anyone can do without the contracted medical doctor endorsing the process”. This reality is a significant challenge, given the limited availability of contracted medical doctors to conduct medical assessments in the Northern Cape. The results are consistent backlogs in the processing of applications and the SASSA officials being “labelled incompetent” and “the first to get the blame, not the contracted medical doctor, nor SASSA management”. Respondents in all four focus groups indicated that they are far behind (measured against the process put forward by the 2011 SGDMM) in processing social grants for adult PWDs in the province. A total of 350 backlog applications had accumulated in one office and 200 in another, with one office having 40 applicants still waiting to be assessed by the contracted medical doctors. There was a general feeling of hopelessness among the SASSA officials from three focus groups regarding dealing with the unavailability of contracted medical doctors. This unavailability was mainly ascribed to the decision by SASSA only to acquire medical doctors in private practice and terminate the contracts of those employed by the state.

On the question of what a realistic time frame might be for processing social grants for adult PWDs, one could sense that predicting a realistic time frame was informed by the reality of each SASSA office, not by some ideal, given the different dynamics in each office. However, this defeats the purpose of the 2011 SGDMM, which is to standardise processes by adhering to uniform standards. In response to a follow-up question, it can be concluded from the different responses that the availability of resources (staff, ICT equipment, and an up-and-running Social Pensions System), the medical assessment part (which includes the availability of relevant medical records and contracted medical doctors), and the knowledge level of the applicants all determine the pace at which social grants for adult PWDs are processed.

Finally, under this section, respondents were asked how they dealt with applicants of social grants for adult PWDs. The latter apply for social grants without a referral from a contracted medical doctor. In three of the four focus groups, it was apparent that everyone goes through the same process. The contracted medical doctor is the only one who can determine whether a person qualifies

to be awarded a social grant for adult PWDs. However, respondents in one of the focus groups indicated that, after screening, if it is established that applicants are not impaired to the extent that they meet the requirements of being awarded a social grant for adult PWDs (primarily evident by the fact that the person is not receiving treatment or does not have recent, up-to-date medical records of treatment), they would either take down an application for social relief of distress or refer the person to social services (Department of Social Development). It was also noted that there is no standardised way of dealing with self-referrals, as they are the exception rather than the norm.

It became apparent that the process of administration of social grants for adult PWDs is not designed so that it can be concluded in one visit. At best, given the number of stakeholders and their availability, the steps in the process through which the applicants must go, and proximity to the SASSA service points, a minimum of three visits must be made before an application is processed to finality. Despite the SASSA standardised turnaround time, the time it takes from referral to the outcome of the social grants for adult PWDs' application depends on the varying dynamics within each office and, as mentioned, the availability of contracted medical doctors to conduct medical assessments.

Attitude towards social grants for adult PWDs

It was essential to recognise SASSA officials' attitude towards social grants for adult PWDs since this is directly aligned with accountable administrative gate-keeping. Four questions were posed in section C of the semi-structured interview schedule, and the responses are presented in this section.

It was unanimously voiced that, notwithstanding the SASSA footprint being adequate in the Northern Cape, it was the availability of the critical stakeholders (contracted medical doctors) in the process causing a challenge. Ensuring the footprint is adequate in the Northern Cape, SASSA officials reach out to their targeted beneficiaries through outreach programmes, home visits, and satellite service points to ensure no service users are left out. They even described their initiatives as "perfect".

When asked to describe the profile of a repeat applicant, the respondents reacted quite strongly. It was mentioned that, without a doubt, a repeat applicant is someone who:

- has no prospects of employment and is desperate for an income ("currently unemployed, or unemployable, never employed or seasonal worker")
- often has a mild disability ("perceived or real, mainly incapacitated by illness rather than permanent disability, controllable chronic illness due to treatment")
- is on chronic medication for a manageable chronic illness ("currently under medical supervision and undergoing treatment")

- is reasonably mobile (“not too sick to visit a SASSA service point, has enough resources to visit a SASSA office and/or health facilities to seek help”).

With a sense of disrepute, respondents said that applicants viewed disability grants as similar to the process of a lottery, and that they “never seem to miss the opportunity to put in an application; sometimes they get lucky, sometimes not; one can be sure that they will return”.

Against this profile of the applicants, and having obtained a sense of the SASSA officials’ attitude towards social grants for adult PWDs, a question was posed to find out the reason(s) why, despite the gatekeeping element of the 2011 SGDMM, adult PWDs presenting with the same medical or mental condition keep coming back and are allowed through the system, only to be rejected again citing the same reasons as before. Several reasons were mentioned, including that applicants are poor and have no source of income, the unavailability of the contracted medical doctors, and the contracted medical doctors’ inconsistent application of the criteria. However, the high unemployment rate in South Africa (35.3%) (Statistics South Africa 2022: 1), especially in the Northern Cape (28.7%) (Bodumela 2021:1), was cited as the main reason people apply for social grants for adult PWDs despite repeated rejections.

Having gained clarity on the attitude towards social grants for adult PWDs, a final question probed into what could be done to create a helpful environment where adult PWDs can apply for social grants at their convenience. It was noted that the decentralisation of certain functions, trust by the management of SASSA, and networking with colleagues and other critical stakeholders would empower and motivate SASSA officials to take ownership and provide the aforementioned helpful environment for adult PWDs to apply for social grants.

MAIN FINDINGS

Three overarching findings are presented in light of these research results that are deemed worthy of attention. The first focuses on SASSA officials’ authority in performing accountable administrative gatekeeping, as illustrated in the 2011 SGDMM. It is noted that SASSA officials merely verify the correctness of supporting documents and then check documented proof of medical history to ensure that applicants of social grants for adult PWDs are not booked for medical assessments within three months of their last assessment. This limited authority given to SASSA officials does not extend to turning away applicants for any other reason once the documents are verified as correct, even obviously non-qualifying ones. Only contracted medical doctors can recommend approval of social grants for adult PWDs and, at present, they have to attend to a maximum

of 80 clients for assessment within an eight-hour shift (Parliamentary Monitoring Group 2021:5).

The second main finding relates to the current issuing of temporary disability grants (valid for a period of six to 12 months, after which they lapse) (Parliamentary Monitoring Group 2021:2). Because social grants for adult PWDs awarded due to ill health are primarily temporary, this is an indication that the applicants can be expected back in the SASSA offices, applying for social grants for adult PWDs yet again as soon as the temporary disability grant lapses. SASSA was compelled to reinstate 16 024 of the 213 450 lapsed temporary disability grants that could not be reviewed by 31 March 2021 due to the pressures brought on by the State of National Disaster around the Covid-19 pandemic and the subsequent lockdown (Parliamentary Monitoring Group 2021:1).

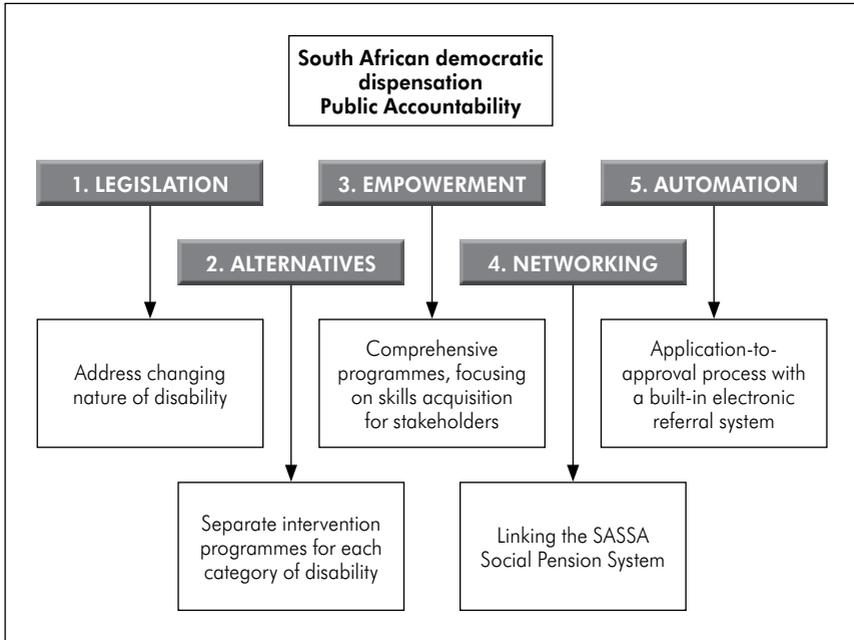
The socio-economic circumstances of applicants for social grants for adult PWDs are the third focus. The complication faced by beneficiaries of social grants for adult PWDs is that there are no easy means of meeting the social security objective of alleviating poverty for those without moderate or severe impairment due to disability and between 19 and 59 years of age. Unemployment (and, by extension, a lack of means to provide for oneself and one's dependants) and being on chronic medication (rather than seeking a temporary measure to alleviate their lack of income due to impairment) are the main reasons adult PWDs keep on applying for social grants. South Africa, with the continent's highest rate of Covid-19 infections, was in recession before it recorded its first Coronavirus infection in March 2020 and has long suffered from extremely high levels of unemployment, 34.9% in the third quarter to 35.3% in the fourth quarter of 2021 (Statistics South Africa 2022:1).

RECOMMENDATIONS

The first recommendation for achieving accountable administrative gatekeeping and its effects on social grants for South African adult PWDs would be to require the National Department of Social Development to revisit the validity of existing Acts and policies on social grants for adult PWDs (Figure 1, unit 1). The current legislative directives (Acts and policies on disability and social grants for adult PWDs) do not address the changing nature of the disability, such as temporary impairments due to managing chronic illnesses. Future legislative directives should consider and reflect the fluidity of disability in its current state and the emerging and diverse nature of adult PWDs. Tailor-made interventions should be sought for these categories of adult PWDs and should be separate from the traditional interventions for permanent disability.

Concerning chronic illnesses, a second recommendation is to devise permanent intervention programmes to deal with the sector of society living with

Figure 1: Recommendations for achieving accountable administrative gatekeeping



Source: (Authors' own construction)

manageable chronic illnesses, separate from the category of disability considered “traditional” or “permanent” (Figure 1, unit 2). Adult PWDs receiving social grants for their disability are defined by individual and unique circumstances. It is commendable that in the interim, the government considered it prudent to include chronic illnesses in their definition of disability and award social grants for adult PWDs accordingly, possibly while permanent intervention strategies are being devised for this new development of having to cater for chronic illness as a form of disability. The Departments of Health and Social Development, respectively, should, in consultation with each other, develop complementary rather than contradictory policies when it comes to addressing the issue of HIV/AIDS and other chronic illnesses concerning social grants for adult PWDs.

Similarly, these departments need to introduce empowerment programmes to augment the payment of social assistance, which is presented as a third recommendation (Figure 1, unit 3). Adult PWDs need to be ramped off from just receiving social grants, which cater to their basic physical needs, to programmes that will cater to their social, self-esteem, and self-actualisation

needs. Comprehensive empowerment programmes, skills acquisition, and consultation with other critical stakeholders (Departments of Labour, Basic Education, and Higher Education) would ensure that the proposed programmes address intervention needs across all stages of a PWD's life. Ultimately, the population's empowerment to participate in gainful, productive activity drives sustainable and equitable economic growth and development (Musalem and Ortiz 2011:12).

It is therefore further recommended that a more holistic approach be applied among government departments. SASSA must actively invest in networking with other government departments or organs of state to enhance administrative gatekeeping for social grants for adult PWDs and link essential service delivery and resources for social grant beneficiaries (Figure 1, unit 4). An automated, individualised business process system could easily be linked to computerised systems of other organs of state that support SASSA in the administration of social grants for adult PWDs. Linking the SASSA Social Pension System to the Department of Home Affairs register would ensure that the authenticity of identity documents is verified before applicants are taken further into the system. This will eliminate the need for certified copies and mitigate the possibility of SASSA officials' oversight when checking documents. Linkage to the Department of Health will ensure that medical records are readily available and accessed electronically. The contracted medical doctor can input the necessary medical information, and electronic medical assessment forms can be submitted to SASSA offices online while the applicants wait. Following this route, the applicants need not go back and forth between the offices for documents, referral letters, or medical assessments.

So far, the four recommendations are heavily reliant on developing an automated, individualised application-to-approval process with a built-in electronic referral system to other intervention programmes (Figure 1, unit 5). Such a system should further acknowledge and cater to the differences among first-time applicants, repeat applicants, and applicants with chronic illnesses. To differentiate among the three categories, SASSA should (i) extend gatekeeping and screening to include referral to other stakeholders for intervention, and (ii) put measures in place to empower SASSA officials to turn away applicants at screening once it has been established that they do not meet the qualifying criteria, and (iii) program the Social Pensions System to support this process so that a system-generated outcome letter can be issued accordingly, referring an applicant for alternative intervention from other organs of state. This process depends on SASSA's developing an electronic system and resourcing it accordingly, and then signing a memorandum of understanding with the critical stakeholders in the process, like the Departments of Home Affairs, Social Development, and Health.

CONCLUSION

Gatekeeping is an essential part of the process of administering social grants for adult PWDs outlined in the 2011 SGDMM. However, this activity should involve more than checking if an applicant has the correct documents (administrative) and is within the prescribed time frame to reapply for a social grant for adult PWDs. If gatekeeping is appropriately performed, repeat applicants without changes in their medical or mental condition will not be allowed through the system undetected. SASSA officials should therefore be capacitated and authorised to keep those not meeting the qualifying criteria from proceeding further with the process, only to be rejected.

Social grants for adult PWDs are the only non-contributory form of social assistance in South Africa that caters to those aged 19–59 years without the means to support themselves and/or their dependents. Therefore, the high rate of rejections indicates that applicants (disabled and non-disabled) approach SASSA to apply for social grants for adult PWDs due to factors (unemployment and other socio-economic factors) other than moderate or severe impairment due to disability or illness. The awarding of temporary social grants for adult PWDs, the failure to turn away obviously non-qualifying applicants at screening, and the socio-economic circumstances of the applicants explain why, despite the gatekeeping element of the 2011 SGDMM, adult PWDs presenting with the same medical or mental condition keep coming back. They are allowed through the system, only to be rejected again, citing the same reasons as before. Accountable administrative gatekeeping of social grants for adult PWDs could be improved by diverting to other programmes those who apply for these grants due to socio-economic factors that have nothing to do with the qualifying criteria of moderate to severe impairment.

NOTE

- * This article is partly based on a PhD thesis by Dr M.M. du Toit, titled: *“The administration of social grants for adult persons with disabilities in the Northern Cape”*, supervised by L Lues, at the University of the Free State.

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Promoting Gender-based Violence Awareness in Higher Education Institutions

The Case of Student Representative Councils in Selected South African Universities

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ABSTRACT

Gender-based violence (GBV) is one of the most rampant problems contemporary society has to contend with. In particular, it has become pervasive on higher education institution (HEI) campuses in South Africa. To combat endemic cases of GBV, the South African government published the GBV Policy Framework on 31 July 2020, which compels HEIs to create awareness of GBV policies and prevent such incidents on campuses. Student representative councils (SRCs) play a significant role in this regard by designing and launching student GBV awareness initiatives on campuses. The purpose of this article is to report on the findings of a survey conducted among SRCs at selected South African universities regarding the prevalence of GBV on campuses and the challenges they experience in their awareness creation efforts. Following an intrinsic qualitative case study design, nine purposively sampled universities were selected based on their relatively large residential student populations and their geographical locations. The units of analysis imbedded within these cases were SRC members, who were purposively sampled based on their responsibility portfolios (i.e. gender-related matters). Three SRC members per university were sampled ($n=27$). Recommendations are proposed to further support university SRCs in the implementation of the GBV Policy Framework.

INTRODUCTION

GBV, which is pervasive and deeply ingrained in South African society, has a devastating impact on women and girls (Bloom 2008; Enaifoghe and Idowu 2021). Systemic gender imbalances generally disempower females, stifle their voices, and prevent their stories from being told (Enaifoghe 2019). Moreover, GBV has profound physical and psychological consequences for victims (OCHA 2012; Sida 2015; DPME 2017; WHO 2017; SADC 2018). It continues to be one of the most serious human rights violations and, as such, has been receiving increasing scholarly attention. GBV in the South African education system has been the subject of a number of studies. Jewkes, Levin, Mbananga, and Bradshaw, for example, conducted a rape study among female students in 2002 and discovered that more than a quarter of them were at risk of being raped at or near their HEIs (Jewkes *et al.* 2002). Shefer, Clowes, and Vergnani conducted a transactional sex study at a South African university in 2012 and found that it was common for female students to engage in sexual relationships with older males (so-called “sugar daddies”) to help pay their study fees, or simply to boost their social status. Gordon and Collins (2013) conducted in-depth interviews with female students at another South African university to determine the prevalence of GBV. They came to similar conclusions, namely that gender inequalities among university students gave rise to a “damaging culture of GBV, to such an extent that it is almost being normalized”. In this regard, Gordon and Collins (2013) report that female students perceive GBV almost as “an unavoidable fact of life” (p. 102). There is, however, no evidence of a study conducted specifically among SRCs to determine how they perceive the prevalence of GBV on South African campuses or to assess the challenges they experience in creating GBV awareness among students.

The purpose of this article is to reflect on the findings of a survey conducted among SRCs in selected South African universities to determine how they perceived the prevalence of GBV cases on campuses, to ascertain their official role in promoting GBV awareness, to detect the nature and scope of SRC GBV awareness efforts among students, and to pinpoint the challenges they experienced in this regard.

GENDER-BASED VIOLENCE AT SOUTH AFRICAN UNIVERSITIES: CONTEXTUAL PERSPECTIVES

The Institute for Security Studies (2019) laments the fact that no reliable data is available on the nature and scope of GBV in South African society in general. There is also a general lack of coordination between governmental and non-governmental organisations to obtain a holistic perspective on the nature and

prevalence of GBV in communities. A study conducted in 2016 by the South African Medical Research Council, in conjunction with the United Nations International Children's Emergency Fund, found that government departments collected various administrative data related to GBV in a rather "unsystematic and unsynchronized way," implying that data cannot be effectively utilised for policy and strategy design purposes. In addition, the Department of Monitoring and Evaluation's Diagnostic Review of the state's response to GBV (DPME 2017) established that the state relied heavily on the South African Police Service (SAPS) to supply GBV-related data. However, this data is not disaggregated and does not provide a true or realistic perspective regarding the scope and degree of GBV in South Africa. This, in turn, makes it difficult to measure successes and compare the effectiveness of various government and agency policies and strategies pertaining to GBV. Fineran *et al.* (2003) contend that most research in South Africa focuses on severe cases of GBV, such as rape and assault, and tend to neglect all other related risk factors of sexual violence. Gross *et al.* (2006), confirm this contention and argue that GBV-related research is too focused on the implications thereof for the HIV/AIDS statistics.

According to the National Strategic Plan on Gender-Based Violence and Femicide (2020:33), GBV has not received the attention it deserves due to the absence of leadership and political commitment. This inattention ultimately influences the allocation and distribution of resources, the delegation of responsibilities and accountability arrangements. It is, thus, apparent that the South African government does not have structures in place to adequately and decisively deal with GBV. This state of affairs also impacts GBV awareness programmes in South African universities.

According to Fisher *et al.* (2000:65), 81% of on-campus sexual assaults and 84% of off-campus sexual assaults go unreported, implying that the problem is far more pervasive than the statistics suggest. University students who have been victims of GBV have distinct reasons for not reporting their incidents, such as fear of being identified as a rape victim, peer pressure, a lack of faith in the criminal justice system, and fear for their lives (Fisher *et al.* 2000; Gonzales *et al.* 2005). Radloff *et al.* (2014) also cite recent research from the University of KwaZulu-Natal, Rhodes University, Stellenbosch University, and the University of the Western Cape, all of which found that the prevalence of GBV was substantially higher than the official statistics show. In this regard, Jewkes and Abrahams (2002) argue that there is a general dearth of research on GBV in South Africa and that figures are often inaccurate because colleges tend to deal with such issues unofficially. Surveys are further hampered by the multicultural and heterogeneous composition of the student population. Students from diverse cultures and social backgrounds perceive and experience GBV and sexual harassment dissimilarly (Merry 2009:12). Gordon and Collins (2013:102) investigated how

female students interpreted and experienced GBV in a recent study on GBV and gender imbalances at South African universities. According to the findings, female students are virtually habituated to dread. It is evident that cases of GBV in South African universities persist and that gender imbalances and inappropriate cultures put female students at a high risk of being victims.

Sexual violence on university campuses, according to Hembree *et al.* (2009), has several negative consequences, including long-term impacts on students' well-being. The following categories of consequences of GBV are evident:

- Academic consequences such as poor academic performance
- Alcohol and drug abuse
- Psychological consequences such as depression, desolation, and unhappiness
- General health conditions including physical pain, hypertension, reproductive problems, and HIV
- Post-traumatic stress disorder
- Re-victimisation

THE ROLE OF STUDENT REPRESENTATIVE COUNCILS REGARDING GBV

Awareness of GBV within universities is essential to establishing a culture of human rights and an educational environment that is safe and free from any form of violence. Awareness is also essential to ensuring that universities establish the necessary policies, systems, structures, and mechanisms in this regard. One such mechanism is the establishment of SRCs. These bodies can and should play a significant role in making the general student population aware of the relevant aspects of GBV and to act as liaison between students and the university management.

The role and responsibility of South African SRCs have increased over the past years. According to Mandew (2003:7), their establishment in South Africa dates back to the early 1960s, when an SRC was first established at the University of Cape Town. Since then, SRCs have played an increasingly essential role in university decision-making processes, and often strongly influence priorities and resource allocation in universities. Ntsala and Mahlatjje (2016:106) contend that the role of SRCs in HEIs revolves around the administration and governance of student affairs. That is, they lead and represent students on various platforms both in- and outside university campuses. Ntsala and Mahlatjje (2016:106) are of the view that SRCs have a responsibility to create general awareness among students by disseminating information that directly affects them. Mozghan *et al.* (2011) insist that SRCs play a significant role in improving the general knowledge of students regarding university affairs, as well as in appreciating the differences of students and the opinions of people of diverse cultures on campus.

In terms of section 35 of the Higher Education Act 101 of 1997, SRCs have the following functions:

- “Interacting with management, the general public, the media, other HEIs, other SRCs, and national and international student organisations;
- being an umbrella organisation for student clubs, societies, student committees, and councils;
- coordinating supervision related to the use of student facilities;
- conducting all authorized student body meetings and managing the student body related to students’ petitions within the prescribed rules;
- the appointing of office bearers and committees;
- organizing student activities;
- keeping book of all monies paid by the university council and any other money needed for the representation of students, or to collect or pay such funds by students;
- keeping order at student functions and ensuring the good conduct of students;
- coordinating the involvement of all students in community projects;
- being responsible for student publications; and
- having the final say in all matters within their jurisdiction”.

It is evident that the role of SRCs in HEIs revolves mainly around the administration and governance of student affairs. Mozghan *et al.* (2011) and Cantalupo (2015) assert that SRCs also have a responsibility to create general student awareness by disseminating information that directly affects students. This generally enables students to have access to information on university policies, academic rules, and any other information that might affect them.

The role of SRCs in raising awareness regarding GBV, as well as the prevalence of factors influencing SRCs in this role, are in turn influenced by the nature and dimensions of GBV programmes at a particular university. SRCs can operate only within the parameters of university policies and programmes. It is, thus, imperative to analyse the nature and dimensions of these policies and programmes to determine the extent to which they enhance or hamper the GBV awareness-creation role of SRCs.

RESEARCH METHODOLOGY

By following an intrinsic qualitative case study design, purposively sampled universities were selected based on their relatively large residential student population and their physical location; that is, being representative of the nine provinces in the country. The nine universities served as cases representing the total population of 26 public universities in South Africa. Three universities situated in

Gauteng Province were selected because it is the most densely populated province in the country. The sampled universities were:

- Central University of Technology (Free State)
- North-West University (North West)
- University of KwaZulu-Natal (KwaZulu-Natal)
- University of Limpopo (Limpopo)
- University of Pretoria (Gauteng)
- University of South Africa (Gauteng)
- University of Stellenbosch (Western Cape)
- University of Venda (Limpopo)
- University of the Witwatersrand (Gauteng)

The units of analysis imbedded within these cases were SRC members, who were purposively sampled based on their portfolios of responsibility; that is, gender-related matters. Three SRC members per university were sampled ($n=27$). The fundamental rationale for selecting these SRC members was that they represented the opinions and experiences of the total student population. They also acted as partners with university management to collectively and inclusively design student-related programmes, such as GBV awareness initiatives. As the governing body of students dealing directly with all student matters, the SRCs served as valuable sources to obtain rich data regarding the prevalence of GBV on campuses.

An interview schedule was designed and piloted with four SRC members to ensure comprehension of the questions posed. Due to Covid-19 restrictions being in place at the time, semi-structured, face-to-face interviews were not possible. The interview schedule was therefore converted and distributed to the participants via e-mail. This was followed-up with telephonic conversations. Participation was voluntary. The participants were ensured of confidentiality. Informed consent was obtained by signing an electronic consent form before the interviews were conducted. Ethical clearance (Ref. NWU-01497-19-A7) was obtained to conduct the survey.

RESULTS

Of the 27 sampled SRC members 24 participated in the survey, representing an 88.8% participation rate. In this final sample, 53.8% of the participants were male and 46.2% female. To protect the identity of participants, the SRC members are simply identified as 'SRC1', 'SRC2', 'SRC3,' and so forth. Similar responses are grouped to improve the logical progression of the analysis. The participants' responses were categorised based on key themes, as highlighted in the sections below.

The nature and scope of SRC GBV awareness creation

The first three questions dealt with contextual issues to probe SRC members' opinions of their role in creating GBV awareness on campus. The overwhelming majority of the participants (86.7%) confirmed that the SRC had a significant role to play in designing GBV awareness programmes and disseminating related information to students. The remaining 13.3% of the participants were unsure about the particular role they should play. They alluded to the fact that they believed that the university's management was responsible for meaningful GBV awareness campaigns and that they should only participate by providing certain student perspectives and then receive the necessary guidance and resources to play a designated role in the implementation thereof. They based this belief on the fact that GBV was a highly complex and sensitive matter. The latter should be understood within broader social injustice and human rights contexts. Students, inclusive of SRC members, are usually not familiar with international conventions, treaties and protocols, national legislation, and programmes governing GBV matters. They also do not necessarily have the required competence to imbed GBV-related international best practices, standards, and principles in university policies and programmes. As such, the participants reasoned that university management should act as the driver of awareness campaigns. These participants further alluded to the fact that the establishment of engagement platforms and educational initiatives to support GBV awareness on campus were rather sophisticated and resource intensive. As such, it usually fell outside the capability and capacity of the SRC to establish such programmes.

SRC1 stated that "as the SRC, we do campaigns on campus to fight GBV. This is to make everyone aware of the impact of GBV on others. We also provide them with details of organisations that can assist them if one of them finds themselves in such a situation". SRC17 confirmed that "the SRC represents the students and, as such, we are able to create GBV awareness". SRC3 also maintained that the SRC had a definite role to play in raising awareness on campuses and proposed that universities conduct regular "GBV *imbizos* (public meetings) so that they (the students) can be able to know the difference between love and abuse". SRC11, SRC16 and SRC 22 encapsulated the role of the SRC in creating GBV awareness by stating that it was of the utmost importance that the SRC establishes a platform whereby students can get urgent help. SRC22 mentioned that the SRC was the "custodian of students' interests and well-being and had a pertinent role to play in combatting GBV". SRC21 and SRC22 held that "the SRC plays a key role in raising awareness and educating the student population through various initiatives and programs that aim to inform. All SRCs should be at the forefront of raising awareness of GBV and should lead the conversation, as students are the biggest victims of this societal challenge". SRC10 accentuated the fact that GBV "does not know gender" (meaning that both male and female students are affected by it) and that

“it is important for SRC members to encourage students to be aware of GBV and how to deal with related challenges”. This statement confirms Sida’s (2015:1) comment that “HEIs should promote gender equality, respect and a non-violent culture alongside gender aware pedagogy among students and their peers”.

SRC12 confirmed that “as representatives of students, SRCs must take it upon themselves to be at the forefront of GBV awareness”. SRC16 confirmed this view and stated that “the SRC should play a major role in GBV awareness; we have the power to influence. We must lead by example and practice what we preach. As we are leaders, students look up to us”. In practical terms, SRC12 proposed that the SRC “must have programmes at our campus as part of our programme of action in all regions. The awareness campaign must be available on every platform. Therefore, the SRC must create videos and flyers with awareness messages”. Also, SRC14 recommended practical steps to be taken, such as the establishment of “safer campuses and student support structures”. SRC15 similarly proposed “wellness campaigns and fundraising events to promote safety for students”.

Some participants (e.g. SRC6, SRC10, SRC11, SRC19, and SRC20) cautioned that, although the SRC should play an awareness role, the impact of its actions in this regard might not always yield the desired results. SRC6, for example, stated, “I don’t think the SRC is doing enough to bring awareness regarding GBV. Creating GBV awareness should be a constant action within university campuses”. Moreover, SRC10 stated that awareness activities “have been passive” and SRC11 argued that “there is not much campaigning about GBV”. Similarly, SRC19 commented that only the “‘No Excuse’ movement by the SRC’s current affairs department was a promising initiative thus far in the fight against GBV”. SRC19 stated that the SRC hosted amphitheater sessions with a very high attendance rate. These sessions “address the role of men as both the problem and the solution with regard to the matter and call on them to step up”. SRC20 proposed that “the SRC has to execute campaigns, run door-to-door programmes, conduct surveys among students, and have posters pasted all over campus gates to ensure that the message will reach the campus constituency”. SRC24 also mentioned that they hosted “frank talks where students come and engage with each other on how we can stop GBV. From these talks, it is evident that depression can lead you into participating in GBV and we had counselling dealing with students who were depressed”.

As the above SRC members’ comments demonstrate, the full cohort of participants concurred that the SRC should indeed promote GBV awareness in order to curb the high number of incidences thereof.

Policies and structures in place to support GBV

The participants were asked what policies, mechanisms, and support structures were in place on their campuses to assist victims of GBV. According to SRC1, the

SRC office is one of the most important support structures on campus to assist students. The university also has a wellness centre with psychologists on duty to support victims. In contrast, SRC2 and SRC3 indicated that their universities did not have any particular support structures in place. There were, however, psychologists and social workers on campus. SRC3 lamented the fact that victims of violence, inclusive of rape victims, had to open cases in their private capacity. Such issues were dealt with in secret on campus, leading to the possibility that “perpetrators may roam freely on campus while they are being dealt with behind closed doors. It may also lead to a situation in which the victims can be harmed or victimised again” (SRC3). In addition, SRC24 stated that “we have several professionals who deal with such issues when a case is reported, but it is not sufficient. There are many students who are silent victims”.

SRC4, SRC19, and SRC21 confirmed that the university had a GBV policy, but could not elaborate on the application or successes thereof. SRC5 and SRC17 stated that the university had a call centre for students in need of urgent counselling or mental and emotional support. The university is also in partnership with the SAPS to attend to cases.

SRC11 said that “there is a student disciplinary code that can be used to punish perpetrators of GBV. There is also counselling available to assist if students are injured. Females are given pepper spray to protect themselves”. SRC12 mentioned that the university had established a “centre for student counselling that provides psychological support, deals with cases of discrimination, and assists with personal consultations. Campus security works with our local SAPS for legal complaints. There is, furthermore, a central disciplinary committee for disciplinary hearings, a centre for student leadership, and committees for residence placements, removals and other assistance”.

SRC13 maintained that the university had a policy of “zero tolerance and accountability, as well as counselling services”. SRC15 indicated that the university had launched the “No Excuse” initiative, established the “Thuso 1777” abuse hotline, and that GBV had been incorporated into the SRC’s current affairs wellness week. Similarly, SRC16 and SRC18 stated that their university had established support centres for students who suffer from depression, anxiety, and other mental conditions. The participant also mentioned that their university had launched the “Try Africa” initiative, which is aimed at supporting students who are abused either physically or emotionally. Furthermore, the university had created a “health centre, which is used to channel all the cases to the upper and right structures, SAPS or psychologists”. SRC17, in turn, argued that their university had established a campus HIV support unit. Although the name suggests that the unit deals only with HIV-related matters, it also assists students with GBV awareness, counselling, and sanitary products. There are also support groups within the unit to support students who have been victimised, whether as a result of GBV, sexually, or

in cases of disabilities. Similarly, SRC20 stated that the university had established a legal and transformation office to assist in cases of violations of human rights. SRC19 mentioned something that the other participants did not allude to, namely that the university had partnered with various non-profit organisations to assist with awareness creation initiatives and to educate students about GBV.

SRC22 stated that “there are departments such as a student health department that offer psychological health services”. SRC23 noted that “we have a centre for sexuality, AIDS and gender (CSAandG), as well as the ‘#SpeakoutUP’ initiative”. SRC25 said that “we have the gender equity office, which investigates cases reported by victims of GBV. The counselling development unit (CCDU) is also available to assist victims of GBV with therapy and counselling”.

Although such initiatives can be commended, it is worrisome that a significant number of SRC members (42.5%) were not sure whether these policies and support mechanisms were adequate or effective. A further concern is that some SRC members from the same university were simply not aware of these support initiatives. One member from a particular university might, for example, be fully aware of the nature of such policies and support mechanisms, while the other two from the same university are not familiar with them at all. If the SRC is generally regarded as a legitimate source of information for students, it implies that it should promote awareness and the use of these support mechanisms. This means that if a student goes to a SRC member for assistance regarding any GBV-related matter, they should be able to direct the student to the suitable place or person. A further matter that raises concern is that the participants alluded to the fact that only female students were seemingly offered university GBV support. Five SRC members from different universities raised questions as to why males and members of the lesbian, gay, bisexual, transgender, intersex, queer/questioning, and asexual community were not equally supported.

Reporting arrangements for GBV incidents

The focus of this section of the survey was on the reporting arrangements for GBV incidents. The participants were also asked why they thought victims of GBV often failed to report incidents.

According to SRC1, “many students are scared of the perpetrators and some are just in love. It’s a bit difficult for them to believe and accept that their lovers are their abusers. They still believe within them that their partners are going to change one day”. Similarly, SRC2 argued that “we are never taken seriously; you report a case and are asked what you did to provoke the counterpart (sic) instead of getting the help you need”. According to SRC3, there is “a lack of trust in the system that actual justice will take place. Victims are further traumatised by the nature of the reporting system. The rape culture on campus means that

victims are fearful of social backlash, such as not being believed, fear of hurting the perpetrators' reputation, and not believing themselves". SRC4 stated that "it is solemnly (sic) because cases of GBV are often viewed as defamatory and victims never seem to get justice". SRC5 believed "fear of victimisation and the lack of enforcement mechanisms against perpetrators within institutions of higher learning" were the main reasons why victims did not report cases. SRC6 added that "it is because of how society might react and because of their safety as well". SRC7 also argues that "it's a futile exercise". SRC8 indicated the following reasons why victims were reluctant to report cases:

- "Women are the most affected gender in terms of being told by the perpetrator that if they report the incident, they will harm them;
- Issues regarding what people will say, since there is a lot of judgement by people, especially at a place like a university, where the victims are judged harshly;
- Maybe the perpetrator financially supports the victim, so they are scared to report the matter as they will lose this support; and
- The approach sometimes followed by support workers gives the impression that they are not taking GBV matters seriously in such a manner that the victims feel that they will really be helped".

SRC9 added that students "are afraid to speak up due to continued harm and retaliation; love (they think of it as protecting a partner they love who wronged them); ignorant cultures (misconception of respect and loyalty); and dependency (the partner being their source of income and livelihood)". Similarly, SRC13 stated that "being afraid to lose their relationship with the perpetrator and lack of support from family and friends" were the main reasons for under- or no reporting. SRC10 was of the view that "they are either afraid of change or they are threatened by their partners". According to SRC11, "it is because they have been ashamed of who they truly are and judgement from people" while SRC12 said it was "because they are not being believed". SRC12 concurs with the above statements, and says that "it is because of embarrassment, fear, criticism, and fear of being judged".

SRC14 argued that the perpetrators usually have "the upper hand on the victims as they have power over them or the victims depend on the perpetrators. At campus, students are afraid of stigma or gossip against them, so they don't want people to know anything bad about them. Males are afraid of being laughed at or embarrassed if abused by females, especially if it's their girlfriend". SRC15 states they are "silenced due to power relations in society". According to SRC16, "it is because of the fear of the unknown" whereas SRC17 stated that it was "because they are scared of being killed by the abusers". SRC18 and SRC19 are of the opinion that victims "do not have confidence in the authorities to whom such crimes ought to be reported, such as the SAPS". SRC20 stated that "we know these things happen every day behind closed doors but it doesn't get reported". SRC21 stated

that “I think it’s because of pride. Most people are in denial that GBV exists and can create problems in the future if not properly handled”. SRC22 stated that victims do not report cases “because of the feeling of helplessness and fear” while SRC23 stated that “they are scared of being judged and belittled”.

In line with the above, it is evident that university students typically do not report GBV cases because they have lost trust in the justice system in general (e.g. SAPS and university management) and fear being revictimised by the perpetrators.

A further question posed to the participants was why they thought the victims of GBV did not report incidents. They isolated the following reasons in frequency descending order:

- Fear of their abusers (i.e. they might be re-victimised by the perpetrators; 65.5%);
- Judgement by family, friends, or their communities (58.2%);
- Fear that no one will believe them (42.5%);
- They are traumatised by the university and SAPS reporting system (38.4%);
- Universities fail to hold the perpetrators of GBV accountable for their actions (35.4%); and
- Not being educated about GBV or the seriousness around the issue (28.4%).

The influence of GBV on the academic life of victims

In order to scrutinise the potential influence of GBV on the academic life of victims, the participants were requested to name the ways in which the academic success of students might be affected. A closed-ended Likert-scale response (i.e. ‘Not at all, Somewhat, Moderately, Damaging and Highly detrimental’) was requested, as well as an open-ended response in which the SRC members could substantiate their answer.

The following responses were obtained:

- Highly detrimental (65.4%)
- Damaging (23.1%)
- Moderate and somewhat (11.5%)

These responses highlight that the effects of GBV on the academic life of students were of sincere concern and should not be taken lightly by university managements. From the responses it is evident that the influence of GBV on students has serious consequences for their academic success. One of the immediate concerns is physical injury, which might require medical treatment and hospitalisation, meaning that students will be absent from classes, and unable to submit assignments or participate in class assessments (SRC10, SRC16, SRC19). GBV also limits the ability of students to contribute to the campus community. SRC8 summarised this by stating that “apart from potential physical harm, the emotional

and psychological trauma that victims typically experience seriously hamper their ability to concentrate on their studies”.

University support and SRC empowerment

This part of the survey comprised an investigation of the nature and scope of the university support provided to empower SRCs in their role of creating awareness of GBV on campuses. Support was broadly defined as any assistance (e.g. financial, infrastructure, training, management support) provided to the SRC.

The majority of the participants (78.5%) confirmed that the SRC should play a leadership role by being at the forefront of addressing GBV awareness on campus but indicated that some of its efforts were stifled by limited support from universities. In a Likert-type follow-up question, the participants were asked to indicate the level of support received. Their responses were as follows:

- Not at all (23.1%)
- Rarely (19.2%)
- Occasionally (i.e. per initiative) (11.5%)
- Fairly well (30.8%)
- Fully (15.4%)

It is evident from these responses that the SRCs were fairly well supported by their respective universities to deal with GBV-related matters. However, the fact that 23.1% indicated that they were not supported at all is concerning. It should be noted that four participants indicated that the SRC was not doing enough to create GBV awareness, in spite of the support it received. They also contended that GBV awareness initiatives did not always yield the expected outcomes. They confirmed, however, that they were not aware of any efforts to measure or assess the effectiveness and efficiency of such initiatives. They felt that GBV awareness programmes should run continuously throughout the academic year and be integrated into other student programmes to yield the desired results.

GBV awareness methods

This part of the survey was intended to explore the methods utilised by the SRC to stimulate GBV awareness on campuses. The participants were asked to reflect on their perceptions regarding the effectiveness of these methods. The following methods were identified:

- Wellness centre initiatives
- Partnering with wellness centres
- GBV campaigns and events
- Vigils, silent, and peaceful protests

- Student dialogues and GBV seminars
- Pamphlets and posters
- Self-defense classes and the use of pepper spray
- Silent campus protests
- Media publications and online information on the SRC's webpage
- Hostel actions and dissemination of information via hostel leadership
- Hotlines
- Suggestion boxes
- Anonymous reporting systems
- Partnerships with support organisations
- Women and queer empowerment SRC managerial portfolio
- Social media platforms such as Twitter

However, the participants confirmed that the SRCs could not measure these initiatives, since GBV cases were not reported to them. It was, thus, impossible to determine any decrease or increase in cases after the awareness programmes were initiated. SRC6, SRC7, and SRC17 stated that only 30% of students attended these programmes. In this regard, SRC4 asserted that “they are usually only effective for a short time; many things are happening and then later there is violence again”. SRC6 also noted that the “SRC creates awareness only when there is a national issue”. In contrast, SRC22 argued that the methods they used were “very effective”. To substantiate their statement, they mentioned that “last year we had a programme run by women at the student centre, called the ‘Enough is Enough’ campaign. It went viral and other universities followed the trend”.

A number of observations can be made on the basis of these responses. The first is that it is noteworthy that the SRC is indeed trying to create GBV awareness on university campuses. The second observation is that the methods utilised by SRCs can be classified as short-term, high-impact actions (e.g. pamphlets, vigils, protests, posters) and longer-term actions aimed mainly at establishing and maintaining support services, such as call centres and specialised units. The creation of portfolios within the SRC to deal with GBV-related matters is also commendable. However, it seems that most SRCs create GBV awareness only when there is a crisis or current issue at hand, meaning that universities tend to prioritise GBV only when there is an issue. There seems to be no continuous strategy in place to curb GBV. The third observation is that the perceived effectiveness of these methods differs vastly. Perceptions of the effectiveness thereof are, however, not confirmed by statistical evidence. It is evident that SRCs (and universities) do not have performance measurement indicators and instruments in place to monitor the outcomes of these initiatives over time (e.g. decrease in the number of reported cases; number of calls received by call centres; counselling sessions held with students before and after campaigns).

Students' knowledge of university GBV support services

A subsequent challenge is that students are not fully familiar with the types of GBV support services available to them. Based on this situation, this segment of the survey intended to ascertain the level of student/SRC awareness regarding university GBV support services. This question served as a cross-control for the responses to questions 2, 5, and 6 above.

It became evident that there were immense disparities between campuses regarding the level of students' knowledge regarding support services. The responses ranged from a complete negative (i.e. "no knowledge whatsoever") to a far more positive situation (i.e. "fully aware of support services") at other universities. According to SRC1, the students had no knowledge of the nature and availability of GBV support services. The participant maintained that "support information is only available to them if they dig hard enough, but it is not really accessible". This response was confirmed by SRC2, SRC11, SRC12, SRC19, and SRC22. SRC22 further asserted that "I think that many students are not aware of the appropriate avenues to follow in cases of GBV, but I do think that it is largely attributable to ignorance". Many victims of GBV never plan on finding themselves in a situation where they are sexually assaulted, and rarely explore the avenues to report and resolve such incidents. "For the past two years, I (the SRC secretary) have had a poster with emergency numbers on my office door available to students who are in dire need of help. Some of my colleagues have done the same". SRC3 indicated that "students may be aware of the support mechanisms but rarely make use of them". SRC3 contended that "as a university, we have offices such as the CCDU, and the campus health and gender equity offices. These support services, however, are inadequate because, for example, there are no rape kits at campus health, CCDU is usually fully booked and under-capacitated, and the gender equity office only provides resources for the victims, while the perpetrators do not face the full might of the law". The participants reasoned that information was fairly well disseminated in hostels and it seemed that hostel residents and on-campus students were well informed about the nature and availability of GBV support services.

SRC9, SRC10, SRC13, SRC14, and SRC15 responded that the students had full knowledge of the support services available. They maintained that the on-campus clinic and various GBV programmes were specifically designed to keep students informed. SRC16 indicated that "they are informed during orientation at the beginning of the year". This response was confirmed by SRC18, SRC20, and SRC21. According to SRC24, students are informed "because we normally do orientations each year and invite these [support] structures to introduce themselves". SRC23 was also of the opinion that the students had full knowledge due to the activities of "campus health, protection services, and counselling that are always available".

In line with the above, it is evident from the responses that some universities, inclusive of their SRCs, should do more to ensure that students are continuously made aware of the nature of the support services available to them, and not only when they join the university as first-year students.

Challenges influencing the SRC to create GBV awareness

According to SRC1, “we are on social media and we come across posts about victims of different kinds of abuse and some are people close to us. So, sometimes other students come to us with problems and, as representatives, we support them and ensure that these programmes are aimed at improving the lives of students”. A rather shocking revelation was made by SRC2, who stated that “some SRC members are guilty of GBV and they support each other instead of putting them in order”. SRC3 identified the low level of GBV awareness among both SRC members and students as their biggest obstacle to fulfilling their mandate.

SRC4 identified “the problem of communication between the SRC and the students” as the main challenge, and SRC5 considered “the way in which the victims are damaged mentally and even physically” to be key challenges. Some students experience stress, lose weight, and suffer from depression, all of which have a negative impact on their studies. Some victims even commit suicide. SRC5 thus asserted that the SRC should “implement more support structures and programmes”.

SRC7 stated that “there are many branches in the institution as a whole; it is hard to achieve accountability from the management structures that implement programmes. It is frustrating that our suggestions go nowhere. We have to suggest the change, make the change, and then fight for the change to be implemented. It is draining and it’s not our job”. According to SRC8, “the way in which the SRC operates must be reviewed. The role of the SRC is not only about academic matters. If the scope of the SRC could be expanded to also deal with social matters affecting students, this would bring about a lot of change in the well-being of students”.

The responses of SRC7, SRC8, SRC9, and SRC10 boil down to failure to implement the SRC’s suggestions, limited communication, budget constraints, and a general lack of support from the management of the university. SRC11 argued that the “short term in office, limited the powers of the SRC, and inadequate funding are major obstacles”. This was echoed by SRC13, who maintained that there was a “lack of funding to do sustainable seminars. Wellness week is only once a year. What happens during the other 50 weeks? The reality is that GBV is an ongoing thing; hence, it needs ongoing initiatives and frequent education among the students about the services at their disposal. Thus, the need for more events, more planning, and more funding”. According to SRC14, “the key challenge is that students fail to respond to SRC calls. They think it [GBV] is not something huge. They will tell you that their studies come first. But when I ask what they would

feel if it was them or one of their closest friends, or even a family member who was a victim of GBV, most of the students freeze”.

SRC19 stated that “they do not have a proper structure to address GBV”. On the other hand, SRC20 notes that “I have highlighted that it is both a constitutional mandate and moral obligation that compels the SRC to combat GBV. In my personal opinion, outward acts of GBV (rape and sexual assault) are inextricably linked to other (often more subtle) forms of harassment, such as catcalling, locker room banter, and so on. You will find that the latter manifests itself frequently in the student community without it necessarily being viewed as morally reprehensible. For that reason, it has become imperative for the SRC to create awareness on this matter and have students educated on acceptable (and unacceptable) standards of behaviour”.

According to SRC22, “SRCs are students as well. This means that they are not professionals who are assisting a GBV victim. So, even if you give advice to students, there is a high probability that those students will take the advice lightly. Secondly, we have to rely on external parties to assist us with such programmes. As I’ve said, we are not professionals”. SRC23 stated that “students prefer doing fun things such as partying, so having GBV talks seems boring to them and most students think GBV will never affect them. Others actually think that being associated with such programmes will make people think they are affected by GBV”. Lastly, SRC24 indicated that “politics has proven, in our case, to be a challenge. At some events, SRC members will go around and offer money to the victim to silence the victim. This dilutes the seriousness of GBV and many people lose interest because money is used to influence them”.

In line with the above, it can be deduced that the lack of funding, resources, and adequate support from university management are major challenges for the SRC to create GBV awareness. There also seems to be a general apathy among the student population regarding these matters.

Suggestions to create GBV awareness on campuses

The last section of the survey was focused on gaining insight from the participants regarding ways in which GBV awareness on campuses can be improved. SRC1 responded as follows: “I would suggest that the SRC has an open-door policy on all student affairs for everyone to come and advise the SRC on everything because when we work together, we can make our campuses home away from home”. SRC2 stated that it was necessary to “enforce punishment of those who abuse their partners; both women and men”. SRC3 noted that “having a portfolio focused on gender empowerment is amazing. It may present its challenges, but it also has the amazing benefit of making students feel supported and recognised”. SRC4 stated that “the SRCs needs to attend more of the students’ social issues and create more campaigns around mental health and the promotion of compulsory

counselling for all students". According to SRC5, "more effort needs to be put into initiatives that will transform the res culture from initiation being based solely on introducing and teaching students about safe sex to programmes that teach what consent is and provide more insight, especially to men about predatory behavior and how to deal with their trauma". SRC6 was of the view that "social media platforms should be used more effectively".

SRC8 proposed "running programmes and creating social support structures and protest". SRC9 was of the view that "they must critically take matters of GBV by always making sure there are programmes, pamphlets, dialogues, centres, and engagement, mostly with male students, since they are most often the perpetrators". SRC10 insisted that "there is a need for safe spaces where students can anonymously raise concerns and allow even their friends to report on their behalf. Frequent reminders of the service available to students such as Thuso 1777 should not be taken lightly".

SRC11 argued that "campaign after campaign should be created. Promote such campaigns on social media, since, well, we are the youth of technology. I believe that if we have penalties for GBV we will conquer it". SRC12 proposed "having a team in the SRC that carries out and organises GBV events as a yearly planned programme". SRC13, on the other hand, argued that "SRCs should be educated more about GBV measures that are in place on campus".

SRC14 recommended the "establishment of a forum inclusive of experts, SRCs, victims, and student affairs that will decisively deal with GBV cases, and a policy to guide us". SRC16, in turn, proposed "partnering with other stakeholders such as the SAPS, creating social media lectures, having awareness of psychologists, having a men conference, and never representing students who are perpetrators of GBV at student disciplinary hearings".

SRC17 recommended that "dialogues, advocating for efficient psychological support services and for men to always look after women in dangerous spots" should be considered to improve the awareness of students. SRC18 stated that "GBV initiatives should be part of the SRC year plan". SRC19, on the other hand, was of the opinion that "the university should always protect and help all students, not only when a problem has been raised but all the time so that those people who are being mistreated will be helped all the time".

SRC20 and SRC21 were of the view that "when university programmes and other students' activities occur, motivational speakers must talk about GBV. Awareness should be promoted via university social media groups, and posters should be made and put up even in toilets". SRC22 identified "campaigns and working with campus and counselling services to initiate programmes to assist in fighting GBV" as measures to improve the awareness of GBV issues on campus.

According to SRC23, "benchmarking sessions should be held. Many SRCs do not take the initiative to organise collaboration with their counterparts in other

institutions. Once SRCs sufficiently engage this matter during benchmarking sessions or meetings held by the South African Union of Students, the fight against GBV in all South African institutions of education might improve". Lastly, SRC24 stated that "I think SRCs should undergo training frequently in such matters. That will help strengthen their mental health so that they are able to deal with such matters".

DISCUSSION AND RECOMMENDATIONS

In light of the survey findings, the following aspects became evident regarding GBV awareness creation and SRC support:

- The role of the SRC in creating GBV awareness should be obligatory, not just for a particular department but for the whole SRC team during its term of office.
- GBV in HEIs in South Africa should not be addressed by the SRC only if there is a national issue. GBV awareness campaigns should be run all year long during the academic year.
- SRC members need to identify the initiators and champions of GBV programmes and continuously work with them to achieve success.
- It is essential that GBV awareness programmes have clear objectives, targets, time frames, and performance indicators to measure success over time.
- Universities in South Africa should fight GBV in a more coordinated manner regardless of the diverse ways of handling such matters on their respective campuses. In this regard, the policies and guidelines of the Department of Higher Education and Training (DHET) could serve as a uniform framework for consistency among HEIs.
- It is imperative that SRC members are fully familiar with the policies of the DHET and the university. The fact that some SRC members stated that they did not really know of any GBV policy or programme raised concerns. It is essential that they are fully aware of the nature of these policies to effectively convey relevant information to students.
- Reporting systems within university campuses should be redesigned so that the university's statistics are recorded in a national database of GBV cases. This means that universities should implement and have one reporting system for GBV incidents on campuses. This will assist law enforcement agencies and the university management to have more accurate GBV data for the design of appropriate interventions.
- A dedicated research unit in the university should be established to conduct more focused GBV research.
- The distribution of suitable resources is another area of responsibility for the university administration. The distribution of resources to the various support

structures and services is critical to the successful implementation of the GBV awareness model. This includes allocating sufficient financial resources to university structures and the SRC.

- The construction and maintenance of professional support structures and services is another important area of managerial responsibility. Healthcare centres or units are available on most university campuses to provide various sorts of support to students who have experienced GBV. Thus, SRC members must ensure that professionals support students while implementing this paradigm.
- It is critical to keep track of GBV programme outcomes. The SRC and university administration must also be able to distinguish between achievements and failures. This necessitates the creation of appropriate performance metrics, such as: the number of GBV incidents reported; the number of calls received by call centres; the number of enquiries at support services; the number of counselling sessions conducted; and the cost-benefit of programmes (i.e. the amount of time and resources consumed versus the outcomes and impact of these programmes). Monitoring and evaluation activities should also make provision for the measurement of the effectiveness of methods adopted to convey GBV awareness programme content on campus.
- All this information should be used to improve existing awareness programmes and create new ones. Such information should assist university administrators in prioritising and reallocating resources, as well as prioritising certain activities. Finally, assessment of the data should indicate to the support services employees and structures what needs to be improved.

CONCLUSION

This article presented several challenges that SRC members from selected universities experience in creating GBV awareness on campuses. It is evident that SRC members do not only experience GBV on their campuses but are also faced with challenges in addressing the prevalence of incidents. These challenges include a lack of support from management structures, financial constraints, a lack of participation from students, academic consequences, and general non-prioritisation of GBV awareness on campuses.

It is also evident that the prevalence of GBV is unacceptably high and a comprehensive approach should be followed to address it. It is equally important for all universities in South Africa to establish a uniform strategy to curb GBV. It is also evident that the promotion of GBV awareness on university campuses requires more attention and strategic objectives to address the issue. Thus, the collaborative relationship between university managements and the SRCs needs to be strengthened to fight GBV on campuses by promoting effective and efficient awareness

programmes. Universities in South Africa are in a unique position to unite society and stand firm in the fight against GBV. In this regard, SRCs are ideally placed to collectively promote GBV awareness with a united and strong voice.

NOTE

- * This article is based on Natalie von Meullen's Master's dissertation conducted at North-West University, titled '*Promoting gender-based violence awareness in higher education institutions: The case of student representative councils in selected South African universities*', under the supervision of Professor Gerrit van der Walddt.

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Critical Considerations to Achieve and Maintain Clean Audit Outcomes in South African Metropolitan Municipalities

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ABSTRACT

A significant objective of local government is to provide democratic and accountable governance for local communities. As such, municipalities are required to implement key control mechanisms to ensure that they conduct their finances in a responsible and transparent manner, striving to achieve clean audits and improve audit outcomes. To promote accountability within municipalities, Section 121(2)(b) of the Local Government Municipal Finance Management Act 56 of 2003 (MFMA) requires municipalities to prepare annual reports to submit to Council by January every year. The article focuses on increasing concerns surrounding municipalities' actions to achieve clean audits, including consequence management implementation, an audit action plan and monthly processing and reconciliation in terms of controls and monitoring through effective oversight structures. Through the Stewardship Theory advocating a moral obligation to be stewards of the public good, and the New Public Management approach promoting the use of private sector practices to increase efficiency, the study places emphasis on control mechanisms and accountability to better manage limited resources. The methodology is based on a mixed methods approach, to add empirical research to existing literature and relevant information on this area of local governance in the current local government dispensation in South Africa. The study revealed that municipalities should ensure tighter control and greater oversight with functional internal audits.

INTRODUCTION

The Minister for Cooperative Governance and Traditional Affairs launched Operation Clean Audit (2009) to ensure that all municipalities would have achieved clean audit outcomes by 2014. Given Outcome 9 of the Medium-Term Strategic Framework tabled in Parliament in 2009, all municipalities were expected to achieve clean audits by 2014. However, according to the Auditor-General (2015), only 40 municipalities (14%) achieved clean audits by 2014 (Auditor-General 2015). The audit outcomes have not improved much since 2014 as only 41 municipalities have achieved clean audit outcomes for the 2020/21 financial audits (Auditor-General 2022). The current status is dismal as far as clean audits are concerned and according to Felix (2022), 163 of the 257 municipalities are under financial distress and 64 of the 257 municipalities are considered dysfunctional due to poor financial management. Therefore, this warranted the study.

The Auditor-General (2020), reported that the clean audit outcome has been declining over a five-year period from 2014–15 to 2018–19. According to the Auditor-General (2016), 18% of the entities achieved clean audits for 2014–15. However, (Auditor-General 2020), this has now declined to 8% for the 2018–19 financial year and it is important to analyse the internal control drivers behind this decline over the years.

Based on the above, it was important that a study be conducted to investigate the key controls that should be in place to achieve and maintain clean audit outcomes in a metropolitan municipality. The study thus focused on the metropolitan municipalities as they perform all functions including both district and local municipality functions.

This article is organised as follows: In the first section, an overview of the status of audit outcomes in local government in general, and the selected municipalities in particular, is presented. Audit perspectives in local government are conceptualised and contextualised as an instrument for measuring the performance of municipalities in financial terms. Audit outcomes and gaps in municipalities are the next focal point of discussion, illustrating clean audit outcomes for the 2013–2020 financial years. This is followed by a theoretical view of the Stewardship Theory and New Public Management in the local government context. Emphasis is then placed on key controls in local government, highlighting the weaknesses and need for effective in-year monitoring with increased oversight measures. The Committee of Sponsoring Organisations of the Treadway Commission (COSO) Framework is discussed followed by the methodology that informed the empirical research. Findings and analyses are presented, followed by recommendations for due consideration. An operating model for clean audit and improved service

delivery is advocated. Aspects for future research are put forward and finally a summary.

AUDIT PERSPECTIVES IN LOCAL GOVERNMENT

Some of the most relevant auditing terms and opinions that form the basis of the relevant content for this article are discussed. In terms of the definition of audit terms by the Auditor-General (www.agsa.co.za/Auditinformation 2017:1), the opinions are defined as follows:

- **Clean audit outcome** – The financial statements do not contain material errors in other words, a financially unqualified audit opinion, and there are no material findings on performance information and compliance with legislation.
- **Financially unqualified audit opinion** – The financial statements do not contain material errors. However, these are findings raised on either reporting on predetermined objectives or non-compliance with legislation, or both these aspects.
- **Qualified audit opinion** – The financial statements contain material errors in specific amounts, or there is insufficient evidence to conclude that specific amounts included in the financial statements are not materially misstated.
- **Adverse audit opinion** – The financial statements contain material errors that are not confined to specific amounts, or the errors represent a substantial portion of the financial statements.
- **Disclaimer of audit opinion** – There is insufficient evidence in the form of documentation on which to base an audit opinion. The lack of sufficient evidence is not confined to specific amounts or represents a substantial portion of the information contained in the financial statements.

According to Jackson and Stent (2005:18/5), the audit opinion is modified where there is an unresolved matter and if the matter is material, the audit opinion is qualified and if unresolved matters are material and pervasive, an adverse or disclaimer opinion is issued. The disclaimer opinion is issued when there is a limitation of scope, which is material and pervasive. The adverse opinion is issued when the errors noted are material and pervasive.

Jackson and Stent (2005) agree with the International Auditing and Assurance Standards Board 700 and 705 (2015), which also confirms that an unqualified audit opinion is issued where there are no matters impacting fair presentation of the financial statements and a modified report issued where there are material matters impacting fair presentation.

Based on the above, it can be concluded that the scope of these terms according to the Auditor-General (2017:1) is consistent with International Standards on Auditing (ISA 700, ISA 705; Jackson and Stent 2005:18/5).

AUDIT OUTCOME AND GAPS IN METROPOLITAN MUNICIPALITIES

According to the Auditor-General (2017), out of the above eight metros, only the City of Cape Town, City of eThekweni and Ekurhuleni Metropolitan Municipality have achieved clean audits since the 2013–14 financial year. In addition, during the 2015–2016 audit cycle, only the City of Cape Town had managed to retain a clean audit outcome three times in a row since the 2013–2014 financial year as the other Cities regressed to unqualified audit reports (Auditor-General 2017).

Only three cities have achieved clean audits since the 2013–14 financial year (Auditor-General 2021) as outlined in the Table 1 below. This study focuses on the three identified metropolitan municipalities of which one metro achieved a clean audit outcome and managed to retain it three times in a row. Another metro achieved a clean audit once but regressed in the subsequent financial year, and another metro that has not achieved a clean audit in the past. This categorisation was done in order to identify gaps so that lessons may be learnt, “best” practices revealed and suggestions put forward to replicate good financial governance in under-performing municipalities.

Table 1: Metros and audit outcomes

No.	Metro	Clean Audit Outcome (Yes/No) Financial Years- 2013/14 to 2019/20						
		13/14	14/15	15/16	16/17	17/18	18/19	19/20
1	Buffalo City (East London)	No	No	No	No	No	No	No
2	City of Cape Town	Yes	Yes	Yes	No	No	No	No
3	City of Johannesburg	No	No	No	No	No	No	No
4	Ekurhuleni Metro	Yes	Yes	No	No	No	No	Yes
5	City of eThekweni (Durban)	No	Yes	No	No	No	No	No
6	City of Tshwane	No	No	No	No	No	No	No
7	Mangaung Metro	No	No	No	No	No	No	No
8	Nelson Mandela Metro	No	No	No	No	No	No	No

Source: (Auditor-General 2017 & 2021)

THEORISING AUDIT OUTCOMES IN LOCAL GOVERNMENT

The two theories that guided the study are the Stewardship Theory and the New Public Management Theory. These theories are deemed important as they underpinned the study and provided a framework for action, and for stimulating the advancement of knowledge in this context. The Stewardship Theory was considered as a more appropriate theory for the study because it looks at government by virtue of organisational form, governance structures, and the need to use available resources effectively and efficiently for public benefit. According to David and Van Slyke (2007: 159), Stewardship Theory looks into behaviours of managers and assumes that if given responsibility, they will act as responsible stewards, instead of acting in their own interest. In addition, according to Yusoff and Alhaji (2012: 2), Stewardship Theory is an important mindset for those in the public service, as public servants are entrusted with public resources; policies being implemented impact the whole nation so they ought to have a moral obligation to be stewards of the public good.

Furthermore, the New Public Management Theory was also considered appropriate for the study, as this theory advocates that elected officials should play a goal-setting role, and service delivery should be managed in the same way as in any private sector organisation (Gruening 2001): this ensures increased efficiency and lower costs to government. The New Public Management Theory is important as its emphasis is on the output and greater use of public resources, thereby promoting increased accountability (Ikeanyibe 2015).

According to Sigamani (2012:4), the New Public Management Theory encourages the importance of managing inputs and outputs in a way that ensures economic use of resources and responsiveness to the public. The increased irregular expenditure and lack of actions on consequence management, as reported by the Auditor-General (2015), is not in line with this theory. This is, because it does not contribute towards improving public trust, which is one of the objectives outlined in the 2014–2019 Medium-Term Strategic Framework (MTSF-28), and which resonates with the current and contemporary focus of local government in particular given the role, function and purpose of this important sphere of government.

Based on this argument, the New Public Management Theory is relevant as it addresses some of the matters that were noted by the Auditor-General's report referred to in the foregoing discussion, as being challenges, in particular, irregular expenditures and lack of actions by municipal officials regarding the management of public resources entrusted to them in the name of service delivery.

KEY CONTROLS IN LOCAL GOVERNMENT

The weaknesses in internal control, is a key root cause for audit qualifications.

Therefore, it is important to understand what internal controls are and their importance. According to Cheng, Goh and Kim (2018), the weaknesses on the internal control do not only impact the financial reporting but also impact the operating efficiency of the organisation, hence its importance. According to Cheng *et al.* (2018), effective internal control not only helps external stakeholders make more informed decisions, but also enhances firms' internal operations.

In terms of the COSO framework, internal control is defined as a process effected by those charged with governance to provide reasonable assurance concerning achievement of objectives relating to operations and reporting. The COSO framework indicates that there are five key components of internal control:

- Control environment
- Risk assessment
- Control activities
- Information and communication
- Monitoring activities

Section 62 of the MFMA emphasises the importance of internal control and it requires the accounting officer to take the necessary steps to ensure that the municipality has and maintains effective, efficient and transparent systems of internal control. It is noted that the Chief Financial Officer's Handbook (2003: 53) states that the responsibility of internal control is not only for the Accounting Officer but the following role-players are critical:

- Management is expected to take responsibility for designing and implementing the system of internal control.
- Members of the legislature are expected to oversee the implementation of controls.
- The Auditor-General is expected to make recommendations as and when weaknesses are identified during the audit in the system of internal controls.
- The Audit Committee is expected to plan oversight over implementation of controls and monitor instances where there may be management override of internal controls. The role of the audit committee is also confirmed by Ncube and Tullock (2015:53).

According to the Association of Chartered Certified Accountants (ACCA), the internal controls have the following objectives as outlined in Table 2:

- Efficient conduct of business: Controls should be in place to ensure that business processes flow smoothly and free from disruptions.
- Safeguarding of assets: Controls should be in place to ensure that assets are used for intended purposes in fulfilment of business objectives and are not stolen.
- Preventing and detecting fraud: Controls should detect and/or prevent fraudulent activities as all businesses are likely to fall victim to fraud.

- Completeness and accuracy of financial records: Controls should ensure that the system records all transactions accurately and completely in line with the accounting requirements.
- Timely preparation of the financial statements: Controls should assist companies in fulfilling their legal obligations in submitting financial statements in line with prescribed time frames.

Table 2: COSO Framework of components and principles of effective internal control

In order to assist municipalities to design and evaluate their internal control, the COSO framework recommends that the five components should be looked into with 17 principles and these are described for the above components.

Component	Principles
Control environment	<ul style="list-style-type: none"> ■ Demonstrates commitment to integrity and ethical values ■ Exercises oversight responsibility ■ Establishes structure, authority and responsibility ■ Demonstrates commitment to competence ■ Enforces accountability
Risk assessment	<ul style="list-style-type: none"> ■ Specifies suitable objectives ■ Identifies and analyses risks ■ Assesses fraud risk ■ Identifies and analyses significant change
Control activities	<ul style="list-style-type: none"> ■ Selects and develops control activities ■ Selects and develops general controls over technology ■ Deploys control activities through policies and procedures
Information and communication	<ul style="list-style-type: none"> ■ Uses relevant information ■ Communicates internally ■ Communicates externally
Monitoring activities	<ul style="list-style-type: none"> ■ Conducts ongoing and/or separate evaluation ■ Evaluates and communicates deficiencies

Source: (Mnguni 2022)

Critical considerations in terms of the components that are illustrated in Table 2 are discussed.

CONTROL ENVIRONMENT

The control environment entails a set of standards, systems, processes and structures that provide the basis for carrying out internal control across the organisation. Those charged with governance are expected to set the tone at the top about

the importance of internal controls and demonstrate integrity and the ethical values of the organisation. The organisational structure should assist in assigning authority and responsibility and be able to attract, develop and retain competent individuals with a system that rewards and drives accountability for performance.

RISK ENVIRONMENT

This involves the setting of objectives for the organisation and identifying possible risks that might prevent the organisation from achieving its objectives, including fraud risks. In addition, it involves assessing the impact of possible changes in the external environment that might prevent the organisation achieving its goals. In addition, the International Framework: Good Governance in the public sector (2014:28) recommends that public sector entities define their risk management strategy that will deal with all risks at all levels: strategic, operational and financial risks.

CONTROL ACTIVITIES

These are actions that are established through policies and procedures to assist management in mitigating risks to achievement of objectives. These actions are performed across the organisation and systems or technology. The control activities may be preventative or detective and these may include segregation of duties which is more preventative and where this is not practical alternative controls are put in place.

INFORMATION AND COMMUNICATION

This is about obtaining and sharing of information internally and externally. Internally, communication should flow up, down and across the organisation about the achievement of objectives and corrective actions where necessary. External communication updates the external parties about their expectation from the organisation and this includes communication such as annual reports including returns to various regulators.

MONITORING ACTIVITIES

Monitoring activities involves ongoing evaluation of the internal controls to assess design and effectiveness of controls and these evaluations are done by various

stakeholders; for example, external auditors as indicated above, to identify deficiencies or internal audit to assess design and effectiveness. The monitoring is important as according to Krishnan (2005), organisations without effective audit committees are likely to have internal control problems. This was also confirmed by Goh (2009) that organisations with expanded audit committees enhance their monitoring of internal controls through timely remediation. The importance of the audit committee as a source of assurance was also underscored by the Chartered Institute of Public Finance (CIPFA 2014).

METHODOLOGICAL PERSPECTIVES

A target was set in 2009 when Operation Clean Audit was launched for all municipalities to achieve clean audits by 2014 (that was when this concept of the operation was introduced). However, this objective was not achieved in most municipalities, as only 14% of the municipalities achieved clean audits by that year (Mnguni 2022). This aspect of non-fulfilment of clean audits is cause for concern as it continues into the current era of local municipalities throughout the country. This includes metros and district municipalities. Given that the current status reveals that several municipalities in the country are unable to achieve clean audit outcomes in local government, a key objective of the study was to investigate and analyse these challenges and gaps that are currently impacting non-achievement of clean audit outcomes by the metropolitan municipalities.

According to Saunders, Lewis and Thornhill (2019: 256), the research design refers to an overall plan used in conducting the research, and this plan responds to the research questions through the collection, interpretation and analysis of data. Abutabenjeh and Jaradat (2018: 256) also concur with Saunders *et al.* (2019), that the research design is a plan that guides the research process. A research design according to Babbie and Mouton (2010:107) is a set of guidelines and instructions to be followed in addressing the research problem and enables the researcher to anticipate what the appropriate research decisions should be in order to maximise the validity of the results. The research design for the study was informed by the research paradigm.

According to Kumar (2019:90), there are two main types of research paradigms: positivism and non-positivism. In positivism only factual knowledge gained through observation is trustworthy. In other words, the researcher is limited to collecting data and interpreting it in an objective way. Alessandrini (2012) states that, non-positivism emphasises diversity and focuses on the experiences

of the research group as the most important data source. In addition, according

to Alessandrini (2012), non-positivism favours qualitative data, while positivism favours quantitative data. This is also in line with Babbie and Mouton (2010:49), who indicated that quantitative research is concerned with positivism. Whetsell and Shields (2015: 418–419) assert that positivism, as a philosophical term in contemporary use, is mostly an intellectual artefact of the logical positivist movement of the early 20th century and is related to other philosophical traditions of empiricism, pragmatism, phenomenology and post-modernism. Positivism is often placed in a philosophical context and, in this approach, it implies observation or comparison, and is concerned with distinctions between induction and deduction.

An empirical mixed methods research approach in terms of non-probability sampling, with data collection through questionnaires (deductive) and interviews (inductive) was utilised with respondents from three selected metropolitan municipalities, namely, the Cities of Tshwane, Cape Town and eThekweni. Responses were received from 190 questionnaires and the quantitative data analysis was conducted using the Statistical Package for Social Sciences (SPSS) for validity and reliability. The tools used for quantitative data analysis included the Chi-Square Goodness-of-Fit test and one-sample t-test. Six interviews informed the qualitative data that was analysed using thematic and content analysis to establish significant trends in the information collected from respondents. The study focused on the employees from the following areas within the selected metropolitan municipalities: Budget and Treasury officials; Supply Chain Management officials; Internal audit officials and Performance management and monitoring officials. These officials play a very important role in supporting the audit process and are at the forefront of supporting service delivery and compliance with the pertinent laws and regulations in a municipal context.

FINDINGS AND ANALYSIS

The findings relate to the policies for all key activities in relation to expenditure management and supply chain management (SCM) including revenue, asset, liability and information technology.

Key policies for expenditure management and supply chain management

Respondents scored their agreement on a Likert scale from 1 (strongly disagree) to 5 (strongly agree) that key policies were in place.

Table 3: Key policies for expenditure and supply chain management – analysis summary

		Responses as Frequency (%)					N	Mean (SD)	T	df	p-value
		Strongly disagree	Disagree	Neutral	Agree	Strongly agree					
Expenditure management	eThekwini	1 (1.9)	3 (5.7)	3 (5.7)	26 (49.1)	20 (37.7)	53	4.15 (0.907)	9.237	52	<.001*
	Tshwane	0	0	6 (12.5)	15 (31.3)	27 (56.3)	48	4.44 (.712)	13.992	47	<.001*
	Cape Town	0	0	0	30 (93.8)	2 (6.3)	32	4.06 (0.246)	24.439	31	<.001*
Supply Chain Management	eThekwini	2 (3.6)	1 (1.8)	1 (1.8)	24 (43.6)	27 (49.1)	55	4.33 (0.904)	10.891	54	<.001*
	Tshwane	0	0	3 (6.3)	11 (22.9)	34 (70.8)	48	4.65 (0.601)	18.971	47	<.001*
	Cape Town	0	0	14 (43.8)	16 (50)	2 (6.3)	32	3.63 (0.609)	5.805	31	<.001*

* indicates significant at the 95% level

Expenditure management

There was significant agreement from respondents of the three municipalities that policies regarding expenditure management were in place. This statement is consistent with the literature (analysis of five-year audit outcomes for selected metros); there were no findings noted by the Auditor-General about the non-existence of policies on expenditure.

Supply chain management

There was significant agreement from all three municipalities that SCM policies were in place. This statement is consistent with the literature (analysis of the audit outcomes for selected metros); there were no findings noted by the Auditor-General about the non-existence of SCM policies. The findings noted were about non-compliance with SCM regulations.

Based on the review of municipal financial governance at eThekwini Municipality, it can be concluded that the municipality can still achieve a clean audit if non-compliance with SCM is in fact addressed for all intents and purposes as this aspect has contributed negatively to the audit outcome over the years. The non-compliance with SCM is not only a challenge for eThekwini as the Auditor-General (2021:9) reported that SCM non-compliance was prevalent in many municipalities and resulted in R26 billion in irregular expenditure.

The challenges regarding SCM non-compliance are not new or only affecting the City of Cape Town, as the International Monetary Fund (IMF 2013 in Mnguni 2022) reported irregular expenditure due to SCM non-compliance as a challenge in 2013, that it was harming the image and reputation of municipalities in South Africa.

In the analysis of the empirical data and annual reports, the City of Tshwane managed to achieve an unqualified audit opinion with other matters for the past five years. However, the City could not obtain a clean audit due to the other matters, namely, irregular expenditure, lack of consequence management, material misstatements in the financial statements and performance information, non-compliance with SCM regulations. The 2015–16 Auditor-General’s annual report (Auditor-General 2016:294) highlights similar matters except for the following, for example, that the material misstatements of the financial statements also related to budget comparison statements, but current assets and expenditure were not affected.

The matter regarding the high number of estimates of accounts was not raised and payment of creditors within 30 days was not raised. In the 2014–15 Auditor-General’s annual report (Auditor-General 2015:302), misstatement of performance information, misstatement of financial statements regarding property, plant and equipment, irregular expenditure and non-compliance with SCM regulations and controls over asset management were noted.

Key policies for revenue, asset, liability and information technology

Respondents scored their agreement on a Likert scale from 1 (strongly disagree) to 5 (strongly agree) that key policies were in place.

Table 4: Key policies for revenue, asset, liability and information management – analysis summary

		Responses as Frequency (%)					N	Mean (SD)	T	df	p-value
		Strongly disagree	Disagree	Neutral	Agree	Strongly agree					
Revenue Management	eThekwini	1 (1.9)	1 (1.9)	5 (9.3)	27 (50)	20 (37)	54	4.19	10.546	53	<.001*
	Tshwane	0	0	4 (8.3)	35 (72.9)	9 (18.8)	48	4.10	14.846	47	<.001*
	Cape Town	0	0	12 (37.5)	18 (56.3)	2 (6.3)	32	3.69	6.566	31	<.001*

		Responses as Frequency (%)					N	Mean (SD)	T	df	p-value
		Strongly disagree	Disagree	Neutral	Agree	Strongly agree					
Asset\liability Management	eThekwini	1 (1.9)	1 (1.9)	4 (7.5)	30 (56.6)	17 (32.1)	53	4.15	10.551	52	<.001*
	Tshwane	0	0	9 (18.8)	25 (52.1)	14 (29.2)	48	4.10	11.062	47	<.001*
	Cape Town	0	0	3 (9.4)	27 (84.4)	2 (6.3)	32	3.97	13.688	31	<.001*
Information Technology	eThekwini	3 (5.6)	2 (3.7)	6 (11.1)	26 (48.1)	17 (31.5)	54	3.96	6.769	53	<.001*
	Tshwane	0	0	6 (12.5)	38 (79.2)	4 (8.3)	48	3.96	14.455	47	<.001*
	Cape Town	0	0	29 (90.6)	1 (3.1)	2 (6.3)	32	3.16	1.717	31	.096

Revenue management

There was significant agreement from respondents from the three municipalities that policies regarding revenue management were in place. In the literature, none of the findings from the reviewed annual reports were on the non-existence of revenue management policies. Therefore, the responses are consistent with the reports from the three Cities. The matter noted about revenue management was billing, based on the estimates instead of actual reading (Tshwane Annual Report 2018: 2012).

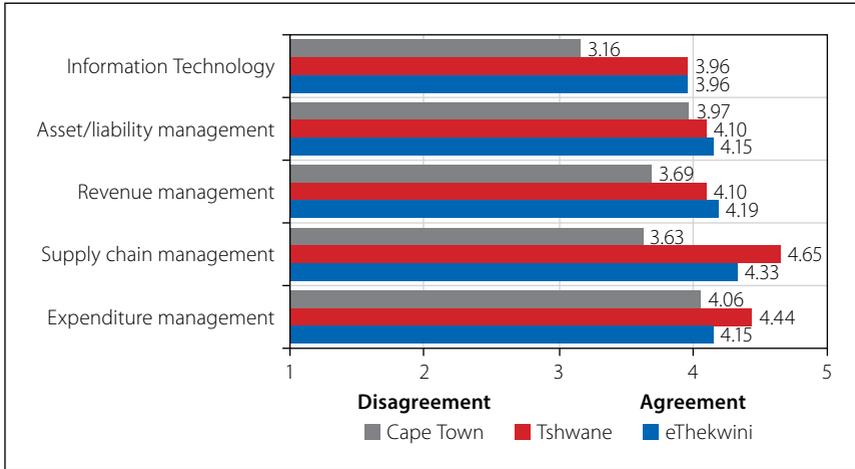
Asset and liability management

There was significant agreement from respondents of the three municipalities that policies regarding asset and liability management were in place. This statement is consistent with the literature (analysis of the audit outcomes for selected metros); there were no findings noted by the Auditor-General about the non-existence of policies on asset and liability management. The matter raised was for the City of Tshwane (Annual Report 2018:2012) to improve its control over the asset register.

Information technology policies

There was significant agreement from respondents of eThekwini and Tshwane municipalities that policies regarding information technology were in place. There were no findings reported regarding the non-existence of policies on information

Figure 1: Key policies regarding focus on audit outcomes



technology. In Figure 1, the results are depicted in terms of the existence of key policies regarding the five areas discussed in the preceding section.

Risk assessment

The respondents were asked to indicate if the risk register is being monitored by the audit committee. Respondents scored their agreement on a Likert scale from 1 (never) to 5 (always) in Table 5.

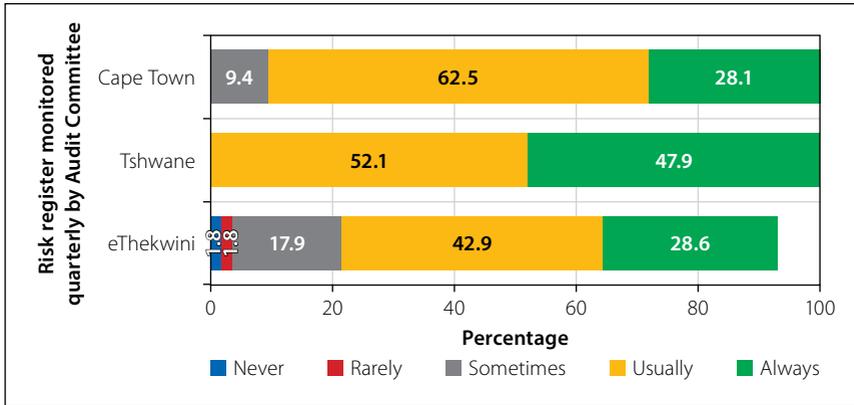
Table 5: Monitoring of risk register – analysis summary

		Responses as Frequency (%)					χ^2	Df	p-value
		Never	Rarely	Sometimes	Usually	Always			
Risk register monitored	eThekweni	1 (1.9)	1 (1.9)	10 (19.2)	24 (46.2)	16 (30.8)	37.8	4	<.001*
	Tshwane	0	0	0	25 (52.1)	23 (47.9)	0.0830	1	=.773
	Cape Town	0	0	3 (9.4)	20 (62.5)	9 (28.1)	13.93	2	<.001*

*Indicates significant at the 95%

Figure 2 illustrates the risk responses collectively for the three selected municipalities.

Figure 2: Risk responses of selected municipalities



A significant number from eThekweni municipality responded ‘usually’ (24–46.2%) or ‘always’ (16–30.8%) and a significant number from Cape Town municipality responded ‘usually’ (20–62.5%). These responses confirm that risks are being monitored. The monitoring of risks is an important part of the risk management processes for effective audit purposes. As in the International Framework: Good Governance in the public sector (2014:28), public sector entities are required to define their risk management strategies that deal with risk at all levels as part of ongoing risk management and in-year monitoring. This is an important practice as entities become more proactive on risks identified and are able to accordingly scale up resources to address them rather than only acting on a disastrous situation where resources to municipalities are constrained and limited.

Monitoring controls

Internal audit plays a critical role in the municipality environment in terms of monitoring controls and providing assurance. Respondents scored their agreement on a Likert scale from 1 (highly ineffective) to 5 (highly effective) in Table 6. There was significant agreement from respondents of eThekweni, Tshwane and Cape Town municipalities that the internal audit was functional. Motubatse *et al.* (2017:10) concluded that there was a significant relationship between governance and achievement of a clean audit outcome and internal audit; audit committee and risk management play an important role in enhancing the strength of governance. Therefore, a functional internal audit is critical in supporting the achievement of clean audits in municipalities.

Table 6: Functional internal audit – analysis summary

		Responses as Frequency (%)					N	Mean (SD)	T	Df	p-value
		Highly ineffective	Ineffective	Neutral	Effective	Highly effective					
Functional internal audit	eThekweni	2 (3.6)	3 (5.4)	5 (8.9)	29 (51.8)	17 (30.4)	56	4.00	7.696	55	<.001*
	Tshwane	0	0	4 (8.3)	20 (41.7)	24 (50)	48	4.42	15.173	47	<.001*
	Cape Town	0	0	23 (71.9)	8 (25)	1 (3.1)	32	3.31	3.304	31	<.002*
*indicates significant at the 95% level											

RECOMMENDATIONS

Based on the findings, recommendations are put forward for due consideration.

Municipalities should ensure that there are policies in place for all key activities; for example, SCM, expenditure management, revenue management and asset and liabilities management, to ensure that there is compliance with all key legislation.

Municipalities should ensure that there are risks registers in place with clear plans that are monitored by oversight structures.

Municipalities should ensure that there is a functional internal audit in place to assist with monitoring of the controls. Other significant recommendations include:

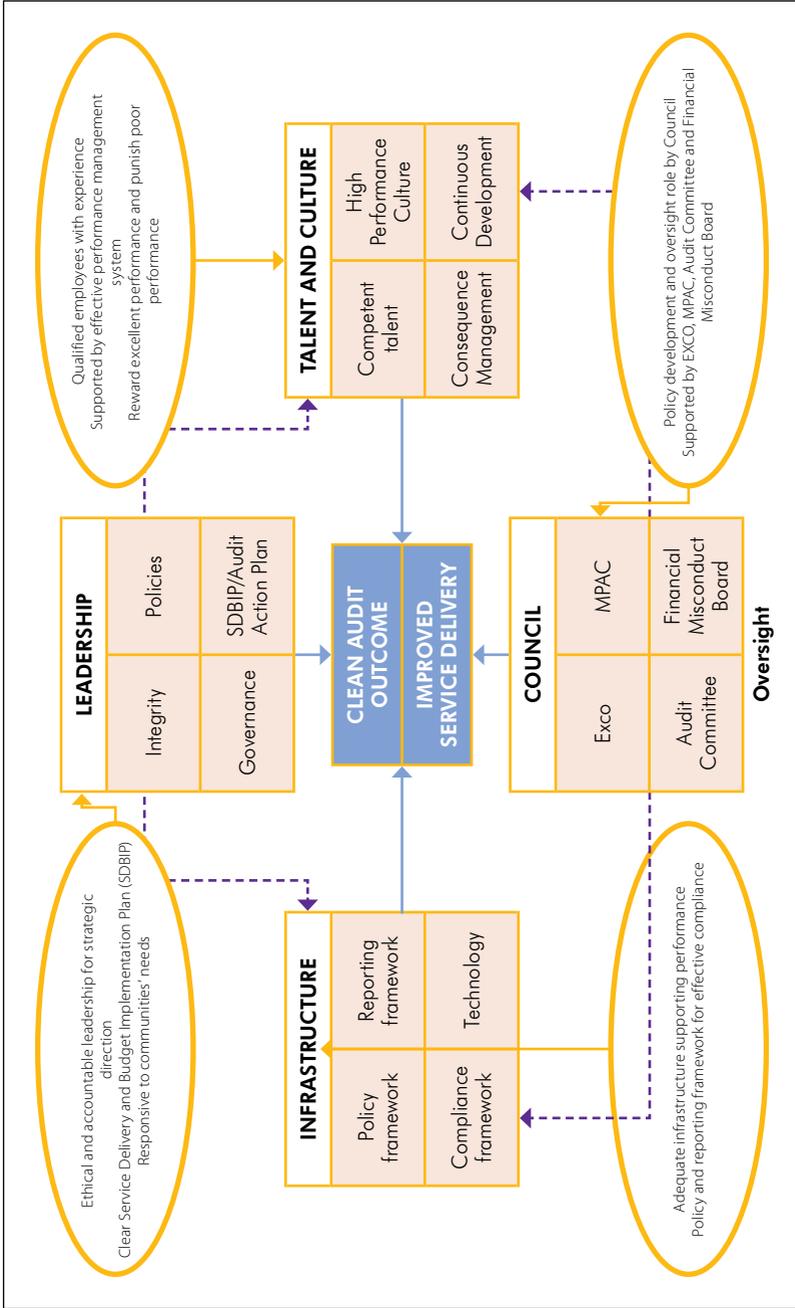
- Effective municipal leadership
- Promoting good governance
- Attracting and retaining good talent
- Clear and implementable audit action plans
- Development of a clear compliance framework
- Development of an operating model to achieve clean audit status and enhance municipal service delivery

From the above recommendations, it can be said that the need to develop and improve on financial management skills and responsibilities cannot be overemphasised for municipalities.

The components of the operating model are illustrated with relevance to the research undertaken and highlighted in Figure 3.

The model contributes to a new perspective on financial governance in local government through a systematic policy focusing on the roles and responsibilities

Figure 3: Operating model to achieve a clean audit and improved service delivery



Source: (Authors' own construction 2022)

of key stakeholders in the service delivery value chain. The model builds on the notion that good governance requires regular financial and performance reporting that is validated for accuracy by independent auditors (Rosa and Morote 2016:537). The model proposes that leadership should pursue the achievement of clean audit outcomes and improved service delivery. This is achieved by developing both the Service Delivery Budget Improvement Plan and an audit action plan to guide the employees on what needs to be done and achieved in response to the mandate to provide basic services to the local communities.

The model indicates that leadership should source competent talent to lead the implementation of plans, and that the talent should be given ongoing training to ensure that they are always up-to-date with the latest developments. The model also proposes the implementation of consequence management where employees do not perform, or are not complying with rules and regulations in accordance with promoting a high-performance culture. The model also proposes that employees should be supported with adequate resources and infrastructure, including technology, policies, compliance and a reporting framework; and there should be ongoing monitoring of performance by council and its committees.

One of the intentions of the research was to investigate and analyse challenges and gaps that are currently impacting the non-achievement of clean audit outcomes by the metropolitan municipalities. Insofar as achieving this objective, the literature review has shown that, SCM and lack of consequence management were noted as challenges and gaps that require attention. The literature review is also supported by the quantitative data analysis which confirmed that, regarding consequence management, both eThekweni and Tshwane municipalities agreed that consequence management was not being implemented timeously, within 90 days. The qualitative data analysis supported the fact that there is lack of consequence management, and challenges with SCM.

Concerning consequence management, the findings are consistent with the literature. As noted by Soopal (2020:1), the lack of consequence management in local government is considered a widespread challenge. According to Soopal (2020:2), 55% of municipalities that incurred irregular expenditure in the 2017–18 financial year did not implement consequence management, as required in terms of MFMA regulations. However, Soopal (2020:1) is of the view that the implementation of amendments to the Public Audit Act by the Auditor-General should ensure consequence management.

The authors to this article therefore, have highlighted some challenges about attaining clean audit outcomes. These challenges include a lack of qualified employees; a lack of oversight; non-compliance with laws and regulations and a lack of the necessary consequence management. The proposed model addresses these challenges, as it proposes the employment of competent people with consequence management being upheld where necessary. It also proposes a

compliance framework to monitor compliance of officials, while calling for effective oversight by the council and its committees.

SUMMARY

The article focused on identifying and analysing the key internal controls that require attention to achieve clean audit outcomes and contribute to enhanced municipal service delivery. It has been established from the empirical research and literature that there are five key control components that are critical for effective local governance insofar as audit outcomes are concerned, and these include: control environment, risk assessment, control activities, information and communication and monitoring.

Feedback from the qualitative data analysis as confirmed by the majority of the respondents from the selected metropolitan municipalities is that control environment, control activities, information and communication and monitoring were key controls that required improvement to achieve a clean audit outcome. Quantitative data analysis also highlighted that there is monitoring of controls by the oversight structures and internal audit. In addition, it was confirmed that key policies to support control activities were in place. Concerning risk assessment, a significant number of respondents confirmed that risk registers are being monitored and they are supported by clear action plans.

This article provided a review of the pertinent literature on audit outcomes and the significance of this process on municipal financial governance and service delivery. The article considered audit-related terms and contextualised audit outcomes in local government. It provided an analysis of five-year audit outcomes of the Cities of Tshwane, Cape Town and eThekweni metropolitan municipalities. It outlined the challenges concerning the audit outcomes of local government. The article addressed internal control weaknesses as a major cause for audit qualifications as indicated by the Auditor-General's reports and the audit outcomes of the three Cities that were under review. It discussed internal controls as a mechanism to promote accountability and made recommendations on how to improve audit outcomes, which should be considered as aspects of public administration and local governance for effective audit purposes. It is hoped that the aspects raised in this article in the context of audit outcomes will contribute to addressing the gaps and challenges in achieving clean audits and increase the capacity of municipalities to deliver on this significant mandate. Notably, there is a need to have competent staff, and also to improve controls regarding the environment, activities, monitoring, information management and communication.

The discussion in this article traces audit outcomes from 2014 to signify the mandate given to municipalities as a national imperative at that time. In more

recent years, it has been significantly noted that the number of municipalities achieving clean audits is decreasing; mainly due to the poor quality of the financial statements and various non-compliance issues that are *ultra vires* when it relates to the specificities of the MFMA (Auditor-General 2021). Therein, lies the need for further research to find pragmatic approaches and suggestions to assist municipalities in addressing the financial malaise that is placing local government in a very compromising position in the current dispensation. It is intended that future research be done to look into what can be done to improve adequacy and effectiveness of key controls in the municipalities.

NOTE

- * This article is based on a Doctor of Administration thesis, conducted under the supervision of Professor Mogie Subban at the University of KwaZulu-Natal, titled: Mnguni, S. 2022. *An analysis of best practices for achieving and sustaining clean audit outcomes in selected South African metropolitan municipalities*. Unpublished Doctor of Administration thesis. Durban: University of KwaZulu-Natal.

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The Relevance of Civil Society Participation in Democratic Governance

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ABSTRACT

The article interrogates the role of civil society participation to determine the relevance of this type of participation in democratic governance. The investigation encompasses participation in terms of civic, public, and citizen participation under one umbrella term in governance. The article conceptualises civil society, civil society organisations (CSOs), partnerships, and international non-governmental organisations (INGOs) and investigates their roles in democratic governance. It highlights the advantages and disadvantages of civil society participation in terms of CSOs. The conceptual and theoretical approach of the article is underpinned by a desktop study in terms of unobtrusive research methods. The article concludes that CSOs are an important part of the development and enhances cooperation and deliberation between states worldwide. Notably, it cautions that CSOs should not become parallel public service providers in terms of a new type of public service.

INTRODUCTION

The article contextualises the concepts and role of civil society and CSOs in democratic governance. A developmental state, and therefore development, is about developing networks between civil society, the government, and the business sector to bring about a healthy interconnected and interdependent society (Maphunye 2009). Therefore, “non-governmental organisations (NGOs), labour organisations, and faith-based organisations and other representatives of civil society play a critical role in promoting a stable democracy in a country” (Mathekga

and Buccus Internet Source). CSOs can be regarded as an umbrella term that includes NGOs and community-based organisations (CBOs) (Mavee 2010). The concept of civil society therefore includes a range of interest groups (Mavee 2010). These groups can consist of the citizens of the country, ratepayers, civic associations, NGOs, CBOs, farmers, and/or specialist groups formed for a specific purpose such as child protection (Craythorne 2003). In developing countries, CSOs are regarded as crucial partners in development that mainly fulfil an advocacy, monitoring, and service delivery role.

According to Diamond (1994), different types of organisations can be identified as organs of civil society, namely:

- “economically productive and commercial organisations;
- cultural organisations, which are ethnic associations that defend collective rights, values, beliefs, and symbols;
- informational and educational organisations, which disseminate information for profit or for public knowledge;
- interest-based organisations, which are designed to represent the various types of interests of their members;
- developmental organisations, which combine individuals’ resources, etc. to improve the infrastructure, institutions, and the quality of community life;
- issue-orientated movements for environmental protection, women’s rights, land reform, and consumer protection; and
- civic associations, which are non-partisan in nature and seek to improve the political system and make it more democratic through human rights monitoring and voter education and mobilisation”.

Regular, free, and fair elections alone do not necessarily translate into democracy. What is needed is a strong, independent civil society, political equality, a free press, empowerment of marginalised citizens, and scope for deliberation as key components of cooperation and participation. Differences “in the extent and nature of the civil society sector in different countries are largely reflected in their unique historical, cultural, social, and political environment” (Cheeseman 2015). Increased interest in the role of civil society is a response to the growing realisation that the state as a development agent does not have the capacity to act alone (National Development Agency, Community Agency for Social Enquiry, Planact and Africa Skills Development 2008).

The article first provides a conceptualisation of relevant terms. Second, it contextualises the roles of civil society, CSOs, partnerships, NGOs and INGOs in democratic governance. Third, it pays attention to the advantages of civil society participation and fourth, highlights the disadvantages and impediments of CSOs.

CONCEPTUAL CLARIFICATIONS

The literature on **civil society** shows that the term has its origins in the notion of civilisation that reflects the desire to do good and to “make the world as it ought to be” (Bauman 1985:7). The state can play an important role in shaping civil society, and hence civil society can shape the state (White 1996). “In general, civil society signifies the presence of varied groups that operate in the social and political space on the one hand, and working together with the government and its agencies on the other hand” (Heckroodt, Van Wyk, and Lemmer 2005:204). Civil society can be defined as the sphere of organisations and/or associations of organisations located between the family, the state, the government of the day, and the prevailing economic system, in which people with common interests associate voluntarily. Among these organisations, they may have common, competing, or conflicting values and interests (Co-Operative for Research and Education and the Institute for Democracy in South Africa 2001:3).

CSOs represent many diverse and sometimes contradictory social interests; shaped to fit their social base, constituency, thematic orientations, and types of activities (e.g. environment, gender, human rights, youth, disabled, minorities, etc.) (Mukamunana and Brynard 2005). CSOs can be described as non-profit and non-state organisations outside of the family or clan in which people organise themselves to pursue shared interests in the public domain (Co-Operative for Research and Education and the Institute for Democracy in South Africa 2001). They consist of many types, for example, “gender, language, cultural, and religious groups; charities; business associations; social and sports clubs; cooperatives and community development organisations; environmental groups; professional associations; academic and policy institutions; and media outlets” (United Nations Development Programme 1994). CSOs can play the roles of balancing state power and providing opportunities for democratisation because they are independent and have an autonomous nature.

For the United Nations Economic and Social Commission for Asia and the Pacific (2007), CSOs can act as a vehicle for citizens, social groupings, and the state to communicate their interests, protect their rights, and solve their problems. In this way, public policies and programmes can be developed to address the problems of a society and fulfil its needs.

Global trends show that the state’s role is changing as many government institutions have transferred some of their responsibilities and functions to CSOs. “Most developing countries use various modes of partnerships in public governance” (Mavee 2010). The definition of a **partnership** must include two essential components, namely “mutuality” and “organisational identity”. Mutuality refers to interdependence and commitment between partners, and the equal decision-making rights and responsibilities of each partner (Brinkerhoff 2002:20). It is important

that each partner must maintain their own identity, beliefs, and values. In practice, however, the extent of the realisation of mutuality and identity depends on the socio-economic and political powers of the partners involved. Often, the most powerful partner's identity and interest prevails (Anderson 1997:70). An effective partnership consists of shared roles, responsibilities, and decision-making power, to problem formulation and planning and implementation of projects and policies. The term "partnership" therefore implies effective, equal participation and close involvement where role-players complement one another to ensure the best possible results.

CSOs can serve as a link between the government and society (Wilson 1990:1). Consequently, CSOs have over the past decade fulfilled an important role by placing the needs of poor citizens and their communities on the agenda of policymaking and programme development and to be the mouthpiece of the marginalised (Hanekom 1991). NGO networking between government and civil society is also premised on close cooperation, coordination, and partnerships.

In this regard, **international non-governmental organisations** (INGOs) are also powerful agents in delivering aid to developing countries such as South Africa and Mozambique. They constitute a coalition of NGOs based in various donor countries and are formally associated with an international or global governance structure (Mavee 2010). International organisations provide aid on a global level; for example, World Vision International, CARE, and Save the Children International (National Development Agency *et al.* 2008). "INGOs have an important presence on a large scale in many developing countries" (Mavee 2010). They "receive substantial sums of money from donors to carry out humanitarian assistance and development work" (Mavee 2010). INGOs have played a prominent role in the global cooperation of community development in the past decade (Mavee 2010). These organisations play a wide variety of roles and have varied approaches based on different development practice models. The key objectives of INGOs include:

- reducing poverty and inequality
- realising human rights
- promoting gender equality and social justice
- protecting the environment
- strengthening civil society and democratic governance (National Development Agency *et al.* 2008).

Over the past three decades, INGOs have become increasingly powerful actors in the policy development and community development processes, as well as the global governance of aid programmes. Most INGOs are directly involved in planning, implementing, and managing development programmes and providing humanitarian assistance in developing countries (Mavee 2010). Their services can

range from the operational implementation of programmes, to working entirely through partners (NGOs), where they have no direct role in programme implementation. Some INGOs are also involved in policymaking and advocating, lobbying, and campaigning for human rights. This work may be undertaken as part of global campaigns or coalitions and is usually designed to bring about structural or policy change (National Development Agency *et al.* 2008).

INGOs are also increasingly drawing on their capacity to work with states and international organisations to address transnational problems such as climate change, global poverty, urbanisation, complex humanitarian crises, and security threats in a globalised world (National Development Agency *et al.* 2008). Funding to and through INGOs is usually tied to donor governments' own sector and geographic programmes but they often extend their scope and geographic reach.

The presence of INGOs in developing countries was the driver behind the democratisation of African countries, which had to adopt a democratic governance system if they wanted financial assistance. This can have major implications, both positive and negative, since they are able to influence both the domestic and international development agenda and often make use of NGOs to reach these goals (Mavee 2010). These actions can place NGOs, that are funded by governments, in extremely difficult situations since they are often used by donors to hold governments accountable for their actions. NGOs therefore need to ensure their own legitimacy, openness, and transparency (Smith, Davids and Hollands 2005) and focus on their primary agenda so as not to be diverted by donors' demands. They should realise that they are accountable to a wide range of stakeholders, including donors, governmental institutions, and regulatory bodies (Brinkerhoff 2003).

CONTEXTUALISING THE ROLE OF CIVIL SOCIETY PARTICIPATION IN DEMOCRATIC GOVERNANCE

Civil society participation is widely regarded as the most important quality of a democratic government (Mavee 2010). For Diamond (1999), the distinct difference between civil society and the state is that the state is concerned with public matters rather than private ends. According to Diamond (1999), political society refers to organisations and networks that compete with the state for placement or control. The relationship between the state and civil society is not, however, necessarily confrontational because the laws implemented by a government provide a framework wherein civil society functions (Nthambeleni 1999:22). On the other hand, White (1996) uses the concept "political society to refer to a range of institutions and actors that mediate and channel the relationships between civil society and the state". For White (1996), political society is composed of political parties

and political leaders. The importance of monitoring and evaluating government actions is clear, but who the drivers of the process of civil society participation must be is often debated. The question is whether it must be the government who must take the sole responsibility or whether civil society also has a responsibility. The widespread and escalating number of partnerships between the public and voluntary sectors of society, especially in developing countries, has recently resulted in increased attention paid by governments and academics to the potential of non-profit organisations (NPOs) that could enhance civil society participation and strengthen democratic governance (White 1996).

Civil society (including traditional leaders) is therefore regarded as a crucial partner in development, especially in developing countries. Since the 1980s, partnerships between state and non-state entities have become increasingly important and the government's role has shifted from "rowing" to "steering" (Maloba 2019). There has been a greater focus on civil society participation to ensure good governance within the public sector, especially in service delivery partnerships (Brinkerhoff 2003:105). Such partnerships are now regarded as essential to enhance organisational capacity, cost effectiveness, resource mobilisation, managerial innovation, consensus building, people's participation, and public accountability (Caplan 2001). CSOs mainly fulfil advocacy, monitoring, civic capacity-building, and service delivery roles. As such, they could help build local government capacity (Mavee 2010; Plessing 2017).

For Bratton (1994:52), the concept of civil society developed into three main theoretical approaches, namely the Marxist approach, the neoliberal approach, and the Habermasian approach. Marx's view of a social system was based on the belief that religion, morality, and social structures are rooted in the market or economy (Mukamunana and Brynard 2005:666). Civil society was portrayed as an economic sphere bound by historical and material conditions and characterised by the domination of the bourgeoisie, where economic activities to pursue the self-interest of individuals occur (Bratton 1994:55).

Since the early 1990s, the role of the state in development has been replaced by the neo-liberal model, which placed the state in an enabling and facilitating role, with much of the initiative and implementation of policies and programmes for development coming from civil society (Mavee 2010). For this reason, optimists envisioned a new democratic era based on the revival of civil society (Orvis 2001:17). For Edwards and Hulme (1992), CSOs have, as a result of political changes, mostly now moved from conflict with state agencies to collaboration and consolidating democracies. Today, CSOs' activities include personnel and equipment, as well as subsidies and grants to invest in social projects, and they rely on the operational and maintenance role of governments. CSOs are also implementing government programmes (Van Klinken 1998:349). In the neoliberal approach, voluntary associations are necessary as successful alternatives to curb unbridled

political power (Mukamunana and Brynard 2005:667). The Habermasian tradition argues that civil society entails a platform for association where the emphasis lies on choosing your associates and the terms according to which associations will be formed (Mukamunana and Brynard 2005:667).

The importance of involving people in their own development is driven by the global adoption of the Sustainable Development Goals (SDGs) (Sachs 2012). This shift in focus aimed to address poverty from a centralised top-down perspective, to that of the empowerment of people at the grassroots level, which followed the realisation that attempts aimed at the socio-economic development of poor communities within a dependency model were largely unsuccessful (Lutz and Linder 2004). The reasoning behind a bottom-up model for civil society participation is that the involvement of citizens is needed beyond voting to strengthen and consolidate democratic governance, which is sorely needed in developing countries. This could lead to the government becoming more responsive to the citizens' voices and could enhance the accountability of officials, especially on the local government level (Lutz and Linder 2004).

While there is agreement that citizens should play an informed and active role in governance, there is wide debate as to the forms and the extent of that participation (Mavee 2010). Buccus, Hemson, Hicks and Piper (2007) point out "that there are three levels of participation, for example, in local government, namely:

- participation by voting in municipal and national elections;
- participation as a citizen in official structures such as imbizos, ward committee meetings, and integrated development planning; and
- participation of citizens in informal structures such as social movements run by CSOs and the establishment of alternative local community structures, community forums, and protest marches".

The role of CSOs depends mostly on the political context of a specific country. Civil society in a democratic government is a channel through which citizens participate in making and implementing public decisions; in identifying, prioritising and resolving public problems, and in allocating and managing public resources (Mukamunana and Brynard 2005:667). In non-democratic states, the civil society sector plays a significant role in lobbying and pressuring government to democratise politics and subsequent policy changes (Bratton 1994). Many CSOs directly lobby for changes in policy and influence the implementation of policy (Pollard and Court 2005). CSOs could also include NGOs and other kinds of pressure groups. These NGOs do not have an easy task when involving themselves in policy and programme development processes since these procedures are complex and multidimensional (Mavee 2010). South Africa entered the new political era with a rich participation culture that came about through the struggle against apartheid (Mavee 2010).

Various authors emphasise that a strong civil society is an important prerequisite for democracy to flourish (National Research Council 1992). The presence and active functioning of civic groups and organisations that can act as facilitators and catalysts for development, especially rural development, are essential to enhance a democratic culture and to activate citizens to participate in governance. Interest groups are groups that are generally separated from the government and attempt to influence policymakers and programme developers in governance to accommodate their interests in public policy (Wilson 1990). Interest groups represent civil society and foster public participation in the policymaking and programme development processes that usually deal with issues that do not receive the necessary attention from the government (Mavee 2010). When the government does not or cannot act, other actors may do so to the detriment of democratic governance by protesting and even destroying valuable infrastructure (Cilliers 2016).

According to Mukamunana and Brynard (2005:667), “civil society is the sphere where social movements become organised... organisations of civil society represent a base, constituency, and thematic orientations, as well as types of activities that could include, *inter alia*, church-related activities, trade unions, cooperatives, CBOs, youth groups, women’s associations, and academic institutions”. CSOs channel people’s participation in economic and social activities and organise them into more groups to influence public policies and to gain access to public resources for development, especially for the poor (United Nations Development Programme 1994). Civil society is more than just a society – it is the facilitator between society and the state (United Nations Development Programme 1994).

Clearly the representation and participation of the local and most marginalised citizens are extremely important factors since weak participation leads to weak local-level democracies (Plessing 2017). It is assumed that the involvement in participatory structures such as ward committees will automatically mean that the citizens’ voices are heard; whereas, according to the literature, the links between communities “and civil society and the government are weak” (Mavee 2010). Furthermore, the inclusion of CSOs is often only because of the insistence of donors (Pasha 2004).

Public-private collaboration, under a variety of terms, has been put forward as a way for citizens to become part of the structures and processes of democratic governance (Mavee 2010). The concept of the “political participation” of citizens (Cilliers 2016) can therefore be seen as a continuum stretching from voting, which is an important measure for democracy and good governance, to political activism, which includes signing a petition, attending a political meeting or rally, contacting a politician, liaising with the media, and taking part in a demonstration (Bolzendahl and Coffé 2013).

Good governance has opened up new paths to democracy and emphasises the importance of representativeness, transparency, increased participation, accountability, equity, and inclusion (Michels and De Graaf 2010). Globally, local and national initiatives have stimulated a variety of network governance structures based on different collaborative typologies (Bartelings, Goedee, Raab and Bijl 2017).

The Busan Global Partnership for Effective Development Cooperation regards CSOs as “independent development actors” and identifies the following cooperation prerequisites for the effective development and cooperation of partnerships between governments and CSOs:

- “The acquisition of legal status as a CSO (specifically NGOs) must be based on objective criteria.
- Civic organisation laws must be clearly defined and administered so that it is easy and inexpensive to establish and maintain a CSO as a legal entity.
- All acts and decisions that affect formal CSOs must be subject to appropriate and fair administrative and independent judicial review.
- Laws and regulations should simplify reporting procedures for CSOs.
- Laws and regulations should sustain effective processes and instruments to ensure public participation in policy development, implementation, and evaluation.
- Laws and regulations should enable CSOs to speak freely on all matters of public significance, including existing or proposed legislation or project planning, state actions, and policies.
- CSOs should be enabled to provide services, carry out public policy activities such as civic education, research, advocacy, and the publication of position papers.
- Laws, regulations, and policies should provide mechanisms and processes that allow less bureaucratised, consistent, transparent, and more efficient access to public funds, with measures for accountability of both the government and CSOs.
- Laws, regulations, and policies must enable CSOs to engage in any legitimate fundraising activity, with self-regulatory mechanisms for accountability; however, public disclosure should be enforced on the ways in which funds are raised and used, including fundraising expenses.
- Laws, regulations, and policies must create an enabling tax reduction regime to stimulate civic participation through tax incentives for donations from individuals and the private sector.
- A properly established formal CSO should be allowed to receive cash or in-kind donations, transfers, or loans from outside the country as long as all applicable foreign exchange and customs laws are adhered to. Such laws should not impose taxes or unfair rates of exchange.

- CSO laws and regulations should be administered by an independent multi-stakeholder body, namely a multi-stakeholder or government agency mandated to determine the qualification for “public benefit” and to administer laws and regulations governing CSOs” (United Nations Development Programme: 2007 Internet Source).

According to Heckroodt *et al.* (2005:204), CSOs operate as organisations:

- that are relatively independent of both public authorities and society;
- that are capable of discussing and taking collective action to defend their specific interests;
- whose aims are not to replace either the public or private sector or to accept responsibility for governance as a whole; and
- that agree to act within pre-established rules of a “civil” nature to work towards the good of society.

According to Muijs, West, and Ainscow (2010), the following types of relationships characterise the interaction between governments and CSOs:

- Suppression when governments see CSOs as a threat and implement policies to restrict the role of CSOs.
- Rivalry and power relationships between governments and CSOs.
- Competition occurs when CSOs are seen as competitors for political power and resources.
- Contracting CSOs to provide a certain service.
- Third-tier governments when CSOs play a key role in supporting all forms of citizen participation.
- Cooperation between governments and CSOs by sharing information and resources to render specific agreed-on services.
- Complementary in the sense that there is a symmetrical power relationship between governments and CSOs.

Many authors argue that civil society is the first tier in society that could improve people’s lives. Since 1990, a variety of voluntary associations that are donor-driven have emerged in African cities, in response to the states’ inability to provide democratic governance (Co-Operative for Research and Education and the Institute for Democracy in South Africa 2001). INGOs have been used “as a vehicle for development in third-world countries...the task of these organisations is to promote open discourse and citizen engagement in informed dialogue involving outside donor organisations to become part of CSOs”. INGOs could be used successfully if they are perceived as legitimate organisations.

One of the roles of CSOs in policy implementation is to limit the government’s political power and to exercise democratic control over the state. In this way,

CSOs promote the legitimacy of public life and political institutions. In cases where demands for public services are not met by the government, CSOs can fulfil the role of the government. CSOs can also act as complementary partners in meeting the needs of citizens in public service provision (Pollard and Court 2005). They can also advocate and act as adversaries to push the government to make changes in public policy and programme development and implementation, and to maintain accountability to the public.

“CSOs can influence policy monitoring and evaluation (M&E) by ensuring the information availability and transparency of policy processes and therefore have a key role in making policy information publicly available in an accessible way” (Pollard and Court 2005). The central role of CSOs is, however, “to mediate between public and private interests” (Mavee 2010). CSOs engage in political processes through lobbying for reform within states (Court, Hovland and Young 2005). According to Naidoo and Tandon (1999), “CSOs have both a demand and supply side to their governance roles... on the demand side, CSOs widen the state’s use of power and citizen participation in programme and policy development and implementation...on the supply side, CSOs use their networks to make information on policy development and programme planning available to citizens”. “Like private enterprises, CSOs need adequate capacity to fulfil their potential...they also need an enabling environment, including a legislative and regulatory framework that guarantees the right of association, incentives to facilitate support, and ways for CSOs to be involved in public policy making and implementation” (United Nations Development Programme 1994). With the government becoming increasingly disconnected from citizens, CSOs are mandated to serve civil society and can counter political apathy through civic education and by ensuring inclusive decision-making by providing a forum to discuss public affairs (Court *et al.* 2005).

As Shah (1998:163) notes, since influencing public agencies is an arduous and daunting task, NGOs should be ready to spend considerable time and effort when they take up the challenge. Unfortunately, many CSOs do not have the resources to take up this challenge, yet continue their work and attempt to make a dent in the overwhelming problems faced by third-world countries. Some CSOs avoid getting involved with the state by simply getting on with the job of community development, whether their work is recognised or not in “official” policy spheres (Shah 1998:163). Pollard and Court (2005) point out “that CSOs are far more successful if they do not depend on the state for funding and resources”.

In the last decade, the world has also witnessed significant growth in organised private, NPO activity in the countries of Asia, Africa, and Latin America (Salamon and Anheier 1997). With a history as providers of relief and promoters of human rights, such organisations are now increasingly viewed as essential catalysts in the growth and development in democratic governance (Salamon and Anheier

1997); however, the way that CSOs participate in policymaking and programme development depends on several factors.

Pollard and Court (2005) identified the following main aspects that CSOs can use to improve their chances to influence policy:

- Legitimacy in order to influence policy and programme development takes the form of representative, moral, or legal legitimacy. Making this more explicit can help the government and citizens to make decisions to endorse CSOs' work. The notion is that CSOs are more likely to have an impact if they work together.
- Effectiveness: Information gathering and evaluation can be used to make CSOs' work more effective. Evidence can therefore be a tool for CSOs to improve the impact of their work, share lessons with others, and capture the practice and wisdom within organisations.
- Integration: There is often a disconnection between CSOs' work on implementation or service delivery and policy development and implementation. CSOs can have greater influence if they find better ways to turn their practical knowledge and expertise into evidence that can be used to inform policy and programme development.
- Access to policymaking processes and early planning of projects are vital for CSOs. Information can help CSOs gain better access to government arenas to present high-quality and uncontested evidence on policy and programme issues.
- Credibility: Evidence must be valid, reliable, and convincing to the government and the public.
- Communication: Information dissemination must take place in a meaningful way. The most effective communication is two-way, interactive, and ongoing.

Covey (1995) provides a clear breakdown of strategies used by CSOs to influence policy:

- An education strategy is one where CSOs attempt to give the government information, analysis, and policy alternatives. CSOs also educate the government by creating and testing innovative development approaches that can be adopted by the state. Education is done through workshops, conferences, physical visits, and initiation of pilot projects. Education strategies may also target other groups besides the government such as the public at large, the media, other CSOs, and/or community members.
- Using persuasion as a strategy, where a CSO acts as a pressure group to press for policy changes and show public support. The idea is to convince the government that the CSO-supported policy or policy change needs to be recognised and enacted into legislation. Persuasion is done through various means, which include meetings, workshops and conferences, invitations to the site,

lobbying, demonstrations, and even strikes. The main aim is to pressure the government into changing its policy direction.

- The collaboration strategy is one where a CSO works together with the government. Relations are good and amicable between the government and the CSO that is collaborating with it on a consensus-reaching basis. Collaboration calls for mutual trust, transparency, and accountability between the government and the CSO it deals with.
- In the litigation strategy, CSOs use the courts to press for policy change. When a CSO believes that the law is being broken or misapplied, it can take the government or other parties to court.
- Confrontation involves protests in various forms for policy and programme issues. Protests usually involve radical tactics such as violent demonstrations and destroying property. In most cases, the relationship between the government and CSOs sours and a great deal of animosity exists between the two parties (Covey 1995).

CSOs that aim to influence policy or programme development mostly act by virtue of their experience; however, others have developed databases that can be used by governments to solve development problems. In order to make effective decisions about public needs and demands, policymakers and programme developers can obtain current information about the needs and demands of citizens by involving CSOs, especially the youth, disabled, and women's groups to assist in the formulation and implementation of policies and programmes (Mukamunana and Brynard 2005).

Although successful public governance cannot be maintained without formal government structures, informal governance networks play a critical role in the development of policy and implementing programmes, thus helping to consolidate democratic governance (Mavee 2010). "Providing services is one of the most prevalent and sometimes also the most controversial part of the role that civil-based organisations play in society" (Mavee 2010). "CSOs are often positioned to provide key services such as health and education or social welfare services that could replace the functions of the state...this is particularly the case where states are weak in service delivery and where CSOs have rooted relationships at community level...if the capability of CSOs in service provision is properly used by the state, it could improve the value of the CSOs' work and the effectiveness of policy implementation" (Pollard and Court 2005).

CSOs are mushrooming globally and play an increasingly important role, especially in the political and social sphere (Mavee 2010). It is important to understand that CSOs are dynamic entities, whose roles may range from service delivery to citizens in need, to advocacy or to act as watchdogs over governance affairs. As governance and government officials become detached from the public

they are mandated to serve, CSOs could counter political apathy and help to maintain democratic governance and state accountability (Atkinson 1992). CSOs could also stand up for inclusive decision-making for marginalised groups and open discussions of democratic governance and public affairs that are necessary in consolidating democracies (Co-Operative for Research and Education and the Institute for Democracy in South Africa 2001).

Since CSOs perform a crucial service delivery function, governments could take advantage of this and therefore fail to assume their own responsibilities. CSOs are required to collaborate with governments. They are also in the position to mobilise resources for community development by acting as a bridge between the government and the donor community.

A strong civil society is one in which CSOs work in networks. It is evident from recent literature that if the government, business sector, and civil society work together, they can collectively bring about results that address the needs of poor and vulnerable citizens. If governments can bring public investments, policies, and regulations to help businesses and the economy to function optimally, civil society and more specifically NGOs could prioritise the interests and needs of marginalised citizens and communities. Together, these actors can develop stronger policies and interventions (Co-Operative for Research and Education and the Institute for Democracy in South Africa 2001).

ADVANTAGES OF CIVIL SOCIETY PARTICIPATION

For Hilliard and Kemp (1999), civil society participation in democratic governance is indispensable for the development of a strong civil society that is able to develop and function effectively, for the following reasons:

- It prevents the abuse and the misuse of administrative authority and political power.
- It stops the government from dominating its subjects.
- It allows a diversity of views to be aired.
- It permits citizens to challenge, refute, and oppose unsubstantiated claims made by parties or groups.
- It serves as a check on the activities of administrators and rules.
- It helps ordinary citizens to grasp the details of governance and administration.
- It generates a sense of civic pride when citizens eventually see that their inputs have been implemented.

According to Naidoo and Tandon (1999) and Clapper (1996), the advantages of civil society participation include:

- entrenching the rights of individuals in a rights-based society and contributing to the creation and maintenance of a democratic culture among citizens;
- ownership by citizens, which fosters a feeling of involvement in the development of policy and legislation, as well as programme planning and implementation;
- the positive application of citizen power to convert the dependency model of viewing the poor as passive consumers into the empowerment model to where people do things for themselves and enhance service delivery by becoming involved in governance;
- the power of citizen participation to influence citizen behaviour positively and helping parties who differ from each other to cooperate;
- civic education and empowerment of marginalised citizens;
- the enhancement of effective and efficient communication and distribution of information essential for citizen participation and optimal goal achievement, as well as for relationship building;
- access to information concerning government activities to enhance the accountability of public officials, to strengthen democracy, and to legitimise democratic institutions;
- freedom from the government's rules, traditions, interests, and procedures;
- trust and legitimacy because CSOs are driven by problems that citizens consider as worthy causes – they therefore usually have a good reputation and enjoy high trust among the public;
- the independence of CSOs from business interest and government influence gives them a high moral standing. The public is therefore more likely to respect the information they receive from CSOs. This results in higher participation of citizens in projects steered by them; and
- the ability, because of their hands-on experience, to provide connections between local communities, governments, and funding agencies since they earn the respect of all partners and can provide development and aid agencies with vital feedback on what actions work on the ground level (Naidoo and Tandon 1999 and Clapper 1996)

Apart from advice in terms of implementing policy, CSOs provide technical advice and expertise in assisting the government in improved implementation of programmes. Think tanks are a regular part of their work, where they act as a bridge between those with the responsibility for policymaking and others who have practical experience of policy implementation (Pollard and Court 2005).

Participation is an essential part of human growth in terms of the development of self-confidence, self-reliance, pride, initiative, creativity, responsibility, and cooperation (Burkey 1993:56). In any development project where genuine participation is encouraged, the affected community therefore becomes aware

of their situation, of the socio-economic reality around them, of their problems, of the causes of those problems and what measures they themselves can take to begin changing the situation (Burkey 1993:57).

DISADVANTAGES OF CSOS

CSOs are driven by a strong emotional motivation, passion, and strength that come from a strong belief in a cause. This could result in “tunnel vision” that impacts a CSO’s long-term success (Naidoo and Tandon 1999:174). It is difficult to define and measure accountability, specifically the financial accountability of CSOs. The best way to compensate for this is to generate public trust through transparency and high standards of performance. The high rate of failure and the short life expectancy (lack of sustainability) in the CSO world conflict with the inherent nature of governance, which is about standard procedures, reliability, continuity, and stability (Naidoo and Tandon 1999:175).

De Sas Kropiwnicki (2010) points out the harmful effects of distrust between governance and CSOs (including NGOs and CBOs). Some governments accuse certain CSOs of working with foreign donors to undermine their authority (Smith, Stirling and Berkhout 2005). Such critique could weaken the credibility and legitimacy of CSOs in the eyes of communities and citizens (Smith *et al.* 2005). As aptly stated by Plessing (2017:79): “The less powerful are inserted into a development project, where participation is engineered, and the outcomes of processes are decided upon by the powerful, local, national or even international elites”.

According to Anon (2008), some of the key problems faced by CSOs in policy implementation include a lack of information, lack of institutionalisation mechanisms involving civil society, lack of transparency at the local level, lack of capacity, and difficulty in accessing remote areas. CSOs face serious challenges in their efforts to deliver services to the public and to help develop an environment for public participation and at the same time participating meaningfully in policy formulation and programme development processes (Salamon and Anheier 1997).

A number of impediments to the growth of CSOs can be identified as follows:

- Authoritarian political control can be regarded as the most basic factor that accounts for the generally slow pattern of third-sector development in many developing countries. Given this model of authoritarianism, little room is left for truly independent organisations in these societies. The CSOs that emerged therefore must fit into the structures of existing political and social power and avoid posing a threat to the government.
- Representation of citizens is vitally important to include stakeholders who have the trust of communities in governance structures such as ward committees.

Representation should also ensure that gender, age, social standing, political standing, and disability are taken into consideration.

- Time constraints could hamper public participation in more than one way. Not only is public participation time consuming, but time is needed for the public to participate in decisions taken by a council and citizens therefore need timely information to enable them to participate in decision-making processes that affect their lives.
- Religion has multiple impacts on the development of the non-profit sector. In addition to the basic creed and the support it gives to acts of charity, other crucial aspects of religion's impact need to be taken into account – its posture towards individualism, its commitment to institution building, and its relationship with state authorities.
- Colonialism, which involves the history of colonial control of a specific country, has tended to undermine the independence of local social classes that might have provided the rallying point for CSOs. This was particularly true of the Spanish and Portuguese colonial traditions, which created especially authoritarian political and social structures in their respective colonies.
- Low income and constrained social development: The most important impact of colonialism on some of the countries was the constraint it exercised on social development. One of the principal consequences of the colonial experience, in fact, was to limit the space that indigenous middle-class elements could occupy in the developing world. This situation persisted because of the general poverty and lack of development in these countries.
- Limited financial resources limit the scale and functioning of CSOs, which significantly impairs their ability to deliver and maintain services. In the case of large NGOs, heavy reliance is frequently placed on funding from foreign donors. This makes CSOs more reflective of donor interests than those of their communities or designated target groups.
- Lack of capacity poses serious challenges to the implementation of planned actions. This relates to insufficient personnel or untrained representatives in decision-making structures.
- Legal treatment, as related to the legal environment within which CSOs must operate (Salamon and Anheier 1997; Pasha 2004).

CONCLUSION

Governments therefore need to strengthen CSOs and not limit their operations with unnecessary red tape, legislation, and regulations. On the other hand, CSOs should not become a parallel public service provider or new type of public service. Partnerships with CSOs could reduce the government's responsibilities, save

scarce resources, and enrich the quality of service delivery. NGOs are often in a better position than governments to address rural poverty, understand local needs and priorities, and facilitate citizen participation.

As is clear from the article, CSOs are an important part of development and enhancing cooperation and deliberation between states and the CSO movement worldwide. CSOs engage with political processes through lobbying for reform within states. For many CSOs that aim to influence policy, a critical part of the work is to bridge research and policy, this is the key challenge for those who, by virtue of their work within CSOs, have developed knowledge and relationships with civil society that can be used by governments to solve development problems. Through CBOs and NGOs, civil society can play an effective role as an independent voice to monitor the implementation of governmental development programmes and projects.

NOTE:

- * This article is partly based on a D Litt et Phil thesis by S.E.A Mavee, entitled: *Variables influencing political alienation and civil society participation in local governance in South Africa and Mozambique*. Under the supervision of Prof C J Auriacombe at the University of Johannesburg.

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