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on Public Administration  
and Development  
Alternatives

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**"GOVERNANCE IN THE 21<sup>st</sup> CENTURY ORGANISATION"**

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South Africa

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**The Park Hotel, Limpopo Province, South Africa**

**06-08 July 2016**

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## Editorial Note

The International Conference on Public Administration and Development Alternatives (IP-ADA) was first hosted at the Park Hotel, Mokopane on the 6<sup>th</sup> July to 8<sup>th</sup> July 2016. This conference aimed to bring together academics from a multi-disciplinary context to engage on one of the significant issue of debate today which is governance. Governance has become a buzz word for administration and development in modern academic discourse. In its 1st<sup>t</sup> Annual Conference the Scientific Committee deliberately crafted the theme “*Governance in the 21<sup>st</sup> Century Organisations:*” as a way of provoking debates that would ultimately bring about solutions to the conflicting relationships in which twenty first century organisations find themselves in with the many different stakeholders in organisations.

Indeed papers received for publication in these Conference proceedings addressed the theme from a variety of perspectives. A number of papers in this publication argue for the concept of governance from a multiplicity of perspectives. In general many papers in this collection addressed the concept of governance from its practice in government, Business, higher education, Economy and in the Regional African blocks.

All papers that are published in this Conference Proceedings went through a quality scholarship verification of Triple Blind Review process by specialists in the subject of Public Administration, Development and Public Governance. Papers which were accepted with suggested revisions were sent back to the authors for corrections before a final decision could be made by the Editorial Committee to publish them. The review process which determined the publishability of each paper contained herein was compiled in accordance with the editorial policy and guidelines approved by the Scientific Committee of the membership of the International Conference on Public Administration and Development Alternatives (IPADA).

The International Conference on Public Administration and Development Alternatives (IPADA) it's in its first year of existence but has successfully managed to draw together experts from the subjects' fields of Public Administration, Development Management, Human Resources and Local Government among others to engage and attempt to find solutions for governance problems in the 21<sup>st</sup> century organisations through dialogue and peer reviewed publication.

This compilation provides only 50 papers out of 147 paper abstracts received and read at the 1st Annual International Conference on Public Administration and Development Alternatives (IPADA) held at Mokopane, South Africa from July, 06-08, 2016. Indeed only 87 papers were reviewed in which 71 received favourable review reports and 12 were rejected and two papers never submitted for publication. While only 50 papers from this conference were published in the 1st Annual International Conference on Public Administration and Development Alternatives (IPADA) Conference Proceedings 2016, 16 other quality papers

from this conference were selected for publication in the *African Journal of Public Affairs*, a peer reviewed journal accredited with the International Bibliography of the Social Sciences (IBSS). This Conference proceeding is published online (ISBN no. 978-0-620-69683-8) and print (ISBN no. 978-0-620- 69682-1) in order to be accessible to as many academics, researchers and practitioners as possible.

This publication consists of 50 scientific papers contributed by authors from 15 South African Universities, 2 African Universities and 4 public and semi-public institutions. The Volume consists of 65% of papers published from varying institutions as per the requirements of the South African Department of Higher Education and Training Research Output Policy guidelines published in March 2015.

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## Foreword

In 1955 the views and aspirations of the people of this country, were consolidated into a document called Freedom Charter which is the main policy framework that guides the democratic government. At the top of its pronouncement is the call that the PEOPLE SHALL GOVERN. And this gave a clear policy direction that, once a democratic government is put in place, it would have to ensure creation and establishment of structures and systems that would enable the process towards creation of a democratic society characterised by non- racialism, non-sexism, democracy and prosperity.

Understandably, the 1994 democratic breakthrough brought in a new order based on the new constitution that replaced the apartheid government. And introduced governance systems and created institutions of democracy, and put at the centre the people as the primary clients of government. And profoundly gave them a responsibility to ensure participatory development, in fact legislated their involvement in the decision making processes of government, implementation and evaluation thereof. Therefore the engagement we are having tonight, is part of an on-going process of academic imperative and political significance, so that intellectual framework could be provided to meaningfully respond , to the complex issues of policy , governance , management and legislative realities facing government and public institutions.

Indeed exploratory discussions took the community of academics to Ottawa, Singapore, Rio de- Janeiro and London. Throughout that intellectual journey, the pertinent area of governance in the 21<sup>st</sup> century has been at the centre of discussion as countries of the world implement different models of governance. And therefore comparative analysis and continuous assessment is of essence to benchmark and advice accordingly. Our country globally has emerged as the best democracy with the constitution commended by almost every nation. This is an account on how successful we have been to transit from apartheid system to a democratic one.

This is important, given the responsibilities bestowed upon elected leaders and appointed public officials, to understand the systems of the governance for them to lead and manage with integrity and excellence. The people are expecting quality guidance and approach to issues of importance to their lives. Given the challenges and dynamics, that occur in the process of managing relationships between public institutions, public organisations, citizens and complexities of socio-economic management. And this is not a simple area of management given the challenges related to that. But we have been able to set systems and frameworks to guide how to go about that. This area needs serious attention for the success

of our agenda of pushing back the frontiers of underdevelopment and advance a revolutionary programme of position our country in the global arena of competitive relations.

During apartheid, thinking in government was based on processes and authority, as there were no standards set and the society had no role to play in the administration of public affairs except, been recipients of programs and insufficient services of poor quality. Platforms of engagements did not exist and as such the top down approach was the thrust of public administration. Hence the people heightened the struggle for liberation, freedom and democracy. For them to be able to determine their own destiny guided by the social forces of our national agenda. And in our country in deepening democratic governance, structures have been created, legitimised by laws of the republic and given powers of engagement and participation. As such there are, State Institutions e.g. Chapter 9 Institutions like Public Protector, Human Rights Commission, Auditor General; Civil Society Formations, Unions, Students formations, defined stakeholders and empowered communities, Nedlac and Demarcation Board.

And this is the broad context within which good governance is expected and exercised. And to manage relations to pursue our development agenda has not been easy and it would not always be, as such it needs attention and skills to perfect the given space in advancing the agenda. Let me just pick up one or two to elucidate the challenges of governance, the emergence of AMCU as a union in the mining sector was not without consequences. The Department of Minerals Resources, Labour and SAPS found themselves in a difficult situation as a result of the principles of democracy, freedom of association and basic conditions of employment.

In schools and Universities, student's formations are real players in the day to day running of education institutions, often resulting in class disruptions and violence, whenever there is a misunderstanding or disagreements on issues. This challenges management to provide leadership for the stability and progress of the institutions. And we have seen Universities doing their work in this **regard, including strengthening their collective leadership to tackle** challenges. Notwithstanding the broad related external factors mobilised by various interests.

And continuously bargaining with Unions in the chambers and at work places is not an easy exercise. And the Department of Public Service and Administration face challenges particularly during the salary negotiation season. Throughout every level of management, it's not easy to handle relations with Union and many times they have sacrificed leaders. For policies to be processed through NEDLAC government often finds it difficult and that affect the pace at which it has to move. eg introduction of dual labour system, incentive policy for unemployed youth the restructuring of the pension fund and the restructuring of electricity policy process had to be abandoned.

The Demarcations Board takes decisions which have far reaching political implications and



thereafter management of such has to be done by government. We have seen such at Khutsong, Moutse, Balfour and now Vhuwani. The Government is sitting with a serious challenge and it has to demonstrate its capacity to lead and manage. Failure to which may have ramifications of great proportions. Clearly this shows the need to internalise governance in all structures for them to appreciate the centrality of the citizens in whatever we do.

Through these structures, standards have been set and Government has to contest the public space and influence over society with them. And there have been serious issues of engagements at different times between government and these formations. Indeed institutions of society are strong, efficient, effective and powerful. Take Chapter 9 Institutions like the Public Protector in particular and civil society Organisation like Section 27, Corruption Watch, Right to Know and Equal Education. The Public Protector recently took decisions which shook the ruling party and in fact the whole nation. A decision unprecedented in the history of our country. Both the interests groups in education also took the education leadership to task on matters of norms and standards, infrastructure, study materials and policy provisions. Right to know as well engaged government on matters of key points even to the extent of expecting us to disclosing security points and plans of the state.

This complex public space, need public officials and elected leaders to have the philosophical understanding of serving the public, that they should give coherence to seemingly disparate situations and give meaning to ambitious trajectories, frame the narrative of hope for collective actions and understand the base of minds of key players. Importantly in doing so, they would ensure engagement, enable social innovation and enhance institutional legitimacy. For that's the building block for the success of our social democracy. Leading in this Era of Human Age, is very challenging, given that citizens do even challenge political decisions of parties that some do not even belong to. The recent Tshwane Crisis after the announcement of the Mayoral candidate is a clear indication of the profound space occupied by society in the national decision making processes. And many other public displeasures that have been demonstrated. All that need networks managers or what politically is called an All-Round Cadre. That is a well-trained activist who has theoretically and practically developed to a higher level in politics and is able to handle every situation no matter its nature. Indeed we need revolutionary bureaucrats who can advance the cause of our struggle for better life.

An outstanding feature of governance in this era of public affairs, which is at the heart of either success and challenges facing government, is the realisation that, there are fundamental principles of organisational democracy which forms the bedrock of governance. And if not applied sufficiently, we are bound to have problems and their daily application as well is a challenge, given our experiences that in almost every institution there are concerns of insufficient application of these principles; discipline, accountability, mandate, consultation, transparency, constructive criticism, democratic centralism and decisive-

ness.

In context, during the fees must fall campaign by students, Minister Ndzimande took a decision to cap the fees at 6% thinking that he is decisive, but the situation became worse. It was only after the President took over and sufficiently consulted that a solution was found. The basic values of a democratic society are enshrined in the constitution as opposed to the previous government, i.e., democracy, rule of law, freedoms, human rights, social justice, due processes to mention but few. And as such the elected leaders and public officials are facing a policy, governance systems and legislative environment different from the past, characterised by domestic and global challenges often with magnitude of disturbances thus making their work challenging and difficult, e.g. the administration of migrants dispensation and the trade relations:- USA chickens import into our country, where public officials have been made to enter into an agreement on something that they are not convinced about.

Given the concerns that the South African Veterinary Surgeons have on the suitability of those chickens to be consumed. The recent report of the Statistician General also points to critical areas of importance which need attention of public officials. While doing their work, there is an element of increased sophistication and complexity among public structures, expecting good governance, management, appropriate leadership and quantitative expansion of people's participation. And these challenges require a leadership that would drive and ensure qualitative participation and engagement in the interest of development and progress.

Leadership that drives persuasive communication and create an environment of trust that would bridge the never ending demands of the people and the resource capacity for appropriate response. Which is often a great challenge in many areas throughout the country. Clearly this points to the fact that leadership is a determining and a real factor, that drives every aspect of public life, without which we would never have a stable public administration and governance. Understandingly leadership has become a primary focal point of exploration, exercise and application to drive the 21<sup>st</sup> century development agenda of societies.

President Julius Nyerere once said after realising that he had walked a journey alone thinking that his comrades were with him in pursuing a socialist agenda for development, 'Whoever governs should not impose on the people in pursuance of political power'. It is clear that there are arenas of conflicts emanating from either society, bureaucracy and politics, as a result of knowledge based society as the phenomenon of the 21<sup>st</sup> century governance systems. The people are expecting at all times from leaders and managers, distributive justice e.g., pay benefits, recognition, scholarships, budgets and projects. Their justice perception contributes to their attitudes, the climate and behaviour which is often characterised by intransigency, impatience and destruction of properties.

The people have been empowered and are active in every sphere of life and this makes

governance very challenging. In many instances we are found wanting and struggling to meet their expectations. However, we have occupied a position of importance in the general discourse to advance good governance and public sector transformation.

Unlike in the past, there are issues that are being raised daily as challenges that need attention and in many instances they are the triggers of confrontations and continuous engagements; Corruption, racism, tribalism, poverty, unemployment, underdevelopment, spatial planning, land access, globalisation, economic challenges, governance, fiscal and monetary management and the riches traversing the landscape that are not beneficial to society. And to respond to these matters, is a huge task because there is a need for sound policy designs, legislative tools and managed execution which is often not easy given the myriad of opinions and the broad base of views on policies. And as such to conclude a policy takes a long time and the actual delivery is affected in many instances. eg minerals, land, and transformation of the economy.

The historical intersection of relations of power is based on class, race and gender. And these social and or biological features were used to exclude and retard progress of individuals and communities. And today we are supposed to deal with that, and it's not easy given the institutionalisation that has occurred and the fact that the world has become a theatre of narrow interests, instead of the collective well-being of humanity.

Social transformation has to be advanced and put in place elements of social cohesion, close the gap between the rich and the poor, minimise class contradictions, increase the middle class in the contested terrain of ideological discourse and empower women. So that, we could deal with features of patriarchy within the context of transforming traditional institution, given the entrenched role of traditional leaders. Clearly governance won't be easy in this regard and the public officials will find it very difficult to navigate through. There are structures and formations created as platforms of engagements, to protect the privileges thus making it difficult to address the historical contradictions. However through transformation programmes, progress has been recorded despite the related challenges in dealing with the fundamentals that are affecting the society.

Having said what i have said, I hope and believe that this journey and gymnasium of academic minds will continue to contribute immensely in the affairs of the nation. It will continue to shape and influence the course of events on governance in the interests of progress, as we advance an agenda towards creation of a national democratic society.

Honourable Namane Dickson Masemola, Limpopo Provincial legislature

# TABLE OF CONTENT

NS Modiba.....	1
<b>THE INDISPENSABILITY OF GOOD GOVERNANCE TO SUPERIOR PERFORMANCE BY PUBLIC SECONDARY SCHOOLS</b>	
A Malapane.....	11
<b>HOLDING THE EXECUTIVE ACCOUNTABLE: PARLIAMENT AS THE BEACON OF HOPE TO THE PEOPLE</b>	
T.S. Masipa.....	23
<b>THE NEXUS BETWEEN GOVERNMENT EFFECTIVENESS AND CORRUPTION IN SOUTH AFRICA</b>	
MS Mitileni.....	39
<b>WATER RESOURCES MANAGERMENTS PRIORITIES IN RURAL AREAS: A CASE OF GOOD GOVERNANCE AS SUSTAINABILITY AND NOT OPPORTUNISM</b>	
MS Mitileni, OJ David, AM Letsoalo , J Sebake and TP Mpapane.....	53
<b>ROLE OF LOCAL GOVERNMENT IN COMMUNITY SAFETY: A CAPABILITY APPROACH IN CRIME PREVENTION METHODS</b>	
<i>M.G. Raphala and K.B. Shai</i> .....	68
<b>RE-EVALUATING THE EU'S EXTERNAL HUMAN RIGHTS AND DEMOCRATIZATION POLICY: A CRITICAL ANALYSIS ON ZIMBABWE</b>	
BK Sebake.....	79
<b>INSTABILITY AND CORRUPTION IN STUDENT GOVERNANCE CAUSED BY TENDER SYSTEM IN UNIVERSITIES IN SOUTH AFRICA: SELECTED CASES FROM UNIVERSITIES OF TECHNOLOGY</b>	
FD Mabasa and E Mabasa.....	90
<b>THE PORTRAYAL OF WOMEN IN SOUTH AFRICAN MUSIC VIDEOS</b>	
PR Msaule.....	97
<b>THE IMPLICATIONS OF SECTION 19 (1) (b) OF THE CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA (RSA), 1996 ON THE RELATIONSHIP BETWEEN POLITICAL PARTIES AND THEIR CONSTITUTENCIES</b>	

MM Mashamaite.....	110
<b>THE WELFARIST APPROACH IN PUBLIC ADMINISTRATION:</b>	
<b>A NEED FOR A PARADIGM SHIFT TOWARDS A SUSTAINABLE RURAL SOUTH AFRICA</b>	
<i>KA Mashamaite and KR Moloto.....</i>	121
<b>ALIGNING INTEGRATED DEVELOPMENT PLAN, SERVICE DELIVERY AND BUDGET IMPLEMENTATION PLAN AND BUDGETING: AN ATTEMPT TO ENFORCE SERVICE DELIVERY MONITORING IN SOUTH AFRICA'S LOCAL MUNICIPALITIES</b>	
<i>PD Semosa and IP Mongale.....</i>	133
<b>THE EFFECT OF MACROECONOMIC VARIABLES ON INFLATION:</b>	
<b>A CASE FOR SOUTH AFRICA.</b>	
<i>KI Theletsane.....</i>	152
<b>CRITICAL ANALYSIS OF THE MILITARY OMBUDSMAN ACT 4 of 2012</b>	
<i>MS Maleka , SL Vuma and K.B. Shai.....</i>	166
<b>Probing the phenomena of "African Unity" as the pillar of the African Union</b>	
<i>M Masenya.....</i>	178
<b>GENDER DISCRIMINATION AND THE CAPITALIST ECONOMY IN POST-APARTHEID SOUTH AFRICA</b>	
<i>J Gumbo.....</i>	189
<b>INFUSING RESEARCH ACTIVITIES INTO COMMUNITY ENGAGEMENTS:</b>	
<b>A STUDY OF SOUTH AFRICA</b>	
<i>RA Mulelu and MX Lethoko.....</i>	203
<b>IMPLEMENTATION OF THE WARD BASED OUTREACH TEAMS PROGRAMME IN THE RURAL AREA OF KGETLENG SUB-DISTRICT, NORTH WEST PROVINCE</b>	
<i>TM Ntsala and MR Mahlatji.....</i>	218
<b>STUDENT REPRESENTATIVE COUNCIL: ADDRESSING INFORMATION NEEDS OF STUDENTS AND EVALUATION OF INFORMATION DISSEMINATION CHANNELS USED BY THE SRC OF THE UNIVERSITY OF LIMPOPO</b>	
<i>FT Maswanganyi and EM Nkoana.....</i>	235
<b>AN EXAMINATION OF FACTORS HINDERING THE GROWTH OF MEDIA FIRMS IN CAPRICORN DISTRICT REGION OF LIMPOPO PROVINCE, SOUTH AFRICA</b>	

<i>KI Makalela</i> .....	245
<b>INTEGRATED DEVELOPMENT PLANNING PROCESS AS A COHERENT STRATEGY FOR SERVICE DELIVERY BACKLOGS: A CASE STUDY OF LEPELLE-NKUMPI LOCAL MUNICIPALITY</b>	
<i>S Phiri and L Prosapio</i> .....	255
<b>THE IMPACT OF SOCIO-ECONOMIC DEVELOPMENT INITIATIVES ON TRANSFORMATION AND PERCEPTIONS OF WELLBEING OF WINE FARM LABOURERS</b>	
<i>SA Rankoana , HM Tirivangasi, SS Mugambiwa and K Malatji</i> .....	273
<b>LESSONS FROM POST-APARTHEID SOUTH AFRICA FOR A VIOLENCE IMBUED PROTEST CULTURE</b>	
<i>PH Munzhedzi</i> .....	283
<b>THE STATE OF COMMUNITY PARTICIPATION IN SOUTH AFRICA: A CRITICAL REVIEW</b>	
<i>TI Mokgopo</i> .....	298
<b>THE ROLE OF KING III REPORT ON CORPORATE GOVERNANCE IN IMPROVING POOR SERVICE DELIVERY IN THE SOUTH AFRICAN GOVERNMENT</b>	
<i>NE Mathebula</i> .....	320
<b>CHALLENGES INHIBITING AFRICA'S SOCIO-ECONOMIC DEVELOPMENT AND RELATIONS</b>	
<i>IP Mongale</i> .....	331
<b>ECONOMIC GROWTH, GOVERNMENT EXPENDITURE AND EXCHANGE RATE NEXUS IN SOUTH AFRICA</b>	
<i>S Makwembere</i> .....	344
<b>TECHNOLOGY AND WORKER MARGINALISATION: A CASE OF LOCAL E-GOVERNMENT AT CITY OF CAPE TOWN</b>	
<i>HE Zitha, MP Sebola and MA Mamabolo</i> .....	359
<b>COMPLIANCE TO PROCUREMENT PROCESSES, DEVIANT BEHAVIOUR AND EFFECTS ON SERVICE DELIVERY IN THE PUBLIC SECTOR</b>	
<i>K Molosi and K Dipholo</i> .....	374
<b>POWER RELATIONS AND THE PARADOX OF COMMUNITY PARTICIPATION AMONG THE SAN IN KHWEEN AND SEHUNONG</b>	

L Mmotlana.....	386
<b>CONTRIBUTION AND CHALLENGES OF THE INFORMAL SECTOR TO JOB CREATION IN SOUTH AFRICA</b>	
KA Mothibi.....	397
<b>LOCAL GOVERNMENT AND CRIME PREVENTION:AN EVALUATION OF POLOKWANE MUNICIPALITY'S INVOLVEMENT IN CRIME PREVENTION</b>	
PR Mthombeni and MX Lethoko.....	414
<b>SERVICE DELIVERY PROJECTS FAILURE IN THE GREATER GIYANI LOCAL MUNICIPALITY IN THE MOPANI DISTRICT</b>	
EM Nkoana and FT Maswanganyi .....	429
<b>WHAT IS IN A WORD? IMPLICATIONS OF UNIVERSITY -COMMUNITY ENGAGEMENT CONNOTATIONS AT HIGHER EDUCATION INSTITUTIONS</b>	
S Ndou.....	439
<b>STATE AND CIVIL SOCIETY RELATIONS PERSPECTIVES FOR GOOD GOVERNANCE: PROPOSITIONS FOR THE AFRICA AGENDA 2063 ASPIRATIONS</b>	
TM Ramoroka, JP Tsheola and MP Sebola.....	454
<b>GOVERNANCE OF BLENDED PEDAGOGIES IN THE 21ST CENTURY FOR PARTICIPATION IN THE KNOWLEDGE ECONOMY</b>	
NS Matsiliza.....	468
<b>SOUTH AFRICA'S ROLE IN THE SADC COMMUNITY REGIONAL INTEGRATION</b>	
P Mulaudzi, LB Juta and AP Tsanwani.....	479
<b>EXPLORING STATUS OF CHIEFTAINCY IN THE MODERN ERA</b>	
S Kyohairwe .....	489
<b>CHALLENGES AND CONSEQUENCES OF MANAGING PRIMARY ELECTIONS IN EMERGING MULTIPARTY DEMOCRACIES: A CASE OF UGANDA</b>	
K Dipholo and K Molosi .....	499
<b>THE INCREASED ROLE OF TEACHER UNIONS IN PARTY POLITICS IN BOTSWANA: THE GOOD, THE BAD AND THE UGLY.</b>	
LB Mzini.....	513
<b>MONITORING PERFORMANCE OF THE PRO-POOR FUNDED COMMUNITY FOOD SECURITY PROJECTS IN THE GAUTENG PROVINCE</b>	

F Golele and M Rachidi .....	528
<b>THE ROLE OF TRANSFORMATIONAL LEADERSHIP IN ACHIEVING GENDER EQUITY IN THE DEPARTMENT OF HEALTH LIMPOPO PROVINCE.</b>	
R Ndou and M.T Silima.....	542
<b>THE IMPACT OF SERVICE DELIVERY STRIKES IN SOUTH AFRICAN MUNICIPALITY</b>	
T Silima.....	560
<b>GOOD GOVERNANCE AND CONFLICT RESOLUTION IN AFRICA</b>	
CPM Ngoasheng, MA Dikotla and LA Makgahlela.....	572
<b>THE CONTRIBUTION OF RECORDS MANAGEMENT TO GOOD GOVERNANCE AND ACCOUNTABILITY IN THE TRADITIONAL COUNCIL OFFICES</b>	
NI Makamu and DM Mello.....	586
<b>ASSESSMENT OF PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN THE DEPARTMENT OF ARTS AND CULTURE</b>	
M Mokomane, and M Rachidi.....	604
<b>THE SIGNIFICANCE OF TRANSFORMATIONAL LEADERSHIP IN PURSUING GENDER PARITY IN THE DEPARTMENT OF SOCIAL DEVELOPMENT, LIMPOPO PROVINCE</b>	
R Moloele.....	615
<b>KEEPING COMMUNAL PROPERTY ASSOCIATION'S NOSE ABOVE WATER: ISSUES, TRENDS AND CHALLENGES OF MORETELE CPA AT VAALBOSCHHOUT FARM.</b>	
S. Chikwema and K. Wotela.....	627
<b>DERIVING A CONCEPTUAL FRAMEWORK FOR A FORMATIVE EVALUATION OF THE CITY OF JOHANNESBURG 'SEPARATION OF POWERS' PILOT PROJECT</b>	
SK Mokoena.....	648
<b>THE EFFECTS OF POOR COMMUNICATION IN SOUTH AFRICAN LOCAL MUNICIPALITIES</b>	



# THE INDISPENSABILITY OF GOOD GOVERNANCE TO SUPERIOR PERFORMANCE BY PUBLIC SECONDARY SCHOOLS

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## ABSTRACT

*The paper critiques why good governance is hard to come by in public secondary schools despite its usefulness. The paper is conceptual and empirical in nature. Document study and interviewing technique such as face-to-face individual interview were used to collect data from three selected secondary schools in one of the Districts of Limpopo Province. Research findings reveal that, mistaking satisfactory performance to good governance prevents schools from knowing how the two are not synonymous. Secondly, dearth of knowledge that good governance thrives where there are systems and structures in place, contributes to its absence in schools. Thirdly, mismatch between leadership styles and contexts of their implementation, hampers noticing the benefit of good governance in secondary schools. Therefore, public secondary schools to embrace the 21<sup>st</sup> century manner of managing and leading schools where good governance is encouraged. Such a change of focus stands to alert schools to the importance of good institutional governance other than sticking to its avoidance.*

**Keywords:** Context, Culture, Structures, Systems.

## 1. INTRODUCTION

A sound governance has to be an aspiration of every school. Gold (2016: 8) emphasises that institutions, good governance remains a stress-buster for all the organisational incumbents. This suggests that if sound governance is in place, then not a single member would be heard of complaining of stress-related challenges. Sebola (2015: 610) comprehends governance as the creation of a structure and order which cannot be externally imposed, but is as a result of interaction between a multiplicity of governing nodes which influence each other in creating a certain order or behaviour. Schools require order and a certain way of behaving by all its members for

its success with its core-function of teaching and learning. This is exactly what governance brings to educational institution. In the context of a school, governance has to be internally generated other than being externally imposed, so that it remains relevant to the ethos and ways of doing things in that school. Governance could nag all institutional incumbents to always wish to serve a school with aplomb and distinction. Clarke (2009:14) regards governance to be the act or manner of governing an educational institution. This implies the office or function of governing. Broadly, this signifies that governance encapsulates traditions that determine how authority is exercised in a particular educational or-

organisation with the intention of carrying out the mandate of that institution. Governance is indispensable especially in a schools categorised underperformance or dys-functional. Msila (2016:31) articulates that governance will have a potential of steering the half-sinking ship into the bay of educational transformation and social change. Sound governance could transform a school struggling to produce brilliant and exquisite learner results to register quality learner performance. Sound governance teaches civil ways of engagement for institutional members especially when faced with insurmountable predicaments. It can decimate organisational challenges other than aggravating them (Fox, 2010, Theletsane, 2014 & Moyo, 2015:16). Khoza, (2015:43) and Masina (2015:24) contend that a healthy and responsive governance, delivers a quality schooling to learners. Nkuna (2015:120) and Tisdall (2015:15) remark that apartheid has instilled in African professionals and their learners a sense of self-hate and inferiority complex to the level of battling to create a sound governance through which they would use to govern, manage and lead their secondary schools with dignity and pride. Brilliant governance is indispensable especially where a school is not paying any lip service to the concept of a sound governance system. Inefficacious governance benefits no one in public secondary schools (Yukl, 2006, Motsepe, 2015:5). Many secondary schools experience unsound governance that prevents them to shine educationally. Shejvali (2015:34) and Siswana (2007:182) assert that conspicuous indicators of inefficacious governance are the dysfunctional

institutional systems and structures there.

## 2. THEORETICAL CONSIDERATIONS

Welman, Kruger & Mitchell (2005:12) retort that a theory represents a mental view of phenomenon or a system and normally forms the basis for a chain of reasoning. This signifies that when one advances a particular argument on a phenomenon such as disregarding the indispensability of governance, utilisation of a theory makes one's argument to hold substance. The Critical and the Complexity Leadership theories underpin this paper. The relevance the researcher finds in them in terms of illuminating issues of sound governance is behind their choice. One of the principles of these theories is ensuring that change in the form of governance becomes an integral part of every school's effectiveness. The other principle centres around steering the stakeholder collective towards the direction of accomplishing the vision and mission of a school. These theories emphasise that as regards sound governance for secondary schools, it takes complexity to defeat complexity. The other principle is that these theories are not grounded on bureaucratic structures but in complexity. The Critical and the Complexity Leadership Theories view governance to be evolving and capable of producing adaptable learner results. The selected theories regard governance to be adaptive, administrative and enabling leadership to be efficacious for public secondary schools. These shared principles were behind the choice of these theoretical perspectives for this paper. Suffice to stress that governance is characterised by complexity which emanates from the rapidly changing interactions, policies and regulations applied in a particu-

lar public secondary school and beyond (Uhl-Bien, Marion & McKelvey, 2007:58). The fundamental principles of these theories were helpful in clarifying how lack of sound governance perpetuates inequality between learners. For instance, on the one hand learners from Limpopo Province under Capricorn District found themselves attending schools where there were no sound governance in their learning institutions, something which was not the case with learners of other Provinces. The predicament with such a sordid state of affairs could be that some learners would already be advantaged by where they are schooling much as others are already disadvantaged (Motsepe, 2015:5). Lack of strong governance may make it difficult for school governors and managers to be accountable to their stakeholders, namely, learners and parents. In this paper the utilisation of the Critical and the Complexity Leadership theories was informed by their encouragement of reflective and analytical thoughts as regards lack of sound governance in most public secondary schools. The question to pose is whether their absence is a deliberate or a demonstration of a sheer incompetence by the three secondary schools under study. The said theories were better placed to adequately and convincingly respond to such a question (Moyo, 2015:16). The theories reveal that inequality in schooling in the form of experiencing sound governance in school and failure to witness it, could be entrenched where stakeholders are docile and gullible and not standing up for their trampled upon quality schooling rights. The Critical and the Complexity Leadership theories are a basis for approaching, understanding and interpreting the whole issue of unsound gover-

nance as occurring in some of the Province's public secondary schools. Higgs and Smith (2010:67) advise that knowledge and how we understand truth, including scientific truth, moral truth and historical truth should not be separated from everyday life. This implies that comprehending how decent schooling is denied to legitimate recipients, namely, learners and parents, the context of the manifestation of that denial is important. These theories assist in arriving at the root cause of the inefficacious governance as experienced by many African public secondary schools (Van Niekerk & Van Niekerk, 2009:12). The other relevance of the two theories could be traced back to their emphasis of public administration ethics which is the study of good and bad behaviour by human beings especially in the manner in which they interrelate and interact in a schooling environment. The legitimacy and credibility of these theories as regards the worrying effects of inefficacious governance defining and characterising many public secondary schools, is not in doubt. They advise against separating "real life testing" from scientific theories. This is to imply that scientists are bound by social reality and norms as much as the rest of all the people, including learners who benefit from the availability of governance in schools. Olivier (2012:56) reminds that there could be a stage where learners revolt against lack of sound governance in their schools.

The researcher contends that it is the Critical and the Complexity Leadership Theories that could productively illuminate the problem which this paper addresses (Allen, 2015:11). This paper critiques why some public secondary schools continue to avoid good governance, despite its proven use-

fulness. The complexity of the problem necessitated the combination of the Critical and the Complexity Leadership theories in this paper. The theories advocate for critical reflection on schooling, in order to discover the hidden assumptions behind the avoidance of sound governance by schools and its embracement by others (Higgs and Smith, 2010:72). The Critical and the Complexity Leadership theories teach that public secondary schools require to be emancipated from inefficacious governance experienced daily, sooner rather than later (Arden, 2013: 38). Schools do not have to wait for its unpleasant conditions to spread further. This suggests that how public secondary schools normally think and act, is the product of many years of being subjected to circumstances that either facilitate or inhibit quality and decent schooling to learners through a sound governance system (Tisdall, 2015:15).

### 3. PROBLEM STATEMENT

Hofstee (2010:107) advises that there is a distinction between the research topic and the research problem. On the basis of the above, the problem of this paper is critiquing why some public secondary schools persist to shun away good governance despite its worldly acknowledged and recognised impact on excellent learner performance. A plethora of literature reviewed confirms that it is public secondary schools that are naturalised to perform better without sound governance, who are likely to underrate its significance. Managing and leading a school without sound governance is tantamount to taking the stakeholders for granted. This is a disservice to mainly internal stakeholders of a school. This practice of despising stakeholders, is as

old as mountains themselves and it is more prevalent in public secondary schools than in the private ones. The question to pose is why such a sordid state of affairs there? This is due to the suffered colonialism in Africa, and apartheid in the case of South Africa, whose legacies are lingering on. Managing a school devoid of sound governance has devastating effects one of which is deprivation of decent schooling to innocent learners.

### 3. RESEARCH QUESTIONS

The research questions addressed in this paper are anchored on the Critical and the Complexity Leadership theories (Higgs & Smith, 2010:88). Those research questions are as follow: What are the roles and significance of governance structures and systems that are clearly crafted in line with the conditions and governance incumbents populating an educational institution, in enhancing and reinforcing superior performance by public secondary schools? What are the ideas, concerns and aspirations of governance incumbents regarding the shifting and the strengthening of the administrative efficacy?

Broad as they are, the above questions can be broken down into the following sub-questions:

- How are governance structures and systems that lead to superior performance created?
- Who benefits most in public secondary schools when there are functional structures and systems ?
- How best to replace un-impactful governance with an efficacious

one in a school?

- How is a superior performance of a public secondary school linked to structures and systems there?

#### **4. RESEARCH METHODOLOGY**

Out of the population of fifteen public secondary schools in a circuit, three were purposively sampled. And in each institution, a School Principal, an SGB Chairperson and a Teacher serving in the SGB were identified for interviewing purposes. The total number of research participants amounted to nine because every school contributed three. The three schools critiqued as regards the contribution of governance to excellent scholastic learner results, were being referred to as Schools A, B and C to protect their actual identities. That there were public secondary schools still having shaky governance, was a cause for concern that triggered this in-depth study on governance. This paper is qualitative in nature because the problem addressed is critiquing why some public secondary schools avoid good governance at all costs despite its known usefulness to the production of superior learner results. The nature of the problem was found to be researchable along the qualitative school of thought as against the quantitative line of thinking (Dawson, 2006 & Levin, 2005). The choice of the qualitative research methodology was also triggered and orchestrated by the utilisation of the Critical and the Complexity Leadership Theories. The researcher found a need to create a synergy between the two theories and the qualitative approach as the overarching research methodology (Hofstee, 2010: 115). Msina (2015: 24) notes that with both the Critical and the Complexity Leadership theories underpinning

the paper, issues of governance are better interrogated. The theories were applied to establish why some schools avoided good governance while others enjoy embracing it. Amalgamation of the Critical and the Complexity Leadership theories and the qualitative research approach was based on the complexity of the problem under study. The amalgamation of theories enabled the researcher to make an in-depth understanding of how despite many years since colonialism and discriminatory schooling formally ceased to exist, its effects remained firmly in place. The fact that some public secondary schools are not yet embracing good governance is a confirmation of this. In this paper, document study and interviewing techniques were utilised to construct relevant data. All the documents, primary and secondary which contained information about governance by public secondary schools, were studied. To corroborate and triangulate the gleaned data, interviewing was conducted with three participants in each school. Responses were audio-taped for transcription later-on. The two data collection tools were helpful in terms of accessing information pertaining to how inefficient governance in public secondary schools, reduces learners into sub-human beings denied of quality and decent schooling (Glatthorn & Joyner, 2005). Document study and interviewing techniques were well fitted to Critical and the Complexity Leadership theories and the qualitative research approach.

#### **5. FINDINGS AND DISCUSSION**

The basis of these findings is the analysed data which were generated through the

document study and the interviewing technique. Furthermore, paying attention only on those sampled schools ought not create an impression that they are worse-off as regards inefficacious governance. Suffice to disclose that the choice of those three public secondary schools, was on the basis of the researcher having familiarised himself with issues of governance in those institutions, down the years. Some of the documents containing valuable data that emerged helpful as regards sound governance in the sampled schools included various policies used to manage those schools as well as reports and minutes of gatherings held. The Critical and the Complexity Leadership theories were instrumental in the analysis of data to ultimately emerge with these findings. Findings for discussion in this paper are the following: Mistaking satisfactory performance to good governance prevents schools from knowing how the two are not synonymous. Secondly, dearth of awareness that good governance thrives where there are systems and structures, contributes to its absence in some schools. Thirdly, a mismatch between leadership styles and contexts of their implementation, hamper noticing the benefit of good governance in schools. The discussion of the findings would confirm that good governance is one of the sources of superior performance by learning institutions. A detailed discussion of each finding follows.

### **5.1 Systems and structures as part of good governance**

Exquisite execution of governance functions in the context of a school occurs with much ease after the establishment of the necessary structures, systems, policies, pro-

cedures and processes. The South African Schools Act 84 of 1996 proclaims that doing such is the competency of the school governors (Brunton, 2003: B-11). Superior performance of secondary schools owes its origin to sound governance. School Principal 1 of School A advises that “there is no gain-saying the fact and reality that a visionary SGB which is constituted by tried and tested governors could be more than helpful to a school principal in terms of formulating policies, systems and structures like no other for a principal to operate within when leading and managing a school”. Teacher 2 of school C shares that “I was more than privileged to serve in a primary school whose policies, structures and systems were simply matchless because of having being prepared by governors who knew exactly what was best for that school”. School governing body chairperson 2 of school A asserts that “without a sound governance which is based on functional policies, systems and structures, any school irrespective of the unequalled competency of a principal, would always pull hard to perpetually produce praise-worthy learner results”. The utterances of the research respondents call for the taking seriously of strong governance by schools for the sake of salvaging the future of its learners. The validity of the expressed views are found in the review of literature. For instance both Tsheola, 2002, Mbeki, 2003, Madue, 2013 & Zwane, 2015:10) emphasise that efficacious governance is what 21<sup>st</sup> century organisations so much require and demand for the sake of their smooth operations.

### **5.2 Mistaking satisfactory performance for good governance**

As regards schools mistaking their continu-

ous satisfactory performance for good governance, that can only be declared and labelled unfortunate (Macha, 2016:23). On this challenge School Principal 3 of school C cautions that “my experience of having being a principal for no less than two decades keeps on reminding me, that it is good governance and only good governance which could guarantee the stability of the institutional performance of a school for long”. Teacher 3 of the same school agrees when stating that “show me a single school whose learner performance is annually excellent, which is not producing those mouth-watering pupil results being helped by a sound governance”. School governing body chairperson 2 of School B accentuates that “having noticed what a sound governance does for this school, it will not be soon for me and my SGB to abandon it”. The researcher fully aligns himself with the observation by the research respondents about scholastic learner achievement being ascribed to sound governance. Literature reviewed confirms in no uncertain terms the expressed views. For instance, Gobillot (2008) and Cunha, Filho & Goncalvers (2010) advocate for the indispensability of a sound governance system towards the functionality of schools.

### **5.3 Mismatch of leadership styles to context of their implementation**

Allen (2014: 9) remarks that as long as the creation of efficacious governance is not taken as a priority by many public secondary schools, then matching governance to leadership styles practised there, could remain an unabated challenge. Apart from governance relying on the creation of appropriate systems, structures, policies, procedures and processes for its success

in schools, matching it to the context and the leadership style practised in a school is necessary. Teacher 1 of School A emphasises that “despite having less than 15 years teaching experience, I have personally witnessed good intentions in schools failing because of ignorance of the context of operation and incumbents’ preferred leadership style there”. School principal 3 of school C reasons that “attempts to operationalise ideas however noble they could be, to the total disregard of the context of implementation and the leadership style required, would make one taste an instant failure”. School governing body chairperson 1 of school A reminds that “the school context, just like any other institutional environment as well as a particular leadership pattern, are as strong as the governance which every school requires”. Responses of participants are spot-on in disclosing that disregarding the context or environment where a school operates within and the preferred leadership style by incumbents, are a recipe for an institutional failure. This is vindicated by countless literature reviewed such as (Omano, 2005, Kouzes & Posner, 2007, Thornhill & Van Dijk, 2010, Sebola, 2012, Qwabe, 2013 & Tisdall, 2005:15).

## **6. CONCLUSION**

African public secondary schools need to deal with lack of sound governance sooner rather than later. This will enable them to improve their scholastic learner performance. It is immaterial whether governance-hurdles experienced by schools are internally generated or externally imposed. The question to ask has to be: what is it that every individual African school is doing to craft governance structures that enable it to operate differently? School governors have to

put their schools' interests in a trajectory of forward development and movement. This is possible with sound governance that is well-tailored to incumbents and institutional conditions. Such a healthy governance system needs to be free from euro-centric models and general institutional rigidity. Postponing to create sound governance by African public secondary schools, could allow learner underachievement, instability and general institutional dysfunctionality to soar. There are copious examples visible in some public secondary schools, confirming that brilliant governance enables a school to produce first class learner performance.

## 7. RECOMMENDATIONS

The bases of these recommendations are the discussed findings which are as follow:

There is a need for public secondary schools to fathom why sound governance is being underrated; despite its known efficacy in

terms of generating unabated institutional performance everybody would have a reason to identify himself or herself with at school.

There is a need by public secondary schools to embrace awareness that sound governance, requires structures, systems and processes through which it would flourish and thrive and remain impactful and ever well-meaning to the sterling performance of a school. That could first occur through the creation of governance ethos that promotes a school's exquisite and maverick learner results.

Lastly, there is a need to reconcile good governance in secondary schools with leadership styles practised there as well as the nature of the school environment to enable the success of the practised leadership style.

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# HOLDING THE EXECUTIVE ACCOUNTABLE: PARLIAMENT AS THE BEACON OF HOPE TO THE PEOPLE

A Malapane  
Gauteng Legislature

## Abstract

*In recent times, the work of Parliament has been receiving attention on the public domain and discourse. This however does not necessarily mean that it successfully fulfils its mandate to hold the executive accountable. Parliament has been faced with various challenges that have placed doubt in its ability to oversee the executive. Hence, this paper examines whether the South African Parliament has a potential and capability to hold the executive to account for its actions or inactions. This is done through inter alia revisiting the systems, procedures, and mechanisms as well as the environment where oversight is performed. In addition, this takes into consideration the theme of Parliament for 2016 which is: "following up on our commitments to the people". Shija (2012) argues that the true test of a maturing democracy should be determined by the extent of the government's response to the needs of the people. In this regard, the paper argues that Parliament should be the beacon of hope to the people, and be in a position to hold the executive accountable for its activities.*

## 1. INTRODUCTION

Parliament is an institution of democracy responsible for law-making, conducting oversight over the executive and facilitating public participation among others (Madue, 2012:431). It is mandated to ensure that government delivers to the needs of communities. This refers to the constitutional obligation to hold the executive accountable (Shija, 2012:5). Conversely, the South African Parliament has been facing public scrutiny in a time wherein the country is relishing over 21 years of democracy (Seedat & Naidoo, 2015:3). This is a significant time and milestone in the country wherein scorecards and reviews are released with the aim to consider the performance of the

country's democracy through assessing institutions of democracy. In this instance, Parliament is one of the most important institutions of democracy (Shija, 2012), which is regarded as a representative body of the people.

It is for this reason, among others, that organisations such the World Bank Institute and Inter-Parliamentary Union have directed their efforts in strengthening the ability of Parliament to perform its roles effectively (Stapenhurst & Pelizzo, 2006). This particularly relates to the ability to oversee the executive. It is the contention of this paper that recent events and discourse affecting Parliament have placed doubt in its ability to hold the executive accountable. For

example, the landmark judgement by the Constitutional Court (*Cases CCT 143/15 and CCT 171/15*) on how Parliament poorly dealt with the Nkandla issue in response to the *Public Protector's findings* raises several questions in the public discourse and domain (Business day Live, 2016). Then one of the central questions is: *does Parliament has a potential and capability to hold the executive accountable?*

From the foregoing, Stapenhurst and Pelizzo (2002) underline that for Parliament to effectively hold the executive to account it needs to understand the significance of its roles. This is in part assuming that Parliament as an institution and Members of Parliament (MPs) as legislators know their roles, hence understanding the importance of their roles is a crucial facet. It is interesting that in recent times the public is continuously engaged with the work of Parliament; however, this in-turn has not made its work easy as each step it take is under public scrutiny. Therefore, taking into account direct or indirect positive connotations of the new theme of Parliament for 2016, which is coined as "following up on our commitments to the people", the paper examines whether Parliament has a potential and capability to oversee the executive.

As a point of departure, it is important to put assumption aside and provide a clear conceptualisation of the term oversight.

## 2. CONCEPTUALISATION OF OVERSIGHT

In the conceptualisation of the term oversight which is the bone of contention in the paper, the premise is founded in Section 55(2) of the Constitution of the Republic of South Africa, 1996. It stipulates the roles of Parliament to oversee the activities of

government and any organs of state. The Oversight and Accountability Model of the South African Parliament (2009) also acknowledges that legislative organs of state are mandated by the Constitution of the Republic of South Africa, 1996 to scrutinise and oversee executive action and any organ of state *inter alia* State-Owned Enterprises (SOEs). This forms the basis of what oversight entails; however, various scholars have outlined their views on what the concept of oversight pertains.

In consideration of the literature review, Schick (1976) cited in Pelizzo, Stapenhurst and Olson (2006:8) asserts that oversight comprises of the supervision of policies and programs ratified by the executive. Johnson and Nakamura (1999:4) are also of the opinion that oversight happens subsequent to the enacting of legislation. Oversight consists of scrutinizing the correctness and efficiency of policies and programmes implemented. These denotations support the long held view that Parliament is a reactive institution because its function transpires after an event has taken place. Contrariwise, Pelizzo *et al.* (2006:8) agree with the delineation provided by Maffio (2002) that oversight also comprises of the supervision of government's plans before their implemented by the government and any organs of state.

This infers that oversight can be conducted *ex ante*- before and during the implementation of a programme – as well as *ex post*, after its implementation (Pelizzo & Stapenhurst, 2004: 3-4; Pelizzo *et al.*, 2006; Stapenhurst & Pelizzo, 2002 in Madue, 2012: 434). This is in contradiction to the orthodox that Parliament respond to the activities of government to determine value for money

which for this reason is mostly criticised of being reactive than proactive institution. Moreover, Zvoma (2010:3) is of the opinion that oversight is not the same as supervision. This is not a contrary view to the prior explanations of oversight; but the author argues against the use of the concept supervision, which is justified as to respect the separation of powers.

Madue (2013:39) observes that oversight is a vehicle to hold the executive accountable in realising the programmes enacted and adequate spending by the executive. Lees (1977:193) defines oversight as “the behaviour by legislators and their staffs, individually or collectively, which results in an impact, intended or not, on bureaucratic behaviour”. On the other hand, it is argued that oversight is a process that should be discussed in the framework of democracy (Shija, 2012:1). Particularly, oversight should ensure that the policies of the government represent the needs of the people (Yamamoto, 2007:9). The oversight role of Parliament should be to the benefit of all citizens of the country and this should be emphasised.

Furthermore, Oversight Model of the South African Legislative Sector (2012:4) defines the concept of oversight as “the proactive interaction initiated by a legislature with the executive and administrative organ that encourages compliance with the constitutional obligation on the executive and administration to ensure delivery on agreed-to objectives for achievement of government priorities”. It is crucial to note that this definition attempts to capture both *ex-ante* and *ex-post* events, and further asserts the significance of parliamentary oversight which is a constitutional obligation.

### 3. THE SIGNIFICANCE OF PARLIAMENTARY OVERSIGHT

Parliamentary oversight is good for the proper running of a democratic system of government (West & Copper, 1989; Pelizzo & Stapenhurst, 2006; Shenga, 2007; Madue, 2012). These scholars elaborate that for a democratic government to operate effectively, MPs who are elected representatives need to closely monitor the activities of the executive. West and Cooper (1989) cited in Pelizzo *et al.*, (2006:8) emphasise that amongst the benefits of effective oversight in a democratic system is to ensure that government improves its programmes and Parliaments' enact policies. This makes oversight an important feature in a political system (Nijzink & Piombo, 2004: 3). Its significance is to safeguard the constitutional obligation of the separation of powers. This separation of powers is between the legislature, executive and judiciary which is aimed at maintaining transparency and accountability amongst others. Johnson (2005:3) argues that this is to uphold the systematic checks and balances between Parliament and the executive, and it has several interconnected purposes and objectives.

Simmonds (2002:3) and Zvoma (2010:3) spell out those purposes and objectives of oversight as to improve the efficiency, economy and effectiveness of government operations; evaluate programmes and performance; investigate and prevent poor administration, waste, abuse, arbitrary and illegal and unconstitutional conduct; protect civil liberties and constitutional rights; inform the general public and ensure that executive policies reflect public interests; gather information to develop new legislative proposals or amend existing statutes;

and ensure administrative compliance on legislative authority and prerogatives.

The purposes and objectives of oversight stress the significance of oversight in holding the executive to account for its actions or inactions. These facets among others stress the obligation of Parliament to uphold and defend the constitution. This is essential and it underscores the significance of the existence of a democratic Parliament. In performing its constitutional mandate, the relations between Parliament and the executive is fundamental as defined through the separation of powers. Thus, the complexity of this relation is outlined in the next section as power relations.

#### **4. POWER RELATIONS BETWEEN THE EXECUTIVE AND LEGISLATURE IN PARLIAMENTARY SYSTEM**

Scholars of legislative studies state that over the years the executive had endured criticism for Parliament's inability to effectively hold the executive accountable, yet recognising the weaknesses of Parliament (Shenga, 2007; Musavengana, 2012; Malapane, 2015). For example, Rapoo (2004:5) asserts that inadequate resources and weak institutional capacity create the over dependence of the legislative branch to the executive. This takes place regardless of the clearly defined constitutional mandate of Parliament to conduct oversight over the executive. In the South African context, this is defined through *section 55(2)* of the Constitution of the Republic of South Africa, 1996. Khmelko and Beers (2011:501) concede that effective oversight is required to maintain the balance of power between the executive and legislative branch; however, the paper argues that the nature of the relations between

the two branches influence effective oversight. This is in reference to the existing and emerging literature defining the power relations.

Cheibub and Limongi (2011:21) are of the opinion that politicians across all systems have the same motivation regardless of the form of government. This pertains to the reference to presidential, semi-presidential and parliamentary system which is not discussed in detail in the paper yet the latter is underscored. This paper argues that the role played by the form of government cannot be easily discarded. For example, Friedberg (2011:526) states that in a parliamentary system, the government emerges from Parliament. Although, Ahmed (2011:15) is of the opinion that there is a strong relation between the legislative and executive branch in the parliamentary form of government, this creates ambiguity with regard to the separation of powers as the members of the executive are also MPs. Musavengana (2012:2) writes that: "the Westminster-inspired systems of government that are prevalent in most countries of Southern Africa tend to compromise the principle of separation of powers. Under these systems, ministers are most often drawn from MPs, which, ironically, should oversee their performance".

It is fair to point fingers to the nature of the political systems which include among others electoral rules, constitution and nature of political parties for the dominance of the executive and marginalisation of Parliament (Hudson & Wren, 2007:4). This places Parliament in a difficult situation as defined by Salih (2005:252) that in the process were Parliament endeavours to perform its oversight function, the executive fights to

dominate it. The emphasis is that both the two parties compete to influence policy making and in-turn its outcomes. Johnson (2005:1) however argues that this should not be the case as “modern democracies are characterised by shared decision making between the legislative and executive branch of the state”.

The foregoing entails that the two branches of the state should be able to compromise in fulfilling their constitutional mandates. For instance, the legislative branch of the state should have capacity to conduct oversight and in-turn the executive should be keen to conform to its requests. With regard to the example provided in the paper, this compromise is obscured. Thus, it is crucial that going beyond the complexities of the executive-legislative relations, Parliament should have capacity to be in a position to utilise its mechanisms to promote effective oversight, such as questions and committees of Parliament whether ad hoc or permanent among others.

## **5. PARLIAMENTARY OVERSIGHT TOOLS AND CAPACITY**

Scholars have identified and studied several tools utilised to oversee the activities of government (Pelizzo & Stapenhurst, 2002; Simmonds, 2002; Rapoo, 2004; Yamamoto, 2007). These studies were conducted utilising the data collected by the World Bank Institute and Inter-Parliamentary Union through a survey of 82 countries in the early 2000s to determine the presence of oversight tools in various parliaments. The oversight tools identified as utilised in various countries include but are not limited to Committee Hearing; Hearing in plenary sitting, Questions, Question time, Commis-

sion of enquiry and Ombudsman (Public Protector in the case of South Africa). The tools have been broadly studied to investigate the potential of oversight depending on the number of tools employed (Pelizzo & Stapenhurst, 2004). Countries such as Germany and Sweden using the parliamentary form of government have more tools than the others, and South Africa as one of them has 5 out of 7 available tools. Pelizzo *et al.* (2006:8) however highlight that effective oversight should not be determined by only the number of tools in effect, because it also depends on other conditions such as amongst others the information to conduct oversight and powers allocated to the legislative branch of government.

Yamamoto (2007:11) states that the absence of one tool in a parliament does not make it less powerful than the other. For example, before modern political parties tools such as question time and questions have been perceived as ineffective by how they are utilised. Payne (2009:22) writes that although questions time remains important wherein MPs are afforded the opportunity to raise questions, it has vast weaknesses such as irrelevant responses. Regardless of irrelevant responses provided, which is the case for most questions asked by opposition MPs; the executive utilises fewer time replying to questions, and more time making lengthy speeches. This has been playing out in the South African Parliament, more importantly with the contentious issue of Nkandla. In addition, Nijzink and Piombo (2004:6) stress that committees have a primary role in parliamentary democracy and the functioning of Parliament. Committees become representative in partisan composition and perform their roles bet-

ter (Ahmed, 2011:11). This is relevant in this country that has espoused multi-party democracy although it has been dominated by the African National Congress (ANC), and in-turn reduced to be a dominant party system. Thus, the ad hoc Committee which dealt with the contested issue of Nkandla was dominated by the ANC and in-turn partisanship prevailed.

Regardless of the above, the role of opposition parties or opposition MPs should not be excluded. The opposition continues to play a pivotal role in Parliament; although, its role is more prevalent in some parliamentary tools of oversight than others. For Example, Proksch and Slapin (2010:68) argue that opposition parties are dominant during question time, and they ask more questions than the governing parties. Although, the reasons for opposition parties' dominance may vary, question time presents an opportunity to opposition MPs to challenge the executive over policy or personal conduct (Saalfeld, 2011:272). In addition, Salmond (2004:77) states that "it is the only time the opposition can force government to address issues it would rather ignore. The opposition is able to set the agenda for large part of the proceedings in question time, something it rarely do in other parliamentary tools". The Nkandla debacle remains a good example wherein the opposition remained persistent to get answers from the executive.

As stated in the discussion, among others, powers and technical capacity to a certain extent determines the ability of Parliament to conduct oversight (Shenga, 2007; Musavengana, 2012). Powers and capacity may be vested in various aspects such as

Parliament's independence, expertise and resources. In borrowing from the parameters that are utilised by Yamamoto (2007) to measure the potential of both Committees and questions, information and expertise are emphasised as important factors in the effectiveness of oversight tools. Simmonds (2002:6) asserts that information is vital to effective oversight; this entails Parliament possessing knowledgeable staff and members. Moreover, one cannot over-emphasise internal research offices as important assets. Generally, the staff compliment supporting committees of Parliament is broad comprising of Researchers, Content Advisers, Legal Advisers and Information Officers among others (Oversight and Accountability Model, 2009). The details could not be discussed further in this paper; however, expertise is expected to be the case in the South African Parliament which considers itself to be a modern legislature.

Furthermore, the time available is also important, this entails the time MPs have to attend to their assignments as well as the time to do such assignments. Although, time is a grave issue that parliaments in general struggle with, in particular when dealing with budget and quarterly reports from the executive, for other matters outside this scope wherein external tools of oversight such as Public Protector are employed, time should not be a justification. According to the Oversight Model of South African Legislative Sector (2012:43) "Parliament conducts Oversight visits, and such visits take place whenever a committee decides to produce one". This is one of the tools that were utilised for the Nkandla issue wherein the MPs undertook a visit to Nkandla to inspect the President's compound (Business Day Live, 2016). Despite this effort,



the contribution that the visit made is elusive judging by how the overall issue was resolved.

Thus, if the argument presented in the foregoing discussion is to be carried forward; since Parliament possesses the necessary tools of oversight, with the constitutional powers and capacity to hold the executive accountable, then what influences the decisions of the majority of MPs? It is important to discuss what motivates individual legislators' decisions in the oversight activities used to oversee the executive. This is done through focusing on party discipline and unity discourse in parliamentary oversight.

## **6. INFLUENCE OF PARTY DISCIPLINE AND UNITY IN OVERSIGHT**

This section pertains to the role or rather influence of politics, in particular parties on the oversight role of Parliament. Mickler (2013:423) denotes that partisan theory supports the role of political parties in Parliament. Political parties in this theory are the key actors, which makes MPs accountable to their own parties. On the one hand, Fredriksson and Wollscheid (2014:54) define party discipline as "the degree to which elected legislators keep their party's campaign promises after being elected". This points out that MPs are required to safeguard the interests of their political parties in the process of delivering to its electoral mandate. On the other hand, party unity "means that individual legislators of the same party votes as a bloc" (Field, 2013:362). It implies that MPs of one party maintains unity when it comes to matters before Parliament or voting whether there are agreements or disagreements. The Nkandla debacle remains an example.

Heller and Mershon (2008:911) argue that discipline is one of the approaches political parties use to maintain party unity, and also control negative agendas, and cohesion. The link between party discipline and party unity infers that MPs should uphold the party line. These are some of the main reasons why there is a need for party discipline. The absence of party discipline may lead to party disunity – a threat to political stability and democratic accountability. Since in parliamentary system, the electorate gives an electoral mandate to a political party, not individual MPs, hence party unity is essential for the effectiveness of parliamentary government (Heller & Mershon, 2008). On the other hand, the manifestations of party disunity may include among others leadership challenges, party splits, party switching, and branches clashing with the central party line as well as speaking against party line in the press (Field, 2013:361). This is somewhat relevant to the South African discourse. Then a question arises: is this what the country's maturing yet fragile democracy needs to survive?

Brierley (2012:420) studying party unity in the African perspective with specific attention to Ghana's Parliament in comparison to Kenya National Assembly (KNA) in part holds a contrary view about the significance of party unity in Parliament. The author notes that strong party unity among others is held responsible for the restricted development in Ghanaian Parliament, and on the other hand, claims that weak party unity turned the KNA to be among the sturdiest African Parliaments. This is because MPs are caught between serving their party or electorates; however, based on the parliamentary system, this line becomes clear as parties are elected

to Parliament, not individual legislators. The foregoing stresses that systems have a direct role in either improving or hampering both oversight and accountability (Obiyo, 2013:106).

Taking this African perspective and relating it to South Africa, stable party identities is the motive for MPs of the governing party to vote in line or adopt a similar position (Brierley, 2012; Obiyo, 2013). It entails that the ruling party utilises the whip system to maintain strong discipline and unity among its MPs who are a majority in Parliament. This particularly, relates to the country where-in the ANC has been in majority, since the advent of democracy in 1994. Stressing the importance of the whip system lead by a Chief Whip of a political party which is not discussed in detail in this paper; the recent resignation of Mr Stone Sizani the 11<sup>th</sup> Chief whip of the ruling party after the Nkandla debacle underscores this position (Business Day Live, 2016). Instilling discipline and unity in Parliament may not come as an easy job to do; it takes a lot of compromises.

Based on the above argument, the MPs of the ruling party in Parliament have been supporting the executive whether there is an agreement or not. Regardless of the manifestations of signs of disunity when some broke ranks, when the time comes to defend the executive and the President party unity is maintained, which is professed as defending their political party. This stresses the influence of party discipline and unity in oversight. The former relating to defending their political parties is discussed below as the environment in which oversight is taking place.

## 7. PARLIAMENTARY OVERSIGHT SETTING

Parliament is the representative body of the people (*Section 42(3) of the Constitution of the Republic of South Africa, 1996*). This is mainly a mandate which is defined by how it is established as an institution of democracy (Malapane, 2015). It has been discussed in this paper that MPs are elected representatives which represent the interests of the electorate and to a certain degree the mandate of their political parties. This underscores the political context in which parliamentary oversight takes place (Wohlstetter, 1989; Aberbach, 2002). Salihi (2005:3) asserts that Parliament is faced with competing roles as it is part of the machinery that confers legitimacy on the executive, yet it is constitutionally mandated to hold the executive to account for its actions to safeguard the public interests. As stated, in the parliamentary system the executive is created from Parliament who are expected to play the principal role over the agent, which is the executive in terms of the Principal-Agent theory (Basheka & Mubangizi, 2012:6; Madue, 2012:862). While the complex nature of the environment is recognized, this should not be the motive to neglect oversight.

It is noted that oversight used to be linked to opposition parties in most democratic Parliaments (Malapane, 2015). It is because the executive is established from a majority in Parliament. In the South African context, the ANC still enjoys an uninterrupted majority. This however does not suggest that the governing party's majority has been inactive in oversight. Moreover, Johnson (2005:8) states that the electoral system also contribute to lack of effective oversight. The author states that in pro-

portional representation (PR) system espoused, MPs will tend to be most responsive to their parties' leaders who determine whether and where a candidate will be placed on the party list in the next election. This is because candidates are placed on a list, and citizens vote for parties than for candidate directly". On the one hand, it is for the above reasons among others that oversight encounters political opposition, and becomes constrained to protective relationship between Parliament and the executive (Ethridge, 1984:341). Deducting from the reviewed literature, this paper argues that this should not be the case. Aberbach (2002:62) stress that oversight should be bi-partisan. In other words, it should be an institutional activity, putting aside petty political motives. This will make oversight constructive, systematic and objective enough. On the other hand, recognising the ever presence of partisanship, low level of partisanship is a contextual factor in determining the success of Parliament (Rockman, 1984).

From the foregoing, Malapane (2015) argues that it takes the willingness of Parliament to attain effective oversight, and also the possible influence of the available incentives or lack thereof. This is stressed as political will yet it requires positive incentives to be nurtured (Pelizzo & Stapenhurst, 2014:259). Ethridge (1984:342) earlier stated that the absence of positive incentives for MPs is a systematic impediment in promoting effectiveness. Effective oversight is lacking in an environment wherein the cost of conducting oversight outweigh the benefits. For example, Malapane (2015) argues that MPs may know what is expected to them, but the fear of losing their seats in Parliament if they become more objec-

tive in their work is a hindrance. This insinuates that MPs may know the difference between right and wrong, yet they decide to do the latter as they are perpetually caught between serving the interests of the electorate and the mandate of their political parties.

## 8. ANALYSIS

It is clear that while oversight is a constitutional mandate of Parliament, it is faced with various challenges. The challenges are wide encompassing political opposition, partisanship, political competition and the power relations between the executive and Parliament, resulting to reluctance of the executive to cooperate. The systems and environment where oversight takes place contribute to lack of effective oversight. For example, the PR system makes it easier to recall an MP. In addition, while Parliament attempts to hold the executive accountable, the executive fights to influence policy. This is the root of the power relations as NiJzink and Piombo (2004:3) stress that the executive has occupied the responsibility to make laws, and it creates most of the bills. It has reduced Parliament in its main mandate to merely rubber stamping as most bills are prepared and drafted by the executive and presented to Parliament for approval.

On the other hand, it is noted that oversight is dependent on the willingness of the MPs. This point out to the environment parliamentary oversight is taking place wherein legislators are continually caught between responding to the interests of the electorate or their political parties. Regardless of the South African Parliament's commitment that MPs should be accountable to the people or electorate, the foregoing is

a reality. This is because the nature of the parliamentary form of government results in protective relationships between Parliament's majority and the executive. This is the case with regard to the South African Parliament, as the ANC continuously inflicts its majority, and with the view that it will still maintain its majority in the next election. This highlights that the cost for oversight to individual MPs outweigh the incentives, so there is a leeway for the influence of party discipline and unity to succeed.

Furthermore, there is a notion that capacity is fundamental for effective oversight. It has been acknowledged that the executive is generally dominant over Parliament; however, Shija (2012:7) has maintained that Parliaments have been fighting to be independent and diverge from the influence of the executive. This relates to Parliament building its own capacity to support over-

oversight appears to be weak or strong in certain instances. It is however important to emphasize that the setting in which oversight takes place has an influence on oversight. This includes party politics, discipline and the executive-legislative power relations. Therefore, for oversight to be effective it should be viewed as an institutional activity, and this may minimise petty party political motives amongst others.

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sight. This includes the capacity to generate its own independent information, and it is pointed out that the South African Parliament has such capacity. It is also stressed in the paper that oversight tools have been studied focusing on oversight potential based on the number of tools utilised by Parliament. Thus, the South African Parliament uses most of the oversight tools, and this in part highlights its potential.

### 9. CONCLUSION

This paper concludes that Parliament as an institution of democracy has a potential and capability to hold the executive to account for its actions or inactions, and it could effectively follow-up on the commitments made to the people. As discussed, this is depended on various issues which have either negative or positive connotations. This makes

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# THE NEXUS BETWEEN GOVERNMENT EFFECTIVENESS AND CORRUPTION IN SOUTH AFRICA

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## ABSTRACT

*The contemporary South Africa has been epitomised with scourges of corruption and lack of and poor services delivery which is mainly centred on corruption. It is within this context this paper aims to determine the nexus between government effectiveness and corruption in South Africa. For this purpose, two econometric techniques are employed, thus granger-causality and cointegration test. Granger-causality test confirmed a bi-directional causality from both regulatory quality and rule of law to government effectiveness. However, no causal-link was found between corruption control and government effectiveness and thus implies lack of corruption control in South Africa. Cointegration test ascertained the existence of a long run relationship between government effectiveness and corruption. From the analysis, it is evident that corruption adversely affects good governance. The paper therefore argues that to achieve practices of good governance, there is a need to fight and end corruption and this however requires a political will and commitment. More importantly, it is also imperative to ensure that the anti-corruption agencies are not beholden to the government of the day, as this undermines their independence, objectivity and effectiveness.*

**Keywords:** Government Effectiveness, Corruption, Granger-causality test, Cointegration test

## 1. INTRODUCTION

The recent upsurge in corruption cases and reports calls for an urgent need to scrutinise the relationship between government effectiveness and corruption in South Africa. This is because the role and commitment to good and clean governance remains a top priority of the democratic South Africa. This can be understood from the central role the government plays in the formulation and implementation of anti-corruption strategies to the role of governing and providing services to its citizens. However,

the nature and extent of corruption has deprived the government to achieve principles and practices of good governance and this usually leads to poor and lack of service delivery. As a result, the ultimate victims of corruption which are mostly the poor often resort to social protests against the government of the day.

Though it is widely accepted that the costs of corruption are calamitous, due to its secretive nature, it has however become more difficult to curb the scourges of corruption. Kaufmann, (2004) elaborates this

view as he argues that what makes it more difficult is that corrupt activities and culprits are not homogenous and if a policy for combating corruption fails to take into account the magnitudes and ranks within corrupt activities, the policy might not be realistic enough to eradicate corruption. De Graff (2007) cited in Manyaka & Nkuna (2014:1573) also concede that though there has been an increase in public interest and concern over corruption, the phenomenon still remains problematic and challenging for most developing nations, including South Africa.

The Council for the Advancement of the South African Constitution (CASAC) (2011) views corruption as an antithesis to democracy and the rule of law because it diverts resources that are needed to improve the lives of citizens to enrich a few at a greater cost to many. The CASAC (2011) further noted that corruption prevents the state from fulfilling its constitutional obligations and erodes the legitimacy of the democratic government by subverting the rule of law. In short, corruption if not addressed it becomes a clog to achieve the principles of good governance. Hence, this paper aims to determine the nexus between government effectiveness and corruption in South Africa. Other variables which are incorporated in the model includes; the regulatory quality and rule of law.

## **2. CONCEPTUALISING CORRUPTION AND GOVERNANCE: A GENERIC VIEW**

There is a universal concern over corruption and its consequences. This has resulted in a large number of scholarly researches on the debate. Theoretical and empirical researches have been conducted and thus far yielding important insights about cor-

ruption, its underlying consequences and possible measures to combat it. We now understand what corruption is and why it is difficult to curb it. This section therefore seek advance the existing body of knowledge by identifying and discussing the typologies of corruption.

### **2.1 Bureaucratic and Economic Corruption**

According to Jose & Hernandez (2011) bureaucratic corruption occurs at the implementation of law, regulation or policy, and because of it, the system in place becomes slow and inefficient and that leads to some officials soliciting the public funds. Jose & Hernandez (2011) further noted that bureaucratic corruption also involves embezzlement, which is the conversion of public resources for personal use. This may entail huge sums of money. Another common type of bureaucratic corruption is 'kickbacks', which involves public official sharing misappropriated funds for his or her own private use.

Thornhill, (2012) argues that political deployments and absence of meritocratic systems exacerbate bureaucratic corruption. On the economic front, Mbeki (2005) in Mapuva (2014:164) posits that economic corruption creates inefficiencies in the markets. According to Mbeki (2005), economic corruption affects emerging entrepreneurs who cannot afford the cost of bribes than large corporations who often budget for bribes for government tenders. This involves the rewarding of tenders to relatives and friends by those entrusted with power. Sometimes secret deals are entered with multinational companies and in some cases bilateral agreements are signed which



are skewed in favour of the investor in exchange for a 'kickback'.

## **2.2 Administrative and Political Corruption**

In the administrative corruption, Joze & Hernandez (2011) explain that the behaviours of public agents neglect the principles of efficiency, truthfulness and rightfulness. Hence, corruption, results in the transfer of public to private gain, taking advantage of the entrusted power. On the other hand, political corruption occurs as results of gaining political power. The public officials deviate from the principles that guide policies. Political influence also allows individuals to shape the public law and decisions are taken for private interest (Joze & Hernandez, 2011). This has been the case in most African states, when political executives, particularly the president manipulate the policies to prolong his or her stay in the office.

## **2.3 Systematic and Sporadic Corruption**

Mapuva (2014:165) claims that systematic corruption manifest in a situation where the corruption has entrenched its roots deep into a system such that it has become an accepted normal behaviour. Such happens when corrupt practices becomes embedded within individuals and is viewed as normal practice. Sporadic on the other hand, refers to irregular form of corruption which is not an everyday practice but manifest itself as an exception (Mapuva, (2014:165).

## **2.4 Organised and Disorganized Corruption**

Isaac (2002:22) argues that in an organised corruption, a number of officials within an

organisation participate in and share the gains from the routine of corrupt practices. Disorganized corruption on the other hand, takes place on a case by case basis and each case is unique. Partakers to such type of corruption usually do not share a common vision and operate individually (Isaac: 2002:22).

## **2.5 Petty and Grand Corruption**

According to Isaac, (2002:23), these two forms of corruption involve the size or the extent of the corrupt activities. Grand corruption refers to a large scale abuse and misuse of power while petty corruption is characterised by small scale abuse of power. Similarly, Swamy (2011:39) states that petty corruption involves small bribes demanded or offered to ensure delivery of a service which may either be according to the rule or against the rule. On the other hand, he defines grand corruption as large bribes and commissions offered or paid by businesses or government officials in quest for orders, for example, public procurement such as building a new hospital. Cited in Manyaka & Nkuna (2014:1573), the Australian Agency for International Development (AUSAID) of 2007 also concede that the spectrum of corruption behaviour exists and ranges from petty corruption which may include bribes or illicit payments for routine bureaucratic processes, to grand corruption which involves leaders, politician and senior officials diverting public resources on a larger scale to serve their private interest. Another important aspect that brings about corruption is the poor supervision and monitoring of the functions of government. Pillay (2004: 589) argues that where there is weak supervision, public officials are likely to behave corruptly because

they know nothing will happen to them. The Department of Public Service of South Africa (DPSA) (2002) identifies dimensions which corruption is likely to manifest itself in. These include bribery, embezzlement, fraud, extortion, abuse of power, conflict of interest, favouritism as well as nepotism.

Given the above discussion, one can conclude that corruption is an antithesis of good governance and that is a universal challenge cutting across all aspects of life. Is it however, worth noting that the above discussed typologies and manifestations of corruption are by no means complete or exhaustive and that corruption manifests in various degrees of intensity. Thus implies that, if it is left unattended, it creates a much bigger to challenge to address. Taking into account the costs of corruption on a democratic state and the economy, we may then want to ask, what it will take to end corruption in order to ensure good governance. The International Federation of Accountants of 2001 provides the following principles of governance in the public sector;

**Openness:** Openness through meaningful consultation with stakeholders, provision of full, accurate and clear information that leads to effective and timely actions and stands up to necessary scrutiny.

**Integrity:** it is based upon honesty and objectivity, and high standards of propriety and probity in the stewardship of public funds and resources. This is reflected both in the entity's decision-making processes and in the quality of its financial and performance reporting.

**Accountability:** It is the process whereby public entities and officials within them are responsible for their decision and actions, including stewardship of public funds and all aspects of performance.

**Participation:** it is based on the principle that the public should have a voice in decision making, either through people's forum or directly. Such a broad participation is built on human rights, like freedom of speech and association. It also acknowledges that the public is able and capable of participating constructively on matters of governance or in policy formulation.

**Rule of law:** It is based on the principle that the legal frameworks should be fair and enforced impartially.

**Transparency:** It is built on the free flow of information. It means that the processes and information is directly accessible to those concerned with them.

### 3. CORRUPTION AND GOVERNANCE IN SOUTH AFRICA

The changing milieu of the South African public sector developed increasingly complex over the years characterised by scourges of corruption. According to Pillay (2004:589), the causes of corruption in South Africa are contextual, rooted in the country's bureaucratic traditions, political development, and social history. Pillay (2004) reveals that corruption has flourished as a result of institutional weakness-

es. Similarly, Lodge (2001:161) argues that non-merit processes of bureaucratic recruitment and nepotism which arises from political solidarity are the main sources of corruption in a democratic South Africa. Cited in Madonsela (2010), the National Union of Metalworkers of South Africa (Numsa) (2004), stated that corruption in government departments thrives as a result of lack of skills to investigate corruption within the law enforcement agencies and lack of synergy between departmental investigative unit, internal audit units and law enforcement agencies. In addition, Ristei (2010:350) posits that corruption in South Africa undermines the ethos of democratic which ultimately results in the erosion of public confidence and trust in the democratic processes, hence the rule of law is undermined and ultimately fallouts in citizens unwilling to co-operate with government.

Mahlaba (2004:86) claims that in South Africa, investigated cases of corruption remain low and some unattended due to the weaknesses in the internal control systems, bad management and lenient penalties by presiding officers on misconduct enquiries and this according to Mahlaba (2004: 86) leads to lack of performance in institutions and adequate action not taken for poor performance, hence the motivation of the public sector employees to work productively has been deteriorating, undermined by promotion of public servants regardless of their performance.

In its quest to combat corruption, Kroukamp (2006) in Manyaka & Nkuna (2014:1572) argues that that since the advent of democratic dispensation, the South African government implemented a number of

legislature and policy frameworks for combating corruption in the public sector. According to Manyaka & Nkuna (2014:1574), the provision of the legislature and strategy is important, however the challenges is that there are no disciplinary measures for non-compliance and the ultimate end is that most departments do not submit their corruption reports to the Department of Public service Administration (DPSA) as required by the anti-corruption Strategy of 2002. This makes it difficult for the DPSA to monitor and track the cases of unethical behaviour in the South African Public Service. According to the Public Service Anti-Corruption Strategy (2002), the accounting officers who are the heads of departments take the responsibility in making sure that their respective departments report all corruption cases to the DPSA.

Despite all these advances and efforts by the government to curb corruption, Manyaka & Sebola (2013) contends that corruption in the South African public sector is still a major challenge. Hence, De Graaf (2007) cited in Manyaka & Nkuna (2014:1574) argues that the complexity of the phenomenon makes it impossible to provide a comprehensive account of the causes and manifestations of corruption within the political landscape and public sector. Manyaka & Nkuna (2014:1577) recommend that the approach to fight corruption in the South African public sector needs to be guided by a clear understanding of what enables corruption to thrive and equally on the best practises both locally and across the globe. They further reiterate that lessons must also be learned from successful departments and other countries

with low corruption should offer great experience on what should possibly be done to combat corruption in South Africa.

Madonsela (2010) believes that a huge

and the political will at all levels of leadership. Since democracy, South Africa has become an open society and has created more platforms for exposing and prosecuting corruption. The legal frameworks and legislation established to fight corruption are discussed below;

### **3.1 The Constitution of the Republic of South Africa Act, 1996**

Chapter 10 of the Constitution sets out the basic values and principles that govern public administration in all spheres of government, organs of state and the public enterprises. These values and principles include that:

- a high standard of professional ethics must be promoted and maintained;
- the efficient, economic and effective use of resources must be promoted;
- public administration must be development-oriented;
- services should be provided impartially, fairly, equally and without bias;
- public administration must be accountable and;
- transparency must be fostered by providing the public with timely, accessible and accurate information.

Section 195 (1) sets out the basic principles for governing public administration. These include an accountable public administration, public participation and the pro-

part of human element is critical for promoting good governance and this involves the values of the community within which we seek to fight corruption. These are the values of each individual, the community

motion of a high standard of professional ethics. According to Giorgi (1999:18), the Constitution of South Africa provides an indispensable mechanism for South African public servants to address the corruption. This is reflective of an overall commitment to greater openness and transparency in government as opposed to the secretive and unresponsive culture that characterised public administration during the apartheid regime.

### **3.2 The Prevention and Combating of Corrupt Activities Act, 2004**

The Act provides *inter alia* for the following:

- creates the offence of corruption;
- authorises the National Directorate of Public Prosecutions to investigate any individual with unexplained wealth, or any property suspected to be used in the commission of a crime prior to instituting asset forfeiture or criminal proceedings;
- the creation of a Register for Tender Defaulters within six months by the Ministers of Finance;
- places a duty in any person who holds a position of authority to report transactions and ;
- grants the courts extraterritorial jurisdiction in respect of corrupt offences committed outside South Africa in certain circumstances, for example, if the person who committed the crime is a citizen of

South Africa or ordinarily resides in the Republic

Section 34 of the Act provides for the obligation to report corrupt transactions of any person who holds a position and suspected to have committed an offense of corruption.

### **3.3 National Anti-corruption Programme of 2005**

In March 2005, the National Anti-corruption Forum convened the 2<sup>nd</sup> National Anti-corruption Summit (Madonsela, 2010). The Summit adopted the programme with the aim to achieve at least four main objectives, namely;

- to improve national consensus and leadership against corruption;
- to promote the rights, obligations and protection offered by the national anti-corruption framework;
- to promote ethical practices in all sectors of government and;
- to provide sufficient platforms for debate on issues of corruption in all sector of government.

### **3.4 The Public Service Anti-corruption Strategy of 2002**

The South African Cabinet adopted the Public Service strategy in 2002. The strategy has nine considerations;

**Consideration 1:** deals with the review and consolidation of the legislative framework.

**Consideration 2:** deals with increased institutional capacity and thus improving the functioning of existing institutions that have

anti-corruption mandates.

**Consideration 3:** focuses on reporting wrong doing and protecting whistle-blowers by institutions as well as reviewing anti-corruption hotlines.

**Consideration 4:** is concerned with prohibition of corrupt individuals and businesses. The intention is to establish mechanisms to prohibit corrupt employees in the government from doing business with the public sector.

**Consideration 5:** deals with improving management policies and practices. Managers in organs of the state are required to sign performance agreements that hold them accountable and following proper procurement and employment practices.

**Consideration 6:** focuses on management of professional ethics in the fight against corruption. It provides for the development of codes of conduct for various sectors

**Consideration 7:** recognises the role of the society in the fight against corruption and encourages partnership with them.

**Consideration 8:** encourages the society particularly organisations to undertake on-going research on corruption.

**Consideration 9:** aims at awareness, training and education to support many initiatives on corruption.

### **3.5 The Anti-corruption Coordinating Committee (ACCC)**

The ACCC was established in terms of Strategic consideration 2 of the Public Service Anti-corruption Strategy to coordinate the implementation of the strategy and to integrate anticorruption work in the country.

The ACCC also offers a platform where information on anticorruption can be shared amongst the departments and agencies to better equip them to fight corruption (Madonsela, 2010). The objectives of the ACCC include to:

- ensure full coordination and integration of anticorruption initiatives in the public services;
- ensure that there is no duplication of initiatives and efforts in the fight against corruption in the public services;
- provide a platform where information on anticorruption initiatives, including prevention, detection and investigation can be shared amongst the departments
- oversee and monitor the implementation of the Public Service Anticorruption Strategy; and
- ensure an enriched process of implementation of the Public Service Anticorruption Strategy.

### **3.6 The Auditor General**

The Auditor General was established in terms of the Constitution to audit and report on the accounts, financial statements and financial management of all national and provincial departments, municipalities or any other institutions required by the national legislation. As the supreme audit institution, it enables oversight, accountability and good governance in the public sector (Madonsela, 2010). According to Madonsela (2010), the Auditor General can also conduct investigations or special audits whenever it considers it to be in the public interest on receipt of a compliant or request.

Apart from the efforts taken by South African government to combat the scourges of corruption, there is however a growing evidence in the media and reports that corruption has tightened its grip and rooted deep almost in all spheres of the government. The main challenge seems to be on the implementation and monitoring of the anti-corruption strategies. This goes back to what Brynard (2007) stated, "The existence of a policy or legislation does not necessarily imply its effective implementation". Hence, one can safely say that in South Africa, there is little connection between what the policy says and its actual implementation. Having established the theoretical underpinnings of corruption and governance, it is now apposite to introduce the methodological framework adopted in the paper.

## **4. METHODOLOGICAL FRAMEWORK**

In response to the various shortcomings in the theoretical and empirical underpinnings, this paper aims to develop a model of good governance that explicitly includes government effectiveness as a function of corruption control, regulatory quality and rule of law. Thus, implies that our theoretical model assumes that to ensure good governance, corruption must be effectively controlled, there must quality in regulation and that the rule of law must be adhered to. The table below outlines the description of data used in the paper.

### **4.1 Model specification**

Klitgaard (1998) developed a model for corruption and described the equation as follows;

$$C = R + D - A \quad (1)$$

Where, C stands for corruption, R for economic rent, D for discretionary powers and A for accountability. The equation demonstrates that high opportunities for economic rent (R), corruption is likely to rise. The more the discretionary powers (D) by public officials, the

**Table 1: Description of Data**

Variable	Description
GEI	Government Effective Index
CCI	Corruption Control Index
RQI	Regulatory Quality Index
RLI	Rule of Law Index

Source: Global Economy Index (2016)  
 higher the chances for corruption to thrive. Equally if public officials are not held accountable (A) for their action, corruption is likely to increase. Hence, (A) has a minus sign. In the context of this paper, good governance, measured by government effectiveness is analysed as a function of corruption control; regulatory quality and rule of law. These variables are viewed as pillars to ensure good governance; hence the model of this paper is developed as follows;

the dependent variable and independent variables. Thus, government effectiveness depends on corruption control, regulatory quality and rule of law. Hence, we assume that any change in government effectiveness can be explained by changes in corruption control, regulatory quality and rule of law. The regression equation is therefore expressed as follows

$$GEI = \beta_0 + \beta_1 CCI + \beta_2 RQI + \beta_3 RLI + \varepsilon_t$$

The regression estimates of this paper attempts to explain the relationship between



Source: (Klitgaard 1998)

(2) Testing for causality upholds the standard procedure outlined by Gujarati and Porter (2009). Thus, if the F-statistics are greater than the probability values, we then

conclude by rejecting the null hypotheses and accept the alternative hypotheses.

### 4.3 Cointegration test

According to Gujarati & Porter (2009), if two series appear to be moving together over time, it indicates a long run equilibrium relationship between the series. If the null hypoth-

Where, GEI is the estimation of government effectiveness due to changes in Corruption Control Index (CCI), Regulatory Quality Index (RQI) and Rule of Law Index (RLI).  $\beta_0$  denotes the constant term,  $\beta_1$ ,  $\beta_2$  and  $\beta_3$  represent the rate of change of the selected variables. The error term ( $\varepsilon_t$ ) is included in the model to cater for omitted variables which also affect government effectiveness.

The overall significance of this model is that it contributes to a greater understanding of how corruption control, regulatory quality and rule of law affects government effectiveness which ultimately leads to good governance. Hence, we believe that in absence this, corruption is likely to thrive. The paper aims to determine the nexus between government effectiveness and corruption in South Africa for the period of 25 years, thus from 1990 to 2015. For this purpose, two econometric tests are employed, and thus Granger-causality and Cointegration tests.

## 4.2 Granger-causality test

The Granger-causality test is a statistical hypothesis used to determine whether time series X granger-cause Y. Using t-tests and F-tests, the values of X can provide information about the future values of Y (Gujarati & Porter, 2009). For the purpose of this purpose, the null hypotheses for granger-causality are expressed as follows;

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$$H0_1: CCI \text{ does not granger-cause GEI} \quad (3)$$

$$H0_2: RQI \text{ does not granger-cause GEI} \quad (4)$$

$$H0_3: RLI \text{ does not granger-cause GEI} \quad (5)$$

---

esis of no cointegration is rejected, we therefore conclude by accepting the alternative hypothesis of long run relationship amongst the variables.



## 5. RESEARCH FINDINGS

This section present the results of the econometric techniques employed in the paper, thus, Granger-causality and cointegration tests. These techniques were employed solely to determine the direction of causality and the existence of a long run relationship amongst the variables, respectively.

Source: Author's own computation

The table above demonstrates the causal relationship amongst the variables. From the results, it can be deduced there is no causality between corruption control and government effectiveness. Thus, for  $H_{0_1}$ , the F-statistic of 0.5072 is less than the p value of 0.8437. Hence the null hypothesis ( $H_{0_1}$ ) was not rejected and the probability value was

### 5.1 Table 2: Granger-causality test

Date: 21/03/2016 Time: 11:15

Sample: 1990 2015

Series: GEI; CCI; RQI; RLI

Null Hypothesis ( $H_0$ )	Obs	F-stat	P-Value	Decision
$H_{0_1}$ : CCI does not granger-cause GEI	25	0.5072	0.8437	Do not reject $H_0$
$H_{0_2}$ : RQI does not granger-cause GEI	25	0.1989	0.0762*	Reject $H_0$
$H_{0_3}$ : RLI does not granger-cause GEI	25	2.4978	0.0023* *	Reject $H_0$

Note: \* (\*\*) indicate the rejection of null hypothesis at 10% (5%) level of significance

found insignificant. For  $H_{0_2}$ , the F-statistic of 0.1989 is greater than the probability value of 0.0762\*, hence we reject the null hypothesis at 10% level of significance. This implies that the regulatory quality causes or leads to government effectiveness in South Africa. For  $H_{0_3}$ , the F-statistic of 2.4978 is greater than the probability value of 0.023\*\* and thus led to the rejection of the null hypothesis at 5% level of significance.

Table 3 established the existence of long run relationship amongst the variables using the Johansen cointegration approach. The trace statistic and critical value are the two measures used for cointegration test. The results demonstrate the presence of cointegration vectors at equation which

Source: Author's own Computation

### 5.2 Table 3: Cointegration test

Date: 21/03/2016 Time: 13:18

Sample: 1990 2015

Series: GEI; CCI; RQI; RLI

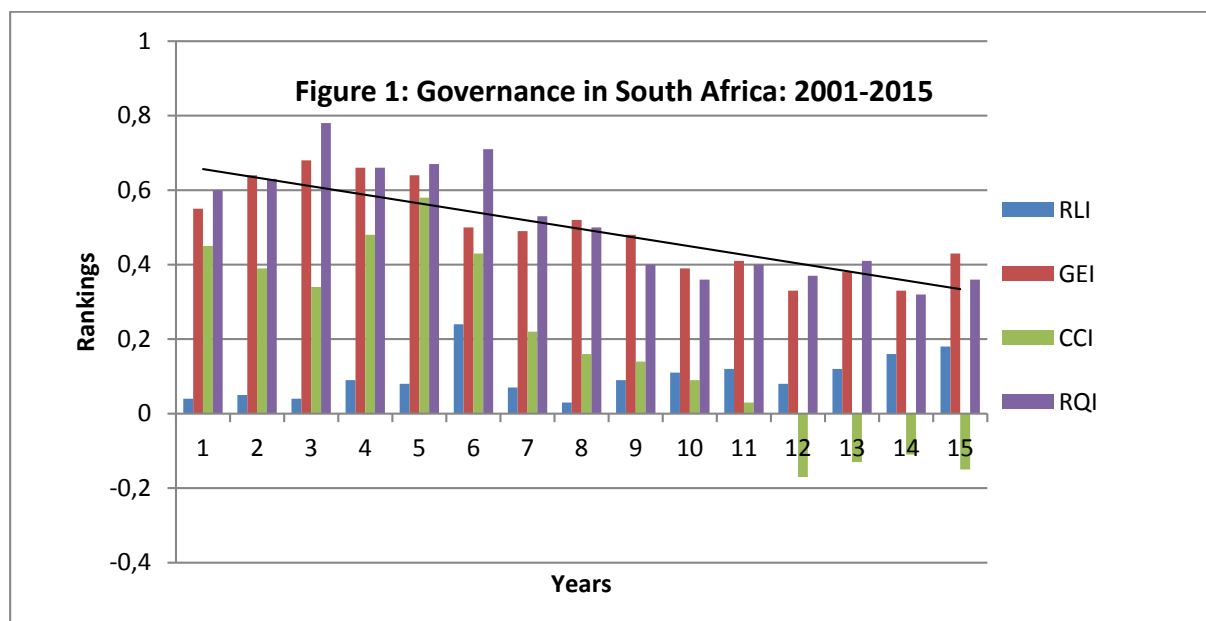
Hypothesized No of CE (s)	Eigen value	Trace Stat	Critical Value (0.05)	Probability value
None *	0.950726	90.55069	47.85613	0.0003**
At most 1	0.899497	15.39525	29.79707	0.6907
At most 2	0.452066	10.93180	15.49471	0.2157

shows the existence of a long run relationship at 5% level of significance. Therefore, the null hypothesis of no cointegration is rejected because the trace statistic of 90.55069 is greater than the critical value of 47.85613 at 5% level of significance. We therefore conclude that there is evidence of a long relationship amongst the variables.

: Data collected from The Global Economy Index (2016)

Figure 1 shows trends of government effectiveness in terms of rule of law, corruption control and regulatory quality. From

the graph, it can be deduced that there is a downward trends of government effectiveness for the past 15 years, thus from 2001 to 2015. In 2003 (year 3) the regulatory quality index reached its peak ranking at about 0.8% and the government effectiveness index was at about 0.7%. Similarly, in 2006 (years 6), RQI was over 0.6 and the

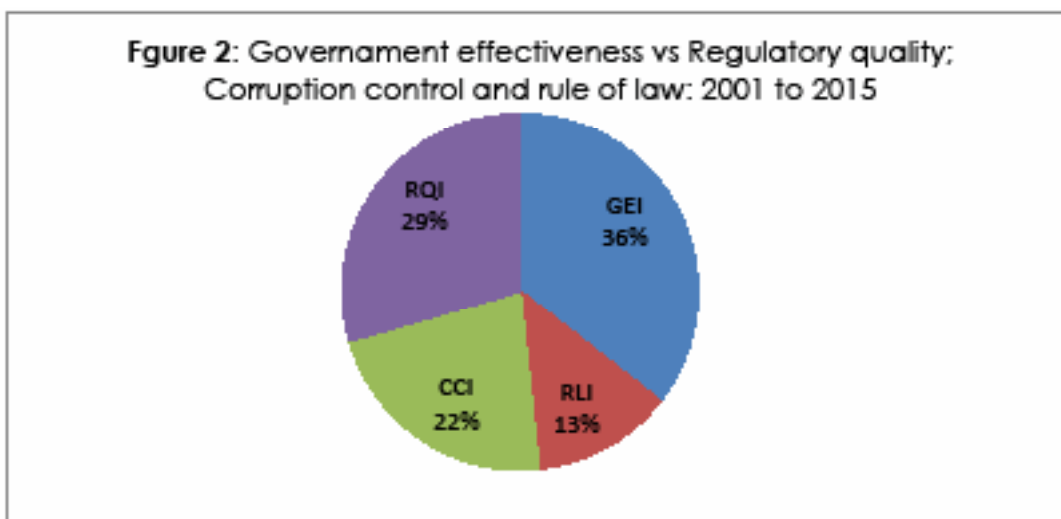


government effectiveness was peaking up at around 0.5%. However, since 2008, (years 8)

there has been a downward trend for all the variables.

The downward trend supports the findings of both granger-causality and cointegration tests as it illustrates that government effectiveness is deteriorating and this may possibly be explained by lack of corruption control, lack of quality in regulation and public official undermining the rule of law. The figure below demonstrates the portion each variable shares.

Figure 2 above simply illustrates the portion shared for government effectiveness, corruption control, regulatory quality and rule of law. Government effectiveness shares 36%, rule of law shares 13%, corruption control shares 22% and regulatory quality portions 29%. The figure also support the findings of the paper, as it demonstrates a need to control corruption, quality in regulation and to ensure that the rule of law is not undermined by the public officials in South Africa. Therefore to strengthen government effectiveness there is a need to



**Source: Author's own computation**

urgently control corruption, improve the quality of regulation and ensure that public officials adheres to the rule of rule. Such a commitment will assure that corruption doesn't thrive in government sphere.

To the best knowledge of the author, this paper is one of the few, if not first to employ econometric techniques to establish the relationship between government effectiveness and corruption in South Africa. Hence the paper ought to add insights the existing body of knowledge by foregrounding aspects such a corruption control, regulatory quality and rule of law which needs to be strengthened for corruption not to

thrive in government.

## **6. CONCLUSION AND RECOMMENDATIONS**

The purpose of this paper was to provide an empirical analysis of the nexus between government effectiveness and corruption. For this purpose, corruption controls, regulatory quality, rule of law were analysed using granger causality and cointegration tests. The results of granger-causality test confirmed a bi-directional causal relationship from both regulatory quality and rule of law to government effectiveness. Hence,

the null hypotheses for  $H_{01}$  and  $H_{02}$  were rejected at 10% and 5% level of significance respectively.

However, for  $H_{01}$ , the null hypothesis was not rejected, thus implying no causal relationship between corruption control and government effectiveness in South Africa for the period reviewed, thus from 1990 to 2015. The cointegration test results ascertained the existence of a long run relationship between amongst the variables and thus led to the rejection of the null hypothesis (no long-run relationship) at 5% level of significance. The nature of this relationship should be of great concern to the government in a sense that they imply that if corruption is not urgently curbed, its effects on governance have long term effects. The graphical trends (see figure 1 and 2) also confirms the findings of the paper as they demonstrate a deteriorating trends for government effectiveness, corruption control, regulatory quality and rule of law.

Looking at the mounting cases and reports of corruption, one would perhaps validate the findings of this paper. Hence, contemporary South Africa has been epitomised with scourges of corruption and lack of and poor services delivery. The paper therefore recommends that the government should strengthen its machinery to fight corruption in all spheres of government and this should be enforced from the highest to the lowest office in all public entities. This requires a commitment and political will from all government officials to declare a war against corruption. Once this commitment is achieved, there is no doubt that the battle against corruption can be won. Another challenge relates to the awareness of the society. This has to do with entrenching a

culture that is intolerant of corruption and that has a sense of duty to expose acts of corruption.

Though national anti-corruption have their challenges regarding coordination and monitoring, there is however a need to develop a multipronged approach to fight corruption. This is also emphasised by CASAC, (2011) as it suggests that South Africa needs to develop and entrench the fundamental values of a National Integrity System in all spheres of society as a foundation to prevent and combat corruption and entrench the fundamental values of a National Integrity System in all spheres of society as a foundation to prevent and combat corruption. It is also important to ensure that anti-corruption agencies are not beholden to the government of the day as this undermines their independence, objectivity and effectiveness. Lastly, since corruption is the relationship between "the giver-and-the receiver" both must be harshly persecuted.

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# WATER RESOURCES MANagements PRIORITIES IN RURAL AREAS: A CASE OF GOOD GOVERNANCE AS SUSTAINABILITY AND NOT OPPORTUNISM

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## ABSTRACT

*A challenge of a good water governance system in municipalities is relatively due to major water insecurities most of which are aggravated due to rapid population growth, hazard development and climatic changes. South Africa's constitution states that every person has a right to access basic water and sanitation services. Water is the origin of every form of life. Water is a natural resource that is multifunctional and multidimensional and water problems in most rural areas are results of issues that are prompted by challenges encountered by water resource management such include socio-economic, structural, institutional and political factors that create problems in communities. Purpose of the paper described (outlined) the water resource development and management in water supply problems of rural areas. The paper employed qualitative approach in which data was collected through desktop and informal interviews. The paper is based on a case study of Greater Giyani and Makhado municipalities in Limpopo Province. This case study compared and contrasted the water provision challenges within the two municipalities. Fourteen (14) respondents comprising of one (1) village in both municipalities, thus consisting of three (3) respondents each from both Muyexe and Ha-Mandiwana villages, municipal managers/officials, ward councillors, traditional leaders and two (2) water service providers were selected purposively for the study. The paper conclude that sustainable development in water resources supplements for adequate supply of safe and clean drinking water; adequate sanitation and more important for environmental sustainability to preserve human society and moreover, that water resources management is the solution to water conservation and use; including being a process that offers flexible framework for sustainable water supply and management.*

**Keywords:** Development, Equitable, Governance and management, Limpopo Province, Municipalities, Rural areas, Water resources, Water scarcity.

## 1. INTRODUCTION

African countries including Nigeria, South Africa, Tanzania and Zimbabwe are confronted by water scarcity challenges caused by quantitative and qualitative destruction of freshwater resources (Sebola, 2000; Nkuna, 2012). In rural communities around South Africa particularly in Limpopo Province, water scarcity is a growing phenomenon. To address this challenge water resource management in such areas should be based upon sustainable strategies such as Integrated Water Resource Management (IWRM) (Nkuna, 2012). This means fewer benefits, less life support and more water-related risks and hazards if such measures are not implemented. Clearly, factors such as population growth, demographic changes, economic development and climate change have a negative impact on water resources (Dlamini, 2008). Equally, water resources have a significant impact on production and economic growth, on health and livelihoods, and on national security (Bila, 2013). As the pressures on water resources grow, it is vital that continuous management of renewable freshwaters is done properly. But, managing water is becoming increasingly complex and contentious. In many regions, managing water has always been a major problem because of the natural variability and uncertainty in weather patterns. But in comparison to this Pierre (2000) notes that in poor rural areas and communities such as the study areas of the paper, the major problem also consists of bad hydrology, more frequent floods and droughts, higher levels of uncertainties, dependency on agriculture, and hence irrigation, rapid population growth. Water demands, small endowments of water

infrastructure, and fragile institutions play a significant in water management in all spheres. In undertaking such an exploration, the paper present the purpose of the study, water governance, water resources management and challenges, integrated water resources management, sustainable development, highlight the findings, recommendations and conclude by outlining issues for new possible research. The paper intends to fulfil the following objectives:

- Identify persistent challenges of water resource management to access sustainable water
- Highlight sustainable development as a tool for efficient water governance mechanism

## 2. RESEARCH DESIGN AND METHODOLOGY

### 2.1 Area of Study

The study areas are local Municipalities in Limpopo Province which are Greater Giyani and Makhado Local Municipalities. In both municipalities, there are selected areas chosen as case studies, thus include Muyexe village (40km north-east of Giyani town and made up of 900 households with approximately 1100 residents (Mathebula, 2014) in Greater Giyani Municipality and Ha-Mandiwana village (37km south-west of Makhado town and made up 500 households and 980 residents (Ralushai, 2012) in Makhado Local Municipality.

### 2.1 Research design and methodology

The paper followed a qualitative research approach. Two study areas were selected from two local municipalities in Limpopo Province. The municipalities were identified through a desktop study on areas that are most vulnerable to water gover-



nance problems or challenges. Data was gathered using desktop (IDP's, WSDP's, DWA) and informal interviews were used for both ordinary community members, councillors and traditional leaders of the selected communities within the relevant municipalities; and this was mainly to get views on the issues concerning access to safe and clean water and sanitation, and challenges that communities are faced with regarding water resource development and management.

### **2.3 Population and sampling**

Sample was selected using purposive sampling and participants were selected on the basis of prior knowledge and information that can be discussed to the researcher and sample size purposively selected to participate in the study consisted of fourteen (14) participants from a pool of ordinary community members, traditional leaders, ward councillors, water services providers, municipal managers/officials from both villages and municipalities.

### **2.4 Data Analysis**

Analysis of data was employed through Thematic Content Analysis on data collected under themes and identifying common themes in it. This allowed the researcher to use the data collected to review the findings and make recommendations to be able to effectively revise the water resource managements within their borders to help with supplying water to the villages.

## **3. INTEGRATED WATER RESOURCE MANAGEMENT (IWRM) APPROACH**

Integrated Water Resources Management

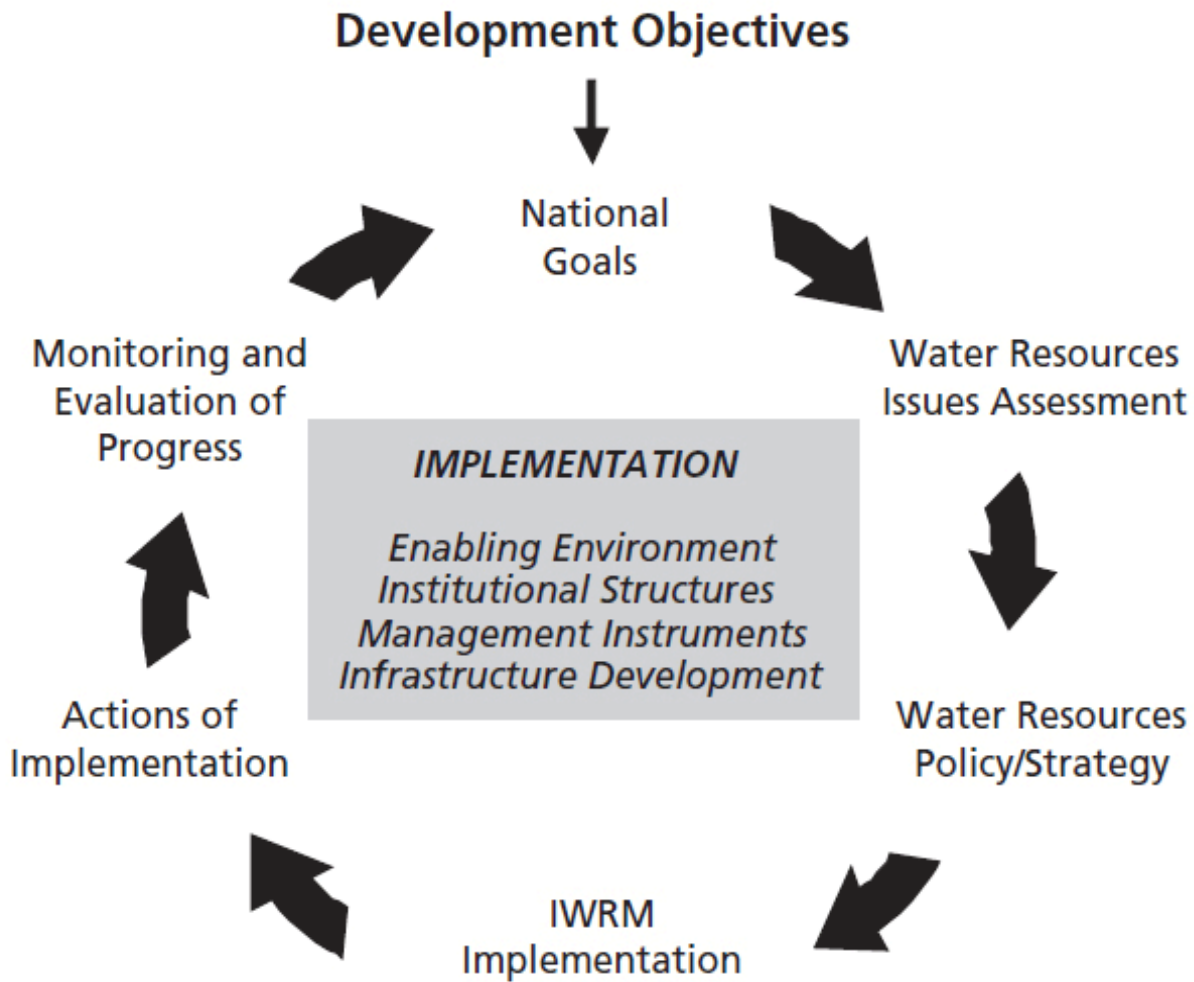
(IWRM) is an empirical concept which was built up from the on-the-ground experience of practitioners. Although many parts of the concept have been around for several decade, in fact since the first Global Water Conference in Mar del Plata in 1977 (Massunganhle, 2008), and it was not until after Agenda 21 and the World Summit on Sustainable Development in 1992 in Rio that the concept was made the object of extensive discussions as to what it means in practice. The Global Water Partnership's (GWP, 2005) definition of Integrated Water Resources Management (IWRM) is widely accepted. It states:

'IWRM is a process which promotes the co-ordinated development and management of water, land and related resources, in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.'

The Integrated Water Resource Management (IWRM) approach helps to manage and develop water resources in a sustainable and balanced way, taking account of social, economic and environmental interests. It recognises the many different and competing interest groups, the sectors that use and abuse water, and the needs of the environment (Pietila, 2010 and Shaw & Kidd, 2007). In both study areas, IWRM approach co-ordinates water resources management across sectors and interest groups, and at different scales, from local to national. It emphasises involvement in national policy and law making processes, establishing good governance in municipality level, traditional authorities and

water services provider by creating effective institutional and regulatory arrangements as routes to more equitable and sustainable decisions. A range of tools, such as social and environmental assessments, economic instruments, and information and monitoring systems, support this process (Saleth & Dinar, 2005).

Figure 2: Stages in IWRM planning and implementation



Source ( UNDESA, 2005)

### 3.1 Sustainable development

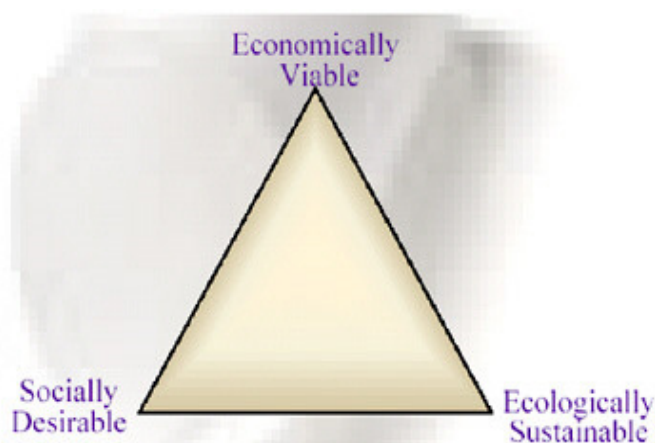
Sustainable development was explicitly popularized and contextualized by the Brundtland Commission in the document “**Our Common Future**” where it was defined as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (UN, 1987 cited in Lemos, 2000). The

Brundtland Commission in 1987 focused on three pillars of human wellbeing: economic, socio-political and ecological/environmental conditions (Levite et al., 2003). The basic concept endorses putting in place strong measures to spur economic and social development, particularly for people in developing countries, while ensuring that environmental integrity is sustained for future generations (UNEP, 2012).

In this study sustainable development is terms of the availability of water in adequate quantity and quality. The growing awareness of water crisis and challenges of water resources managements are drawn to the essence of traditional development, which has led to the increasingly wide notion of sustainability. Sustainable development attests to the effective governance at which development protects the environment, development which advances social justice, thus economic development. The overall goal of sustainable development (SD) in these communities is the long-term stability of the economy and environment; this is only achievable through integration and acknowledgment of economic, environmental (ecologically) and social concerns throughout the decision making process (Rogers & Hall, 2003). Figure 3 illustrates the integration of SD.

Figure 3 : Three points of Sustainable Development

Source: (UNESCO, 2006)



In relation to the study the three points of sustainable development can be articulated as an economically (viable) sustainable system that enables continuous production, by maintaining water management levels of government and civil society; an ecological sustainable system

that maintains stable resource base, avoiding over-exploitation of renewable systems, and depleting non-renewable resources and socially (desirable) sustainable system attains distributional equity and adequate provision of social services including health and education, gender equity, and political accountability and participation including equal provision of clean and safe drinking water and sanitation.

#### 4. WATER GOVERNANCE

Government is at the central, regional or local level and henceforth, the primary actor in a country's system of governance. Civil society composed of non-governmental and community based organisation (NGO's and CBO's), donors, research institutes, religious groups, media, lobbyists and individuals among others also play an important role in water governance (Pierre, 2000). This relates to the broad social system of governing which include but is not restricted to the narrow perspective of government as the main decision-making political entity. Those concerned with governance focus on the match and mismatch between the politico-administrative systems or with the operation and management of services (Boge, 2006).

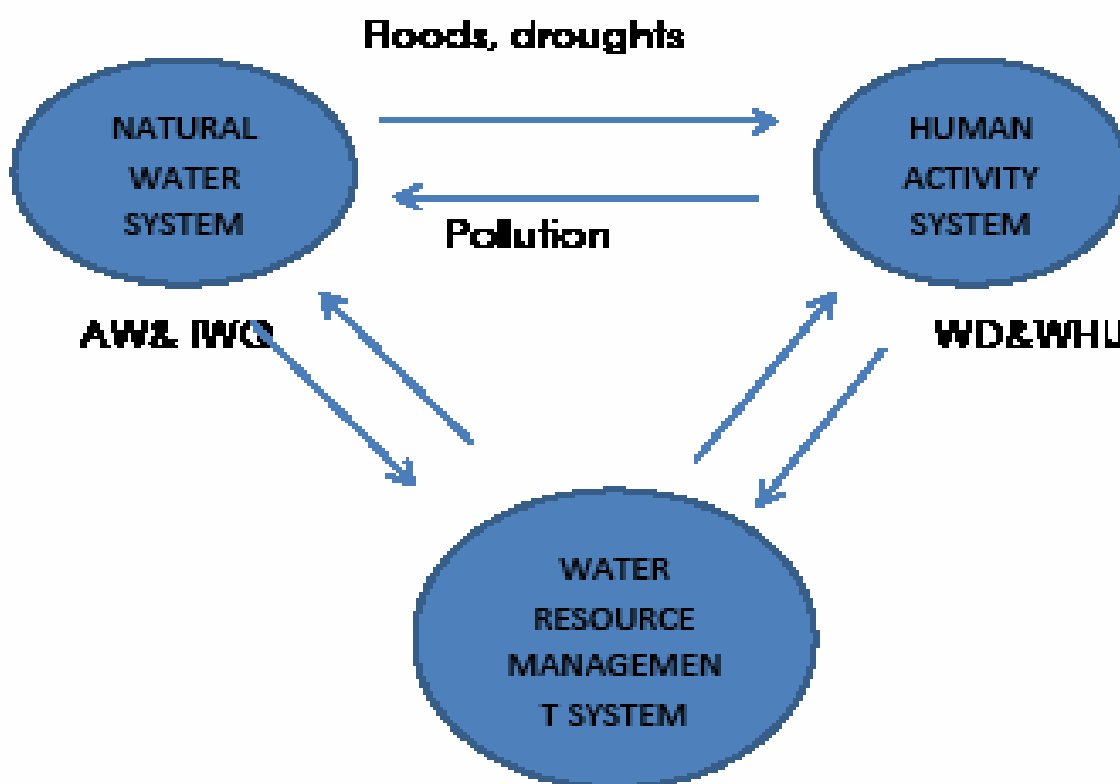
Public policies and institutional frameworks are compounding factors of water governance, and GWP (2005) illustrates that water governance is a range of political, social, economic and administrative systems that are in placed to develop and manage water resources, and delivery of water services, at different levels of society. Water governance in the study areas aspects overlap with technical and economic as-

pects but are generally a subset of a country's physical, institutional infrastructure and social cooperation; and in contrary to that governance of water applies at both the macro (country level) and micro (international level) (GWP, 2005), thus for the purpose of this study governance at macro levels is of importance which refers to the exercise of economic, political and administrative authority to manage a communities affairs at all levels and focus on specific subsets of governance that relate to democracy, human rights, policies, public

sector management, accountability, legislation, corruption, financial management and internal conflict.

### 5. WATER RESOURCES MANAGEMENT

Plummer & Slaymakers (2007) points out that water resources management around the world consists of three general systems: natural water system, human activity system and water resources management system.



AW - Ambient water; IMQ - Improved water Quality; WD – Water Demand; WHU – Water for Human Uses

Figure 1: Water Resources Management: Proposed framework (UNESCO, 2003)

Water resources management system consists of the activities and relationships in the public and private sectors concerned with harmonizing the supply and demand side of water resources. Thus, the essential support to water resources management system is institutional framework for management, consisting of organisations, rules, and codes governing the use and control of water resources (Savage, 2003).

### 6. WATER RESOURCE MANagements CHALLENGES

Managing water sustainably and effectively is fundamental for human societies. Effective water resources management must be underpinned by knowledge and understanding of the availability of the resource itself, the uses to which water is put and the challenges facing the managers at all levels of government (Mbazira, 2013). Water resources management are mostly based on the multiplicity of uses and threats on deeprooted decisions-making policies over common water and use of scarce financial and human resources (Caton & Orlove, 2010). In the study areas the most hoarding challenges consists of failures attributed to insufficient numbers of skilled personnel and ineffective institutions. In other cases water service institutions specifically blame water service failures on a complete lack of skilled personnel, a lack of funds and a lack of ability of poor people to pay for water services. In comparison, other Water resource management challenges in both Greater Giyani and Makhado include the following; Poor policy implementation; lack of popular participation; failure to include traditional leaders in municipality; decision making processes and insufficient funding (Greater Giyani IDP, 2012/2013 and Makhado IDP, 2012).

## 7. FINDINGS AND DISCUSSION

The findings and the discussion is discussed on basis of the following:

### 7.1 Institutional frameworks

Integrated approach to water resources management or integrated water resources management (IWRM) in rural areas indi-

cates that water as an infinite resource in the universe should be managed at the lowest appropriate level (UNDESA, 2005). IWRM requires cooperation between various government agencies, and others, with a stake in water. One of the most common practical issues arising from the ground is the challenge of integration whether it is reluctance to share information, increase joint decision making at both national and local level and facilitate management at water basin level in both municipalities and communities (Mukheibir, 2003).

De Soto (2000) & GWP (2002) posits that a central philosophy of an integrated approach to water resources management is that water should be managed at the lowest appropriate level. In terms of this, decentralisation relates on the decision making process that usually increases inputs and role of various stakeholders (e.g. Water Boards, Community Members, Community Based Organisations, Free Basic Water Policy) with an interest on how water resources are allocated and management decision are taken. An integrated water approach is necessary for both the role of taking into account different interests, concerns and experience in water resources management, and to improve the efficiency in investment decisions (Bruns & Meinzen-Dick, 2000). In Muyexe and Ha-Mandiwana respectively, mechanisms such as water resources commissions and councils should be placed to envision the apex bodies to facilitate the cutting-cross sector inputs to water resources managements. Three of the respondents attested that the institutional frameworks for water resources management are in place but the coordi-

nation between the organizations (government, civil society and the private sector) needs to be strengthened, supported by the availability of expertise and resources to pursue effective integration.

## **7.2 Stakeholder participation**

Stakeholder participation refers to the procedures and methods designed to consult, involve, and inform the communities and citizens (public) about basin management plans in improving the quality and accountability of water and sanitation services (Harris, 2003; Kashyap, 2004). Furthermore, goes beyond civil society and end users and reaches out to different groups of actors, within and outside the water sector management, in activities relating to planning, decision-making, monitoring and evaluation (Moss & Newig, 2010). Participation in water management involves the individuals and groups in the design, implementation and evaluation of a project undertaken. Managing water (stakeholders) involves a plethora of public, private and not-for-profit actors, thus from local, (sub) basin, regional, national to international levels (Qureshi et al., 2010). Governments, citizens, end-users, private actors, donors and financial institutions, as well as infrastructure and service providers, all have a stake in the outcomes of water governance, policy and projects (Gumbo, 2015).

Petts (2010) & Hammer et al. (2011) states that the process of empowering the users to participate effectively in the management has just started, in the two water basins that are ahead of others there is already general awareness on many issues such as people are demanding fair allo-

cation, upstreaming and down streaming, communicating and policing themselves and that a number of protests are reported to have decreased. And in comparison to the above statement furthermore one municipal official attested that in Greater Giyani Municipality members of the communities are prepared to participate and take responsibility for their water and sanitation problems through their Community based organisations (CBO) which include the water committee, community development forum and ward committee is an indication of the extent of change of attitude among individuals and institutions. Water resource managements in rural areas are mostly based upon implementing a decentralized and participatory governance system requires consistent strategies to promote effective and knowledgeable participation of communities' representatives.

## **7.3 Capacity building or constraints**

Capacity development is a long and complex process made more so by the greater involvement of stakeholders in an integrated approach to water resources management (Caton & Orlove, 2010; Kauffman et al., 2008) Five respondents from both municipalities attest that one of the major constraints in the development of water resources within their communities especially in Muyexe village (GGM) and Ha-Mandwana (MLM) has to be identified as inadequate human and institutional capacity for the IRWM. Sustainable management of water resources will not be achieved until the required capacity is available among the various actors responsible. Capacity constraints emerge repeatedly from the interview responses (Muyexe and Ha-Mand-

iwana) and while capacity building is a part of most programmes it is clear that capacity development is a slow process and needs to be better linked to performance.

Miranda (2011) & Savage (2003) points out that in many instances most communities recognize that rolling out new institutions, establishing new/ improved management systems, and empowering stakeholders with the knowledge to make effective contribution to water management. One respondent (water service provider) attested that in most cases all that needs to be done to curb the constraints is to be able to manage water process in a manner that is consistent with development of the necessary capacity. Other respondents suggested, that rather than taking a step-wise approach, aim to implement changes more rapidly with the expectation that performance will gradually improve over time. Two respondents from the MLM, and one of the respondents from GGM posited that implementing a rather complex governance system such as the one imposed by the Department of Water and Sanitation requires continuous capacity building and strong coordination with emphasis that "Without sufficient capacity to ensure enforcement and compliance, it is difficult to ascertain the extent to which the management instruments are being effective." However, one respondent stated that the involvement of stakeholders in executing some of the management instruments (e.g. monitoring and implementation of Water Management Areas and Catchment Management Areas) has shown success in some cases" (e.g Vondo in Thulumela Municipality).

Progress on capacity building (including assessment of capacity needs) need to be evaluated, monitored and assessed so as to implement programs for capacity development, programs for training, education and research. Gumbo (2015) supports the above statement by stating that the need for capacity to implement an integrated approach on all water sectors so as achieve the capacity development programmes are being fully implemented. Thus, integrated water resource management requires cooperation between various government agencies, and others, with a stake in water. One of the most common practical issues arising from the ground is the challenge of integration whether it is reluctance to share information between all involved stakeholders or the tendency for resource management and planning sector driven a municipal official eluded.

#### **7.4 Management constraints**

Many communities across the country reported the management constraints such as mandates; coordination and cooperation; capacity; and participation relating to establishment of governance and institutional frameworks (Nkuna & Nemutanzhela, 2012).

Problems with management mandates related to overlapping or unclear responsibilities between various management organizations (e.g. Nkuri, Xikukwani, Dzanani, Vleifontein) due to institute supply-side efficiency measures such as desalination, repairing leaks rather than focussing on effective governance and management demands (Gumbi & Rangongo, 2015). Municipal official suggested that management

constraint can be diverted by initiating controlling demand as it has the potential to deliver far greater water efficiency. In contrast, Maluleke, Cousins & Smith (2003) and Pretorius & Schunick (2007) are of the view that demand management obstacles are the hindering factors of management constraints thus include; heavy subsidisation of irrigation for agriculture, lack of financial incentives for water efficiency, production of water intensive goods in water scarce areas lack of capacity for implementation of modern agricultural techniques for enhancing efficiency and lack of water recycling.

In view of the above statement two community members from both villages pointed out that issues of management constraints are due to pro-poor coordination and cooperation that occur for a number of reasons, such as inadequate planning, insufficient resources, a lack of awareness, and the conflicting stakeholder agendas, which may lead to the prevalence of partisan or sectoral approaches, and one of the respondent (traditional leader) pointed that lack of coordination and cooperation in other communities is reported as fragmented approaches to water resources management, lack of capacity is the inability to regulate and enforce law, lack of sufficient or appropriate equipment, and several mentioned the need for advanced technology transfer.

## **8. RECOMMENDATIONS**

Based on the study findings, the following recommendations are made:

### **8.1 Prioritization of water resource management in rural areas**

Water is a source of life and given the intermittent supply to Muyexe and Ha-Mandwana, as such GGM and MLM should ensure that consumers receive it regularly. It is the mandate of that municipality to do so. The quality and quantity of water supplied should be clean and affordable as well. Whilst addressing the long term constraints, both municipalities should also have short term strategies to improve water supply. More boreholes should be opened to augment supply from the water management areas (WMA) and catchment management areas (CMA). GGM and MLM should ensure that there is proper control and regular maintenance of all water infrastructures.

### **8.2 Community consultation and participation**

Improved consultation can only contribute towards effective communication and engagement with and by consumers (Jury & Vaux, 2007). Promoting greater collaboration to build understanding and coordinate action, thus government-led efforts to encourage participation by actors through multi-stakeholder processes are key to promoting collaboration, and by instituting a process that brings together development agencies, civil society groups, and private sector to define water-related goals and potential actions (Pahl-Wost et al., 2008; Roy, 2011). In this regard, civil society groups at every level need to be engaged and included in the process; and facilitate



effective communication and coordination strategies across all scales, empower poor and disadvantaged communities, and effectively monitor progress. Finally, promote better understanding that can lead to more coordinated action.

### 8.3 Addressing capacity constraints

Both municipalities have to address the capacity constraints which have been outlined in the study. Thus, effective engagement with all stakeholders, donors, actors and civil society (members of the community) is essential to facilitate implementation and provide sustainable and stable funding source.

### 8.4 Water service infrastructure

Inadequate water infrastructure has been identified as one of the major problems in the area. Several dams were designated to supply the area but over the years have proved insufficient. Construction of bulk water supply dams and reservoir should thus be fast-tracked.

## 9. CONCLUSION

There is no water governance without proper governance at large. Similarly, there cannot be effective solutions to institutional frameworks, stakeholder participation, capacity building and management constraints in water governance if there is no broader framework for bottom-up and inclusive policy making outside the sector. The study did not cover every subdomain on water governance, sustainable development and management of water resources in these study areas. Consequently,

the study outlined possible future research in the similar field, particularly on issues of building blocks for good water governance in rural areas.

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# ROLE OF LOCAL GOVERNMENT IN COMMUNITY SAFETY: A CAPABILITY APPROACH IN CRIME PREVENTION METHODS

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## ABSTRACT

*Local government is designed to promote the realisation of human rights, socio-economic development and cultural, civil and political rights for the betterment of communities. Using the capability approach, this study analyses sustainable local government in crime prevention within the Mankweng community with the view of promoting community safety. Capability approach intertwined with local government attest developing of tools and measures of success to involve the community in recognising crime and safety as a quality of life issue. Local governments have a crucial role to play in creating safe environment for communities, especially by ensuring sustainable human development as a pathway towards the attainment of community safety. This discourse derives from the perspective that local government and community safety should form a joint venture in the quest to eliminate poverty, promote human dignity and rights, while providing equitable opportunities for all. The study will employ the qualitative research methodology. It employs semi-structured interviews with open-ended questionnaires as data collection instruments. Seven (7) respondents comprising of two (2) Crime Investigative Unit members in Mankweng Police Station, two (2) community forum members within the community (Mankweng) supported by the ward councillor with the involvement of the mayor and two (2) victims /community members were purposively selected for the study. Our findings pivots on the relevance of the capability approach towards promoting sustainable development with reference to crime prevention in the Mankweng community. The development of human capabilities by the local government apparatus is shown as quintessential to crime prevention and community safety.*

**Keywords:** Capability approach, Crime prevention, Community safety, Local Government.

## 1. INTRODUCTION

As an integral sphere of government closest to the people, credible and effective local governments (LGs) are an important part of a well-governed and responsive public sector in economically successful countries. However, in developing countries, ineffective LGs, poses a serious threat to the development. LGs, however, are not automatically well-governed and responsive. In fact, for LGs in many places in the world, it is a day-to-day struggle to perform at a minimum standard (Cunneen, 2004). Some of the implications of poor local governance in rural communities in developing countries include their proneness to crime relative to their counterparts in the developed countries (Grote & Neubacher, 2016). Among the reasons adduced for this reality include poverty and deprivation that characterised the rural communities. According to International Fund for Agricultural Development (IFAD) (2011), over 55 % of people in developing countries live in rural areas; and 70 of these are extremely poor. As the sphere of government that brings basic services directly to the people, a vibrant local government, performing optimally can mitigate crime by addressing the developmental challenges including poverty and food security, amongst others, which sometimes predisposes people to crime and violence in a given community (Van Kesteren *et al.*, 2013). However, to achieve a consistent level of performance, and to remain vibrant, let alone to increase their vitality, local governments have to enhance their capacities continuously (Manning *et al.*, 2006).

Rural areas in South Africa are a continual and recurring priority for development

and social upliftment (Nussbaum, 2001). This is not surprising since it is recognised that much of South Africa's population live in extremely difficult socio-economic conditions in rural areas of which Mankweng community is no exception. There is a two-way relationship between community safety and local government as far as rural development is concerned. On the one hand, where there is crime and insecurity, development is hampered. On the other, where there is crime, under-development and insecurity set (Davey, 2011). In the face of the prevalent socio-economic and developmental challenges in rural areas, a lot needs to be done to reduce the alarming criminal acts committed within the community (Nussbaum, 2003; Nussbaum, 2004). Evidently it goes without saying that an overall reduction of rural poverty and inequality will, as a matter of course, result in a quality of life that will reduce numerous safety challenges which rural dwellers face at the moment (Davey, 2011). For example, if girls and women in the community had running water in their homes, they would not be vulnerable to the victimisations which they experience while travelling to and from rivers and communal water sources (Maditsi, 2001; Pogge & Pogge, 2002)

Though, local government is faced with enormous problems the most prevalent challenge currently faced by most rural areas like Mankweng is safety. The South African government has long prioritised rural development by launching initiatives such as the Integrated Rural Development Plan (IRDP) which co-ordinates the efforts of various departments in improving rural areas (Randolph & Judd, 2000). Current-

ly, rural development remains a priority for government with emphasis being placed on land and agrarian reform, food security and the targeted renewal of rural towns through grants such as the recently announced Neighbourhood Development Grant programme (NDGP). Unfortunately, less emphasis on community safety and crime reduction methods which can be implemented also in South African rural communities (Kang, 2015). More recently, local governments across the country have prioritised community safety. Indeed, the safety of rural areas is of key concern for the envisaged national socio-economic development and growth (Randolph & Judd, 2000). It is against this backdrop that this study focuses on the role of local government in community safety with regard to crime prevention methods, emphasizing how safety and security interface with capability approach in Mankweng area.

## 2. CRIME DYNAMICS

South African Police Service (SAPS) in Mankweng, community members and Ward councillor throughout the Mankweng area and surrounding communities have been confronted with increasing criminal problems that has affected community safety over the past ten years. Disorder, crime, drugs and guns have been daily reminders of the difficulties of living in safety and security. In the 1990's, however, these problems multiplied to levels not seen before, and with a major impact on children and adolescents (Jain, 2010). Young people have increasingly been the victims of violence, including homicides, and their involvement in serious crime and violence has also risen

(Maditsi, 2001).

Incidents within the community and the surrounding areas including tragedies like that within the University premises have demonstrated that crime, insecurity and violence are no longer just the problem of inner-cities and large urban areas. Increasingly crime, violence and insecurity have also affected many other communities across the countries including the Mankweng area. In response, the local government has tightened their legal and justice systems, increasing policing capacities and penalties, with the view to deter and repress crime and violence (Brent, 2000). Expenditures on law enforcement have increased massively. Sentences have become tougher (Brighouse, 2004). The number of offenders prosecuted and incarcerated has risen dramatically, and private security personnel have outstripped official law enforcement (Crawford, 2009). The costs of maintaining criminal justice and correctional systems have similarly risen to unprecedented levels (Watts *et al.*, 2008). Throughout this period crime prevention, rather than *repression*, has generally played a very minor role. Further, crime prevention has been seen as largely the responsibility of the police (Brent, 2000).

Most crime risks aspects that are major threats to the livelihood of Mankweng community are based on some of the risk factors for crime and victimization. As Waller (2006) rightly observes in this regard, two phenomena are fundamental to the issues of community safety. These include: [1] income inequalities issues, which affects the sense of security of population and [2] the problem of corruption and abuses community by institutional authorities.

## 2.1 Rural areas, and crime uncertain correlations

National crime rates often mask wide variations across regions, cities and rural areas (Gould *et al.*, 2002). It is often assumed that large cities are likely to have higher levels of crime and victimization, but this is not necessarily the case as rural areas are faced with the similar phenomena (Stewart & Deneulin, 2002). For example, there is no clear correlation between the size of a rural population and levels of rural rape, theft, assault and murder. The UN Survey on Crime Trends UNODC (2008) and Dalgleish and Myhill (2004) found that, globally, there is a considerable variation with regard to the correlation between crime and the size of a number of large rural areas. This can be somewhat asserted of Mankweng. Consistent with above view, we found that rape, assault and murder rates are higher in Mankweng community than the rest of the neighbouring communities. Higher crime rates are found in smaller towns and cities, which are growing at a faster rate than larger urban communities. The growth of urban areas in the world varies significantly from one continent to another, and within a region or a country (Cherney & Sutton, 2007). However, the UN estimates that a third of the world's urban population live in slums (Arvanites & Defina, 2006). While slums vary greatly in terms of the level of poverty, quality of health, education, and environmental conditions, their lack of services and infrastructure is a major factor increasing the vulnerability of their inhabitants to crime and victimization. Violence, including gang violence, racist attacks on inhabitants, murder, assault and rape occurs in Mankweng as they occur in various

slums of cities in South Africa. Various reasons have been adduced for the reality. They include, but not limited to, protests against failed policies of public housing, poor living conditions, rising food prices or an influx of external migrants (UN Habitat (Bourguignon, 2000; Fajnzylber *et al.*, 2002; Fajnzylber *et al.*, 2002; Un-Habitat, 2004).

## 2.2 Crime levels link to inequality and equity

In the case of Mankweng community inequality and inequity levels, rather than poverty itself, are of most explanatory efficacy. Inequality is one of the most important factors associated with crime rates in both rural and urban areas. Previous studies conducted such as those by Grogger (1998) in similar communities with criminal activities as high as Mankweng situated the causal factor within the strong relationship between measures of income inequality and property crime. This was also found to be true both across time and when comparing countries (Ekblom & Tilley, 2000; Farrington, 2000). The negative sway of crime on the economic growth of the local community are not mild. It effect a range of economic indicators from wage level, GDP, and the collective perception of current or anticipated economic perception (Ekblom & Tilley, 2000). As Dalgleish and Myhill (2004) corroborate, acquisitive crime increases during economic downturns, and falls with improvements in the economy (see also Rosenfeld & Fornango, 2007).

## 2.3 Community development, social capital and community capacity building

The need for local community responses and local preventative strategies to ad-



dress the problems of crime and antisocial behaviours is increasingly being accorded its due importance by international public health and social wellbeing agencies (WHO, 2008). The key focus is to incorporate the concepts of community development, social capital and community capacity building into crime prevention policy and program implementation (Morgan, 1991).

#### **2.4 Community development and community engagement**

Much of the community development literature concerning crime concentrates on drug and alcohol-related crime and youth offending. In view of the complexity and the multifaceted nature of factors that contribute to crime, the principles of community development that the factors that contribute to crime are complex and multifaceted, it has been observed that there is no single solution that can be prescribed. Rather, communities themselves have to address the broader societal and cultural issues that contribute to the various forms of crime. Hence the importance of the principle of community development as a preventative strategy for efficacious crime prevention rather than repression (Crawford, 2009; WHO, 2009b). Indeed, as Homel and Homel (2012) aptly observed, the mobilisation of community action to address issues of concern to local communities is not novel. However, what possibly has changed is the recognition that individual based law enforcement approaches, whilst sometimes necessary, are not going to change criminal behaviour at a population level. From this perspective community based development strategies are about more than punishing criminal individuals; they are concerned with systemic and

structural change so that the whole of the community is utilised to support crime prevention (Midford, 2004).

#### **2.5 From Crime Prevention to Community Safety**

According to Holloway *et al.* (2008), local government officials have played a major role in the evolution of community safety since the post-apartheid in South African rural communities. Increasing numbers of initiatives target crime, victimization, and the social exclusion of individuals, minority groups, and neighbourhoods (Cohen, 1993; Chomsky, 1999). The links between poverty and social disadvantage and crime and victimization have shown that many agencies need to work together to prevent crime (Graham & Homel, 2008). Encouragingly, local officials such as ward councillors, local SAPS and many community members have come to see community safety as a basic human right and an important aspect of the quality of life in their communities (Brantingham *et al.*, 2005). They have mobilized local partnerships with key actors; the police, government agencies, community organizations, and residents to develop safe, secure, and vibrant communities in rural areas as well as in metropolitan areas. These partnerships have made significant gains in how crime prevention is viewed (Fleming, 2005). For instance, the narrow focus on crime prevention has shifted to the broader issue of community safety and security as a public good. In addition, consensus has developed about the need to work for community safety by tackling the social and economic conditions that foster crime and

victimization. Essentially, the common public view that community safety is the sole responsibility of the police has changed and people now recognizing that governments, communities, and partnerships at all levels must be actively engaged (Smith & Cornish, 2003).

### **3. CAPABILITY APPROACH**

Alkire (2002) Considers capability approach as a moral framework, which basically proposes that social arrangements should be primarily evaluated according to the extent of freedom people have to promote or achieve functioning's they value. This is an evaluative approach (Boex, 2003). Similar to social or developmental approach, capability approach on community safety and crime prevention is based upon issues that attest that whereby risk and protective factors relating to particular citizens in communities including the young people are largely identified with the criminality and violence (Killias & Ribeaud, 1999; Alkire, 2002; Homel, 2009)). Thus, early intervention and developmental strategies capable of redressing these situations before they occur should be implemented to amend the underlying social and economic causes of such crimes (Alkire, 2002). Moreover, capability approach is underscores socio developmental programs that can be initiated to improve education, employment, social cohesion, health and living and housing standards (Sen, 2004a; Morgan & Homel, 2011).

Robeyns (2005) states that in reviewed documents by other theorists and practitioners have a preference for the term 'community safety' in place of or in addition to

crime prevention. They argue that a pre-occupation with crime can result in interventions that are too narrowly focused and perceived as the sole province of the police (Sen, 2004b). In relation to this, Homel (2009) lamented the fact that 'for too long, crime prevention has been approached as an activity that is an adjunct to the "main game" of investigating, prosecuting and punishing crime'. Moreover, in an attempt to differentiate anti-crime initiative from strategies to address other harms (Crook, 2003); such as substance dependence or child abuse there's a need for dealing with these issues separately to avoid community instability and other social exclusions problems (Sutton *et al.*, 2013)

### **4. RESEARCH DESIGN AND METHODOLOGY**

#### **4.1. Study area**

Mankweng is a township in Capricorn District Municipality in the Limpopo Province. It is commonly known as Turfloop, as a university township, though relatively small. Mankweng is a rural area about 30 km from Polokwane on the Tzaneen road. Based on the 2011 Census, Frith puts the overall population at 33 738 with about 10 303 households, 99% of which African, with 94% Northern Sotho speakers (Frith, n.d). The population is predominantly Sepedi speaking, with the exception to Xitsonga and Venda language speakers who settled in the area either for educational and or employment opportunities (Frith, n.d). Mankweng community's economic development strives and collapses due to the rate of unemployment which is alarming and high crime rate. Due to the demographics the community is situated in an

area wherein there are no equal economic opportunities. To redress the past injustices and inequalities local government, developed small macro-economic businesses but that has not reduced the crime rate levels within the communities.

## **4.2 Research Design**

Qualitative case study methodology was employed in this study to collect data on the role of local government on community safety. Qualitative methodology assisted the researchers to conceptualise complex root causes of Crime especially with reference to the shortcomings of local government as community safety and security in Mankweng community is concerned. This approach provides the researchers the opportunity for an in-depth assessment of the research objectives. In other words, assessing the role of local government in community safety, using the capability approach, in crime prevention methods required descriptive deduction for the purpose of generating results for this study.

## **4.3 Research population and sample size**

Mankweng community has an estimated 10 303 households. However, there is no conclusive evidence indicating exactly how many residents institute these households. Polokwane Local Municipality attests that the Integrated Development Plan (IDP) conclusively alludes that the ward, in which Mankweng is situated have inequality in terms of fair distribution of both males (15 667) and females (18 072). For the purpose of the study the population consisted of ordinary victims of crimes within the com-

munity and the stakeholders. Sample was selected employing purposively sampling strategy, on the basis that it is used when participants are selected on the basis of prior knowledge and information that can be conferred to the researcher. This study purposively selected Seven (7) respondents comprising of two (2) Crime Investigative Unit members in Mankweng Police Station, two (2) community forum members within the community (Mankweng) supported by the ward counsellor with the involvement of the mayor and two (2) victims /community members for the study.

## **4.4 Data collection**

In this study, data was collected using semi-structured interview questionnaires which comprised of open ended questionnaires as to allow the respondents to further articulate on their responses.

## **4.5 Data Analysis**

Thematic content analysis (TCA) was employed to analyse the collected data. It is a method of gathering the collected data under themes and identifying common themes in it (Boeijie, 2011: 96). This allowed the researcher to use the data collected to review the findings and make recommendations on how Mankweng village in Polokwane Local Municipality can efficaciously revise the capability approach towards crime prevention and reduce the statistics of all various of criminal acts within its borders to help with community safety the village and other surrounding areas.

Polokwane Local Municipality and Mankweng SAPS policy documents, related academic literature, relevant journal and newspapers articles, internet and other sources will be perused and scrutinised to

inform the analysis.

## **5. FINDINGS AND DISCUSSIONS**

From the 7 respondents sampled to participate in this study, only 5 responses were returned; thus, the finding of this study only depends on the responses given by the 5 respondents.

### **5.1 Local Government's Challenges on Community Safety**

#### **5.1.1 Increasing poverty and income disparity threat to safety**

Mankweng community is faced with huge challenges but the most common one is the growth in population. This is compounded by migration, which is quite noticeable in the area. According to a respondent, migration is growing very rapidly, and the levels of poverty and disparities are increasing as well between the rich and poor. Consequently, two of the respondents are of the view that with these developments is impacting considerably on community in Mankweng. The nearness of the community to the Legendary and Iconic University of Limpopo wherein many students and staff from various backgrounds flock in further is a contributory factor. By implication, the communities normally become targets of various crime. Notably however, the progress of the community has already had a significant impact on safety and security in many communities that surrounds it and is likely to continue.

Currently, between 10% and 25% of the community population has resorted to creating accommodation for students and as

such this proportion is expected to increase to around 40% by 2020 and the distance to acquire accommodation too which increase the risk of huge crimes by 5%. Many neighbouring communities such as Mankweng, in spite of the increase students and overall wealth, are still underdeveloped and the levels of poverty has risen and so has criminal offences such as rape, murder, theft, assault and burglary.

One of the respondents attested that some community members are living in poverty and income disparities and safety and security issues are an enormous concern and women and children are the most vulnerable, as they are faced with greater problems of discrimination in jobs markets and housing than men. Minority and immigrant populations are also far more likely to be living in poverty than the majority population, partly because of systemic racism and discrimination. With that said, the most problematic issue that concedes crime is unsupervised young people, litter and dilapidation, pollution, lack of transport and services, all add to the inequalities and lack of safety and security in their lives.

#### **5.1.2 Unemployment and drug abuse**

The researchers wanted to find out from the respondents at Mankweng on whether unemployment and drug abuse were the main cause of criminal activities within the area. Majority of the respondents have shown certainty that both this socio-economic problems were the main contributory factors to criminal activities within the area; while only two of the respondents

disagreed stating that the unemployment and drug abuse do not influence criminal behaviour but nonetheless plays a negative impact on society. Only one of the respondents stated that unemployment and drug abuse are negative and positive contributors to society. This is on the basis that South Africa is facing difficult economic climate, lack of unemployment, changing and unevenly trade/labour markets, daily advancement in technological developments and high brain drain as well as loss of unskilled jobs in many parts of the country has a major influence on the unemployment rate. The increase in unemployment rate and lack of jobs to sustain the skills the youth have acquired plays a role in fuelling the abuse of substances. This has especially affected young people, increasing their vulnerability to drugs and gangsterism, illness and crime. Growing numbers of adolescents and young adults are now out of school, job training or work. For example, Mankweng and surrounding communities' youth unemployment rate rose from 5% to 15% for both young men and women between 2001 and 2007 (Frith n.d. & Census 2011).

Following the high rate of drop outs from high school and university drop, many of the youth within Mankweng resorted to drug use and the mixing of different drugs and alcohol, which have become much more prevalent among young people according to three of the respondents. This has been also adduced of other rural communities locally, nationally and internationally especially in most European countries over the past ten years, but especially in areas of high unemployment (WHO, 2009a).

### **5.1.3 Social Exclusion**

Four of the respondents stated that in this community area and its neighbouring communities, the concentration of poverty and social and economic problems in particular areas has led to talk about social exclusion. In Ga-Makanye, Toronto (Unit D-E), and Mamontitane, for example, increasing income disparity and concentration of poverty have been restricted to certain areas of the local municipality. Most families who live in these areas are often the poorest and include many immigrants and minorities. They often live in shacks, one bedroom house or areas in the worst housing and environmental conditions. People in such areas are excluded from taking part in the employment, health, safety, and prosperity enjoyed by the rest of the population one of the respondents indicated. For these residents, poor health, crime, vandalism, drugs, unsupervised young people, litter, pollution, and lack of services add to the lack of safety and security in their lives.

### **5.2.1 Crime and Policing in Mankweng Areas**

#### **5.2.1 Safety, Security and Legal Issues**

The researchers wanted to find out from the respondents the conditions of a safe and secure environment is a critical precondition for Mankweng communities' development. Two of the respondents pointed out that generally poor rural people have great difficulty exercising their recourse to the legal system. They remain vulnerable to being exploited by employers and landowners. The poor are also more readily ex-

posed to inter-communal conflict due to their limited resources to seek alternatives to negative communal conditions. All five respondents stated that there have been appeals to extend legal services to Mankweng Magistrate court but this remains a financial and logistical challenge. Organisation(s) such as the Legal Aid is providing essential legal and paralegal support to some rural communities with limited resources. An assessment of these rural legal advisory offices is needed to determine how to increase their reach and efficiency.

### **5.2.2 Crime in Mankweng community**

Four of the respondents stated that high levels of crime pose a serious threat to Mankweng and other communities. Apart from tragic loss of life, crimes such as robbery, theft and hijacking deprive Mankweng dwellers of their meagre possessions. Consequently, economic developments are tarnished, thus depriving socio-economic growth and at a more macro level, rural crime impacts on food security creating a risk for the overall developmental prospects of the country. Two of the respondents pointed out that crime increases most changes occurring within the community affect entire families. Often they result in a lack of guidance and communication between family members, and crime becomes a likely outcome. Children, especially boys, need positive adult role-models. Many children live with grandparents who find it difficult to exercise authority and administer discipline. Due to lack of entertainment and job opportunities, Mankweng has led young people to engage in crime as a result of boredom and peer pressure.

### **5.2.4 Crime Reporting in Mankweng Police Station**

Two of the respondents identified that in most cases especially in Mankweng, there are a variety of reasons for people not reporting their cases and their victimisation to the police. Other reason adduced were consistent with Fleming (2005) study, according to which the following were identified as challenges to crime reporting. [1] difficulty of access to police station; [2] lack of confidence in the ability of police to deal with the issue; [3] preference to rather report to traditional authorities; and [4] other personal reasons such as a fear of retribution and feelings of personal blameworthiness. Hence, according to one of the respondents, in some incidents of rape involving a perpetrator who is a member of the family or a lover, some victims experience difficulty in divulging the matter. Conversely, these communities experience difficulty in accessing police station and court due to cost and travel distances.

Furthermore, respondents also stated that they face difficulty in policing the Mankweng area due to the geographic isolation of Mankweng communities and communities surrounding Mankweng Police station. Three of the respondents maintained that police rarely respond on time to matters such as Housebreaking and Domestic Violence, and are also slow to respond to very serious and sensitive cases such as the rape of children.

### 5.2.5 Police Responses

Police continuously bemoan the fact that they have difficulty policing Mankweng surrounding areas because of the poor road conditions and rough terrain mentioned by two of the respondents. Other reasons for the non-attendance of police to those a crime reports include: the nature and seriousness of the incident – that is, whether or not the incident warrants investigation and follow-up at the actual scene of the crime; and the successful resolution or mediation of the issue at the police station which would not require follow-up. Three of the respondents stated that usually in practice, only the most serious cases are responded to and less serious cases are either dealt with when time and resources allow or they are dispensed with without much attention.

### 5.2.6 Community Policing Forums (CPFs)

Like in other types of communities, well represented Community Policing Forums (CPFs) in Mankweng should provide a vital link between Mankweng police station and the communities they serve. The Department of Justice has capacity to intervene where there are breakdowns in relationships between communities and the police. For example, one of the respondents pointed out that the Mankweng Police stations and department intervened in the Community of Mankweng Unit A to Unit G in mid-February 2016 when there were severe tensions between certain sections of the community and the municipality on the price hike and water bill issue and police were called to intervene in the matter.

## 6. RECOMMENDATIONS

This paper recommends the following:

- Reduce crime events by modify the physical and/or social environment
- Identify at risk populations and potential criminals and address the causal risk factors
- Recognising community safety through the capability approach as a right and issue of quality of life in rural communities
- Adapt crucial strategies to assist on community safety and also on crime prevention initiatives
- Building capacity for the assistance of communities across the board (Mankweng area and neighbouring communities)
- Develop mechanisms that assist on developing and measuring success of the strategies of the policies initiated by local government

## 7. Conclusion

Crime prevention takes place at all levels of government and society. However, much crime prevention theory and research indicates that initiatives developed and implemented at a local level are some of the best ways of reducing crime and antisocial behaviour. Local government solely re-

quires a shift from a relatively narrow focus on crime prevention to the broader issue of community safety and security as a public good. Hence, together with the community a consensus should be developed about the need to work for community safety by tackling the social and economic conditions that foster crime and victimization. Akin to the police, the local government should address the view of crime prevention through redressing public view as the primary responsibility for community safety. Partnerships at all levels, including government and the communities, need to be actively engaged in reducing crime. In these sense, the vital point being that recognition of the crucial role that local municipal leaders plays in this process through organizing and motivating coalitions of local partners to create healthy and safe communities. Indeed, intervention targeting risk factors can be effective in reducing crime and other social problems. Moreover, such intervention can be cost-effective compared with criminal justice solutions.

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# RE-EVALUATING THE EU'S EXTERNAL HUMAN RIGHTS AND DEMOCRATIZATION POLICY: A CRITICAL ANALYSIS ON ZIMBABWE

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## ABSTRACT

*The European Union (EU) adopts the use of sanctions as an instrument to ensure good human rights record and promote the democratic principles globally. As such, the EU has resorted to unilateral sanctions (that which fall outside the scope of the United Nations mandate) in Zimbabwe because of the violations of human rights and democratic principles and disrespect for the rule of law. These sanctions came in a form of assets freeze, arms embargo and travel ban and trade restrictions on companies associated with President Mugabe and the Zimbabwe African National Union-Patriotic Front (ZANU-PF). Therefore, Mugabe's led government holds a perception that the EU's sanctions are a neo-colonial coercive measure intended to replace ZANU-PF with the Movement for Democratic Change (MDC) through imposition of economic hardships on ordinary Zimbabweans, ultimately making them dissatisfied with Mugabe's regime and vote for change. On the contrary, the EU maintains that it imposed sanctions because of human rights violations, lack of respect for law and failure to follow democratic principles. However, it has been over a decade and the sanctions are still in place, which then brings into question the efficacy of this foreign policy instrument. With this in mind, this paper employs discourse and document analysis in their broadest form in order to evaluate the efficacy of EU sanctions in Zimbabwe and touches on their legal implementations given their unilateral nature.*

**Keywords:** European Union, Zimbabwe, sanctions, human rights, democracy.

## 1. INTRODUCTION

As part of the strategy to ensure promotion of human rights and democracy globally, the European Union (EU) has adopted sanctions as a foreign policy instrument. Sanctions are imposed to ensure that targets comply and change their behaviour. In fact, they are crucial instruments to promote human rights and democracy and

safeguard peace and security internationally. Basically, rather than the use of armed force, this strategy is used as a peaceful means to settle violation of human rights, ensure respect for international law and promote democratic principles. The EU refers to this strategy as "restrictive measures" that set out to pressure targeted individuals and nation states to abide by international law and change their behaviour to

be in line with the standards and prescripts laid by the United Nations (UN). Hence, the UN is the custodian for the promotion and maintenance of international law (Shai & Mothibi, 2015). However, empirical research shows that sanctions (targeted or comprehensive) are affecting and harming ordinary citizens and institutions which are crucial for the survival and continuity of human security of poor majority (Mediel, 2012). In the Zimbabwean question, sanctions are alleged to have contributed vastly to the current socio-economic quagmire (Raphala, 2013). Nevertheless, it is worth noting that Harare's (administrative capital of Zimbabwe) ill-conceived economic policies such as unbudgeted and expensive compensation to the war veterans have also contributed to this debacle (Mediel, 2012). Following the 2000 land reform programme and the violence on opposition activists and restrictions on the media, ZANU-PF was accused of violating human rights and democratic principles. As a result, the EU had to respond to Harare's alleged perpetuation of gross human rights violations because failure to act would have made Brussels (headquarters of the EU) lose credibility in its human rights and democratisation policy. Moreover, given its importance as a global actor, Brussels is set to utilize its collective weight to promote democracy and respect for human rights globally (Hague, 2012).

Notably, the EU has tied all trade and development cooperation with human rights and democratisation issues thus impose sanctions for their breaches. Under Article 96 of the Cotonou Agreement (2000-2020), the EU suspended its partnership agreement and further imposed targeted sanctions on Zimbabwe. Although the EU labelled these

punitive measures as targeted sanctions, this paper argues that they have affected the entire country (Raphala, 2013; Nkadi-meng, 2016). It has been over a decade since the sanctions have been in place and this leads to a question in respect of their efficacy. The foregoing problematisation of the EU sanctions against Zimbabwe should be understood within the context that the negative implications of these sanctions have largely affected the ordinary majority at the expense of the political elite. There is no clear evidence that the sanctions in question have had any measurable effect on the state of governance in Zimbabwe. Additionally, sanctions as a policy tool differ from other foreign policy instruments given that they are regulated through legal provisions (Ogbonna, 2015). However, Harare has continuously argued that the EU sanctions are illegitimate because they fall outside of the scope of the UN.

Against this backdrop, this paper seeks to evaluate the efficacy of EU targeted sanctions and their legal implementation process. Zimbabwe is chosen as a case study in this paper to determine the success of EU negative measures to exhort countries to promote human rights and democratic principles. The first section touches on the theoretical framework which will guide this study in evaluating the EU's policy position in Zimbabwe. The ensuing part discusses the imposition of sanctions, grounded in the EU's external human rights and democratisation policy, and their legitimacy on Zimbabwe. Given the long period since the sanctions under review have been in place, the third section expatiates their efficacy. Finally, this paper closes with concluding remarks and sums up the research findings.

## **2. CONCEPTUALISING AND CONTEXTUALISING 'FOREIGN POLICY'**

It is instructive to highlight that for the purpose of this paper policy denotes foreign policy. This phenomenon is also known and interchangeably used in this paper as external/ international relations policy (Shai, 2016). To this end, this paper embraces Shai's (2015:212) definition of foreign policy. He explains it as a principles and rules driven official framework on the "nature of practice and conduct of one nation state's international affairs in the political, security and socio-economic arena with intent to protect and preserve its national interests". Regardless of this explanation, it is important to highlight that in this paper the focus will be on the foreign policy of EU as an inter-governmental organisation and not necessarily on the foreign policies of its individual member states.

## **3. SETTING THE SCENE FOR A POST-COLONIAL PERSPECTIVE**

This paper is broadly underpinned by the post-colonial theory as advocated by scholars such as Rai (2005) and Ndlovu-Gatsheni (2013). It also draws from the works of Asante (1990, 2003). The focal point of this theory is the persistence of colonial forms of power (Baylis, Smith and Owens, 2013). When ex-colonies were given independence, colonialism did not really disappear as new forms of subjugation particularly within economic dimension resurfaced. According to Tepeciklioglu (2012) new elites in the independent states emerged and sustained the rule based on the exploitation of certain classes and colonialism revitalised itself under the name of neo-colonial-

ism. Within this context, the ZANU-PF and its government have argued through the tactical use of the anti-imperialist rhetoric that the West is angry over the country's radical land reform programme and is trying to impose the MDC regime which will conform to the EU's policies. In this sense, sanctions can serve as a policy tool to project a regime change if the prevailing government is a threat to the West's interests. As post-colonial theorists posit, the West often resort to punitive measures to preserve their interests which they built during the colonisation period (Shai, 2010; Raphala, 2013; Ndlovu-Gatsheni, 2013). In the same vein, the EU has resorted to sanctions to punish President Robert Mugabe and his administration for interrupting the white-commercial farmers' profitable businesses by grabbing the land forcefully. Ndakaripa (2014) maintains that sanctions are an instrument for the West to perpetuate their dominance of developing countries by interfering in decision making processes or by effecting regime change. This means that sanctions can be used as a tool to interfere in the internal affairs of another sovereign state as an alternative to conducting any military force. For instance, ZANU-PF asserts that the sanctions on Zimbabwe represent a neo-colonial agenda in Africa looking to set up client states (Ndakaripa, 2014). This suggests that there is a new version of colonialism in Africa which is also known as "the new scramble for Africa" (Shai, 2010) and according to Rai (2005) post-colonial theory seeks emancipation from all types of subjugation. Therefore, the value of this theory in this paper is its focal point of the existence of neo-colonialism in the third world countries.

#### 4. EU'S POLICY TOWARDS ZIMBABWE

The EU's policy in Zimbabwe has entailed a variety of tools which includes humanitarian aid and remaining the second largest trading partner after South Africa. Since the controversial political developments of early 2000s in Zimbabwe, Brussels has suspended government-to-government support. However, it directs its support straight to population and civil society formations especially in the areas of health, education and community development. It is worth noting that the EU has been the main source of development assistance for Zimbabwe (Chigora, 2011). Relations between the EU and Zimbabwe took a U-turn when Harare forcefully executed the land grab from largely white-commercial farmers. Therefore, the section below examines the EU sanctions in Zimbabwe and evaluates their legitimacy.

#### 5. IMPOSITION OF SANCTIONS: NORMS OR INTERESTS (PUNISHMENT)?

The year 2002 marked the start of unfriendly relations between the EU and Zimbabwe. This is when the EU imposed sanctions which include assets freeze, arms embargo and travel ban. There are two contending views over these restrictive measures. ZANU-PF holds a perception that the EU's sanctions are a neo-colonial coercive measure intended to replace ZANU-PF with the MDC through imposing economic hardships on ordinary Zimbabweans, ultimately making them dissatisfied with Mugabe's regime and vote for change (Shai & Mothibi, 2015). According to Ndarikipa (2014) ZANU-PF claims that when the EU and other sanctions senders (United States of America; United Kingdom of Britain, UK; and Australia) realised that they

could not effect regime change in Zimbabwe they decided to put the country under sanctions. This view is closely tied to the perspective of post-colonial theorists. This is because when Harare adopted a land reform strategy that threatened the West's interests; they used their economic muscle to punish President Mugabe and his cohorts (administration, family and friends). On the other hand, the EU maintains that it imposed sanctions because of human rights violations, lack of respect for law and failure to follow democratic principles (The Council of the EU, 2002).

Recognising that international organisations are nothing more than their constituents parts, it is the well-considered view of this paper that the EU could have been (ab)used by Britain and its allies as an instrument to advance their selfish and narrow interests of their countries. In this context, it is fathomable that the West may be using the political clout of the EU for the purpose of sympathising and pledging solidarity with the former-Zimbabwean white farmers; who happen to trace their ancestral roots from Britain. Based on the common social history of the whites (farmers in particular) in Zimbabwe and their counterparts in the West; and the historic tendency of London (administrative capital of Britain) and Washington, DC (administrative capital of the United States of America, USA); their (including their associate international organisations such as EU) commitment to democracy and the rule of law is questionable (Shai, 2010; Shai & Iroanya, 2014; Shai & Mothibi, 2015).

Worth noting is that sanctions are perceived as a punishment for undesired actions and they are designed to punish the targets

and safeguard the economic interests of the imposer (Mediel, 2012). Within this context, it is unequivocal that the imposition of the European sanctions is in retaliation for the 2000 ZANU-PF led government's forceful land grab. Harare's decision to carry out the fast track land reform programme is seen as a vehicle that drove the EU to impose sanctions. This argument can be supported by Askari, Forrer, Teegan & Yang (2003) who postulate that sanctions are a measure to punish a country for failure to concur with a sender country's policy and overturning a policy in the target country found unpopular in the sender country. However, Brussels try to circumvent directly linking the imposition of sanctions to Zimbabwe's 2000 violent and chaotic land reform program; instead, it cites human rights violations, lack of respect for the rule of law and economic mismanagement as a justification for the sanctions (Masaka, 2012).

## **6. THE LEGITIMACY OF THE EU'S TARGETED SANCTIONS**

The legitimacy of EU's sanctions has been condemned mainly by the targets in Zimbabwe because they fall out of the scope of the UN mandate. Brussels and other Western actors have imposed the restrictive measures to Zimbabwe unilaterally. Since the imposition of the sanctions, ZANU-PF has continuously labelled them illegal. The ruling party (ZANU-PF) argues that the sanctions were introduced without any legal basis (Bell, 2014). The strength of the foregoing argument is furthered by the fact that it is the United Nations Security Council (UNSC) that has the power to impose sanctions on Zimbabwe. This position should be understood within the *locutis* that the EU wielded measures in support of

human rights and democracy objectives in the absence of UNSC mandate (Portela, 2014). However, the EU can implement and decide its own sanctions in the absence of UNSC mandate and this is referred to as EU's autonomous sanctions. In essence, the EU implements autonomous sanctions as a result of the UNSC's inability to reach a consensus due to opposition by its Permanent Members, particularly China and Russia (Biersteker & Portela, 2015). Nevertheless, it also implements the UNSC sanctions which are mandatory. President Mugabe has often labelled EU sanctions as a foreign policy tool to achieve regime change and that they violate the fundamental principles of the UN Charter. It is worth noting that instead of the sanctions to produce the desired results; they provide the targets with the anti-imperialist rhetoric to justify their stay in power and the Zimbabwean case demonstrates this fact.

The EU as a global actor acted in response to the 2002 alleged human rights violations; otherwise failure to act would have compromised its credibility in the eyes of the international community (Giumelli, 2013). The Treaty on EU (TEU) gives legitimacy to Brussels' unilateral sanctions as restrictive measures are included as one of the tools that can be used to pursue the Common Foreign and Security Policy (CFSP) goals set out in the Article 21 of TEU. In terms of this Article 21, the EU can advance the universality of the human rights and fundamental freedom, democracy, respect for the rule of law, human dignity, the principles of solidarity and equality and respect for the UN Charter and international law. Moreover, the agreements signed by the EU and African, Caribbean and Pacific (ACP) countries give authority to the EU to



suspend humanitarian aid and to change the conditions of the agreements when signatory states have poor human rights record (Giumelli, 2013). This is provided under Article 9 of the Cotonou Agreement which is referred to as human rights clause. Basic principles on the use of the restrictive measures also allow the EU to act autonomously when necessary. Basically, in line with these principles, the EU seeks to fight terrorism, the proliferation of weapons of mass destruction (WMD) and maintain respect for the rule of law, human rights, good governance and democracy (Grieger, 2013). In short, TEU, Cotonou Agreement and the basic principles on the use of restrictive measures are the legal mechanisms for the EU to impose unilateral sanctions.

## **7. THE EFFICACY OF EU'S SANCTIONS AS A POLICY INSTRUMENT**

Sanctions are a foreign policy tool of the EU to coerce targeted countries to change problematic behaviour (Esfandiary, 2013). At times, military action is too difficult and costly to carry out. However, sanctions are an alternative for policy makers (Shai, 2016). They are directed at changing the behaviour of the targets and bring about a change in activities such as human rights violations and policies that do not respect democratic principles. As such, the EU has used sanctions to persuade President Mugabe and his cronies to change their "outrageous behaviour" and prevent them from performing actions that could undermine the political and socio-economic stability of Zimbabwe and worsen the economy and deteriorate the human rights record. Nonetheless, as Giumelli (2013, 18) has indicated, targets are sometimes required to perform actions which would undermine

their political survival such as leaving power. Over time, targets would refuse to do so. Therefore, sanctions are imposed with the intention of making a target's life difficult. The Euro-American narrative that the action of the ZANU-PF led government to grab the land from white farmers and redistribute to its indigenous owners (Blacks) is neither balanced nor sober. The land reform programme in Zimbabwe and calls for it to see light in other countries in Southern Africa has an ethical and moral standing because most of the contemporary whites (including farmers) have acquired their land possessions through dodgy methods. As such, the use of shallow arguments based on neo-liberal clauses including the right to private property is dismissive of hard-core historical facts (Raphala, 2013).

According to Portela (2014) assessing the efficacy of sanctions depends on their nature. In the case of Zimbabwe, sanctions predominantly in the form of assets freeze, arms embargo and travel bans were imposed. Arguably, the EU's asset freeze was compromised by the slow implementation which gave Zimbabwean listed individuals more time to move their assets and resources out of the European accounts. With the arms embargo, they proved to be ineffective because Zimbabwe has been receiving arms allegedly from China, Democratic Republic of Congo (DRC) and other African countries. This suggests that targets often look elsewhere for resources and economic assistance (Shai, 2009; Esfandiary, 2013). Consequently, sanctions do not achieve their goals as targets can always avoid their impact (Shai, 2009). In fact, they can precipitate a behavioural change if they are consistently enforced. Nevertheless, as a reaction to isolation by Western partners

over human rights record in Zimbabwe, Harare has adopted a “look to East policy” forming alliance with Eastern Asian countries. With many Chinese investors seeking access to Zimbabwe's diamond wealth, Mugabe's regime could continue with his “iron rule” regardless of whether the EU and West like it or not (Nkadimeng, 2016). On the contrary, it has been over a decade since the imposition of the sanctions and Zimbabwe is still swimming in an ocean of poverty which indicates that China is not able to replace the relative weight of the sanctioners' economies in the Southern African country (Giumelli & Krulis, 2012).

The EU's enlargement of the list of targeted individuals and entities in 2009 indicated that the list was supposed to include any government official regardless of their individual action. In fact, this aimed at creating obstacles to the functioning of a regime or political ruling class than coercing them into doing something (Giumelli & Krulis, 2012). However, this hurt the economy further as Brussels also included the companies. It is worth noting that these are the companies that employ ordinary people, produce goods needed by the society and overall, contribute to the country's economy. As such, targeted or comprehensive, the EU's restrictive measures which are aimed at Mugabe's inner circle had negative impact on the entire individuals in Zimbabwe. Therefore, the idea that they are targeted sanctions is defeated. The move to also target companies was condemned by the opposition MDC, a party which the EU wants in power (Shai & Mothibi, 2015). The Zimbabwean picture portrayed by western media have also scared off investors and ultimately had an effect on the entire country. The exaggerated negative portrayal

of ZANU-PF government by both the local and international media should be understood within the context that this sector is largely owned by the Western companies and therefore, tend to avail themselves as propaganda/ public diplomacy tools exploited for the purpose of causing legitimacy crisis against the enemies of Western states. This is achieved through shaping public opinion tide to wave towards the demonization and criminalisation of governments who are not receptive to the foreign policies of their countries (Shai, 2012). Erickson (2011) asserts that several multilateral institutions have been blocked from having any contact with Zimbabwe, especially as the UK and the USA have decisive influence in these institutions and this have led to massive impact on the political and budgetary situation in Zimbabwe, ultimately causing hardship to ordinary people.

Empirical studies indicate that multilateral sanctions can be effective if there is a coalition of countries. For example, Chigora (2011) stated that the collapse of Harare as a result of sanctions was not impending because it cooperated with other powerful actors in the global system to the extent that even a UNSC resolution that was supposed to punish Zimbabwe failed to pass as it was vetoed by Russia and China. This implies that although the EU can impose autonomous sanctions, it also seeks cooperation with regional organisations and other countries to enhance their efficacy. However, the lack of support from Southern African regional body, Southern African Development Community (SADC) and South Africa's adoption of what has been dubbed by the media as “quiet diplomacy” towards Zimbabwe weakens the EU's sanctions to precipitate a behavioural

change in Harare. In fact, SADC has been calling for the complete removal of sanctions as they are hurting the Zimbabwean economy ultimately affecting the entire region in a form of the influx of Zimbabwean refugees. Essentially, the reluctance of the African elites and China to criticise Mugabe's indigenisation policies compromises the EU's measures to achieve their primary objective. To this end, these measures also aggravate the suffering of Zimbabwean citizens while failing to exhort the targets to change their political behaviour (Ogbonna, 2015). It is within this context that these negative impacts, lead to the ineffectiveness of EU sanctions because they yield counter results instead of achieving their principal goals. As such, it can be argued that the restrictive measures are ineffective as Brussels still maintains them and Harare still holds the post-colonial perspective that the EU and other sanctions senders are trying to interfere in the domestic affairs of Zimbabwe. Therefore, Mugabe's administration remains adamant that it won't allow the West to impose the western democracy or policies that are contrary to African norms and values and the ideals of pan-Africanism. It is not farfetched to submit that President Mugabe's effective exploitation of the anti-colonial rhetoric has won him many friends in Africa and the South due to the historic dent in the face of Britain and the EU at large in relation to their direct and indirect role in the most hated systems in the world including apartheid, colonialism and imperialism. In this sense, the EU's sanctions remain an insignificant leverage to stimulate reform in Harare and their weakness is germane to this organisation colonial legacies.

## 8. CONCLUSION

The primary purpose of this paper was to employ the post-colonial theory for the purpose of re-evaluating the efficacy of EU sanctions and their legal implementation process in Zimbabwe. This paper found that the EU wields sanctions in the absence of the UN mandate and this caused the ZANU-PF and its government to continuously label the EU restrictive measures illegal. However, the authors of this paper have learnt that Brussels can implement and decide its own sanctions and these are called autonomous sanctions. Moreover, the TEU gives legitimacy to EU sanctions because in terms of Article 21, Brussels can advance the universality of human rights and fundamental freedom, democracy, respect for the rule of law, human dignity, the principles of solidarity and equality and respect for UN Charter and international law. Article 9 (human rights clause) of the Cotonou agreement also gives the authority to EU to act when signatory states are violating human rights by suspending humanitarian aid. To add, basic principles on the use of restrictive measures also allow the EU to act unilaterally when necessary, especially when the UNSC is unable to reach an agreement because of opposing positions by other permanent members particularly China and Russia. In sum, these are legal mechanisms that legitimise the EU's unilateral sanctions.

This paper has also established that the EU uses sanctions as a foreign policy tool to promote human rights and democratic principles because military action is too difficult and costly to carry out. Therefore, the EU has used sanctions to constrain Mugabe and his inner circle. However, there are

number of factors that compromise the efficacy of the EU measures. Firstly, the slow implementation of the asset freeze, which allowed targets to move their assets and resources out of European accounts, compromised the success of its sanctions. Additionally, the arms embargo proves to be ineffective because Zimbabwe trades arms with China, DRC and other African countries. Secondly, this paper has shown that sanctions sometimes do not achieve their primary goal because targets can avoid their impact by developing relations with other countries who may not be supportive of punitive measures at any given moment. For instance, Harare has adopted a “look to East policy” in which it has forged relations with Eastern Asian countries. However, it was argued that China is not able to replace the relative weight of the sanctioners’ economies because Zimbabwe is still experiencing economic hardships. Lastly, the lack of cooperation from other regional countries and organisations wanes the EU’s sanctions to influence behavioural change in Harare. This comes after SADC and South Africa’s reluctance of supplementing the EU’s sanctions. Therefore, this grounds the EU’s sanctions not to achieve their primary objective. In short, the paper has argued that the EU’s sanctions prove to be ineffective as Mugabe remains unshakeable to change the behaviour patterns and conduct of his party and government. Therefore, the EU’s restrictive measures remain insignificant as a leverage to change the political, economic and human rights situations in Zimbabwe. In the final analysis, the empirical study of this paper has expanded the existing body of literature on Zimbabwe’s international affairs by *un-muting* the silent and marginalised post-colonial

perspectives in Africa.

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# INSTABILITY AND CORRUPTION IN STUDENT GOVERNANCE CAUSED BY TENDER SYSTEM IN UNIVERSITIES IN SOUTH AFRICA: SELECTED CASES FROM UNIVERSITIES OF TECHNOLOGY

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## ABSTRACT

*The landscape of Higher Education in South Africa has made a significant move to recognise the “voice of the voiceless” and embraced democracy at all cost. This argument is attested by the establishment of the Student Representative Councils (SRC’s) in all Universities to embrace inclusive governance through representation in statutory committees as determined by the Higher Education Act: 101 of 1997 as amended and the statutes of Universities respectively. The current analysis of the role of student leaders in the supply chain committees of Universities in South Africa has been contested as having a personal enrichment on individual student leaders themselves, and it can stifle progress in some parts of the Universities. This paper examines tendencies of self-enrichment and how they impact on student governance. This paper also calls for and examines ethical consideration in supply-chain and its relations to the experiences of the student leaders in Universities student governance. The sample is conducted on selected Universities of Technologies in three provinces inter alia: - Western Cape, Free State and Gauteng respectively. The study then include the overview of the role of student governance, the potential corrupt tendencies, and the theoretical analysis of the good governance, which is used to assess how Student Leadership embraces it. The study is then concluded and possible solutions to the current issues and problems will be identified in order to provide a scientific solution oriented study to improve the university governance.*

**Keywords:** Corruption, Good Governance, Democracy, Accountability, and responsibility

## 1. INTRODUCTION

Student governance of any public higher education institution reflects the current democratic policy imperatives, which the rationale for its existence being to provide

space for co-operative governance. Over the past decades, higher education institutions have faced increasing complexity related to governance (Berhal, 1991; Birnbaum, 1988; Kezar, 2000; Leslie & Fretwell,

1996) as cited by Kezar & Eckel (2004). Amongst the complexities, conflict of interest and corruption have increasingly affected stability in operational activities of governance, which compromised the legitimacy of the processes. One issue at the crossroads of formal provision and actual practice concerns how student representatives are identified and elected (Bergan, 2003), and the understanding of representation manifest in student politics. The moral fabric of "Accountability" provides space for examining the extent to which this platform for students has been circumvented by the corrupt element of student leaders themselves. The major challenge of student governance framework is the competing nature of "Mandate" versus "Representation", which often contribute to the overlooking of the university processes as part of the conduct of student leaders in statutory bodies of the universities. This was scholarly attested as Keeler (1993) who proclaimed that the mandate conception of representation is wide spreading, and scholars, journalists, and ordinary citizens relay as if it were axiomatic. The fundamental criticism of a mandate within the context of student governance is always whether the mandate is doable, and this always find no expression in some student leaders, which the ultimately actions contribute towards-- "ethics hitting the snag". Over the past decade, the traditional purchasing and logistics functions have evolved into a broader strategic approach to materials and distribution management known as supply chain management (Keah, 2001). This provides space to always enquire within the scholarly reflections fundamentally and critically as to whose responsibility in the university it is to perform supply chain

processes. Is it a governance process or an administrative process? Are student leaders co-governing and/or co-administering the University supply chain process? This paper will then seek answers to these important questions, and the alleged holding of university processes at ransom due to temptations that may come with the involvement of student leaders into supply chain committees in Universities.

## **2. THE NATURE AND ROLE OF THE SRC**

It is understood that SRC's are established in conformity with the Higher Education Act and also in terms of the Universities statutes respectively, and members are elected in terms of their respective institutional SRC constitutions. These student leaders represent student constituencies in university statutory bodies as established by their respective universities and their role in supply chain committees have been observed to be problematic. There have been continuous talks about growing corruption and little focus on student issues that created instabilities in student governance activities in highly political hotspots universities. These instabilities are agitated by the fragile conflict of interest with little recognition of the negative culture that is being created. The example of these was the observation of a quick accumulation of wealth by student leaders immediately upon the assuming office. SRC elections deployments being contested heavily and threats being made against others who don't agree on a specific deployment, which create an impression that there is more that slaving of serving students. The above reflect a snap short of the crisis of instability in student governance, which boil into embezzlement of resourc-



es in particular the supply chain processes as a quick handsome payment for holding an office as always attributed by some student leaders.

### **3. THE ROLE OF STUDENT GOVERNANCE AND HISTORICAL OVERVIEW**

The concept “governance” may in its implications reflect a very complex concept which requires continues self-reflection. While there are many others who researched on the history of student governance and its evolution, there are still more lessons to be learnt. Student activism has also been generally ineffectual in the academic and political life of universities (Altbach; 1997: 5), therefore it reflects that very rarely have student organisations taken on interest in the University reform, curriculum, or governance. The Higher Education system exists as part and parcel of the society and is characterised by the socio-political and economic interactions (Thobakgale; 2001). Therefore, the SRC represent the microcosm of the establishment of the transformed higher education in South Africa. The historic highlight of the evolution of the political overview of students in South Africa was in the period before democracy characterised by youth activism, through the established students’ movement. The character of these student movements was to look into transformation of the entire country, and little attention was given to Universities transformation. The above was dictated by the politics of the time. Thobakgale (2001) argues that the emergence of student movement in South Africa was linked directly to the country’s struggle against oppression and exploitation in the quest to resolve the national question. The focus then provided the notion that students

view themselves as “members of the community before they are students”, and the move was a reflection of a joint efforts to transform the society first before the universities. The post-apartheid period requested a different approach from the students’ movement in South Africa. The ultimate focus of which was to transform the education system and university campuses in South Africa as a whole. Some of the burning issues includes Financial and academic exclusion; admission policy transformation; student rights and life re-curriculating within the context of inclusive education; and democratization of the universities governance structures.

All these burning issues above demanded a strategic shift from liberation strategies to transformative strategy, which can be cited that students have lost battle for student movements particularly on the call for “free education”. The loss is the manifestation of the neo-liberal policies that did not transform the economy to suite the working class and the poor that are bulk majority that pays fees for the students in Universities, and the example is the enforcement of “GEAR” which students’ movement rejected with other civil societies with no luck of success. The ideological orientation of the society particularly the left wing forces, which for some reasons, students movements were behind the struggle and defined it as a neoliberal economic agenda of the capitalists forces. Narsiah (2002), proclaim that neoliberalism is a doctrine which has philosophical roots in Adam Smith’s free market school of economics. Neoliberalism also stems from a reaction to the Keynesian economic programmes of the post-World War II era up to the 1970s. The argument that the rot of corruption is deep among

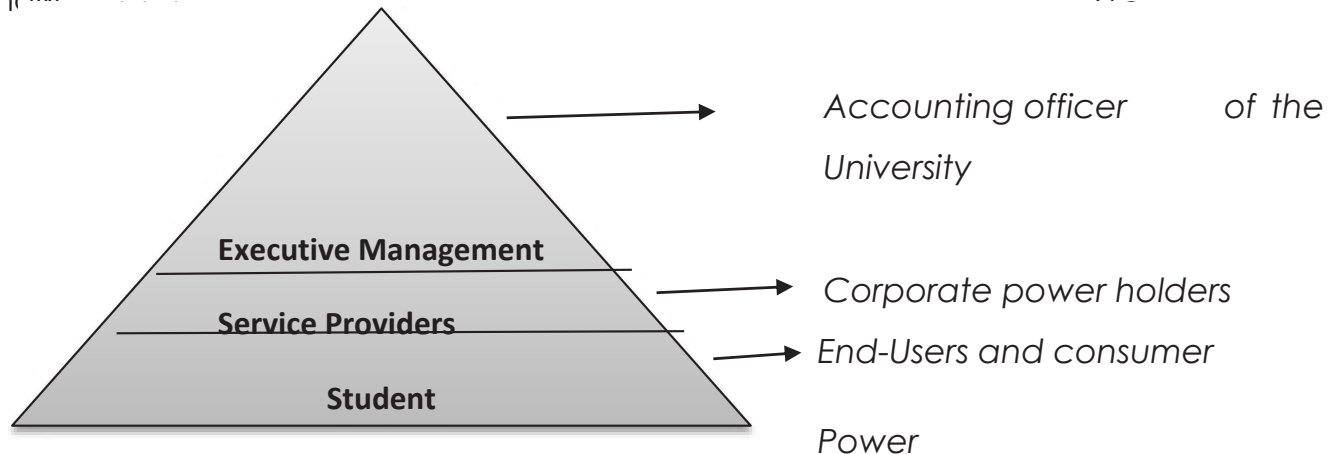
student leaders may have arisen from poverty among student leaders as a result of economic pressures with aspirations to change the lifestyle, however corruption is not justified lawful activity.

#### 4. CORPORATE GOVERNANCE AND PUBLIC ENTITIES

The issue of corporate governance relate largely to the monitoring and accountability as proclaimed by R.I Tricker (author of Corporate Governance Gower; 1984) that the two key elements of governance concern supervision or monitoring of management performance and ensuring accountability of management to stakeholders and other stakeholders. The supply chain, in terms of the implication of corporate governance reflects three key aspects that were proclaimed by John; Hendrikse and Hefer-Handrikse (2012); which are listed below:

- **Economic power:** - takes the form of channels of influence, and therefore provides space for manipulation that collapses governance;
- **Corporate power:** - may be used as an instrument within which supply of goods or services and decide on the price to charge, therefore this is the power that the service providers have within the supply chain process; and
- **Customer power:** - the power of voice that makes itself heard and the option to consume or not to consume a particular product. The argument of the third element may be assumed to refer to students as end-users of most of the supply chain products in universities.

These key elements may reflect demarcation of responsibility in governance of the supply chain at the universities below as follows as indicated in figure 1:



Source: Author

Figure 1 illustrates the stakeholder relations for the University supply chain as a scientific analysis of the corporate and stakeholders' power on the supply chain management. The analysis which further gives significance of the challenge at hand makes one to imagine the end-user as "consumer power" holder trying to play a role of a "Corporate power" holder persistently, which gives raise to the selfish compromise of the ethical values of accountability.

The Institutional governance reflects supply chain as not one of the statutory committees of the university, but the University Governing Council as a statutory body, which then provides an administrative and managerial support to the University Executive Management. This is attested by the "King Report" that (code 2.1.1.) reflect that "The Board" is ultimately accountable and responsible for the performance and affairs of the company, also that code (2.1.7.) reaffirms that the board has to adopt a strategic plan. This then condemn any reference of the supply chain as the statutory requirement, but a managerial and administrative tool of reaching the objectives.

## **5. SHIFTING FORM REPRESENTATION TO TENDERPRENEURS**

The intention of the existence and establishment of Student Representative Councils in universities is to represent the views of students, in which Mashele & Qobo (2014: 83) reflect that the role of politicians should therefore be to advance the well-being of the society, rather than self-enrichment. This kind of approach thrives better in democratic societies, where the normative framework of the political system is constructed around enhancing the capacities of citizens, as well as promoting transparency and accountability of those who govern. The argument may be a critical question: are student leaders themselves embracing the values of accountability and transparency in their activities within the supply chain committee where they are serving in the midst of the growing trends of corruption? It is hoped this study will answer this fundamental. Citing the important observation of the dominant

ing student movement in South Africa that share ideological context with the ruling party (ANC), South African Student Congress (SASCO) observed a rot in its cycles that the most sensitive discussions in the organization for both good and bad reasons. On the good, comrades (SASCO deployees) fight around this because it involves the framework that guides the manner in which the organization deploys cadres advance its objectives in strategic areas such as Councils and Senates of Universities (Buku; 2010) also observed on the bad side that the fight is about the fact that being deployed involves a change in one's lifestyle and thus to one's friendship clique on campus, and therefore recommended that SASCO deployees must not sit in tender committees. The above reflect the admission from the political trenches that the rot is changing the ideological character of the student movement into that of the "tenderpreneurship", which has no interest of the students but that of self-enrichment.

## **6. RELATIONS BETWEEN CORRUPTER AND CORRUPTEES**

The scientific question to always ask is the impact of corruption the society, which provides space to interrogate the relationship between the corrupter and corruptee. Most people claim that they are against crime and that corruption should be classed as a crime (Senior; 2004). However, the problem with crime, corruption and many other acts is that criminality frequently is in the eye of the beholder. Huisman & Vande (2010) attest that when corruption was researched, it was mostly in the context of broader concepts of crime, such as organized crime. This is rather strange because other concepts

are perfectly suitable for a criminological analysis of corruption. From the context of the argument, it can easily be concluded that the relationship between the corrupter and the corruptee is based on unlawful arrangement, which constitutes a criminal act and must be classified as such.

The fundamental question is whether these corrupt activities have been accepted as part of the society. Mashele (2011) asks this critical question: how does the society liberate itself from the belief that there is no alternative to the corrupt, incompetent, arrogant and unaccountable government under whose weight the rest of the society is collapsing? This scholarly argument reflects the cracks in student governance, which also agrees that corruption may then reflect non-creativity to participate lawfully to the economic trenches of the universities or society as a whole, and therefore elements of incompetence and persistent arrogance to stifle the University governance compromises the governance and administrative values.

The relationship between the “corrupter and the corruptee” does not have any consideration of transparency and accountability, it is always questionable as the country as a whole and universities as well have the policy framework that deals with corruption. This creates space for asking if leaders of our country and student leaders in universities have the political will to deal decisively with corruption. The argument is informed by the realities that all these policies need political leadership that is willing and not observe corruption silently and babysit it, which reflect what Mashele (2011) refers to as the political rot

in the society.

## 7. RESEARCH DESIGN AND METHODOLOGY

The research method constitute a scientific qualitative orientation of gathering information; Popper (2002: 16) states that in order to make this idea a little more precise, we may distinguish three requirements which our empirical theoretical system will have to satisfy. First, it must be *synthetic*, so that it may represent a non-contradictory, a possible world. Secondly, it must satisfy the criterion of demarcation, and it must not be metaphysical, but must represent a world of experience. The study draws a particular theoretical context on “good governance” and creates space for qualitative nature of the experience of a sample of three (3) University officials, one (1) from each and twelve (12) student leaders, four (4) from each Universities of Technologies in Western Cape, Free State and Gauteng as a selected sample. The standard questions are developed to relate experience of the sample and quality information will be analysed and interpreted.

## 8. FINDINGS AND DISCUSSIONS

This section of the paper reflects the narrative experience of current and former student leaders and officials in student governance of the universities of responded. Summaries are provided in tables 1 to 8. The following naming are used to represent the names of the institutions that participated in the study below respectively, and not

use actual name for ethical purposes:

- University A (Western Cape)
- University B (Free State)
- University C (Gauteng)

**Question 1: Are student leaders' part of the supply chain in your respective University and what the experience of the involvement is?**

UNIVERSITY A	The Student Representative Council (SRC) members were sitting on the supply chain committee before 2013. Given the service providers lobbying students for their support in exchange for "kickbacks", and the university withdrew their membership.
UNIVERSITY B	The respondents indicated that the University had to take a decision to exclude SRC members as they used to fundraise in exchange for putting in a word on behalf of preferred suppliers.
UNIVERSITY C	The experience is that before 2011, SRC was participating during evaluation. After that period, the university decided to remove the SRC from this committee.

**Question 2: Are there any procedures around declaration of conflict of interest and how it was handled by student leaders?**

UNIVERSITY A	At the time SRC members were part of the supply chain committee, there was a form for declaration of conflict of interest, but often they were not informed of its implications.
UNIVERSITY B	There was always an indication that each member of the committee who is conflicted can recuse him/herself, but SRC were not and, at times, they will even leaked information.
UNIVERSITY C	The university had a conflict of interest form, which was issued with the agenda in the meeting.

**Question 3: Do the student leaders make decisions to select the service provider or are they sitting at an observer level? Relate the experience?**

UNIVERSITY A	At the time, the SRC members had full voting powers such that it could even stop the meeting if it was not happy with the service provider chosen.
UNIVERSITY B	Before the University take decision to exclude the SRC, its members were able to make decisions to influence the process, even to bring service providers to the institution.

UNIVERSITY C	The SRC at the time were regarded as full members with decision making rights, as such they were not regarded as observers.
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**Question 4: Is it the correct practice to involve student leaders in this field and why?**

UNIVERSITY A	The experience shared by respondents shows that the SRC's views are necessary not at the stage of decision making, but only on making inputs on service standards.
UNIVERSITY B	The respondents feel that involving SRC in such processes is a tantamount to exposing them to the danger of the underworld and corruption.
UNIVERSITY C	An understanding of SRC is that there is nothing wrong to involve SRC members, but teach them to act in accordance with the rules of the committee and also it will assist in career development.

**Question 5: What is the reaction of the University Executive towards student leaders' involvement in the supply chain committee?**

UNIVERSITY A	The University Executive always looked at the interest of protecting the image of student leadership given the past experience of alleged corruption.
UNIVERSITY B	The University Executive always views the SRC as an important component of the university, but given the bad experience of their involvement in supply chain committee, the SRC be removed.
UNIVERSITY C	The SRC were always used as a tool to support management decision, given the allegations of corruption by student leaders. There is still corruption reported even when they are no longer seating on the committee.

**Question 6: Are student leaders often corrupted by this system and does student governance become dysfunctional based the system?**

UNIVERSITY A	The respondents agreed that the system has made student leaders corrupt and those deployed always saw SRC as an advancement to a gravy train.
UNIVERSITY B	The respondents reflected that once a commitment is made with the service provider privately, if the move is objected and nothing must function. These tendencies led to majority of student leaders being charged and suspended.

UNIVERSITY C	The respondents also provided an indication that student leaders are often corrupted by the system, as the service providers also corrupt them by providing “kickbacks”. The corruption is not only caused by tenders, but by the political ideological system.
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**Question 7: Do student leaders account to students openly on their role in supply chain committee? If not why? If yes, relate the experience?**

UNIVERSITY A	In most cases, student leaders are not accounting openly to students on the activities of the supply chain committee. The only area of accountability is on mandatory issues such as financial aid.
UNIVERSITY B	It was said that student leaders are not accounting on activities of this nature at all and if they sense that there are those who are going to ask questions about corruption and SRC interest on service providers, they would then send students to disrupt such a meeting so that it does not conclude its business.
UNIVERSITY C	SRC is not accounting to the students on matters of supply chain committee, unless they lost the debate in the committee and need support of students.

**Question 8: What do you recommend to be done to improve?**

UNIVERSITY A	Believe that no SRC members should be involved on supply chain committee and further student affairs put processes for student leaders to account.
UNIVERSITY B	There is a need to caution the SRC members of the rot of corruption and its unintended consequences. The need to emphasis on public accountability as one of the pillars of democracy.
UNIVERSITY C	The respondents believe that the SRC must be included on the committee, but feel the conflict of interest be investigated and taken to the disciplinary process if they transgress.

**9. IMPLICATIONS OF GOOD GOVERNANCE**

Governance has become a “hot” topic as evidence mounts on the critical role it plays in determining societal well-being (Graham, Amos & Plumptre; 2003). The concept also gives rise to a fundamental question

of what is the character of “good governance”. This concept has been argued by many scholars as (Maserumule; 2011) proclaimed in his thesis that *good governance* is a conceptual problematique. It means different things to different people

depending on the context from which it is used. Good governance is a complex concept. It therefore cannot simply and only be understood from a positivist or realist epistemology. The reflection of “good governance” is the ability to abide by a set of rules that govern the environment, therefore quote of good practice constitutes that framework. It is therefore implied that the implication for student governance is the ability by elected leaders to follow the provision in their constitution and abide by the University rule in adhering to their responsibilities e.g. resist corruption when seating in supply chain committees and stick to rules to avoid what Saint Paul attested that “My own behaviour baffles me. For I find myself not doing what I really want to do but doing what I really loathe.”

## 10. CONCLUSION AND RECOMMENDATIONS

The paper has demonstrated the rot of corruption emanating from the involvement of student leaders in the supply chain management committees of universities as per the selected sample. The point of departure was to unpack *corporate governance* as an important governance transformative move that necessitated the inclusion of student leaders in the form of SRC on the statutory committee. The second point of departure was to critically analyse whether the supply chain committee is a statutory body that needs representation of all stakeholders or is it a management tool. The third point of departure was that the research demonstrated that the historical evolution of student movement which was of a character of reforming society as a whole, and the emergence of shifting from

the transformative role to that of self-liberation through “*corruption*” have created danger of democracy in the space occupied by student governance in Universities. The conclusion of the paper is that, as attested by the respondents, student leaders often get corrupted by the process such that they view being deployed in the SRC as “*gravy train*” and consequently their exclusion was a wise move, which supported the conclusion that students must be excluded from the committee as it falls outside their scope. Given the narrative experience and in a quest to ensure that SRCs’ focus on their role of representing students in statutory bodies, the study recommends that drawing of specifications and services standard student leaders as end users be consulted. This constitutes an initial and internal stage of determining service standards, which will then use supply chain as an administrative tool.

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# THE PORTRAYAL OF WOMEN IN SOUTH AFRICAN MUSIC VIDEOS

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## ABSTRACT

*The portrayal of women in music videos has changed drastically over the past years. Music videos have moved from telling a story and the meaning of the song to heavy sexual content. Currently, it is highly rare to watch music video without experiencing sexuality displayed in the visual imagery, more especially women half naked. Women are often used as decorative model of almost all music videos, not only in South Africa, but in most parts of the world. The main function of women on music videos is to look sexually attractive at a role which they seem to enjoy, inviting the viewer to pay more attention on the music video. It is supposed to attract male viewers. Women are regarded as passive things or objects that can be used and explored at will. They are admired, not for their individual qualities or for their uniqueness as people, but for their physical attributes. This study aims to explore the portrayal of women in the South African music videos. Content analysis, as part of qualitative research, is the main methods of this study.*

**Keywords:** Portrayal, Music Videos, Women, Sexual contents

## 1. INTRODUCTION

In South Africa, music videos have always been a way of reaching out to music lovers, but that has changed over the years. In other words, music videos have archaic their main purpose to serve as publicity strategy for singers and currently impact and reflect much of young culture. According to Leeds (2002), music videos production is viewed as part of marketing strategy by artists and record companies. Nevertheless the visual imagery, itself, in music videos has increasingly become as

popular and important as the music it portrays (Andsager & Roe, 2003). However, in this era, music videos are centred on being "male gaze". In most music videos, women are mostly portrayed as sexual objects. Most music videos which are released in South Africa features half naked women. As such, music videos have high sexual content across genres specification. According to Orhon (2006), many women in the society are tired of disturbing images of television, especially middle aged women.

Therefore, music videos are portraying a negative image of women which may result into societies (mostly men) developing negative perceptions towards women. This is done through images that include mainly sexual aspects of women, revealing their bodies.

The clothes that women wear on the music videos are fantasy clothes such as short dresses, lingerie or bikinis, crop tops with mini skirts, tight and revealing dresses. In relations to their clothing, Orhon (2006) concurs that roles of women in the music videos are sometimes described as exotic dancers, prostitutes, strippers and dirty dancers. As such, it can be concluded that women's role in music videos is mostly to appear sexy and attractive.

According to literature, since the emerging in the mainstream in the early eighties, the music video format has generated a fair amount of scholarly attention, with research focusing especially on the harmful imagery found in many music videos and the potential influence of such imagery on youth audiences (Smith & Boyson, 2002; Wallis, 2011). Such imagery are now even more characterised by heavy sexual content. Thus, it will result into greater potential influence on the audiences, especially youth audiences.

Music videos objectify women and use them as decorative models (Alfonseca, 1986). Overemphasize actions can also be experienced, such as women taking a shower or even dancing on the water, mostly in the swimming pool wearing a bikini showing off her entire body. Goldman (1992) is of the opinion that women become

part of "male gaze" which is produced by music video's images. Music videos are mostly centred on attracting males' attention through revealing women's body. According to Ward, Hansbrough and Walker (2005), most music videos are highly saturated with sexual content that exceedingly focuses on the masculine perspective and male pursuit of sexual satisfaction. Women's bodies are often used as decorative props or trophies to illustrate masculine sexual desire or his power over a sexual situation. Carstarphen (1999) claims that the women most often portrayed in music videos as the 'conventional woman'. 'Conventional Woman' in which the emphasis was on physical appearance and the woman's role was merely to satisfy a man's desire" (Carstarphen, 1999, p.229). Additionally, Ward, Merriwether and Caruthers (2006) women's bodies are hyper sexualized far more than males' bodies as a result of the music videos' primary focus, which is to display a masculine sexual drive and mainstream male sexual preferences.

Other than numerous sorts of TV programs projects, music recordings or videos play one of the key parts in representing gender roles. In the meantime, there are likewise numerous sorts of music videos. In some music videos, men are in the lead roles and in some other, women are in lead roles; or they it can be both. Be that as it may, what continues being depicted in music recordings are brutality against women, and sexually delineating and depicting women (Orhon,). In a large portion of the music videos women seem generally as dancers and posers.

South African teenagers are constantly exposed to music videos that portrays women as sexual objects and view their body parts with the single faceted motivation behind pleasuring men. Rivadeneyra, Ward and Gordon (2007) in their study, found that teenagers had a viewing mean of 33.3 hours that they use in music videos daily. Similarly Ward, Hansbrough and Walker (2005) found that teenagers had a viewing mean of 3 hours used watching music videos. As such, there is an increasing demand and accessibility of videos through cable channels and internet with high music video content such as Channel O, Trace, MTV which are accessed in South Africa, guarantees and ensures that youthful people or teenagers are always recovering confused and misguided information about the ways in which women are perceived in the societies. As they gain exposure to music videos with half naked women, there is a greater demand for researches and scholars to further study the effects and the amount of exposure which music videos might hold, both physically and psychological. Subsequently, it is critical to track the propagating cycle of music videos of both teenagers and young adults, in which it advises them about sex and gender, which they disguise as truths, and use to react to the public.

Often women in music videos look directly at viewers as if they are looking at themselves on the mirror. By looking directly at the camera, they invite great attention of the viewers. They seem to enjoy being on display as they are even comfortable with the way they are dressed and the way they display themselves to the public. The camera focuses on specific parts, the bodies are fragmented (Orhon, 2006). Therefore, camera is similar to a specialist to locate

those significant parts of women to appear attractive and sexy in the music videos. This conveys the message that the women are just an object for the male gaze. This often raises the issues of societal norms, especially in the South African context. The way in which women are depicted in the music videos is highly questioned by the issues of the way societal norms and the way in which the society perceives and analyse standards of women in the community.

## 2. TOP TEN MOST RECENT MUSIC VIDEOS IN SOUTH AFRICA

All music videos regardless of genre, play in Mzansi Magic Music, Trace urban, Channel O and MTV base throughout the day. For the purpose of the study, top ten of the most played music videos in Channel O will be analysed;

Number one: Ricky Rick - Sondela ft Zano

(Male singer)

- There is a female character in the video

She is happy and unhappy

She is posing

She looks sexy

She is on the bed

Number two: L-Tido - Dlala ka yona

(Male singer, fully dressed)

There are female characters they are wearing too revealing clothes

They are half naked, in some parts they are wearing lingerie and hills, "twerking"

They are being portrayed as pole dancers and strippers

They “look” sexy and attractive

They are wearing lingerie, some are wearing shorts and bras

They all “look” sexy

Number three: AKA - All eyes on me ft Boy, Deles, JR

(Male singers)

There are female characters

They are posing with heavy make up

They are swimming half naked, wearing bikinis

Some are on the bed

They look happy

They are dressed in minis and shorts

They “look” sexy and attractive

Number six: DJ Spectacular and DJ Naves - KOTW ANTHEM ft Professor

(Male singers)

There are female characters on the music video

They are dancing half naked in the swimming pool, wearing lingerie

Some were in shorts, revealing their thighs

They all appear sexy and attractive

Number four: DJ Milkshake - My own ft Anati and Cassper Nyovest

(Two male singers and one female)

There are female characters

They are wearing lingerie

They undress throughout the video  
They all “look” sexy

They are wearing minis

Number seven: DJ Maphorisa- Soweto babe ft Wiz Kid and Halfbudd

(Male singers)

There are female characters on the music video,

Dancing wearing shorts and tight clothes

They all appear sexy and attractive

Men with their hands all over them

Number five: K.O - Ding Dong

(Male singer)

There are female characters on the music video

Number eight: Lvovo Derrango- Next better man ft Mampitsha

(Male singers)

There are female characters on the music video

Appearing as servant of men

They are swimming half naked, wearing bikinis

They look happy

They are dressed in minis and shorts

They all appear sexy and attractive

Number nine: Big Nuz- Phaqa

(Male singer, fully dressed)

There are female characters

They are dressed in bikinis and shorts revealing their bodies

They are swimming in the beach half naked

Number ten: Nadia Nakai – Saka ft Ice Prince

(Female singer)

She is dressed in bikinis, shorts revealing their bodies

She is dancing half naked

She is in heavy makeup

There is a male character, fully dressed

### 3. FINDINGS

According to selected music videos, it is apparent that women are portrayed as being sexual objects. Thus, women are being used as a centre of attraction which is mostly male gazed. A question which one can ask is "are males the only target market in terms of selling the music"? These music videos are characterised by common pattern. They all portray women the same, as half naked dancers, sex object and ser-

vant of men,

Furthermore, in the selected music videos, women most of the time are half naked, they appear "sexy". Lingerie is a trend in most music videos. As singers, women are in heavy makeup and still appear sexy; for example, Nadia Nakai's music video titled "Saka" the woman (singer) is appearing sexy in bikinis and heavy makeup.

However, when men are singers, women are in sexy appearances. Thus, there are many women around them with sexy clothing and heavy makeup. For instance, Lvovo Derrango featuring Mampitsha in the music video titled "Next better man", features lot of women in sexy clothing and heavy makeup, appearing as servants. In addition, women are represented as cheaters, partners, servants of male characters, dancers and else.

Based on the selected music videos, women are in active roles for eye catching, they are often used as objects to decorate the music videos. Regardless of the fact that they are in secondary role, they often have the potential to attract much attention as the primary role players, sometimes even more.

In South Africa, it is interesting to note that in the last decade the portrayal of women in music videos is too different from the way women are now portrayed. For example, Mandoza's music video titled "Nkalakatha" and Malaika "destiny" portrayed women differently from the way now music videos portray women. However, in the United States of America, the way women are portrayed in music videos is heavy (sexu-

al content) then the way South African music videos portray women. It is significant to question the issue of norms both in the United States of America and South Africa because both countries hold different norms because both countries are driven by different norms.

Currently, music videos raises the issues of sexism. However, it is vital to understand the concept "sexist". Royo, Aldás, Küster and Vila (2011) claim that there is no unequivocal definition of what must be regarded as sex discrimination, because it all depends on the ethical and social values applied in the respective community. However, in terms of music videos, all those who have expressed their views on this matter, would appear to have realised that any music video which clearly expresses the view that men and women do not possess the same value or should not enjoy the same rights, or which otherwise is grossly insulting to either sex, must be regarded as discriminatory (Utterström, 1977). Therefore, the portrayal of women in music clearly depicts women as less superior to men. Therefore, such music videos are sexist.

#### 4. CONCLUSION

Music videos should not only be dominated by beats and lyrics but the story behind the song. Thus music videos convey messages better than the lyrics of the song. Music videos add more on visuals than lyrics and beats. As such music videos holds significant impact on the larger audiences. Therefore, portrayal of women in music videos is being interpreted differently by the some larger audience, both young and old audience.

Orhon (2006) is of the opinion that music

videos depends largely on sexual content to attract the attention of potential consumers. Even though, the question which can arise into the surface is that why does it have to be female characters that are mostly half naked? Therefore, it is subjective to conclude that most music videos are male gazed.

Based on the definition of sexist, the portrayal of women in music clearly shows that men are superior to women because women are mostly used as decors, sex objects (half naked), dancers, being more passive than men, the use of women in purely decorative, non-functional capacities and unreciprocated serving of men.

The use of women in high sexism levels might also contribute to the depersonalisation of women and, less directly, men (Pollay & Lysonski, 1993). To conclude, according to these literature, women are shown in an inferior dominated role (Fullerton, 2000), given that they are presented as attracting and attaining a man, and then serving him (Courtney & Whipple, 1983).

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# THE IMPLICATIONS OF SECTION 19 (1) (b) OF THE CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA (RSA), 1996 ON THE RELATIONSHIP BETWEEN POLITICAL PARTIES AND THEIR CONSTITUENCIES

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## ABSTRACT

*The Constitution of the Republic of South Africa, 1996 (hereinafter the Constitution) does not per se protect the existence of political parties, instead section 19 (1)(b) of the Constitution guarantees the right of every citizen to form and to participate in the activities of a political party. To buttress the importance of political parties in our nascent democracy, the Constitution provides that the Republic of South Africa is founded on, among others, universal adult suffrage, national voters roll, regular elections and a multi-party system of democratic government. Despite the centrality of the political parties in South Africa's democracy, the law does not govern the relationship between political parties and their constituencies. This arms-length approach of law towards this relationship may be detrimental to the well-being of our democracy. This is so because there is a possibility that the constitutions and/or conduct of political parties may fall foul of the Constitution. It shall be noted that the relationship between the political parties and their members are voluntary in nature. Therefore, political parties are free to determine their principles and values as well as processes relating to disciplinary and other measures. Theoretically, political parties may be free to oust the jurisdiction of the courts in their internal matters. This raises a question whether such ousting can be found to be in keeping with the Constitution of the country. The African National Congress (ANC), for instance, has on a number of occasions posited that members who take it to court "expel themselves" from that party. If this is the case, then, what is/would be the efficacy of the remedy that the court may order if the disgruntled member/s are/would be dismissed afterwards? Is such a stance competent in a democratic society in which political parties plays such a crucial role? In other words, is it constitutionally competent for the party to limit disputes within such party to internal party processes without the opportunity of the aggrieved member approaching courts for relief? Is such limitation a breach of section 19 of the Constitution of Republic of South Africa, 1996 right, if so, is it justifiable?*

**Keywords:** Courts, Constitution, political parties, rules of natural justice, voluntary association

## 1. INTRODUCTION

The founding fathers of the American nation were not avid supporters of political parties (Gardner, 1999; O'Regan, 2010). In Federalist number 10 (a series of essays arguing for the rectification of the United States Constitution) Madison warned against "factions". The term faction has been equated to the modern political party (see for instance Issacharoff, 2001; Gardner, 1999; O'Regan, 2010). According to Madison, factions were likely to undermine the greater good for selfish interests. He stated "[b]y a faction, I understand a number of citizens, whether amounting to a majority or a minority of the whole, who are united and actuated by some common impulse of passion, or of interest, adverse to the rights of other citizens, or to the permanent and aggregate interests of the community" (In short Madison was of the view that the diversity of opinion that political parties were likely to bring to the fore would hamper agreements over fundamental issues facing the nascent nation. This view was premised on the belief that "once in possession of power, factions [political parties] could be expected to use it to pursue their own private self-interest at the expense of the common good..." (Gardner, 1999: 2). The goal of the US Constitution is said to be "to abolish factions and to unite all parties for the general welfare" (Gardner, 1999: 1). Thomas Jefferson regarded affiliation to political parties as eroding the "free and moral agent." Political parties were denounced as being baneful. However, when Madison, one of the founding fathers of the US Constitution, became her fourth president, he did so under a banner of a political party (Gardner, 1999). It is therefore not surprising that the US Constitution makes no reference to po-

litical parties or expressly protects political rights. The US is not alone in this phenomenon. Even countries that adopted constitutions long after the US do not deal with political parties in their constitutions or at least not in any meaningful manner (O'Regan, 2010).

South Africa is no exception. This is despite the fact that during the apartheid era political parties were declared unlawful and therefore prohibited to operate within the country (O'Regan, 2010). Failure by the Constitution to protect political parties, as opposed to individual political rights can be regarded as surprising given the centrality of political parties to our democratic enterprise. In terms of section 1 (d) of the Constitution the founding values of this country include "universal adult suffrage, a national voter's roll, regular elections and a *multi-party system of democratic government*, to ensure accountability, responsiveness and openness."

The South African electoral system has been designed in such a way that no person can compete for political office at national and provincial level without affiliation to a political party. The electorate vote for political parties which in turn determine who represents the electorate at the national and provincial governments. The President and the Premier are then elected among the members of national or provincial parliaments respectively. They in turn appoint members of the national and provincial executives respectively. De Vos (2015) submits that the electorate has no say as to who their representatives in the national and provincial parliaments are. This is so because of the so-called "closed list" (containing names and the order in

which those names appear of the members whom a political party wishes represent it at the national and provincial legislatures) that political parties submit to the Independent Electorate Commission. In the words of de Vos (2015: 40-41):

“Voters have no direct say on who appears on the electoral lists of political parties, on the order in which names appear on these lists or on the order according to which candidates who appear on individual party lists will be dispatched to the various legislatures according to the percentage of voters garnered by that specific political party.”

The voters do not even elect the President indirectly as the majority party in parliament elect, amongst its members, who becomes the President. This feature of the electoral system has been criticised by many a political commentator and it underscores the central role played by the political parties in our polity (see Tiry, 2012; February, 2014). Despite this, South African law does not govern political parties on the one hand nor does it regulate the relationship between political parties and their members on the other. In order to definitively determine this relationship the legal status of political parties need to be determined. In other words, the legal status of political parties would determine the contours of the relationship between political parties and their members, and therefore the legal duties (if any) that political parties owe to these members. This is the question that is considered in turn.

## **2. THE STATUS OF POLITICAL PARTIES IN SOUTH AFRICA**

The legal status of political parties in the

South African democratic landscape is ambivalent at best (see Hofmeister & Grabow, 2011). There exists disagreement among political scientists as to the definition of what political parties are or what they stand or ought to stand for. However, one thing the political scientists are agreed on is the centrality of political parties to a functioning democratic polity. For instance, James Bryce commented in 1888 that:

“[Political] parties are inevitable. No free country has been without them. No-one has shown how representative government could be worked without them. They bring order out of chaos to a multitude of votes” (quoted by White, 2009: 7).

This sentiment has been echoed over the years since (see for instance Dalton, Farrell & McAllister, 2011). EE Schattschneider echoed this sentiment by asserting that: “political parties created democracy and ... modern democracy is unthinkable save in terms of parties ... [Political] parties are not therefore merely appendages of modern government: they are in the centre of it and play a determinative role and creative role in it” (quoted by O’Reagan, 2010: 6; See also White, 2009: 7; Orr, 2014: 332). In the similar vein, Clinton Rossiter posited that: “No America without democracy, no democracy without politics, and no politics without parties” (quoted by White, 2009: 7; Orr, 2014: 332). The legal status of political parties remain elusive however.

Some political scientists regard political parties as unincorporated associations (Orr, 2014) whereas others compare them to “quasi-government agencies that were akin to regulated public utilities” (White, 2009: 8). According to Issacharoff (2001:

“[i]t is better to conceive of political parties as occupying a contested rights terrain falling between the high level of protection owed to individuals and the family, at one pole, and the limited protection offered to de facto agents of the state, at the other.”

In this regard *Japhta AJP held in Mafongosi v United Democratic Movement* (2002) that where conduct impinges on the right protected under section 33 of the Constitution the same set of principles applies whether the power was exercised by government functionaries or non-government functionaries like political parties.

Generally, at least in South Africa, political parties are regarded as voluntary associations founded on mutual consensus (Silberberg, 1967; O'Regan, 2010; Hofmeister & Grabow, 2011). The upshot of this is that members of political parties voluntarily associate with each other and form an agreement on the fundamental characteristics and objectives of their association. Members agree on the organisation of the internal affairs of the party (Silberberg, 1967). This agreement is contained in the political party's constitution. Generally this relationship fell outside the purview of courts' jurisdiction (*Mcoyi v Inkatha Freedom Party* 2010; Tiry, 2012). Silberberg defines an association as an aggregate of persons pursuing a common good. It is a

“legal relationship which arises from an agreement between two or more persons to achieve a common, lawful object, primarily other than the making and division of profits” (Silberberg,

An association, in this context, is distinguished from other enterprises that have the making of profit as their objective. There are some associations that do not fit the description of a legal person but nonetheless conduct themselves as though they are clothed with legal personality. Silberberg (1967: 81) posits in this regard that:

“to ignore the realities of such situation might preserve the symmetry of legal concepts, but would often violate the concept of justice. This antinomy accounts for the extension of the attributes of legal personality to associations whose existence the law does not acknowledge in terms of legal concepts. It is, in the terminology of constitutional and international law, a process of *de facto* recognition of the realities of life for the legal recognition of which the courts thus pave the way. The legal concept is left intact, but in practice it is circumvented.”

Do political parties fit this description? The importance of this question is to determine whether political parties “are rights-bearing entities entitled to protection from state incursion” (Issacharoff, 2001: 278) or are themselves agents of the state. If political parties are agents of the state then their conduct will be subjected to the dictates of public law. In *African National Congress v Lombo* (1997) the Supreme Court of Appeal held that political parties constituted *universitas personarum*, “i.e an artificial or juristic person constituting a legal entity apart from the natural persons (members) composing it, having the capacity to acquire rights and incur obligations and to own property apart from its members and

to sue and be sued, and having perpetual succession.” In other words they are not agents of state. However, in *Ramakatsa v Magashule* (2013) the Constitutional Court held that political parties are voluntary association, a contractual relationship. The distinction is not merely semantic but goes to the heart of defining the status of political parties in our legal landscape on the one hand and the relationship between political parties and their members on the other. O’Reagan (2010), the former justice of that august institution, the Constitutional Court of South Africa, writing extra-judicially, reminds us that there are number of voluntary associations and voluntary corporations that do not have their legal personality separate from their members. She mentions among others churches, trade unions and jockeys clubs. Thus the definition of political party espoused in *Ramakatsa v Magashule* (2013) is open to being read as regarding political parties as *universitas personarum* or as mere voluntary association. Therefore the status of a body is not necessarily determined by its label but by its constitution. The difference between (unincorporated) voluntary associations and voluntary incorporations is the following:

“An unincorporated association is a voluntary association existing under the common law. It is not a juristic person and cannot own immovable property for its own benefit because legally it has no separate existence apart from its members.

An *universitas* is also a voluntary association existing under the common law, however, in order for a voluntary association to be recognised as an *universitas*, the common law requires

the Constitution of such association to specify that:

- The organisation will continue to exist despite changes in its membership; and
- The assets and liabilities of the organisation will be held separately from those of its members.”

From the above definition it is, at least theoretically, possible that a political party could be either an *universitas* or voluntary association. Devenish (1999) asserts that the right to make political choices and to participate in political activities is not confined to formal politics. An *universitas* must not be confused with other forms of incorporations registered in terms of statutory law. The basis of an *universitas* is not to make profit and it is established in terms of common law. On the same vein, an *universitas* should not be confused with the Non-Profit Organisation which must be statutorily incorporated in terms of the Non-Profit Organisation Act 71 of 1997.

In *Wilken v Brebner* (1935) the Appellate Division found that the constitution of a voluntary association is its most important document; it not only determines the nature and character of the association but also determine the scope of the rights and duties of the members of the association. Although it has been alluded to that a political party may take a form of an *universitas* or an unincorporated voluntary association, if a political party intends to contest in the elections such a party must take the form an *universitas*. Section 15 of the Electoral Commission Act 51 of 1996 provides for the registration of political parties (see de Vos, 2015). In terms of regulation 2 (2) promulgated in terms of section 23 of the

Electoral Commission Act 51 of 1996 the Constitution of a party to be registered must contain the following features:

- (a) The executive structure of the party;
- (b) The election procedure for the executive of the party;
- (c) The decision making process and functions of the office bearers within the party;
- (d) The minimum requirements for membership of the party;
- (e) The internal disciplinary procedures of the party; and
- (f) The requirements for audited financial statements. (General Notice 1204 of 22 September 2008)

Although the regulations does not expressly require the ability of the party to own property or its perpetual existence, this seems implicit from the requirements of regulation

### **3. THE (DIS)LOYALTY, PARTY MEMBERSHIP AND THE COURTS'**

At common law the relationship between political parties and its members was governed by the terms of the parties' constitution. In other words, political party was free to determine its destiny within the four corners of its constitution (Silberberg, 1967). The constitution exclusively prescribed the rights and duties of its members, the structure of the party, who may join the party, disciplinary issues, termination of membership e.tc. (Wilken v Brebner, 1935; Ramakatsa v Magashule, 2013). Is this position extant under the Constitution? Although by and large the position remains the same the Constitution has to a certain extent lim-

ited the freedom that a political party enjoyed at common law with regard to certain specific aspects. Devenish (1999: 279) states that “[p]olitical parties do not have complete freedom to operate within” as they are enjoined to “conduct their activities within the provisions of the Constitution and all other relevant laws”. In other words, the workings of political parties may be limited in terms of section 36 of the Constitution. According to de Waal, Currie & Erasmus (1999) section 19 of the Constitution will enable applicants for membership of a political party to challenge the criteria adopted to recruit members. This would be the case where such criteria fall foul of section 9 of the Constitution. On the same vein section 19 of the Constitution does not entitle members of a political party to participate in each and every activity within the political party that the member feels like participating in. This will surely depend on the constitution of that party with regard to who must participate in what activity and the attendant qualifications.

However, once admitted into a party, political parties are not at liberty to limit the citizens right to participate in the (basic) activities of, or recruit members for and campaign for a political party or cause without a justifiable reason. Surely, participation in the activities of a political party must narrowly be read to relate to members of the political party concerned but the same cannot be said about campaigning for a political party. Strange as it might sound, a person who a particular political party finds to be a liability, who is even not a member of that political party has a right to campaign for that political party. An example might be a member of an extremist Afrikaner political party whose party is

not registered for particular elections has a right to campaign for, say, the Democratic Alliance. Despite the fact that the Democratic Alliance may be embarrassed by such a person, if that person does not misstate the policy position of the Democratic Alliance then the latter would have no choice but to bear the embarrassment. It is submitted that it is very unlikely that a court would uphold a restraint application against such a person because should such an application be granted it would be impinging on the respondent's right of freedom of expression. Same could be said about a member who has been expelled or suspended from political party activities but still holds dear the objectives of his or her party. Finding otherwise would be attributing an unnecessarily narrow reading to section 19 (1) (c) of the Constitution.

It is in this regard that the members of a political party who have been fired by their parties after disciplinary proceedings, from time to time, approach courts to review their expulsion. Although political parties are voluntary associations, rules of natural justice must be followed when dealing with members, especially where disciplinary matters are concerned. In some instances, especially during the operation of the so-called floor-crossing (since discarded in our political-constitutional system), members could steadfastly fight their expulsion despite no longer being loyal to their political party. These disputes played themselves out in the courts of this land. In the words of Davis J in *Harding v Independent Democrats* (2008: 524-525)

“[c]ourts have now been drawn into this season of mass political dances, as political parties seek to prevent

a haemorrhaging of their members and floor-crossers assert their love of their political party and hence insist on compliance with the principle of natural justice only to enable them to desert to another party during floor-crossing period.”

This was the case in *Mafongosi v United Democratic Movement* (2003). The brief facts of the case were that the applicant's (members of the respondent and municipal councillors under the banner of the respondent) had been charged with misconduct by the respondent (a political party). They were subsequently found guilty and expelled by the disciplinary committee. Subsequent to the guilty verdict they noted an appeal. The appeal automatically suspended their expulsion. Whilst awaiting the appeal process to unfold the applicants resigned from the party. Despite the resignation the respondent considered the appeal and confirmed the disciplinary committee findings. The applicants took the matter on review on the ground that the procedure followed by the disciplinary committee in finding them guilty was procedurally flawed (surely on the legal, as opposed to political, counsel). The court agreed with them and ordered that they be reinstated. It is quite clear from this case that at one stage the applicants no longer identified themselves with the political party (at one stage they had resigned) but for the reason that they were likely to lose their livelihood (their seats as municipal councillors) they fought their expulsion tooth and nail. This, to a certain extent violates a political parties right to have members in their fold that truly identify with the objectives of party. In this case, unlike in *Sibiya v Inkatha Freedom Party* (2006) (discussed below) the court's

decision seem to have precluded the party from correcting the procedural missteps it had taken in disciplining the applicants. However, even if the court in *Mafongosi v United Democratic Party* (2003) afforded the respondent an opportunity to correct the procedural defects that would not have assisted in any manner as the applicants would have already defected to another political party with their seats in the council.

In *Sibiya v Inkatha Freedom Party* (2006) the applicants were members of Inkatha Freedom Party and were municipal councillors under the banner of their political party. The applicants were expelled from the party for failing to follow the party's mandate when they voted on certain issue in the municipal council. The applicants took the expulsion on review on the basis that their disciplinary hearing was procedurally unfair. Although the court upheld their claim, it expressly stated that the party was not precluded from reinstating the misconduct enquiry against the applicants (see as well *Shunmugan v National Democratic Convention*, 2008). In principle the judgement of *Sibiya v Inkatha Freedom Party* (2006) is preferable compared to that of *Mafongosi v United Democratic Party* (2003). The *Mafongosi v United Democratic Party* (2003) judgement has (had?) the potential to guarantee individuals membership of a political party whilst the individual does (did?) no longer entirely identify with the political party. This seems to violate the political party's right to associate freely (see Currie et al, 2005). However, when political parties admit individuals into their fold they, at the very least, assure them that they will be treated fairly in all party matters, including disciplinary matters. In other words, what courts are

doing in reviewing the termination of membership of their members is to hold the political party to its word (see Currie, 2005). Political parties are forced to fulfil their side of the bargain.

In the cases cited above the courts relied on the rules of natural justice to overturn the political parties' dismissals of their members. This was apposite in line with the terms of the contract that the parties and the individuals have concluded. However, in *Van Zyl v New National Party* (2000) the court relied on the provisions of Promotion of Administrative Justice Act 03 of 2000 (henceforth PAJA) to set aside the decision of the respondent, a political party. In this case the applicant was recalled as a permanent member of the National Council of Provinces (the NCOP) pursuant to the motion of no confidence on the applicant by the respondent and the subsequent motion to recall her. The first respondent nominated the sixth respondent in her stead. The applicant took this decision on review in terms PAJA because her recall "affected her rights adversely."

The respondents contended that the nomination of candidates to the NCOP was the prerogative of political parties so that they can be able to give effect to the mandate of their constituencies and therefore did not amount to an administrative action in terms of PAJA. PAJA defines administrative act as:

"any decision taken, or any failure to take a decision, by –

- (a) an organ of state, when –
- (i) exercising a power in terms of the Constitution or a provincial constitution; or



(ii) exercising a public power or performing a public function in terms of any legislation; or

(b) a natural or juristic person, other than an organ of state, when exercising a public power or performing a public function in terms of an empowering provision,

which adversely affects the rights of any person and which has a direct, external legal effect..."

The court found, in relation to the respondents' claim that the applicant had failed to exhaust the internal appeal provided for in the respondents' constitution, that an internal appeal under the circumstances would provide the applicant with inadequate remedy. The court based this assertion on the basis that an internal appeal would only consider the resolution to recall the applicant and not the decision to nominate the sixth respondent. With regard to whether the resolution to recall of the applicant from the NCOP amounted to an exercise of administrative action under PAJA, the court held that it has to be considered that the respondent is a juristic person and whether it exercised public power or performed a public function that adversely affected the rights of the applicant. The court found that on the facts of this case the respondents' satisfied the test for administrative action. This was because, according to the court, the applicant could only be recalled in terms of section 62 (4) (c) of the Constitution and not in terms of the respondents' constitution. In expatiating its reasoning the court had this to say:

"In considering whether the exercise of the authority to recall a permanent

delegate in terms of section 62(4)(c) of the Constitution amounts to the exercise of a public power or the performing of a public function, it has to be borne in mind that the authority to do so arises only after the adoption of a motion of no confidence by a provincial legislature and that the party that nominated such a person is under no obligation to recall him or her" (para 71).

What the court meant is that the source for recall of the applicant from the NCOP was the Constitution and such recall constitutes the exercise of public power. After outlining the effects such recall would have on the NCOP the court concluded that such a recall had a strong public component.

The climate under which these cases were decided was hazy. At the time the smaller parties were at the risk of losing their members to other political parties due to the so-called floor-crossing. As a result of the danger of losing their members and their seats in different legislative bodies and the monies that came with those seat parties were under pressure to act swiftly in dismissing those suspected of having been "poached". In other words, political parties who stood to lose were due to lose more than just membership. Anecdotal evidence suggests that there was a proliferation of cases involving the dismissal of members by political parties during the operation of the so-called floor-crossing (for instance in *Andrews v Democratic Alliance Mansingh AJ (2012)* cites about nine cases directly on this point). In most cases parties about to lose members only became aware when the so-called window period was excruciatingly close (see for example *Diko v No-*

bongozo, 2006). As a result, political parties tended to flout the rules of justice. In essence, the members of these political parties who were expelled were not really concerned about the protection of their right to participate in the activities of their political parties but were rather influenced by the desire to save their own skin. In some of the cases this protection was to last for just a while until the window period for floor crossing opened.

Courts found themselves in an unenviable position. The law required political parties to conform to the rules of natural justice (such as following fair procedure in expelling its members and affording them a fair hearing) before they could expel them. At the same time following these rules of natural justice meant that in the meantime members could defect to other parties (Max v Independent Democrats, 2005; Diko v Nobongozo, 2005; cf Harding v Independent Democrats, 2008). Unfortunately there was nothing political parties could do as the floor-crossing legislation had been declared to be constitutional by the Constitutional Court in the of United Democratic Alliance v President, Republic of South Africa (2003) and protected those who wished to cross the floor during the window period. These cases therefore denied political parties the right to disassociate with individuals they deemed disloyal. It is obvious that at the time the parties concluded their agreement it was done in good faith. But what should a political party do if it discovers, on the eve of the opening of the window-crossing period, a member has signed an agreement with another party to cross-floor? Diko v Nobongozo (2005) is a case in point. However, in Harding v Independent Democrats (2008) the court upheld

the summary expulsion of the applicant by the respondent. The summary expulsion was based on a clause of the first respondent's constitution which provided that "any member who joins another political party or is proved to have assisted in the formation of another political party may be summarily expelled from the party by the party leader." The applicant was accused of intending to form a new party and failed to disprove the allegations but instead approached the court for relief.

### **3. SECTION 19 AND INTRA-PARTY DEMOCRACY**

The preceding discussion does not implicate any of the right protected in section 19 and in particular section 19 (1) (b) or at least directly. What is clear from that discussion is that individual members of political parties were hell bent on protecting their membership of the parties in order to cling to the political office that their membership to these party afforded them. In short, the approach adopted by the courts in the cases discussed above does not define the relationship between political parties and their members. However, a recent Constitutional Court case deals with the implications of section 19 of the Constitution for political parties. Unlike the common law position where the relationship between political parties and its members was exclusively governed by the contract, under the Constitution, in addition to parties abiding by the contract they also have to conform to the rights protected under the Bill of Rights, and in particular section 19 (Ramakatsa v Magashule, 2013). In this case, the appellants had sought the setting aside of the Free State Provincial Conference of the African National Congress on the basis

that their constitutional right to participate in the activities of their political party were infringed. According to the appellants, a number of irregularities took place prior to the challenged conference taking place. For instance, the appellants argued that in some instances members who qualified to participate in branch and regional elections were denied that right whereas those who did not qualify were allowed. This, in view of the appellants, vitiated the proceedings of the entire Provincial Conference. The Constitutional Court concurred with them.

In outlining its reasoning the Constitutional Court began by restating the centrality of political parties in our democratic dispensation. The participation in the activities of political parties is the life blood sustaining our democracy. The Court confirmed the justiciability of the relationship between political parties and their members where the latter's constitution or rules have been breached. The constitution

“[g]uarantees freedom to make political choices and once a choice is made, the section safeguards a member's participation in the activities of the party concerned. In this case the appellants and other members of the ANC enjoy a constitutional guarantee that entitles them to participate in its activities. It protects the right not only against external interference but also against interference arising from within” (Ramakatsa v Magashule para 71).

Most importantly, the Court held that po-

litical parties may not adopt constitutions and rules that are inimical to the Constitution. The Court basically confirmed the provisions of section 2 of the Constitution which provides that “[t]his Constitution is the supreme law of the Republic; law or conduct inconsistent with it is invalid, and the obligations imposed by it must be fulfilled.” Political parties must act lawfully. According to de Vos (2015: 48):

“From a Constitutional Law perspective the judgement is important as it affirms the strong link between internal party democracy and the right of citizens to take part in the political process and to vote in elections...”

In short political rights are not limited to the right to vote in an election but extends to participation in political activities. In addition to ensuring that the rules of natural justice are adhered to in matters relating to political parties, the rights protected in the Bill of Rights must also be considered. In terms of the Constitutional Court the political parties' constitutions must be constitutional. Although the Constitutional Court did not rule on the constitutionality of the constitution of the ANC as that issue was not before it, the Court hinted that the investigation whether the political parties' constitution accorded with the constitution was not beyond the jurisdiction of the courts. Section 19 of the Constitution supersedes the political parties' constitutions. Where there is conflict between the section 19 of the Constitution and a political parties' constitution the latter is invalid to the extent of the inconsistencies.

#### 4. CONCLUSION

Political parties are voluntary associations and are therefore free to determine the relationship between itself and its members. At common law the constitution of a political party determined the four corners within which this relationship should exist. The Constitution was the basis of this relationship. Non-adherence to the provisions of the constitution the conduct of a political party was susceptible to be set aside. Section 19 makes it clear that the Constitution of a political party needs to adhere to the precepts of the Constitution. Therefore the freedom the political parties have is limited to within the four corners of the Constitution.

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# THE WELFARIST APPROACH IN PUBLIC ADMINISTRATION: A NEED FOR A PARADIGM SHIFT TOWARDS A SUSTAINABLE RURAL SOUTH AFRICA

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## ABSTRACT

*The paper argues that educating and training rural women is a better approach for sustainable rural development than empowering rural women through various projects and funds without education and training. Therefore there is a need for a paradigm shift from a welfarist approach to developmental and sustainable approach. Rural women play a pivotal role in supporting and taking care of their families and communities and they contribute largely in agriculture and rural enterprise. The paper provides a conceptual argument to the effect of education and training of rural women for a sustainable rural development in South Africa. The methodology will include but not limited to literature on women empowerment, education and rural development sustainability in South African context. This paper concludes that the adopted welfare approach in empowering women through freebies and funding unmonitored projects is not sustainable and cost effective, rather educate and train then fund their projects.*

**Keywords:** Education, Poverty, Women, Rural, Sustainability, Development, Welfarist.

## 1. INTRODUCTION

Education is important for everyone, but it is especially significant for women because women can have ripple effects within the family and the society as a whole. According to the Gender Equity Index, there is "no nation in the world today in which women have the same opportunities as men, women are still disadvantaged in economic and political life around the world" (Social Watch, 2005). Cunha-Jacana (2006) states that there are numerous reasons behind the failure of developmental interventions,

but the most critical issue is that most policies considered gender as a tack on subject. The same applies to education; education is important in reducing poverty and empowers individuals and communities, especially in countries that are considered to be developing like South Africa.

Rural women in South Africa have historically played a crucial role in agriculture, as food producers who constitute more than half of the agricultural labour (Kehler, 2001).

Women have historically used agriculture as one of the strategies to address poverty and improve livelihoods, and to maintain the stability and sustainability of their families, culture, villages, towns and communities (Aliber, 2000). To this date, rural women are still the key agents for achieving transformational social changes necessary for sustainable development in their respective communities. The South African rural areas are faced with poverty as a result of the way apartheid shaped access to economic opportunities and government services through rigidly enforced tenure, settlement and labour policies, and women suffered most and had more limitations especially on education, but the newly democratic South African government has made significant efforts to address poverty and development of rural areas by adopting a welfarist approach. This paper is of the opinion that the approach is not sustainable and promotes the dependency syndrome. The approach is more of freebies and it is financially costly to the government. In many countries, gender-based stereotypes and discrimination deny rural women equitable access to and control over land and other productive resources, opportunities for employment and income-generating activities, access to education and health care, and opportunities for participation in public life.

This paper argues that the welfarist approach is not sustainable for rural development; economic growth will therefore continue to be relatively slow. The emphasis of this paper is on a developmental and sustainable approach whereby education for rural women becomes a mechanism to ensure sustainability in development.

## 2. EDUCATION AND RURAL WOMEN DEVELOPMENT

The Freedom Charter boldly proclaims that the doors of learning and culture should be opened to all (African National Congress Policy Framework, 1995). Women empowerment through education according to The World Bank Source book (2002) may build on poor people's strengths to:

- solve problem;
- be initiative and manage resources;
- gain knowledge, skills and values and;
- to rise out of poverty

Education is a socio-economic resource that is critical in the livelihoods of rural people, as Atchchoarena and Sedel (2003: 36) put it contribution of education towards rural development extends far beyond the context of school. Hence, the interface of education and rural development is inclusive of non-formal education as well as adult literacy programmes. Despite this reality, rural women in South Africa continue to be marginalised in policy formulation, implementation and other education related processes. Fundamentally, development is the creation of wealth – wealth meaning the things people value (Shaffer, 1989). That should involve ongoing education and training improvement - sustaining a desirable development; having a vital educational and training system that fosters capacity of rural women and a vital education that is diverse, competitive and sustainable for rural development.

Education increases choices, sustains positive attitudes, improves the function of institutions and enhances quality-of-life (Cavaye, 2001). Rural women need to be

equipped with such qualities since they are the key pillars of development in their areas and are at the forefront of poverty, therefore they will be better positioned to fight poverty and sustain an improved standard of living. Despite attention to rural women in the Millennium Development Goals (which were not achieved), which recognize their contributions, rural women continue to face serious challenges in effectively carrying out their multiple roles within their families and communities (United Nations, 2006). Their rights and priorities are often insufficiently addressed by national development strategies and gender equality policies. For instance the National Development Plan (2010) only indicates that prioritising education and rural development will have an impact on rural women. This statement is said without emphasising an action plan, hence this paper finds this statement very hollow. The NDP approaches issues around rural development holistically, which is not ideal for sustaining and improving livelihoods of rural women since they are not prioritised. Furthermore, the NDP acknowledges the persistency of poor access to quality education for rural people. Yet, no effective action plan in place to address this. The now Sustainable development Goals only promise to have women empowerment and gender equality improved, but nothing about educating the rural women, either formally or informally.

Gender equality is a state where access to rights and opportunities is not gender based. Gender equality has been an issue in a number of countries, and studies reveal that gender differences have been a research focus for a number of years (Spe-randio, 2011). Studies in various countries,

like Australia, South Africa and Zimbabwe show low representation of women in education system, both higher and lower educational institutions. This lack of representation of women in education raises issues of sustainable development, particularly rural development (Mapolisa & Madziyire, 2012). Although the reasons for gender inequalities vary somewhat across national, cultural and occupational contexts, Nani (2011) argues that the obstacles to women's education, includes the choices women make and gender bias opportunities as well as gender differences in family responsibilities. Sentsho (2013) asserts that the South African socio-economic landscape reveals that rural women are not empowered economically, the low level of education among rural women plight worse since they cannot be competitive for job opportunities. Education is a critical mechanism for women's empowerment especially considering its potential for a multidimensional impact on improved income, participation and reduced vulnerability.

Education is a key element for sustainable development (Mapolisa & Madziyire, 2012.) since it has potential to shape the world's future, equip individuals and communities with skills, knowledge and values to live and work sustainably. Lack of education greatly hinders economic and social development and contributes to poverty, while access to education can lead to a virtuous cycle, improving livelihood strategies of the rural poor. According to McKay (2000) a literate woman will be able to understand the importance of political education and see the necessity of engaging herself in community matters, where some of her problems may be solved. Education will unleash the productive potential of ru-



ral women and enable them to participate more equitably in the growth process of the country.

### 3. **SUSTAINABLE DEVELOPMENT IN CONTEXT**

The “Brundtland Report” (2012) definition of sustainable development – “*Sustainable development is...development that meets the needs of the present without compromising the ability of future generations to meet their own needs.*” has been the most commonly used or cited definition since 1987 when the world community gathered to address this critical issue (World Commission on Environment and Development, 1987). Sustainable development is a noble and necessary aspiration, a visionary development paradigm. The theoretical framework for sustainable development evolved between 1972 and 1992 through a series of international conferences and initiatives. The United Nations (UN) Conference on the Human Environment, held in Stockholm in 1972, was the first major international gathering to discuss sustainability at the global scale. Drexhage and Murphy (2010) state that sustainable development has transitioned from being an interesting yet at times contested ideal, to a concept that enjoys widespread endorsement by international institutions, governments, businesses, and civil society.

Human capital is mostly built up through education or training that increases a person's economic productivity—that is, enables him or her to produce more valuable goods and services and thus to earn a higher income. Governments should invest in human capital by devoting money and time to education and training to accumulating knowledge and skills, rather than

adopting a system of freebies and funding projects without oversight on the beneficiaries as this injects a dependency syndrome onto the community. According to the very old saying, attributed to Lao Tseu “If you give a man a fish, you feed him for a day. If you teach him how to fish, you feed him for a lifetime”. Green (2005) states that this man or woman must have rights to fish in the first place. He quotes a village leader from Cambodia: “*That woman already knows how to fish. She does not want charity. She would prefer respect for her basic rights*”. The welfare approach is the opposite of this argument as discussed below.

### 4. **WELFARE APPROACH**

The welfare approach addresses women “almost solely in their roles as wives and mothers, policies for women restricted to social welfare concerns such as nutritional education and home economics” (Raza-vi and Miller, 1995). This approach is concerned with the development efforts but it is rooted in the social welfare of colonial administration. The welfare approach is the earliest approach concerned with development efforts in the Third World. It is rooted in the social welfare model of the colonial administration and post-war development agencies (Tasli, 2007). Hence, its policies are restricted to social welfare concerns such as agriculture and home economics. The welfare approach makes women to be passive recipients and not be active participants in the process of development. The implementation method of the welfare approach is to distribute free goods and services such as child grant and free clinic services just to mention the few. Moser (1993) argues that the welfare approach remains popular since it is “politically safe”, imply-

ing that, it does not question or attempt to change the traditional role of women.

In terms of women's multiple role, the welfare approach addresses women solely in their reproductive role as mothers and wives, and ignores women's productive and community managing roles entirely. As regards women's gender needs, the welfare approach meets women's practical gender needs which arise from being wives and mothers. However it does not address their strategic gender needs at all. Increased demand for welfare services has raised concerns about the effectiveness of welfare services provision. Development Goal no. 3 (MDG: 3) is to promote gender equality and empowerment of women, (UNDP, 2010). The South African government has adopted the welfarist approach in empowering women and that is not sustainable or cost-effective because they (women) rely on freebies and that is not developmental. In effort to address poverty and gender inequality the South African government has introduced and implemented number of policies, but none seem to be successful and sustainable.

## 5. MACRO POLICIES

The South African government since 1994 has introduced macro-policies in order to fight poverty, programme such as Reconstruction Development Plan (RDP), Growth, Employment and Redistribution (GEAR), Accelerated and Shared Growth Initiative for South Africa (ASGISA), New Growth Path South Africa (NGP) and National Development Plan (NDP) were established shortly after each other consecutively as mechanisms to combat poverty. The attempt of these programmes to develop the country and fight poverty has not been much of a

success and not sustainable. Hip hoping of macro policies in South Africa has proven to be not working because there is no consensus on the working or appropriate one. This reflects lack of sustainability. The fact that the South African government has placed the need to address poverty and inequality firmly at the centre of its development agenda is reflected in the various development policy documents and strategies that have been developed in the few years that the government has been in power.

### 5.1. Reconstruction Development Plan (1994)

The Constitution of the Republic of South Africa 1996 provides for a common South African citizenship, with all citizens having equal access to the rights, privileges and benefits. South Africa is also one of the few countries on the continent with a constitution which entrenches democracy, eliminates all forms of discrimination, promotes and protects human rights but also strives to attain socio-economic rights for all. The South African government attempted to put together a policy framework that could address the variety of problems being faced both economically and otherwise by establishing the Reconstruction and Development Programme (RDP) (Hall 2005, Gumede 2007, Madzivhandila, 2013). The government development strategy was first articulated in the 1994 Reconstruction and Development Programme document (African National Congress 1994) in which the government aimed to mobilize all people and country's resources towards the final eradication of apartheid and the building of a democratic, non-racial and non-sexist future. The programme sought to attain

socio-economic growth and basic needs delivery, while at the same time addressing the legacy of injustice. The programme put emphasis on people centred and sustainable development that is democratic and participatory.

In terms of the RDP White Paper (1994), RDP puts emphasis on programmes to meet basic needs and enhance human resource development, placed a major emphasis on social infrastructure and development programmes that address poverty and inequality. While the government appeared to have been content with the RDP's broad thrusts, problems began to surface from 1995. The RDP made repeated reference to the need for a special focus on developing rural areas, little emerged. The economy, in particular, was not growing at the expected rates. The orientations of the programme also came under critical scrutiny as investors and international financial institutions began demanding greater clarity on national economic policy. This contributed to the birth of GEAR and the hosting of the Growth and Development Summit that resulted in agreements between various stakeholders.

## 5.2. **Growth, Employment and Redistribution (1996)**

The Macro-economic Policy Framework known as GEAR, released in June 1996, was somewhat more firmly rooted in a neo-liberal economic paradigm. The objectives of GEAR were to provide basic services to the poor, to alleviate poverty, achieve economic growth, reduce national debt,

stabilise inflation and give effect to the socio-economic rights in the Constitution. To increase employment and lessen poverty, the new South African government in 1994 made it a priority to foster economic growth. The path to long-run economic growth was ensured by introducing macroeconomic policies in 1996 aimed at reducing fiscal deficits, lowering inflation, maintaining exchange rate stability, decreasing barriers to trade and liberalizing capital flows. These macroeconomic policies were steered by a strategy to promote Growth, Employment and redistribution (GEAR).

Growth, Employment and Redistribution (GEAR) is a macroeconomic strategy adopted by the Department of Finance in June 1996 as a five year plans aimed at strengthening economic development, broadening of employment, and redistribution of income and socioeconomic opportunities in favor of the poor. The key goals of the policy as originally outlined amongst others were economic growth of 6% in the year 2000, inflation less than 10% and employment growth above the increase in economically active population. The strategy aimed at creating a 'competitive fast-growing economy' which would provide 400 000 jobs per annum (South Africa 1996). The GEAR strategy, has failed at the macro-economic level. Aldezadeh (1999) argues that since 1996, the real growth rate has been steadily declining and was at 0, 3% at the end of 1998. These macro-economic policies and strategies are, however, contradicted by the speed of delivery. This has been noted mostly with respect to housing, education and health. Moreover,

government debt is not declining but rising. The challenges of poverty and unemployment remain deeply rooted and largely unresolved in South Africa. The question is, can a 'better life for all' be achieved through ASGISA?

### 5.3. **Accelerated and Shared Growth Initiative for South Africa (2005)**

ASGISA was approved by cabinet in July 2005. In the 2006 budget speech the Minister of Finance announced an allocation of funds to ASGISA programmes. Mbeki (2002), argues that the challenge facing South African government is not to change government policies but to ensure that they were effectively implemented. Policy implementation refers to the accomplishment of policy objectives through the planning and programming of operations and projects so that set objectives and desired impacts are achieved. This is what ASGISA aimed at, improving policy implementation and economic growth by dealing with the following challenges such as: lack of skilled and committed staff in the public service, lack of human resource to implement policies, inadequate financial resources, corruption and mismanagement of funds, lack of people-driven development, lack of proper co-ordination between institutions and barriers to entry, limits to competition and limited new investment opportunities.

In 2005, government released its economic policy programme captured formally as the Accelerated and Shared Growth Initiative for South Africa (ASGISA) (The Presidency, 2005). ASGISA is distinguished, relative to its two predecessors, GEAR and the RDP, by its strong emphasis on defined, and very

specific growth-enhancing projects. It is important to note however, that in many senses, ASGISA is a continuation of the GEAR strategy. ASGISA did not achieve the set objectives and it was soon replaced by the New Growth Path South Africa.

### 5.4. **New Growth Path South Africa (2009)**

The South African government employed three official economic programmes between 1994 and 2009 – the Reconstruction and Development Programme (RDP), the Growth Employment and Redistribution Programme (GEAR) and the Accelerated and Shared Growth Initiative of South Africa (ASGISA)–in its attempt to address poverty and gender inequality. However, as these programmes failed to achieve their objectives the government announced a fourth programme, The New Growth Path (NGP). For South Africa to achieve a more inclusive and equitable economic future, rapid progress is needed on several fronts. According to the Department of Economic Development (2009) government has set out five priorities: education, health care, fighting crime, rural development and creating jobs. Education and skills development are the first priority in government expenditure allocations, boosted over the medium-term expenditure framework (MTEF) period through additional allocations for further education colleges, student financial assistance, school buildings and facilities, and learner support materials. The programme is established to make job creation a priority, unsurprisingly the programme was not much of a success as the unemployment rate was reported by Statistics South Africa (2010) to have increased by 0.9% of a percentage point to 25.2%.

## 5.5. National Development Plan (2011)

National Development Plan (NDP) reveals the old Gear paradigm of macro-economic stability, and fiscal restraint, within liberalised financial markets. The NDP made provision for older people who wish to develop their skills as well as adults who had no access to education. It stipulates that there should be designed curricula to respond to the specific learning and training needs of different groups in order to help develop them and their life opportunities. Van der Berg, Taylor, Gustafsson, Spaul & Armstrong (2011) indicate that despite the positive impacts of this programme, the legacy of low-quality education in rural areas school system persists. This hampers the education system to provide an escape route out of poverty for the rural poor. It is therefore argued that the impacts of these policies are very minimal (Clote & de Coning, 2011; Gumede, 2012). Rural people are still trapped in poverty life and the level of education particularly for rural women is still low.

## 6. DEVELOPMENTAL AND SUSTAINABLE APPROACH

A developmental approach to an integrated socio-economic development is based on the strengths of the individual, group or the community to embark on activities that contribute meaningful to planned socio-economic development initiatives. Thus the communities promote capacity development of institutions, programmes and processes (Department of Social Development, 2009: 13). Midgley (1995:25) defines a developmental approach as a process of planned social change designed to promote the wellbeing of population as a whole in conjunction with a dynamic pro-

cess of economic development. It focuses on integrating economic and social development for the benefit of all community members. This paper understands developmental approach as a combination or integrated approach of or to increase on what the community members already have, together with their resources and assets to which they have access. Thus, sustained development will take place within a coordinated as well as availability of individuals with relevant skills for development and a passion for development. Fitzgerald, McLennan and Munslow (1997:289-290) assert that sustainable development is dependent on the empowerment of communities to sustain their own development in order to be the sustainers of development in their communities. In a community, development can only be sustained if the community members concerned have the capacity and the will to use that capacity to manage their development. Sustainable development promotes lifestyles and ethics that take the limits of the natural environment into account. Individuals and communities should be capacitated enough with knowledge, skills and thorough techniques on how to handle different situations, with that information or knowledge in their disposal community members can perform as expected and that knowledge acquired will benefit them for the rest of their lives (future), what better way to do that than education.

Ndou & Sebola (2013) attest that rural development should be contextualised in a human centred socio-economic development, the focus being the improvement of quality of life with non-farming methods. Effective education and training of rural women may result in investment decisions

and establishment of sustainable businesses. The government of the day should use social policies and programmes to promote education and enhance human capital. Mkadawire (2001) argues that social policies and programmes should act as a driving force to enhance social development. If rural women are educated and trained they stand a better chance to undertake their own micro-projects with the financial support provided by government. Already a large number of women are running their small medium businesses; however, they have to frequently face uncertainty with their businesses, which may emerge as a great threat to the viability and sustainability of their development in the long run. The major deficiency of the rural poor women in this regard is the lack of entrepreneurial skill. They suffer a lot for this deficiency when they run their business. In most cases, the rural women move by 'learning by-doing' principle, which is sometimes costly for them.

## 7. CONCLUSION

Achieving the required change transformation in empowering rural women requires a developmental and sustainable approach that can systematically transform the economic and social systems that keep rural communities in a poverty trap and move them to an improved quality of life. In the short term, it is easier to improve the lives of rural people, through training and educating rural women as key pillars of their families expand educational schemes as a way to improve incomes and enhance social cohesion. In the long term, the critical components of education and training combined with the development of new economic production systems must empower

rural people and enable them to generate their own incomes. The decade which has just elapsed has been mostly dominated by the Millennium Development Goals (MDGs), gathering efforts of the entire international community with around 8 defined goals. Then currently the focus is on the Sustainable Development Goals (SDGs) which is viewed as an improvement of the MDGs. Although non explicitly, in the light of their intent, MDGs and SDGs directly relate to human rights. Yet their implementation has been more combining core aid-, needs- or livelihood approaches than a right-based approach. The past decade and the current one will see a combination of different approaches to development. The recent financial crisis currently tends to push the international community to favour more of a sustainable approach, it has also shown how supporting poor people, who disproportionately felt the crisis, to secure their livelihoods and rights, is paramount to get them sustainably out of hunger and poverty. It is up to everyone to help finding and applying the right balances.

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# ALIGNING INTEGRATED DEVELOPMENT PLAN, SERVICE DELIVERY AND BUDGET IMPLEMENTATION PLAN AND BUDGETING: AN ATTEMPT TO ENFORCE SERVICE DELIVERY MONITORING IN SOUTH AFRICA'S LOCAL MUNICIPALITIES

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## **ABSTRACT**

*The South African apartheid legacy has left many rural areas dispersed, underdeveloped and largely un-serviced. In an attempt to address this challenge, the post 1994 local sphere of government identified the need to render services of a local nature in an integrated, democratic and fiscally responsible manner. The process includes the inception of Integrated Development Plan (IDP) which obtains its mandate from Local Government Municipal Systems Act 32 of 2000. The IDP serve as strategic plan for a prescribed five year period at municipal-based jurisdictions. Although it is enshrined in the Constitution of the Republic of South Africa 1996 for the IDP to perform its intended functions, the truth is that IDP is failing to conquer its developmental mandate. As a result, the Local Government Municipal Finance Management Act 56 of 2003 introduced the Service Delivery and Budget Implementation Plan (SDBIP). The rationale is to ensure that the IDPs are consistent with budgetary constraints and also to ensure that service delivery projects are linked to the achievement of the objectives set out in the IDP. Previously, service delivery projects aimed at addressing massive service delivery backlogs did not find expression in both the IDP and SDBIP which serve as a hindrance for delivering services at municipal level. The paper argues that most South African local municipalities are still faced with huge and perpetuating service delivery backlogs due to non-alignment of IDP, SDBIP and Budgeting. The paper however, argues that the alignment between IDP and SDBIP does not guarantee effective service delivery. Therefore, it is within this context that this paper seeks to investigate the alignment and challenges that exist in aligning the IDP and SDBIP at South Africa's local municipalities for effective service delivery. The paper concludes that in order to accomplish synergy and alignment between IDP, SDBIP and budgeting, service delivery monitoring must be conducted prior and subsequent service delivery.*

**Keywords:** Integrated Development Plan, Service Delivery and Budget Implementation Plan, service delivery backlogs

## 1. INTRODUCTION

The *Constitution of the Republic of South Africa Act 108 of 1996* makes provision in Section 153 for a municipality to structure and manage its administration, budgeting and planning processes to give priority to the community's basic needs, as well as to promote the community's social and economic development. This process can only be possible if the IDP and Service Delivery Budget and Implementation Plan (SDBIP) are fully aligned. The SDBIP is a detailed plan for implementing the municipality's delivery of services and its annual budget. The integrated approach to development at local government requires, in terms of Section 25 of the *Local Government: Municipal Systems Act (MSA) 32 of 2000*, that municipalities' Integrated Development Plans (IDPs) and budgets be linked in order to give effect to addressing actual needs of local communities (Du Plesis, 2012). Furthermore, the effectiveness of municipalities to deliver on their developmental mandate is heavily dependent on their ability to plan and allocate resources in a developmental and sustainable manner. Hence, significantly, municipalities must ensure that needs of communities are integrated in their development plans and when allocating budget. Du Plesis (2012: 19) indicates that "municipal key performance indicators must contain performance targets that are practical and realistic, in line with the municipality's IDP and take into account the municipality's budget".

According to Fourie & Opperman (2007:95), the municipal budget is notably the most important mechanism to give effect to municipality's service delivery strategies to

meet such needs. Thus, it is imperative for municipalities to ensure that their budgets are output-driven and that their intended outcomes are in line with their service delivery strategies and objectives. Explicitly, the budget is first and foremost the practical financial strategy for implementing the IDP in municipalities. Accordingly, the municipal annual budget must be drafted before the operating budget and must be aligned with the priorities of the approved IDP. In other words, the IDP must form the basis for formulating a municipality's budget, as well as the policy framework on which annual budgets rests. The municipal budget must complement and be aligned with the IDP. Aligning the operating budget with the IDP means that the municipality must look carefully at the projects and priorities envisaged in its IDP and structure its budget accordingly. The problem that may be experienced is that the budget may not accommodate all the priorities and projects in the IDP. This strategic plan should link, integrate and coordinate plans and consider proposals for the development of the municipality. Significantly, the plan should align the municipality's resources and capacity with the implementation of the plan and should form the framework on which annual budgets must be based. Importantly, the alignment however must take place in an interactive, participatory and symbiotic manner. In doing this, municipalities can achieve their developmental mandate successfully. Therefore, it is within this context that the article recognises the need to enforce service delivery monitoring in order to reinforce and integrate the IDPs and budgets in line with the SDBIPs and address the persisting service delivery backlogs and challenges within municipal-

ities. Consequently, the synergy between budgeting and the IDP will ensure effective, efficient and economical service delivery within municipalities. The article consists of six sections including the introduction. The second section provides a brief overview of the integrated approach to service delivery planning and its application and relevance at grass-root level. This is followed by a synopsis of the challenges facing local governments in the provision of services to communities in section three. Then, the article investigates the alignment between IDPs, SDBIP and budgeting in comprehension of their interrelatedness in section four. Section five conceptualizes the service delivery audit as a tool for monitoring municipal projects and programme implementation. The article then concludes in section six that service delivery monitoring should be conducted prior and subsequent service delivery to accomplish synergy between IDPs, SDBIP and Budgeting.

## **2. INTEGRATED APPROACH TO SERVICE DELIVERY PLANNING AT LOCAL LEVEL**

The democratic government of South Africa adopted an integrated approach to development in order to address socio-economic dilemmas facing local government as well as the prejudice of apartheid (Fuo, 2013). Currently, local governments are characterized by deteriorating socio-economic environments less conducive for communities to cope with widespread poverty, deepening inequalities and high levels of unemployment (Idasa, 2010; Maloka, Mashamaite & Ledwaba, 2014). As such, the most significant service delivery mechanism to address these challenges has arguably been the shift in paradigm

towards integrated approach to service delivery planning at local level. According to the *White Paper on Local Government of 1998*, local governments, in particular local municipalities, must find sustainable ways to meet social, economic and material needs of the people and improve their quality of lives (Ministry for Provincial and Constitutional Development, 1998). To achieve this, according to section 25 of the *Local Government: MSA (32 Of 2000)* local municipalities are required to undertake the integrated development planning to assist municipalities realize their developmental mandate. Integrated development planning is a process in which municipalities develop a coherent, long-term plan for the co-ordination of all development and delivery in their area of jurisdiction (Mautjana & Mtapuri, 2014). Additionally, the integrated development planning is a method through which municipalities prepare a strategic plan intended to fast-track service delivery at local level (Mashamba, 2008). Therefore, the integrated development planning is used by municipalities to plan present and future development of all communities within the municipality area of jurisdiction. It is an approach to planning where municipal officials and communities work together within their municipalities to find better solutions to achieve positive long-term socio-economic development, which acknowledges people as ones knowing best what they need. The *Constitution of the Republic of South Africa Act 108 of 1996* assigns a clear developmental role to local government in terms of Sections 152 and 153. Explicitly, the Constitution awarded municipalities with major developmental responsibilities to ensure that the quality of life for all citizens is improved and

sustainable. The *Local Government: MSA 32 of 2000* avers that all municipalities have to undertake an integrated development planning process and produce integrated development plans (IDPs) which are regarded as the primary instruments to guide and inform budgeting, management and decision-making related to service delivery and development in a municipality (Mafunisa & Maphunye, 2008; Valeta & Walton, 2008; Phago, 2009). Therefore, the IDPs should supposedly enable municipalities to manage the process of fulfilling the developmental mandate as articulated in section 152 and 153 of the *Constitution of the Republic of South Africa Act 108 of 1996* and *White Paper on Local Government (1998)*. Undeniably, an informed, visionary and strategic integrated development approach is required in order to maintain developmental local government and ensure sustainable service delivery within municipalities.

### **3. CHALLENGES OF SERVICE PROVISION FACING LOCAL MUNICIPALITIES**

Local municipalities in South Africa are faced with many challenges and enormous backlogs which are hindrances towards effective provision of services to communities and citizens within their municipalities (Maloka, Mashamaite & Ledwaba, 2014). Recent academic studies and reports on South African local government posits a growing concern over this sphere of government's ability to fulfil its constitutional mandate of rendering services to local communities and promoting local development (Du Plessis, 2012). This is further strengthened and worsened by the unprecedented wave of violent ser-

vice delivery protests which flowed across the country since 2004. The widespread service delivery protests are an indication of the enormous challenges facing local municipalities in the country. Local communities express their frustrations, anger and disillusionment with the level or lack of basic service delivery such as water, housing, sanitation and employment by their municipalities (Mashamaite, 2014). Recent service delivery protests and accompanying negative reporting on the state of local government, on the other hand, further depict serious concerns over the ability of municipalities to satisfy community expectations.

According to Idasa (2010), despite significant and positive stride towards developmental local government, most municipalities around the country are still plagued by numerous challenges of service delivery. Tsatsire (2008:6) stated that "municipalities are confronted by numerous challenges in all five key performance areas of the local government transformation agenda, namely: municipal transformation and institutional development; basic service delivery and infrastructure development; local economic development; municipal financial viability and management; and good governance and public participation, which are threatening its developmental agenda". But most importantly, the enduring facts of poverty, inequality and underdevelopment underscore the need for government to address issues of social and economic development at local level (Idasa, 2010).

Additionally, other concerns are lack of responsiveness by the municipal leadership to issues raised by communities, incompetence, corruption and high degree of disregard for the communities. The other factor undermining the ability of municipalities to render services to communities is the availability and shortage of skills. A significant number of municipalities do not have the managerial, administrative, financial and institutional capacity to meet the rising needs and expectations of local communities. This situation is exacerbated by the decline of municipal professionals and poor linkages between local government and tertiary education sector (Department of Cooperative Governance and Traditional Affairs, 2009). The skills deficit within municipalities remains a major challenge to effectively provide services to communities.

As a result of these challenges, most municipalities are left dysfunctional and communities' getting frustrated and losing hope and trust in local municipalities due to their failures to respond to their persisting and deteriorating poor service delivery. The service delivery backlogs that exist in local communities are often underestimated and limited resource base further poses a fundamental challenge to municipalities. With municipalities struggling to fulfill their mandate of service delivery and with these persisting trends, municipalities would find it difficult to spearhead social and economic transformation and development of local communities. These challenges cannot be totally ignored, otherwise municipalities run the risk of ensuing further civil unrests and revolution. Some of these are the conse-

quences of poor or lack thereof linkage between the IDPs, SDBIP and Budgeting at municipal level.

#### **4. UNDERSTANDING THE ALIGNMENT BETWEEN IDP, SDBIP AND BUDGETING**

"Apartheid regime in South Africa was characterized by unrepresentative decision-making process and a system of government that favoured the previously advantaged 'whites' community" (Phago & Netswera, 2009: 703; Tau, 2013: 152). This left many rural communities spatially fragmented, underdeveloped and largely un-serviced. In an attempt to address this challenge, the post 1994 government identified the need to render services of a local nature in an integrated manner. The *Local Government: MSA (32 of 2000)* was then promulgated as the core legislative prescript to enhance integrated planning. The purpose of this act is to deal with internal systems and administration of municipalities. Importantly, the *Local Government: MSA (32 of 2000)* states that municipalities must develop integrated development plans (IDPs) through the process of integrated development planning. "The idea of IDPs was first introduced in 1996 through the amendment of *Local Government Transition Act 209 of 1993* which represent an era where the attention of the ANC-led government shifted from the reconstruction of National and Provincial governments towards the establishment of a new local government system" (Tau, 2013: 323). As the end product for integrated development planning, IDP must strategize, agglomerate and synchronize the functioning of the three spheres of government, the private sector and all non-governmental stakeholders in

the society. Imperatively, devolution of power was based on the premise that local government will use IDPs to achieve the following set objectives as outlined in section 152 of the *Constitution of the Republic South Africa Act 108 of 1996*:

- To provide a democratic and accountable government for local communities;
- To ensure the provision of services to communities in a sustainable manner;
- To promote social and economic development;
- To promote a safe and healthy environment; and
- To encourage the involvement of communities and community organizations in the matters of national and provincial government.

The purpose of these objectives is to serve as a guideline for municipal strategic planning. Unequivocally, they need to be linked and enshrined in every local municipality's IDP. Although this is a prerequisite in terms of the Constitution of the Republic of South Africa, many local municipalities are still struggling to achieve these objectives. For this reason, one would therefore assume that decentralization of power did not augment municipal service delivery. In this respect, it is important to note that devolution of power in South Africa has not yet transformed the stance of delivering services to communities. This is mainly because most local municipalities are experience perpetuating service delivery protests. The problem of service delivery has been dealt with by various authors. For ex-

ample, (Madzivhandila & Asha, 2012) assert that municipal functionaries lack commitment to enforce community participation in the integrated development process.

Another challenge which is a key hindrance to municipal service delivery is patronage (Kitchen, 2005). "Municipalities are increasingly vulnerable to allegations of political cronyism, that is, practices of nepotism and patronage that favour those who are powerful or influential within the party rather than those with proven leadership ability or professional competence" (Department of Provincial and Local Government, 2005: 31). This problem defies the notion of development determinism, probabilism and possibilism because most politicians who are deployed to various strategic planning positions such as municipal integrated development planning and strategic planning are tabula-rasa. If one considers patronage as a problem for municipal service delivery, it becomes vivid that Integrated Development Planning is a complex process that requires understanding the significance of linking planning, budgeting, implementation, monitoring and reporting. The apparent truth is that, IDP solely is failing to conquer its developmental legal mandate, hence the *Local Government: Municipal Finance Management Act (MFMA) 56 of 2003* introduced the Service Delivery and Budget Implementation Plan (SDBIP) to assist municipalities to implement their IDPs and fast track service delivery in line with the budget. The *Local Government: MFMA (56 of 2003)* requires that municipalities prepare SDBIP as a strategic financial management tool to ensure that budgetary decisions of municipalities are aligned with their IDPs.

The purpose of the SDBIP is to expedite the achievement of strategic objectives as stated in the municipality's Integrated Development Plan. The SDBIP is a detailed plan for implementing the municipality's delivery of services and its annual budget (MFMA, 2003). According to the *Local Government: MFMA (2003)*, SDBIP must include projections for each month of revenue to be collected by source and operational and capital expenditure by vote as well as service delivery targets and performance indicators for each quarter; and any other matters that maybe prescribed and includes any revisions of such plan. The SDBIP is a management, implementation and monitoring tool that aim to ensure execution of the budget, performance of senior management and the achievement of service delivery objectives of the municipality (MFMA, 2003). The SDBIP serves as a contract between the administration, council and community, expressing the goals and objectives set by council as quantifiable outcomes that can be implemented by the administration over a one-year period (Moloto, 2013).

The processes of IDP and SDBIP must occur concomitantly, this is to achieve the alignment and implementation of service delivery projects and programmes. Previously municipal officials were oblivious about the significance of aligning IDP and SDBIP. Moreover, these plans were neither viewed as tantamount in terms of projects implementation and execution of the annual budget. The challenge of aligning and integrating municipal and sectoral plans is also noted by Pieterse, Parnell, Swilling & van Donk (2008) who indicate that mu-

nicipalities are facing difficulties in terms of acquiring planning and budgeting information from sector departments. This obviously causes a struggle in planning and implementation of development programmes and projects, especially those related to poverty alleviation and service delivery (Madzivhandila & Asha, 2012). These inter-related challenges indicate the state of local government were planning is fragmented. The alignment between IDP and SDBIP is a prerequisite for municipalities in terms of the *Local Government: MSA (32 of 2000)* and *MFMA (56 of 2003)*. The significance of aligning IDP and SDBIP is to strategize how the municipality's vision and delivery of services can be achieved; therefore, aligning IDP and SDBIP is a key prerequisite for achieving service delivery. However, achieving such alignment does not guarantee effective delivery of services in municipalities. Most local municipalities can manage to align their IDP and SDBIP but service delivery remaining still in shamble. This situation is further exacerbated by lack of transparency at municipal level. Accountability is another pivotal element which is neglected by municipal functionaries; hence development projects and programmes are partially implemented. If one looks at South African historical perspective, it becomes vivid that service delivery is brought through projects and programmes; hence this article argues that in order for local municipalities to attain their service delivery mandate, a service delivery audit/monitoring must be conducted prior and subsequent the municipality's delivery of services. Importantly, the service

delivery audit must comprehend and take into cognizance the processes of Integrated Development Plan and Service Delivery and Budget Implementation Plan as preliminary development planning processes.

## **5. SERVICE DELIVERY MONITORING AS A TOOL FOR MONITORING MUNICIPAL PROJECTS AND PROGRAMME IMPLEMENTATION**

The Batho-Pele Principles were developed to serve as regulatory framework regarding service delivery in the public service. These principles are aligned with the constitutional ideals of:

- Promoting and maintaining high standards of professional ethics;
- Providing service impartially, fairly, equitably and without bias;
- Utilizing resources efficiently and effectively;
- Responding to people's needs; the citizens are encouraged to participate in policy-making; and
- Rendering an accountable, transparent and development-oriented public administration (Republic of South Africa, Independent Police Investigative Directorate, 2014)

These ideals give effect to the provision of services in the South African public sector, particularly at local government because this is where service delivery challenges are profound. However, the principles of accountability and transparency are still vague in many local municipalities, hence (Madzivhandila & Asha, 2012) emphasize

political and administrative conflict between tribal authorities and municipalities as an issue that affect the design and effectiveness of service delivery. It may well be asked how this situation came into being. As far as (Nyalungu, 2006) is concerned, legislative guidelines sought to ensure transparency and accountability in the management of local government have been inadequate in practice due to party politicization of development and participatory structures, lack of commitment towards prioritizing public consultation by municipalities, general lack of capacity among stakeholders, poor access to information and failure for municipalities to work closely with community-based organizations are crucial elements which contradicts with integrated development planning. This indicates that Integrated Development Planning is a complex and diverse process which requires agglomeration and participation of all stakeholders of development and planning.

Many local municipalities in South Africa have not attained Outcome 9 of the 12 Government Outcomes which were instigated by the National Planning Commission in 2010. Outcome 9 states that municipalities must provide a responsible, accountable, efficient and effective local government system. However, many local municipalities have not provided a responsible and accountable local government system; this is indicated by service delivery protests which are mounting in most rural local municipalities. Ghutto (2007) asserts that accountability is a hallmark of modern democratic governance. However, the position in which most local municipalities



find themselves in defies the premise of a democratic society which was envisaged by the first democratic president of South Africa. The article argues that the alignment between IDP and SDBIP is paramount; however achieving the alignment of these two plans does not guarantee effective municipal service delivery. Accordingly, service delivery monitoring must be initiated in all South African local municipalities. The significance of a service delivery audit is to deal with partial implementation of development projects and programmes in local municipalities. Additionally, it will enforce accountability at local government and also assist to fast-track development in local municipalities. Mafunisa (2007) asserts that the Public Protector has the power to investigate any conduct of the state of affairs in any spheres of government that is alleged or suspected to be improper or to result in any impropriety or prejudice.

Hussain (2011) on the other hand stated that the office of the Auditor-General is an important mechanism for improving accountability in government, including local government. Therefore, the office of the Public Protector and Auditor-General are viable institutions to enhance accountability and a strong deterrent unaccountable tendency in this regard (Mashamaite, 2013). Although the office of the Auditor-General is more concerned with financial and performance accountability, it is through this office that the function of Service Delivery Monitoring can be extended and implemented. The service delivery auditor/monitor must guide and support municipalities prior and subsequent provision of services. Inter-alia a service delivery au-

ditor must report the discrepancies that are found during the process of service delivery monitoring. Essentially, the auditor must monitor the programmes and projects of Provincial priorities, interact with relevant Provincial Government Departments and Municipalities to confirm their understanding of the tools and monitoring approach, engage with the Directors of Departments at Regional level as part of verification and gathering details, be the face of Office of the Premier at district level, interface with Municipal Managers, hold coordination meetings at the district Municipal offices to ensure participation of Government Departments, visit all relevant sites to confirm Service Delivery, make use of the verification tool and engage with beneficiaries and relevant stakeholders.

Unequivocally, a comprehensive auditing and monitoring must be based on service delivery failure, incomplete service provision, bottlenecks on service delivery projects and programmes, project specifications and the quality of material used. These defects must be reported to the Auditor-General for intervention. The Service Delivery Auditor/Monitor must be based at the office of the Auditor-General and must report directly to the Auditor-General. This is to avoid biasness and political influence by the municipal officials. The premise for undertaking a service delivery monitoring in South African local municipalities is to accelerate service delivery to municipalities. Local government in South Africa is required by the supreme law of the country to promote sustainable development, poverty reduction, employment creation and transformation of space economy through implementation of development projects and programmes. This can only be

achieved through the alignment of strategic planning instrument (IDP), a plan for implementing the municipality's delivery of services and its annual budget (SDBIP) and a full service delivery monitoring and monitoring. This will ensure accountability and transparency in local municipalities and it will restore trust between communities and their municipalities.

## 6. CONCLUSION

Despite the fact that intergenerational research papers and multi-country reports expressed the alignment between IDP and SDBIP as key, many South African local municipalities are still experiencing perpetuating service delivery challenges. This is mainly because municipal officials and service providers lack transparency and accountability when delivering services to communities. Service provision in the contemporary society is profit driven rather than results oriented. This problem is increased by failure to align IDP and SDBIP; hence the article suggests a service delivery monitoring as a vital mechanism to deal with this challenge. The office of the Auditor-Gen-

eral, Public Protector and Office of the Premier are key institutions which can operationalize this function, thus, it is important for the service delivery monitor to report directly to these institutions. The service delivery monitor must be proficient with IDP and SDBIP processes; this is to avoid discrepancies and oversights that might arise during the process of service delivery monitoring. The alignment between IDP and SDBIP must be perceived as leeway for project implementation. Moreover, they must occur concomitantly in order for municipalities to incorporate service delivery projects and programmes in their annual budget. However, there is a need to understand the close and mutually reinforcing relationship between planning, implementation and monitoring. Therefore, it is important to carry out a service delivery monitoring as a monitoring tool for enhancing legitimate provision of municipal services in South Africa because the objectives and priorities for National and Provincial governments can be achieved through credible IDPs, SDBIP and a service delivery monitoring.

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# THE EFFECT OF MACROECONOMIC VARIABLES ON INFLATION: A CASE FOR SOUTH AFRICA.

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## ABSTRACT

*The purpose of this paper is to determine the effect of exchange rate, unemployment and economic growth on inflation in South Africa. The paper further analyses the performance of the selected macroeconomic variables before and after the adoption of inflation targeting framework in February 2000. The model is estimated by using the cointegration and causality analysis. The long-run equilibrium relationship between the variables will be captured by employing Johansen cointegration method and the vector error correction model (VECM) is employed to determine the short-run equilibrium relationship between the variables. The Engle-Granger causality test was used to analyse causality among the variables and the Impulse Response Function was also from exogenous shock in the economy. The results unveil the prevalence of a positive relationship between inflation and exchange rate. This implies that when the Rand depreciate against the US dollar in the foreign exchange market, inflation rate increases in the home country. The results further indicate that inflation is negatively related to unemployment and economic growth. This implies that policy makers in South Africa are been faced with the trade-off between inflation and unemployment.*

**Keywords:** Inflation, Exchange rate, Unemployment, Economic Growth, Cointegration, Vector error correction model (VECM)

## 1. INTRODUCTION

Economic growth of a country depends to a large extent on the nature and quality of economic policy such as fiscal policy and monetary policy. South Africa as a developing country has the pursuit to achieve high level of economic growth, reduction of the level of unemployment, equal distribution of income, stability on prices and stable balance of payments. Policies have been suggested and implemented to ad-

dress the issue of unemployment and economic growth, but still the unemployment level is very high and the economy is growing at a slower pace. South Africa formally introduced inflation targeting framework in February 2000, after announcing the intention to adopt the framework in August 1999 (South African Reserve Bank, 2014). Before adopting inflation targeting framework, the South African Reserve Bank (SARB) had

adopted a number of frameworks. These include the exchange rate targeting, the discretionary monetary policy, the monetary-aggregate targeting and the eclectic approach (SARB, 2014).

Statistics South Africa (Stats SA) reported that the unemployment rate for 2015 fourth quarter is 24.5% and the gross domestic product (GDP) growth rate is 0.6% (Stats SA, 2016). This proves the fact that the economy is not responding very well when coming to the issue of unemployment and economic growth. In the case of inflation, Stats SA reported that the consumer price index (CPI) for January 2016 was 6.2% and the producer price index (PPI) was 7.6%. The target for inflation in South Africa ranges between 3 to 6% and clearly both the CPI and PPI for January 2016 were above the target. It is acknowledged that monetary policy cannot contribute directly to economic growth and job creation in the long-run, but the policy can play a very important role in the attainment of economic development (SARB, 2014). The Reserve Bank can achieve this by creating a stable financial environment. It is with no doubt to acknowledge that various studies have explored the relationship between exchange rate, unemployment, economic growth and inflation. However, majority of the studies did not focus on the performance of the selected macroeconomic variables before and after the adoption of inflation targeting framework.

In essence, the ultimate aim of this paper is to determine the effect of macroeconomic variables on inflation in South Africa.

The paper also pays attention on the performance of the selected variables before and after the adoption of inflation targeting framework. The paper has been structured as follows: section 2 contains the literature review; section 3 contains the methodology applied in the paper; section 4 presents the results and findings of the paper and lastly section 5 concludes the paper.

## **2. LITERATURE REVIEW**

### **2.1 Theoretical framework**

Many economies have become more dependent on exports due to slow domestic growth and hoping that a relative, weaker exchange rate would allow export goods to become more competitive (Kaiser and Wroughton, 2010). Owen (2005) also agrees that currency weakness is viewed as a pursuant of a strategy of export-led growth to many developing countries. This follows from the argument that a weaker home currency would reduce the price of exports making them cheaper in comparison to competitors within the export market (Musasa & Rosen, 1978; Auer & Chaney, 2009). According to Owen (2005), the economy that grows as a result of greater demand of exports encourages higher domestic production and this boost employment level in the domestic country. Todaro and Smith (2009) argued that a weak rand may have negative consequences on the economy. The argument was based on the fact that aggregate demand for domestically produced goods may cause price inflation as a result of lower exports prices. According to Rowbotham (2011), a weak currency does not improve export performance and economic growth. Rowbotham (2011) ar-

gued that exports growth is associated with a stronger, relative floating exchange rate in efficiency-driven economies

Unemployment is one of the serious social and economic problems faced by South Africa. The costs of unemployment in the society are so obvious that everyone in the society can understand. The society as a whole loses from unemployment because total production in the country is below its potential level (Dornbusch and Fisher, 1990). Inflation is been experienced in each and every country in the world but the rates of inflation differs from country to country. The most common thing about this phenomenon is that it brings unpredictable gains and losses to borrowers and lenders, workers and employers, and it also diverts resources from producing goods and services to predicting inflation (Parkin et al, 1997). According to Hyman (1992) inflation can make it difficult to plan for the future and can adversely affect the purchasing power of income and savings.

Economic growth is the most important measure of the performance of an economy because generally it involves an increase in the volume of goods and services that the economy produces over a period of time (Nell, 2000). Usually the growth of an economy contributes positively to economic development as well as improvement in the standard of living. The exchange rate plays a vital role in a country's level of trade and other transactions with economic agents in other countries. The stability of the exchange rate is also important for economic growth and stabil-

ity in the economy, especially for countries such as South Africa in which the exchange rate fluctuates frequently. A study by Rodrik (2003) denote that if the exchange rate is preserved at a level competitive enough to encourage firms to participate in the global market, firms will invest more, hire more, and expand production. In South Africa, exports are a major source of demand for domestically produced goods and therefore also of production, income and employment in the domestic economy (Mohr & Fourie, 2005). Theoretically, it is accepted that a depreciated currency leads to a higher demand of the domestic goods and consequently a higher level of output and employment in the economy. However, a large portion of domestic spending in South Africa is on imported goods and services, particularly on capital and intermediate goods required by domestic industries. Meaning a strong Rand can provide an added advantage when buying capital and intermediate goods from foreign firms.

The concept of a weak rand versus a strong rand has been a subject of debate from 2011 by both the government, business sector and the labour unions. However, the debate on whether the South African government should take measures to devalue the rand in order to improve its economic growth and the level of unemployment is another topic to be researched. There can be favourable or unfavourable consequences of the exchange rate fluctuations on macroeconomic variables of a country depending upon the shared relationship (Rehman, 2014). However, the perfor-

mance of macro economy also influences the exchange rate fluctuations.

## 2.2 Empirical evidence

Ezirim, Amuzie and Emenyonu (2012) used the vector autoregressive (VAR) model to research about the long-run equilibrium relationship between exchange rates and inflation in Nigeria. The results estimated a long-run equilibrium relationship between the exchange rate and the CPI. Using monthly data from November 2001 to November 2010, Ziran, Qin, and Shouyang (2013) employed Cointegration tests and vector error correction model (VECM) to capture the relationships among the Chinese RMB exchange rate, US-China bilateral trade, and the US unemployment rate. The results indicated that the US unemployment rate is negatively correlated with the Chinese Renminbi exchange rate. Kamin (1997) compared the response of inflation to changes in exchange rate competitiveness in various regions of the world. The results also provided that an empirical relationship exist between the rate of inflation and the level of real exchange rate. Furouka (2008) used VECM to study the relationship between unemployment and inflation and discovered that there is an existence of cointegration but no causal relationship was found between the variables.

Berentsen, Menzio and Wright (2011) developed a theory in which both labour market and goods market were modelled using the search and bargaining approach. The study was aimed at determining the long-run relation between unemployment and monetary policy. The results indicated that

unemployment is positively related to inflation and interest rates in the low-frequency data. A study by Conway *et al* (1998) also reached a conclusion that if there is any change in exchange rate, it will bring a rapid change in the rate of inflation.

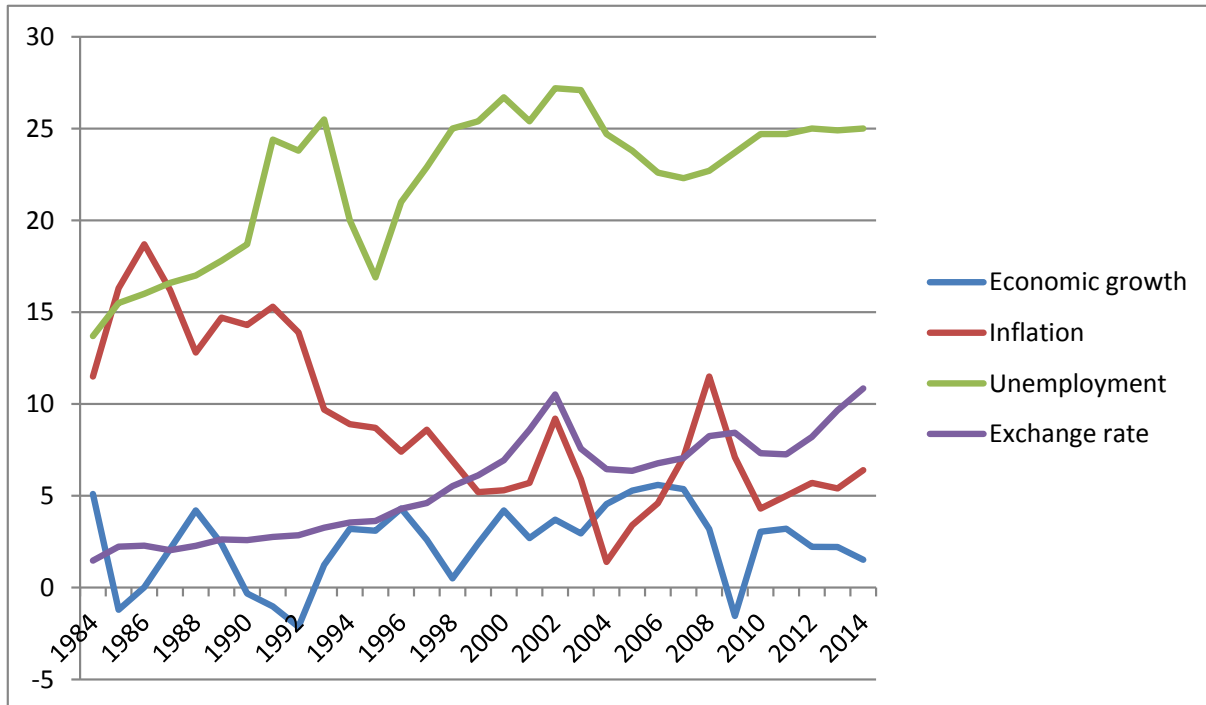
Herman (2010) studied inflation and unemployment in the Romanian economy. With the help of a Phillips curve relation type, the results on the evolution of inflation and unemployment in Romania between 1990 and 2009 could not be noticed. However, the results of the statistical analysis showed that between unemployment and inflation, one cannot identify a stable statistically significant relationship because the economic policies applied did not aim directly at the decrease of inflation rate based on the increase in unemployment. Herman (2010) further argued that in the short-run, it does not mean that there is no trade-off between inflation and unemployment. The results also suggested that there was a very strong and direct correlation between inflation and unemployment between 2000 and 2009. During this period, Romania experienced a decrease in unemployment as well as in inflation. The study concluded by recommending that in order to maintain inflation as well as unemployment at a low level, the fundamental economic relationship between salaries and productivity must be respected. This implies that pay rises should be based on the increase in the labour productivity.

As it was already pointed out earlier, majority of the studies focused on the relationship between the selected variables not



the performance of the variables before and after the adoption of the inflation targeting framework. From the literature reviewed, evidence point out that there are mixed results from different studies with regard to the exchange rate, unemployment, economic growth and inflation

### 2.3 Trends of the variables before and after the adoption of inflation targeting framework



Source: Author's calculations

Figure 1 shows the performance of the selected variables before and after the adoption of inflation targeting framework in South Africa. Economic growth started very well at a rate of 5% in 1984. Between 1985 and 1986 the growth of the economy went below zero. From 1986 to 1999, economic growth has been fluctuating between -2.14% and 4.3%. This was before the adoption of inflation targeting framework. South Africa experienced a very low growth rate in 1992, where the rate was estimated at -2.14%. From 1993 to 1999, the growth rate was above 0.5%, reaching the highest at 4.3% in 1996. From 2000 until 2013, the growth rate has been fluctuating between 2% and 5.59%, except in 2009 where the growth rate was -1.54%. After the adoption of inflation targeting framework (except in 2009), economic growth has been above 1%.

Inflation rate started at a rate of 11.5% in 1984. From 1984 to 1992, inflation rate has been above 10%. The rate went below 10% in 1993 until 1999, ranging between 6% and 10%. After the adoption of the framework, inflation was controllable in the country, except in 2002 and 2008, where the rates were 9.2% and 11.5% respectively.

From 1984 to 1990, the unemployment rate in South Africa has been ranging between 13.7% and 18.7%. However, the rate has been above 20% from 1991 until 2014 (except in 1995 where the rate was 16.9%). Before the announcement of the intentions to adopt inflation targeting framework, the exchange rate between South African Rand and US dollar

was less than R5 per \$1. After the adoption of the framework, the exchange rate between the two currencies has been fluctuating above R6 per \$1, reaching R10.85 per \$1 in 2014.

### 3. METHODOLOGY

This paper employed Johansen cointegration test and VECM to capture the relationship between the variables. The Augmented Dickey-Fuller (ADF) test will be used to check the unit root for time series data. The Engle-Granger causality test is also employed to determine the causality effect amongst the variables. Diagnostic tests will also be performed to check the existence of serial correlation and heteroscedasticity in the time series. The paper will also perform stability tests to check whether the model is correctly specified. In conclusion, the paper will carry out the impulse response function.

This section is structured as follows; Data collection will be discussed first. This will be followed by the discussion of Data analysis which includes the following: unit root tests,

$$IF = f(EX, UN, EG) \dots\dots\dots 1$$

and as a linear equation,

$$IF_t = \beta_0 + \sigma_1 EX_t + \sigma_2 UN_t + \sigma_3 EG_t + \varepsilon_t \dots\dots\dots 2$$

where:

$\beta_0$  = Constant

$IF$  = Inflation rate

$EX$  = Exchange rate

$UN$  = Unemployment rate

$EG$  = Economic Growth

$\sigma$  = Parameters of the model with all real numbers

$\varepsilon$  = Error term

Johansen cointegration test, VECM, the Engle-Granger causality test, Diagnostic tests, Stability tests and the Impulse Response Function.

### 3.1 Data collection

The paper employed annual time series data covering the period 1984 to 2014. Data for economic growth has been obtained from the World Bank and data for inflation and unemployment has been obtained from Stats SA. On the other hand, data for exchange rate has been obtained from the South African Reserve Bank.

### 3.2 Data analysis

The model of the paper consists of four variables with annual time series data, namely: inflation, economic growth, exchange rate and unemployment. In the model, inflation is been regarded as the dependent variable, with unemployment, economic growth and exchange rate been regarded as the independent variables. The equation of this model can be expressed as follows:

### 3.2.1 Unit root test

As the model contains economic variables of a time series nature, the empirical analysis will start by examining the statistical properties of these variables. The essence of analysing these properties is to determine if the variables in the model are stationary, so as to avoid spurious regression which might lead to a high R<sup>2</sup> and thus, misleading results (Asteriou and Hall, 2011). There are various tests that can be utilised to declare as to whether a particular series is stationary or exhibits the incidence of unit root (Khumalo and Mongale, 2015). This paper employed the Augmented Dickey-Fuller (ADF) to test for stationarity. The golden rule says the data become stationary if the probability value is lower than 5% level of significance. When running the ADF

test, the main focus will be on the probability values, critical values and the t-statistics values. If the critical values are lower than the values of the t-statistics at different levels of significance, the null hypothesis is not rejected. Meaning there is a unit root or the time series data is not stationary. But if the critical values are greater than the t-statistics at different levels of significance, the null hypothesis is rejected. Meaning there is no unit root. If variables are stationary in a model, they will tend to have a constant variance and some elements of autocorrelation over time (Noula, 2012). The paper tests each time series individually to ensure non-stationarity at the levels of the data, and also run the unit root tests on the first differences to ensure I (1). The equation for ADF is given by:

$$\Delta y_t = \alpha_0 + \beta t + \gamma y_{t-1} + \delta_1 \Delta y_{t-1} + \dots + \delta_{p-1} \Delta y_{t-p+1} \dots \dots \dots 3$$

where  $\alpha$  is the constant,  $\beta$ , the coefficient on a time trend and P is the lag order of the autoregressive process. In order to select the optimal lag length for the model, the log-likelihood function must be maximised (Maggiore and Skerman, 2009).

### 3.2.2 Johansen cointegration test

The paper employed Johansen cointegration approach to determine the short-run and long-run relationship among the variables. According to Gujaratti (2004), Johansen's method takes a starting point from the VAR representation of the variables:

$$\mathbf{X}_t = \boldsymbol{\mu} + \mathbf{M} \mathbf{X}_{t-1} + \sum_{i=1}^{p-1} \boldsymbol{\Gamma}_i \mathbf{X}_{t-i} + \boldsymbol{\varepsilon}_t \dots \dots \dots 4$$

where  $\mathbf{X}_t$  is an  $n$  vector of variables that are integrated of order of one—commonly denoted by I(1) and  $\boldsymbol{\varepsilon}_t$  is an  $n$  vector of innovations. If the coefficient

matrix  $\boldsymbol{\mu}$  has a reduced rank  $r < n$ , then there exist  $n-r$  matrices  $\boldsymbol{\alpha}$  and  $\boldsymbol{\beta}$  each with rank  $r$  such that  $\boldsymbol{\alpha} \boldsymbol{\beta}'$  and  $\mathbf{X}_t$  is stationary, whilst  $r$  is the number of cointegrating relationships.

The Johansen cointegration approach depends on two different likelihood ratio tests of

the reduced rank of the matrix; namely, the trace test and the maximum eigenvalue test.

The Trace test is given by:

$$\lambda_{trace}(r) = -T \sum_{i=r+1}^n \ln(1 - \hat{\lambda}_{r+1}) \dots \dots \dots 5$$

The maximum eigenvalue test is given by:

$$\lambda_{max}(r, r+1) = -T \ln(1 - \hat{\lambda}_{r+1}) \dots \dots \dots 6$$

where:  $T$  is the sample size, and  $\hat{\lambda}_i$  is the  $i$ th largest canonical correlation.

$\beta^1$ , represent the matrix of cointegrating vectors

$\alpha$ , represent the speed of adjustment coefficients

$r$ , represent the number of cointegrating relationships

$\Pi$ , determines the extent to which the system is cointegrated and is called the impact.

### 3.2.3 The Vector Error Correction Model (VECM)

The purpose of the vector error correction model in this study is to determine the short-run relationship between the variables. The VECM will only be carried out if there is cointegration between the variables from the Johansen cointegration test.

Model specification:

$$\Delta X_t = \beta_{x0} + \beta_{x1} \Delta_{t-1} + \beta_{x1} \Delta P^1_{t-1} + \beta_{x2} \Delta P^2_{t-1} + v^x_t \dots \dots \dots 7$$

$$\Delta P^1_t = \beta_0 + \beta_{1x1} \Delta_{t-1} + \beta_{111} \Delta P^1_{t-1} + \beta_{121} \Delta P^2_{t-1} + v^1_t \dots \dots \dots 8$$

$$\Delta P^2_t = \beta_0 + \beta_{2x1} \Delta_{t-1} + \beta_{211} \Delta P^1_{t-1} + \beta_{221} \Delta P^2_{t-1} + v^2_t \dots \dots \dots 9$$

Where:  $\Delta X_t$  represent the unemployment variable,  $\Delta P^1_t$  represent the exchange rate variable and  $\Delta P^2_t$  represent the inflation variable.  $\beta$  Represent the coefficients of the variables,  $\Delta_{t-1}$  represent the tests for unit root, while  $(v^x_t, v^1_t, v^2_t)$  represents the VECM error terms.

### 3.2.4 The Engle-Granger causality test

The concept of Granger causality starts with the premise that the future cannot cause the past. If event A occurs after event B, then A cannot cause B. Granger (1969) applied this concept to economic time series to determine whether one time series "causes" in the

sense of precedes another. However, merely because event A occurs before B does not mean that A causes B. Therefore the Granger causality test will also be used to determine if there is causality between the variables as well as which one actually causes or predicts the other. It is stated that, if the probability value is significant at 5%, then the null hypotheses can be rejected.

Model specification:

$$INF_t = \sum_{i=1}^n \alpha_i INF_{t-i} + \sum_{j=1}^n \beta_j \mathcal{K}_{t-j} + \sum_{k=1}^n \beta_k \mathcal{N}_{t-k} + \sum_{m=1}^n \beta_m \mathcal{E}_{t-m} + u_t \dots\dots\dots 10$$

$$\mathcal{K}_t = \sum_{i=1}^n \alpha_i \mathcal{K}_{t-i} + \sum_{j=1}^n \beta_j INF_{t-j} + \sum_{k=1}^n \beta_k \mathcal{N}_{t-k} + \sum_{m=1}^n \beta_m \mathcal{E}_{t-m} + u_t \dots\dots\dots 11$$

$$\mathcal{N}_t = \sum_{i=1}^n \alpha_i \mathcal{N}_{t-i} + \sum_{j=1}^n \beta_j \mathcal{K}_{t-j} + \sum_{k=1}^n \beta_k INF_{t-k} + \sum_{m=1}^n \beta_m \mathcal{E}_{t-m} + u_t \dots\dots\dots 12$$

$$\mathcal{E}_t = \sum_{i=1}^n \alpha_i \mathcal{E}_{t-i} + \sum_{j=1}^n \beta_j \mathcal{K}_{t-j} + \sum_{k=1}^n \beta_k \mathcal{N}_{t-k} + \sum_{m=1}^n \beta_m INF_{t-m} + u_t \dots\dots\dots 13$$

where:  $INF_t$  = Inflation Rate

$\mathcal{K}_t$  = Exchange Rate

$\mathcal{N}_t$  = Unemployment Rate

$\mathcal{E}_t$  = Economic Growth

$U_t$  = Error term

### 3.2.5 Diagnostic tests

In order to ensure that the results from the econometric models yield true estimates, the researcher will perform diagnostic tests. The paper will carry out the Jarque-Bera test to check if the residuals are normally distributed. This is followed by Breauch-Godfrey and Breauch-Pegan-Godfrey to test for serial correlation and heteroscedasticity respectively.

### 3.2.6 Stability test

For stability test, the study will employ both Ramsey RESET and the Cusum Test

### 3.2.7 The Impulse Response Function

The purpose of this test is to trace out the response of the current and future values of each of the variables to a one unit increase in the current value of one of the VAR errors. The impulse response function show the effects of an exogenous shock on the whole process over time.

## 4. EMPIRICAL RESULTS

### 4.1 Unit root test

**Table 1: Unit root analysis**

VARIABLES		ADF	
		Levels	1st Difference
INFLATION	Intercept	-2.119781	-5.05949***
	Trend & intercept	-3.035559	-5.070710***
	None	-0.779536	-5.542853***
EXCHANGE RATE	Intercept	-1.649193	-4.998518***
	Trend & intercept	-2.052491	-4.789407***
	None	1.891169	-4.541282***
UNEMPLOYMENT	Intercept	-2.664521*	-4.863388***
	Trend & intercept	-2.524863	-4.876743***
	None	0.997623	-4.832928***
ECONOMIC GROWTH	Intercept	-3.514532***	-6.408978***
	Trend & intercept	-3.868826***	-3.524178*
	None	-2.362458***	-6.536699***

All the variables are tested for stationarity using the ADF unit root test.

\* denotes the rejection of the null hypotheses at 10% level of significance

\*\* denotes the rejection of the null hypotheses at 5% level of significance

\*\*\* denotes the rejection of the null hypotheses at 1% level of significance

Source: Author's calculations

The results from the ADF tests indicate that the null hypothesis of a unit root process for the series inflation, exchange rate and unemployment cannot be rejected because they exhibit the presence of a unit root at level form. However, unemployment rejected the null hypothesis at 10% level of significance at intercept. Economic growth also rejected the null hypothesis at 5% and 10% level of significance for intercept, trend and intercept, and none. All the series appears to be stationary at first difference, even though economic growth rejected the null hypothesis only at 10% level of significance on trend and intercept.

#### 4.2 Johansen cointegration test

The Trace test and the Maximum Eigenvalue are carried out to test for cointegration amongst the variables. Table 2 and 3 presents the results from the Trace test and Maximum Eigenvalue respectively. The results indicate that there is 1 cointegrating equation at 5% level of significance, meaning the null hypothesis of no cointegration between the variables can be rejected. This provides more evidence that there is a long-run relationship between inflation, exchange rate, economic growth and unemployment in South Africa.

Table 2: Unrestricted Cointegration Rank Test (Trace)

<b>Hypothesized No. of CE(s)</b>	<b>Eigenvalue</b>	<b>Trace Statistic</b>	<b>Critical Value @5%</b>	<b>Prob.**</b>
<b>None *</b>	<b>0.649489</b>	<b>55.11334</b>	<b>47.85613</b>	<b>0.0090</b>
<b>At most 1</b>	<b>0.475138</b>	<b>25.75918</b>	<b>29.79707</b>	<b>0.1361</b>
<b>At most 2</b>	<b>0.235297</b>	<b>7.709807</b>	<b>15.49471</b>	<b>0.4969</b>
<b>At most 3</b>	<b>0.007058</b>	<b>0.198321</b>	<b>3.841466</b>	<b>0.6561</b>

Trace test indicates 1 cointegrating eqn(s) at the 0.05 level

\* denotes rejection of the hypothesis at the 0.05 level

\*\* MacKinnon-Haug-Michelis (1999) p-values

**Table 3: Unrestricted Cointegration Rank Test (Maximum Eigenvalue)**

Hypothesized No. of CE(s)	Eigenvalue	Max-Eigen Statistic	Critical Value @5%	Prob. <sup>**</sup>
None <sup>*</sup>	0.649489	29.35415	27.58434	0.0293
At most 1	0.475138	18.04938	21.13162	0.1280
At most 2	0.235297	7.511486	14.26460	0.4305
At most 3	0.007058	0.198321	3.841466	0.6561

Trace test indicates 1 cointegrating eqn(s) at the 0.05 level

\* denotes rejection of the hypothesis at the 0.05 level

\*\* MacKinnon-Haug-Michelis (1999) p-values

Source: Author's calculations

**Table 4-4 Normalised cointegrating equation**

Normalised cointegrating coefficient (Standard error in parentheses)			
IF	EX	UN	E.g.
1.000000	-0.370251	0.541868	0.212113
	(0.18514)	(0.50868)	(0.03661)

Source: Author's calculations

Source: Author's calculations

Inflation rate (IF) normalised to unity as endogenous variable of the regression. With the estimated cointegrated vector, the associated coefficients represent the long-run equilibrium relationship. The cointegrated vector is expressed as follows:

$$IF + EX + UN + EG = 0 \dots\dots\dots 14$$

$$\text{Thus: } IF - 0.370251EX + 0.541868UN + 0.212113EG = 0 \dots\dots\dots 15$$

$$IF = 0.370251EX - 0.541868UN - 0.212113EG \dots\dots\dots 16$$



Equation 16 indicates the existence of a long-run positive relationship between inflation and exchange rate. This implies that a 1% Rand depreciation against the US dollar will lead to 0.37% increase in the rate of inflation. In the same logic, a 1% decrease in inflation will appreciate the value of the Rand per US dollar by 0.37%. In line with economic theory, the positive relationship between inflation and exchange rate is associated with price inflation in the economy. These support the idea that a weak Rand will affect the economy in a negative way. Equation 16 further indicates that economic growth and unemployment are negatively related to inflation. A 1% change in inflation will lead to 0.54% and 0.21% change in unemployment and economic growth respectively.

### 4.3 VECM

The results from VECM indicate that the variables are able to adjust back to equilibrium after an external shock. This is indicated by the value of the cointegrating coefficient, which is -0.250894. The estimated coefficient of -0.250894 indicates that about 29% of this disequilibrium is been corrected annually. The coefficient of correlation (R-squared of around 58%) of the series reveals that the VECM significantly translate short-term adjustments in all four variables and it explains adjustments in all series according to short run changes. Based on the complete VECM results, the error correction terms indicate that inflation rate, unemployment, economic growth and exchange rate substantially adjust to long run shocks affecting natural equilibrium.

**Table 4: Summary of VECM Estimates**

Variables	Coefficients	Standard Error	t-statistics
D(IF)	0.157022	0.27872	0.56337
D(EX)	1.57311	0.61440	2.56042
D(UN)	-1.099378	0.86038	-1.27778
D(EG)	0.056853	0.05067	1.12191
CointEq1	-0.250894	0.34213	-0.73332
Constant	0.004651	0.08477	0.05486

R-squared = 0.553610

**Source: Author's Calculations**

#### 4.4 Engle-Granger causality test

The results from Engle-Granger causality test indicates that exchange rate Granger cause inflation but inflation does not Granger cause exchange rate. The results also indicate that unemployment Granger cause inflation but inflation does not Granger cause unemployment. Row 4 shows that economic growth does not cause inflation but inflation does Granger cause economic growth. The results further indicate that there is no causality between unemployment and exchange rate. This also applies to economic growth and exchange rate. On the issue of economic growth and unemployment, the results indicate that economic growth does not Granger cause unemployment but unemployment does Granger cause economic growth

**Table 5: Summary of the results from Engle-Granger causality tests**

##### Pairwise Granger Causality Tests

Date: 03/23/16 Time: 10:13

Sample: 1984 2014

Lags: 2

Null Hypothesis:	Obs	F-Statistic	Prob.
LNEX does not Granger Cause LNIF	29	12.7732	0.0002
LNIF does not Granger Cause LNEX		2.07453	0.1476
LNUN does not Granger Cause LNIF	29	4.75052	0.0183
LNIF does not Granger Cause LNUN		0.14813	0.8631
EG does not Granger Cause LNIF	29	0.29722	0.7456
LNIF does not Granger Cause E.g.		3.94554	0.0330

<b>LNUN does not Granger Cause</b>			
LNEX	29	1.00802	0.3799
LNEX does not Granger Cause LNUN		1.54588	0.2336
<b>EG does not Granger Cause LNEX 29</b>			
LNEX does not Granger Cause E.g.		1.78726	0.1890
<b>EG does not Granger Cause LNUN 29</b>			
LNUN does not Granger Cause E.g.		3.31433	0.0536

#### 4.5 Diagnostic tests

The diagnostic test in table 6 reveals that residuals are normally distributed. The results from Breusch-Godfrey and Breusch Pagan-Godfrey indicate that there is no serial correlation and heteroscedasticity. The Ramsey RESET test for stability also indicates that the model is correctly specified.

**Table 6: Summary of diagnostic tests results**

TEST	Ho	P-VALUE	CONCLUSION
Jarque-Bera	Residuals are normally distributed	0.400355	Do not reject Ho since PV is < 5% L.O.S
Breusch-Godfrey	No serial Correlation	0.2805	Do not reject Ho since PV is > 5% L.O.S
Breusch-Pagan-Godfrey	No Heteroscedasticity	0.4057	Do not reject Ho since PV is > 5% L.O.S
Ramsey RESET	The model is correctly specified	0.8482	Do not reject Ho since PV is > 5% L.O.S

Source: Author's calculations

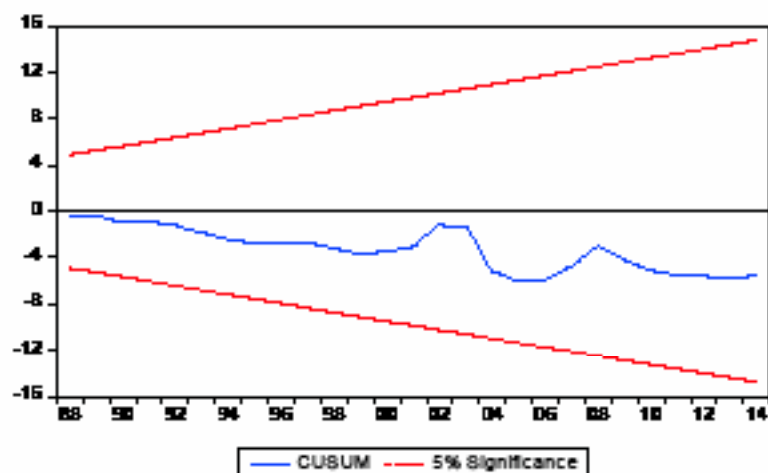
NB: PV = Probability Value

L.O.S = level of significance

## 4.6 Stability test

The CUSUM test on figure 1 illustrates that the model is fairly stable as the cumulative sum moves inside the critical lines. This movement between the lines of significance at 5% is therefore an indication of stability

**Figure 1: The CUSUM test**

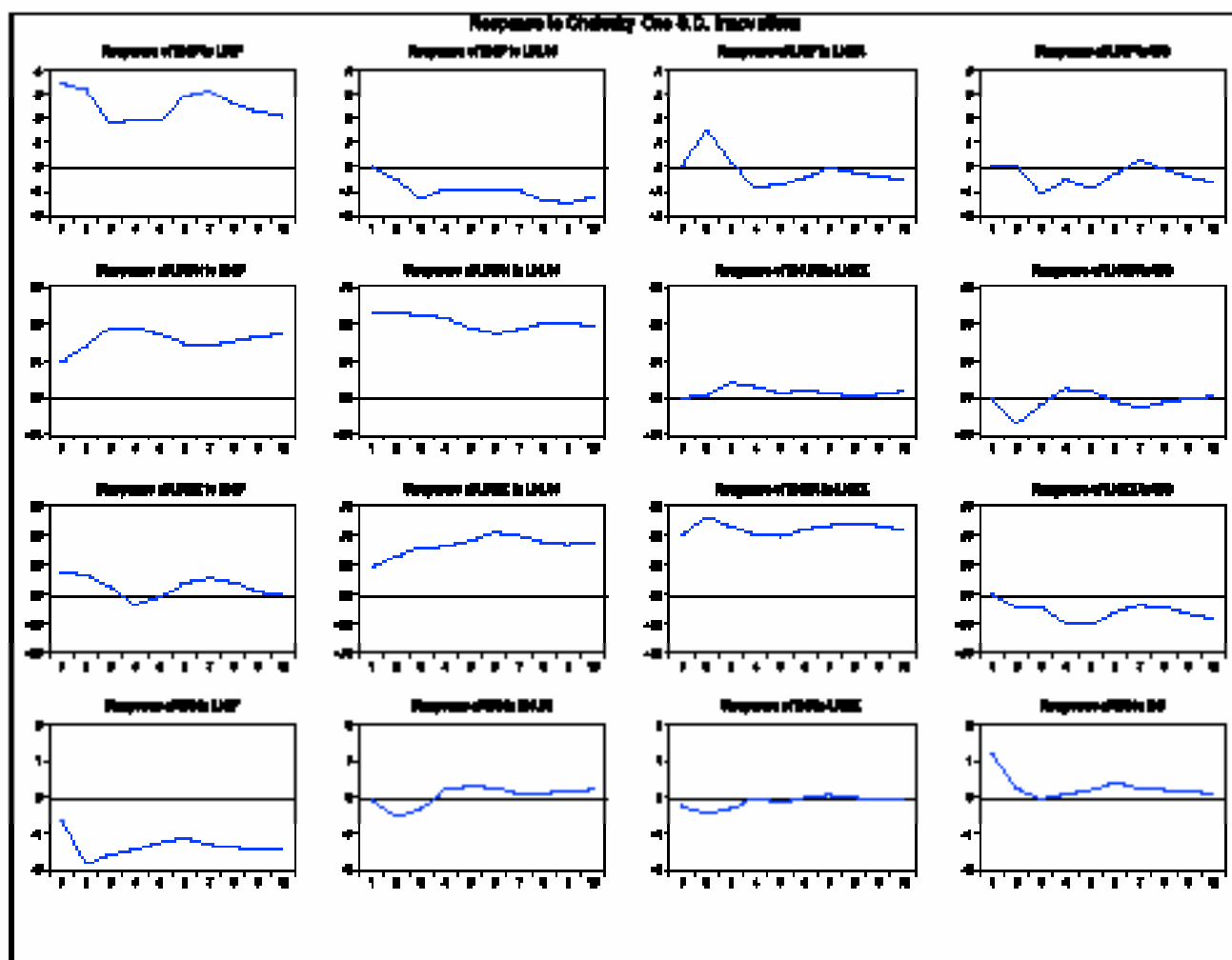


## 4.7 The Impulse Response Function

Impulse response function shows how one variable responds over time to a single innovation in itself or another variable. The response of inflation to inflation is positive, while the response to unemployment becomes negative at period 2 and 3 until the end period. Inflation start by responding positively to exchange rate, reaches maximum at period 2, and then becomes negative at period 4 until the end period. It also respond negatively to economic growth.

Unemployment respond positively to a shock on inflation, unemployment and exchange rate. A response of unemployment to economic growth is negative at period 2, becomes positive at period 4 but hovers around zero untill the end of period. Exchange rate respond positively to a shock on unemployment and exchange rate. The response to economic growth is negative, while the response to inflation becomes negative at period 4, and then start hovering around zero until the end period. Economic growth respond negatively to inflation

**Figure 2: The Impulse Response Function**



## 5. Concluding remarks

This paper determined the effect of macroeconomic variables on inflation in South Africa. The paper adopted the vector error correction model and the Engle-granger causality test. Johansen cointegration approach was also applied in the estimation of the model. The paper covered the period 1984-2014. The results from Johansen cointegration test indicate that there is 1 cointegrating equation between the variables. This confirms that there exist a long-run relationship between exchange rate, economic growth, unemployment and inflation in South Africa. The nature of the relationship was presented by the vector error correction model. The results from vector error correction model indicate a positive relationship between the exchange rate and inflation. This implies that a depreciation of the rand in the foreign exchange market leads to an increase in inflation. The results also indicate that inflation is negatively related to unemployment and economic growth. The implications of this results is that policy makers in South Africa are been faced with the challenge of the trade-off between unemployment and inflation.

Theory and empirical literature has proven that the exchange rate, unemployment and inflation play an important role on the level of GDP in the South African economy. The paper therefore makes recommendations to policy makers in South Africa to adopt policies that will balance the performance of these macroeconomic variables without compromising

anything. This can be achieved by implementing policies that are aimed at increasing the level of production in the country.

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# CRITICAL ANALYSIS OF THE MILITARY OMBUDSMAN ACT 4 of 2012

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## **ABSTRACT**

*Since 1994, the South African National Defence Force has gone through a number of reforms, some minor and others major. The SANDF has seen among others the amalgamation of statutory and non-statutory forces, unionisation, a march to the Union Building by uniformed members, the introduction of the Defence Commission and the introduction of the Military Ombudsman Bill which was later signed into an Act. The establishment of ombudsman institutions the world over is given credence by the need to foster improved performance and enhance governmental accountability to the public in a way that nurtures the ideal of good governance. The origins of an ombudsman in the SANDF is found in the White Paper on Defence of 1996 and the Defence Review of 1998, which motivated for an Military Ombudsman to investigate complaints against the SANDF, inter alia, military personnel. It was envisaged that the ombudsman would address any military personnel matters which could not be resolved through other existing mechanisms. This paper examines the challenges in implementing the Military Ombudsman Act 2012, Act 4 of 2012, analyses available literature on ombudsman institutions, and explores available best practices to provide recommendations for the implementation of an Military Ombudsman in South Africa*

*Keywords : Ombudsman, Defence review, Military, Amalgamation.*

## **1. INTRODUCTION**

The National Defence Force (SANDF) has gone through, and is still going through, various reforms since 1994. A recent reform that has entered the military discourse is the Military Ombudsman Act 2012, Act 4 of 2012, (Hereafter the Act). The Constitution of the Republic of South Africa, 1996 (hereafter the Constitution) and the White Paper "Defence in a Democracy, 1996" are unambiguous in defining the "primary" function of the SANDF as that of defend-

ing and protecting the state, its territorial integrity and its people. The realisation of a democratic political system in South Africa has led to a new and very different national defence force. It is therefore; appropriate to say that more transparent and accountable administrative systems within the SANDF need to be implemented should defence in a democracy be at stake.

One of the most important concepts of defence in a democracy can be derived from



the White Paper on Defence, 1996 and the Constitution, which provide the imperative requirement to cultivate and nurture mutual trust and confidence in the public service and in the SANDF. There are various systems which support democracy and, in most cases, they address those questions which arise from the need to consolidate a democratic political system. However, uneasiness is often raised in connection with mutual trust and confidence in the SANDF. This uneasiness relates to:

- Grievance handling mechanisms in the SANDF;
- Control measures for maintaining and sustaining healthy civil-military relations in a democratic political system;
- Relevant avenues available for use by individual military personnel, once the traditional avenues of the Military Disciplinary Code and Defence Directives are exhausted; and
- Substitution of the traditional processes once they fail.

The aim of this paper is to highlight the challenges of a successful implementation of an Military Ombudsman in the South African context. Relevant to this aim is the need to elaborate on the history, roles, functions and responsibilities of the Military Ombudsman elsewhere in the world, in order to provide cardinal points for possible implementation in South Africa.

## **2. LITERATURE CONSULTED**

Apart from relevant reports in the media and official documentation, the author consulted a spectrum of literature on the topic. The literature used was, among oth-

ers, accredited articles in journals, comparative literature in books and chapters in books, literature on military legal matters, peer-reviewed journals and material available on websites. The above literature provided a thorough basis for the arguments presented here.

## **3. ORIGIN AND EVOLUTION OF THE OMBUDSMAN**

Ombudsman offices exist in many countries around the world. The ombudsman is an independent, impartial person with authority and responsibility to receive, investigate or informally address complaints and, when appropriate, make findings and recommendations and publish reports. An ombudsman works for the resolution of particular issues and, where appropriate, makes recommendations for the improvement of the general administration of the entities over which it has jurisdiction and also ensures that corrective action is undertaken, followed through and upheld.

Ombudsmen have long existed in different cultures throughout history – especially under the Islamic, Roman, Chinese, and Spanish systems. The modern roots of ombudsman-like institutions are traceable to the Swedish *Justitieombudsman* (Ombudsman for justice) established in 1809 (Seneviratne, 1994; Reif, 2004). Its primary role was to receive complaints from the public regarding any alleged bureaucratic misdeeds. The growing interest in ombudsman institutions over the years can be linked to the growth of the welfare state, especially after World War II when there was a renewed concern for protecting human rights and the growth of public education and participation (Seneviratne, 1994). Some theorists argue that South Africa reflects strong elements of a

welfare state, although others argue that it is a developmental state. The author concurs with the latter, since South Africa has shown a strong interventionist approach.

The introduction of an ombudsman has suited the transition from autocratic and military rule to democratic government elsewhere, while many developing nations have succumbed to pressure from the neo-liberal and international donor agencies to institute an ombudsman as part of the structural reforms to improve their governance credentials (Kuye & Kakumba, 208:157). Similarly, the need to exercise effective control of public agencies has become increasingly acute in the wake of large and complex governmental systems that impinge more and more on the lives and livelihoods of the people (Dirk, 2000). The rise of overgrown bureaucracies or "bloated" administrative systems that operate on the basis of an impersonal bureaucratic rationality has furthered the need for ways to address grievances or oversights in terms of individuals and groups.

In the Commonwealth, the introduction of an ombudsman in the first common law country, New Zealand, in 1962, sparked off a great deal of interest in the ombudsman concept throughout the world. Most countries, including those that escaped colonial subservience, have tended to introduce some version of modern Western bureaucratic administration, usually modelled on the administration of a particular colonial administrative model. In these countries, the trigger for the acceptance of the ombudsman concept in the early 1960 was a series of discussions among scholars and jurists, as a result of which Guyana in the Caribbean, Tanzania and Israel were among

the first countries to adopt such a system in 1966 (Mokgobu, 1999). The term "ombudsman" should only be used if six key criteria are met. These criteria are: independence of the ombudsman from those whom the ombudsman has the power to investigate, accessibility, fairness, public accountability, effectiveness and impartiality (Dirk, 2000:52).

#### 4. LEGISLATIVE FRAMEWORK

There is no statute directly applicable to the establishment of an ombudsman in the SANDF except the White Paper on Defence and the Defence Amendment Act 997, Act 4 of 1997 which does not say much about labour relations matters in the SANDF. The provision of the Labour Relations Act 1995, Act 66 of 1995 (LRA) expressly excludes members of the SANDF from its operation. However, section 23 (1) of the Bill of Rights of which the LRA is the principal legislative off-shoot, provides that "everyone has the right to fair labour practice." This includes defence force members. Section 23 of the Constitution provides states that:

- (1) Everyone has the right to fair labour practices.
- (2) Every worker has the right—
  - (a) to form and join a trade union;
  - (b) to participate in the activities and programmes of a trade union; and
  - (c) to strike.
- (3) Every employer has the right—
  - (a) to form and join an employers' organisation; and

(b) to participate in the activities and programmes of an employers' organisation.

(4) Every trade union and every employers' organisation has the right—

(a) to determine its own administration, programmes and activities;

(b) to organise; and

(c) to form and join a federation.

Given the nature of the SANDF, some of these constitutional obligations are not tolerated. Complaints arising from the Defence Force are dealt with in terms of the Individual Grievance Regulation and by a military investigator situated in the office of the Public Protector. Due to the uniqueness of the defence environment, the Department of Defence contended that this arrangement is insufficient and inefficient as a complaints resolution mechanism. The SANDF uses the Military Disciplinary Code (MDC) and military law to enforce discipline. In terms of its members, grievance procedures are used to voice concerns. According to the grievance procedure, an aggrieved member or employee must lodge a grievance with his or her Unit Officer Commanding within 90 working days after the occurrence of the act or omission concerned. For the purposes of the expeditious processing of grievances (Defence Force Grievance Procedure):

- Unit Officer Commanding or immediate Director must finalise a grievance and inform the aggrieved person of the decision and the reasons for the decision within 30 working days after it was received, or

within the extended period consented to by the secretariat, after consultation with the aggrieved person;

- Formation Officer Commanding must finalise a grievance and inform the aggrieved person of the decision and the reasons for the decision within 15 working days after it was received, or within the extended period consented to by the secretariat, after consultation with the aggrieved person;

- Chief of a Service or Division must cause a grievance to be finalised and ensure that the aggrieved person is informed of the decision and the reasons for the decision within 30 working days, or 15 working days if a Formation Officer Commanding had been approached first, or within the extended period consented to by the secretariat, after consultation with the aggrieved person; and

- The Grievance Board must take a decision with regard to a grievance and inform the aggrieved person of the decision and the reasons for the decision within 30 working days after it was received.

According to Section 104(17) of the Defence Act "Any person who undermines or stifles, or seeks to undermine or stifle, any procedure for the redress of grievances, is guilty of an offence and liable on conviction to a fine or imprisonment for a period not exceeding five years." This is evident that the SANDF takes grievance seriously. However, the grievance procedure is not without challenges.

This process can be lengthy and frustrating and, in the end, numerous members resort to joining unions. Unions were intro-

duced in the SANDF in 1995, but they were only registered in 2000 (Mokgobu, 1999). Military unions are a subject of controversy in the SANDF. There have been a number of court cases between the Ministry of Defence and the defence unions and this has led to an unhealthy relationship between the two parties. As a result, unions are not seen as a constructive mechanism in the defence force, but rather a problem. In 2009, for the first time in the history of South Africa, soldiers marched to the Union Building to express their unhappiness. The scene of protesting soldiers being fired upon by police on 26 August 2009 in front of the Union Buildings in Pretoria not only shocked the public, but tarnished the image of the SANDF and the country at large in the eyes of the international community (Heinecken, 2009). A lot went through people's minds at that time, such as mutiny, the influence this would have on the relationship between the soldiers and the police, and why it had taken so long for the SANDF to address soldiers' grievances, to mention but a few. The march created a national outcry and the Minister was adamant that unions should be banned in the SANDF – banning the unions would be in contravention of the Constitution as the supreme law. Subsequent to this, the interim defence commission was established to look at the interests of SANDF members and later the proposed bill for an Military Ombudsman which was later signed into an Act.

The implied origins of the establishment of an ombudsman in the SANDF are in the White Paper on Defence of 1996 and the Defence Review of 1998 which motivated for an Military Ombudsman to investigate complaints, inter alia, of military personnel against the SANDF. The Ombudsman Act

came on the heels of the establishment of the National Defence Force Service Commission, the aim of which is to advise the minister on the conditions of service of military personnel. The Military Ombudsman will investigate complaints and serve as a neutral third party on matters related to the Department of Defence and the South African National Defence Force, acting independently of the chain of command and managers. The Department of Defence, through the White Paper, supports the creation of a post for Military Ombudsman whose main duties are to monitor adherence to democratic civil-military relations, undertake investigations at the request of parliament, and investigate complaints against the SANDF by military personnel and members of the public. The ombudsperson would be an independent official appointed by and reporting to the Minister of Defence.

## **5. INTERNATIONAL PERSPECTIVES ON MILITARY OMBUDSMEN**

The ombudsman represents an additional mechanism for monitoring the military, on behalf of citizens and/or parliament. The main aim of the Military Ombudsman is to investigate alleged arbitrary decision or misdemeanours committed on behalf of the responsible minister(s) of the security, notable the military.

Institutional embedding of the Military Ombudsman in the political system varies from country to country. Defence ombudsmen can be appointed by parliament and report to parliament (Germany, Sweden) (Seneviratne, 1994) or can be appointed by the minister of defence (Israel, Canada and South Africa) (Stacey, 2006). Some ombudsmen have their office within the

parliament precincts (as is the case of the German Parliamentary Commissioner for the Armed Forces) or it can be institutionally located outside the parliament (Sweden) (Kuye, & Kakumba, 2008).

The record of Military Ombudsman, for example in the case of Swedish Military Ombudsman (created in 1915), shows that this institution has become a powerful tool in enhancing public confidence in the defence sector. In addition, the ombudsman provides essential protection to individual serviceman and woman against abuse treatment within the military. It may be argued that the main achievement of the ombudsman with regard to the security sector is to contribute to increased trust in the military sector by creating greater transparency in the entire administrative process, without challenging the military hierarchy or decreasing military readiness.

The concept of a military ombudsman is not unique to South Africa, hence the importance of an international perspective. Many countries around the world have military ombudsmen. In this article some selected cases will be discussed.

In order to cultivate and nurture mutual trust and confidence of the public in the Defence Force, some democracies such as Sweden, Finland, Norway, Germany, Portugal and Australia considered it necessary to establish an military ombudsman or a defence ombudsman. A good example is that of the Australian Defence Force Ombudsman. The office of the Defence Force Ombudsman came into existence on 5 December 1983 after the amendment of the Ombudsman Act of 1976 (Rowat, 2000). The individual appointed occupies both the position of the Commonwealth Ombuds-

man under the Ombudsman Act and the position of Defence Force Ombudsman. A new position of Deputy Ombudsman (Defence Force) was also created and the first appointment to this office took effect on 1 January 1984 (Rowat, 2000).

Given the adaptability and success of the office of the ombudsman in stable democracies, the Namibian Constitution of 1990 provides a possible model for an all-embracing ombudsman (Rowat, 2000). In Namibia, the Ombudsman is an independent office and subject only to the constitution and the law. The office of the Namibian Ombudsman came into existence upon the passing of the Ombudsman Act, 1990. In terms of Article 89(4) of the Namibian Constitution the Ombudsman must be a lawyer (Rowat, 2000).

Besides the usual role of making recommendations for actions to the head of state, the Namibian Ombudsman has other key powers. The ombudsman may take direct action to bring proceedings for an interdict or other suitable remedy duty and power to take appropriate action to call for remedy, correction and reversal of instances of [mal-administration, abuse of power] in such means as are fair, proper and effective" (Gullace, 2002:96).

Namibia had ample reasons for implementing the post of an ombudsman. Firstly, apartheid military occupation demonstrated that transgressions against the local population occurred frequently and there was little recourse to law (Braybon, 2006:5). Secondly, the South West African People's Organisation (SWAPO) leadership's reaction to discontented cadres in the field included torture and human rights transgressions, again with little recourse to law or

justice (Diana & Lidiard, 2000:20). Lastly, the integration process after independence caused some tension and the perception of possible bias in the new National Defence Force. To ensure legitimacy and accountability amidst the fear of public distrust the appointment of a body for complaint, resolution and restitution was needed.

German and Canadians also welcomed the notion of military oversight. The German Ombudsman, known as the *Wehrbeauftragter des Bu Bundestages* (WB) or Parliamentary Commissioner of the Armed Forces (PCOA), and the Canadian Military Ombudsman are among the most profiled military oversight mechanisms (Schwitzer, Karsten, Spencer, Cole, Kommers, & Nicholls, 1995). It is clear from the literature that the German and Canadian models have been used as models by other countries, for example, the Irish Military Ombudsman and the Czech Republic Armed Forces Ombudsman.

In 1959, a decision was taken to recreate the German armed forces which led to the establishment of the PCOA (Karl, 2001). The Canadian Military Ombudsman's office was established in 1998 following the investigation into the Somalia affair (Martin, 1999). Both of these offices have approximately 50 staff.

## **6. THE SOUTH AFRICAN MILITARY OMBUDSMAN ACT**

In 2011 a Bill proposing the establishment of an Military Ombudsman was published in Government Gazette No. 33969 of 28 January 2011 which was signed into law in 2012 and become an Act. Both the proposed Bill and the Act were targets of much criticism. The Military Ombudsman Act is not

sufficiently independent from political interference because the Ombudsman will be appointed by the president and report to the defence minister (Military Ombudsman Act, section 5(1)). This is contrary to section nine of the White Paper on Defence which states that "The DOD supports the creation of the post of Military Ombudsperson whose main duties are to monitor adherence to democratic civil-military relations, undertake investigations at the request of Parliament, and investigate complaints against the SANDF by military personnel and members of the public. The ombudsperson would be an independent official who is appointed by, and reports to, Parliament." The section further states that the powers and functions of the Military Ombudsman would be spelt out in legislation. However, those powers are not clear in the Act.

During public hearings on the Military Ombudsman Bill, several organisations criticised the Bill for failing to give the ombudsman power to compel the implementation of his or her recommendations.

Section 5(7) of the Act states that "The President may remove the Ombudsman or Deputy Ombudsman from office on the grounds of misconduct, incapacity or incompetence." This may create the perception that the ombudsman may act without independence and impartiality out of fear that the president will remove him/her from office.

The Act also states that the Ombudsman report to the Minister of Defence (Section 11(2)). There will be a problem with the Ombudsman reporting to the Defence Minister at any time when asked as this may be construed as interference by the minister in the activities of the Military Ombudsman

and would affect the public's impression of the office's independence. The question may be asked, what if the minister is the subject of the investigation.

It is clear from this bill that the military will be performing oversight function on itself. This can create the potential for conflict of interests and undermine confidence in the recommendations of the oversight body.

Table 1: Overview of military ombudsman in selected countries

<b>Key issues</b>	<b>Canada's MO</b>	<b>German Wehr-beauftragter</b>	<b>South Africa's MO</b>	<b>Australia</b>	<b>Norway</b>
<b>Legal status of the office</b>	Negotiated mandate, but no legal statute.	The country's Constitution.	South African Defence Review (1998).  White Paper on National Defence for the Republic of South Africa (1996).  Military Ombudsman Bill.	Constitution	Constitution
<b>Appointment of the MO</b>	By government on the Defence Minister's (DM) recommendation for a five-year term (renewable).	By a majority vote of the Bundestag in secret ballot for a five-year term (renewable).	By the State President for five years (non-renewable).	Appointed by the Ministerial decision	Appointed by the Ministerial decision

<b>Who initiates investigations</b>	Current and former members of the Canadian force.  The DM, the military chain of command and parliament	Members of the armed forces and their families  The Defence Committee.  The Parliamentary Commissioner of the Armed Forces at his discretion.	Not clear from the Bill	Members of the armed forces	Defence force members
<b>Type of cases to be addressed</b>	Any individual complaint.  Systematic issues.	Any individual complaint or petition made by Bundeswehr personnel.	The Bill only refers to "complaint".	Individual complains  Human rights issues	



<b>Preconditions to be fulfilled</b>	<p>The complainant must have attempted to resolve the complaint by referring to the chain of command or the military grievance system.</p> <p>The MO can accept a complaint directly in compelling circumstances.</p>	<p>The members of the Bundeswehr have the right to contact the Parliamentary Commissioner of the Armed Forces directly, without going through other bodies of the military grievance system.</p>	<p>Not clear from the bill.</p>	<p>None</p>	<p>None</p>
<b>Reporting channel</b>	<p>To the Defence Minister.</p>	<p>To the Parliamentary Commissioner of the Armed Forces.</p>	<p>To the Minister of Defence.</p>	<p>To the Defence Minister.</p>	<p>Report to Parliament</p>

<p><b>The nature of the ombudsman ruling</b></p>	<p>The MO makes recommendations and can follow up his recommendations with the relevant bodies with the view of monitoring implementation.</p>	<p>The Parliamentary Commissioner of the Armed Forces makes recommendations and can follow up his recommendations with the relevant bodies with the view of monitoring implementation.</p>	<p>The Ombudsman must immediately after finalisation of the investigation, and in writing, advise the complainant and any other affected person of the outcome of the investigation.</p> <p>Confirm or dismiss the complaint, or issue an alternative resolution.</p> <p>Recommend an alternative resolution to the Minister or refer the complainant to the appropriate public institution for finalisation, if the matter falls outside his or her jurisdiction.</p>	<p>Submit reports to the Minister of Defence for presentation to Parliament</p>	<p>Make recommendations, assessments and criticism which relevant public bodies voluntarily comply with.</p>
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Source: Author's own compilation of information.

Table 1 depicts key issues regarding the military ombudsman in five countries. In all these countries the military ombudsman office is established through a legal system. In terms of appointment, in Canada the government, advised by the minister, appoints the military ombudsman; the Germans rely on parliament for this appointment and in South Africa the President makes the appointment and in Australia and Norway is appointed by the minister through parliament. In Canada and Germany it is clear who initiates an investigation, whereas in South Africa it is not clear. In South Africa and Canada the Ombudsman reports to the Minister of Defence but in Germany, to the Parliamentary Commissioner of the Armed Forces, this make the ombudsman's office truly independent.

## 7. RECOMMENDATIONS

In view of the discussion, the following recommendations are made:

- The Military Ombudsman to become a chapter nine institution, and be legally defined in the Constitution as are other chapter nine institutions.
- The Military Ombudsman to be accountable to the National Assembly. It is suggested that the Military Ombudsman should not report to the body that it reviews. Reporting to the Minister of Defence may create a perception that the ombudsman is not independent and may have a bias towards the executive. Therefore, it is also more appropriate for parliament to have some role in the appointment process.
- This office to have its own budget and not to depend on the Department of

Defence's budget.

- The office must be able to publish reports for the attention of Parliament and the general public.

## 8. CONCLUSION

Based on the discussion, it can be strongly stated that the institution of an ombudsman has the potential to enhance constitutional democracy and good governance across the political and socioeconomic spectrum of many countries' developmental agendas and this is evident in South Africa through the office of the Public Protector. A thorough look at other cases may benefit the SANDF. There is much to say and learning from other experiences. The Military Ombudsman Act is modelled on a number of countries. There is no doubt that it will achieve its intended purpose if implemented and managed accordingly. However, there are concerns on a number of issues as discussed in this paper. The Military Ombudsman, if implemented correctly, will ensure that the rights and duties of military personnel, the defence industry and civil society comply with the norms of democratic values. If the recommendations are not taken into consideration, the Military Ombudsman office will be a problem; a line of discontent, instead of adding to functional relations in the military.

The appointment of a Military Ombudsman should serve to safeguard against any improper actions by the SANDF, the government or public administration. At the same time, in terms of the Constitution, it will assist Parliament in exercising control. What should be emphasised is that an ombudsman is a form of redress and unable to prevent wrongs from happening. Only

matters that come to its attention can be addressed. For the Military Ombudsman to be effective and prevent wrongs there must be an adaptive political and administrative system and strong legislative support as well as an inculcated ethos of ensuring quality relations within the military and between the military and society in general.

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# PROBING THE PHENOMENA OF “AFRICAN UNITY” AS THE PILLAR OF THE AFRICAN UNION

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## ABSTRACT

*The dawn of the 21<sup>st</sup> century has witnessed the transformation of the Organisation of African Unity (OAU) into the African Union (AU). Thabo Mbeki and other pioneers of this transformation were concerned about the failure of the OAU to adapt to the changes in the international system. They saw an urgent need for Africa’s continental body to shed its image of being seen internationally as the “dictator’s club”. As such, they envisaged that the newly born AU would elevate the promotion of unity and solidarity among African states from a political rhetoric into a principled action. It was also hoped that AU would tap into its unity and solidarity for the purpose of harnessing the notion of “African solutions for African problems”. It appears that since the pioneers of the AU’s transformation have left the presidency of their countries (South Africa, Nigeria and Burkina Faso), the AU is regressing towards the culture of the defunct OAU. If the response of the AU to the 2011 crisis in Libya and the circumstances leading to the election of Nkosazana Dlamini-Zuma as the AU Commission Chairperson is anything to go by, it is safe to state that “African Unity” remains a farfetched dream. Against this background, this Afrocentric paper uses discourse approach and document analysis in their broadest form to examine the road navigated by the AU to bring about “African Unity”.*

Keywords: African Union, AU Commission, African Unity, Organisation of African Unity

## 1. INTRODUCTION

The post independent Africa saw the promotion of regional and continental integration through the formation of both economic and political institutions. The formation of the OAU in 1963 was the result of the awareness amongst the newly independent African states that their integration and self-reliance would be the foundation to counter dependence on former colonial powers such as Britain, France, Portugal and Belgium. African identity became an element of consciousness to ensure that colonialism does not repeat itself (Pepetta, 2010). Consequently, OAU was underpinned by the tenets of African identity, decolonisation and the membership in the international society (Twinomugisha, 2013). Its charter called for transcendence of ethnic and national differences and respect of sovereignty and the territorial integrity of other states and for their right to self-determination. Therefore

the main purpose of the OAU was to ensure that African states are liberated from all forms of colonialism. This institution was to guarantee that Africans became the owners and drivers of their own natural resources, economic and political development. Moreover, this main body was to maintain peace, security and protection for the sovereignty of its member states (Peppetta, 2010). However, 30 years down the line, the relevance of the OAU began to be questioned. It is within this context that the year 1991 witnessed Muammar Gaddafi's proposal to reform the OAU (Twinomugisha, 2013). This proposal ignited the debate that later prevailed the birth of the AU in the year 2001. In other words, the AU succeeded the OAU as the continental body for the African states. It is worth noting that the metamorphosis of the OAU into the AU was mainly advocated by South Africa, Libya and Nigeria. The idea behind the transformation of the OAU into the AU was partly driven by the African leaders' common understanding that the former had outlived its mission and vision. This is to say that with the introduction of majority rule in South Africa in the 1990s, the OAU was considered to have achieved its historic mission. As such, there was an urgent need for a reformed continental body, with a new focus on the developing a robust socio-economic and development agenda for Africa. Although Gaddafi immediately envisioned for the United States of Africa (USA), Thabo Mbeki (the then South African President) envisioned for a more gradual approach that would start with the consolidation of regional cooperation frameworks such as the Southern African Development Community (SADC) and the Economic Community of West African States (ECOWAS). The latter model of integration was influenced

by the belief in certain circles that regional integration is a prerequisite for continental integration (Williams, 2007).

Nevertheless, the AU became the main continental body in Africa; with regional bodies such as SADC and ECOWAS as its building blocks. It was hoped that the AU will effect meaningful promotion of unity and solidarity in the continent. It is against this background that this paper draws from Afrocentricity as propagated by Asante (2003) to analyse the capacity of the AU in the realisation of the envisioned "African unity". Apart from the negatively viewed response of AU towards the Libyan crises in 2011, South Africa's vote of the Resolution 1973 serves as the litmus test for contextualising the overall objective of this paper (Matheba, 2011). This is based on the fact that both South Africa and Libya spearheaded the transformation of the OAU to the AU. The foregoing analysis highlights that the two countries along with Nigeria had common vision and a fathomable diversion by any of them is worth probed.

## **2. THE CONTEXT AND RELEVANCE OF THE AU TOWARDS THE AFRICAN AGENDA**

Hengari and Turianskyi (2014) is of the view that due to the adherence to the principles of sovereignty and non-interference in the internal affairs of member states, the OAU has failed to contribute to peace and stability and people centred development. These led to critics that the OAU was failing or unwilling to condemn its member states. Therefore, it was predicated to be fast declining into the "old boys club". This position implies that the tendency of the leaders of Africa's liberation movements-cum-ruling parties to shield each other in the midst of social and economic injustice and at the

expense of the masses of they ought to serve. It is against this backdrop that the transformation of the OAU into the AU in the year 2001 had carried hopes for good governance among the African masses. The establishment of Peace and Security Council (PSC) in the year 2004 provided the AU with essential peace and security architecture (Qobo, 2007). Of most importance, according to the Constitutive Act of 2001 (as cited by Ikome, 2007), the AU developed several norms that forge for the promotion of culture for peace, security and stability. These include sovereignty, equality of member states; condemnation of unconstitutional changes of government and intervene in the member state where there are grave circumstances (Maake, 2009). The combination of all of the above steps by the AU was geared towards the realisation of the African leaders' quest to find "African solutions for African Problems".

Flowing from the above, there are perceptions that the AU has been successful since its establishment (Hengari & Turianskyi, 2014). In relation to this, Hengari and Turianskyi (2014) argue that "If there were over 70 successful coup d'états during the OAU's tenure, only a paltry 12 occurred since the establishment of the AU. This extrapolation suggests that the AU instruments such as the African Peer Review Mechanism (APRM), "including norms that have been adopted relating to governance, human rights and democracy have gained traction and started to bear fruit" (Hengari & Turianskyi, 2014). According to Mouzayian (2014) the APRM is a voluntary assessment tool instituted by African heads of state in 2003, to promote good governance and sustainable development on the continent. Most importantly it does this in participating states

by deepening the principles of democracy, transparency, accountability, integrity and respect for human rights amongst others. It is against the above sentiments and principles of the APRM that the paper begs to differ by virtue of that, if the mechanism was successful, African States would not be struggling with good governance in their own self. Literature points that out of the participating states of APRM, some such as South Africa, Nigeria, Ghana, Rwanda, Kenya, Algeria and Benin, do not show improvement and therefore not really motivating to non-participating states (Qobo, 2007; Peppetta, 2010).

For instance, if it is not a campaign against heads of states (Jacob Zuma's case in South Africa); it is a complaint about rigged elections (claims in Kenya 2013 elections) Mouzayian (2014). The paper comprehends that perhaps the problem lies on the fact that the mechanism is voluntarily and therefore not really binding. These cause a divide and erode the vision of African unity. This is because the mechanism as it states, only deepens the principles of democracy, transparency, accountability, integrity and respect for human rights with "participating states". Implying that authoritarian states such as Libya and Zimbabwe are not necessarily bound by the APRM and therefore no review would serve as an aid towards a continental mission of common governance (Raphala, 2013).

### **3. CONDEMNATION OF UNCONSTITUTIONAL CHANGE OF GOVERNMENT**

According to Sturman (2012), Gaddafi's role in pushing the AU reform had ulterior motives of securing his regime and ultimately, elevating it to the continental status. Hence, his authoritarian regime was



against the AU principles of democracy and respect for human rights as articulated in article 4(h) of Constitutive Act of AU 2001. Sturman (2012) further argues that in 2003, Gaddafi convinced the AU Assembly to adopt the Amendment of article 4(h) of the AU Act, to extend to the right of AU to intervene in the cases of serious threat to legitimate order. The undertaking here is that this threat to legitimate order is actually the rebels against his regime and therefore the legitimacy of that order. On an opposing view, the uprisings in Libya caused a division within the AU as some perceived the campaign against Gaddafi as unconstitutional removal of government and therefore should be condemned since constitutional removal only happens through elections (Twinomugisha, 2013). However, it should be understood that the above contested AU principle was meant for challenges directed only to democratically elected governments. Therefore, such arguments may be discarded since the regime change riots were evidently against an authoritarian regime. Since 1969 when Gaddafi came into power, Libya has never had any general elections. Therefore, as compared to its North Africa counterparts such as Egypt where the rebels had a strong army that consequently overthrew President Hosni Mubarak, it cannot qualify as unconstitutional removal of government. In this vein, it is this paper's conviction that the division in the approach of the AU during the year 2011's Arab spring in relation to the North African crisis highlights the need for AU PSC to clarify as when and why the civilian led uprising against a head of state should not be defined as an 'unconstitutional change of government'.

In the light of the above analysis, this paper

submits that there is struggle to agree on what is "common". This "common solution" is a key denominator for the united Africa. Contextually, Corrigan (2011) points that there is no clear answer in terms of what is "common". He highlights that the problem is that what may be necessary for one country may not be the case for the other. Therefore, this situation hinders the necessity of "urgency" that requires integrated inputs. Even though most African states may share common parallels due to the fact that they were once colonised, countries do not have common problems that need common solutions. However, each can learn from the other's problems and solutions (Shai, 2016). For instance, the dislocation caused by Rwanda's 1994 genocide may not have a direct parallel in another country. But the problems may be 'common' to the extent that other countries have had to deal with other 'dislocation' issues such as migration and refugees.

Gazing from the Libyan situation in the recent past, it is safe to posit that the AU response to Gaddafi's war to stay in power contrast with the rejection of coups d'etat. The foregoing analysis is influenced by the impressive evidence that the AU has acted decisively in Mali, Niger and Madagascar in order to maintain its principle of reject of unconstitutional change of government (Twinomugisha, 2013). However, in the case of Libya a divergence from the principle of state sovereignty and non-interference in the internal affairs is observable. This can be explained in the fact that, although Africa is making inroads in terms of becoming a democratic continent, there are still several states that are undemocratic, but they are represented in the AU Assembly. These countries include Swaziland and

Cameroon, among others (Raphala, 2013; Maleka, 2014). Therefore, they are threatened by this popularisation of democracy in Africa and the international community (Shai & Iroanya, 2014). Contrasting governance values that prevail within Africa certainly contradict with the commitment to democracy, constitutionalism and human rights as professed by the AU. This is highlighted by Corrigan (2015) when he writes that AU incorporates states ranging from the freest on the earth to the most repressive. For instance, out the 54 states in the continent, 11 are rated to be free, 18 are partially free, and 25 are not free (Mouzayian, 2014). Therefore, it breeds doubts for continental order amid the divergence of continental countries.

There were mixed emotions amongst African leaders about how the Libyan crisis was handled. Firstly, some African leaders such as then Prime Minister of Kenya Raila Odinga, questioned the acceptance of Libyan membership under the authoritarian leader Gaddafi. He argued that “in terms of the AU Constitutive Act, Article 3(g), one of the objectives of the Union shall be to promote democratic principles and institutions, popular participation and good governance” (Olali, 2011). According to Odinga, Libyan government was against this objective and by that it was supposed to be side-lined from the AU. He further stated that “African Unity must be based on the common position on the issues of interest to the continent and its people” (Olali, 2011:06). This paper shares the same sentiment with Odinga on his analysis on the issue of Libya, because the first leadership that the AU should have provided was to ensure that all its member states adhere to its founding principles and objectives. The failure to do that will

ultimately cause many problems. For example, currently the Kingdom of Swaziland is the member of the AU in good standing and Swaziland government does not adhere to objective no (g) on the article 3 in the Constitutive Act of the AU which is to promote democratic principles and institutions, popular participation and good governance (African Union, 2001). Such situations need to be addressed as soon as possible because they have the potential to cause problems in future. The AU must be honest to itself and compel its member states to adhere to its founding principles and objectives. The reality is that there is more likelihood of seeing what happened in Libya happening in Swaziland in future. So what is the AU doing in order to prevent that? Because prevention is better than dealing with the real problem.

Some African leaders such as the President of Zimbabwe (Robert Mugabe) blame the western forces for threatening African Unity. These forces are accused of perpetuating the selfish agenda of Western countries by perpetuating divisions among the Africans and African states. In consideration of this backdrop, Mugabe and like-minded African statesmen often exploit the anti-colonial rhetoric to undermine the legitimate struggles of the masses of the countries that they lead. Mugabe goes to an extent of accusing some African leaders for dining and wining with the western forces at the expense of African people (Kimenyi, 2014). He accuses them of putting their narrow selfish interests first. Some scholars such as Owuoché (2013) have also made contribution to the debate when he stated that “the AU has failed to follow Dr Kwame Nkrumah’s vision of an African continent which enjoys autonomy and sovereignty in both

material and intellectual terms. The AU and its member states have abdicated their intellectual and ideological responsibilities to Western donors and to Non-Governmental Organisations (NGOs) funded by the same donors" (Olali, 2011:07). In relation to foregoing analysis, it is argued that external interests are at the lead of reversing the little gains that have been made by the African individuals and organisations insofar as the realisation of African Unity is concerned. This position does not in any way apportion whole innocence on the part of Africans and their institutions for the slow progress towards African Unity.

The former AU Commission chairperson Jean Ping, argues that "the case of AU's intervention in Libya is a classic example of how African efforts to solve the continent's challenges go unreported or are twisted to suit a hostile agenda" (Ping, 2011). He further stated that, African issues have long suffered from either a lack of exposure in the mainstream media, marginalisation and misrepresentation or from outright silencing (Ping, 2011). The biased reporting that puts emphasis on the negativities about Africa and not the positive stories should be understood within the context that most of the international media is owned by companies from the West. As such, the editorial decisions of these media platforms are often channelled to suit the foreign policy agenda of their countries. Flowing from the above, the question remains that; did the AU do enough to contribute to the attainment of the overall AU objective of consolidating democracy in the continent? For the authors of this paper, the AU measures for promoting good governance in the continent are commendable, but obviously the challenges abound.

#### **4. THE ELECTION OF NKOSAZANA DLAMINI-ZUMA AS THE CHAIRPERSON OF AU COMMISSION**

In January 2012, Nkosazana Dlamini-Zuma was elected as the chairperson of the AU Commission which opened a huge debate about the issue of the AU leadership. The issue of leadership is at the heart of the effectiveness of the AU and is particularly timely given that the Assembly of Heads of State will elect the Chairperson of the AU Commission in the near future. Hence, the term of office for the current chairperson is coming to an end and she (Dlamini-Zuma) has indicated that she is not available to serve another term. Regardless of this, it is important to note that the 2012 elections of the chairperson of the AU Commission were highly contested by the incumbent Jean Ping (Gabone) and Nkosazana Dlamini-Zuma (South African). This election divided the African continent into two groups, those who support Jean Ping and those who support Dlamini-Zuma. The election of Dlamini-Zuma left the camp of Ping bitter and as the defeated group. The emerging of two camps on the race to the leadership of AU exposed the African continent to external forces. The external forces saw the African continent as one divided continent. The fierce struggle for power was against the founding principle of the AU. The main priority of the AU is to unite African states. Unfortunately the election of the leadership of the AU was now used to divide the African states. Some leaders such as Ping, went to an extent of accusing South Africa as the country that needs to dominate continental politics. Certain African states did not want to accept the election of Dlamini-Zuma as the new leader of the AU. Such conducts make it safe

to state that “African Unity” remain a far-fetched dream. The rejection of her election was based on regionalism and squabbles that will only contribute in dragging the continent backwards. Despite this, it is worth noting the division of Africa over the question of the leadership of the AU Commission was fuelled by the fact that western countries such as France had interests on the outcome of this election. The foregoing narrative should be understood within the context of the desperate need of the big powers such as France and the United States of America (USA) to [ab]use established international organisations such as the AU and UN as the instruments to promote and entrench their national interests (Matheba, 2012).

It is the well-considered view of this paper that, for the African states to excel in achieving African Unity there is a need to put the end on the issue of regionalism and national chauvinism. Africans need to learn to trust each other irrespective of their national or regional differences. If one African is given the responsibility to drive the African agenda, it is important for him/ her to be given a chance, space and support to do so. In other words, a judgement on a leader must not be based on regionalism, but on the leadership qualities that one has been portraying in his/her previous and current leadership responsibilities. Central to the weakness of the Africans is the propensity to allow external forces to infiltrate Africa and take decisions on its behalf; either directly or indirectly. Most African leaders are captured; they continue to champion the interest of external forces at the expense of African people. Such instances continue

to compromise African Unity, because external forces become happy when there is a division amongst African states. They use such divisions on their advantage to fulfil their narrowish and selfish interests at the expense of African people. The 2012 elections of the leadership of AU has exposed African continent to the world. It proved without reasonable doubt that African Unity remains a farfetched dream.

## **5. DECONSTRUCTING THE NOTION THAT AU IS EQUIVALENT TO OAU WITHOUT THE “O”**

The AU has proved several times that, it failed to stand for what it has been established for. The AU has failed to prove itself that it is not the same old OAU, which was well-known for its inability to deal with real problems facing the continent. For example in 2014, the continent was faced by the crisis of Ebola. But how the AU handled this crisis was not convincing and encouraging. A popular African newspaper carried an opinion piece entitled, “Where is Africa?” (Ndemo, 2014). This question was in reference to the fact that the AU which was expected by many Africans to lead the efforts against the epidemic was missing in action. The author suggested that the AU should have immediately called for an “Ebola Summit” to discuss the crisis and find ways to effectively deal with it. Instead, the AU was absent and left the job to governments and organizations from outside the continent (Kimenyi, 2015). The “wait and see” attitude on the part of the AU support the fact that its inability to act on issues that are facing the African continent opens a vacuum to foreign states to capitalise on that and step in to fill such a vacuum (Vines, 2013). The external forces fills the vacuum by absorbing most African

states to rely on them as donor sponsorship and also formulate institutions which turn out to represent them and be African by names (Vines, 2013).

The following analogy captures the depth of the AU's dilemma. That is, if you are a man and you have a family and every time when your family has a problem, the next door man comes in and resolves problems on your behalf; then you must know that, you are in a very serious problem. Firstly, your family will lose confidence in you and

means there is a very serious problem and this misnomer would prevail the crisis of relevance for the AU. Regardless of the merits of the above analysis, this authors' alternative view is that the AU's challenges must not be seen in isolation. Like other international organisations, the AU is nothing more than its constituent parts. For it to be successful in enforcing African Unity and tapping into it to find continental problems, it is necessary for political and socio-economic changes within its member states and their respective regions to be given due attention without any fear or favour.

At other times, the AU has been willing to act, but has been too slow in taking action. Besides addressing crises, the AU is also charged with the responsibility of coordinating continent-wide development efforts and serving as the voice of Africans in matters of global governance (Kimenyi, 2015). The AU has the responsibility to tackle the most pressing issues on the continent including accelerating "the political and socio-economic integration of the continent;" helping "promote and defend African common positions on issues of interest to the continent and its peoples;" promot-

gain confidence from a man next door. Secondly, your family will perceive you as one useless man, because you do not have a meaningful role to play in their life. The point here is that, if the AU in many cases fails to intervene in many wanting cases, then its affiliated member states will lose confidence on it. They will also perceive it as being a useless Union and the external forces that always come in when the member states are faced with problems will be cherished by the member states. If African states start cherishing the external forces, it

ing "democratic principles and institutions, popular participation and governance;" and promoting "peace, security, and stability on the continent" calls for the participation of a supranational organization such as the African Union (African Union, 2001). But based on its progress, it is safe to state that the AU is either not willing or not capable of carrying out its objectives effectively (Carin, 2014).

For a continent that is comprised of 54 countries which vary widely in terms of land size, population, ethnic and religious diversity, and levels of development, the organisation that is expected to serve as the primary centralised coordinating institution in uniting Africans and advancing their joint welfare and also enhancing their peaceful co-existence must be the one that fully understands the various problems that currently confront the required policies and also has the legal authority to do so (Kimenyi, 2015). Of course, the AU cannot function effectively if it is riddled by incompetence, limited resources, corruption and other bureaucratic inefficiencies. Thus, the key to making the AU a successful instrument and powerful voice is reconstructing

and reconstituting both the institution and its organs so as to create a political and bureaucratic institution that functions according to the rule of law and serves as a true representative of the wishes and aspirations of the broad cross-section of African people (Nolan, 2013). It is only such an efficiently run organisation that can deal effectively with various problems that are currently facing the continent.

## **6. REGIONAL INTEGRATION AS A FORCE TO ACHIEVE AFRICAN UNITY**

The AU is expected to spearhead the continent's regional integration effort and help provide viable regional integration units, which could serve as mechanisms for cooperation in investment, provision of infrastructure, management of the environment, and growth and development (Carin, 2014). Unfortunately, in reality, it is unlikely that the proposed Continental Free Trade Area (CFTA) a carryover from the Abuja Treaty will be realised by 2016 or any time soon because a large number of issues at the regional economic level of Africans, are Africa-specific (and hence, are unlikely to be lobbied for by other countries), and are least likely to be rejected (Carin 2014). The slow progress towards the regional integration amongst African states contributes to the failure of the AU to improve the socio-economic and political relations of African states (Murithi, 2013). In concurrence with the popular adage that "charity begins at home", the AU must open a platform for inter-trade amongst African states and also develop a mechanism that will ensure that African states prioritise to assist each other before external forces come in. For example, the formation of economic associations like BRICS (Brazil, Russia, India, China and South Africa) should have been

modelled and experimented amongst African states before Pretoria can "look East" (Nkadimeng, 2016).

## **7. PEACE AND SECURITY AS A FORCE TO ACHIEVE AFRICAN UNITY**

Africa still suffers from violent mobilization by various ethnic and religious groups (Mpe, 2016). This is the case in spite the fact that, unlike the OAU, the AU has the mandate to intervene in these crises (Kimenyi, 2015). But it has been unable to deal directly with this violence, as seen in intractable civil conflicts in the Eastern Democratic Republic of Congo (DRC) and South Sudan, as well as the increasing threat of terrorism by groups such as Boko Haram, al-Shabab, the Lord's Resistance Army, and al-Qaida in the Islamic Maghreb (AQIM) (Ndemo, 2014; Mpe, 2016; Shai, 2016). Although there have been some notable successes such as in the case of Somalia. In many respects, it has been stated before; the AU has either been extremely slow to intervene in various conflicts in the continent or has done so ineffectively. The launch of the African Standby Force (ASF) has already been delayed several times, even though it was expected to have been established and made operational by 2010 but largely due to limited resources from the member countries the targeted time frame was not reached (Dersso, 2014).

## **8. CONCLUSION**

This paper has mainly relied on document study to probe the principle of "African Unity" as a pillar of the AU. Parallel to the *problematique* of this paper is the fact that previous studies on this subject have either aligned themselves to the neo-colonial

discourse or the anti-colonial rhetoric. As such, this paper sought to bridge the widening gap between these two discourses in order to deconstruct an alternative Afrocentric perspective. Based on selected test cases, this paper has confirmed that African Unity is essential if the developmental and socio-economic agenda of the AU is to be successful. Unfortunately, the major finding of this study is that; due to both internal pitfalls and their exacerbation by Western interests; it appears that the African unity remains a far-fetched dream. This dilemma is worsened by the fact that the champions of the transformation of the

OAU to AU have since left the presidencies of their countries and therefore have limited opportunity (if there is any) in shaping the agenda of the AU. In addition to the slow pace of regional integration, there is also an element of mistrust between leaders from different regions in the continent. Above all, there is no gainsaying that the complexity and multiplicity of domestic challenges facing the regional powers of Africa such as South Africa and Nigeria are making it difficult for their leaders to pay adequate attention to African affairs and international relations as a whole.

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# GENDER DISCRIMINATION AND THE CAPITALIST ECONOMY IN POST-APARTHEID SOUTH AFRICA

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## ABSTRACT

*The purpose of the paper is to demonstrate that the majority of women are still relegated to inconsequential jobs in the farming and the domestic sectors of the economy. The paper argues that there is a continued democratisation of gender discrimination. The role of women in the capitalist economy has been underrated over the years due to a variety of discriminatory practices embedded with societal progress. The association of women with private household domain has meant that their economic contributions have remained unrewarded in the capitalist development. The will use theoretical data to show that the situation reached its extremes in the former colonial societies that have also experienced capitalist apartheid development such as that in South Africa. Post-1994, the hyperbolic pronouncements of societal transformation and gender equality have apparently remained national public stunt rhetoric, with negligible pragmatic effect. The paper concludes, therefore, that the trajectory of capitalist development pursued in a democratic South Africa is not amenable to women empowerment and that gender discrimination and exclusions in the economy will persist.*

**Keywords:** Capitalist economy, Democratization, Gender discrimination, Societal transformation

## 1. INTRODUCTION

For a long time, the South African economy is characterized by peculiarities in many respects. With the official end of Apartheid in 1994, the new openness also reached labour market issues and a number of profound analyses have been conducted to arrive at a comprehensive picture of the current constitution of the labour market

and to derive policy conclusions (Carola, 2004). The transformation process has had far-reaching consequences for institutions in South Africa. The new policy agenda, with its focus on the eradication of all forms of discrimination, has forced institutions to re-think their current practices and arrangements. In 1994, South Africa emerged from a long history of apartheid, the chief purpose of which was the legislated social exclusion of the indigenous black community (Greed, 2005). Apartheid policies and laws enforced separation and disparities

between races. Other than through the deployment of state repression in explicitly racially coded laws, oppressively segmented labour markets, and brutal policing, apartheid's enforcement can also be accomplished through subtler, covert means that evade and disguise race while reproducing it nonetheless (Marks, Hassim, January-Bardill, Khumalo & Olcker, 2000). These policies and laws not only maintained an economic, social, and political hierarchy based on colour, but also regulated that hierarchy through a system of sanctions and discouragements in the public sphere, through organizational policy and procedure; in the private sphere, through group segregation and permit systems (Marks *et al*, 2000). The basic elements of the post-apartheid capitalist economy programme were thrashed out in the constitutional negotiations between the apartheid government and the African National Congress (ANC) in the early 1990s, making it possible for the transition to formal democracy in 1994. This resulted in a core compromise between, on the one hand, constitutional protection for existing property rights at the time, essentially those of the white minority and, on the other, a constitutional commitment to land reform to bring about equitable access to all South Africa's natural resources (Carola, 2004).

While the principle of gender equality is implicit in the provisions of the resulting property clause of the South African Constitution, the primary concern of this section of the Constitution has always been to redress the deeply racialised inequalities in access, use and control over land that is deeply rooted in South Africa's history (Heilman, 2012). Clearly, past racial discrimination has affected both black women and black men,

but the specification of race in the property section confuses the significance of gender inequality as a general, rather than an auxiliary, concern with regard to economic rights. It also complicates the significance of the intersection of race and gender discrimination for black women's social, legal and economic status historically. It has been observed there is a distinct division of work based on age, sex and race (Walker, 2001). This division of work is influenced by socio-cultural and economic factors and the physical nature of role involved. The analysis of gender is based on the fact that specific participation of women, men and children in production is significant and varies with the traditional gender division of labour and other demographic and environmental factors (Orloff, 2011).

## 2. GLOBAL APARTHEID

Global apartheid is a reality marked by the operation of undemocratic institutions that systematically generate economic inequality (Momsen, 2003). Momsen (2003) further defined it as an "institutional system of minority rule whose attributes include: differential access to basic human rights; wealth and power structured by race and place; structural racism, embedded in global economic processes, political institutions and cultural assumptions; and the international practice of double standards that assume inferior rights to be appropriate for certain others, defined by location, origin, race or gender". South Africa was certainly an ideal site for the UN-sponsored human rights conference and antiracist pilgrimage; in all honesty, the country can only be characterized as post-apartheid in the narrowest terms the justice has yet to be achieved (Nzomo, 1995). Hence, the

concerted struggle against apartheid must continue in South Africa as well as in the world at large.

The biggest threat to human rights, and to human life and life chances, particularly those of racially subjugated peoples, is the structural violence that emanates from global apartheid. Structural violence is the symbolic, psychological, and physical assaults against human psyches, physical bodies, and sociocultural integrity that emanate from situations and dominant institutions (Peter & Drobic, 2012). This broader range of symbolic, psychological, economic, and environmental assaults is neglected because the conventional human rights system has mainly focused on liberal notions of individuals' political and civil rights within nation-states. Yet, ultimately and ironically, these structurally induced forms of violence set the stage for the very political abuses that have traditionally been the focus of human rights monitoring. A central issue that has not gotten its due is the question of social and economic rights, which are controversial in their potentially profound implications for income and wealth redistribution (Lumumba, 2003). These rights are highly contested and effectively sabotaged by structures of power and privilege dictated primarily by transnational forces such as the International Monetary Fund (IMF), the World Bank, and the World Trade Organisations (WTO), and U.S. foreign policy-entities.

### **3. SOUTH AFRICA'S APARTHEID CAPITALISM**

The South Africa inherited by the post-apartheid government in 1994 presented both challenges and opportunities (Benjamin, 2001). At the political level, the apartheid state was not simply designed to service

and maintain the apartheid policies of exclusion, segregation and oppression of the majority. Its institutions and leaders were not representative of all South Africa's people (Speer, 2012). The apartheid state machinery was incredibly cumbersome, stretching from the central government in Pretoria to black local authorities and the Bantustan system, as well as the various departments responsible for Coloured and Indian affairs (Anokye & Gupta, 2012). Although certain parts of the state were efficient, this much decentralised system of government was very inefficient. Furthermore, the workings of the government were not at all transparent, with little room for freedom of information, a free press or open debate. The provision of and access to basic social services were skewed against the Black majority. The economy failed to provide for the basic needs of citizens; millions of people were not supplied with accessible water, adequate sanitation or electricity. The same can be said about the state of the educational and health systems on the eve of 1994.

In labour market, South Africa was often devoted only to racial comparisons (Carola, 2004). Apartheid was structured socially, politically and economically along racial lines (Sen, 1993). Through the creation of separate systems of operation, including the structure of the economy, larger and wider income disparities existed and functioned in a way that served to racialise the South African society. This economic disparity between the races was further entrenched systemically through political and legislative measures resulting in the black majority of the population being ghettoised, politically, socially and econom-

ically (Sen, 1993). Black townships were increasingly marginalized in terms of infrastructural development, access to basic services, inferior education, systems, lack of housing development, and the availability of inferior jobs.

Africans people were not allowed to work in urban areas (Mjoli, 1999). In order for Africans to be employed in urban areas, they had to carry a 'pass' (Identity document) from the age of 16 (Sivanandan, 1981; Rangan & Gilmartin, 2002). The pass had to be in black people's possessions at all times as it indicated whether or not the bearer was lawfully in a certain area. If blacks were found without the pass, they were arrested and these pass laws enabled the government to control the flow of Africans into white areas. Even though the policies of apartheid were meant to affect the whole black population, women were the most affected. While men constituted the majority of the cheap labour, women were expected to support their families without the help of their husbands (Kabeer, 2001). This created problems for women who already suffered discrimination based on their gender.

The system of migrant labor and the establishment of Bantustans or reserves for blacks are the two most far-reaching aspects of apartheid (Hargreaves, 1997). Blacks were only allowed to live in white urban areas in order to sell their labour and their families were not allowed to come and live with them but instead had to remain in the reserves. In most cases, women were the ones who stayed in the rural areas with their children while the men went to urban areas to look for jobs (Rangan & Gilmartin, 2002). When those who were working in urban ar-

reas were no longer considered to be economically productive, they were expected to return to their families in the reserves.

In sport, there was still segregation and inequality among players. For example in swimming sport, almost 99 percent of South Africa's swimming pools were reserved for white people only and most whites had access to all the sporting amenities they desired while blacks only had token facilities (Hargreaves, 1997). The government spent more on sport for the whites than for the blacks. The inequality and segregation also continued to other areas such as beaches, hospitals, transport and others (Hargreaves, 1997). There have been some changes in the statutory position of women regarding marriage and divorce laws, but these did not extend to women. Instead the laws tortured them, for example, rape laws and maintenance claims against unmarried fathers continued to favor men which resulted in the majority of women not laying charges in order to avoid the humiliation of cross-examination of the sexual activities in court publicly and they were also required to give impossible evidence in order to succeed (Rangan & Gilmartin, 2002). Although all forms of racism were officially ended with the historic 1994 election of Nelson Mandela as South Africa's president, apartheid and gender discrimination still persists.

Black South Africans have suffered a number of inequalities. For instance, the whites consumed 60 percent of the nation's income, were eligible for free and compulsory education, enjoyed extreme good health and lived in luxurious homes with the service of poorly paid domestic workers.

On the other hand, Africans did not have access to free and compulsory education and the housing they were provided with in towns was inadequate, lacking running water or electricity (Sivanandan, 1981). Furthermore, the gap between black and white people in wages and social and welfare services in South Africa had not decreased much. Discrimination theorists argued that female employment conditions are negatively affected by certain stereotypes with regard to their commitment to their professional career (Nzomo, 1995). As a consequence, employing males is seen as a more secure choice than employing females whereas males in general receive better treatment in the labour market (Peter & Drobic, 2012).

The old apartheid structure of the economy had a direct impact on the structure and workings of the labour market (Momsen, 2003). The creation of a steady supply of cheap, unskilled labour into mining, manufacturing and farming assisted white owned industries in developing and amassing large profits. It also allowed for the creation of policies and legislation that developed the architecture for the apartheid landscape. These policies and pieces of legislation were designed to push black people onto the periphery of social, political and economic existence creating a cesspool of poverty and at the same time creating an abundant flow of wealth to a minority grouping of people (Lumumba, 2003).

The insidious nature of apartheid and its objective of dehumanizing black people had an enormous impact, holistically on the lives of black people (Speer, 2012; Tasli, 2011 & Wallace, 2005). Racial segregation

and economic deprivation combined with patriarchy had a staggering impact on the lives of millions of black women. For many poor black women it meant living on the periphery: economically, politically and also in the labour market. The denial of proper education through apartheid and being wrenched out of school to take care of siblings or earn more money for their poverty stricken family resulted in many black women being pushed into unskilled, low paying work as domestic servants or working in a factory.

#### **4. SOCIETAL CAPITALISM AND DISCRIMINATION**

The economy inherited by South Africa's first democratic government in 1994 had been historically constructed on a foundation of deliberate racial inequality (Haupt & Fester, 2012). Colonial dispossession of the indigenous black majority had culminated in the passage of the Native Land Act of 1913, which ultimately provided for some 87% of the land area to be occupied and owned by whites and their racially exclusive state. The black population was subjected to a despotic labour regime, centered on the circulation of contract migrant workers between Native Reserves later homelands and the mines and industries of white South Africa, restrictions upon black movement and settlement in urban areas, and deliberate denial of educational opportunities to all but a handful of the racially oppressed Africans, Coloured and Indians (Yvonne, 2010). Although the industrialisation of South Africa was eventually to lead to the undermining of the classic notions of segregation, and although apartheid

was eventually to be undone in large measure, through the irreversible growth of an urbanized and industrially organised black working class the legacy of discrimination by 1994 was still one of systematised racial inequality, in which the advantages of the economy redounded overwhelmingly to the benefit of the white minority.

The racial disparities of apartheid were systematically intertwined with gender discrimination. Black women, historically, were left behind in rural areas and homelands and the further reaches of the economy to engage in the tasks of household reproduction, and where they were able to secure industrial employment, encountered lower wages and equally, if not more, autocratic labour conditions than men (Akpotor, 2009). Indeed, apartheid was to foster systematic informal as well as formal discrimination against women of all races, and hence to enforce the contours of patriarchy and inequality. The challenge of confronting this legacy, which in the present era has concluded in appalling levels of physical and sexual violence against women, remains one of the greatest challenges faced by government today.

By and large, South Africa's women are situated at home in a certain traditionally female sectors of industry which is usually at less skilled and labour income levels and in the informal sector (Delphy, 1984). The heart of the capitalist economy such as energy, mining, metal, engineering, transport, and petrol; and chemical is all but closed to women. In South Africa, employers in this sector unashamedly offer training opportunities and employment to males only (Manase, 2003). On the other hand, one

area which women dominate, and which needs to be part of economic analysis is an informal sector. In societies dominated by patriarchal social relations, men have greater control over economic activities with higher earning potential, or over the income derived from those activities, while women may be concentrated in activities with lower returns (Alford, 2007).

Women were victims of injustice not because of what society did to them, but because of what society did not do to them meaning that if society does not change, then it is up to the women to change society. Because women continued to conform to the social and societal norms with which they were brought up, society had no reason to change (Rangan & Gilmartin, 2002). Only when a culture gives society a reason to change, will it finally be altered. Because of the norms of society, it was not up to women to make their lives successful; rather it was up to their future husbands (Kabeer, 2001).

## **5. DEMOCRATIC SOUTH AFRICA AND LEGISLATION OF GENDER DISCRIMINATION**

South Africa's constitution, one of the most progressive in the world, prohibits discrimination through an equity rights framework (Mafunisa, 2006). The National Assembly of the Promotion of Equality and Prevention of Unfair Discrimination Bill illustrates the scope of this framework. This legislation defines "unfair discrimination" as "an act of omission, including any condition, requirement, policy, situation, rule or practice, that has, or is likely to have, the direct or indirect effect of unjustly or unfairly causing disadvantage to a person or persons on one or more of the prohibited grounds." The "prohibited grounds" include "race, gender, sex, preg-

nancy, marital status, ethnic or social origin, color, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth or any other recognized ground.” The bill also makes discrimination based on class distinctions a punishable offense. The legislation holds the “market economy” which “discriminates all the time against those who cannot afford access to quality housing, health care services, credit and insurance” accountable.

### **5.1 The Constitution of the Republic of South Africa of 1996**

Constitution is the cornerstone of democracy in South Africa. In terms of Equality, the Bill of Rights articulates that the state may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth. Act 108 of 1996, Chapter 2: Section 9 further emphasizes equality of mankind. It prohibits unfair discrimination against any-

or disability. The goal of this policy was to speed up the creation of a representative and equitable Public Service and to build an environment that supports and enables those who have been historically disadvantaged by unfair discrimination to fulfill their maximum potential within it so that the Public Service may derive the maximum benefit of their diverse skills and talents to improve service delivery. The White Paper refers to women as one of the designated groups race and disability being the other

one on the basis of race, gender, sex etc. Gender equality is therefore, enshrined in the Constitution as a fundamental principle. The Constitution provides specifically for gender equality, affirmative action, freedom and security of the person and socio-economic rights. In this section of the Bill of Rights, emphasis is placed on the corrective measures to be taken to promote the achievement of equality. Chapter 7 of the constitution mandates local government to promote social and economic development of communities and community participation in matters of local government.

### **5.2 The White Paper on Affirmative Action of 1998**

The first overarching policy to be legislated in South Africa to promote equality in the Public Service was the White Paper on Affirmative Action of 1998. Affirmative action can be defined as laws, programmes or activities designed to redress past imbalances and to amend the conditions of individuals and groups who have been disadvantaged on the grounds of race, gender

and recognizes that these groups are poorly represented at decision-making levels and in other technical occupational classes (Moagi, 2008).

### **5.3 Employment Equity Act no 55 of 1998 (EEA)**

The EEA is the principal legislation for protecting and promoting the right to equality in the workplace. It is designed to overcome the disadvantages that have been endured by historically marginalized groups such as people with disabilities and women. The EEA aims to achieve equality in the workplace and the equitable repre-



sentation of disadvantaged groups in all occupational categories and levels in the workforce. The aim of the EEA as stated achieves a diverse workforce broadly representative of the people; and to promote economic development and efficiency in the workforce. The EEA seeks to achieve equity in employment through promoting equal opportunities and fair employment practices. To achieve this objective the EEA requires employers to eliminate unfair discrimination in their employment policies and practices, as is stated in Section 6 of the EEA that 'no person may unfairly discriminate, directly or indirectly, against an employee, in any employment policy or practice, on one or more grounds.

#### **5.4 National Policy Framework on Women's Empowerment and Gender Equality**

The National Policy Framework on Women's Empowerment and Gender Equality was formulated by the National Office on the Status of Women. This policy framework was adopted by Parliament in 2000, and provides guidelines to spheres of government with regards to the formulation of gender policies. Gender Policy Framework was established to provide a clear vision and framework to guide the process of developing laws, policies, procedures and practices which will serve to ensure equal rights and opportunities for women and men in all spheres and structures of government as well as in the workplace, the community and the family. The Policy Framework recommends gender mainstreaming as an approach towards achieving gender equality, and also stresses the importance of Women's Empowerment as a further requirement for achieving gender equality.

#### **5.5 Broad-Based Black Economic Empow-**

#### **erment Act No 53 of 2003**

South Africa's post-apartheid era was confronted with challenges such as poverty, high inequality and marginalisation of black people predominantly rural women within the economic sector. The Broad-based Black Economic Empowerment (BBBEE) is a form of economic empowerment by the South African government in response to the criticism of the narrow nature of empowerment in the country. The Broad-based Black Economic Empowerment Act, 2003 was enacted to resolve the lack of representation of black people within the economic sector and promote community empowerment especially in rural areas. Broad-based Black Economic Empowerment Act, 2003 established a legislative framework that promotes black economic empowerment in South Africa (Mafunisa, 2006). The concept of BBBEE means the empowerment of all black people including women, youth, and people with disabilities and those living in rural areas (Broad-based Black Economic Empowerment Act, 2003). This demonstrates the importance of women within the economy and in resolving the perpetuation of gender inequality in rural areas.

In the introduction of Broad-based Black Economic Empowerment Act, 2003, it is stated that South Africa's economy has excluded a vast majority of its people in the ownership of assets and possession of advanced skills. However, Broad-based Black Economic Empowerment Act, 2003 promote equality and increasing participation of black people within economic sector. The participation of women within the economy has that potential to empower them and thus, could bring about gender

inequality within the country. BBEE tries to resolve the marginalisation and discrimination of black people within the economy. This shows the commitment of the South African government to resolve the perpetuation of poverty and thus, reduce the gendered discrimination within the country.

## 6. GENDER MAINSTREAMING

Mainstreaming is a process that brings what can be seen as marginal into the core business and main decision-making process of an institution (Yvonne, 2010). The term mainstreaming is derived from the objective to prioritize gender equality as a development activity. An important element in the mainstreaming strategy is to give attention to gender equality by influencing goals, strategies and resource allocations, and thus bring about real changes in policies, programmes and other activities. It is essential for good governance and is critical if the Public Service wants to ensure that institutions, their policies and programmes respond to the needs and interests of all employees, and distribute benefits equitably between men and women.

## 7. CONCLUSION

In rural society's men play important role in allocating resources, decision making and community regulatory activities. On the other hand women's roles are domestic chores and processing. The roles of men are crucial in securing household livelihoods but the overbearing of men's role in rural areas overshadowed women's potentials. Women have less control over resources despite their immense contribution and ownership of resources. They also have less input into the household decision. Their lack of control to resources exposes wom-

en to greater risks and livelihood vulnerability and their little contribution to decision making limit their participation in community development. Their higher time of work indicates a higher workload, which has implications for healthy living and nutrition of their children. The lack of control over resources and lower input into decision among women is suggestive of livelihood immobility, which may subject women to poverty. Their mobility is also limited by both religion and culture implying they cannot take advantage of nearby livelihood opportunities. Therefore, it is essential that there should be an increase of attention placed in women rights and security on a gendered approach. Empowering women will mean sustainable development, poverty reduction, and conflict resolution and mostly they will feel secured. Women empowerment and gender equality is central to human security. Improved water supply services in rural areas can in turn give women more time for productive endeavours, adult education, empowerment activities and leisure. Therefore, the promotion of gender mainstreaming is pivotal for resolving all forms of discrimination and gender inequality that exist in societies and in the households.

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# INFUSING RESEARCH ACTIVITIES INTO COMMUNITY ENGAGEMENTS: A STUDY OF SOUTH AFRICA

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## ABSTRACT

*University academic is involved in four main activities namely teaching and learning of undergraduate and postgraduate students; research and fund raising and community engagements. The purpose of this paper is to review what is involved in community engagement by determining the factors that contribute to community engagement. The factors that underpin community engagement from my perspective are the following: teaching and learning of students, writing proposals to attract research funds (fund raising), then undertaking research as activity of knowledge generation and lastly carrying out the research in or with the community (community engagement). The research is mainly undertaken by postgraduate students after following a research concept developed by the supervisor/promoter. The supervisor develops the research concept based on the University's research thrust on niche and non-niche areas. The University develops these research niche areas based on its unique geographical location and thus be able to attract research funding from national and international sources. The aim of the Sustainable Development Goals (SDG) is to improve the access of communities to safe drinking water and thus reducing diarrheal diseases. One way of improving the drinking water quality of rural communities is the promotion of ceramic water filters (CWF). The traditional clay pot is now modernised by adding sawdust during its manufacture and is now called ceramic water filter. The CWF can filter out pathogens thus improving the physical-chemical and microbial quality of surface waters to drinking water standards. This results in reducing and preventing incidents of diarrhoea in rural communities. The manufacture of CWF can be done by promoting the traditional potter who is resident in the rural communities. The traditional potter is the natural person since they have accumulated wealth of knowledge and experience in making ordinary clay pots used for cooking and water storage. The postgraduate students would then take part in the research activities involving the ceramic water filters and clay material. The involvement of postgraduate students (PGS), the researchers and the potters is part of community engagement. This is part of the reducing diarrheal diseases in the community by use of simple ceramic water filter.*

**Keywords:** Ceramic water filter, Community engagement, Rural communities, Safe drinking water

## 1. INTRODUCTION

A University academic is involved in four main activities namely teaching and learning of undergraduate and postgraduate students; research and fund raising and community engagements. The research is mainly undertaken by postgraduate students (Hons, Masters and PhD) students after following a research concept developed by the supervisor/promoter. The supervisor develops the research concept based on the University's research thrust on niche and non-niche areas. The purpose

of this paper is to review what is involved in community engagement by determining the factors that contribute to community engagement. The factors that underpin community engagement from my perspective are the following: the theoretical aspects of teaching and learning of students, writing proposals to attract research funds, then undertaking research as activity of knowledge generation and lastly carrying out the research in or with the community (community engagement).

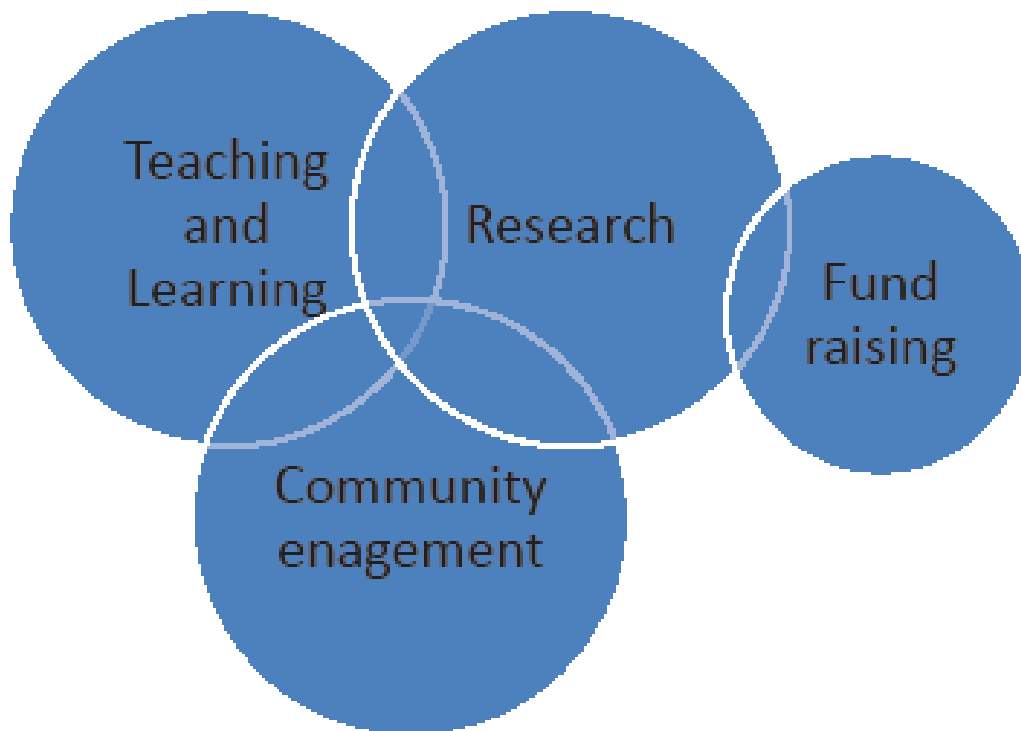


Figure 1: The interconnectedness of the research agenda

## 2. TEACHING AND LEARNING AT THE UNIVERSITY OF VENDA

At the University of Venda I teach modules that contribute to a four year Bachelor of Earth Science in Hydrology and Water Resources. The Bachelor program has a hierarchical classification according to the Department of Higher Education and Training under the first order is CESM 14: Physi-

cal Sciences; the second order level is 1406 Geology and Earth Sciences/Geosciences and the program in Hydrology and Water Resources falls on the third level in 140665 Hydrology and Water Resources Science (CESM, 2008:153, 156-157). According to Pathirana, Koster, de Jong, Uhlenbrook, (2012) hydrology embraces a number of fields such as aquatic ecology, sanitary engineering, water supply engineering, hy-

draulics, water resources management/governance and hydrological modelling.

Hydrology is defined as the water draining a river basin involving surface waters and underground (groundwater); an understanding of the elements and their interactions of the terrestrial water cycle; and also involves the local geological features and weather systems (Wagener, Kelleher, Weiler, McGlynn, Gooseff, Marshall, Meixner, McGuire, Gregg, Sharma, Zappe, 2012). A student who graduates after studying the discipline is called a Hydrologist- a person who deals with surface water flows or a hydrogeologist (geohydrologist)- a person who deals with groundwater flows (Wagener et al., 2012). Thus the student is expected to learn the language of and other competences related to Hydrology. The drainage of the basin or catchment in its natural state is a heterogeneous system that involves complex forms of spatial and temporal organisation. As a result students must have an understanding of the fundamental physical laws, the conservation of energy, mass and momentum as delimited by the natural environment (Thompson, Ngambeki, Troch, Sivapalan, Evangelou, 2012). Knowledge in hydrology terms counts as input and output in a catchment and the best analogy is the watering of flower pot model. From this simple illustration the learner must be able to increase knowledge by first mastering the basic principles and terminology of the discourse, so that they will be to converse like expert hydrologists from an early stage for their training (first year level). Thus, the student must comprehend, learn and contextualise hydrological processes involved at the basic flower pot scenario and be able translate this to natural systems. This according to

Thompson et al. (2012) requires higher order, reflective, metacognitive and critical thinking skills. Then Neumann, Parry and Becher (2002) add another dimension that the students require skills for memory retention of facts and ability to logically solve structured problems. Hydrology is classified as a hard applied discipline and the student must progressively acquire and add knowledge and techniques (from first year to fourth year) in solving complex water related problems.

My initial teaching and learning approach is teacher centred as I understand myself as needing to deliver the content, the subject matter, and information to the student. However I will also review these teaching methods and strategies on being a good teacher. Dessus, Mandin, Zampa (2008:50) stated that teaching and learning are basically one activity combined and called teaching, understanding the components of teaching and the four underlying principles of teaching that translate to efficient learning. These four principles are:

- *Cognitive diagnosis (how to infer the student's cognitive state;*
- *Subject matter analysis (how to represent subject matter to be delivered);*
- *Teaching tactics (what is the set of instructional actions to choose from) and*
- *Teaching strategies (what is the most adequate teaching method, regarding the previous questions).*

From the definition of Dessus et al. (2008) it can be implied that there are must be central figure (teacher) who is in a position

to interface between the context (information, knowledge, subject matter) and the student who must have a set frame of mind (cognitive state) to be receptive. The teacher must develop teaching schemes or tactics and plans or strategies in to ensure maximum delivery of the subject matter.

Good teaching is best described by research on conceptions of teaching (Biggs, 1999) who postulated on teacher centred and student centred strategies. Teacher centred strategy, the focus is on knowledge transmission from expert (teacher) to an in-expert learner (student) and the teacher main task is 'getting it' across. The 'it' is the information, subject matter, knowledge. The student centred strategy is based on student exploring and gathering information on his (her) own and the teacher is almost invisible but must be around to initiate the process of teaching and learning. But Northedge, (2003a) stated that the students actual resent the idea of this self-exploration exercise and they (students) want value for money by having the teacher deliver the subject matter.

The 'old traditional' way of students learning through attending lectures, writing notes during the lecture and getting assignments to complete at home, is the basis of the teacher-centred approach or the discipline-oriented studies. This approach encourages students to adopt a surface approach, which promotes passive learning since the teacher/lecturer provides lecture notes. I use this teacher-centred approach with my first and second year students. The teacher-centred approach has been the cornerstone of teaching and learning in Hydrology at higher education

institutions (HEI) world-wide, in the past decade (Pathirana et al., 2012). However, the teacher-centred approach worked well in the past with small classes as the massification of students with a diverse background means that there must be re-shift of theories of teaching and learning (Jury and Vaux, 2005; Pathirana et al., 2012; Seibert, Uhlenbrook, Wagener, 2013). However, the student-centred approach is aimed at allowing students to adopt a deeper approach, a most desired mode based on the theory of active learning that is a more 'constructivist' approach (Biggs, 1999), which in turn promotes active student learning. Activities that build on facts (knowledge) exposes the learner to various tools, methods and approaches that are based in practical work. The constructivist approaches entail the student's construction of new knowledge by referring to prior knowledge and memory. The new knowledge is then stored in long term memory. The prior knowledge may be shaped by current readings by the student and interactions with past experiences. Here the students carry out case studies based on real world experiences and engage in groups (team work) to provide a solution. This is akin to problem based learning. The students therefore, become active in their learning as opposed to passive learning where that would be waiting for the teacher to hand out notes and the ensuing social interaction within groups is called socio-constructivism.

The students are coached, in the discourse of Hydrology & Water Resources, to speak and write the terms, ways of thinking and other competencies competently (Northedge, 2003b). This is achieved in a num-



ber of ways. These ways involve students working in group (encourage team work) in which and the students select their own representative to deliver the report to the rest of the class. The final year students are also required to select a research topic, in consultation with the lecturer or myself, upon which they carry out a research study that leads to a mini-thesis. Here, the students are expected to construct 'new knowledge' by evaluating what other experts have done on the research topic in the past by engaging in a literature review and aligning this knowledge to their research activity. The proposal, in the form of power point, is then presented before a panel of experts, fellow lecturers and an audience of students. After carrying out the research (gathering data or information), the data is analysed and knowledge constructed to achieve a certain desired outcome (to achieve the research objectives) in line with theory. The writing of the mini-thesis seeks to coach the students on research writing skills and the use of correct scientific language and other discourses related to the discipline. The production of the mini-thesis is, therefore, a form of knowledge generation that draws on a constructivist epistemology. Thus in my teaching and learning approaches I draw upon the theories of teaching and infuse them to become a better teacher. The students especially the fourth year students must write a research proposal and carry out the study with or within the community.

### 3. INCLUDING THE RESEARCH AGENDA

The University of Venda develops these research niche areas based on its unique geographical location and thus be able to

attract research funding from national and international sources. For example the University of Venda (Univen, 2015), the niche areas of research are:

- *“Developing and Managing Farming and Agro forestry System for Improved Livelihood and Food Security in Rural Communities”*.
- *“Integrated Environmental Management, Settlement and Energy for Sustainable Development”*.
- *“Combating Poverty and Illiteracy and Promotion of Gender Equality and Socio Economic Rights”*.
- *“Indigenous Knowledge System”*.
- *“Socio-Economic and Health Related Aspects of HIV and AIDS”*.
- *“Water Research for Improved Quality of Life.”*
- *“Investigating Maternal, Child, Youth and Women Health, Investing in Youth and Reversing the Trends.”*
- *“Entrepreneurship, Micro-finance, Innovation and Management of Human, financial and Heritage Resources to Bridge the gap between the First and Second Economy in South Africa”*.

These research niche areas have been developed based on the unique location of Univen. it is surrounded by a rural communities and close to the former capital city Thohoyandou, of the defunct Venda Bantustan and is located in the Limpopo Province, one of resource rich (minerals and wildlife) province with a population of 5.631 million with the majority of communities living in rural areas (Statistics SA, 2014; Limpopo

ucts) in freshwater bodies and reservoirs;

- *Using simple ceramic water filters and defluoridation techniques in improving drinking waters in rural communities;*
- *Improving the access of water and sanitation in rural schools.*

#### **4. CERAMIC WATER FILTERS IN RURAL COMMUNITIES**

The aim of the Millennium Development Goals (MDG) of 2015 and the Sustainable Development Goals (SDG) is the improving the access of communities to safe drinking water and thus reducing diarrheal diseases that account for 1 million per annum deaths in under-5 (U5) in developing countries (Statistics SA, 2013; UN, 2015; Chola, Michalow, Tugendhaft, & Hofman, 2015). In South Africa, the urban communities have better access to safe municipal drinking water being supplied by large water utilities such as the Rand Water (Gauteng province), Northern Lepelle Water (Limpopo province), Umgeni water (Pietermaritzburg and parts of Kwa-Zulu-Natal province) (National Treasury, 2011). Of late these water utilities have been tasked by the Ms. Nomvula Mokonyane, Minister of Water and Sanitation, South Africa to improve the drinking water supplies of rural communities after the repeatedly failure of district municipalities in providing a safe and reliable water supply (NCOP Social Services, 2015; South African Government, 2015). Thus in the absence of a reliable and safe drinking water supply rural communities resort to use of private boreholes and purchase of drinking water from private borehole owners and use

of surface water sources (rivers, streams) without treatment (Bessong et al., 2009; Rananga & Gumbo, 2015). The health authorities have advised the communities to treat the surface water sources by adding 'JIK' or bleach (which contains chlorine, a powerful anti-microbial agent) (Lehloea & Munyima, 2000). This is a welcome development but often the turbidity is high thus negating the benefits of chlorination (Szaabo & Minamyer, 2014; Mohamed, Brown, Njee, Clasen, Malebo & Mbuligwe, 2015). One way of improving the drinking water quality of rural communities is the promotion of ceramic water filters.

Ceramic water filters (CWF) have been promoted for use in developing countries since these improve the drinking water quality at household level (Sobsey, Stauber, Casanova, Brown & Elliott, 2008). The CWF are simple but unique in that sawdust is added during their manufacturing, curing, sun drying and firing in an oven. The burning of sawdust creates tiny pores in the matrix of the CWF which are invisible to the naked eye but allow the passage of water molecules and trap microbial organisms, suspended and colloidal materials. In order to improve the efficacy of the CWF, silver nanoparticles (AgNPs) and copper nanoparticles (CuNPs) have been added during their manufacture (Smith, 2010). Even in the absence of expensive inorganic microbicides such as AgNPs, CuNPs the CWF is still effective in reducing microbial load (Van Halen D, van der Laan, Heijman, van Dijk, Amy, 2009). Ceramic water filters are able to reduce high turbid waters to less than 1 NTU and reducing the high microbial load associated with turbid waters

po Development Plan, 2015). Thus access to a number of amenities are low such as access to water borne sanitation (majority use pit and Ventilated Improved Pit) (Sibiya & Gumbo, 2013); low access to chemically and microbial safe drinking water (Foss-Kankeu, Jagals, du Preez, 2008; Besong, Odiyo, Musekene, & Tessema, 2009; Makhera, Gumbo, Chigayo, 2011) and or the municipal drinking water supply if available is erratic and unreliable (Rananga & Gumbo, 2015). Thus based on these factors there is ample grounds to develop research concepts that target to reduce and improve the rural societal challenges such as safe drinking water, sustainable use of natural resources; improvement in access to water and sanitation in rural schools. The rural schools have been targeted mainly due to use of ventilated pit latrines (VIP) and a central water tap that is located at the centre of the school (Sibiya & Gumbo, 2013) and lack of hand washing facility within the VIP (Sibiya & Gumbo, 2013) and the lack of soap usage during the hand washing process (Curtis & Cairncross, 2003). The use of soap and clean water for hand washing has been known to reduce diarrheal and respiratory diseases. A study by Curtis and Cairncross (2003) found that about there was 50% reduction in diarrheal diseases was achieved and if this simple process was regularly used and a nearly 1 million lives could be saved. Another study in Pakistan by Luby, Agboatwalla, Feikin, Painter, Billhimer, Altaf, Hoekstra, (2005) demonstrated the effective hand washing with plain or antibacterial soap and water also lead to 50% reduction in diarrheal and respiratory infections and also that there was no significance differences in the types of soap that was used (plain or antibacte-

rial soap). In South Africa, it was found that 3.1% of total deaths were attributed to diarrheal diseases and was the number three killer, 11% of all deaths among under children under 5 in 2000 (Lewin, Norman, Nanan, Thomas, Bradshaw, & Collaboration, 2007).

The use of recycled soap is gaining momentum as shown by the launch of Global Soap project that aims to collect used soap at hotels worldwide. In the United States of America, hotels are known to discard approximately 2.6 million bars of use soap per day (Global Soap Project, 2011). Some of this recycled soap has been donated to a rural school, St Kazito Primary school, located in Eastern province of Kenya this has led to increased usage of soap and improvement in sanitation and hygiene efforts among the 1320 students (Global Soap Project, 2011).

Thus honing on the research theme, "*Water Research for Improved Quality of Life*" I have developed research concepts around here and my research activities are:

- *Freshwater cyanobacteria species and their effect on rural water quality and inland aquaculture and how to reduce cyanotoxins in these ecosystems;*
- *Water quality issues related to pre and post-mining activities and the management of tailings dams and how to reduce contaminates originating from these mine tailings;*
- *Environmental risk assessment of nanowaste (dealing with disposal of waste originating from nanotechnological prod-*

(Brown, Sobsey, & Loomis, 2008; Sobsey et al., 2008).

The manufacture of CWF can be done by promoting the traditional potter that is resident in the rural community. The traditional potter is the natural person since they have accumulated wealth of knowledge and experience in making ordinary clay pots used for cooking and water storage (Zulu clay pot, 2016). Secondly the traditional potter has knowledge of clays and their

Figure 2: A variety of traditional clay pots found in Sese district, Masvingo Province, Zimbabwe



Source: (Author)

The clay material is obtained from a source known by the potter, collected and dried and then pound to powder and ground into fine clay particles using a grinding stone. The clay material is then mixed with water to make dough from which the clay pot is shaped. The clay pot is then sun dried for at least seven days and fired in an underground oven. A large hole is dug in the ground and the clay pots are packed and a zinc sheet covers the hole. A fire is

properties and their sources in the village. Thirdly the traditional potter has the market where they sell their clay pots either in the rural community or in urban areas. Lastly the traditional potter has no knowledge on the incorporation of sawdust but is willing to learn as demonstrated by interaction of the author and traditional potters in Sese and Chiwundura districts of Zimbabwe; Vhembe and uMkhanyakude districts of South Africa. The traditional potters of Zimbabwe and South Africa follow the same procedure of making the traditional clay pot.

then set alight on top of the zinc sheet and temperatures of above 800°C have been recorded in the kiln (Chotoli, Quarcioni, Lima, Ferreira, & Ferreira, 2015). The high temperatures are sufficient to harden the clay pot and make them strong. Also these high temperatures are sufficient to burn the sawdust should these being added to the clay matrix.

The postgraduate students would then partake in the research activities involving the ceramic water filters and clay material. The

traditional potter would make the CWF by trial first. Here the potter adds a certain percentage (say one cup of sawdust to four cups of clay) in order to manufacture the CWF. The particle size of the sawdust is very important and is 250  $\mu\text{m}$  as measure by tea strainer and or traditional beer strainer (Figure 3).



Figure 3: A traditional beer strainer is suitable for measuring the particle size of the sawdust (Source by author)

After subsequent trials and testing if the CWF is able to filter water, the potter can then provide a sample CWF to the researcher, who in this case is the author. The researcher would buy this pilot CWF for further testing and evaluation by postgraduate students (PGS). The researcher would

initially provide the sawdust to the potters and later there is a need to develop local combustible materials such as maize husks and other crop residues (Figure 4).



Figure 4: The use of combustible materials such as (A) saw dust from saw milling company and (B) maize husks from a farmer's field (Source by author)

Once in the laboratory the PGS would subject the CWF to tests such as flow rates using deionised water; physical, chemical and microbial analysis using surface water from nearby rivers and streams (Figure 5). During the laboratory analysis the PGS learn to appreciate the efficacy of the CWF in improving and reducing the microbial quality of drinking water.



The dirty water is filtered into bucket which has a tap in order to draw the water and prevent further contamination. (Source by author).

The laboratory report is prepared and then communicated with traditional potter by the author on the efficacy of the CWF in reducing microbial load. If there are any adverse reports such as cracks and slow filter rates, these are immediately communicated to the potter so as to manufacture other CWF by adding more sawdust. This back and forth communication would result in a refined and effective CWF that can now be marketed. Again the PGS would be tasked with producing marketing material in order to assist the traditional potter to sell their CWF to wider community.



## 5. COMMUNITY ENGAGEMENT IN PROMOTING CERAMIC WATER FILTERS

The involvement of PGS, the researchers and the traditional potters is part of community engagement (Figure 6). This is part of the reducing diarrheal diseases in the community by use of simple ceramic water filter. It is estimated that 1.1 billion of our fellow citizens lack access to safe drinking water and one in ten of the diarrheal deaths worldwide of children under-5 are due to this consumption of unsafe drinking water (Chola et al., 2015). . The traditional potter would now sell the CWF to the wider community as they sell the ordinary clay pots. The researcher would continue to work with the traditional potters in improving the quality of the CWF.

Figure 5: (A) The finished ceramic water filter sitting on top of bucket and filtering of dirty river water and (B) is clean purified water.

Figure 6: The interconnectedness of the research agenda



The PGS would benefit first by interacting with traditional potters they gain knowledge about clay materials and making of clay pots (indigenous knowledge transfer and sharing) and secondly they graduate with a Honours, Masters and or PhD qualification (output). Lastly the researchers would also benefit from the community engagement, firstly the student output (graduation) and writing of peer reviewed manuscripts for conferences and or submission in accredited journals and lastly the satisfaction that idea of promoting ceramic water filters in communities works (reduced diarrheal diseases by monitoring clinical records). The traditional potter is able to reap financial rewards in selling CWF and also gaining knowledge (technology transfer) about improved ceramic water filter and also sharing this knowledge with other traditional potters.

## 6. CONCLUSION

Community engagement is a complex entity. But by sharing of technology transfer and indigenous knowledge can meet half and thereby improving the drinking quality of the local communities. The involvement of postgraduate students in the research removes the notion that universities are ivory towers. The modernising of the traditional clay pot to make it filter water for human consumption is one way of enhancing community engagement.

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# IMPLEMENTATION OF THE WARD BASED OUTREACH TEAMS PROGRAMME IN THE RURAL AREA OF KGETLENG SUB-DISTRICT, NORTH WEST PROVINCE

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## ABSTRACT

*This paper investigates the implementation of ward Based Outreach Teams programme in the rural areas of the Kgetleng sub district, in the North West Province of South Africa. The Department of Health has set a long-term goal of establishing National Health Insurance in the country. This would provide equitable and universal coverage for a defined package of healthcare. One of the key pillars of NHI is the re-engineering of Primary Health Care, which has at its heart in the development of Ward-Based Outreach Teams who will take the responsibility for specific groups of households. In this regard, the South African Department of Health has considered re-engineering of the Primary Health Care model in the country in making sure health resources; technology and quality services are available, accessible and affordable to all communities. The North West province Department of Health is currently piloting the Primary Health Care re-engineering programme, which include the Ward Based Outreach Teams programme in all four Districts. Bojanala, Ngaka Modiri Molema, Dr. Kenneth Kaunda and Dr Ruth Segomotsi Mompoti. In Bojanala District, the pilot site is in ward five in Kgetleng sub district. In this paper, the quantitative research design was used where self – administered questionnaires were provided to the Community Health Workers (CHW) and the Outreach team leaders (OTL) for data collection. The findings of the paper indicated that WBOTs contribute towards a better understanding of local health care needs, inform service priorities and build stronger relationships between service providers and users in the communities. The key elements to practise this service are person-centred comprehensive care, collaboration between people and practitioners, and continuity of health care.*

**Keywords:** Ward Based Outreach Teams (WBOT), Primary Health Care (PHC), Community Health Workers (CHW) and PHC re-engineering

## 1. INTRODUCTION

According to Bam, Marcus and Hugo (2013:3) South Africa has established ward-based Community Health Workers (CHW) outreach teams, as part of a series of strategies to strengthen primary health care. The key elements to practice this service are person-centered comprehensive care, collaboration between people, practitioners, and continuity of health care. This will be community-orientated primary healthcare (COPC) on a massive scale, and it is estimated that 7 000 such teams all over the country (Community Health Workers and a nurse, supported by a doctor) need to be established. They would provide basic preventive care and health promotion, identify people at risk, support adherence in chronic care, offer home-based care and help integrate care at the community level (Mash and Blitz, 2015:274).

WBOTs in the local areas are supported by a PHC clinic that is largely nurse-driven, with part-time support from a doctor. In overall support of these WBOTs and clinics, a family physician is required to ensure evidence-based best practice, integrate care, help evaluate and reflect on what is happening, as well as mentor and capacitate team members. This research will be an important contributor to achieving these goals (Beasley, Starfield, van Weel, Rosser and Haq, 2007:516). The delivery of the health system in South Africa and other developing countries is an important measure that affects a country's health status (Marmot, Ryff, Bumpass, Shipley and Marks, 1997:901). The healthcare service delivery system is the mode to combine

inputs and to allow the delivery of a series of interventions or serviced actions in order to improve the health condition of people (Bhattacharyya, McGahan, Dunne, Singer and Daar, 2008). This study investigated the implementation of the Ward Based Outreach Teams (WBOT) in a rural area in the Kgetleng Sub-district, North West Province.

According to Motsieng(2012:6-8), the MEC for the Department of Health in the North West Province has indicated that in the 2012/2013 financial year, the WBOT programme will make the financial year a defining moment in the history of the health service delivery in the North West Province. In addition, Outreach Teams (WBOT) will soon be on the ground visiting patients in their homes and providing the much needed health care services. "The WBOT approach will require all of us as health professionals, tribal authorities, the community, various families and patients themselves to work together to fight diseases from inside of our homes and out in broader communities", said Dr. Masike(Motsieng, 2012:6-8). However, in light of all discussed above, the health sector in the province, in South Africa and in developing countries are still faced with so many challenges. These challenges are the huge health status gap between urban and rural areas, low level of health awareness, cost of healthcare, scarcity of specialty care and under-resourced infrastructure (Schneider & Barron, 2008).

In recent years, these health sector problems have become more serious and higher priority has been given to delivering health service and meeting the needs of the poor

in rural areas in many countries (Reddy, Patel and Jha, 2011:760). It is recognised and indicated that strengthening health delivery system as a priority for countries and governments to be able to meet the basic health needs of their people, especially for poor and vulnerable populations (Marmot, Allen and Bell, 2012:1011). Challenges in the province and developing countries, including South Africa, are to find ways which will enable to address this basic health needs more effectively (David, Sameh, Banafsheh, Katja and Marko, 2009).

## 2. STATEMENT OF THE RESEARCH PROBLEM

The Kgetleng Sub-district is one of the pilot projects since the Ward Based Outreach Teams (WBOTs) programme was first established in the Bojanala District in North West Province in 2011. This is one of the three areas of the PHC re-engineering strategy being implemented in the Province of the North-West and the rest of the country.

Bojanala Operational Reports (2015) indicates that there are high rates of maternal death, defaulters and lost to follow-up of patients on HIV and TB medication. These are the challenges that face the Kgetleng sub-district in the optimal implementation of the WBOT programme in the district. The problem the paper is focused on, therefore, was to gain insight into the understanding of the implementation of the Ward Based Outreach Teams (WBOT) programme in the rural areas of Kgetleng Sub-district, in the North-West Province.

## 3. RESEARCH METHODOLOGY

The research design that is applied in this paper is descriptive. A quantitative research method was used. Quantitative methodology is associated with analytical research and its purpose is to arrive at a universal statement. Terre Blanche, Durrheim and Painter (2006) point out that a quantitative method begins with a series of predetermined categories, usually embodied in standardised measures and uses these data to make broad and general comparisons. The quantitative method was based primarily on confidentially structured questionnaires provided to 27 Community Health Workers. The Kgetleng Sub-district has 41 CHWs (Bojanala Report, 2015). The target population for this paper was CHWs working at the WBOT in the rural area of the Kgetleng Sub-district. In this paper, the population consisted of Kgetleng Community Health Workers (24), Outreach Team Leaders (2), and Professional nurse (1) of the feeder clinic. Twenty seven (27) respondents make up the paper population. These respondents resided within the catchment area of the Kgetleng Sub-district.

Self-administered questionnaires have been used for the purpose of this paper. The development of a questionnaire was informed by reading and reviewing of the literature during proposal writing. A total number of twenty seven (27) questionnaires were distributed to the targeted respondents. The use of self-administered questionnaires in the data collection process is critical, since it makes large samples

feasible and has an important strength with regard to measurement generally (Leedy and Ormrod, 2013).

Leedy and Ormrod (2014) state that data analysis in a case paper involves the steps listed below:

- Organisation of detail about the case – the specific facts about the case is arranged in a logical order.
- Categorisations of data – categories are identified to help cluster the data into meaningful groups.
- Interpretation of patterns – specific documents, occurrences, and other bits of data are examined for the specific meaning that they might have in relation to the case.
- Identification of patterns – the data and their interpretations are scrutinized for underlying themes and other patterns that characterize the case more broadly than a single piece of information can reveal.
- Synthesis and generalization – conclusions are drawn that may have implication beyond the specific case that has been studied.

In this particular paper, data analysis followed a quantitative research analysis approach and steps mentioned above for data obtained through the questionnaires.

## **5. LITERATURE REVIEW**

The Department of Health has embarked on a strategy for re-modelling the implementation of the primary health care system using community and clinical health care worker teams to improve support and to strengthen the districts health services. Primary Health Care re-engineering has three streams: Ward Based Outreach Teams (WBOT), District Clinical Specialist Teams (DCST) and the School Health Programme. The integration and collaboration across all three streams is important to ensure the improvement and success of the primary health care across the district and the Province of the North West and to improve maternal and child health outcomes (NDOH, 2012:2).

### **5.1. WARD BASED OUTREACH TEAMS (WBOT) PROGRAMME IN SOUTH AFRICA**

According to Sepulveda (2006:2017), observations from many developing countries suggest that provision of home and community based health services and their links with the fixed PHC facilities in particular are critical to good health outcomes, especially child health outcomes. The role of community health workers in many countries has contributed to better health outcomes (WHO, 2007). The South African Department of Health has suggested that this is the result of a multiplicity of factors related to community based health workers. The adverse factors include inadequate training, inadequate support and supervision, random distribution with poor coverage,

no link between the communities based services and services offered by fixed health facilities, funding through NGOs with inadequate accountability, limited or no targets for either coverage or quality to be reached (NDOH, 2011). According to Fris-Hanssen and Cold-Ravnkilde (2013) the impact of HIV on key impact indicators has also contributed considerably to the relatively poor health indicators and is independent of interventions made by CHWs or other health workers and interventions. Many of these factors could be corrected if CHWs were part of a team, were well trained, supported and supervised with a clear mandate both in terms of what they are expected to do and of the catchment population that they are responsible for. The ward based PHC outreach team is designed to correct these limitations in the way community based health services are currently provided in the country (Gemma, 2015:57). Given the key role that CHWs will play, they should, over time, be directly managed by the Department of Health (as opposed to NGOs). This move has already happened in all the provinces in the country. The strategies for direct management by the Department have already happened and all the districts in the country have done an audit on the number of CHWs, to be trained and employed by the Department of Health as CHWs. The PHC reengineering toolkit for implementation of the WBOT in provinces indicates that each team is linked to a PHC facility with a nurse in each facility, who is the team leader.

The team leader is responsible for ensuring

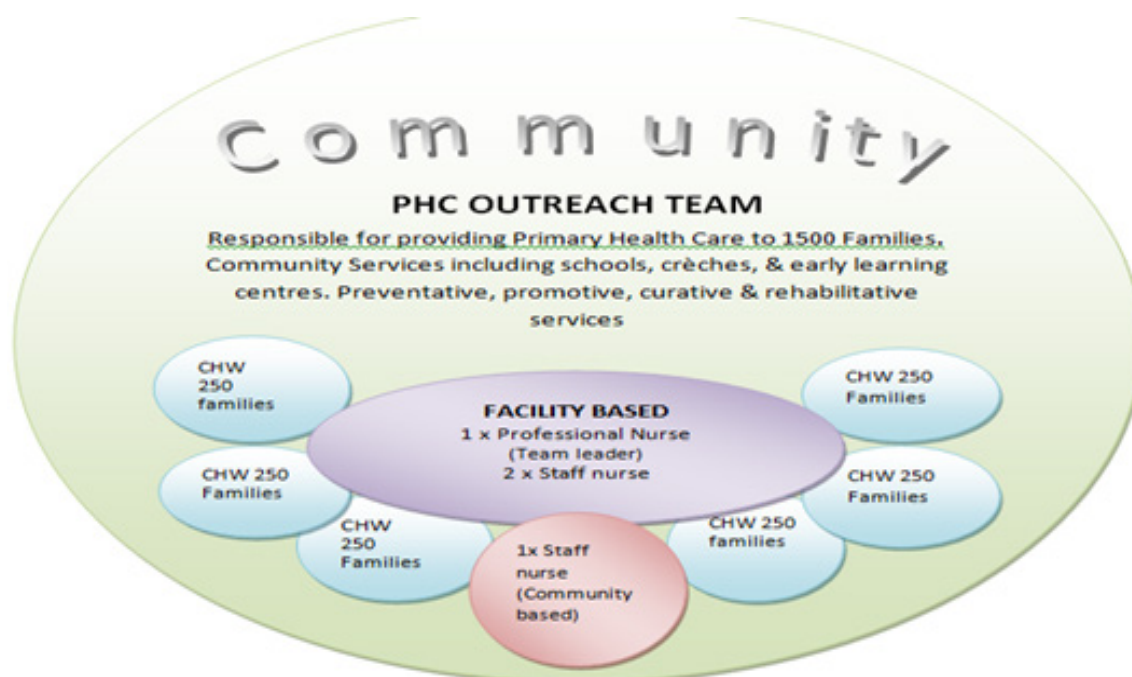
that their work is targeted and linked to service delivery targets and that they are adequately supported and supervised – this approach has been adopted and provinces have been implementing this strategy as from 2011 (NDOH, 2011, Matsoso and Fryatt, 2012:21). The WBOT implementation tool kit also indicates that the re-engineered approach to providing PHC services proposes a population based approach for the delivery of services. In addition, the PHC outreach is a service to the uninsured population of South Africa.

It further indicates that the Department of Health in a sub-district or on local levels will deploy PHC outreach teams in rural areas, in informal urban settlements as well as townships. According to Matsoso and Fryatt (2012:2), the Ward Based PHC Outreach Teams (WBOT) which are one of the one streams of the re-engineered PHC model are the level of health service which provides services to communities, families and individuals at community –based institutions and at a household level in a ward. Furthermore, the ward based PHC outreach team is the cornerstone of community based PHC services, which encompass activities in communities, households and educational institutions, and referral networks with community based providers.

The researcher, however, will only concentrate on and conducts this research on the Ward Based Outreach Teams (WBOT) area of PHC reengineering.

The diagrammatic PHC Outreach Teams (WBOT) model is presented in figure 1 below.

Figure 2.1: The Ward Based Primary Health Care Outreach Team (WBOT) adopted from NDOH (2011)



## 5.2. KEY ASPECTS OF COMPREHENSIVE PHC IMPLEMENTATION

The WHO (2014) indicates eight elements that form the basis of comprehensive PHC programme interventions in order to achieve the goal of health improvement. These elements include the following: “education on prevailing health problems and methods of preventing and controlling them; promotion of food supply and proper nutrition; an adequate supply of safe water and basic sanitation; maternal and child health care including family planning, immunization against major infectious diseases; appropriate treatment of common diseases and injuries; and the provision of essential drugs.” (Lehmann and Sanders, 2007).

Denhill, King and Swanepoel (1998) indicate that, overall, in any health care programme or strategy, the successful implementation of PHC must be guided by the following principles:

- Political will: The presence of progressive political will is central to the success of a health system.
- Integration of promotive, curative, preventive and rehabilitative health care services.
- Equity: Communities must have equal access to basic health care and social services without segregation of sub-groups and provision of care.
- Accessibility: Health services must reach all people in the country in terms of geo-



graphical, financial and functional accessibility.

- **Affordability:** The level of health care services must be in line with what the community and country can afford. Not being able to afford should not be a limiting factor to receiving health care.
- **Availability:** An adequate and appropriate health services to meet particular health needs of each community.
- **Effectiveness:** Health services provided must meet the objectives for which they were intended and should be justifiable in terms of funding.
- **Efficiency:** Objectives and goals accomplished should be balanced to resources used.

These principles mentioned above determine the success or failure of any WBOT and PHC programme worldwide.

### **5.3. FACTORS THAT FACILITATE SUCCESS OF WBOT IMPLEMENTATION**

According to Lewin and Lehman (2013:3) most comprehensive PHC programmes that are successful come as a result of good government policies and legislature for equitable implementation of efficient and cost-effective health care interventions; they also emphasize the need for community and individual participation (Lewin and Lehmann, 2013:3).

- Government commitment and will
- Community participation by stakehold-

ers

- Cost-effectiveness, efficiencies and equity

## **6. LESSONS LEARNED FROM INTERNATIONAL EXPERIENCES**

### **6.1. LESSONS LEARNED FROM CUBA**

According to Gorry and Keck (2014:407), Cuba is an example of the successful implementation of community participation. It involved the integration of the mass democratic movement into formal governance structures, including health. Institutional structures were developed to allow for the participation of communities in decision making and policy processes. Furthermore, public officials were elected to People Power Assemblies at the provincial and national level to represent community interests. In addition, all authority comes from the people and all accountability comes from the state to the people (Birkland, 2014).

Oviedo (2011) state that, In Cuba, Each People Power Assembly at each level of government appoints the personnel of the administrative agencies assigned to it. Each health facility had an advisory committee consisting of representatives; management consults with the advisory committee on issues that affect or require participation from the community. Though rarely done, the community has the power to request the removal of health workers. According to Oviedo (2011) Cuba developed a unique Family Doctor Programme that attaches a family doctor and a nurse to every 120-140 families. These health workers are responsible for all the health needs of that

community (including health education, promotion and curative services). Furthermore, this has strengthened communities' understanding of health matters, and promoted the collective discussion and solution of health problems, thereby improving the families and communities' participatory skills. However, a criticism of this approach is that it fostered dependence on medical interventions of the communities.

## **6.2. LESSONS LEARNED FROM BRAZIL**

According to Spink (2011:50), the example of the Unified Health System in Brazil has been the guiding vision behind the South African Re-engineering Policy. Furthermore, social participation in health is mandated by the constitution to be included in all levels of government (Health councils – 1 national, 27 state and 5500 municipal). According to Crisp (2014:249) the health councils are permanent bodies in charge of formulating health strategies, controlling implementation of policies, and analysing health plans and management reports submitted by their respective level of government. Furthermore, strong interactions exist between councils, managers, and policy makers, forming a complex and innovative decision-making process. All councils are made up of health care users (50% of members), health workers (25%), and health managers and service providers (25%). In addition, health conferences are held every four years at the three levels. The mandate of these conferences is to assess the health situation and propose directives for health policies, thus contributing to inclusion of themes in the public agenda. Among other democratic mechanisms, the participatory budget adopted by several

states and municipalities is also innovative. A proportion of the health budget for a city (municipality) or state is defined on the basis of popular vote; the population of a given city can vote, for example, on whether a new intensive-care unit or more health posts should be built (Crisp, 2014:249).

## **6.3. LESSON LEARNED FROM ZAMBIA**

According to Resnick (2014), declining Gross Domestic Product (GDP) and decreasing health budgets have impacted negatively on many countries in Africa. In Zambia, for instance, PHC implementation began in August 1981, with steady progress and interventions that included the training of community health workers, construction and upgrading of rural health centers, improved distribution of medicine, a strengthened transport system, as well as improved health planning and management. Furthermore, these interventions were largely driven by the economic boost that Zambia experienced due to the increase in the global demand for copper - Zambia's main export product and the country's major source of income at the time (Resnick, 2014). Furthermore, the current public health system is two-tiered as well as inequitable and unsustainable in terms of poor financial resources allocation, inadequate human resource, staff turnover and unequal access to health care services. The two-tiered system is characterized by poor management, supervision and poor quality of health care services and deteriorating infrastructure in the public sector, whilst the private sector is characterized by over-pricing of services (Kautzky et al, 2009).

## 7. DISCUSSION OF THE FINDINGS

This section provides the findings of the study from the data collected.

### 7.1 Challenges and successes experienced with the WBOT programme?

All 100% respondents indicated challenges and successes encountered with WBOT programme. The respondents indicated that they worked hard in spite of the challenges to achieve the WBOT goals and objectives. However, there are also successes with this programme such as many patients are able to adhere to treatment and live their healthy lives. The responses also indicated that there are challenges and successes in the WBOT programme. The challenges are such as patients not wanting the CHWs to know their status, early booking of anti-natal clinic, adherence to antiretroviral (ARV) regime, shortage of vitamin A or patients giving wrong addresses. However, there are successes in the programme such as patients being able to be referred to the clinic for treatment early or the community being able to get knowledge on different diseases in a form of one on one and campaigns. Nxumalo and Choonara (2014) state the importance of mobilizing, communicating with and involving local stakeholders including Department of Health to generate support and develop networks that can continue to support WBOT to address the challenges highlighted above.

### 7.2 Respondents knowledge of factors that make the implementation of the WBOT programme a success/failure.

In this section, the researcher discusses the factors mentioned by respondents that

make the implementation of the WBOT programme a success or failure. All 100% respondents' indicated that they have difficulties when referring patients to the clinics. One respondent indicated that "some nurses are rude to the patients when they refer patients to nurses." This results in patients refusing to go to the clinic when referred. They indicated that they are unable to provide patients in the community optimal support due to poor participation of so community structures.

Negative attitude towards the respondents by the community and the nurses in the clinics were also indicated in this study as a factor in the success of WBOT programme.

Furthermore, respondents indicated that community structures are not involved and recommended that they need to be encouraged, allow them to be fully involved and participate in health issues. From the responses, it is found that community participation and negative attitudes in health issues of some structures and nurses are some of the factors that contribute to the WBOT programme success or failure.

### 7.3. The difficulties of working with nurses in the health facilities

All 100% respondents had different forms of difficulties working with nurses in the facilities. Difficulties such as bad attitude, not taking us (CHWs) seriously, not completing the referral forms, not wanting to touch the patients because of bad smell were major difficulties indicated by respondents in working with nurses in the facilities.

It is clear that there are difficulties in working with nurses in the health facilities. Respon-

dents indicated that some nurses are being rude to the patients when they referred to the facility, this results in patients refusing to go to the clinic when referred. Nxumalo and Choonara (2014) highlight the importance of working with all stakeholders including nurses for optimal implementation of the WBOT programme.

#### **7. 4. The benefits of working with nurses and patients in the health facilities**

All 100% respondents indicated the benefits of working with nurses and patients in the health facilities. The respondents indicated that some nurses do co-operate and help us by talking to patients in a correct manner. They make things easy for us and the patients. Regarding the patients, they indicated that they become impossible, refusing to take treatment, and even to go to the clinic for admissions. It came out that despite the difficulties working with nurses; there are benefits of working with the nurses in the facilities. According to Nxumalo et al. (2014), it is indicated that working hand in hand with the government, the community structures, nurses and patients is critical in the success of WBOT programme. It has been shown in these responses that working together with nurses will improve the programme.

#### **7. 5 The strategies to improve community participation**

All 100% respondents indicated that there are challenges that are facing community structures with WBOT and also highlighted the strategies that can improve community participation in the WBOT programme. They indicated that it is important for all relevant structures and stakeholders to meet and plan together; otherwise the community would not be able to attend these meetings. They also indicated that the community is tired by meetings and campaigns that are coordinated separately without its involvement. It is noted in the survey that community mobilization and involving local stakeholders to generate support is critical.

According to Dennill et al. (1998), community participation is a critical support activity for PHC system to achieve the goal of health for all. The responses in the table 5 above indicate that respondents are in agreement that there are challenges that the community structures are facing to encourage and support WBOT. Some of those challenges are: the Department of Health does not listen to the community needs, the feedback is not taken seriously, and there is a great need for educating the community and their leaders in terms of WBOT. It came out clearly in these responses, that stakeholder involvement and participation is a key in the success of the WBOT programme.

### **7. CONCLUSIONS FROM THE FINDINGS**

The results from the respondents have shown that there are successes, challenges and lesson learned from this paper. The results of the paper indicate that the programme is being implemented well even though it is in its pilot phase in the sub-district. It has shown that more and more people are being helped by CHWs in their own homes. The long queues in the clinics have been reduced, because many patients are treated at home by the CHWs. The programme has managed to improve and it saves many lives in the communities of the Kgetleng Sub-district. In addition, the findings of the paper also indicated challenges such as bad attitude of some nurses in the facilities, nurses not able to complete the referral forms, wrong addresses by patients and refusal of some patients to allow the CHWs to visit and enter their homes. Furthermore, the findings of this survey highlighted the importance of mobilizing and involving local stakeholders to generate support. They also can develop networks that can continue to support WBOT implementation.

**Objective 1: To evaluate the experiences of CHWs in the implementation of the WBOT programme.**

The findings showed that respondents regarded WBOT as a good programme and as one that is doing well. Experiences by CHWs such as unwillingness of the patients to disclose their status, giving wrong addresses, patients swearing at the CHWs, lack of knowledge of the community regarding WBOT, and finally, a lack of community participation were found to hamper the successes of the programme. Howev-

er, willingness and commitment to help the community from the CHWs enhanced the WBOT programme implementation. Despite challenges that the CHWs experienced in their duties, they continued working and helping the community to be a better and healthier one. According to the WHO (2008), community participation is a critical support activity for the PHC system to achieve the goal of health for all. In addition, participation should be active, communities have the right and responsibility to exercise power over the decisions that affect their lives and there must be mechanisms to allow for the implementation of the decisions by the community (Dennil et al., 1998).

The findings for the paper showed that there are still challenges regarding optimal community participation in the health issues in the community. One respondent indicated that "when they organize campaigns, some people don't attend, so the information is not spreading as it should". Furthermore, the findings indicated in this paper that the referral system is a big challenge for the respondents when conducting their work. According to WHO (2007), a referral system plays one of the key roles and gives input to the approach for the optimal implementation of the WBOT programme. In addition, the CHWs role in the household is to assess and identify health problems in the community, and if needs be, refer to the nearest facility. According to the NDOH (2011), referral forms should be completed by the Outreach Team Leader (OTL) to the clinic and the clinic to the Outreach Team. However, this is not the case according to the respondents. They encounter problems of nurses not completing the back referral form and they indicate that this causes the

patients to default. The findings from this objective is a clear indication that CHWs, community structures, all stakeholders should be supported, planning together with government entities and ward counsellors in the community would achieve the desired goals that will help the community to get more involved in the WBOT programme.

### **Objective 2: To identify and evaluate factors that facilitates the implementation of the WBOT programme**

The section on factors facilitating the implementation of the WBOT programme have shown that working hand in hand with the community structures, ward counsellors and the nurses in the clinics is critical to the success of the WBOT programme. Of the 12 respondents, eleven (92%) share their views of what they encounter from the community regarding the WBOT programme. However, one (8%) of the respondents felt that as CHWs, they are not being taken seriously. Nxumalo and Choonara (2014), in their rapid assessment of the WBOT programme findings, highlight the importance of mobilizing and involving local stakeholders to generate support and also develop networks that can continue to support the WBOT programme implementation. The findings of this paper further indicated all twelve (100%) respondents encounter some form of difficulties with nurses when working in the health facilities.

The difficulties mentioned by the respondents are (but not limited to): bad attitude,

being rude to patients, failure to record after issuing medication, not being taken seriously, nurses not completing the back referral form, not wanting to touch the patients because of a bad smell. These were major difficulties that the respondents encountered when working with the nurses and they indicated that they sometimes compel the patients in the household not interested to go to the health facility (clinic) when referred. However, there are also benefits of working with nurses in the health facilities. The respondent number one (1) indicated that "*some nurses are cooperative and help us by talking to the patients in a correct manner and they even fill out the back referral forms*". Respondent number three (3) indicated that nurses are knowledgeable in the field of health and are able to give advice; and where they are not competent, they refer to the medical officer.

### **Objective 3: To make recommendations to the District Management Team with regards to the findings of the paper to be implemented.**

The respondents suggested various strategies and recommendations to improve the WBOT programme implementation. All the twelve (100%) respondents suggested that they needed support beyond the normal duties that they conduct in the communities, such as taken seriously and be appointed permanently as government workers. Suggestions for improvements included:

- Local stakeholders in the community to meet, plan and coordinate together

- Improve mobilization and involving local stakeholders
- Training and education of the community about WBOT
- Strengthen communication amongst the community structures and
- Conducting community campaigns and dialogues so that the community can understand WBOT and get involved.

## 8. RECOMMENDATIONS

The next section will outline the recommendations of the paper for various stakeholders in WBOT programme. It is recommended that:

- The North West Department of Health should recruit more male CHWs for gender representations in the community structure making males to see the contribution they can make in the WBOT programme. There is a need to formulate a gender mainstreaming policy on hiring of CHWs in this programme. Information on all aspects of CHWs appointment criteria should be known to all members of community.
- NWDOH should recruit more CHWs under the age of 40 years because they are still young and able to cover the long distance walking.
- The respondents ought to be trained

and to be provided with career pathing. The CHWs have been provided with Phase 1 training and are still to continue to Phase 2 training and Phase 3 NQF qualifications, which is a one year occupational training accredited by QCTO; finishing this they would be able to enter into health promotion field. The NWDOH should continue to recruit more OTL and CHWs to cover all the wards needed for optimal implementation of the WBOT programme.

- Professional development and mentoring opportunities for CHWs and the OTLs should be provided, as many of them have a working service of between 1- 3 years.
- A conducive working environment should be created by providing good working relationships with providers of service such nurses, social workers, health promotion and environmental health practitioners to respond to needs of the communities.
- Policy changes need to be communicated efficiently, both to health professionals and the community to avoid resistance and confusion.

## 9. CONCLUSION

This paper indicates that the successful WBOT programme provides a more holistic approach to addressing the health needs of all individuals and promotes the development of community participation, provision of staff in clinics that have positive attitudes and willing to help the community. In addition, this paper shows that proper re-

ferral system, working together with stakeholders is important for smooth running of the WBOT programme in the community.

In addition, resources are needed to support CHWs; these are cadres that help people who are sick in the community. Furthermore, this paper shows that CHWs can make a valuable contribution to community health development and more specifically, they can improve access to and coverage of communities with basic health services.

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# STUDENT REPRESENTATIVE COUNCIL: ADDRESSING INFORMATION NEEDS OF STUDENTS AND EVALUATION OF INFORMATION DISSEMINATION CHANNELS USED BY THE SRC OF THE UNIVERSITY OF LIMPOPO

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## **ABSTRACT**

Students' representative formations in institutions of higher learning are responsible for governance and administration of students' academic matters. That is, they lead and represent students on various platforms on or outside university campuses. For the Student Representative Council (SRC) to be truly representative, it has to have information about matters affecting students and also how the university functions. This will enable students to access information on policies, academic rules and any other information that affect them. The term access, in this paper, is taken to mean ability to obtain, read, understand and apply the information efficiently and effectively. It is imperative for students to know the role of the SRC, its activities and challenges that affect students. This will allow active participation of students in university activities and SRC administration to enhance students' wellbeing at the university. This paper argues that whereas there are many students who need SRC intervention upon violation of certain academic policies and rules, it is worth noting however, that due to the inaccessibility of SRC, some of such students are left with little or no information to address their challenges. This is in spite of the fact that the SRC is mostly considered to be better positioned to educate and make information accessible to the students. It is for this reason that this paper has sought to investigate how the SRC at the University of Limpopo learn about student's information needs. It is important that students get the right information, at the right time, at the right place, in the right format using the right information dissemination channel. Moreover to evaluate the dissemination channels in use to reach the entire student body. The paper concludes by illustrating how the accessibility of such channels can be improved.

**Keywords:** Information needs, dissemination channels, communication channels, Student Representative Council, policies and procedures.

## 1. INTRODUCTION

Studies on students' governance show that Students Representative Councils (SRCs) remain the important stakeholder of academic institutions worldwide and are responsible for students' governance (Klemenčič, 2012). Klemenčič indicates that SRCs are the fulltime governing body entrusted with specific matters by their constituency and university management. In the South African context, the SRCs are now considered to be statutory structures as provided for in terms of section 35 of the Higher Education Act 101, of 1997. Section 35 of the Higher Education Act 101 of 1997 allows for the establishment of the SRC which has jurisdiction over students' matters. SRCs represent students on forums such as School boards, Faculty boards, Senate and University Councils. In this case the SRC have to exercise authority over students and hear students' cases or issues.

It is clear that the SRCs serve as a link between the student body and the university management. To ensure success of student affairs on campuses, SRCs should liaise closely with students in order to understand the needs and challenges facing students they represent. Through their services, SRCs lead various activities and are responsible for coordinating formation of students' organisations, societies and clubs in order to enhance the university environment for students. This suggests that SRCs, as leadership bodies, need to have access to quality information for good governance. Characteristics of good information are (Wright, 2013):

- Valid: - information should be accurate and reliable to ensure that no misunderstandings occur, as this could lead to a wrong decision being made.
- Reliable: - To ensure that information is valid and not sourced from someone/ somewhere that is known to spread disinformation.
- Fit for purpose: - Information should be relevant to the students, for example information about examination rules should be given to students, not staff promotions.
- Accessible: - making sure that information is available for use by any student that needs it is important because it could be the difference between the correct and wrong decision.
- Timely: - Information should be obtained and used in a timely fashion to ensure that any decisions being made are made as easy as possible.
- Reliable", "timely", "fit for purpose" to mention a few. Quality information is important for the SRC because it can assist it with planning, making informed decisions and solving students 'problems effectively. As such, information remains an important resource for enabling SRCs to undertake their responsibilities effectively.
- Understandable by the user: - If information isn't understood then it cannot be considered usable information in the first place and would be pointless to gather from the start. When developing information, it is important that it is what the user requires and that they are able to understand it.

- Communicated by an appropriate channel of communication (Lucey, 2005:20)

According to Appiah (2012:3) information dissemination channels and can be grouped as (i) people intensive (room to room campaign, rally/students gathering and encounter in the lectures halls) (ii) mass media (radio, newspapers, magazines, posters), and (iii) information communication technologies (text messages, emails, social networks:- Facebook, twitter and WhatsApp). Hence, this paper focuses on how SRCs use information to maintain good governance and which idcs are used at the University of Limpopo. To map out the role of SRCs in addressing information needs of the students at the university, it is crucial to firstly to explain the conceptual framework that underpins this paper.

## 2. CONCEPTUAL AND THEORETICAL FRAMEWORK

Like any formal structure the SRC should have a constitution. According to Bonakele, *et al* (2003), SRC constitution is a basis for the operation and management of the SRC, and defines the purpose of existence of the SRC as an organisation responsible for the needs of students. Klemenčič (2014), Klemenčič, Luescher and Mugume (2016), and Luescher-Mamashe-la and Mugume (2014) added that members of the SRC have to execute their duties in accordance with the provisions of

the SRC constitution. The SRC constitution is regarded as a written enactment of the will of the student body. Such a constitution also provides for a less chaotic and non-confrontational manner of addressing disagreements with the development of policy and practice within students' governance (Bonakele, Mxenge, Thabakgale, & Tabane, 2003: 7). Some of the functions of SRCs are summarised as follows (Bonakele, *et al*, 2003):

- To address the needs of all students in the university.
- To keep the students informed about the events in the university and in the university community.
- To encourage good relationships within the university between learners and academics, and between students, administrative and support staff (health centres, library, counselling services etc.)
- To establish, for the benefits of students in the university, fruitful links with SRCs in other universities

The UL SRC is also expected to adhere to its constitution. It is the role of the UL SRC to forge links within the university and identify the challenges that the University and its students faces. This can be achieved when the SRC has the responsibility to gather and report valuable information to students and thus show interest in the student daily information needs.

The formation of the SRC in various universities is based on these three models namely, Liberal Democracy Model, Direct

Model approach and Representative Democracy Model (RDM) (Perkin 2006; Bukaliya & Rupande, 2012). The Liberal democracy model postulates that a representative democracy is one in which the ability of the elected student representatives to exercise decision-making power is subject to a constitution incepted by the students to guide the operations, a constitution which emphasises the protection of students rights and freedoms and regulates the actions leaders against making unpopular decisions (Dahl, 2000). The direct model approach posits that in an organised institution, students participate in the decision-making of the organisation personally, contrary to relying on intermediaries or representatives. The direct democracy model gives the voting student population binding orders to its elected representatives, such as recalling them before the expiry of their term in office (Bukaliya & Rupande, 2012). The RDM apparently is of major use today in most institutions of higher learning including the UL. The RDM involves elections and the organisation with plurality of the votes becomes student council to represent the wishes and desires of the student body (Bukaliya & Rupande, 2012). This takes the form of negotiations, and lobbying on behalf of students (SRC Kwame Nkurumah University Science and Technology, 2014/2015). At UL on an annual basis the SRC elections are held whereby different organisations such as South African Student Congress Organisation (SASCO), Pan Africans Student Movement of Azania (PASMA), Students Christian Organisation (SCO), and Economic Freedom Fighters Students Command (EFFSCO) canvases to be elected as student representatives.

The student representatives are elected by the student body to act on their behalf and in their interest; they retain the freedom to exercise their own judgment as how best to do so (Dahl, 2000). The RDM seems to be the most preferred as it clearly describes the role of SRCs as to represent the student body which elected them for that purpose. This does not conclude that the model has no flaws.

Bloch (2016:18) agrees that SRCs must represent all students. This could be possible if the SRC serves as the voice for all students by presenting issues as are necessary for smooth academic environment. The challenge with this is that even at UL like any democratic organisation, the majority rules. Allegations have been made of the UL SRC as serving the interests of the majority of the students who voted for them. Klemenčič (2014) notes that the SRCs have been blamed for not defending student interests, but end up serving the interests of the political parties to which elected student representatives belong to. SRCs are political party wings and/or student branches. The situation is the same at UL where students' branches belong to political parties such as African National Congress (ANC), Economic Freedom Front (EFF) and Pan African Congress (PAC). There are eleven students' branches at UL in 2016.

The SRC is expected to intervene and act on behalf of students. In representing and providing information to students, the SRC should be able to identify the needs and challenges of the students hence use of the information foraging theory as a framework for this paper. The Information Foraging is deemed necessary in the context of this

paper as it describes how UL SRC addresses students' information needs and evaluates information provision channels used.

The *Information Foraging Theory* is drawn from Biology and Anthropology and refers to activities associated with assessing, seeking, and handling information (Pirolli & Card, 1995). The relevance of this theory lies in the fact that in order for the SRC to provide quality information to students, it should be able to assess the quality of information and if it addresses students' information needs. Moreover the SRC has to obtain information from various sources so that they govern effectively. The information foraging theory suggests that people should shape their behaviour to the information environment, and for the information provider (SRC) to know how information environment can be best shaped to people (students). This call for students to know which IDCs are used by the SRC. For example, UL-SRC prefers distribution of pamphlets next to major entrances, walls around campus, next to SRC offices and more important is for students to attend mass meetings so that they have access to quality information. At the same time the SRC should also be cognisant of the idcs that can reach majority of the students. This theory is critical to this paper as it is important to understand how UL SRC assesses and identifies students' information needs to ensure that the right information for the right student at the right time. The foraging of information refers to grouping information items into specific format and sources within space and time.

In addition, the foraging of information includes Information patch model and infor-

mation diet model. Pirolli and Card (1995) explain information diet model to refer to ranking the information by its profitability divided by the amount of time required to handle it, while Information patch model refers to displaying of information in reasonable packages and categories in a scrollable manner in which it will be easier to decide which one is relevant or not. The Information diet model alerts the UL SRC that it should to recognise that there is too much information circulating at university for students. Moreover, the SRC should determine which information is important for which students. The SRC should take into account that students have academic activities to complete within specific timeframes; as such the information disseminated should be arranged according to its importance and for the students to afforded reasonable time to access it.

On the other hand, the information patch model recommends that information should be arranged according to title/topic/theme so that the students should be able to scan it and decide whether it is relevant for them to read it. For example, it is expected that the agenda to list specific items to be discussed in the meeting. On the same note while in the meeting, the agenda should be followed to avoid derailing the purpose of the meeting. Even the disseminated pamphlets should not cover too many issues which at times are unrelated or have no relevancy to students 'issues'. Simply stated, the SRC has to provide information which is relevant to students. For example, during university orientation the SRC should talk to new students about what the SRC is about, what they do, university policies, rules as some new students may have

no idea about life at a university in general.

The SRC should put across as much information as possible so that students may lead successful and effective academic life during their university years. To have a better understanding SRC governance and information dissemination channels, students' information needs will follow.

### **3. SRC AND STUDENTS INFORMATION NEEDS**

SRCs exist for the benefit of the students in order to help students share ideas, interests, and concerns without tutors, other members of different faculties, administrative staff and to build harmonious relationships between students themselves (Bukaliya & Rupande, 2012: 74). According to Luescher (2009) in most universities in Kenya, the students' unions also supplement the services that are offered by the university. These include information dissemination on matters such as assistance with academic and administrative problems, peer counselling, the provision of financial assistance for needy students, offering study facilities and services, and running businesses such as bookstores, Internet cafés, tuck shops and restaurants (2012: 74). Ledwaba when interviewed by Luescher- Mamashela (2013: 79) indicated that during his time as SRC leader at University of Cape Town (UCT) SRC focus on an institutional level was on academic matters such as ensuring that the academic calendar was not hostile to students, focused on academic development programmes and academic support staff, and academic exclusion of students. Another generally applicable issue would

be engagement to ensure that fees do not necessarily go up, he added.

At some stages students' needs have led to protests that were experienced in most South African universities but the paper discusses those that affected UL.

#### *Academic matters*

It is vital that the SRC gather information from their constituencies about issues brought before the meetings and authorities as well as about any issue that their constituency might have (Bukaliya & Rupande, 2012: 75). This could be information on policies and rules that govern teaching and learning which are very crucial so that students are not taken off guard when they have to appear before disciplinary structures or are excluded from the university depending on the individual circumstances. The role of the SRC when it comes to exclusion is to advise and intercede on behalf of students who have become financially or academically excluded in the past academic year (The Dailyvox, 2015). At UL the university rules are covered in printed general university calendars and the websites. The SRC is expected to be conversant with application of rules in a practical situation. In most cases when students face academic exclusions the first place they turn to for help is SRC chambers. The UL SRC should be able to provide information such as grounds for students' exclusion, appeals' procedures and the role of students' counselling services in general.

Challenges tackled by UL SRCs are many and varied. There were instances where students raised concerns about extension of library hours, inadequate technologies,

financial matters, accommodation and transport. The commitment to serve students was realised when UL SRC attended to the following issues as ... in the letter dated. The letter read as follows;

*On the library issue the SRC warned "that if the management does not comply to this commitment we are going to occupy the library and become the staff of the library unit until the University employs enough staff who are going to be on full operation at 08h00-00h00".*

As from 08 March 2016 the library operated from 08h00 to 00h00, however the question is whether opening for longer hours has translated into use of library resources or the library is merely used as a space for reading because residences tends to be noisy in most cases.

#### *Technological equipments*

Universities need to ensure that students have adequate access to technological equipments such as computers to enable them to improve access to information

for NSFAS funding even though it may not cover all the fees. SRC members sometimes are not aware of the information to provide with regard to financial matters. The Department of Higher Education and Training (Mafilika, 2016) has organised roadshows to capacitate student leaders on issues such as tuition fees. Some SRC Presidents and Secretaries General submitted a list of demands to the Ministry of Higher Education at a meeting on 15 January 2016 (Ministry Higher Education and Training, Republic of South Africa, 2016). The letter covers progress made on (1) No financial

they need for their studies. Students have to type their assignments, search online databases and internet as well as to access blackboard facilities. The study by Mansor and Nor (2011) established that SRCs also needs to use technology to communicate with students about planned and unplanned notices of the mass meetings, postponement of academic assessments (tests and examination), social events such sports and entertainment. The fact that the university does not have enough computers is frequently mentioned in the SRC memoranda to management (Zha, Gao & Ni 2013).

#### *Financial matters*

Financial information that students require includes information on how National Students Financial Assistance (NSFAS) operates, when to apply, what other financial assistance such as the merit bursary by the university are available, who qualifies, etc. The SRC intervene so that students qualify

exclusions in 2016 (2) the historic debt that must be cleared (3) free registration for all students. At the meeting of the SRCs with the Minister of Higher education alluded to the fact that some of the issues are the responsibilities of universities, while others are systemic and therefore the responsibility of the Ministry. This response may cause frustrations between the SRC and their constituencies. How much of this information was the SRC aware of? Mafilika (2016) indicated that there is communication break-



down between students and university management. The UL SRC like other campuses led marches concerning NSFAS. This reaction by the SRC makes one to question how much information they have on how NSFAS functions or ask why the protests take place on campus instead of directly contacting NSFAS head offices.

#### *Accommodation, security and transport*

The other issue that has featured predominantly on the agenda of SRCs across most campuses in South Africa is students' accommodation. South African universities have a challenge of a high number of students who cannot be accommodated on campus and have to find accommodation outside campus. UL also experiences such a challenge. Even though accommodation is available in the neighbouring Mankweng Township, where the university is situated, most students may still need to know about crime and transport to campus. There are times when they have to write tests up to 19h00 or study at the library until late in the evening. The UL provides transport for students who live off campus even though it's still a logistic challenge. It's impossible to drop off students at their respective gates due to narrow streets and footpaths. This make females to remain vulnerable and fear walking late by themselves.

#### *Personal Development skills*

First entering students arriving on campus university for the first time are responsible for their choices such as making decisions relating to budgeting, health, entertainment to mention a few. Unlike other universities UL has a Peer Support Programme where senior students mentor first entering

students (mentees) adjust socially and academically to the university life. Nevertheless the SRC remains an important source of information and support to students in dealing with any form of harassment from other students and lecturers (Klemenčič, 2014). In February of 2016 the UL SRC issued a strong worded pamphlet which read as follows "We would like to urge all our female students to report all cases of sexual harassment to the office of SRC as we are totally against these devilish acts that are being done to our future mothers and parents of this country."

#### *Rights and responsibilities*

The Constitution of the Republic of South Africa 1996 guarantees individual rights. The Constitution guarantees the students' right to protest, the right to information, but these right go with responsibilities. These rights mean that individuals should be informed on how to behave under different situations. Budoo (2016) a project officer at Human Rights Commission commented that some female protestors marched half naked at Rhodes University concerning the rape claim. This action by half naked female students was at the same time violating the Criminal Law (Sexual Offences and related Matters) Amendment Act 2007 Section 3 (2), she added. The Criminal Law (Sexual Offences and related Matters) Amendment Act 2007 Section 3 (2) provides that 'any person who is 18 years or older who wilfully and openly exhibits himself or herself in an indecent dress or manner at any door or window or within view of any public street or place or in any place to which the public have access, shall be guilty of an offence'. This provision was enacted taking

into account all the requirements of section 36 of the Constitution of the Republic of South Africa and therefore, irrespective of the emotions that one is experiencing, legally speaking, nudity as a form of protest is not allowed in South Africa (Budoo, 2016). One may question whether the Rhodes University SRC had information regarding violation of others rights and responsibilities by half naked female protesters. Therefore, even if one is filled with emotions, one is not allowed to exhibit himself or herself during protests as this is violation of other peoples' rights. When students are informed they are expected to make better decisions and avoid unnecessary legal repercussions.

#### *Historic symbols*

UL (formerly University of the North) renamed its buildings, residences, public spaces, and streets after certain political struggle stalwarts as far back as 1993. For instance Tiro Hall is named after Abram Onkgopotse Tiro who was elected president of the Student Representative Council (SRC) in 1972. On other campuses, African students studying in former White universities rejected and destroyed statues associated with colonialism and apartheid. Politicians and concerned individual rejected the move as they indicated that the National Heritage Resources Act of 2009 outlines the consultative processes that should be followed in the case of the removal of a statue. This may be information protesting students and the SRC lack. Matebesi as cited by South African Broadcasting Corporation (2015) maintains that the removal of these statues would deny future generations the opportunity to know the history of South Africa.

#### **4. INFORMATION DISSEMINATION CHANNELS**

As the representatives of the student body, the SRC has a responsibility to report valuable information to their fellow students. It is vital that they gather information from their constituencies about issues brought up in meetings with authorities as well as about any issues that their constituency might have (Wang & Salo, 2009). Lines of communication between different sections of the university community must always remain alive, open and never allowed to get blocked (Appiah 2012:3). The information dissemination channels mainly used by UL SRC are;

##### a) *Mass meetings*

The SRC in most universities are usually expected to hold regular and annual general mass meetings as indicated in their respective constitution. Mass meeting refers to large or general assembly to discuss or hear discuss some matters of common interest or concern (Merriam-Webster Dictionary, 2005). During these meetings, SRC leadership learns about students' needs, informs them about University management decisions and provides information about activities on campus and so on. Mass meetings are used for information gathering exercises in order to allow student leaders to understand the needs of students. Furthermore, it is also a way for students to engage the governing authority so as to ensure that their information needs are met (Ballard, 2008:168).

Despite the mass meetings being a common feature in most campuses, it is notable that they have on many occasions failed to attract large numbers of students. In a study by Mugume and Luescher (2015: 11) on politics of student housing at the University of Ghana, established that some students were discouraged from attending SRC's mass meetings because they tended to turn into party-political contests rather than focusing on trying to constructively resolve the challenges facing students. This implies that mass meetings are not always relevant platforms to disseminate the information to students.

Regarding accountability, the main complaint was that the student leaders do not report back to them on certain matters in mass meetings and that they demonstrate little political willingness to the student during their term in office (Koen, Cele & Libhabher, 2006: 409). Another challenge is political apathy which according to Nyundu, Naido and Chagonda, (2015:151) it is when some students do not see the need to be actively involved in SRC or student politics. Apathy can be simply described as the behaviour which reveals a lack of interest in an issue, due to prioritising personal or individualistic concerns. Students have also been described as disinterested in politics, disillusioned with the manner in which protests and negotiations takes place and as wanting everyday issues (Chimanikire, 2009:46).

#### b) Pamphlets

Another way through which SRCs communicates with students is through distribution of pamphlets throughout the university campuses. Hubbard (2006) indicated that pamphlets have the ability to reach a large audience if distributed correctly. This author further stated that when using pamphlets as channels of information dissemination, one has total control over what is said and how it's said (2006). Pamphlets are regarded as the most basic style that gives information on particular subjects explains how things are done (Dhawan, 2009). At UL pedestrian gates are used as key points for distributing such pamphlets mainly for off campus students. This does not mean that students pick up the pamphlets.

#### c) Participation during Protests

When the SRC calls for protests about students issues it represents all or some students' groups. Badat (2016:18) cites an earlier work by Lenin on four kinds of students' groupings;

- One kind is affiliated to and represents particular positions
- A second kind of students' grouping is 'indifferents'- those that are unresponsive and detached from the student protest movement.
- A third kind, 'reactionaries' are opposed to the protest movement.
- A fourth kind, 'academics' believe that student movements should be concerned with academic issues.

Since the SRC represents all students it has to find a balance to make sure that the rights of those who do not want to join should be respected, however on many occasions students were chased out of classrooms, the library and residences. Mafilika (2016) concluded that protests are largely based on lack of information on matters that affected students.

#### d) *Social networking*

It is common finding the youth hooked onto their cell phones accessing social networking sites while on streets, aboard transport, in school and at home (Mansor & Nor 2011). Social networks such as Facebook, twitter, WhatsApp groups may be used during SRC elections or making an announcement on envisaged protests or information on 'going back to academic activities'. The SRC should realise that the power of the #hashtags have grown tremendously in popularity. A warning to both the SRC and students is that they should remember that on social media is sometimes difficult to authenticate the source and accuracy of the information.

#### f) *Community Radio*

Community Radio has obligation to the community it serves. Community radio is essential, democratic, and participatory and should put the information needs of the community they serve. AT UL Radio Turf caters for the university community and surrounding rural villages. It's one of the channels the UL SRC could use to announce academic related matters. Research is needed to know if students do listen to Radio Turf.

## 5. CHALLENGES TO IMPROVED INFORMATION PROVISION

Sometimes it does happen that the SRC fails to address some of the demands adequately or at all. Advantages, limitations and issues associated with student participation in university decision making have been explored in earlier studies (Zuo & Ratsoy, 1999: 3). Bonakele, *et al* (2003:29) warns that the challenges facing student's governance today cannot be resolved simply by constitutional acumen. Proper administration of student governance can, however, go a long way in providing an excellent basis from which these challenges can be tackled.

This paper would not attempt to solve all the challenges individually, but will address the role the SRC should play in relation to understanding students' informational needs in order to remain credible among students. Bloch (2016:18) better addresses the SRC role when he stated that while SRC represent all students, they still represent that majority who voted for them as such one expects them to assist students at large. As SRC they have to decide amongst many students priorities. He appealed for them to do the work and give feedback to students. He urges that "By all means, lead the protests, even disrupt and challenge the law where needed. But tell students the consequences of your and their actions. Democracy means telling the students the truth, even as you lead them forward", Bloch concluded.

According to Obondo in Mwangi, (2015: 24), student representatives have

also been noted to have the capacity to diffuse potential conflicts. This, they can do through regular meetings with their members and administrations, designing mechanism for regular communication, thereby restraining their fellow students from unnecessary conflicts. However, reports on some protests that took place in 2015 in South African have shown that in many protests that took place at various campuses from 2015 were infiltrated or hijacked by people who were not students (Laterza & Manqoyi, 2015). Badat (2016) remarks about the actions taken outside the channels of the SRC's, whose credibility has been called into questions in instances, as "hooliganism" is unfortunate, as is the seemingly hostile attitude to student strikes, even if they are mobilised by groups other than the SRC. Bloch warns that the SRC should not allow minority take over, and should insist on recognition of the votes of the students by doing the work required (Bloch, 2016:18).

The interference of politicians in students' affairs has become a problem in the var-

Makerere University in Uganda. In this study, they found that different kinds of resource exchanges are contributing towards understanding the relationships, which include the financial and political strength of a political party and student leaders' ambitions of a future political career. Mugume and Luescher-Mamashela (2015) concluded that the main negative effect of this relationship is that student leaders are inducted into a patron-client relationship within the political party machinery, which constantly rewards student leaders as they submit to the whims of party bosses. The relationship distracts student leaders from representing

ious universities, it is high time students resisted such a phenomenon (National Union of Ghana Students NUGS, 2011). The NUGS communiqué pointed out that such elected students leaders become "pawns" of politicians neglecting their key responsibilities such as championing the cause of Ghanaian students for which reason they were elected. Jansen is the only vice-chancellor, who, in light of experiences in the rest of Africa, has on the Bloemfontein campus prohibited political party affiliation. The SRC is non-partisan; candidates must be non-partisan although they wear party insignia (Cloete, 2008).

The other negative impact includes high levels of competition between parties, especially around election time. This allows for national politics to invade student politics, and for student leaders to become so 'captured' to the extent that their activism no longer represent students' interests but those of their respective political parties. In 2013, Mugume and Luescher-Mamashela (2015) undertook a more detailed study of

students' interests. On 08 September, Ghana News Agency (GNA) the (NUGS), called on politicians not to interfere in students affairs but allow them to remain focused. This may affect the information that must be provided to students. Since students are eligible for voting they information about different political parties. With this information students will know different manifestos and more, but it should be at the time when students need it.

The SRC further should concern itself with all issues that threaten the congenial atmosphere of learning. In line with governance,

the roles and responsibilities of SRCs may include participation in the development and implementation of institutional and national policies on higher education; advice and support on the development of academic programmes and student-learning experiences; participate in institutional decision making structures; and manage and administer students' representation at different levels.

## 6. Conclusion

The purpose of this study was to indicate idcs used by UL SRC when communicating with the student body. Moreover, this paper indicated various information needs and challenges for students and how SRC could address information needs of the students. The expectation is that the SRC has to show interest in daily students' matters and also take action to correct challenges of the students rather than be passive. SRCs should liaise with many academic formations and engage with various stakeholders on and off campus. Once the SRC is in place it needs to focus on understanding the students' information needs. Such needs are important because they represent the experiences of the individuals or groups involved. There are instances whereby the SRC priorities may not match the priorities of the student body and their services may not be offered to students who do not recognize it as useful. The more information available about the students' needs the better are chances of students viewing it as relevant. It is notable that the SRC also employs different channels such as mass meetings, pamphlets or posters that are pasted against walls within campus, pamphlets with are usually disseminated at the

pedestrian gate which is mainly used by students who stay off campus, those who buy at the nearest shopping complex and those catching taxis to reach various destinations. Most universities have community radio station on campus wherein The UL SRC can reach students via Radio Turf is a platform intended for students. What is crucial is that the information should be packaged to suit the behaviour of the students as per the information foraging model. Timing of when students listen to the radio is very important if the SRC values the students.

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# AN EXAMINATION OF FACTORS HINDERING THE GROWTH OF MEDIA FIRMS IN CAPRICORN DISTRICT REGION OF LIMPOPO PROVINCE, SOUTH AFRICA

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## ABSTRACT

*All firms operate within the challenging macro- and micro-economic factors and internal and external environments. Media firms experience additional challenges from disruptive innovation. With this background, this article reports on a qualitative study that examined factors that hinder the growth of media firms operating in the Capricorn District of Limpopo Province, South Africa. Empirical data was collected by administering an interview guide through face-to-face interviewing with Chief Executives of media firms (n=20). Primary data obtained from the interviews was analysed using Qualitative Content Analysis (QCA). The researchers found that the main barriers of growth of media firms in Capricorn District are associated with political interference, sexual advances, and lack of financial capital.*

## 1. INTRODUCTION

Neo-liberal economics argue that the benefits derived from the growth of firms will trickle down to the lower classes and solve the wicked problem of poverty and underdevelopment (Rittel & Webber, 1973). Private sector growth, away from 'big' government interference, is touted as a silver bullet for the development of poor countries. Media firms are also expected to play their role in this orchestra. However, the chink in this 'neo-liberal' armour is the various macro-economic and micro-economic factors and the internal and external environments that conspire to arrest the growth of the firm and diminish hopes

that come with it. The most prominent of these challenges media firms face today is disruptive innovation of old technology by new ones. Hence, it is important to investigate the ever-changing barriers to growth of media firms-a task we take on in this paper.

Our paper is divided into three sections: Section 2 begins by mapping out the changing media landscape and establishes a theoretical framework that anchors our paper in scientific literature and methodology. Section 3 briefly outlines the methodology used to collect field notes, and Sections 4, 5, & 6 discuss findings and

make concluding remarks and recommendations.

## 2. THE MEDIA INDUSTRY

Zapiski (2003) states that the growth of media firms is an essential part of developing the media industry, as thus, will lead to positive economic contribution including job creation and a growing tax base. Despite their potential, media firms encounter growth challenges from the micro-economic (i.e. reliability of suppliers) and macro-economic (i.e. national legislation, disruptive technological innovation) factors and internal (i.e. organisational culture) and external (i.e. competition) environments. These factors have been explained extensively in the New Firm-Formation Theory (Karlsson, Johannisson & Storey, 2003) and Growth of the Firm Theory (Burns, 2001). We highlight these theories that were used to guide the process of this study in an attempt to arrive at our aim. But before this, we draw on the technological innovation changes sweeping the media industry. These changes, dubbed, disruptive innovation have a potential of decimating existing firms while new ones that take full advantage might emerge from this trend.

### 2.1. Changing trends in the Media Industry

Changes in the media industry are mainly driven by technological changes. However, technological innovation in the media industry is not new. Newspaper circulation began to decline in Europe and North America with the introduction of television and radio over five decades ago. The decline of print media and a gradual migration to broadcast media was driven by technological advances. Today, both the broadcast (i.e. radio and television) and

print media (i.e. newspapers and magazines) are in decline due to the emergence of the Internet in the 90s (Tandon, 2008). Nowadays, consumers prefer online media platforms such as news websites (such as News24), social network sites (mostly Facebook), and instant messaging (including WhatsApp) and so forth (Nutley, 2006; Tandon, 2008: 37-42; Cohen, 2012; Murray, 2012).

### 2.2. New-Firm Formation Theory

There are two approaches central to the New-Firm Formation Theory. One approach has focused on the organisation of the industry and examined the effect that market structure exerts on the ability of firms to enter an industry. A particular emphasis of the industrial organisation approach has been on identifying those characteristics of market structure that either impede or facilitate entry (Karlsson, Johannisson & Storey, 2003: 40-41). The alternative approach focuses on economic conditions in the macro-economic labour market, and of particular interest to the labour market approach is the relative importance of push (i.e. large supply of unemployed workers) and pull (i.e. demand for goods and services) factors determining the aggregate amount of firm formation activity (Karlsson et al., 2003: 40-41). It is important to look at the abovementioned approach in a serious light as the reason to start a firm determines the growth of the firm.

### 2.3. Growth of the Firm Theory

#### 2.3.1. Macro-economic and micro-economic hindrances

McIntyre & Dallago (2003: 51) reiterate that

the growth of the firm is influenced by macro-economic and micro-economic factors and the internal and external environments within which it operates. They point us to a case in Russia that reveals the following macro-economic and micro-economic conditions as barriers to growth, and these are: tax burden, gaps in legislation, limited access to finance, administrative barriers, business security, reliability of business partners, and access to information, training and counselling of entrepreneurs. Similarly, here in South Africa, the obstacles to the growth of firms include: access to finance, crime and corruption, electricity crisis, lack of skills, lack of access to land, and problems of transportation (Mengistae, Daniels, Habiyarimana, Kaplan, Love, Ramachandran, Shah & Xu, 2010).

There are other factors derived from the internal and external environments that also influence the growth of the firm. Burns (2001: 40-72) maintains that there is an expectation for a small firm to transition or grow into a big one. However, small firms do not grow to any size because they are 'life style businesses' that provide the owner-manager with an acceptable income but, more important, a comfortable life-style. Burns continues that, despite this, small firms must develop in the early stages to a certain size if they are to survive. Even 'growth businesses' often grow to a certain size and then falter or stagnate, usually at around five (5) to twenty (20) employees. Going beyond twenty (20) employees often means that the way business is organised has to change. To this end, Burns tabulated a typology of characteristics that distinguish growth firms from static firms.

### 2.3.2. Internal and External hindrances

#### *Growth firms versus Static firms*

Table 1: Characteristics of Growth and Static firm characteristics

	<b>Growth firm</b>	<b>Static firm</b>
Objectives	Maximise profits Increases Sales	Less emphasis on profits More on independence
Organisational structure	'Tree' structure Development of 'teams' 'Clover leaf' (full-time, part-time and temporary) employee structure emerging	'Tree' in well established firms
Style of management	Autocratic to start Consultation emerging	Paternal
Structure of internal accounting	Strong movement to profit centres	Less emphasis on profit centres
Historical data	Strong on cash flow Trend to monthly forecasts	Very little
Key variables	Cash flow Profitability Sales	More emphasis on supplier relationships

Source (Burns, 2001: 41)

### *Purchasing power*

The power of the buyers is determined by the buyer versus firm size and concentration, the volumes purchased, buyer information and switching costs, and their ability to backward integrate. Thus, a small firm selling large volumes to a big company buyer, where these volumes represent small volumes to the big company, is a priori, in a weak competition. The power of the market mix and its ability to differentiate the product and insulate it from price sensitivity will also have an effect. The power of supplier is also affected by the relative size of the firm. Thus, a small firm buying from a big firm is relatively disadvantaged (Burns, 2001) and this might negatively affect its growth prospects.

### *Threat of New Entrants*

The threat of new entrants: barriers to entry keep out new entrants to an industry. These can arise because of legal protection (i.e. patents and so on), economies of scale, proprietary product differences, brand identity, access to distribution, government policy, switching costs, capital costs and so forth. For example, a firm whose product is protected by patent or copyright may feel that it is relatively safe from competition (Burns, 2001: 50-51) leading to complacency resulting in stagnation.

### *Threat of substitutes*

This revolves around their relative price performance, switching costs, and the propensity of the customer to switch. Thus, for example, a small firm selling a poorly differentiated product in a low-price fashion market should find it difficult to compete

(Burns, 2001) and stagnate.

### *Intensity of Rivalry*

The rivalry of an industry will depend on its newness and growth, its attractiveness in terms of profit and value addedness, intermittent overcapacity, product differentiation, brand identity, switching costs, concentration, and diversity of competition and exit costs (Burns, 2001: 50-51). In the case of media firms, an old industry, the competition is fierce, with larger firms dominating the industry and smaller ones at their mercy, and this impact detrimentally on the growth of small firms.

### 2.3.3. Growth facilitators

Burns (2001: 54-56) argues that there are four fundamental ways of achieving sustainable competitive advantage necessary for growth. These are: Cost Leadership (i.e. via mass production), Differentiation (i.e. specialisation), Focus (i.e. Niche Strategy), and Diversification.

#### *Cost Leadership*

Cost leadership is where the firm sets out to be the low cost producer in the industry. This is often unattractive to small firm as it requires economies of scale, constant capital investment in new technology, substantial relative market share advantage and market power and experience curve effects.

#### *Differentiation*

Differentiation is whereby the firm sets out 'to be unique in the industry along some dimensions that are widely valued by customers'. This is called developing a Unique

Selling Point (USP). The firm sets out to establish itself as unique and different from its competitors in some ways. It can then charge a premium price for this unique service experience.

### *Focus*

Focus is when the firm focuses on a narrow target market segment combined with either of the abovementioned strategies. If the firm adopts a strategy of 'focused differentiation' it is said to pursue a niche strategy. This is a very attractive option to smaller firms wishing to survive in the cut throat media industry.

### *Diversification*

In search for further growth, a business has four options, illustrated in the product market mix and they are. Firstly, it can stay with its base product or service, and its existing market, and simply try to penetrate the market further. This involves selling more of the same product to the same market. This is dealing very much with the familiar and is normally the lowest risk option, although the point will come when further penetration is not possible or economic. Secondly it can develop related or new products for its existing market. Thirdly it can develop related or new markets for its existing products, and lastly, it might try moving into related or new markets with related or new products.

The strategies discussed above are called 'horizontal' strategies. Two further strategies for growth open to the small firm are 'backward vertical integration' where the firm becomes its own supplier of some basic raw materials and services, and 'forward vertical integration' wherein the firm

becomes its own distributor or retailer. Synergy is often used as a justification for diversification, particularly through acquisitions or mergers. Synergy is concerned with assessing how much extra benefit can be obtained from providing linkages within the value chain (Burns, 2001).

### *Managing Growth*

The process of how growth is managed also affects the development of the firm. Greiner's growth model shows each evolutionary phase dominated by a particular management style used to achieve growth. Each evolutionary period presents a management problem to overcome. Only phases 1 to 3 really apply to smaller firms. However, the model demonstrates how the management style adopted by the owner-manager must change if they are to pass successfully through the different phases of growth (Burns, 2001: 61-67).

- *Existence*: strategy is to stay alive, and the company needs to find customers and deliver products/services. The organisation is simple. The owner does everything. Planning is minimal/non-existent.
- *Survival*: strategy is to establish the customer base and product portfolio. The company has to demonstrate that it has sufficient products and customers to be a viable business. It has control of its revenue and expenses to maintain a cash flow. The organisation is still simple and planning is, at best, cash flow forecasting. The owner is still "the business".
- *Success*: the company is big enough and has sufficient customers and sales to es-

establish itself with confidence. The owner has acquired functional management and basic marketing, financial and operations systems. Planning is in the form of operational budgets. This company has two strategic options. The first option is disengagement. If it can maintain its market niche and/or, adapt to changing circumstances, the company can stay like this for a long time. If not, it will either fold or drop back to the survival stage. The second growth is if the owner consolidates the company, clarifies his vision and ensures that resources are diverted into growth, strategic planning is introduced to achieve that vision. The business, however, must remain profitable.

- *Maturity*: the firm begins to develop the characteristics of a stable company with professional management and formal information systems which inform planning.
- *Take-off*: this stage is critical but provided the owner-manager can ensure satisfactory finance and management, the firm can become very large.

### 3. **METHODOLOGY**

The use of a qualitative research design for this study is supported by Creswell (2013) and Patton (2001: 39). In line with this, the researchers administered an interview guide through face-to-face interviews with Chief Executives ( $n=20$ ) of Media firms operating in the Capricorn District. Capricorn District includes Polokwane, the Capital City of Limpopo Province in South Africa. An equal number of male and female Chief Executives Officers were purposively sam-

pled. A Qualitative Content Analysis (QCA) was used to analyse the rich text and talk emanating from the interviews with media industry executives (Bryman, 2008; Denscombe, 2010).

### 4. **RESULTS AND DISCUSSION**

First, the following key themes kept re-emerging: 'political interference', 'political appointments', 'sexual advances', 'being asked for sex', 'supply chain corruption', 'white monopoly capital', and 'businesses are held by whites'. Shockingly, all responses on 'sexual advances' were uttered by female respondents. This may suggest that the female media firm owners are asked to perform sexual intercourse with the government official and/or politicians in positions of power and influence in return for government tenders. We discuss these findings in more details later.

Second, the researchers' findings indicate that there is lack of growth of media firm in the Capricorn district region. This is despite the fact that most of these media firm owners are mostly young Black people that are favoured by the government's positive discrimination policies of Broad-Based Black Economic Empowerment (BBBEE) when allocating government tenders (RSA, 2003). Moreover, female business owners seem to be at more disadvantage than their male counterparts. Again, their disadvantage is despite the fact that they are favoured more than males by the government's positive discrimination policies. It would seem that the respondents' age, race, and gender does not have an impact on the growth of their business in this regard.

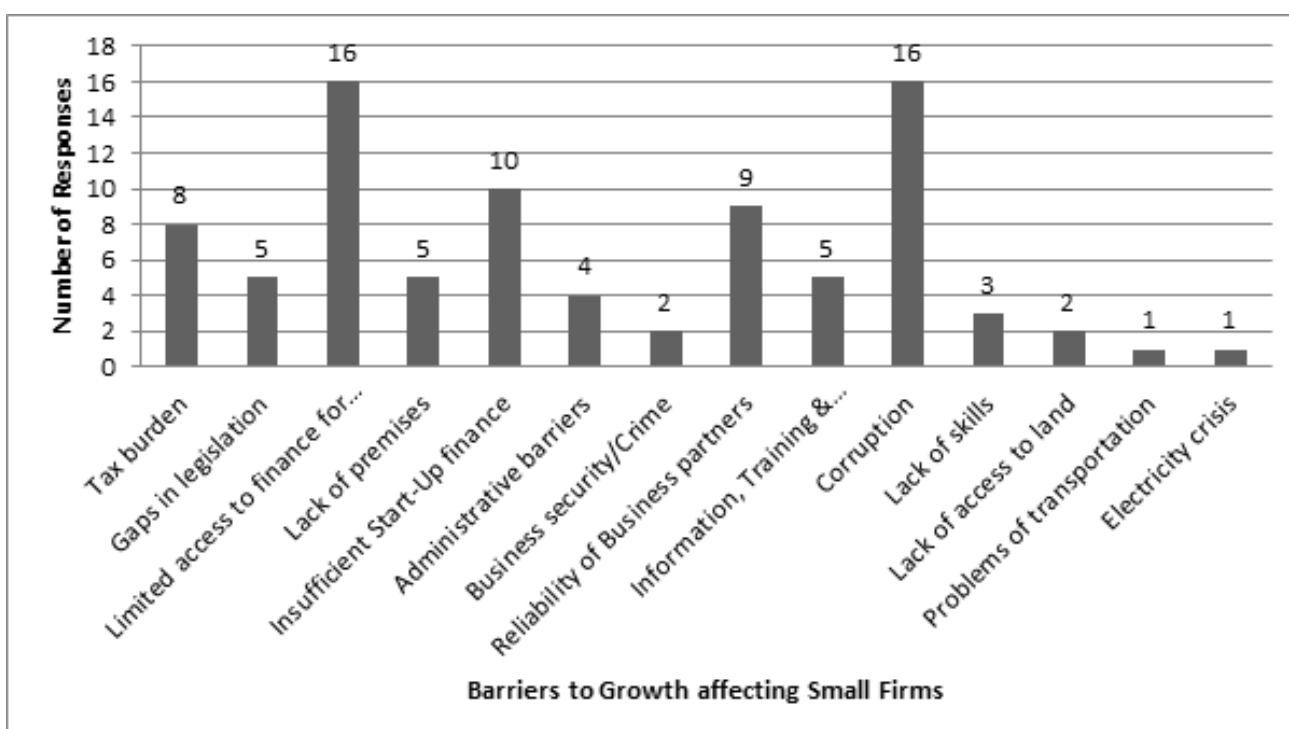
Third, this study attests to the fact that the



level of education of an individual does not guarantee business success and even those with business qualifications struggle to grow their businesses. This makes sense because most of the respondents do business with the government that operates in a political environment that is much politicised. All the respondents complained about negative political interference from political party officials and government bureaucrats in the awarding of public tenders.

Fourth, and on the up side, previous work experience seems to benefit small business owners that worked for large media companies in Gauteng Province. Their exposure with those media houses outside the province assisted them to craft their strategies, and therefore, have different or competitive products and services to offer in the Capricorn district region.

Fifth, limited access to finance for growth and corruption seem to be dominating barriers for growth followed by insufficient start-up finance. Reliability of business partners and tax burden are also alarming when further analysing the barriers of growth of small business. These barriers are consistent with (McIntyre & Dallago: 2003)'s findings in the Russian case study. Findings from this section are illustrated in Figure 1 below:



Sixth, we also discovered that race has an impact on the progress of media firms in the Capricorn district region, with White-owned media firms such as Northern Media Group (NMG) dominating the Limpopo Province media industry. Most Black-owned media firms are mostly owner-manager run with little or no permanent staff and limited financial capital and technical knowhow, in turn, they rely heavily on White-owned media firms to service their client base. Inability to deliver to meet contractual obligations is another challenge brought about by limited financial capital by Black-owned media firms. In this context, Black-owned media firms receive government tenders but are not able to meet their contractual obligations due limited financial capacity resulting in terminated orders and legal action. On top of this, respondents indicated that they do not have social networks or safety

nets that they can call upon for temporary financial loans. These social networks can assist in pooling resources through crowd funding and spreading the risk across the social network.

On the seventh point, answers from most respondents indicated that they started their media firms either to benefit financially from their own skills or to gain personal independence. It is not a surprise that limited access to finance for growth was listed overwhelmingly by the respondents as the major hindrance to growth. This is because most of the respondents are the sole owners of their businesses and cannot raise financial capital from potential investors (in the form of shareholders), and also they have little social capital in the form of weak social networks that can act as guarantors for business loans from lending institutions. Revealingly, the respondents raised corruption as the second most important barrier to the growth of their media firms. Again, this does not come as a surprise because most of the respondents' firms trade with the government sector which is highly politicised.

On the last point, and from more theoretical perspective, most media firms in the Capricorn district region are relatively small with the firm having less than twenty (20) employees on a part-time basis. This scenario is indicative that the media firm is in the survival and existence stages (Burns, 2001) with little prospects of growing out of these critical phases. Despite their education, this might mean that Black-owners are not taking advantage of the knowledge provided in literature about avenues available for small firms to grow including differentiation (i.e. specialisation), focus (i.e.

Niche Strategy), and diversification (Burns, 2001: 54-56). This is confirmed by the fact that during face-to-face interviews the researchers picked up that some of the respondents did not even understand the meaning of a SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis. This finding is quite concerning considering the complexity and fierce competitiveness of the media industry, and the fact that it is constantly in transitions. Players in this rapidly evolving industry should have the knowledge to deal with the complexities.

## 5. CONCLUSION

This paper aimed at diagnosing the barriers to growth affecting small media firms in the Capricorn district region from theoretical and empirical perspectives. To achieve this end, theories on Firm Formation and Firm Growth informed the theoretical anchorage of this paper. These theories list macro-economic and micro-economic factors and the internal and external environments as affecting the formation and growth of firms, in our context, media firms. To ascertain this, we conducted a fieldwork and administered an interview guide with twenty (20) leaders of big and small media firms operating in the Capricorn district region. These captain and pioneers of industry were distributed equally by gender between males and females. First, most respondents, particularly Black Africans, complained about the political interference with the awarding of government tenders and pointed to this as a barrier to growing their media firms. Second, female participants cried foul about requests to perform sexual favours as a precondition for awarding government tenders to their media firms. Third, White-owned media firms

perform way better than Black-owned media firms. Fourth, Black-owners do not have access to financial and social capital that might support the growth of their emerging media firms. Last, despite their decent levels of education, Black-owners seemed to be unaware of various scientific literatures on growth theories available at their disposal. Such literatures might improve the prospects of growing their media firms.

## 6. RECOMMENDATION

Informed by our findings, we recommend the following novel solutions:

- A follow up study to conduct an in-depth investigation into the barriers of growth to media firms,
- Since political interference and sexual advances are the foremost barriers, we call on government officials and political office bearers to abide by ethical and moral standards such as Ubuntu or Botho. A moral regeneration programme amongst the government officials and politicians is recommended.
- Media firms should approach government and its business development sectors such as the National Youth Development Agency (NYDA) and Small Enterprise Development Agency (SEDA) for mentoring and counselling in business skills.
- Black-owners of media firms should establish crowd funding and social networking initiatives to raise financial capital and create safety nets.
- Small media firms cannot compete on Cost Leadership or Economies of Scale.

However, they should specialise in a specific service through differentiation, focus, and diversification. This might improve their competitive advantage.

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# INTEGRATED DEVELOPMENT PLANNING PROCESS AS A COHERENT STRATEGY FOR SERVICE DELIVERY BACKLOGS: A CASE STUDY OF LEPELLE-NKUMPI LOCAL MUNICIPALITY

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## **ABSTRACT**

*Since the advent of new dispensation of local government in South Africa, it is inevitable that municipalities are still in a serious distress and experienced the proliferation and long standing patterns of service delivery backlogs. The Constitution of the Republic of South Africa, 1996 has entrusted the mandate for using Integrated Development Planning processes as a coherent strategy for delivering basic services to the local sphere, which is regarded as the center of development especially because it is regarded as the sphere closest to local people. Notably, a vast amount of communities, who are the beneficiaries of municipal services, generally view municipalities as progressing at a snail's pace in terms of municipal service provision. Municipalities that are predominately rural such as Lepelle-Nkumpi Local Municipality are engulfed by several challenges that hinder basic municipal service provision. This is in spite of the fact that it is a legislative requirement for municipalities to use integrated development planning processes for facilitating effective provision of municipal services in their respective areas of jurisdiction. It is within this context that the study set out to investigate Integrated Development Planning processes as a strategy for improving municipal service provision. The study was predominately qualitative. 20 semi-structured questionnaires were used to collect data from household members. Interview schedule was also used to solicit data from IDP manager. The major finding of the study is that IDP as part of the municipal planning process is largely ineffective as a strategy for unending service delivery backlogs within Lepelle Nkumpi Local Municipality. The conclusion that can be made from this is that the municipality is not effectively promoting participation of communities in the process of formulating and adopting municipal IDP. The study concludes by recommending measures which can be undertaken in order to enhance public participation in the developing and adopting of IDP so that it could be reflective of the actual needs of communities.*

**Keywords:** Service Delivery, Integrated Development Planning, Integrated Development Plan (IDP), Developmental Local Government.

## 1. INTRODUCTION

Service delivery in South Africa continues to be a major problem confronting many local communities. According to Dikota, Mahlatji and Makgahlela, (2014) the challenge of service delivery remains unresolved and alarming issue in almost all South African municipalities. Poor services such as provision of roads, sanitation, health facilities, water, electricity and basic shelter is what characterized many municipalities (Beyers, 2015). Consequently, service delivery beneficiaries viewed municipalities as progressing at a snail's pace when it comes to delivering of various municipal services.

According to section 25(1) of the Municipal Systems Act (2000) integrated development planning processes has been adopted as a response to problems pertaining to service delivery and as a tool to development planning which requires all municipalities to be developmental in nature with the purpose of overcoming centralized and fragmented planning practices of the past. As part of the planning tool, municipalities are legislatively mandated to use integrated development planning processes which has been viewed as having the potential to accelerate service delivery. Integrated development planning processes is considered an implementation agent that promotes an integrated and participatory approach in which all sectors and affected individuals must be legally consulted (Cash and Swatuk, 2010). Integrated Development Plan (IDP) refers to the output or product of the integrated development planning processes. This basically means that IDP is a document produced through integrated development

planning process. Section 23(1) states that IDP as a strategic document must be produced by all municipalities as a super plan that gives the overall framework for development. It aims to co-ordinate the work of local and other spheres of government in a coherent plan to improve the quality of life for all people living in the area (Mautjana and Mtapuri, 2014).

The state of Local Government report by the Department of Cooperative Governance and Traditional affairs (CoGTA) indicated that several municipalities are in a serious distress or challenges of effectively delivering services to its constituents (CoGTA, 2009). Moreover, many concerns have been raised regarding local government failure and inability to deliver basic services (Akinboade, Mokwena and Kinfack, 2013). The local government failure to deliver services is attributed to having incompetent personnel who are incapable of leading the agenda of local government and thus results in the poor implementation of the IDP (Beyers, 2015).

The study area, Lepelle-Nkumpi Local Municipality is predominately rural with lack of services such as water, electricity, sanitation and refuse removals (Lepelle-Nkumpi 2013/2014). The failure of the municipality to eradicate long standing patterns of service delivery backlogs is largely attributed to inability of the municipality to incorporate community members in the municipal planning processes. The latter therefore, results in on-going community protests (Beyers, 2015). This paper therefore, put forward an argument that local municipalities are not effectively using integrated development planning as legislatively mandated by various pieces of legislation. It is also argued

from this paper that local municipalities are found to be using integrated development planning for compliances purposes as opposed to be a true reflection of the actual needs and priorities of communities. Additionally, the inadequate use of integrated development planning results in poor implementation of the IDP. Many scholars studied about the inadequacy of integrated development planning and service delivery. Therefore, scholars demonstrated that there is still lack of community participation in the municipal planning processes which lead to unprecedented and prolific unending service delivery backlogs (Beyers, 2015). This paper therefore, emphasis on integrated development planning processes as a strategy for service delivery backlogs in the municipality.

## **2. INTEGRATED DEVELOPMENT PLANNING PROCESSES IN RURAL AREAS**

Prior to 1994, the local sphere of government was mainly concerned with service provision and the implementation of regulations for attainment of development. However, with the introduction of new Constitution of the Republic of South Africa and new legislative and policy frameworks, the role of local government expanded to a large extent. Municipalities are required to be developmental in their approach; they must lead, manage and plan for development (Mautjana and Mtapuri, 2014). Municipalities are required to make the use of integrated development planning as a strategy to assist in curbing wasteful expenditure.

One of the major processes of integrated development planning is public participation. Public participation is found to form the integral part of integrated development

planning process wherein individuals and affected parties must be legally consulted (Cash and Swatuk, 2010). It is even stated in section 152 of the Constitution that one of the object of local government is to encourage the involvement of communities in local government. Sections 16(1) of the Municipal Systems Act (2000) also require the municipality to develop the culture of municipal governance that complements formal representative government with a system of participatory governance which emphasizes the following:

- The municipality must foster participation in the IDP process, the budget process; and strategic decision regarding service delivery.
- The municipality must enable participation through capacity building in the community and among staff and councillors.

## **3. LEVELS OF SERVICE DELIVERY IN RURAL AREAS**

This paper view levels of service delivery as households with and without services. The paper defines basic service delivery as public services which are funded with public money and such services can be delivered by the state or on behalf of the state, by a voluntary and community organization or private sector company. Therefore, service delivery in this paper refers to among others housing, electricity, water access and use, sanitation and refuses removal (National Council for Voluntary Organizations, 2013). Service delivery challenges remain palpable and affecting many communities across the globe (Nnadozie, 2011; Asha, 2014). Apart from this, many countries adopted vari-

ous reforms in terms of legal frameworks and policies in order to overcome the predicaments of inadequacy of services. Additionally, in many countries the optimal governance system to ensure effective service delivery of social and economic services to meet the aspiration of people seems not to be effective (Holland, Ruedin, Scott-Villiers and Sheppard, 2012).

Service delivery statistics within Lepelle-Nkumpi local municipality shows that 75% of households do not have access to water above the RDP standard (Lepelle-Nkumpi 2013/2014). Lepelle-Nkumpi Local Municipality still experiences huge service delivery backlogs of 14501 households that still to be serviced with a quite number of basic municipal services. Inter alia, free basic water is provided to household estimated at 51000 individuals and there 430 more households that receive free basic water. 51% of households still need to be serviced with sanitation facilities, in reference to toilets, from RDP standard and with a huge backlog of 29827 households. Electricity is heading backlog estimated at 4809 households and only 12087 households have been provided with electricity by the municipality (Lepelle-Nkumpi 2013/2014; Statistics South Africa, 2011).

#### **4. INTEGRATED DEVELOPMENT PLANNING PROCESS AND THE DELIVERY BACKLOGS IN RURAL AREAS**

Municipalities are mandated and obliged by various pieces of legislation to exercise a representative function to participate the communities to achieve optimum basic service delivery (Tsatsire, Taylor and Raga, 2010). Integrated development planning on the other hand is used to en-

sure that available resources are best used towards the promotion sustainable economic and social development, with the focus on viable service delivery (CoGTA, 2009). Integrated development planning is considered to aid the implementation of the IDP and to meet the goals of the RDP. Within the ambit of service provision, IDP promotes an integrated, participatory approach where all sectors and affected individuals must be legally consulted (Cash and Swatuk, 2010), in addressing socio-economic needs of local communities and sustainable service delivery.

According to Department of Provincial and Local Government (DPLG), 2009 municipalities are legislatively required through their IDP processes to align strategic plans with other sectors of government in ensuring effective service delivery. They must further, incorporate a wide range of sectoral plans and programmes such as water, health and small business development into their own municipal development programmes. Integrated development planning as an optimum strategy for service delivery it helps in the following:

- It provides an opportunity to establish and prioritise the needs to be addressed by the municipality;
- It grants the municipality the opportunity to inform the community and all stakeholders about available resources;
- It helps the municipality to involve communities in prioritising services and service levels; and
- Allows for the design of alter-



native service delivery mechanisms, such as public private partnerships.

## **5. CONCEPTUALIZING DEVELOPMENT PLANNING IN THE SOUTH AFRICAN PERSPECTIVE**

South African development planning trajectory experienced a shift of development approach to more of a micro development thinking in which integrated development planning becomes the central key to local government function and that the local government has a role to play in spite of the traditional role of providing services, but to lead, manage, and to play an active role in social and human development (Van Niekerk 2014). The IDP concept was introduced in South African municipal in 1996 as a form of strategic document for local governments to guides all planning and decision making in a municipality (RSA, 1996). The Constitution requires the metropolitan council to have an IDP and permitted district councils to formulate and implement an IDP for local council. IDP is therefore, considered a holistic planning that take into cognisance and integrating various aspects of local government including economic, social, spatial and institutional issues, in contrast to its role, it is now seen as integrated system of planning and delivery (Koma and Kuye, 2014).

## **6. BASIC NEEDS APPROACH**

The basic needs approach to development became prevalent in the later 1970s and its aim was the alleviation of poverty through provision of services such as education, health, and social welfare programmes. According to Moon and Dixon (1992), a basic needs approach can be defined as a type of development that attaches a special weight to the satisfaction of the

material and non-material requirement of a particular society to enable it in the shortest time to empower all of its citizens to participate in a chosen objectives", because the basic needs of the poorest people are less likely to be fulfilled in the normal course of development, the poor are accordingly, identified as a priority target group (Mojapelo, 2007). The basic need is both an analytical concept and a strategy to aid development, and its adoption by administrators was tentative and its implementation was slow and uneven. In South Africa, various policy frameworks were adopted which includes among others Reconstruction and Development Programme (RDP) in which one of its basic principle is to meet the basic needs of people and open up previously suppressed economic and human potential in urban and rural areas. The basic needs of people extended to housing, water, sanitation and electricity supplies (RDP, 1994).

## **7. THEORETICAL FRAMEWORK OF PEOPLE-CENTERED DEVELOPMENT IN SOUTH AFRICA**

The concept of people-centered development emerged from the background of South Africa's colonial and apartheid history of empowerment and top-down decision making wherein all the development planning decisions were vested at a national level. Therefore, South Africa's first elected government deemed it necessary to embrace people-centered development through its 1994 socio-economic framework, the Reconstruction and Development Programme (David, Theron and Maphunye, 2007). The main motive behind people-centered development was to provide a starting point in addressing the

injustices of the past development effort. Consequently, people-centered development has its form of building block which includes participation of the public in development planning processes (Korten, 1984).

## **8. RESEARCH DESIGN AND METHODOLOGY**

This paper used a mixed methods approach, which is a combination of qualitative and quantitative techniques for data collection and analysis. Qualitative methods dominate this paper. Empirical data was collected using a semi-structured questionnaire from household members. In which, 20 (n=20) households were sampled using a systematic sampling method with a sample size of 10% out of 520 households. An interview schedule was also used to solicit data from the key informant (n=1). Secondary data sources were also used to collect information regarding integrated development planning processes and levels of service delivery through a literature review process.

## **9. FINDINGS AND DISCUSSIONS**

### **9.1 Integrated development planning process in rural areas**

The findings revealed that the understanding of the concept IDP by the residents in the municipality is a major concern. Therefore, the analysis shows that 60% of respondents don't know and understand what IDP means; while 40% showed to have an understanding of the IDP. Therefore, majority of respondents seems not to understand fully what IDP means and these led the majority people not to have genuine participation in the integrated development

planning processes, thus it affect service delivery in a way that the municipality provides services that are not in line with priority needs of communities.

### **9.2 Public Participation as part of integrated development planning Processes**

The findings reveal that 25% of the respondents demonstrated that they sometimes participate in the formulation of Municipal IDP, 15% demonstrated to always participate and 60% never participate in the formulation of IDP. The results indicates that majority of residents are found not forming part in the formulation of municipal IDP processes and most of the people demonstrated that the municipality keeps their planning processes in isolation from the local people. Therefore, this implies that inadequate participation of local people in the formulation of IDP processes results in poor and fragmented planning that lead to "white elephant" projects in the area.

### **9.3 Extend of Participation in integrated development planning processes**

The figure below shows the extent of participation in the IDP process

Figure 1: The extent of participation in the IDP process

The findings indicate that 10% of respondents participate in the municipal IDP forums, 15% participate in the prioritization of community needs, 15% participate in IDP projects, 20% participate in the IDP review meetings and lastly 40% never participated in any of the latter mention extend of the IDP. The results indicate that 40% of residents are found not to have a genuine participation in the IDP and thus results in

planning which does not reflect the priority needs of intended beneficiaries.

The figure below shows the level of participation in the IDP process.

#### 9.4 Levels of Participation in the integrated development planning processes

unicipalities is largely inadequate. Majority of local service delivery beneficiaries are shown

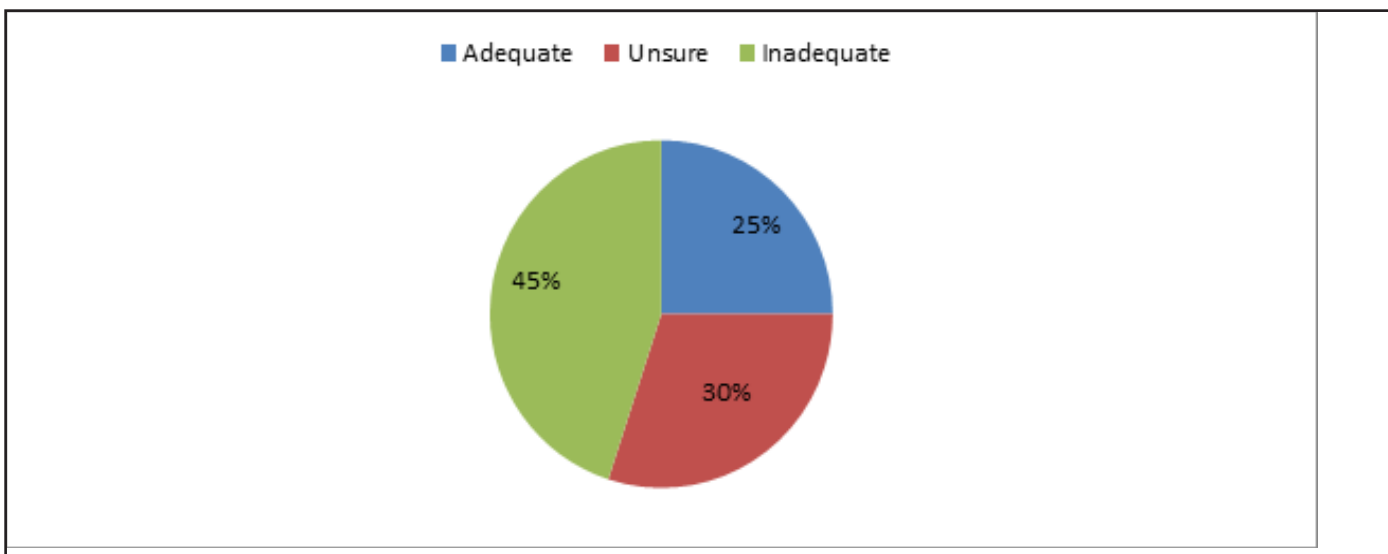


Figure 1: Ranking levels of participation in the IDP process

sults in unending service delivery backlogs.

The findings indicates that 25% of respondents demonstrated that they are adequately involved in the participation of IDP planning activities, 30% were unsure, while 45% argued that they are inadequate with the level of participation in the IDP. This implies that majority of the respondents argued that the level of participation in the IDP is inadequate, only few people demonstrated that the level of participation in the IDP is adequate. This basically means that the municipality does not take into cognizance the public participation principle that embraces all views and opinions of people at grass root level. Passive form of participation was found to be dominating within the municipality. According to Asha (2014) lack of meaningful participation in the decision making processes is affecting the implementation of the IDP and thus re-

## 10. THE LEVELS OF SERVICE DELIVERY IN RURAL AREAS

### 10.1 Accessibility of Municipal Services in the local level

Twenty (20) respondents were interviewed with regards to kinds of municipal service that they have access to in the village. 40% of the respondents demonstrated to have access to water in the municipality, 10% have access to sanitation, 30% have access to electricity, while 20% have access to roads. This implies that majority of people in the village perceived water as the highest priority service that they have access to in the village. Subsequently, electricity was found to be the second priority service that they have access to in the village. Water and electricity were found be fundamentals in the village. The literature on the other side revealed that the provision of basic services to the beneficiaries in the local mu-

to be dissatisfied with the current level of services in their municipalities (Asha, 2014; Mashamaite, 2014; Beyers, 2015).

## **10.2 Reliability of Water Provision in the Village**

The findings indicates that (20) people were interviewed in the village, with regard to the reliability of municipal water provision in the village and 5% strongly agreed about the reliability of water, 20% demonstrated to agree about the reliability of water, 20% are neutral, 20% showed to disagree and lastly 35% strongly disagree about the reliability of water. The analysis is that only minority of people in the village which constitute 5% are found to be positive about the reliability of water in the village. This implies that even though people in the village have access to water but then the reliability of that water is still questionable, which was evidently shown unavailability of water in three consecutive months in the municipality.

## **11. INTEGRATED DEVELOPEENT PLANNING PROCESS AND SERVICE DELIVERY BACKLOGS IN RURAL AREAS**

### **11.1 Integrated Development Planning As a Strategy for Reducing Service Delivery Backlogs in the Municipality**

The findings reveal that 15% strongly agree that municipal IDP processes are found to be an answer for service delivery backlogs, 45% agree, 10% are undecided, 20% disagree, and 10% strongly disagree. This implies that majority of people in the village are found to be dissatisfied about the

municipal planning processes in dealing with service delivery backlogs, majority demonstrated that integrated development planning processes are largely ineffective in ameliorating the long standing patterns and unending service delivery backlogs. This implies that effective service delivery can be achieved through inclusive and genuine form of participation by all sectors and affected stakeholders.

The question was asked to the IDP manager with regard to the IDP processes. The question was about the processes involved to include community members in the IDP processes. This question was asked in order to evaluate the mechanisms and procedures that the Lepelle-Nkumpi Local Municipality is using to incorporate community members in their IDP planning processes. The respond from the manager was that they use ward consultation meetings, IDP review meetings, and IDP forums for identification and prioritization of development needs. This implies that community members are given an opportunity to make inputs and comments in the drafting, formulation and identification of needs and priorities.

## **12. CONCLUSION**

In conclusion, it is blatantly clear that integrated development planning process is largely ineffective as a strategy for unending service delivery backlogs in the local municipality. Therefore, the major findings from the ground demonstrated that community members have shown discomfort and frustrations with the current level of service delivery in their local municipali-

ties. The analysis of the overall respondents in relation to the integrated development planning and service delivery indicated that there is low level of public participation during the identification and prioritization of community needs which leads to disconnect between the needs of communities and the actual services that the municipality provides. Additionally, the analysis of the degree of respondents also reveals that the service delivery at the municipality is predominately affected by a vast amount of factor limited to: inadequate capacity of local government officials, alleged act of corruption in the municipality, lack of service delivery guidelines for identification and prioritization of needs, lack of vertical collaboration between the municipality and community members and lastly lack of compliance with service delivery and budget implementation plan. As a remedy, the paper recommend that capacity building for municipal officials dealing with IDP and service delivery is needed as well as accountability and transparency of municipal officials for making IDP processes a reality, community participation in the developing and adopting of IDP should be promoted so that it could be reflective of the actual needs of communities.

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# THE IMPACT OF SOCIO-ECONOMIC DEVELOPMENT INITIATIVES ON TRANSFORMATION AND PERCEPTIONS OF WELLBEING OF WINE FARM LABOURERS

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## ABSTRACT

*This paper examines the various policies in place to promote transformation through socio-economic development initiatives in the wine industry and how these initiatives failed to make significant impact on the wellbeing of wine farm labourers, their families, and the industry. Realising the challenges facing socio-economic development are multi-disciplinary, this paper looked to uncover the underlying socio-economic, political, and historical factors contributing to the current inequalities present within the wine industry. This paper reflects on a study whose purpose was to better understand how and to what degree initiatives and programmes designed for socio-economic development and transformation are making an impact within the wine industry. The research combined document analysis and qualitative comparative case study methods in assessing the impact that the initiatives have had on wine farm labourers' perceptions and attitudes towards personal development and a better living standard. Despite the efforts made through policy creation and establishment of both government entities and social interest groups, many of the policies have fallen short in practice. Declarations of labour rights, revised education standards, and even access to basic amenities have been subverted by a continued disconnect between policy and practice. The study concludes that cooperation of all stakeholders and dedicated efforts to empower farm labourers through active participation in all phases of development initiatives will be required in order to realise the potential for significant transformation within the wine industry.*

**Keywords:** Programmes, Socio-economic development, Transformation, Wine industry.

## 1. INTRODUCTION

The arrival of Europeans to the Southern coastlines of Africa in 1652 introduced many new customs, traditions, and trades foreign to the region. Within ten years of their arrival, these settlers successfully introduced to South Africa one of Europe's prized crops: the grape vine (African Classical Encoun-

ters, n.a.). Through centuries of growth and adaptation, the production of wine has become a leading sector within South African agriculture, employing 300,000 people and contributing 2% annually to South Africa's GDP (Giokos, 2016). But three hundred years of industry development has come with its costs. Besides diseases, draughts,

aphids and other battles with the natural environment (Viall, James & Gerwel, 2011), the development of the South African wine industry is rooted in human exploitation and labour inequalities. From the conscription of slaves in planting the first vines to the labour issues facing workers today, the South African wine industry – although rich in quality – is tainted with the injustices of human strife. Historical practices have produced mindsets engrained with socio-cultural hierarchy, issues of dependency, and lack of opportunities for personal development. Despite twenty years of democracy and strong black<sup>1</sup> empowerment initiatives across South Africa, the deep roots of social and economic inequality remain within the wine industry. Previous studies in the industry have analysed the current state of living and working conditions and types of socio-economic development needed for successful transformation. Little research has been done, however, to address whether these initiatives are creating a lasting impact on the well-being of labourers.

This paper is based on a 2013 study analysing the current presence and efficacy of socio-economic development initiatives in the South African wine region. The central research question asks: “to what extent has socio-economic development initiatives aimed at the transformation of wine farm labourers influenced perceptions of well-being?” After thorough document analysis and a qualitative comparative case study, the researcher found that despite the presence of development organisations and conceptual frameworks for transformation, disagreements amongst stakeholders, gaps in knowledge of initiatives, non-compliance, lack of enforcement, and overrid-

ing power dynamics have contributed to the relatively limited presence of transformation in the wine industry.

## 2. THE SOUTH AFRICAN WINE INDUSTRY

The South African wine industry is one of the oldest industries in South Africa and can be viewed as a microcosm of the state of development in the country. An understanding of its history provides a brief introduction of the socio-economic context and the key historical issues at stake, laying the foundation for the current practices and perceptions within the industry. On her first visit to the Cape Winelands, the researcher was intrigued by the origin of the industry and how it has shaped the region. After learning about some of the farms' community development initiatives and labour improvements, the researcher decided to investigate further the efforts made for social upliftment and economic development for the previously disadvantaged working class.

South Africa's transition to democracy in 1994 and re-integration into the global economy after ten years of sanctions against the Apartheid regime (Levy, 1999) led to a renaissance within the wine industry. With rising demand for South African wines both domestically and abroad, those within the industry needed to address current production practices, realising that change and adaptation were necessary for increased growth. Of the various sectors in the South African economy, agriculture remains one of the most prominent for issues of poverty, inequality and human deprivation. The historical inequalities as well as the legacy of Apartheid have had detrimental effects on the development and current state of labour practices in

<sup>1</sup> Using 'black' as defined by the *Wine Industry Transformation Charter*, referring to Africans, Coloureds (mixed descent), and Indians (SA Wine Industry 2007).



South Africa. The wine industry is a particularly labour intensive industry, requiring year-round labour, yet little education is needed for much of the work. Although there have been efforts to rectify the past social injustices and assist in the improvement of well-being and empowerment of individuals, there is a sense of lingering prejudice and division amongst the population (Botha, 2012).

*“Farm workers’ living and working conditions make them one of the most vulnerable and marginalised groups of workers in South Africa...farm labourers have been the subject of the worst working conditions in South Africa for a very long time and this will take years to rectify”* (Ruddock, 2012, pg. 35).

Consequences of racial separation such as paternalism, patriarchy, poverty, and the dop system linger within the industry today. There are still very few opportunities available to the majority of wine farm labourers as practices of social exclusion continue to limit human flourishing (ibid.). It is not necessarily pronounced, but the social stratification within the industry is felt by all sides and reflected in the mannerisms and social interactions amongst workers, managers, and owners. For development to occur, there must be a consideration of the labour practices in the planting, maintenance, and harvesting of South African wine grapes.

### **3. POLICY CREATION AND ESTABLISHMENT OF PARTIES**

Socio-economic transformation, de-racialisation, and economic empowerment have become central challenges within

the South African national agenda since the transition to democracy (SAWB, 2003). Many of the current development efforts have stemmed from government transformation policies covering the social, political, and economic landscape. The holistic development of social and economic structures is essential in the transformation of a society as it helps deconstruct power dynamics to create a more equitable system. Although the study relies on a variety of publications by government and industry organisations, the *Wine Industry Transformation Charter* and the efforts that precipitated its adoption are of special significance.

Government policies addressing the transformation needs of the agricultural sector specifically include The Strategic Plan for South African Agriculture (2001) and the AgriBEE Framework (2004), which provide strategic plans for the South African agriculture sector, focusing on the five main industries (grain, cotton, wine, sugar, and red meat). These initial publications brought national efforts into the wine industry and established the government as an important partner and stakeholder in the sector. The Reconstruction and Development Programme (RDP), followed by the Growth, Employment and Redistribution Strategy (GEAR), are two of the government's affirmative action programmes that focus on redistribution and fiscal reformation as means to advance liberal macro-economic strategies (Williams, 2005). As the wine industry continued to expand, significant economic growth opportunities (production, trade, exports, tourism) became available to further advance the South African economy. The government has taken a role in research and technology develop-

ment, infrastructure development, economic empowerment, and social and human upliftment (SAWB, 2003).

Deregulation, restructuring, and legislative changes have been underway in the industry since the mid-1990s, but the majority of transformation efforts have developed since the turn of the century. There has been a general consensus amongst stakeholders that efforts to advance industry transformation are of utmost importance (Wine Industry Transformation Charter, 2007). As the wine industry has increased focus on socio-economic transformation and social upliftment, there has been a development of representative bodies to meet industry needs and advance its efforts across the wine value chain.

The South African Wine Industry Trust ('SAW-IT') was established in 1994 with the support of the South African government to develop the wine industry and create a foundation for investment research and education within the sector (Haase, 2003; Sebeka Wines, 2008). SAWIT's objective is to work with key partners to promote a "sustainable and vibrant" industry that has an empowered and enabled community of farmworkers able "to share equitably in the growth and prosperity of the industry" (SAWIT, n.a.). SAWIT promotes transformation through strategic funding initiatives and has been a leader in BEE development across the industry (SAWB, 2003; SAWIT, n.a.). With the understanding that "broad-based change and development are essential to move forward to a de-racialised industry" (Wine Industry Transformation Charter, 2007: 1), cooperation amongst industry bodies led to the creation of the South African Wine Industry Council ('SA Wine Council') in 2006.

Members included representatives from wine production, cellars and merchants as well as labour organisations, civil society, and non-profits. Its aim was to advance the wine industry as "a globally competitive, profitable, accessible and equitable industry...that makes a significant contribution to poverty alleviation and wealth creation for all" (SA Wine Council, 2005) and set a standard for proactive transformation. Its adoption of the *Wine Industry Transformation Charter* ("The Charter") in 2007 was a pivotal development within the industry because it articulated a cohesive agreement amongst the various players in the value chain on the way forward for industry growth and development. The Charter provided a framework of accountability towards reaching the industry's socio-economic development goals for the numerous micro-enterprise farms and cellars exempt from BEE compliance. In the nine years since its adoption, however, huge levels of inequality and issues of dependency remain. The disjuncture between the initiatives put forth in the Charter and their implementation and enforcement has led to limited transformation in the industry. As a result, many labourers in the wine industry remain in a position of inferiority, unaware or unable to access opportunities for personal development and improve their well-being. They continue to be caught in the cycle of poverty and dependency that has characterised the South African wine industry for centuries.

Other industry bodies aiming to improve development and foster economic and social vitality in the wine industry include: Wine Industry Business Support Committee (BUSCO), The Wine Industry Development Company (DEVCO), The National African

Farmers Union Western Cape (NAFU), and The Rural Development Network (RUDINET). The presence of these development bodies and their involvement in drafting the Charter is a strong indication of the need for development in the industry, but the apparent miscommunication amongst organisations and the potential for replication of efforts may unintentionally affect the transformation agenda.

#### 4. CONTEMPORARY DEBATES AND THEORIES

Despite numerous governance structures and organisations within the wine industry and South African agricultural sector as a whole, there is a noticeable lack in the successful implementation of development initiatives. The study's literature review showed that, although there has been significant research based on the socio-economic needs, labour reform issues, and presence of industry development organisations, there is little information regarding the impact of transformation efforts on perceptions of well-being of the intended beneficiaries. Key theoretical issues derived from the central research question included: empowerment, well-being, paternalism, and poverty.

##### 4.1 Empowerment

Within the South African context, empowerment strategies aim to do away with the previous racial discrimination and transform toward equality within the political, social, and economic sectors. Although empowerment has become a "popular and largely unquestioned 'goal'" (Parpart, 2002, in McEwan & Bek, 2006, pg. 338), the concept is not well defined and leads to some confusion in the expectations and evaluations of strategies. Similarly to the concept

of well-being (*below*), empowerment is an intangible measurement and thus subject to qualitative research. Vague definitions of empowerment are often used to the advantage of policy makers who adjust the definition to suit their interests.

Empowerment is defined holistically in this study to refer to an engagement in a two-way exchange encouraging people to be active participants in decisions that affect their lives (Falletisch, 2008). It is closely related to capacity-development and this study focuses on empowerment as 'power from within' where people are able "to contemplate alternative ways of existing and generating a belief in their own abilities to have some role in enacting changes" (McEwan & Bek, 2006). Issues of empowerment are linked hand-in-hand with issues of power dynamics and paternalism as they increase the dependency of the disempowered and threaten the potential for transformation.

##### 4.2 Well-being

Of the five essential elements of well-being<sup>1</sup>, Rath & Harter (2010) argue that career well-being is the most essential because if an individual does not have the opportunity to enjoy what he does each day, his other aspects of well-being will be directly affected. Although taking a holistic approach to well-being (since concepts of well-being are interdependent, not independent) the fieldwork conducted for this study focused on well-being in the workplace (the farm) and its effect on labourers' perspectives of overall well-being.

Viewing well-being through the capabilities approach examines not only the means by

The five essential elements of well-being according to a Gallup Poll are: career, social, financial, physical and community well-being (Rath & Harter, 2010).

which a person attains well-being but also whether the institutions and opportunities are available for them to reach their personal success. Stemming from the work of Sen (1993), the capabilities approach looks beyond the abilities of people's activities and states of being to examine the opportunities (or freedoms) through which a person can realise their end goals of well-being (Robeyns, 2011).

### **4.3 Paternalism**

Since the first vines were planted, paternalism has defined the relationship between farmers and workers in the South African wine industry. Although the original vineyard workers were slaves, they were seen as valuable assets to the farmer and thus given minimal provisions to meet their most basic needs. After the abolition of slavery in 1834, farm workers were freed but not given any tools for mobility (i.e. wages, government support) and thus many remained on the farms (Falletisch, 2008).

Labourers and their families became dependent on the farmer in "every aspect of material existence" (Ruddock, 2012, pg. 16). Despite being seen as a member of a family unit, paternalistic structures found within the Western Cape farms actually pitted workers against one other to gain favour by the farmer and have been categorised by this deeply divisive nature (Du Toit, 1993). Workers received social dividends such as housing, water, and food but lacked the ability to organise or seek opportunities for advancement (McEwan & Bek, 2006). Dominance and influence of the authority undermines any form of autonomy or identity development (Nasson in Du Toit, 1993). Although there are different foci within paternalism, including the effect

of paternalistic ideology on women versus men, these variances will be encompassed into the more generic understanding of paternalism for the scope of this study.

### **4.4 Poverty**

Poverty is perhaps the defining characteristic of the farm labourers' status in society. The United Nations Development Programme defines poverty as the total absence of opportunities accompanied by high levels of undernourishment, hunger, illiteracy, lack of education, physical and mental ailments, emotional and social instability, unhappiness, sorrow, and hopelessness for the future (UNDP, 2002). Poverty is seen as "the single most powerful circumstance inhibiting human, social and economic development" (Gray, 1998, pg. 136) in South Africa. Poverty is relative to the state of the nation as a whole, not just to the suffering of the poor (Mubashshir, 2010) and will be used within this study as an umbrella term to refer to a lack of opportunities (i.e. capacity-building, socio-economic requirements) to live a decent life.

## **5. CASE STUDY EVIDENCE**

### **5.1 Methodological approach**

This study goes beyond socio-economic development to discuss the means by which transformation efforts influence empowerment and well-being of individual labourers. The researcher approached the study from the social development perspective. Addressing social development needs represents a holistic approach that is non-static and process-oriented, focusing on empowerment and autonomy (Homfeldt and Reutlings, 2008). Social and economic development must result in a clear improvement in the conditions of life and livelihood

of ordinary people (Polanyi, 1977), and it is through this focus that this study has been designed.

A qualitative comparative case study design was chosen as it allowed for greater depth in the research by narrowing the focus to a representative group within the broader population. This approach enabled the researcher to come to a deeper understanding of the dynamics within the wine industry. Initial document analysis was followed by semi-structured interviews with labourers, managers, and experts within the wine industry. The researcher spent one week in the Western Cape wine region conducting fieldwork on three farms in the Paarl region and meeting with representatives from SAWIT and WIDA. Interviews with labourers regarding perceptions of well-being and transformation in the industry provided first-hand accounts of the impact of socio-economic development initiatives and contributed to answering the research questions put forth in this study. To enhance the study's validity and credibility, the researcher adhered to strict research approaches and high ethical standards to decrease potential bias and ensure the anonymity of research participants.

## 5.2 Sample population

Research participants were chosen based on purposive sampling techniques<sup>1</sup>. Initially, farms were selected based on size (hectares, number of staff, and the annual production yield) and their moderate position within the labour development spectrum. This means that, unlike some of the larger farms in the wine region, the farms selected had not instated formal social

<sup>1</sup>Purposive sampling is a strategic approach to qualitative research, based on the researcher's objectives in the fieldwork (Palys, 2008).

upliftment or economic development programmes. Additionally, the researcher did not want to incorporate farms with reputations for poor working conditions and high levels of social inequalities. Farms were further narrowed to exclude farms within the 2011 BAWSI study, Farmworkers Voices. Last minute adjustments to the sample group changed farm demographics slightly, incorporating one farm ("Farm Three") with well-developed social upliftment and capacity-building programmes. Its size, location, and history, however, complimented the study and allowed the researcher to include a comparative case study component.

Due to the structure of the wine industry's working class, the people who were the focus of the study are what Jan Theron (2010) calls the 'marginal working class': those who are often excluded from legislative protection and live well below the poverty line. Although race, ethnicity, and socio-economic status are not a focal point in this report, they are pertinent characteristics to the study group in question as racial and social identities are often interchangeable in the South African context. As it is not feasible within the context of this study to include all members of a population, a representative sample that met necessary attributes for the study was preferred<sup>2</sup>.

## 6. CASE STUDY FINDINGS

The well-being of labourers is threatened in the wine industry by the legacy of disempowerment, selective compliance on the part of industry stakeholders, issues of paternalism and disempowerment, and

<sup>2</sup>Criteria for labourer selection included: full time employee of the wine farm; over 18 years of age; could be either male or female; must voluntarily sign research participation consent form.

the lingering effects of the dop system<sup>1</sup>. Although use of the dop system became illegal in the later part of the 20th century (Falletisch, 2008), the damage had been done and generations of farm labourers were dependent on alcohol. Dependency on alcohol thwarts potential for well-being and many children within this system were born with foetal alcohol syndrome (FAS)<sup>2</sup>. Alcoholism, in all its forms, affects education, productivity, and mindsets of labourers and their children (CIIR, 1989).

Outcomes of the case study found that despite affirmative action policies and increased development initiatives within the industry, the legacy of social injustices within the wine industry – especially the subjugation of labourers and engrained mindsets of a paternalistic structure – has limited the ability for labourers to be freed from the cycle of poverty and realise opportunities for human flourishing. Many of the intended beneficiaries of these efforts have continued to keep an ideological distance between themselves and the white middle class. According to Roux (2002), people within this previously disadvantaged population realise that the strategic nature of these efforts often are at the expense of others who get left behind.

### 6.1 Selective compliance

As the South African wine industry has increased its presence within the global market, attention from international organisations has forced wine farms to adjust their

<sup>1</sup> The use of wine as an incentive scheme to pacify labourers was first introduced during slavery and became known as the 'dopstel' or dop system (also called the 'tot' system). The dop system reinforced power dynamics within the wine industry through strategic disempowerment (Viall, James & Gerwel, 2011). The use of wine directly affected personal welfare and decreased labourers' standard of living, leading to an attachment to masters, based on a cycle of addiction (alcoholism) and dependency.

<sup>2</sup> FAS is an irreversible condition found within children as a result of exposure to alcohol during pregnancy (Mayo Clinic, 2011).

operations, improve their social awareness, and address labour practices to rectify historical injustices. Increased pressures by external bodies (international clients, accreditation associations, trade unions, etc.) seem to have had the most notable impact on the development of transformation initiatives. The presence of these organisations has increased the realisation that change within the industry has become a requirement. "If you were part of that bracket who didn't want to socially uplift previously disadvantaged then you don't really have a choice anymore if you would like to remain competitive" (Interview: 2.Manager, 2013). These pressures have benefited the transformation agenda.

McEwan & Bek's report (2006) found that several farmers initiated empowerment projects for business purposes rather than altruistic reasons. Since most farms within the wine industry are exempt from BEE regulations, there is little incentive beyond economic subsidies to comply with development initiatives. Implementing strategic empowerment programmes allowed farmers access to government subsidies and were used in public relations campaigns to enhance the rapport of producers looking to gain favour with consumers. Managers at all three farms as well as experts from both WIDA and SAWIT commented on the lack of motivation for many farms to initiate development efforts for reasons beyond immediate self-interest. Unless there is a mindset geared towards the need for transformation, there is little incentive to actively participate in these endeavours (Interview: WIDA, 2013). Very few owners have taken it upon themselves to enhance the welfare of their employees for human development reasons. Instead, certifica-

tion or increased market access were mentioned as the main motivating factors.

## 6.2 Issues of paternalism

Issues of paternalism characterising social conditions on the farms go beyond economic relations and issues of dependency to how people understand and interpret this dependence (Du Toit, 1993). Tensions amongst stakeholders were reflected within the individual wine farms, where communication amongst members of the production chain was often influenced by historically dictated conceptions of hierarchy and limited trust in the opposing party. False promises and realistic threats by owners were met with apathy and spite by labourers. As evident within both literature reviews and independent observations, many within the system find it easier to maintain this way of life than attempt to transform the mindsets that have developed within the South African wine industry. Instead of focusing on work as it pertains to productivity, efforts on the farm were aimed at determining one's place in the family and relationship with other members. The submissive nature of paternalism overrides any possibility of resistance to emerge from the workers. It denies the individuality of the worker and diminishes his autonomy and sense of self-worth.

Amidst major efforts to rectify previous labour practices and social engineering under Apartheid, a new form of paternalism has emerged. As farms have changed their organisational structure this 'liberalised paternalism' (Du Toit, 1993) continues to affect the power relations amongst farm workers and owners. Instead of labourers being wholly dependent upon the farmer in every aspect of well-being, the farmer

has taken a more distant role, maintaining authority over the workers although not as intricately involved in their daily lives.

During case study analysis it was evident that both forms of paternalism were at play in the region. Paternalism in the more traditional sense was present on Farm Two. None of the labourers on the farm questioned the actions of the owner or management; "if they ask me to do it, then I will say yes. If they tell me to drive something I will drive it there. But no, I will not [ask them for training or assistance]. I will just do my job" (Interview: 2.6, 2013). There was little motivation to reach out and do anything without the boss's approval. This sense of submissive behaviour towards those in positions of authority affected the attitudes and actions of the labourers. Labourers did not ask for assistance nor did they speak up regarding their concerns. Even during interviews, before a sense of trust and mutual respect was established, many labourers were hesitant and lacked confidence in communicating with the researcher.

Conversely, the form of paternalism experienced on Farm Three encouraged a sense of inclusion and mutual respect. The farm has taken proactive steps to successfully decrease inequalities and to create a sense of community on the farm. Interviewees referenced the farm as a family, praising the owner for his guidance and support to create the current living and working conditions enjoyed by its members. The efforts made are exemplary within the wine industry, helping to reduce historical inequalities and address issues that have plagued the region. But the reverence and gratefulness expressed by staff on the farm brought forth the consideration of a continued, yet

altered, form of paternalism where workers were dependent to a greater extent on the fulfilment of emotional needs rather than material items. Unlike previous forms of paternalism where labourers were submissive and almost fearfully compliant with their employers, the presence of a father-like figure to encourage personal growth and cohesion amongst staff is a significant adjustment of power dynamics within the farm.

So long as there is a perception of a fatherly figure, the basic relationships that define paternalism will remain. Absolute dependence upon an authoritative figure, which historically characterised the power relations on the wine farms, has lessened but there is still a strong need to recognise the internal politics and power influences at play when creating and applying transformation initiatives. Transformation efforts must acknowledge these social ideologies and work to actively combat the power dynamics that exacerbate their existence.

### **6.3 Issues of empowerment**

Empowerment initiatives seek to challenge the power dynamics created throughout the history of the wine industry and have become a part of the vocabulary within social and economic development. When an individual is able to increase his personal capacity, he has a heightened sense of empowerment. Although "empowerment initiatives may not be delivering radical outcomes yet...they are part of an integral process of setting a tone throughout South African society, reinforcing the imperative of transformation and identifying some of the challenges that are situated within local, national and global power" (Ruddock, 2012). Empowerment tools are vital in the transformation agenda but must be imple-

mented in means beyond just economic development. Otherwise, empowerment is often limited to the realisation of economic advancements for a pre-determined section of the previously disadvantaged community (Du Toit, Kruger, & Ponte, 2008).

The lack of investment in initiatives has resulted in a low sense of empowerment amongst many labourers. Historical practices have also contributed to perceptions of transformation, developing a victim mentality and sense of subservience amongst labourers and limiting individuals from realising their potential human capacity. The ability to stand up for oneself remains a major stumbling block in the industry. All of the labourers came from poverty-stricken backgrounds and stressed the importance of being employed. Issues of paternalism and lack of empowerment were most evident on Farm Two and, because of the desperation to keep their jobs, those farmworkers had very low sense of personal responsibility or self-confidence. Even though most complained that wages were insufficient, not one would go to management to discuss a pay increase. "I only make R500 a week, how am I supposed to pay for my family? It is not enough" (Interview: 2.8). Most of the labourers had never experienced formal training or social and economic development initiatives and concepts of well-being rested on financial security and the ability to support one's family.

Those who had received training, whether formal or otherwise, had an increased sense of confidence but maintained a historically engrained mindset of empowerment. A former labourer at Farm One had advanced to winemaker, gaining import-



ant leadership skills and was “applying himself nicely” (Interview: 1.Manager, 2013). Despite these opportunities, however, the man still complained about conditions and was unwilling to stand up to his co-workers. Similarly, “there are some people who will

side” (Interview: 3.3, 2013). Empowerment can be measured and achieved through levels of confidence, pride, and communication, sense of equality, independence, leadership and active contribution in the decision-making process. Successful empowerment comes through the attainment of social, political and psychological power, enabling an individual to take steps to advance his personal capabilities. Farms must do more than provide basic acquisition of material items, but instead gear socio-economic development initiatives towards self-actualisation and empowerment goals.

Even producers who remain unconvinced of the benefit of socio-economic development initiatives can gain from empowerment strategies through a purely economic and business standpoint. Although this is a limited sense of empowerment, it is ultimately an improvement to the lives of the labourers. Insubordination limits incentives and productivity amongst workers. When workers feel valued and that their efforts are making a positive contribution to the organisation, they are more likely to put forth a better effort and express increased career well-being (Rath & Harter, 2010). A sense of purpose amongst workers at Farm Three reinforces this statement. Each labourer was given responsibilities and trusted to fulfil tasks. This allowed labourers a sense of independence and also increased pro-

not say anything, just ‘yes’ and ‘thank you’ for everything and just happy to have a job and then go on no matter what the conditions. Then on the other side you have farm workers that will do the whole protesting and things...taking it too far to the other

ductivity on the farm. Micro-management due to a lack of confidence in workers’ capabilities impedes this sense of empowerment.

#### **6.4 Perspectives of transformation**

Transformation efforts within the wine industry have aimed at improving worker well-being and empowerment amongst the labouring population. Understanding the perspectives influencing these efforts, however, gives a better understanding of the motivations regarding transformation. An emerging consideration regarding perspectives of transformation became apparent after visiting Farm Three. The researcher realised that, unlike the other two farms, Farm Three was owned and developed by an individual who was from ‘outside’ of the wine farm system, meaning he had not grown up as a member of the industry and did not carry with him the experiences and cultural dynamics that have influenced many individuals in the Cape wine-lands. Insider versus outsider perspectives of the status of the wine industry appears to affect the presence of and compliance to transformation initiatives. Related to this is the consideration of prescriptive versus proactive measures as they reflect the perceived importance regarding certain transformation efforts.

Anything that has to do with farming and

owning land in South Africa is a very sensitive subject. A farm owner who has grown up within the system and is wholly financially dependent upon the productivity of the farm will operate his practice in a different manner from someone who has purchased a farm for pleasure or non-occupational reasons. For example, "if you ask a 65-year-old white farmer who has been farming for say thirty or forty years – farming in the way he has been farming – I think there is a mindset that's been set and I think it is very difficult to teach these specific dogs new tricks. A lot of them are set in their ways" (Interview: 2.Manager, 2013). If the farmer does not see his labourers as 'previously disadvantaged', then it will be difficult to convince him otherwise. Conversely, an outsider coming into the industry may have a very different perspective on farming. Although two farms may seem identical in size, production, and style, the owner's perspectives will more than likely produce radically different dynamics on the farm.

The researcher noticed Farm Three's involvement in the creation of the Franschhoek Valley Transformation Charter (2012) is an example of these efforts. Farm Three's success in implementing socio-economic development measures has resulted not only in economic transformation but also in an apparent sense of empowerment and well-being amongst labourers. What Farm Three's owner did successfully was not dictate the needs of his staff but rather ask them their opinions and facilitate development based on their responses. This two-way communication and the fulfilment of promises to the workers built trust amongst the stakeholders. Labourers were encouraged to take responsibility both in the workplace and through direct involve-

ment in personal development opportunities. Skills training was not forced upon the labourers but encouraged as it helps ameliorate power differences and uplift individuals to equal playing fields. The open communication policy on Farm Three as well as the sense of mutual respect and equality amongst all levels of staff were encouraging as they reflect the potential successes that might be realised should the Charter or related initiatives take hold within the industry.

## 7. CONCLUSION AND RECOMMENDATIONS

Despite the presence of development organisations and conceptual frameworks for transformation, disagreements amongst stakeholders, gaps in knowledge of initiatives, non-compliance, lack of enforcement, and overriding power dynamics have contributed to the relatively limited presence of transformation in the wine industry. Amongst the labourers interviewed, very few had experienced socio-economic development opportunities and there was a general consensus amongst respondents that, although transformation is needed within the industry, there is a long path ahead for widespread change to occur. Even in situations where transformation initiatives have impacted well-being, historical inequalities and issues of paternalism still exist.

Before conducting interviews, the researcher was under the impression that the efforts made through the SA Wine Council and creation of various charters were well-known within the wine industry. It became apparent after initial conversations that this was not the case. Of the twenty-two participants interviewed, not one had heard of the *Wine Industry Transformation Charter*

nor were any aware of socio-economic development opportunities offered through industry bodies. Organisations such as SAWIT, BAWSI, WIDA, the SA Wine Systems (SAWIS), and the Biodiversity and Wine Initiative (BWI) are visible proof of the industry's commitment towards transformation, but the presence of these organisations did not correlate to the state of transformation within the industry. Despite their presence and independent development efforts within specific farms or communities, there was no evidence of industry-wide transformation initiatives as described by the Charter.

The lack of publications regarding socio-economic development in the industry was explained during interviews with WIDA and SAWIT executives. Although there is a widespread consensus regarding the need for transformation, there is little incentive for many organisations to implement development initiatives as they are either seen as unnecessary financial costs or are hindered due to the inability of the stakeholders to work together. A lack of knowledge of the availability of programmes and continual miscommunication has left many in the dark regarding the efforts aimed at industry-wide transformation. In the nine years since the adoption of the Charter, there is still a gap between the creation and application of industry initiatives, partially due to the lack of awareness of the goals and opportunities.

### **7.1 Realisation of power dynamics**

Power dynamics within the industry were very evident during the course of the study. Initial document analysis brought forth issues of paternalism and power dynamics and these factors continued to

be apparent during the researcher's time in the Paarl region. Although power dynamics are inherent within any organisation, the difference within the wine industry has been how power has influenced the relationships amongst stakeholders. Captains of the industry have capitalised on this imbalance of power relations. These businesses and cellars have been well organised and protected by representative bodies such as VINPRO (farmers), SALBA (trade), and CellarSA (cellars). The workers, on the other hand, have not been well organised. Although there is a presence of labour unions, they were nowhere near to the same level of development as the other industry representatives. The focus of many transformation organisations, such as SAWIT and BAWSI, has been to increase the legitimacy of these labour representatives and to assist in their engagement with the traditionally powerful players. These efforts have been limited, however, due to economic restrictions and lack of cohesion amongst effected parties.

A lingering sense of paternalism has largely dictated the power dynamics between farmers and labourers whereas the increased use of seasonal or contractual labour has sparked issues of power amongst the workforce. Permanent labourers work only a few hours longer than contractual labourers but make much more money, according to a labourer on Farm One whose wife is a member of a contract team (Interview: 1.1, 2013). Additionally, age plays an important role amongst labourers. Younger labourers are often not treated with respect by older workers, who tend to see the younger generation as a threat to their continued employment. This can be related to the current issues within South Af-

rica regarding the youth wage subsidy bill as it encourages employers, through tax breaks, to hire younger adults in an effort to reduce unemployment within that age bracket (Sapa, 2013).

Too often, empowerment strategies do not pay enough attention to the various power inequalities at play (Fine et al., 2001 in McEwan & Bek, 2006). For there to be lasting change, power must be seen less in terms of domination of one group over another. Instead, power relations should be viewed as capacity development tools for the previously oppressed to increase their own self-reliance, decision-making capabilities, and access to opportunities and increased resources. This can occur with a focus on equity schemes and redistribution of power within the socio-economic transformation initiatives in the country.

## **7.2 Recommendation and realisation of recent initiatives**

There is disconnect between policy and practice of socio-economic development initiatives in the South African wine industry. Although there had been a number of initiatives set forth by governmental bodies and social interest groups to combat poverty and increase economic development, the continued presence of extreme poverty, rising unemployment, and lingering health issues due to neglect and lack of sanitation indicate that there is still a long road of development ahead. When present, regulations had been met with minimal compliance to meet incentives or completely disregarded due to lack of enforcement or loopholes including exemption status. Despite a consensus amongst stakeholders of the need for transformation, many of the efforts put forth for indus-

try-wide transformation have failed to have significant impact.

There is a noticeable gap between the presence of development efforts and the knowledge of these opportunities, especially amongst farms. Interviews with managers and labourers alike found that there was little knowledge of the socio-economic development efforts put forth by wine industry organisations, namely SAWIT, WIDA, and the *Wine Industry Transformation Charter*. Additionally, the lack of communication amongst stakeholders continues to limit understanding and cooperation. Those farms that had decided to implement transformation schemes were unaware of the existing industry tools and thus created their own (i.e. Farm Three's involvement in the Franschhoek Transformation Charter, 2012). Although still a step in the right direction, these efforts could have been streamlined had industry information been better disseminated. Successful transformation will require strategic action to reduce the knowledge gap and improve communication amongst stakeholders.

After recognising the need for transformation efforts, the seven-year process resulting in the creation of the SA Wine Council and adoption of the Charter has had a disappointingly limited affect within the industry. This is not due to inadequacies within the Charter; its contents are comprehensive and recognise the need for an integrated approach for successful development. The issue lies in the realisation and application of these transformation objectives. The researcher noticed strong evidence of selective compliance and lack thereof of a strong, central, unifying, and neutral party. Where development initiatives

were present, they were mainly motivated by prescriptive versus proactive measures. Many farmers “talk the talk but don’t walk the walk” when it comes to transformation efforts, especially those providing assistance to wine farm labourers, according to the WIDA expert. There is a widespread acknowledgement that transformation will be beneficial to the personal development of workers and could assist the farm’s productivity, especially investments in specific skills training. Often these investments are not considered worth the cost to the farm, however, especially if the current system of operation is working and there is no enforcement to require change. Complying with transformation initiatives may open a can of worms that no farmer wants to deal with, especially if it means financial costs and a threat to the organisation’s reputation within the wine industry (Interview: 2.Manager, 2013). For successful transformation to occur, systems of empowerment, education, self-worth, and capacity development must be initiated organically. Motivation from within the individual wine farm or labour population ensures there is support for and dedication to a successful transformation. Conversely, prescriptive initiatives are often economically motivated and thus less likely to be implemented wholeheartedly and for means which encourage lasting transformation.

There have been some successes in transformation initiatives with increased access to various opportunities previously unavailable to labourers within the wine industry. These have been rather small advancements, however. Currently, many farmers are comfortable; if BEE-related legislations, including the efforts put forth in the Charter, were to be enforced for all farms regard-

less of size, the gaps in which farmers have been getting around compliance would decrease and there would be increased pressure to enact change. Updated research has found the presence of one such organisation whose socio-economic development initiatives aim to encompass all stakeholders within the South African wine industry.

The Fruit South Africa ethical trade programme became formalized as the Sustainable Agriculture in South Africa (‘SIZA’) initiative in response to the increased demand for a single source for ethical trade and fair labour practices in the South African agriculture industry (SIZA Background, 2015). The programme focuses on capacity building and “supporting ongoing improvement of working conditions on farms” (ibid.). The SIZA Standard is comparable to the researcher’s recommendation for increased communication and inclusion into initiatives aimed at empowerment, not incentives aimed at increasing productivity. SIZA aims to provide tools for self-regulation and focuses on all industry members, regardless of size or status. Workshops focusing on a ‘train-the-trainer’ model are tailored to meet the needs of participants and aim to implement capacity-building programmes within existing industry structures in 2014 and 2015 (SIZA Capacity Building, 2015). In order for these programmes to succeed, there must be a mutual understanding amongst SIZA training providers and managerial staff in the production, distribution, and labour force to not only agree upon the need for socio-economic development initiatives but also to see the economic benefit and ethical responsibility behind full engagement and participation. This two way engagement encourages

people to be active participants in decisions that affect their lives.

There is potential for significant transformation to occur within the wine industry, especially in the lives of its farmworkers. There is a strong need to reduce the overwhelming presence of dependency amongst the farm labour population and encourage personal development through education,

that requires time and dedication to enact lasting change.

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enrichment opportunities, and empowerment. The principles found within the *Wine Industry Transformation Charter* have the potential to influence this transformation, if they are properly instated and enforced by a regulating body, such as SIZA or another neutral party. This will require the cooperation of all stakeholders and the realisation that successful transformation is a process

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# LESSONS FROM POST-APARTHEID SOUTH AFRICA FOR A VIOLENCE IMBUED PROTEST CULTURE

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## **ABSTRACT**

South Africa acquired majority rule in 1994 after 46 years under apartheid regime. This marked the birth of a democratic state built on a constitutional democracy. Yet today it still bears the marks and unhealed wounds of colonial era and is struggling to shed the legacy of apartheid. Protest and collective violence continue to be a major social problem facing South Africa today. The violent culture can be traced from the precolonial times and the colonial era. Violence in South Africa manifests itself through different forms such as political, economic, social and educational spheres of the society. During the apartheid era Black people used to protest against the apartheid government for the gross injustices perpetrated against them. The black masses protested against the carrying of passes and change in curriculum system which resulted in the deaths of students in 1976 Soweto uprising. In the post-apartheid South Africa, most notable acts of collective violent demonstrations can be highlighted by the Marikana strikes which resulted in the death of many people. More so, the world witnessed with horror the 2008 and 2015 xenophobic attacks which resulted in the death of 69 people and many more injuries on fellow humans. Violence demonstrations results in the loss of life and destruction of property worthy of millions. The social collision theory will be used to explain the origin of the culture of violence in South Africa. This article gives an analysis of the various forms in which protest and collective violence occur and lastly this desktop research provides various interventions which can be used to prevent or stop the culture of violence in South Africa.

**KEY WORDS:** Culture of violence, Protest and Collective violence, Social Collision theory, Xenophobia

## **1. INTRODUCTION**

Protest and collective violence in South Africa has become a daily or rather a weekly feature in which both the televised and electronic media has filled the ears and eyes of the public with the news of such.

It has become a phenomenon from Cape Town to Limpopo province. This is mostly witnessed by the images of strikes with people throwing petrol bombs, blocking and barricading roads with burning tyres, hatred and the driving away of people from other countries as well as destruction

of infrastructure worth of millions. This is the manifestation of the culture of violence in South Africa and it shows that violence has become a resort when people are frustrated. Collective violence may be defined as the instrumental use of violence by people who identify themselves as members of a group against another group. Whether this group is transitory or has a permanent identity against another group or set of individuals, in order to achieve political, economic or social objectives (Krug, Dahlberg, Mercy, Zwi and Lozano, 2002:215). There is always an agenda which is being conveyed when people engage in protest and collective violence.

Lau, Seedat and Suffla (2010) observe that collective violence is used to define protest action, public and social protest that can contain violence action as noted in more South African communities. Protest action and Collective violence has been an acceptable way of black people communicating their grievances against the white apartheid government (Swart, 2013). However, the relevance of this tool in post democratic South Africa is being questioned. During apartheid, protest and collective violence dominated the South African society for a great while. This resulted in the development of the culture of violence which the world is witnessing. In 1994, South Africa held its first democratic elections heralding the beginning of a new life and new era. The end of apartheid and the advent of democracy did not result in an overall decrease in violence. In fact, since the introduction of a new government in 1994,

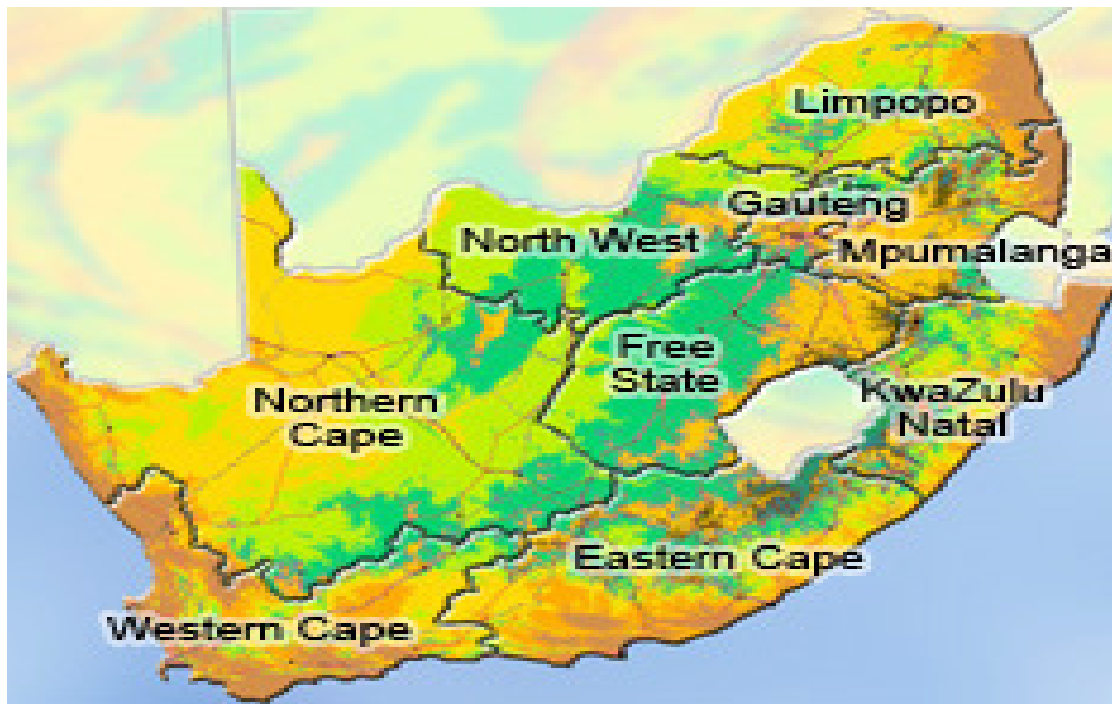
South Africa has witnessed escalating and unprecedented spiral waves of violence.

The constitution of South Africa readily communicates the right of the individual to express themselves and also the right to form a gathering and strike is also enshrined in the constitution. Section 17 of the Bill of Rights protects people's right to assemble, demonstrate, picket and present petitions as long as they are unarmed and behave in a peaceful manner. However, most protest actions have not resulted in peaceful resolution but have often resulted in collective violence which is detrimental to the human life (Duncan, 2005). Collective violence often it results in the destruction of property and human life. This form of violence reveals unhuman nature of human beings and it has potential to render South Africa a no tourism destination. There is also undesirable consequences which can jeopardise South Africa's regional integration.

The essence of this paper is to bring out to the open different multi-levels in which protest and collective violence occur. This research gives a brief background of protest and collective violence as being entrenched in the apartheid era and the culture of violence. This research uses social collision theory to explain the causes of protest and collective violence in South Africa, and then lastly discourse analysis is used to collect and analyse data.

## 2. BRIEF BACKGROUND OF PROTEST AND VIOLENCE IN SOUTH AFRICA

Map 1: Map of South Africa



(Source: South Africa. Infor)

South African history is characterised by tribal wars, wars about land, racial conflicts, internal friction between blacks and whites, the Afrikaners and the British and violent clashes between ethnic groups. These wars and violence is a feature of South Africa's pre-colonial, colonial and post-colonial history. Violence became a method of solving problems (Levey, Bentley & Shellman, 2012:56). The tribal war was fueled because of a number of reasons; ethnic group like the Zulu wanted to have more land and trade (Tirivangasi & Rankoana, 2015). South Africa had its experience in regard to tribal wars and it is these violent wars that shaped the country. Through the ages violence became systemic. This was evident in the process of social stratification that emerged in 1652 when the social order was dominated by Europeans (Gilomee, 1982:403). Blacks were not able to gain any economic or po-

litical power. They became a poor class in the Cape colony and occupied a middle position between the Khoikoi and the slaves from the East and other parts of Africa (Gilomee, 1982:390). South African society is only violent because of its pre-colonial and colonial wars. The economic and political empowerment was achieved after a long struggle which involved protest and collective violence. In this scenario, one can note that historically, some of the ethnic groups in South Africa like the Zulus knew how to protect their resources through exercising violence and power. Further, as shown by the scholarly review above, the apartheid made things to be worse, because the Black communities devised ways of how to deal with the White oppressors. In this case the government has become the enemy because of the lack of Service delivery. It is ease for these communities to gather to-

gether and engage in protest and collective violence.

### **3.THE MANIFESTATIONS OF PROTEST AND COLLECTIVE VIOLENCE IN SOUTH AFRICA**

South Africa has been dubbed the protest capital of the world (Rodrigues, 2010) with one of the highest rates of public protests in the world (Alexander, 2010). This is due to the number of protest which occurs during the course of the year. The South African protest since the colonial era varies from the economic, political and social causes. This is what makes the issue of protest and collective violence to be a very serious concern to the peaceful community members, academics, politicians and the international community alike. Rodrigues (2010) notes that the rate of protests has been escalating since 2004. There is growing dissatisfaction of the citizens over service delivery and the failure by the government to meet the needs. The rate of protests rose dramatically in the first eight months of 2012 and it was reported that there were 540 protests in the province of Gauteng between 1 April and 10 May 2013 (Patel, 2013). In February 2014 it was reported that nearly three thousand (3,000) protest actions occurred in a period of ninety (90) days (Patel, 2013). Further, Du Preeze (2014) also notes that more than a million people took part in one form of protest action or another in a period of thirty (30) days. Since 2008, more than two million (2) million people have taken to the streets in protest every year. This clearly shows that the problem of protest violence is increasing and is a cause of concern.

Duncan (2007) defines collective violence as acts that are perpetrated against indi-

viduals by certain powerful groups, nations or state. All different kinds of collective violence are driven by ulterior group motive. Social violence is described as violence acts that serve a certain particular social agenda such as hate crimes against a certain group and mob violence (Duncan, 2007). Smead (2007) notes that riots are by far the most common manifestation of civil disorder. Smead argues that riots can be repressive, insurrectionary or expressive. The repressive mobs are the most common around the world; they seek to preserve the racial, ethnic and religious order. This evidently explains the collective violence in South Africa.

A classic example of US riot case which can parallel to the South African scenarios was highlighted by Smead:

*In Chicago on July 27, 1919, a young black boy named Eugene Williams joined the throngs swimming in Lake Michigan to escape the 96 degree heat. Offshore, he strayed into the white area, was stoned for this breach of racial etiquette and drowned. His death touched off a flurry of rock throwing between outraged blacks and whites. Police refused to arrest the initial white rock thrower. Indeed, they went after a black man. This episode triggered a seven-day riot in which bands of whites ranged into black neighbours burning and pillaging. Twenty-three blacks died. Blacks fought back, killing 15 whites (Smead, 2007:1).*

This can be compared to the South African cases where one case of xenophobic attack on foreigners would trigger a series of several attacks on other foreigners in other South African cities. The 2015 xenophobic attacks in the greater Durban area

were linked to Zulu King Goodwill Zwelithini's speech in Pongola, in which the king is said to have said foreigners should pack their bags and leave South Africa. Tirivangasi and Rankoana (2015:523) agree with the above assertion when they state that "The King's utterances (although taken out of context by the media) endangered the lives of the foreigners in South Africa..." The King's statements whether true or not resulted in the spiral wave of collective violence against the foreigners. The most obvious is proximity: these are the groups of people who live and work in townships. As the violence is based on a mix of rage, frustration and opportunism, these are the obvious and 'easy' targets. According to mainstream reports from the (City Press, April 2015) the police did little to protect the foreigners from these attacks. The attacks started in KwaZulu Natal and spread to other cities like Johannesburg targeting the foreigners. The local mobs ran havoc in city after city searching for foreign owned shops and properties, in an unplanned wave of violence whose ultimate goal was to remove the assumed threat that foreigners bring to the South African. Some of the arguments were that the foreigners take their women, business opportunities, and jobs and were also perceived as thieves (Pillay, Barolsky, Naidoo, Mohlakona & Hadland, 2008). These are the acts of collective violence justified as a normal occurrence or protest by the perpetrators themselves.

Further, collective violence is also seen manifesting in labour disputes. The labour strikes are a significant feature in post-Apartheid South Africa. Smead (2007) notes that most often strikes and lockout frequently deteriorate into violence. The history of

the labour strikes can be traced to USA where most violent strikes occurred. Most incidents resulted from strikes, lockouts and attempts at Union (Smead, 2007). In South Africa, Congress of South African Trade Unions (COSATU) led campaign against labour brokering and electronic road tolls in Gauteng, the Marikana mine strikes in 2012 and the Western Cape farm workers' strike. The Marikana strike turned from being a peaceful strike into a violent protest. The Marikana strike left thirty four (34) people dead in the street after the clashes between the police and the workers.

The culture of protest and collective violence has extensively affected most of the society's institutions. In this regard, education institution is not an exception. In the 1976 uprising, students were protesting in a peaceful demonstration. However, it turned violent when the police opened fire. This incident is a classic example of state repression. In post-Apartheid era students still engage in protest and often they have turned violent. Mottiah and Bond (2011) observe that student protest over fees and excursion began in 2011 in Durban, compelling Durban Institute of Technology to be shut down in early February 2011 and repeatedly July and August same year. The scholars note that the protest continued more in UKZN campuses (Mottiah and Bond, 2011). The police used all sorts of weapons to disperse the students. They used weapons such as teargas, rubber bullets and water cannons. In 2015 under the #fees must fall protest the police fired rubber bullets at students. Health24 in Sowetanlive, 2015 points out that rubber bullets can cause some detrimental effects on an individual. For instance, they can inflict painful tissue bruise or break one, lung contusions, laceration,

abrasion and can result in swollen on the parts hit. Mottiah and Bond (2011) notes that in turn when students protest they burn tyres, throw stones and destroy buildings.

#### **4. THEORETICAL FRAMEWORK OF THE STUDY**

The discourse discusses protest and collective violence using Social Collision Theory. The theory borrows heavily from the Kinetics Theory which was developed by Peter Waage and Cato Guldberg who in the 19th century pioneered the law of mass action in chemical reactions. The theory holds that chemical reactions do not take place in the absence of reactants (Matunhu, 2014). Similarly, the social collision theory (SCT) holds that protest and collective violence is a result of social, economic and political pressure. If pressure reaches unprecedented levels; stress and depression may weigh down an individual. The point of rupture might be suicide, crime or other form of anti-social behaviour (Matunhu, 2014). Social pressure may vent out in the form of civil war, xenophobic attacks, strike or other uprisings. In this discourse, economic, political and social factors act as the major drivers of protest and collective violence in South Africa. The state of poverty is more painful in communities where wealth distribution is inequitable. This is a result of unfulfilled promises by the government of African National Congress (ANC) to the people of South Africa. The fact that protest and collective violence is occurring in South African communities every day means people have reached a boiling point. The public has reached a point where they have to put issues in their hands in order to reach out a solution just like in the apartheid era.

#### **5. RESEARCH METHODOLOGY**

In order to gain a comprehensive insight into protest and collective violence in South Africa, discourse analysis was used as the main data collecting method for this secondary study. Discourse analysis is more of deconstructing the literature and coming out with new interpretation. The discourse analyses covered a wide variety of sources, including written texts. Data was collected from the internet, newspapers and books on protest and collective violence. The researchers found discourse analysis to be a powerful tool in trying to make meaning of the newspapers and articles on protest and collective violence in South Africa. Discourse analysis enable the creation of new information and also presents the forms in which protest and collective violence occur in a clearer and simpler way.

#### **6. RESULTS AND DISCUSSION**

##### **6.1 Protest and collective violence as a communication tool**

Rose (1970: 26) makes an important observation when he states that “violent control restrains and regulates, and is a method of social- political control. Violent revolt is dissent and strives to create change”. In South Africa, collective violence has been used as a communication tool to attract the government's attention. This discourse has revealed that in the social sphere protest and collective violence has been used as a way to effect change in a number of ways. Protest and collective violence has been used in the educational institutions, communities and at the work place. This discourse has found out that, even though this can be effective means to effect change but it comes with consequences which

can be harmful to both the perpetrator and the victim. This research has revealed few case studies where violence has manifested itself and the consequences it has brought. The multi-layers are discussed in this discourse namely social, political and economic sphere.

## **6.2 Protest for service delivery**

Protest action in South Africa has been caused by the government's failure to provide sufficient service delivery. The government has an obligation to ensure that the needs of the people are met. The media has given reports of angry people who are faded up of the government promises. Evans (2015) gave a report of a truck which was set ablaze in Burgersfort on the R555 road. The police had to intervene in the process; people of Burgersfort felt that if they do not do something no change was going to be effected. They were promised that a road will be built but nothing happened, until they thought about taking the matter to their hands. In a similar scenario in Durban on the N2's South bound carriage way, the road have been obstructed by rocks and burning barricades (Wicks, 2015). Most protests have been successfully conducted attracting large crowds. Shange (2015) observes a crowd of about 600 people in Limpopo, where disgruntled residents of Zebediela in Limpopo put the local plaza under lock down and blocked the roads. The most notable thing is that most residents in South Africa are protesting about service delivery which is not secure.

However, despite staging electrified protests, the protests are filled with violence and destruction of property. This is a pitfall in the use of protest and collective violence as a communication tool and it paints a

negative picture for its use in post-apartheid South Africa. The problem is that the message is not conveyed or it does not reach the authorities it is supposed to be reaching. At one point in Bronkhorstspuit, the authorities thought that the protesters are protesting about water problems but later they realised that they were protesting about increasing electricity tariffs. Protest has become a mode of communication between the people and the authorities. Its major weakness is the fact that they are different implications which are derived from every human action. This results in the real problem being not addressed but rather in the escalation of problems in the communities involved. Masango (2009) concludes violence and riots in South Africa has become a sheer expression of an overwhelming sense of frustration, desperation, and hopelessness. In this case protest and collective violence does not achieve the specific objective intended but ends up with some devastating effects on the community in which it is carried out.

## **6.3 Foreigners used as a scapegoat**

Scholars and intellectuals in South Africa have argued that xenophobic violence is ultimately the consequence of economic decay and uneven development as a result of structural adjustment and deindustrialization (Bond et al. 2011; Tshitereke, 1999; Harris, 2002). The government's policies have resulted in massive unemployment rocketing from 13 percent in 1994 to 25 percent in 2013 or 40 percent by unofficial measures (Hickel, 2014). Since 1994, people were expecting the betterment of their lives and they hoped that their life would improve. Two million people have lost their homes because of forced removals and

inflated rents, and the number of shack dwellers has increased by fifty percent, to the point where today more than one quarter of South Africans live in shacks(Hickel, 2014). The argument holds that as livelihoods become ever more precarious, competition over jobs, housing, and retail have reached extreme levels. In the face of this competition, the South African public felt the need to protect and capitalize the diminishing resources. Furthermore, Tshitereke (1999) notes that foreigners were then used as the scapegoat by the public to show their disgruntlement over the lack of jobs, housing and lack of service delivery. The xenophobic attacks resulted in the death of a total of sixty two (62) lives in 2008 (Matunhu, 2011) and more than seven (7) people died in 2015. It is of paramount importance to note that since the outbreak of xenophobia attacks in South Africa, there are no exact causes which have been pinpointed. The only thing which is apparent is the fact that South Africans are not prepared to have more foreigners in the country. Xenophobia in South Africa is another classic example of protest and collective violence, as revealed by this research.

#### **6.4 The defect in the South African Electoral system**

The South African Electoral system needs to be looked into. South Africa has adopted proportional representation electoral system since 1994. The proportional representation system is not flexible in terms of meeting people's needs. Members of parliament are elected using the party list system. Individuals are not hold accountable for their lack of service delivery in communities which they represent. People do not have a choice in selecting proper represen-

tatives who understand their needs rather people are only given an option to vote for a political party of their choice. In this case individual accountability is not achieved. People have to face the party as a whole instead of removing the Member of Parliament. The hopeless situation has made the community to resort to the use of protest and collective violence in order to be heard. There is need for accountability in the country, where every constituency can hold someone accountable for the lack of service delivery. In the current system the party and the government are the one who are responsible and answerable to the public. Lack of a point of contact, has resulted in most cases people gathering together and engaging in protest in order to attract the government's attention and action.

#### **7. CONCLUSION**

In a nutshell, this paper has concluded that since the beginning of the democratic era in the 1990s, the South African public has not been given the public a clear opportunity to channel their grievances without the use of violence. Protest and collective violence has been used to catch the government's attention to the people's needs. However, protest and collective violence results in some unwarranted consequences. It results in the destruction of property, harm to individuals. The problem of protest and collective violence is not wavering soon as long as the service delivery is not addressed in time.



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# THE STATE OF COMMUNITY PARTICIPATION IN SOUTH AFRICA: A CRITICAL REVIEW

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## **ABSTRACT**

*Community participation plays a pivotal role in any democratic society, and it is for that reason that community participation at the local sphere of government is provided for in several legislative frameworks and policies in South Africa. The provisions in these frameworks and policies make it compulsory for all municipalities in the country to ensure active participation by local communities and stakeholders in their programmes and activities. To this end, it is widely believed by Public Administrations scholars and practitioners alike that involvement and engagement between local citizens and their government is an essential factor for ensuring efficient and responsive municipalities. It is for this reason that this paper seeks to assess the extent of participation by local communities in the municipal programmes and activities. In addition, the paper seeks to identify challenges so as to propose possible solutions to address the mishaps at this critical sphere of government in so far as participation is concerned. The methodology adopted by the paper is reviewing existing literature with regard to community participation in South Africa. Through this assessment, the local communities are found to possess limited understanding of community participation, and that the extent of participation in the municipal programmes by local communities is not adequate. As a way of addressing the challenge, it is recommended that the municipality develop awareness initiatives and also beef up their training programmes with regard to the enhancement of understanding and participation by local communities in the municipal programmes and activities including but not limited to integrated development planning and municipal budgeting.*

**Keywords:** Community participation, Local communities, Municipal programmes

## 1. INTRODUCTION

During the apartheid era, most South Africans were passive citizenry and as such they could not question the power of the state and, most importantly, they were recipients of governance, rather than participants (Mathekga & Buccus, 2006: 12; Sibiyaya, 2010:1; Mautjana & Makombe, 2014). However, this all came to an end in 1994 when, as a "new" beginning, the government was to be defined in relation to its citizens. The South Africa context has a different and unique progression of events, that is from an authoritative regime of colonialism and apartheid to its collapse and the dawn of democracy basically allows for new lens with observational capacity that is uniquely South African in nature. The importance of involving people in their own development as posited by Silima and Auriacombe (2013) is driven by the Millennium Development Goals set for community development. This specific shift in focus from centralisation to decentralisation followed the realisation that top-down approach was largely unsuccessful in that huge parts of the population could not be reached particularly the poor (Silima & Auriacombe, 2013). According to Sibiyaya (2010:18), the notion for participation of people in democratic governance at all the different levels of governance was recognised by the African National Congress (ANC) in its policy document, the Reconstruction and Development Programme (RDP), in 1994. The RDP sought to promote the contribution of those who were previously marginalised into the governance of their own affairs (ANC, 1994).

Community participation plays a critical role in any municipal government deci-

sion making process including planning and budgeting particularly because local communities are the principal stakeholder at the local sphere of government (Thornhill & Madumo, 2011). On a global scale the important role of community participation has been discussed thoroughly and diversely by academics and local government practitioners alike and it was found to be a building block of a participatory democracy. Tau (2013) posits that community participation is encouraged in democracies to enhance decision-making and implementation processes particularly because democracies like South Africa even legislated the participation of local communities in their municipalities through legislations including but not limited to *Local Government: Municipal Structures Act, 1998 (Act 117 of 1998)* (hereafter referred to as *Municipal Structures Act*), *Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)* (hereafter referred to as *Municipal Systems Act*) and *Local Government: Municipal Finance Management Act, 2003 (Act 56 of 2003)* (hereafter referred to as *Municipal Finance Management Act*). Thus, according to Tau (2002), community participation has become an institutional feature of government and public policy decision making.

The degree of attention being given to expanding ordinary citizens' roles in the policy process underscores the need to consider what effects these processes might and will have on public policy decisions and on those who participate in them. It must however be noted that community participation is undertaken for different purposes and with different underlying goals. In terms of community participation, South African history reflects very little opportuni-

ty for community participation in government programmes and activities. The fact that black majority had no political rights envisaged in the law of the land until 1994 demonstrates the total absence of participation of any sort including through election of public representatives (Masango, 2002: 52). Contrary to this democratic phase, Williams (2000) posits that the pre-1994 era's government was highly centralized, deeply authoritarian and secretive, which ensured that fundamental public services were not accessible to the majority of citizens who happened to be black. Makgoba and Ababio (2004:277) postulate that even after the introduction of the first black municipalities in 1980, black communities had no say in matters of governance and could not elect their own municipal representatives. It is against this background that *Municipal Systems Act* was introduced with particular emphasis on local participation in municipal affairs through political structures including but not limited to ward committees, public hearings, and community meetings (Sibiya, 2010: 19; Vivier & Wentzel, 2013: 240-241). This Act places emphasis on community participation, consultation and involvement in the activities and functions of municipalities. This paper seeks to assess the extent of participation by local communities in the municipal programmes and activities by reviewing existing literature as a research methodology adopted. In addition, the paper seeks to identify challenges through literature review in the state of community participation in South Africa so as to propose possible solutions to address the mishaps at this critical sphere of government in so far as participation is concerned.

## 2. PUBLIC PARTICIPATION VERSUS COMMUNITY PARTICIPATION

The concepts public participation and community participation are often used interchangeably even when they have got a different meaning. At times Public Administration scholars and practitioners refer to public participation when in actual fact they mean community participation. Community participation is one of the key ingredients of an empowered community (Reid, 2000:1). Community participation occurs when a local community organises itself and take full responsibility for managing its problems. Taking full responsibility includes identifying the problems, developing actions, putting them to place and following through. The World Bank (1996:3) defines public participation which is participation at national and provincial sphere level as "a process through which stakeholders (at national and provincial) influence and share control over development initiatives and the decisions and resources which affect them". Public participation is the process by which public concerns, needs, and values are incorporated into governmental and corporate decision making. Of fundamental importance is to acknowledge that the largest possible way through which the public can participate in decision-making processes, is the acceptance and embrace of the principle, that the public have a democratic right to participate in decision-making that impacts on their lives, including governance issues (Gildenhuis & Knipe, 2000:126). Participation is basically a two-way communication and interaction, with the overall goal of better decisions that are supported by the community (Creighton, 2005: 7). Furthermore, Tau (2013) points out that, community partici-

pation should arguably include more than just organized community representative groups (including ward committees) and non-governmental organizations but also a mass of the general communities. In the context of this paper, community participation refers to the process of seeking and facilitating the involvement of those potentially affected by or interested in a decision either directly or indirectly at a community level. The principle of community participation holds that those who are affected by a decision have a right to be involved in the decision-making process as enshrined in the South African legislative framework. Community participation implies that the contribution of the community must influence the decisions of government particularly local sphere of government.

### **3. COMMUNITY PARTICIPATION IN SOUTH AFRICA**

The *Constitution of the Republic of South African of 1996* (hereafter referred to as the *1996 Constitution*) provides for community participation in the development, implementation and evaluation of integrated development planning which is basically a principal planning instrument for municipalities in South Africa (Mathekga & Buccus, 2006:11; Silima & Auriacombe, 2013: 45). To this end, the collapse of apartheid in South Africa meant the end of an authoritative regime which was characterized as a regime that defined itself against the needs and wishes of the majority of the population in the country (Sibiya, 2010:1). World Bank (1996:145) also indicates that reaching the poor masses requires working with them to learn about their needs, understanding the considerations that are made regarding

decisions affecting their communities, and identifying institutions and mechanisms that acquire opportunities and resources. In the South African local government sphere, community participation is encouraged to an optimal level. What however is necessary, is a process where communities are informed and made aware of their right and obligation to participate – and even educated (Van der Walt & Knipe, 1998: 143; Coetzee, Graaf, Hendricks & Wood, 2001: 473) on the basics of what developmental local government as provided by the *1996 Constitution* could afford them. It is for this reason that local communities should also be alerted that they are important stakeholders in municipal affairs; and the fact that in reality resource constraints particularly human and financial are prevailing and therefore in most cases, projects and resources allocation are approved on the basis of priority by the municipal council. Community participation was minimal pre-apartheid in South Africa and this had to be addressed by the democratic dispensation through different pieces of legislation specifically meant to foster community participation in all spheres of government particularly in the local sphere of government as a sphere that is closest to the people. Amongst others, *Municipal Systems Act* requires that municipalities develop a culture of municipal governance that complements formal representative government with a system of participatory governance (Masango, 2002). Furthermore, the *1996 Constitution* in South African is underpinned by principles of good governance, also highlighting the importance of participation by local communities as an essential element of successful good local governance. Section 152 of the *1996 Constitution* also confirms a

number of citizen rights including the rights of communities to be involved in local governance (Munzhedzi & Phago, 2013). Municipalities are also obliged to encourage the involvement of communities and community organisations in local government, and that this obligation extends to the entire way in which a municipality operates and functions in its locality. This is basically to say that local communities as primary stakeholders in local government must be encapsulated in any local government activities including formulation of Integrated Development Plans (IDPs) and municipal budgets.

Community participation contributes to better decisions because decision-makers have more complete information in the form of additional facts, values, and perspectives obtained through community input to bring to bear on the decision process (Batten, 1994: 98; Sibiya, 2010: 2). As a result of consideration of community inputs, municipalities may incorporate the best information and expertise of all stakeholders including business people in that locality. Decisions are more implementable and sustainable specifically because the decision considers the needs and interests of all stakeholders and stakeholders better understand and are more invested in the outcomes. Theron (2005:119) and Munzhedzi and Phago (2013) correctly posit that decisions that are informed by community participation processes are seen as more legitimate and are less subject to challenge by local populace. Decision-makers who fully understand stakeholder's interests also become better communicators, able to explain decisions and decision rationale

in terms stakeholders understand and in ways that relate to stakeholders values and concerns (Houston, 2001:222).

Community participation also plays a paramount role in conflict prevention in that conflict prevention should focus not only on containing a potentially violent situation, but also addressing the fundamental causes of conflict. Ideally, Ramsbotham, Woodhouse and Miall (2005:145) are of the view that conflict prevention goes further than problem solving in that it is proactive step in preventing violence by bringing parties together to analyse and transform a dispute into an agreement. Like the current community participation model in the country, conflict transformation assumes that all problem-solving processes involve moving through a systematic, constructive thinking process to reach a desired goal state of conflict having been resolved. In the case of South Africa, where there are often differing and sometimes opposing views and expectations, it is assumed that the desired state will come from putting together those who have divergent views, experiences and expertise. In essence, community participation in the country in a conflict context assumes that all parties must participate, because the nature of the conflict comes from parties that are interdependent and intertwined.

#### **4. COMMUNITY PARTICIPATION IN THE IDP AND BUDGETARY PROCESS**

Traditionally, South Africa did not have a culture of actively engaging communities in local government development affairs during apartheid (van Rooyen, 2003: 126). Democracy in the country has brought

about new emphasis to transparency in government activities, greater public accountability and the notion of respect for human rights as enshrined in the 1996 *Constitution*. This approach differs substantially from the prior 1994 South Africa where community information and consultation was to a large extent limited. The IDP which is the planning tool of local government was seen as one of the ways to ensure this inclusion (Sibiya, 2010; Silima & Auriacombe, 2013). The introduction of the IDP process in the year 2001 required municipal councils of respective municipalities to develop strategies for community involvement, including but not limited to communication strategies, community outreach programmes and stakeholder involvement strategies (Skenjana & Kimemia, 2011:59). Van Rooyen (2003: 127) also correctly posits that while municipal integrated development planning and the municipal budgeting processes are unfolding and local economic development projects are being launched, local communities should be afforded the opportunity to participate in processes to articulate their expectations and to prioritize their needs. These strategies were meant to improve the levels and quality of community participation, however, critics of the application of the system argue that the IDP processes are still far from achieving full community involvement in policy making as stipulated in the relevant legislative framework, and that the process remain very much top-down and communities are merely allowed to comment on proposals developed by municipal officials rather than being invited to contribute to the content before its drafting (Friedman, Hlela & Thulare, 2003:56). It therefore means that at times the consul-

tation is only for compliance with the provisions of the 1996 *Constitution* and the *Municipal System Act* (Mautjana & Makombe, 2014). However, an IDP of a municipality may not be approved by the municipal council without having gone through the necessary process of consultation as required by legislative prescripts.

The financial year for South African municipalities runs from the 1<sup>st</sup> of July to 30<sup>th</sup> of June of the following year. The *Municipal Finance Management Act's* provision is that the mayor of a particular municipality is responsible for coordinating the processes for preparing the municipal budget and for reviewing the municipality's integrated development plan and budget-related policies. Like the *Municipal Systems Act* which makes the IDP consultations and participation compulsory, the *Municipal Finance Management Act* also makes it a prerequisite that before an approval of the municipal budget could be granted, compulsory consultation and participation should have been adhered to. Immediately after the mayor has tabled the annual budget, the administrative head (municipal manager) of the municipality must make public the annual budget together with any supporting documentation and invite representations in connection with the budget from the local community. The municipal council must then consider any views put forward by the local stakeholders including by the community and any other organs of state that may have made submissions on the budget. The mayor is then given an opportunity to respond to the submissions and, if necessary, revise the budget and table amendments for consideration by council. Council must then approve the annual budget for the municipality before



the start of the financial year.

## **5. LEGISLATIVE FRAMEWORK FOSTERING COMMUNITY PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNEMENT**

Community participation is seen as an important quality of a democratic government. Hence international experience has shown that one way of achieving community participation in government structures is through policy and legislation regulating the establishment of “structured and institutionalised frameworks for participatory local governance” (Department of Provincial and Local Government, 2005:10). To this end, South Africa is a step further in that there are numerous pieces of legislations fostering community participation in the country’s local government sphere. The 1996 *Constitution* sets out the imperative for local participation, which places particular emphasis on governance and service delivery (Silima & Auriacombe, 2013). It is a requirement that local government must consult and/or involve local communities when taking policy decisions that fall within their jurisdiction. The 1996 *Constitution* also set the vision for functional, responsive, efficient, effective municipalities (Department of Co-operative Governance and Traditional Affairs (COGTA), 2009:75; Silima & Auriacombe, 2013:43). Municipalities are obliged to develop mechanisms to ensure citizen participation in policy initiation, formulation, implementation, monitoring and evaluation of programmes in terms of the *White Paper on Local Government* of 1998. A localised system of participation has to be developed by each municipality.

The *Municipal Structures Act* also obligates municipalities in the country to develop mechanisms to facilitate community and

civic involvement in local governance. A new culture of governance that complements representative democracy through participation is being enforced through this legislation. This Act also provides for the establishment of ward committees which may advise the local municipality on local matters. However, ward committees ought have a non-political and advisory status and are established in terms of section 73 of the *Municipal Structures Act* and they consist of the councillor representing that ward in the council, who must also be the chairperson of the committee, and not more than 10 other persons.

The *Municipal Systems Act* stipulates that local participation in municipal affairs must take place through political structures including but not limited to ward committees. This Act places emphasis on community participation, consultation and involvement in the activities and functions of municipalities, including the IDPs; performance management systems (PMS); preparation of the municipal budget; and strategic decisions relating to services. The *Municipal Finance Management Act* provides for the comprehensive reform of municipal finance management systems and aims to regulate the budgeting process, financial accounting, auditing, reporting and borrowing. With regard to participation, this Act stipulates that a council must consult the community on the annual tabled budget. The provision for participation at the local sphere appears comprehensive and is entrenched in all local government legislation.

Municipalities may formulate their own by-laws in keeping with inter-governmental relations. In keeping with such provision,

the *Local Government: Municipal Property Rates Act, 2004* (Act 6 of 2004) provides municipalities with guidelines on how to set rates in a local area. A key consideration of this Act is to ensure that the methods for valuating properties are fair and equitable and furthermore the public must participate in decisions relating to property rates. The *Draft National Policy Framework of 2005* commits the government of the day to some form of participation which is genuinely empowering, and not token consultation or manipulation. It spells out a range of activities including creating ward committees and assisting them to plan at a local level, monitoring implementation, and supporting local activities through a cadre of community development workers.

From the foregoing discussion, it is certain that through these legislative frameworks the Government envisages a process where communities are involved in governance matters, including planning, implementation and performance monitoring and review. It is at that level where communities would be empowered to identify their own needs, set performance indicators and targets and thereby hold their own municipalities accountable for their performance particularly in service delivery. Different methods which are often used as per the provisions of the legislative frameworks in the South African municipalities are discussed below.

## **6. METHODS OF ENHANCING COMMUNITY PARTICIPATION**

There are many techniques used in enhancing community participation in South Africa. Smith (2008) has identified some of these techniques, namely, publications, public meetings, and open houses. These

techniques as discussed as follows:

### **6.1 Publications**

Publications refer to recorded documents or materials containing information that can be used to provide local communities with information that enables them to participate in the decision-making process. According to Smith (2008), publications produce documents or material which may describe the process, define the problem, issue or situation, suggest options or request direct feedback from readers on their views, interests or alternatives. In essence, local communities may then respond to issues based on the propositions made in a particular publication. These publications includes but not limited to municipal newsletters and brochures. This method is often used though not amply.

### **6.2 Public hearings and public meetings**

According to Smith (2008), public hearings or meetings are forums which stakeholders make formal statements about the issue at hand. Oral statements are often accompanied by written reports where local communities express their feelings or ideas concerning issues of concern in that locality. A panel representing a particular municipality may ask questions about a specific issue to which they expect the community to respond. At times authorities (mayor or municipal council) may attend public hearings personally to get the feelings of the local communities and give a response thereto. Moreover, public meetings are sessions open to anyone with an interest in the subject under discussion (Smith, 2008).

Public meetings often begin with a technical overview of the situation and process and then provide opportunity for members

of the community to speak from the floor regarding their concerns or to ask questions to the expert panelists who are either council members or municipal administrative leadership. However, Thornhill and Madumo (2011) note that public hearings and meetings are designed for politicians and officials to meet with, discuss issues with, listen to, accept criticism from, hear complaints and comments and receive compliments from the community. At the end of the session, whether public hearing or meeting, a report is normally written which will then be submitted to the higher authorities for consideration.

Consequently, public hearings and meetings are techniques of implementing citizen participation and they are crucial in that they facilitate community access to information, urge mechanisms of transparency and accountability and create a space for community to have a voice on issues that affect them, such as the use of public money and service provision (Van der Waldt, 2007:38). It is in this kind of forums where local communities get to have an exchange of ideas with municipal political and administrative leadership on any issues of concern in that municipality.

### **6.3 Open house**

An open house usually communicates information about a project or proposal through a series of displays (Smith, 2008). In this process, there are two groups of people involved, namely, communities or their representatives as well as the municipal authorities. Local communities or their representatives are presented with the proposal of the project or programme to be implemented and are allowed to have some views about it. The authorities then push the

project or programme and are present to answer questions and provide clarifications regarding the said project. If local were not involved in the conceptual stage, they are likely not to support the programme.

### **6.4 Ward Committees**

Ward Committees are area-based committees whose boundaries coincide with those of ward boundaries (Republic of South Africa, 1998). Ward committees were introduced as a system of local government best placed to give practical meaning and substance to the basic political commitment of democratic governance (Silima & Auriacombe, 2013:48). Ward committees should therefore function as a representative structure of the community and of citizens. They ought to form a bridge between municipal council and the local communities they represent by facilitating proper communication and interaction between these structures. The rationale for ward committees is to extend the roles of the elected ward councillors by creating a link between communities and their municipalities. In essence the ward committees are expected to facilitate local community participation in planning and decisions affecting them and to present local community interests to local government structures (Putu, 2006:17). Silima and Auriacombe posit that ward committees on behalf of the ward that they represent, participate in Integrated Development Planning, municipal budgeting in decisions affecting communities, in municipal performance management as well as in the planning of projects. Ward committees are the institutionalised structures with the exclusive task to narrow the gap between local municipalities and communities, since

ward committees are better able to understand the problems and needs of citizens and the communities they represent (Esau, 2007:14). However, besides the participation in the planning and budgeting process in municipalities, ward committees ought to be able to monitor and oversee service delivery in communities. In practice, ward committees are encountered with several challenges which will be discussed below. It is only unfortunate that ward committees in most areas are functional. However, if well-equipped and beefed-up, these committees may play a fundamental role intended for in the legislative framework.

## **7. COMMUNITY PARTICIPATION CHALLENGES**

Factors identified as having a negative effect on citizen participation are the "...lack of capacity to participate, limited social capital, control by the elite, marginalisation of the poor, a general lack of trust in government, politicisation of the processes of participation and bureaucratic inertia" (Esau, 2006:15). Buccus, Hemson, Hicks and Piper (2007:5) are of the opinion that despite all the talk about the importance of community participation for a democratic society and even the support of councillors, in practice very little was done to promote participation in a real sense in local communities.

Even though ward committees ought to be non-political and play an advisory role to the council as provided for in terms of section 73 of the *Municipal Structures Act* at times the ward committees are political and not representative of the local communities in their jurisdiction. Munzhedzi and Phago (2013: 43) also alludes to the fact that party political influences played a

huge role in the participation process particularly in the ward committees. Councillors and their political parties also play a significant role in choosing the members of the ward committees. It is for this reason that Thornhill and Madumo (2011:141) argues that the ward committees in most municipalities are more or less an extension of the ruling political party in that locality and that ward councillors often manipulate the decisions and deliberations of the ward committee to reflect the mandate of their own party.

The lack of financial and human resources is also another challenge affecting community participation in South Africa. Smith (2008:14) concurs and posits that the effectiveness of community participation is considerably jeopardised by the levels of education, skills and expertise in local communities particularly in rural municipalities. This challenge is often in rural municipalities particularly because of their inability to attract scarce skills and limited sources of revenue. In this context, rural municipalities are unable to develop adequate community participation strategy to enhance participation in that municipality. This challenge is also linked to ineffective communication between municipal council, ward committees and the local communities. At times this ineffectiveness is due to lack of resources at the municipality. However, it is the responsibility of municipalities to ensure that all these challenges are addressed so as to enhance participation within this crucial sphere of government.

## **8. CONCLUSION AND RECOMMENDATIONS**

Through community participation, municipalities are able to formulate sound policies such as IDPs and development policies

which have directions and are public-centred. In a nutshell, the people and the government must interact to ensure success in public activities to reflect sense of unity and transparency. Some conclusions and recommendations to address the identified challenges include the following:

- With the unreliability and unaffordability of newspapers as highlighted by some respondents, it is advisable for municipalities to disseminate information using other methods such as distribution of pamphlets containing relevant information. However, community participation should not be regarded as an *ad hoc* event but rather a continuous process.
- For municipalities and the community to function effectively, there has to be an increased transparency and accountability particularly in government processes and programmes. Van Rooyen (2003) concurs and further posits that democratic, transparent and accountable practices are highly regarded traits where municipalities strive towards legitimacy in view of their communities and where investment in development projects is sought. Such transparency should be inclusive of decision-making processes particularly those with a direct bearing on the affected communities.
- Capacity building for the enhancement of active participation by all stakeholders including but not limited to non-governmental organizations and community organizations. It is through the active participation which is necessitated by capacity building of the relevant stakeholders where municipalities will become a formidable force whereby accountability is encouraged. The said capacity

building could be done through regular campaigns and workshops in different wards of a particular municipality. If and when communities are informed about municipal policies, programmes and activities, they are likely to make informed and meaningful contributions to their municipality.

- Sufficient commitment of resources into the communication participation programmes of municipalities is elementary. These resources could either be human or financial. Lack of resource commitment may be a symbol of not taking these programmes seriously enough.
- Ward committees ought to be strengthened so as to enhance participation at each and every ward is paramount. Ward committees may contribute immensely particularly because they are chaired by ward councillors who are members of a municipal council. But more importantly is that committee members are found in the local jurisdiction of that municipality

The preceding recommendation may positively contribute to a desired state of active citizenry who assist government in identifying their own needs, developing priorities as well as setting up indicators and evaluating performance of their municipalities. Notwithstanding the extensive legislative framework, as well as the establishment of participative structures including but not limited to ward committees and community development workers, the South African experience of participatory democracy has not really produced the anticipated results. Passive participation on the side of local communities as well as malicious compliance on the side of municipalities is

the order of the day

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# THE ROLE OF KING III REPORT ON CORPORATE GOVERNANCE IN IMPROVING POOR SERVICE DELIVERY IN THE SOUTH AFRICAN GOVERNMENT

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## **ABSTRACT**

*When the new government came in to power in 1994 it inherited dysfunctional municipalities. In fact it inherited a country with high levels of poverty, growing levels of inequality and also social dysfunctionality. As such in an attempt to redress apartheid legacies, the new government reformed previous legislation and policies to address issues pertaining to segregation, inequity, inequality, discrimination, poverty and to establish new transitional local authorities. Therefore new institutions have been created with new principles, philosophies and support mechanisms to make the transformation of local government a success. This is irrespective of the government coming up with good policies and laws the South African local government sphere is still rocked by poor service delivery in the majority of the municipalities including the big metropolitan municipalities. Since 2008, South Africa has witnessed many service delivery protests by communities demanding better services. This paper critically analyses the role of the King III report on corporate governance in improving poor service delivery in South African local government and to assess if indeed these policies and legislations can improve service delivery. The findings in this paper indicates that corporate governance principles are an effective instrument in improving municipalities in South Africa and if adhered to by the municipal councils and management of all municipalities then the challenges that are faced at the local government will be minimised. This paper further finds that the only way to restore public confidence in South Africa is by first fixing the local government as it is a test of the country as to whether it is able to manage its affairs and providing services to the members of the communities (public).*

**Keywords:** Corporate governance, Dysfunctionality, Local authorities, Support mechanisms.

## 1. INTRODUCTION

The South African government inherited dysfunctional system of government from the apartheid government and after the official end of apartheid in 1994 the introduction of democracy left many people with lot of expectations for a better well-being. Most people who were in serious poverty, particularly in black homelands, expected the government to deliver them out of poverty aggravated by unequal allocation of resources by the apartheid government. According to Green (1957) Jan van Riebeck landed in South Africa in 1652. Local government began thirty.... years later, and its subsequent history was confined almost wholly to the Cape of Good Hope until the middle of the nineteenth century.

There was little settled population elsewhere before the urban centres of Pietermaritzburg, Durban, Winburg, Bloemfontein, Potchefstroom and Pretoria began to grow between 1840 and 1860; and it was not until the passing of the Natal Municipal Ordinance, 1854, that the initiative in the development of local government first tended to pass from the Cape (Green 1957). Since the beginnings of the present system of local government are thus to be found in a colony administered from both the Netherlands and the United Kingdom, local government in South Africa has two historic sources which are; firstly the Dutch and secondly the other British. The Dutch source was pre Napoleonic and exerted its influence through the *landdrost* and *heemraden* system of rural government, and the urban Cape *raad der gemeente*. The British

source mainly influenced the development of urban municipal government but it also had the effect of divorcing judicial from civil administration in rural government and led to the introduction of elected representatives there long before the English County councils Act of 1888 (Green 1957).

Van der Walt, Venter, Van der Walt, Phutiagae, Khalo, Van Niekerk, Nealer (2007) posits that the present post-apartheid democratically elected South African government inherited problematic administrative, economic and political structures emanating from the legacy of decades of apartheid rule. The legal and administrative structures it inherited were not developed to serve the broad population of the country, but rather a small section of it, the white people. After the abolishment of apartheid in South Africa the new Constitution of the Republic of South Africa, 1996 was developed which plays a pivotal role in the development and function of the municipality.

Atkinson (2002) attests that since 1994, South Africa has experienced a steep learning curve with regard to institutional design in general, and local government in particular. When the transition to democracy took place, South Africa inherited a dysfunctional local government system, based on inappropriate jurisdictions, structures and programmes (Sebei 2013). During the past years, great progress has been made in designing municipal systems and governmental principles intended to promote sustainable development. Non-Compliance and lack of proper implementation of government policies and legislation has always

contributed to a large-scale of failure of governance. This therefore resulted in poor service delivery from the South African government to its citizens. It was observed that the failures of the majority of municipalities with regard to service delivery are a result of lack of competent and qualified people in the municipality. It further seems that the government failures from the nation, provincial and local government emanates from lack of proper implementations of Co-operate Governance Principles as provided for by the King III Report.

## **Methodology**

This research is library based and reliance is on library materials such as textbooks, reports, legislations, regulations and articles, government manuals, legislative policies as well as internet sources. Consequently, a combination of legal comparative and legal historical methods, based on jurisprudential analysis was employed. A legal comparative method was applied to find solutions, especially to resolve the South African challenges from the local government level

## **2. THE APPLICATION OF THE CORPORATE GOVERNANCE**

The King III Report and the Code apply to all entities incorporated in and resident in South Africa and the national institutions (department), regardless of the manner and form of incorporation or establishment and whether that establishment is in

the public, private or non-profit sectors. In contrast, the King II Report only applied to certain categories of business enterprises, namely listed companies, financial institutions and sector enterprises, while companies falling out of these categories were merely required to consider the application of the King II Report insofar as it was applicable.

The USA codified its corporate governance provisions in the Sarbanes-Oxley Act of 2002 and legal sanctions are applied for non-compliance with this Act (Cassim, Jooste, Shev & Yeast 2012). In South Africa, compliance with the King III Report and the code is mandatory for the companies listed on the JSE, financial institutions and sector enterprises, but for all other entities there is no statutory obligation to comply with the King III Report and the Code. While corporate governance practices in South Africa may be voluntary, note that they are highly recommended and have considerable persuasive force. Commonwealth countries and the European Union states have also not legislated their corporate governance practices and have adopted a similar approach to that adopted in South Africa.

## **3. THE PRINCIPLES OF CORPORATE GOVERNANCE**

The King III Report is divided into nine chapters of which each one of the principles contained in this Report is set out in the Code together with the recommended practices relating to each principle. Therefore some of the main principles and practices of the King III Report will be discussed below. The King III Report provides guid-

ance on the following aspects related to corporate governance: Ethical leadership and corporate citizenship, Boards and directors, Audit committees, the governance of risk, the use of information technology, compliance with the laws, codes, rules and standards, Internal audit, Governing stakeholder relationships and Integrated reporting and disclosure

### **3.1 Ethical leadership and corporate citizenship**

The underlying philosophy of the King III Report revolves around leadership, sustainability and corporate citizenship. On the issue of leadership, the King III Report requires the board of directors to provide effective leadership based on an ethical foundation (Cassim et al 2012). Ethics or integrity is the foundation of and very reason for corporate governance. An ethical corporate culture constitutes more than social philanthropy or charitable donations (Nevondwe 2012). The reasoning behind the ethics of corporate governance, which requires the board of directors to ensure that the government institutions and department is run ethically, is that, as this is achieved, the national government earns the respect and approval of those affected by and affecting its operations.

The South African government i.e. the national, provincial and local government should conduct its business in an ethical manner. The board should set the values on the departments and ensure the formulation thereof in a code of conduct. Nevondwe points out that the board should ensure that the company's ethics are managed effectively (Nevondwe 2012). This

does not apply only to Companies but also to all municipalities in South Africa. According to Nevondwe (2012) the board should ensure that an ethical corporate culture is built and sustained in the company. It determines ethical standards which are clearly understood by the company and that the company ensures adherence in all aspects of it business, adherence to the ethical standards is measured. The risk management process incorporates ethical risks and opportunities; the ethical performance of external business partners is aligned around the ethical standards of the company.

### **3.2 Boards and directors**

The King III Report differentiates between executive and non-executive directors. An executive director is involved with the day-to-day management of the company or government departments. He or she is in the full-time salaried employment of the government and is generally under a contract of service with the government whether national, provincial or local. Whereas a non-executive director, on the other hand, is a part-time director. He or she is not involved in the management of government institutions and organisations, but plays an important role in providing objective judgment, independent of management, on issues that are faced facing. Generally, non-executive directors contribute to the development of management strategies and monitor the activities of the executive directors.

In *Fisheries Development Corporation of SA Ltd v Jorgenses and Fisheries Development Corporation of SA Ltd v AWJ Investment (2002)*, the court stated that non-executive

directors are not bound to give continuous attention to the affairs of the company. Their duties are of an intermittent nature, to be performed at periodical board meetings and at any other meetings that may require their attention. Non-executive directors are expected to attend board and relevant board committee meetings and to acquire and maintain a broad knowledge of the economic environment, industry and business of the company. The role of non-executive directors and the independence that they are believed to bring to the board of directors has been a consistent theme of corporate governance theories, policies and programmes (Nevondwe 2012).

Nevondwe (2012) also states that an independent non-executive director is a director who is required to be independent in character and judgment. There should be no relationships or circumstances that are likely to affect, or could appear to affect, their independence. In this context, 'independence' means the absence of undue influence and bias that could be affected by the intensity of the relationship between the director and the company, rather than any particular fact such as length of service or age. Not only should the director be independent in fact, but he or she should also appear to be independent in the perception of a reasonably informed outsider. The board of directors is the most important governance structure, as it is ultimately responsible for the performance and affairs of the government in South Africa. Several investigations after recent corporate collapses and municipal failures pointed towards a lack of effective accountability within the South African spheres of government. The board of directors can therefore

be seen as the vocal point of any government poor service delivery elimination, and the Code as part of its recommendations lists the duties and responsibilities of the board of directors from a government institutions point of view

### **3.3 Audit committee**

An independent audit committee fulfils a vital role in the South African government. The audit committee is a critical component in ensuring the integrity of integrated reporting and financial controls, the proper identification and management of financial risks and the integrity of the reporting practices (King III Report 2009). The Report points out that at each AGM, the shareholders of a public company, state-owned company or any other company that has an audit committee must elect an audit committee. The nomination committee (where there is one) should present shareholders with suitable candidates for election as audit committee members. The audit committee should meet to perform its functions, but it is usually recommended that the audit committee meets twice a year. The committee should also meet with the internal and external auditors at least once in a year without the management being present. Nevondwe (2012) further provides that the audit committee should comprise at least three members who should be suitably skilled and experienced independent nonexecutive directors. Section 94(4) of the Act prescribes further requirements to qualify as a member of the audit committee. A member of the audit committee must be director of the company who satisfies any minimum qualification requirements set out by the Minister of Trade and Industry as being necessary to ensure that the committee

comprises persons with adequate relevant knowledge and experience to equip the committee to perform its functions. From the above it can be noted that the audit committee is currently viewed as one of the most important governance structure within the modern South Africa. Nevondwe (2012) attests that the Companies Act also regulates the appointment, role and composition for all public companies and state-owned entities while on the other hand the King Code furthermore stipulates that the board should ensure that the company has an effective and independent audit committee

The Report furthermore states that the audit committee should review arrangements made by the company/government to enable employees and outside whistle-blowers (including customers and suppliers) to report in confidence concerns about possible improprieties in matters of financial reporting, or compliance with laws and regulations, that may have a direct or indirect effect on financial reporting.

### **3.4. THE GOVERNANCE OF RISK**

The King III Report requires that the board of directors be responsible for the governance of risk and determine the levels of risk tolerance that the company is able to bear in the pursuit of its objectives. Risk is defined as the taking of risk for reward. The board of directors should determine the levels of risk tolerance at least once a year. It should review these limits during periods

of increased uncertainty or any adverse changes in the business environment (Cassim et al. 2013). It is recommended that the board's responsibility for risk governance be expressed in the board charter. In addition, the board's responsibility for risk governance should manifest in a documented risk management policy and plan, which should be widely distributed throughout the company and reviewed by the board at least once a year. The board should also comment in its integrated report on the effectiveness of the system and process of risk management (Nevondwe 2012).

### **3.5 THE GOVERNANCE OF INFORMATION TECHNOLOGY (IT)**

The governance of IT is dealt with for the first time in the King III Report. As acknowledged by the King III Report, IT has become an integral part of doing business and is fundamental to support, sustain and grow the business. The King III Report states that IT governance is not an isolated discipline, but an integral part of overall corporate governance (Nevondwe 2012). Information technology governance can be considered as a framework that supports the effective and efficient management of IT resources to facilitate the achievement of a company's strategic objectives. The IT governance framework should include the relevant structures, processes and mechanisms to enable IT to deliver value to the business and to mitigate IT risks. It should focus on the governance of the information as well as the governance of technology (Nevondwe 2012).

Nevondwe (2012) states that the King III Report requires the board of directors to be

responsible for IT governance. The board may appoint an IT steering committee or similar forum to assist with its governance of IT. It is recommended that the Chief Executive Officer (CEO) appoints a Chief Information Officer (CIO) to be responsible for the management of IT. There is an increased risk to organisations that embrace IT and its directors should ensure that the reasonable steps have been taken to govern IT.

The board should monitor and evaluate significant IT investment and expenditure. The board should specifically focus on value for money, return on investment and the protection of intellectual property and also the assurance on IT internal controls should also include outsourced services (Nevondwe 2012).

IT should form an integral part of the company's risk management: Management should regularly demonstrate to the board that sufficient disaster recovery procedures are in place and that the board should also ensure that the company complies with all IT-related laws and regulations (Nevondwe 2012). Nevondwe (2012) further provides that it is therefore held that a risk committee and audit committee should assist the board in carrying out its IT responsibilities. The risk committee should ensure that IT risks are adequately addressed and assurance should be obtained regarding controls in place. It is further recommended that IT should be considered by the audit committee in relation to financial reporting and going concern, it should also be considered how the use of IT could improve audit coverage and efficiency.

### **3.6 COMPLIANCE WITH LAWS, RULES, CODES AND STANDARDS**

The King III Report requires the board of directors to ensure that the company complies with all applicable and relevant laws and that it considers adherence to non-binding rules, codes and standards. A compliance culture should be encouraged through leadership, establishing the appropriate structures, education and training, communication and the measurement of key performance indicators relevant to compliance. The board has a duty to take necessary steps to ensure the identification of laws, rules, codes and standards that apply to the company. Details must be disclosed by the board in its integral report on how it has discharged its responsibility to establish an effective compliance framework and process.

The King III Report goes as far as to require the board and each individual director to have a working understanding of the effect of the applicable laws, rules, codes and standards on the company and its business. Directors should sufficiently familiarise themselves with the general content of applicable laws, rules, codes and standards to be able to adequately discharge their fiduciary duties and their duty of care, skill and diligence in the best interest of the company.

### **3.7 INTERNAL AUDIT**

The Institute of Internal Auditors defines internal auditing as "an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to eval-

uate and improve the effectiveness of risk management, control and governance processes." From this definition we can conclude that the internal audit department of a company can play an integral role as part of an effective corporate governance system (Thornhill & Cloete 2013).

The King III Report requires the board of directors to ensure that there is an effective risk-based internal audit. An internal audit should evaluate business processes, perform an objective assessment of the effectiveness of risk management and the internal control framework, systematically analyse and evaluate business processes and associated controls, and provide a source of information, as appropriate, regarding instances of fraud, corruption, unethical behaviour and irregularities. An internal audit plays an important role in providing assurance to the board regarding the effectiveness of the system of internal controls and risk management of the company (Cassim et al. 2013). Internal audit should provide a written assessment of the effectiveness of the company's system of internal controls and risk management: the internal audit should form and integrated part of the combined assurance model as the internal provider of assurance. The internal audit should also focus on operational, compliance and sustainability issues, and not only on financial matters. It is also provide that the internal audit should provide a written assessment of the system on internal control and risk management to the board. Furthermore the internal audit should provide a written assessment of internal financial controls to the audit committee (Thornhill & Cloete 2013).

### **3.8 GOVERNING STAKEHOLDER RELATION-**

## **SHIPS**

Nevondwe (2012) posits that the King III Report adheres to the 'triple context' or integrated approach, which acknowledges that companies should act with economic, social, and environmental responsibility. Directors should consider economic, social and environmental factors when they manage the company.

Thus the Report advocates the notion that the board of directors is responsible not merely for the company's financial bottom-line, but rather for the company's performance within the triple context in which it operates ('triple bottom-line') (Nevondwe 2012). Nevondwe (2012) is of the view that Companies in South Africa are encouraged to adopt the inclusive approach to governance based on which companies are required to act in the best interest of all stakeholders. This section of the code provides guidance regarding the governance of stakeholder relationships.

One implication of the right to vote being a right of property is that shareholders may choose not to exercise their right to vote at all. But if shareholders are passive, it undermines good levels of compliance by management (Nevondwe 2012).

Nevondwe (2012) further state that to encourage shareholders activism, an environment should be created where shareholders are not mere speculators, but owners concerned with the well-being of the company in which they hold shares, constantly checking whether the directors are practicing good corporate governance.

### **3.9 INTEGRATED REPORTING AND DISCLOSURE**

Sustainability reporting has been the subject



of the King II report. Sustainability reporting can be defined as reporting on those financial and non-financial matters that influence the company's ability to survive and prosper and sustain its business future. Where financial reporting tends to provide an historic account, sustainability reporting and disclosures provide a balanced and integrated record of the economic, social and environmental performance of the company. This is now generally referred to as "triple bottom line" reporting. The economic aspect of "triple bottom line" involves the financial aspects relevant to the business of the company, whilst the social aspect focuses on the values of the company, ethics, and reporting on the company's engagement with stakeholders. The environmental aspects include reporting on the effect of the company's products or services on the environment (Marx et al 2011).

The King III Report on Corporate Governance advocates the publication of an integrated report dealing with both financial and non-financial matters in an integrated manner (Nevondwe 2012).

The board of directors should ensure the integrity of the company's integrated report. An integrated report means a holistic and integrated representation of the company's performance in terms of both its finances and its sustainability. The integrated report should be prepared every year (Marx et al 2011). Sustainability reporting and disclosure should be integrated with the company's financial reporting. The annual financial statements should be included in the integrated report, and the board should include a commentary on the company's financial results. This commentary should include information to enable a

stakeholder to make an informed assessment of the company's economic value (Marx et al 2011). The board should ensure that positive and negative impacts of the company's operations, together with plans to improve the positives and eradicate or ameliorate the negatives in the financial year ahead are conveyed in the integrated report (Nevondwe 2012).

#### **4. CONCLUSION AND RECOMMENDATIONS**

In conclusion, it is evident that the Principles of Corporate Governance is the best way of building an effective and accountable nation away from corruption activities and maladministration's in government institutions, provincial departments and municipalities. The purpose of the King Report 1994 was, and remains, to promote the highest standards of corporate governance in South Africa. This means that even the municipalities cannot be exempted from corporate governance as mentioned. The integrated report should be prepared every year. Sustainability reporting and disclosure should be integrated with all the provincial departments and municipality's financial reporting. The annual financial statements should be included in the integrated report, and the board should include a commentary on the national, provincial and municipal financial results to be commented by the members of the public. It is therefore provided that this commentary should include information to enable a stakeholder to make an informed assessment of the economic value in the country. The board should ensure that positive and negative

impacts of the South African government operations, together with plans to improve the positives and eradicate or ameliorate the negatives in the financial year ahead are conveyed in the integrated report.

This means that for the provincial governments and municipalities to perform their duties effectively, government must do away with hiring the politicians who do not have skills or excellent educational background in order to promote and enforce all the principles of corporate governance. For it is through all this politicians that are being employed in the municipalities that we see municipalities being hid with irregularities and protests due to poor service deliveries. Politicians are not performing their functions in so far as the municipality is concerned but they are there to promote and safe guard the interest of their political parties.

Looking at the definition of corporate governance we could conclude that local government is also covered in the definition, it is not only about the companies. Corporate governance is generally understood to mean the way in which companies are directed and controlled. Thus, the emphasis is on those organs which play a vital role in corporative decision-making. It is widely accepted that corporate governance does not affect or apply exclusively to listed companies, as some writers insist. In order to simplify matters, a distinction needs to be drawn between corporate governance applicable to all companies and corporate governance applicable to 'affected companies' as defined by the King Committee on Corporate Governance.

Municipalities and provinces need an effective board of directors as provided for

in the King III Report which provides that an executive director is involved with the day-to-day management of the company and he or she is therefore in the full-time salaried employment of the company; and is generally under a contract of service with the company. A non-executive director, on the other hand, is a part-time director, who is not involved in the management of the company, but plays an important role in providing objective judgment, independent of management, on issues facing the company. Generally, non-executive directors contribute to the development of management strategies and monitor the activities of the executive directors.

The Constitution of the Republic of South Africa recognises the importance of good governance. Section 195 deals with basic values and principles governing public administration. Our Constitution compels government in all of its forms, both through government departments and organs of state (including state-owned enterprises) to adhere to principles of good governance. Therefore there is no doubt that corporate governance is a key element in improving the South African service deliveries to all the members of the society and eradicating corruption from its roots, It will also promoted economic efficiency and growth as well as enhancing investor confidence. This will be achieved only if there is consistency in applying the above mentioned principles. These principles will be the yardstick of pointing to the right direction as to who should be held accountable for all poor service deliveries as it will ensure that functions are assigned to rightful spheres of government and its employees in order to eliminate service delivery protest.

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# SPATIAL RE-ORGANISATION THROUGH LAND REFORM: METHODOLOGICAL DIMENSION OF RURAL DEVELOPMENT

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## **ABSTRACT**

*The Post-Apartheid government inherited South Africa which characterized by extreme racial imbalances epitomized through social relations of land and spatial distortions. Non-white South Africans were (are) victims of the legacy of the Group Areas Act of 1984 that had forcibly displaced “inferior” masses to homelands and non-productive remote areas. It was, therefore, a priority for the incoming democratic government to re-design land reform policies targeted at reversing these colonially fueled spatial distortions. Land was instrumental in energizing peasant participation in liberation struggle and the material expression of liberation was (is) land. South Africa’s overall Land Reform programme constituted by three key elements and namely are; land redistribution, tenure reform and land restitution. Manifold proponents and researchers have denounced and embraced land reform ideology concomitantly. The criticism overlapped towards both beneficiaries and the state due to factors such as poor post-settlement support, lack of skills, lack of capital and equipment and the infighting over land claims and land management. Conversely, land reform has been applauded for widening rural livelihood choices, enhancing rural poverty alleviation, redressing racial imbalances and spurring self-reliance on food production. This is a conceptual paper which seeks to partake in Land Reform discourse by arguing that, the primacy and success of land reform policy in rural development is determined by how the programme is interpreted by the intended beneficiaries and how it conforms and improves their livelihoods, ambitions and goals. In addition, the paper reveals nascent abate of land reform effectuated by multi-facets such as social perceptions of land in South Africa. Therefore, the argument of this paper thrives to exhaustively prove that land reform programme as ideological dimension of rural development needs to secure support from both state and intended beneficiaries in order to give credence to its guiding policies.*

**Key Concepts:** Land Reform, Rural Development, Land Policy

## **1. INTRODUCTION**

The South African Post-Apartheid government inherited a country characterized by extreme racial imbalances which manifest(ed) in land ownership and spatial pat-

terns (Mathin & Lorenzen, 2016). Non-white citizens were (are) still victims of the legacy of colonial and apartheid policies that had forcibly displaced “inferior” masses of indigenous African people to reserves consisting

largely of barren land or arid areas with poor rainfall patterns while fertile land was allocated to white farmers for commercial agriculture. 80% of the population was confined to 13% of the land while less than 20% owned close to 90% of the land (Hart, 2012). A few black people who afforded land were prohibited from buying in areas outside the reserves. This apportionment of land remained until the end of apartheid in early 1990s and remains virtually unchanged. There might have been other minor causes for the Bantu-European wars, but land was a fundamental issue (Logan, 2012). As such, the instrumentality of land in energizing peasant participation in the liberation struggle and its status as a material expression of freedom understandably engendered public anticipation of land lordship at the advent of democracy, especially in rural South Africa (Sibanda, 2014). It was, therefore, a priority for the incoming democratic government to re-design colonially distorted spatial patterns through Land Reform as an ideological dimension of rural development.

Whilst the legacy of historical spatial distortions remains visible and manifest in the concentration of indigent rural households in remote and unproductive former homelands, the economy's stability has since been attributed to the constancy of the national agrarian economy. Consequently, the land issue remains simultaneously central and marginal in South African spatial policy frameworks. The latest piece of land legislature, the Spatial Planning and Land Use Management Act, (SPLUMA) is testimony to the recurrent marginalization of the land issue by the Ministry of Rural Development and Land Reform (government). The downgrading of the land issue is de-

spite wide spread buzzing advocacy from academic circles and opposition political parties (EFF) and Black Economic Empowerment (BEE) proponents. Pro-Land Reform protagonists account for vivid signs of spatial injustice, inefficiency and unsustainability in, especially rural settlements inherited and, seemingly upheld by the Post-Apartheid government.

With over 70% of the national population dwelling in rural settings, the facilitation and enforcement of land use and development measures aimed at igniting rural development through an agrarian economy is imperative (Hart, 2012; Statistics South Africa (StatsSA) 2013). This paper joins the Land Reform discourse by theoretically arguing that Land Reform is one of the main ideological dimensions of rural development. The discussion unfolds with succinct background of Land Reform in South Africa.

## **2. THE SOUTH AFRICAN LAND REFORM**

South Africa's overall Land Reform programme has three primary objectives, firstly, to return land to those unfairly dispossessed as from 19 June 1913 (effect date of the Native Land Act of 1913), secondly to reverse extreme racial imbalances in landholding especially in rural agricultural land and finally to alleviate poverty in rural areas (Department of Land Affairs, 2013). To facilitate this transference of productive land, the programme has since employed land restitution to restore land rights to those who were dispossessed of them under discriminatory laws, land redistribution to make land more accessible to those who had previously been denied access and tenure reform to give security of tenure to labour tenants, farm workers and other

rural dwellers who lived on land without secure rights.

## **2.1. Land restitution**

The constitution provides for the Restitution of Land Rights Act which entitles a person or a community dispossessed of rights in land or a descendant of a person or a deceased estate of a person dispossessed of rights in land, after 19 June 1913, as a result of racially discriminatory laws or practices, to claim restoration of those rights or equitable relief such as alternative land or compensation. Whilst the Commission for Restitution of Land Rights (CRLR) has settled substantial number of households, the Land Claims Commission has encountered anticipated and yet regressive challenges. It was not unprecedented of challenges such as verification, valuation, and calculation of compensation for claimants and land owners to be a toll order for the Commission during the restitution process (Rugege, 2004). High levels of rural poverty were capitalized by many white farmers who enticed rural claimants with monetary compensation rather than the broader objectives of restitution, thus the transformation of land ownership and the building of livelihoods for, especially, the rural poor. This continual imbalance in the distribution of land ownership calls for holistic and context-specific strategic land redistribution especially in rural settings where illiteracy, poverty and vulnerability pave way for exploitation and partiality of initiatives.

## **2.2. Land redistribution**

According to the White Paper, the purpose of land redistribution is: "to provide the poor with access to land for residential and productive uses, in order to improve their income and quality of life. The programme

aims to assist the poor, labour tenants, farm workers, women, as well as emergent farmers." These principle goals of land redistribution led to constitutional declaration that, "the state must take reasonable legislative and other measures, within its available resources to foster conditions which enable citizens to gain access to land on an equitable basis" (section 25(5)). However, the instrument for an enabling acquisition law vanished with the expiry of Land Reform (Labour Tenants) Act in March 2001. Relative success of this redistribution mechanism has been largely ascribed to its ability to allow tenants to access and own land they resided on before forced displacements by using state funds to make purchases. Rural development advocates have since pin-pointed the provident endurance of state funding schemes such as The Settlement/Land Acquisition Grant (SLAG) farm equity schemes; municipal commonage grants and more recently the Land Redistribution for Agricultural Development programme (LRAD) as rays of hope in lifting rural development boards. The above mentioned programs are likely to be backed up by, perhaps, the resurgence of enabling redistribution legislations spearheaded by Minister's power to expropriate land for redistribution subject to compensating the owner.

## **2.3. Land tenure reform**

Section 25 (6) of the Land Tenure Act asserts that "a person or community whose tenure of land is legally insecure as a result of past racially discriminatory laws or practices is entitled to the extent provided by an Act of Parliament, either to tenure which is legally secure or to comparable redress." The legislative provision was targeted at securing land ownership of, especially, farm

workers, former farm workers, sharecroppers and labour tenants who had been victimized by the notorious Prevention of the Illegal Squatting Act 52 of 1951 and lived on land legally owned by others. In rural set ups, customary law was (is) the most common ticket of land ownership which is, of course manipulatable by corrupt chiefs. Despite the efforts by Land Reform (Labour Tenants) Act (LTA) and the Extension of Security of Tenure Act (ESTA) to offer land tenure security to labour tenants and generational beneficiaries of tenant-settler land use make shift arrangement, intimidation and forced eviction continue especially on commercial farms (Senadza, 2014).

### **3. IMPACT OF LAND REFORM ON RURAL DEVELOPMENT**

Rural areas are deeply marked by extreme poverty, rampant exodus of rural surplus labour force into already congested cities and informal business entities, a trend which has since been ascribed to dysfunctional rural economies. Instead of the idealism of an overnight urbanization, industrialization and emergence of an economic boom in passive rural set-ups, Rural Development strategies such as Land Reform should, perhaps consider the common extrinsic attachment rural dwellers have with agrarian livelihoods as exploitable social capital for rural development. However, both in academic and public domains, the land issue ensues quick reference to the *Post-Chimurenga* land grabs and the consequent economic downfall that characterized the Zimbabwean Land Reform Programme at the beginning of the millennium (Sibanda, 2014). Indeed, land reform after its worst execution turned the 'bread basket of Africa' into a 'bread case of Africa.'

Productive rural agrarian-oriented economy requires re-distribution of land through a gradual rather than drastic and random expropriation. An eventual pragmatization of the land issue has been a simultaneously central and marginal process hugely racialized, politicized and all in all sensitive. Continual holdbacks on land redistribution implies the South African citizenry, especially rural dwellers, remain deprived of constitutional land rights, local economic development instrument for growth and employment and rural development its only hope of attaining food security.

Food security, as major strategy of rural development, requires adequate agricultural land for improved food productivity (Hart, 2012). Therefore, land reform that gives rural households access to agricultural land are key to food security and subsequently rural development. In GaMothapo Village in the Limpopo Province, residents were beneficiaries of pieces of land divided amongst them off a farm previously owned by a white organization. These acres of fertile land were used for intensive small-scale crop farming by the villagers and the ensuing benefits were clear to see. Households could produce food for consumption and for sale for income which they would use for other non-farm needs and investments. Researchers also found that beneficiaries who were employed elsewhere and had no time to farm started using them as assets for capital accumulation by renting them out to other households. One might notice the primacy of making productive land available to villagers through peasant-oriented approach as strategic instrument for rural development.

Through land redistribution projects in var-



ious villages countrywide, farms consisting of hectares of agricultural land previously owned by a single white household were transferred through 'willing seller, willing buyer' principle to previously disadvantaged groups, particularly black households, most of whom had never owned land (Brooks & Kjelstrup, 2014). Researchers found that for these households, obtaining land was seen as asset in at least three ways. Firstly, beneficiaries were now farming on the land and produce commercial crops which were sold locally or to hawkers. Secondly, for some it provided an asset which they could use to further increase household assets by rearing livestock. Thirdly, land was considered an investment and families could decide to sell the land, retain it as an asset or use it for collateral (Hart, 2012). It is against such background that the instrumentality of land reform as an ideological dimension of rural development cannot be undermined, regardless of the shortfalls associated with the programme.

#### **4. SHORTFALLS OF LAND REFORM AND THEIR ATTRIBUTES**

Since her transition to democracy in 1994, South Africa has adopted a strongly pro-market approach to land reform, influenced by conservative forces within the country and international backing for market-assisted agrarian reform. The spirit of post-Apartheid reconciliation and a free market economy gave credence to Land Reform through 'willing seller willing buyer' approach (Aliber & Cousins, 2013). The strategy was targeted at rebalancing land ownership through redistribution, restitution and tenure reform. However, the market-led approach to land reform has since been criticized for discriminating the land-

less especially in rural areas where there is little or no capital to secure tenure through the 'willing seller willing buyer' market system. Despite functionality of the SLAG, the system has been criticized for subsequently creating socio-economic classes shaped by land ownership (Gumede, 2014). There has been debates about whether more priority should be given to the agricultural efficiency that comes with the market-led land reform or a state-led approach that puts peasants as primary beneficiaries as aspiring small-scale farmers. Considerable land proponents have concluded that main objectives of land reform revolves around poverty alleviation, racial rebalancing and equity, as such state-led land reform approach which prioritizes peasants have to be embarked in order to enhance rural development (Brooks & Kjelstrup, 2014; Lahiff, 2014). However, the literature has depicted that land reform initiative has been undeniably slow and rural development proponents' points out various reason to the cause thereof (Gumede, 2014; Lahiff, 2014). The determination upon the slow pace of land reform has been as a consequent of the failure to reach the set target of 30 %. Ntsebeza (2007) have avowed that the slow pace of land reform is as a consequent of inability to implement related policies which include Large Scale Commercial Farming model. Furthermore, the literature has revealed that insufficient budget towards land reform could be seen as a consequent to the unsuccessfulness of land reform program (Anseeuw, 2005). Land reform, however, has failed to meet key objectives embodied in the Constitution, because less than 10 percent of the land has been redistributed since 1994 (Umhlaba Wethu, 2011), and those who have regained land rights as part of the land

claims or redistribution processes have not been able to translate these into meaningful livelihoods (Hall, 2007).

Furthermore, it has been observed that in order for land reform to reap desired results there is need for area specific policies that suit the specific context in terms of livelihoods, cultural and environmental factors (Sibanda, 2014). Meanwhile, reform experiences in South Africa show noticeable signs of misalignment of policies and peasantry ambitions and conditions (Lahiff, 2014). For example, the Land Restitution Programme (LRP) model of Limpopo Province is testimony that land reform should be framed around locally contextualized narratives, which should then provide general insights for national plan. However there have been calls for re-orientation of the LRP Model towards formulation of land restitution policies from local land conceptualization rather from modernist (market-led) mega-narratives (Cochrane 2006). The study infers that land reform policy has to shift from a 'national template' or Blue-Print approach towards locality and the user-oriented planning approach. This will go a long way in aligning land reform and specific rural livelihood activities, goals and objectives (Gumede, 2014).

## **5. LAND EXPROPRIATION AND LIVELIHOOD CHOICES IN RURAL SETTINGS**

The conceptual frameworks have clearly ascertained that rural livelihood strategies heavily depend upon land and thus, land becomes an indispensable natural resource for rural people. Recent studies have demonstrated land and other natural resources play a significant role in livelihoods of rural dwellers (Aliber & Cousins, 2013). Land is perceived to be the core

ingredient in the essential recipe for rural development, particularly to people who practice livelihood diversification largely because is also invariably framed in terms of small-holder production (Riggs, 2006). Concomitantly, problems derive when there is no understanding of rural people's land use plans and multiple livelihood strategies that are practiced on land (Kepe and Tessaro, 2014). To some extent, land issues are at the heart of rural people because they are the most ones who practice vast livelihood strategies. Livelihoods and land use are divergent manifestations of power relationships that are both productive in improving the standard of living for rural dwellers (McCusker & Carr, 2006). Numerous rural development strategies have been unsuccessful, and some never even reaching the implementation stage due to the issues of land (Kepe, 2001; Ntshona, Kraai, Kepe & Saliwa, 2010). Development strategies involves livelihood, where it becomes a problem when the process of land reform are slow and not been given a "bird and worm eyes" view. However, rural livelihoods rely on land and if land is not accessible then the survival of rural dwellers is compromised.

## **6. WAY FORWARD FOR THE LAND ISSUE IN SOUTH AFRICA**

Even 20 years into democracy, South African government has been exposed to its salient inability to activate the long overdue land reform programme (Brooks & Kjellstrup, 2014). The process of implementing this programme has always been conundrum to the ruling government and South Africa chiefly as a consequent of vague implementation strategy thereof. Land re-

form has been identified through conceptual framework that focuses on broad and holistic approach to rural development (Lahiff, 2014)). Thus, area-specific land reformed has been deemed to be optimum approach to a successful land reform. Conspicuously, this regard to an area-specific land reform which has potential to grant municipality's authentication towards participation in development programmes in other spheres of government which entail provincial and national government. Accomplishing local developmental state encapsulate the process of affirming and granting local people in particular the authority and power to manage their own development. In the same sentiment, rural development as an ideological dimension should be in a more bottom-up approach to development (Hart, 2007).

In respect of the status quo of land reform within rural development in South Africa, impediments of land reform have been the centralisation approach to redistribution of land or blue-print model for decision making (Aliber & Cousins, 2013). Consequently, the 30% target for land reform has continued to be cumbersome within democratic dispensation. Reciprocally, bottom up approach to policy design should be the focal point in achieving land reform thenceforth (Aliber & Cousins, 2013). Clearly, rural development could pay immense attention upon the beneficiary oriented policy as a transformational component to land reform. Undoubtedly, the bottom-up approach in rural development planning create conducive environment for proper planning which is associated with successful implementation of the policy (Lahiff, 2014). Generally, policy needs be aligned with the ambitions of intended beneficia-

ries considering the strategy of local developmental state. Land is perceived to be the core ingredient in the essential recipe for rural development, particularly to people who practice land-based livelihoods (Riggs, 2006). However, human capital (education, skills training) has been ascertained through literature as optimum for consideration within rural development specifically for land reform in order to ensure that redistributed land yields effective benefits and poverty reduction (Riggs, 2006; Senadza, 2014).

From one point view, education and skills training are believed to be catalytic in bringing about transformation in to lives of the people particularly previously deprived communities (Senadza, 2014). Accordingly, agro-studies require the design of area specific curriculums for prospective farmers in rural setups. Furthermore, lack of physical resources has also been viewed to be a major compounding factor in the failure of land reform (Rigg, 2006). Clearly, it can be recommended that democratic government should consider holistic application of state-led green revolution in an attempt to provide catalytic technological, financial and non-financial support to emerging farmers as a consequent of re-oriented land reform (Marthin & Lorenzen, 2016). Originally, green revolution has been reprimanded for manifold reasons which include its instinctive character of being de lux and expensive hence favours affluent farmers while ignoring the emerging poor farmers. It is therefore suggested that rural development should ensure that green revolution is led by the government hence providing those who cannot afford with necessary agricultural equipment. It is further recommended that there should

be a redress in the imbalances of the past as well as to ensure that there is equity in application of spatial development planning and land use management systems (Marthin & Lorenzen, 2016).

The democratic government has set promises to be accomplished in relation to solving the inequalities brought by colonial settlers. These promises were meant to be achieved through land reform hence there is a near-consensus that the program has been undeniably slow (Senadza, 2014). According to (Anseeuw, 2000), the spatial segregation measures have engendered extreme inequalities concerning land distribution. Furthermore, those measures, combined with the limitations of commercial farm activities for black populations, have also led to important inequalities between white and black farmers (Anseeuw, 2000). It is therefore important for development programmes to be implemented in a form 'that land can be re-orientated in order to redress the injustices of forced deportations and denial of access to land. After 1994, ANC mandate was to find solution to the over population of certain rural areas of the former reserves and Bantustans, to promote access to residential and farmland, and to revitalize the non-white agricultural sector and rural areas.

South African government strive to ensure rightful indigenous beneficiaries procure assets which primarily belongs them (Lahiff, 2007). Section 25 of the Constitution of South Africa addresses land reform, and it addresses existing property rights as well. As presented recently, through its three components (restitution, redistribution and tenure reform), land reform was aimed at reversing skewed land to the intend-

ed beneficiaries in solving spatial disparity brought by legacy of segregation and apartheid. The major goal of the reform is to return land or offer alternative redress to people who unfairly lost their land, make land available for productive and residential purpose to the landless, and provide secure land tenure rights where they did not exist (Kepe and Tessaro, 2014). Land reform, however, has failed to meet key objectives embodied in the Constitution, because less than 10 percent of the land has been redistributed since 1994 (Umhlaba Wethu, 2011), and those who have regained land rights as part of the land claims or redistribution processes have not been able to translate these into meaningful livelihoods (Hall, 2007). Practicing livelihoods especially agricultural ones has still been deemed intricate by rural dwellers due to the historical spatial arrangement and the failure of a democratic government to come up with swift rural development strategy to accelerate land reform program.

Pithily, after three years into power, concomitants of ANC and Department of Land Affairs (1997) have identified three main programmes which are enshrined within the government's constitution regarding land and agricultural reforms: land restitution, redistribution and tenure reform. However, it is believed that if these three main programmes are achieved, therefore re-orientation of land will be accomplished and therefore, rural people will be more productive through land-based livelihoods. Succinctly, it can be recommended that the South African government has to come up with realistic approaches towards achieving land reform. In addition, focus on implementation of the policies

rather than planning as well as providing sufficient budget in order to facilitate the reform through fostering Land Redistribution and Agricultural Development Grant as a clear symbolic to the embracement of post-acquisition support.

## 6. CONCLUSION

The paper has partitioned concept of Land Reform into three (3) major components (restitution, redistribution and tenure) all rooted to the principle objectives of the programme: to return land to those unfairly dispossessed, to reverse extreme racial imbalances in landholding especially in rural agricultural land and finally to alleviate poverty in rural areas. Land reform has unleashed a process of radical agrarian change, with many rural dwellers enjoying enhanced land-based livelihoods and outputs. Whilst the idealism of effective Land Reform and the subsequent agrarian boom are meant to attain food security, income generation and sustainable settlements, progress in the pragmatic execution has left a lot to be desired and enabling environment for employment creation particularly among rural dwellers.

It is evident that the land issue is simultaneously central and marginal and has failed to lift the boards. The snail pace of the Land Reform Programme is compounded by a wide range of shortfalls both in the internal and external environment of policy making. The paper has argued and concluded that the most sustainable source of credence for Land Reform policy is the alignment of area specific policies with ambitions and aspirations of the rural beneficiaries. As such, the success of Land Reform is, to a great extent, determined by how the programme is interpreted by the

intended beneficiaries and how it conforms and improves their livelihoods, ambitions and goals. It was further proposed that if Land Reform is to become an ideological and effective dimension of rural development it is imperative to capitalize on intrinsic attachment of rural societies with land-based and agrarian livelihoods.

Furthermore, there is a near-consensus that South African land reform has been a conspicuous failure and this has led to other researchers to extrapolate that human capital (education) should be the focal point in the democratic dispensation in conjunction with land reform. Experience from land reform programs elsewhere in the developing world has unambiguously demonstrated the importance of this type of advice. While reforming South Africa's land market is clearly an important political objective, substantive point that paper posits for poverty reduction is investments that develop poor people's human capital, thereby improving their ability to access the labor market.

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# CHALLENGES INHIBITING AFRICA'S SOCIO-ECONOMIC DEVELOPMENT AND RELATIONS

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## **ABSTRACT**

*The notion of African relations is pivotal and continues to generate debates among policy-makers, civil society and in public administration practice and scholarship throughout in the African continent. These governance-relations debates stem from, among others, challenges of corruption, nationalism, nativism and xenophobia and thus affect the African countries' ambitions to catch up with the developed world. It is therefore understandable that in the effort to realise developmental objectives through effective and efficient government operations, the building of a transparent governmental system has not been given adequate attention. Therefore, the purpose of this paper is to; through literature review and desktop analysis highlight the African countries relations and its impacts on socio-economic development. This paper argues that the relationships between African countries are still a major challenge that delays both social and economic development of the continent. The challenges are prevalent despite the fact that Africa has treaties, agreements and mechanisms to ensure its cooperation and the upliftment of the continent. The paper concludes by suggesting certain interventions that can be considered in an effort to deal with the challenges confronting the African continent.*

**Keywords:** Africa, Socio-economic development, Relations, Governance

## **1. INTRODUCTION**

Policy-making processes, civil society, public administration practice and science continue to advance debates on the notion of the state of African governance and relations. However, these debates rarely focus on the impact governance and relations within the continent forge the fight against societal-ills such as xenophobia, corruption, and the impacts of nationalism and nativism. This article attempts to advance the idea that relations among African countries can significant-

ly contribute towards the socio-economic development of the continent. Institutions, tools and mechanisms such as the African Peer Review Mechanism (APRM), the New Partnership for Africa's Development (NEPAD), Millennium Development Goals (MDGs) and the African Union (AU) among others exist to ensure African unity, prosperity, peace-building and socio-economic development. The realizations of Africa's developmental agenda, building a transparent and accountable govern-



mental system, stronger institutions within the continent are required. Human (2003:2) points out that "only a strong state can shape a new society, as only a state with strong institutions can truly revolutionize society". The article highlights the concept of governance-relations to Africa's development and the challenges inhibiting such relations. The article will further discuss institutions, tools and mechanisms seeking to advance socio-economic development.

## **2. GOVERNANCE AND AFRICAN RELATIONS**

The concept as contested as governance is a challenge to conceptualise. Governance can be understood as the government's ability to make and enforce rules, and delivering services regardless of whether it is democratic or not. Governance can further be defined as the, or what has traditionally fallen within the domain of public administration practice and science as opposed to politics (Fukuyama, 2013). Governance is the exercise of political and administrative authority at all levels to manage a country's affairs, mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences (Wohlmuth, 1998; Parigi, Geeta & Kailasam, 2004; Hope, 2005). Given the capacity limitations across African countries as identified in the NEPAD Framework Document (2001), the institutional reforms to strengthen political and economic governance in Africa will need to focus on the administrative and civil services, the strengthening of parliamentary oversight, the promotion of participatory decision making, the adoption of effective measures to combat corruption and embezzlement as well as the

undertaking of judicial reforms and promoting socio-economic development (Hope, 2005). With this being said, governance can be understood as bad and good governance. The concept governance in relation to African countries is in most instances viewed as bad governance. Good governance particularly in Africa can be used as a tool which encourages healthy relations between African countries with a view of promoting socio-economic development.

The concept of good governance has received increasing attention by the end of the 1980s in Africa. At government, private and civil society sectors the concept good governance refers to the exercise of authority through political and institutional processes that are transparent and accountable and encourage public administration (United Nations, 2006). It is a condition whereby the responsibility of an organisation or country is discharged in an effective manner that promote sustainable development by empowering citizens to influence policies that promote growth and prosperity and reflect their priorities (Abed, 2001). Good governance is viewed as what ought to be done. It can be noted that good governance, in all its facets, has been demonstrated to be positively correlated with the achievement of better growth rates, particularly through the building of institutions in support of markets (Hope, 2002). The NEPAD Framework Document (2001) recognises the significance of good governance for achieving sustainable development in Africa and sets out principles pertaining to the strengthening of democratic and political governance as well as socio-economic and corporate governance.

Socio-economic development is the process of social and economic development in a society as measured by indicators such as the Gross Domestic Product (GDP), inflation and repo rates, life expectancy and levels of infrastructural development (Szirmai, 2005). Socio-economic development is a key concept central to resolving societal challenges such as poverty, illiteracy, poor infrastructure among others. This is coupled with change in the both the business and public domains therefore embracing economic change. Socio-economic development may in turn result in the transformation of social and political institutions in a manner which improves the capacity of the society to fulfil its aspirations (Chojnicki, 2010:8). This development can therefore be attained through the transformation of the functioning of the AU which is the African continental body for political-economy renewal. Today the AU is more people-centered with a wider mandate focusing on political and socio-economic integration of the African continent based on a wish to promote good governance, relations and the progression on socio-economic development (Assogbavi, 2014). The AU is a machinery based on principles of free movement of people, goods, services and capital intercontinentally. In order to ensure that the AU realizes its objectives, NEPAD owned and led socio-economic programmes designed to place African countries united on a path of true sustainable development. Furthermore, the APRM was established to monitor the compliance of African governance agreed systems to standards of good political and good governance and their progress towards greater socio-economic development (Grimm & Katito, 2010:1).

Despite all this, the commitment shown by African leaders to work together in developing the continent by consolidating democracy, ensuring good governance and implementing sustainable socio-economic development programmes for promoting good governance and accountability is obscured due to economic commitments with other countries outside the African borders (Abdelaziz, Janneh & Mayaki, 2012). For example, China has since the year 2000 accelerated its investment in Africa broadly focusing on issues of politics, trade relations while in turn neglecting the strengthening of intercontinental trade among African states. To this extent, China is rapidly becoming an important aid donor and investor in Africa and continues to exploit raw materials and to position its self on the international stage. This is captured by Kormawa, Roepstorff and Yumkella (2011), when stating that "the share in Africa's total exports has decreased in recent years, while total authorities are dominated by primary products and mineral resources which are increasingly being exported to the rapidly industrialising economies of Asia and Latin America". The expansion of exports within the region is not feasible due to high intra-African tariffs as well as non-tariff barriers, weak transport links and other obstacles of cross-border trade. African countries have a tremendous potential to expand the merchandise export of agro-industrial products (Yumkella, Kormawa, Roepstorff, & Hawkins, 2014), for which there is growing demand in the international market. This obviously has the potential of denting upcoming partnerships within the continent and undermining commitments of the AU and of course NEPAD.

### 3. CHALLENGES INHIBITING AFRICAN COUNTRIES RELATIONS

According to Mathebula (2014), within African societies there is a sense of morality which is based on the concept of *Ubuntu* which can be understood as human kindness. He argues that humanness in an African context can be translated as humanity towards others. Sebola (2014) advances an argument by postulating that *Ubuntu* is a cultural practice embedded in black Africans and applicable to administrative practices and undoubtedly governance, and curbing corruption which in turn may result in 'good African governance'. The foregoing section of the paper looks at challenges inhibiting good relations among other African states. Amongst those are xenophobia, corruption, nationalism and nativism. It must however be pointed out that these are not the only challenges.

#### 3.1 Xenophobia

The repetitions of xenophobia in South Africa are a cause for concern. This is because it has the potential of undermining democracy, human rights and governance. Despite this, good governance and the agreements with other African counterparts are undermined and denting relationships and the possibility to forge new ones. Xenophobia can be understood as the fear or hatred of foreigners or strangers (Harris, 2002). It is embodied in discriminatory attitudes and behaviour, and often culminates in violence, abuses of all types, and exhibitions of hatred. However it is worth noting that xenophobia is not a phenomenon prevalent to South Africa alone as it manifests in other African countries and at a global arena (see Galindo & Vigil, 2006; Clermont & Eisenberg, 2007; Norbert, 2009; Yakushko,

2009; Nyamnjoh, 2010). Xenophobia became known as the manifest of relations and perceptions, including a fear of losing identity, suspicion of its activities, aggressions and desire to eliminate its presence to secure a presumed transparency (Mogekwu, 2005). According to Crush and Pendleton (2004), the manifestation of xenophobia undermines social cohesion, peaceful co-existence, and good governance, and constitutes a violation of human rights. To this end, South Africa is party to African and international human rights and humanitarian treaties, especially on refugees and refugee seekers therefore obligations to combat xenophobia have both a legal and a moral force. In a constitutional democracy such as that of South Africa which is a member state of the AU, NEPAD, and the Southern African Development Community (SADC) it is challenging to uphold ethical and economic positions to close its borders and strengthen relations with other nations.

scholars continue to advance debates on the cases of xenophobia and related violence where advocacy is made in relation to initial links between foreign and local entrepreneurs, who if can partner in enterprises can stem out hatred and promote a brotherly associations.

#### 3.2 Corruption

Corruption is understood as behavior deviating from formal rules of conduct governing actions of those in positions of public authority due to motives such as greedy desires for wealth, power or status (see Nye, 1967; Khan, 1996; Mathebula & Makamu, 2014). It must however be acknowledge that coining a concept bewildering and contested such as corruption is a daunting task (Mathebula & Makamu,

2014). In the 21<sup>st</sup> century, the African continent has been labeled as very corrupt when compared with other nation states in the world. However, scholars (Thompson & Shah, 2005; Tsheola, 2014) have refuted this claim stating that institutions such as Transparency International which base its findings on merely perceptions is simply a Western machinery for demonizing the African continent with the verge of raw materials exploitation. Challenges associated with defining and contextualizing corruption to benefit the African continent is as a result of the lack of a theoretical base that is aligned to the African way of doing things. Chizuma (2014) argues that Africa needs its own definition and conceptualisation of what corruption refers to. This is because some of the African conventional ways of doing things can be viewed as corruption if applied in the Western discourse. However, the argument of this paper is not mainly on the conception of corruption, rather the impact it has on socio-economic development of the African continent.

Lerrick (2005:2) advocates that where there is poverty there is corruption. A typical example of this assertion will be the African continent which is rich of resources but economically not empowered. Corruption is not just one of the causes of intractable poverty in Africa but a root cause while a vast portion of the poverty is to blame for internal political corruption. Corruption in the African continent and particularly extortion is one of the major ways of enrichment as it has the potential of facilitating social advancement (Uneke, 2010) and the upholding of one's position and enabling the political elites to fulfil their duties to meet the expectations of their clients (Ebegbulem, 2012). The estimate costs of

corruption in Africa are a serious challenge which must be given the deserving attention because of its potential to undermine development. Furthermore, corruption has a damaging effect on administrative development and efficiency, which can create extensive problems for already afflicted governance systems. The consequence of this is that corruption does not only demoralize, but also incapacitates the public service while society become weak in the production process (Alam, 1989:33). Corruption affects political development and stability in various ways, therefore in countries where corruption is systematic, political repression and domination and subordinating the main political relationship. Corruption in Africa also affects political stability in the overthrow of not only authoritarian regimes but also democratically elected governments (Hope, 2000). The scale of corruption in most African countries is distressing, thrilling and disheartening. According to Okafor (2004:98), corruption by political leaders has been identified as one of the major causes of poverty, and the failure in the development of developing countries, particularly in Africa, therefore the incidence of corruption remains one of the greatest challenges of democracy in the continent as virtually all democratic experiments are associated with reports of hyper-corrupt practices.

### **3.3 Nationalism and nativism**

Nativism is a socio-political and economic standpoint of seeking a favour of better prestige for native residents of a nation state as compared to immigrants (Foner & Alba, 2008). This must not be viewed in the same vain as xenophobia as it is only seeking for better status. Nativism

can conventionally be referred to as the opposition to immigration, and support efforts to weaken the socio-economic, political or legal status of specific ethnic or cultural groups who are well-thought-out to be aggressive to the natural culture, upon the assumption that they cannot be embraced (Foner & Alba, 2008). Ndlovu-Gatsheni (2009) correctly points to an example of the president of Zimbabwe, Robert Mugabe who continue to deploy Afro-radicalism and nativism as part of taking the decolonisation struggle to the further level of economic liberation from the snares of neo-colonialism. However, such a struggle has left Zimbabwe in a distraught social and economic debacle which might take more than sixty years to correct. Zeleza (2003) in Ndlovu-Gatsheni (2008) however postulates that in an African, nativism and nationalism is a liberal force that cannot be simplistically dismissed as 'shibboleths of discredited geographies and histories' and purveyor of 'primordial pathologies'. These forces are however propagated with little attention given to the effects it has on trade and other relations intercontinentally and even abroad. It is for such forces that Zimbabwe as an example has been penalised and sanctioned for participating in major platforms which could have served to drastically boost socio-economic development of the country, the region and Africa in particular.

#### **4. INSTITUTIONS, TOOLS AND MECHANISMS FOR DEVELOPMENT**

Institutions, tools and mechanisms such as the African Peer Review Mechanism (APRM), the New Partnership for Africa's Development (NEPAD), Millennium Devel-

opment Goals (MDGs) and the African Union (AU) among others exist to ensure African unity, prosperity, peace-building and socio-economic development. This article highlights some of the support structures and treaties in realising good governance, relations and socio-economic development of the African countries. It should however be noted that these are not the only mechanisms established within the continent.

##### **4.1 African Union**

According to Williams (2011:3), the African Union's (AU) objective is the emergence of an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the global arena. The key objective of the union in this regard is the intervention in a member-state in respect of grave circumstances including war crimes, genocide, xenophobia and crimes against humanity (Kioko, 2003). To this extent, the AU intends to facilitate, coordinate, and monitor the union toward its overarching vision of peace and security. With this being said, the recent xenophobic attacks in South Africa and the war crimes in the Republic of Sudan necessitated a swift action for the union's intervention in its verge of ensuring peace, security and socio-economic development of the African continent. As it has been said before, institutions such as the AU are equally important for revolutionizing society and building stronger states. However, the developmental agendas of this kind of an institution collide with international obligations for those states affiliated with the United Nations for instance. The African continent in comparison to other continents has been embroiled in a security dilemma, bad

governance, gross corruption and xenophobia amongst other challenges. Other scholars (see Chizuma, 2014; Mathebula & Makamu, 2014) however reiterate the fact that institutions such as Transparency International are used to demonize the African continent with regard to the above mentioned challenges. With this being said, the role of the AU in promoting intercontinental socio-economic development cannot be underestimated.

## **4.2 New Partnership for Africa's Development**

The New Partnership for Africa's Development (NEPAD) is an agency of the AU established in 2001 with the view of eradicating poverty in Africa. Most scholars argue that poverty is one of the challenges perpetuating challenges such as corruption, xenophobia and thus hindering the continent's socio-economic development (Harris, 2002). It is for this and other reasons NEPAD initiatives encompasses the political, economic and social-cultural development of African states through partnerships with the business and government sectors. Therefore the establishment of NEPAD sought to reposition Africa towards challenges surrounding the continent on political, socio-economic and cultural perspectives. In this regard NEPAD programmes include the promotion of peace and security, education, democracy, good governance, economic and corporate governance (Abdul-Talib, Terwase & Zengeni, 2015:55). NEPAD seeks a different global partnership between the rich North and the Poor South, which is centered on shared responsibility and the fulfilling of mutual interests through the drive towards political democracy and

economic development in Africa. , moreover it is promoting endeavors to imitate the high quality value agriculture in Africa, nevertheless NEPAD promotes the notion that a reversal of African economic decline necessitates that the governments of Africa take the initiative with improved capacity to frame policies effectively, eliminate corruption and demonstrate transparency and accountability (Nicolaidis & Van der Bank, 2013:63). The current societal-ills turmoil surrounding Africa with regard to bad governance, and development can be tackled using the defined systematic approaches as NEPAD also aims to coordinate development rather than the haphazard current economic planning and development policies which have put Africa in a quandary, a kind of regression and under-development (Moriyole, 2015:253).

## **4.3 African Peer Review Mechanism**

According to Rashed (2013:3), the African Peer Review Mechanism (APRM) is an instrument voluntarily entered into by member states of the AU, as self-monitoring machinery for the progress achieved by participating countries in adopting and implementing NEPAD's priorities and programme on democracy and good governance. This commitment can be furthered to the promotion and realization of Africa's socio-economic development while measures are also taken to integrate the African economy. APRM began operating in 2003, as a voluntary instrument acceded to by African states to assess political, economic and corporate governance in their countries. APRM aims to assist African countries to address democratic deficits and create the economic transparency needed to attract investment and to nurture growth

(see Cheema & Maguere, n.d; Ajam & Aron, 2007; Helle, 2011). Moreover, it has initiated the dialogue between government, business and civil society actors on areas for improvement and challenges such as corruption, governance, political stability and electoral reform (Paterson, 2012). These mandates of the APRM are aimed at encouraging member states to conform to agreed policy practices. It is with no doubt that in pursuit and proper implementation of the overarching vision, 'bad governance' as commonly known among African states can be addressed. In turn this will ensure that there is improved business and personal relations in what can be termed 'one Africa'. This and other achievements according to Gruzd (2014) can be realised through accelerated sub-regional and continental economic integration through sharing of experiences and reinforcement of successful and best practices.

#### **4.4 Millennium Development Goals**

The eight goals to be achieved under the MDGs are the eradication of extreme poverty and hunger, the achievement of universal primary education, the promotion of gender equality and empower women, the reduction of child mortality, the improvement of maternal health, to combating of HIV/AIDS, Malaria, and other diseases, ensuring environmental sustainability, and the development of global partnerships for development. According to Chiroro and Simelane (2013), since the endorsement in 2000, the Millennium Development Goals (MDGs) have been a pillar and point of reference for sustainable development. It is on this basis that this paper argues that the MDGs with institutional support can be amalgamated into African developmental agendas as life-standing intentions to accomplish separate African national development plans; poverty-reduction strategies while pursuing socio-economic development, good governance and fostering good relations. It is for this point that the MDGs have evolved as an urgent need to address poverty around the world. The achievement of this goals other internationally agreed developmental agendas in Africa embraces the promise of saving millions of lives, empowering women, addressing

the scourge of illiteracy, hunger and malnutrition and ensuring that Africa's children have access to high-quality education and good health to lead productive lives. Nevertheless, the recent up rise against African foreigners in South Africa fuelled by challenges such as high food prices, unemployment and competition for the private space puts pressure on African economies and threatens the MDGs progress for fighting hunger, peace and stability (Millennium Development Goals Report for Uganda, 2013). The MDGs are referenced in across all societal realms and viewed as a key indicator for socio-economic development.

#### **5. CONCLUSION**

The purpose of this paper was to; through literature review and desktop analysis highlight the African countries relations and its impacts on socio-economic development. The paper argued that the relationships between African countries and governance are still a major challenge that delays both social and economic development of the continent. Of course challenges are prevalent despite the fact that Africa has treaties, agreements and mechanisms to ensure its cooperation and the upliftment of the con-

continent. This paper therefore proposes that African countries should review socio-economic policies particularly in human rights protection and curbing challenges of xenophobia, corruption, nativism and nationalism. In order to fast track Africa's war on corruption, there is a need to set up anti-corruption units in order to strengthen socio-economic development.

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# ECONOMIC GROWTH, GOVERNMENT EXPENDITURE AND EXCHANGE RATE NEXUS IN SOUTH AFRICA

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## ABSTRACT

South African government is often faced with a double edged challenge of cutting down its expenditure to satisfy international credit ratings against the interests of the trade unions and the electorate who will want to protect jobs at all costs. This study attempts to examine the dynamic causal relationship between economic growth and government expenditure in South Africa by employing a trivariate causality model. The intention of this study is to add to strand of literature on economic growth, exchange rate and government expenditure nexus in the South African context. This is an important aspect to analyse due to the fact that the state uses it as a controlling economy instrument the fiscal policy. To address this issue, the study employed quarterly data spanning from 2000 to 2015 and cointegration and error correction models. The real effective exchange rate has a positive relationship with the country's GDP at market prices whereas national government total expenditure has a negative relationship with GDP at market prices. Finally the trivariate causality model revealed that in the case of South Africa, causality runs only one way from national government total expenditure to real effective exchange rate.

**Keywords:** Government expenditure, Cointegration, Trivariate correction models, South Africa

## 1. INTRODUCTION

South African government is often faced with a double edged challenge of cutting down its expenditure to satisfy international credit ratings against the interests of the trade unions and the electorate who will want to protect jobs at all costs. The call is that more efforts should be seen to done in order to maintain adequate levels of investment in social and economic infrastructure by the state. Several authors such

as Nurudeen and Usman (2010), Sinha, et al (2011), Angello, et al (2013) and Rosoiu (2015) have expressed different opinions about the issue of government spending. As emphasised by Heylen, et al (2013) a government that uses expenditure cut is more significant in fiscal consolidation than other governments. They also confirm that consolidation programs imply a stronger reduction of the public debt ratio when they rely mainly on spending cuts, except public investment. Government

wage bill cuts, however, only contribute to lower public debt ratios when public sector efficiency is low.

Since government expenditure is regarded as a major component of national income in most economies, its expenditure has caused numerous controversies amongst scholars. This controversy can be traced as far back as Wagner and Keynesian theories' arguments about the direction of causation between public expenditure and national income. The controversy some created two schools of thought on the direction of causation between these two variables. Usman and Loganathan (2016) point out that even though different scholars agree that government expenditure is a core determinant of national income, it has a two-edged sword. Some such as Sevitenyi (2012), argues that it could significantly increase aggregate output, especially in less developed countries where high rate of unemployment, high rate of inflation, insecurity and lack of an enabling environment for private sectors to prosper. On the other hand, it could also have adverse consequences such as crowding out private investment and demotivate people from additional work.

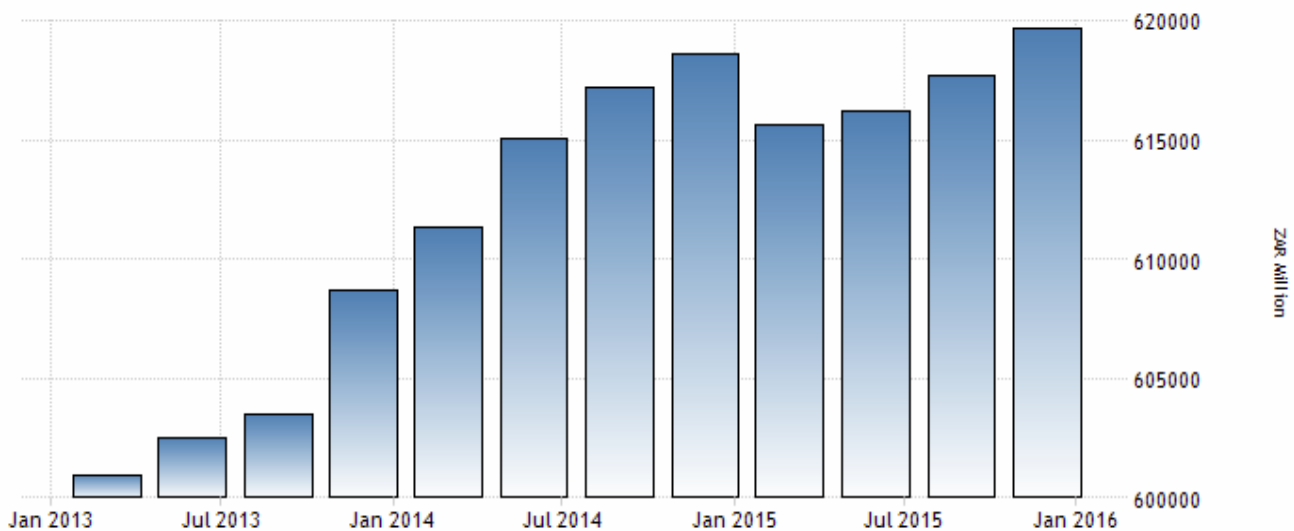
This study contributes to the existing literature on the controversy of the causal relationship between government expenditure and economic growth in the South African context. In order to differentiate this study with the previous ones with similar method, this study employs the trivariate to examine the linkage between economic growth and government expenditure. Unlike Odhiambo (2015) who uses the auto-regressive distributed lag model (ARDL)-bounds testing approach, this study uses the dynamic

Granger causality approach to investigate the same linkage. Furthermore to address the omission of variable bias, instead of unemployment, this study incorporates real exchange rate as an intermittent variable. The choice of this variable is influenced by the fact that the Rand (South African currency) has for several years been characterised by high levels of volatility and a general trend of depreciation with some intermittent periods of limited appreciation. Paul and Ibrahim (2016) points that excessive volatility of the exchange rate is found to be detrimental to economic growth; however, this is only up to a point as growth-enhancing effect can also emanate from innovation, and more efficient resource allocation. Subsequently the intuition of this study is that this major variance of the South African currency against major currencies constrains might have the negative effects on the firms to make investment decisions and affects international pricing arrangements which might have impact on the economic growth and ultimately government expenditure.

The major concern is that the South African government spends the bulk of its national budget on important aspects like education, infrastructure and social services yet both the World Bank and the International Monetary Funds (IMF) has cut its growth to 0.8% in 2016. Figure 1 indicates that between January 2015 and January 2016 the government spend between 615 close to 620 Million Rands. Furthermore, TRADING ECONOMICS (2016) indicates that Government Spending in South Africa averaged 302259.94 ZAR Million from 1960 until 2015, reaching an all-time high of 619683 Million Rands in the fourth quarter of 2015 and a record low of 65991 Million Rands in the first

quarter of 1960.

Figure 1: South African government spending



Source: [www.TRADINGECONOMICS.COM](http://www.TRADINGECONOMICS.COM)  
SOUTH AFRICAN RESEARVE BANK

On the other side, the government is often faced with a double edged challenge of cutting down its expenditure to satisfy international credit ratings against the interests of the trade unions and the electorate who will want to protect jobs at all costs. Furthermore according World Bank (2016) like all other developing countries, South Africa is also faced with a challenge of an exchange rate experiencing both downward pressures and increasing volatility. As Rosoiu (2015) points out this is an important aspect to analyse due to the fact that the state uses it as a controlling economy instrument the fiscal policy.

The objective of the study is to examine the dynamic causal relationship between economic growth and government expenditure in South Africa by employing a trivariate causality model. The paper is structured as follows: the subsequent sections cover the review of both theoretical and empirical of the subject matter and the discussion of

the research method which includes the introduction of data and specification of the model. Furthermore the empirical findings are presented in section 4 which is then followed by the summary of the findings and conclusion of the study.

## 2. LITERATURE REVIEW

Wheeler (1999) studied the impact of government debt in US using variance decomposition and impulse response functions for the 1980s and 1990s. He tested the Ricardian Equivalence hypothesis focusing on the effects of government debt on output, price level and interest rates. The results revealed significant negative relationships between government debt on interest rates, price level and output. Apart from the Ricardian Equivalence hypothesis, other studies focused on the controversy brought by the Keynesian's view and the Wagner's law. Akonji, et al (2013) show that public expenditure in Nigeria is driven largely by gross domestic product (GDP) and it is therefore taken as an endogenous variable and not the cause of real gross do-

mestic product. Based on this, Akonji, et al argue that this assertion a clear contradiction of the Keynesian's view, where public expenditure is regarded as exogenous variable and the Keynesians are advocating for effective role for the government in raising level public spending in order to alter levels of real GDP.

In same vein, Oyinlola and Akinnibosun (2013) argue that economic growth leads to growth in capital expenditure as well as in social and community service. The results of these two studies based in Nigeria can be explained by Wagner's law which indicates that increased government activity and the corresponding increase in government expenditure is an inevitable result of economic growth. In contrast earlier studies such as Babatunde (2007) and Ighodaro and Oriakhi (2010) concerned with explaining the growth of public expenditure in terms of growth of national income that is testing Wagner's Law mostly showed no support for the law. That been the case there is also evidence of some empirical studies with exceptional cases of bi-directional Wu et al. (2010) and Odhiambo (2015) view, where both government expenditure and economic growth causes each other.

Other empirical studies such as Sinha, et al (2011) revealed that the determinant of debt situation is GDP growth rate for both high and middle income group countries. The study concluded that government expenditure, education expenditure and current account balance are also seen to influence the debt situation for both groups. Other variables such as foreign direct investment and inflation have no impact on debt to GDP ratios among high in-

come group countries but are found to be of more relevance when determining debt situation of middle income group countries. Angello, et al (2013) are of the opinion that positive government spending shocks increase output and private consumption. They also contend that the government spending shocks have a crowding-out effect over private investment while positive tax shocks have a negative effect on output and private spending. Furthermore, Nurudeen and Usman (2010) observed that rising government expenditure in the Nigerian context has not translated to meaningful development as the country despite its abounded oil resources is still ranks among world's poorest countries. In an attempt to investigate the effect of government expenditure on economic growth, they employed a disaggregated analysis and their results reveal that government total capital expenditure, total recurrent expenditures and government expenditure on education have negative effect on economic growth. On the contrary, rising government expenditure on transport and communication and health results to an increase in economic growth.

### 3. RESEARCH METHOD

This study attempts to examine the dynamic causal relationship between economic growth and government expenditure in South Africa by employing a trivariate causality model.

#### 3.1 Data and Model specification

The study uses quarterly time series data covering the period 1995Q1 to 2015Q4. The data on Government expenditure, Exchange rate and economic growth proxied by growth domestic price at market

prices (GDP) are expressed in percentages and were obtained from the South African Reserve Bank's Online download facility. Beside the notion of the omitted variable bias, the advantage of introduction of the exchange rate in the system is to help to capture the impact of the South African Rand volatility which has recently

managed to escalate the cost of many government infrastructure expenditure due the recent its depreciation. The empirical model is specified as follows:

$$GDPmp_t = \beta_0 + \beta_1 REER20tr_t + \beta_2 NGet_t + \varepsilon_t \quad 1$$

where

*GDPmp* = Growth domestic price at market prices

*REER20tr* = Real effective exchange rate of the rand: Average for the period

20 trading partners - Trade in manufactured goods

*NGet* = National government: Total expenditure

### 3.2 Estimation of empirical results

The estimation of the results includes three major techniques applied in most of the econometric studies. The Augmented Dickey-Fuller (ADF) unit root test which employed to determine the order of integration of the three variables. This is then followed by the Johansen-Juselius' maximum likelihood cointegration analysis to test for the existence of a cointegration relationship amongst the variables by means of the trend assumption: Linear deterministic trend. The trivariate Granger causality model of the study is therefore can be expressed as follows:

$$GDPmp_t = a_1 + \sum_{j=1}^p \alpha_j GDPmp_{t-j} + \sum_{j=1}^p \beta_j REER20tr_{t-j} + \sum_{j=1}^p \chi_j NGte_{t-j} + \varepsilon_t \quad 2$$

$$RRER20tr_t = a_2 + \sum_{j=1}^p \delta_j GDPmp_{t-j} + \sum_{j=1}^p \phi_j REER20tr_{t-j} + \sum_{j=1}^p \varphi_j NGte_{t-j} + v_t \quad 3$$

$$NGte_t = a_3 + \sum_{j=1}^p \eta_j GDPmp_{t-j} + \sum_{j=1}^p \theta_j REER20tr_{t-j} + \sum_{j=1}^p \psi_j NGte_{t-j} + v_t \quad 4$$

#### 4. EMPIRICAL RESULTS AND DISCUSSION

In order to determine the order of integration and whether the regression may be spurious, the ADF unit root test was performed and the results are reported in Table 1. The test was performed based on an automatic SIC lag length. After carrying out the test at both level and first difference using the three regression forms, the best results were obtained at constant linear trend as indicated in the table.

Table 1: Unit root tests results of variables

VARIABLES	ADF CONSTANT, LINEAR TREND						Results
	Lag Length: (Automatic - based on SIC)	t-statistic	Critical values			Probability	
			1%	5%	10%		
GDPmp	0	-11.76174	-4.073859	-3.465548	-3.159372	0.0000	I(1)
REER20tr	0	-8.545621	-4.072415	-3.464865	-3.158974	0.0000	I(0)
NGte	1	-12.29197	-4.075340	-3.466248	-3.159780	0.0000	I(1)

The results indicate that there is a mixture of both I(0) and I(1) variables. The study continues with the Johansen procedure because the arrangement is such that the model consists of a dependent variable which is I(1) and two independent variables with both I(0) and I(1) combinations. This is based on (Engsted, et al 1997)'s view that with two I(1) times series  $X_t$  and  $Y_t$  which cointegrated such that the linear-combination  $Z_t = Y_t - \beta X_t$  is stationary I(0). By definition the cumulated errors series  $S_t = \sum_{j=1}^t Z_t$  is I(1) and hence it



can happen that that  $S_t$  cointegrates with  $X_t$  and/or  $Y_t$  such that, say,  $I_t = Y_t - \gamma S_t$  is  $I(0)$ . This implies that essentially there are two levels of cointegration between just two  $I(1)$  time series. Moreover, Harris (1995) indicates that a standard Johansen approach is designed to handle  $I(1)$  and  $I(0)$  variables because it is possible that cointegration is present in when there is a mix of  $I(0)$ ,  $I(1)$  and  $I(2)$  variables in the model.

The Johansen cointegration tests results based on both the trace and the maximum eigenvalue tests are presented in Table 3. The tests were based on the Akaike information criterion (AIC), at length lag of 2 as illustrated in Table 2.

Table 2: Lag Order Selection Criteria

Lag	LogL	LR	FPE	AIC	SC	HQ
0	-610.5173	NA	3190.466	16.58155	16.67496*	16.61881
1	-591.2824	36.39039	2420.222	16.30493	16.67856	16.45398*
2	-578.6943	22.79460*	2199.588*	16.20795*	16.86181	16.46879
3	-572.0651	11.46675	2352.865	16.27203	17.20611	16.64465
4	-568.3834	6.069816	2733.083	16.41577	17.63007	16.90017
5	-562.7251	8.869797	3020.734	16.50608	18.00061	17.10227
6	-557.1568	8.277180	3362.567	16.59883	18.37359	17.30680
7	-553.2361	5.510215	3936.348	16.73611	18.79109	17.55587
8	-547.6397	7.411447	4435.253	16.82810	19.16330	17.75964
9	-539.1279	10.58224	4658.211	16.84129	19.45672	17.88462
10	-533.3309	6.736986	5318.780	16.92786	19.82351	18.08297

\* indicates lag order selected by the criterion

LR: sequential modified LR test statistic (each test at 5% level)

FPE: Final prediction error

AIC: Akaike information criterion

SC: Schwarz information criterion

HQ: Hannan-Quinn information criterion

All the critical values of both the trace and the maximum eigenvalue tests in Table 3 are greater than all the critical values at 5%. Hence these time series are having three cointegrated equations and the implication is that they have a long run stable relationship.

Table 3: Johansen Cointegration Tests

Tests	Hypothesized No. of CE(s)	Eigen value	Trace/Max- Eigen Statistics	0.05 Critical value	Probabilities
Trace	None*	0.299123	49.19621	29.79707	0.0001
	At most 1	0.173785	20.40691	15.49471	0.0084
	At most 2	0.059212	4.944014	3.841466	0.0262
Maximum Eigen value	None	0.299123	28.78930	21.13162	0.0034
	At most 1	0.173785	15.46289	14.26460	0.0322
	At most 2	0.059212	4.944014	3.841466	0.0262

Trace test indicates 3 cointegrating eqn(s) at the 0.05 level

Trace test indicates 3 cointegrating eqn(s) at the 0.05 level

Max-eigenvalue test indicates 3 cointegrating eqn(s) at the 0.05 level

\*denotes rejection of the hypothesis at the 0.05 level

Source: Own calculation with EViews 9

From the estimates of the cointegrating relation based on the normalisation and also estimates of the adjustment parameter the normalised cointegration coefficients and their signs of the long run estimates are shown in Table 4.

Table 4 Normalised cointegrating equation

Variables	GDPmp	REER20tr	NGte
Coefficients	1.000000	-1.588713	0.080503
Standard error		(0.31763)	(0.26659)

A normalised cointegrating equation based on Table 4 is therefore presented as equation 5 as follows.

$$GDPmp_t - \beta_0 - \beta_1 REER20tr_t - \beta_2 NGet_t = 0 \tag{5}$$

In order to be able to compare whether signs of the coefficients of the variables in equation 5 are as anticipated, we need to reverse the signs of the estimated coefficients of the independent variables as we transpose them to the right hand side of the equal sign of equation 5. The new equation 6 with the coefficients of the variables from Table 4 will therefore be presented as follows:

$$GDPmp_t = \beta_0 + 1.588713 REER20tr_t - 0.80503 NGet_t \tag{6}$$

Based on equation 6, the implication is that the real effective exchange rate has a positive relationship with the country's GDP at market prices whereas national government total expenditure has a negative relationship with GDP at market prices. Since the presence of a long run economic relationship has been established we expect some kind of causality amongst the variables, either one way or in both directions, therefore the Pairwise Granger Causality results based on lag of 2 are presented in Table 5.

Table 5: Results of the Pairwise Granger Causality Tests

Null Hypothesis	F-statistics	P-values	Decision	Conclusion
REER20tr does not Granger Cause GDPmp	0.40900	0.6657	H <sub>0</sub> cannot be rejected	No causality
GDPmp does not Granger Cause REER20tr	0.29338	0.7466	H <sub>0</sub> cannot be rejected	No causality
NGte does not Granger Cause GDPmp	0.38754	0.6800	H <sub>0</sub> cannot be rejected	No causality
REER20tr does not Granger Cause NGte	2.04578	0.1362	H <sub>0</sub> cannot be rejected	No causality
NGte does not Granger Cause REER20tr	4.23130	0.0181	H <sub>0</sub> can be rejected	There is causality from NGte to REER20tr

\*/\*\*/\*\* rejection of the null hypothesis of no Granger causality at 10/5/1

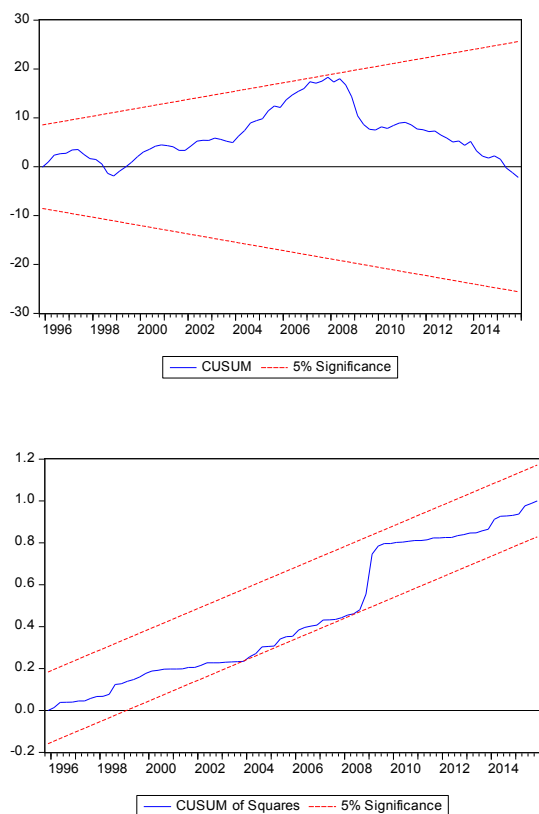
Source: Own calculation with EViews 8

From Table 4 it appears that the Granger causality runs only one way from NGte to REER-20tr because the null hypothesis is cannot be rejected in all other cases. The implication is that national government total expenditure causes the real effective exchange rate of the rand. Furthermore no causality was found between other variables during the period of this study.

Finally to determine the stability of the model, the CUSUM and CUSUM of Squares stability tests were conducted and the results are presented in Figure 2. The results of the both tests

indicate that the model is stable since the cumulative sums move inside the critical lines throughout the period of study.

Figure 2 CUSUM and CUSUM of Squares tests results



## 5. CONCLUDING REMARKS

The main purpose of this study was to examine the dynamic causal relationship between economic growth and government expenditure in South Africa by employing a trivariate causality model. The intention of this study is to add to strand of literature on economic growth, exchange rate and government expenditure nexus in the South African context. This is an important aspect to analyse due to the fact that the state uses it as a controlling economy instrument the fiscal policy. To address this issue, the study employed quarterly data spanning from 2000 to 2015 and cointegration and error correction models.

Through Johansen cointegration analysis it was established there is a long run stable re-

lationship amongst variables. Furthermore this analysis revealed that the real effective exchange rate has a positive relationship with the country's GDP at market prices whereas national government total expenditure has a negative relationship with GDP at market prices. Finally the trivariate causality model revealed that in the case of South Africa, causality runs only one way from national government total expenditure to real effective exchange rate. The implication is that national government total expenditure causes the real effective exchange rate of the rand. Furthermore no causality was found between other variables during the period of this study.

These results seem to be inline Nurudeen and Usman (2010) who observed that government total capital expenditure, total recurrent expenditures and government expenditure on education have negative effect on economic growth. There is also correlation with studies such as Babatunde (2007) and Ighodaro and Oriakhi (2010) who were concerned with explaining the growth of public expenditure in terms of growth of national income that is testing Wagner's Law mostly showed no support for the law.

On the other side, some empirical studies such as Wu et al. (2010) and Odhiambo (2015) found that both government expenditure and economic growth causes each other. The possible explanation of such opposing view on this issue might be in the nature of government expenditure under investigation because even though Nuru-

deen and Usman (2010) also found negative between these variables, they realised rising government expenditure on transport and communication and health results to an increase in economic growth.

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# TECHNOLOGY AND WORKER MARGINALISATION: A CASE OF LOCAL E-GOVERNMENT AT CITY OF CAPE TOWN

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## ABSTRACT

*Electronic government or e-government is becoming a significant development in South Africa's post-apartheid public administration. This multidimensional phenomenon facilitates the increased use of information and communication technology and web based technology in government processes. With this, the nature of administrative and governance processes is shifting to rely more on these new technologies. In municipalities, the government to employee (G2E) e-government dimension especially facilitates the introduction of technologies to move back office operations from manual to electronic based processes. It focuses on supporting the transactions between government and its employees, for example, training and payroll. Further, it facilitates the online exchange of information on work, performance, personnel and the development of employees. Using the case of the City of Cape Town, this paper explores what workers are experiencing of shifting dynamics of workplace control and demands due to local e-government (with a particular focus on the G2E dimension). It draws from interviews taken during a study where the sample of respondents were selected using purposive sampling based on the subjects' knowledge and experience, snowball sampling following referrals and random sampling during site visits. The findings point to some of the challenges they experience. Given the scant literature available on the impacts of this form of e-government on municipalities, the paper seeks to uncover some worker realities within contemporary technological developments in South Africa. As government continues to look to new technology to promote better governance, a multifocal perspective which includes worker experiences of technology is necessary to understand the implications of new technologies for present day governance.*

**Keywords:** Communication technology, E-government, Governance, Information and communication technology,

## 1. INTRODUCTION

E-government is one of the most significant developments in modern public administration, "both in practice and in concept" (Brown, 2005:241). It links to the growth of contemporary electronic forms of communication that are paperless and online. Governments promote it as a means to address service delivery, accountability, development and governance



challenges. In South Africa, e-government is still at an early stage (United Nations Public Administration Network, 2014) despite e-government strategies, policies, frameworks and commitments. Its impacts on work and society are still being discovered. The multi-dimensional characteristics of e-government and models mean that it is understood and experienced in various ways at different levels (Brown and Brudney, 2001; Carter and Belanger, 2004; Siau and Long, 2005; Evans and Yen, 2006; Baum, Yigitcanlar, Mahizhnan and Andiappan, 2008). The government to employee (G2E) dimension in particular directs technological support to the transactions between government and its employees, for example, training and payroll. It includes the online exchange of information on work, performance, personnel, policy, career management and the development of employees (Fang, 2002). The nature of communication is between different departments or employees, it facilitates decision making, negotiations and interactions on work and performance (Fang, 2002). The characteristics of transactions involve online interpersonal workflow, knowledge management, participation and exchange of personnel policy, solutions data and information (Fang, 2002). In terms of workplace control, it offers management with diverse ways to control workplace behaviour.

Taking the experiences of back office workers and union representatives from the City of Cape Town metropolitan, this paper points to the experiences of marginalisation due to new extensions of managerial control, disciplining of workplace behaviour and an individualised labour process associated with the G2E technological changes. As managers utilise G2E e-government

to extend control over the workplace to achieve public management outcomes and meet legislative imperatives, workers' experiences of this points to forms of marginalisation which pose a challenge to local government development plans. In light of the historical trajectory of the democratisation of the South African public sector workplace, as well as the lingering workplace challenges left by apartheid, such as a racially stratified workplace, the findings point to a marginalisation of back office workers that needs further interrogation.

What follows is presentation of literature on new technology and workplace control. The study methodology is then presented. After this, a background on the City of Cape Town is provided to contextualise the findings. The findings are then offered. Pseudonyms have been given to the respondents. In conclusion some implications of the findings for governance are discussed.

## **2. NEW TECHNOLOGY AND STRUGGLES FOR WORKPLACE CONTROL**

Public administration has long been concerned about the impacts of technology on public sector organisations. It has interrogated areas such as external as well as internal environmental influences driving technology (Reddick, 2012; Liu and Yuan, 2015), the influences of technology on functions such as human resources (Reddick, 2012) and the benefits of technology for citizen participation in governance (Liu and Yuan, 2015). What appears limited are observations of the effects of technology on the organisation of work or labour process in public sector organisations. As a field, it does not point to a theory of its

labour process in the act of trying to constitute that process through various means (Harney, 2002). By focusing on how to get workers to work harder (or smarter or more efficiently) it excludes the question of why workers should want to work at all. Public administration, as a field, has traditionally separated the concern of its administration and labour process (Harney, 2002). Even so, few in the field such as Colley (2011), have begun to use labour process concepts to enhance understanding on the effects of public sector reforms on the workplace.

Labour process debates point to some alternative perspectives to understand workplace issues. Labour process theory itself is not a theory of technology but a theory of the labour process within capitalism (Hall, 2010). For over fifty years, labour process theorists have recognised the introduction of technology at the workplace as a managerial prerogative that labour may or may not resist. For over fifty years, sociology of work literature has paved the way to interrogations on modern technologies in post-industrial contexts. In the 1970s, Braverman (1974) raised concerns with the class-embedded nature of technology and its link to the organisation of work. Braverman (1974) observed an increasing general trend towards deskilling of jobs because of automation. Braverman (1974) held the view that in the long-term, jobs progressively mechanised and routinised and thus, the working class increasingly became homogenous. Through the separation of conception from execution, Braverman (1974) perceived management as gaining monopoly over knowledge to control every stage of the labour process and its mode of execution. Control, as the “central concept of all management systems” (Braverman,

1974:68), would extend through technology. Further, the Taylorist strategies he observed were not simply about job design but about introducing systems that extended control over labour. As a result, the features materialising in the workplace then included a decline in craftsmen, decreased training levels, increased separation of physical and mental labour as well as increased inter-changeability of person and task (Braverman, 1974). While Braverman viewed the labour process as a valorisation process, his automatic connection between valorisation and deskilling removed a far more complex understanding of the connections between the stages in capital accumulation and changes in the labour process that include broader political and ideological dynamics (Elger, 1982). By overestimating Taylorism as well, Braverman (1974) did not account for worker resistance to management strategies and the introduction of non-Tayloristic strategies because of this resistance (Wood and Kelley, 1982). Braverman (1974) gave much attention to objective processes thereby setting aside subjective dimensions of work and workers (Sawchuk, 2006) whereas there is a ‘practical indivisibility’ of the subjective and objective (Willmott, 1993).

Edwards (1979) posited a trend from simple to technical to bureaucratic control. Simple control would be exemplified by individual owners present on the shop floor rewarding and punishing behaviour. Technical control involved “designing machinery and planning the flow of work to maximise the problem of transforming labour power into labour as well as maximise the purely physical based possibilities for achieving efficiencies” (Edwards, 1979:112). The assembly line exemplified this system. Techni-

cal control would not only restrict workers but created the potential for worker resistance and militancy through shared experiences of work (Friedman, 1977). Capital, however, remained vulnerable to the workforce (Friedman, 1977). The workplace itself comprised a constant potential for disorder (Hyman, 1975). The idea that management commands and employees submit had limits. The limits of management's authority and workers' obedience had to be viewed as imprecise and shifting (Hyman, 1975). Edwards (1979) argued that worker resistance to technical control led to bureaucratic control. Bureaucratic control established "the impersonal force of company rules or company policy as the basis for control" (Edwards, 1979:152) and it became the most commonly used control method. It involved the use of job security and other tactics to evoke worker loyalty to the company and its rules.

Burawoy (1979) suggested that the worker's labour process would be experienced as an "encounter with technology and regulations that are imposed externally and impersonally" (Giddens, 1981:193). He questioned "Why do workers work as hard as they do?" (Burawoy, 1979). He showed how workers come to consent to their own exploitation through mischief, the use of games and informal rules of "making out" to achieve autonomy (Burawoy, 1979). Cooperation in most workplaces became prevalent leading to "participation in choosing that generates consent" (Burawoy, 1979:27). Workers' consent arose from the organisation of workplace activities in a way that workers perceive themselves as having choices. Workers would be active subjects in the processes of subordination and exploitation. Shop floor "games" re-

veal the preoccupation of workers to devise and pursue strategies and tactics to "beat" the employer in issues such as bonuses or to organise workplace activities to favour employees (Burawoy, 1979). The opportunities taken to gain small victories not only award workers with material rewards but enhance a sense of choice in and control over the organisation of work. "Workers are sucked into the game as a way of reducing the level of deprivation" (Burawoy, 1979:199) then enter a situation where they "strategise their subordination" (Burawoy, 1979:10). The conflict over the control over the labour process results in changes to organisation structures and even technology. He supported an incorporation of 'objective' and 'subjective' analyses arguing for an examination of "how the process of production shapes the industrial working class not only objectively - that is, the type of labour it carries out - but also subjectively - that is, the struggles engendered by a specific experience or interpretation of that labour" (Burawoy, 1985:8).

By the 1990s, Ackroyd and Thompson (1999) offered less prescriptive observations about the characteristics of worker action by suggesting that workplace resistance could be described as "organisational misbehaviours" (Ackroyd and Thompson, 1999). They described organisational misbehaviour as "anything you do at work you are not supposed to do" (Ackroyd and Thompson, 1999:2). Resistance would take place, not in response to exploitation and domination, but when technological changes (or other changes) take place too quickly (Ackroyd and Thompson, 1999). They found that a range of misbehaviours or gaming exist in the workplace. Some examples include a failure to work

hard, practical joking, deliberate work output restriction and sabotage (Ackroyd and Thompson, 1999). They found that defining “misbehaviour” is essentially a matter of “perspective and definition” (Ackroyd and Thompson, 1999:164). The manner it is identified and prosecuted has “to be understood in terms of structural imbalances of power” (Ackroyd and Thompson, 1999:164).

More contemporary labour process investigations have observed that with increasingly sophisticated monitoring technologies, new forms of control are becoming evident. In his examination of call centres as ‘info-service’ work, Russell (2009) revealed how ICT use leads to changes in skill, worker stress, emotional labour, increased work intensity and challenges for employee representation (Russell, 2009). He found that managerial use of ‘culture’ to control the labour process assumes a “larger significance in the absence of physical flows” (Russell, 2009:165). The primary means of managerial control of knowledge work is the regulation of employees’ ‘self’ rather than work tasks or work flows (McKinlay (2006:245).

Sturdy, Fleming and Delbridge (2010) identified forms of neo-normative control in the contemporary world of work. Neo-normative control involves importing the personal values and characteristics formed outside the organisation to extract more from work performance (Birken, Menz and Kratzer, 2013). While the goal of normative control is to make the employee individual identity compatible with the company identity (Birken et al., 2013), with neo-normative control, employees are encouraged to express their personal eccentricities and

preferences within the organisation (Sturdy et al., 2010). By being oneself, the individual becomes bound to the organisation. For the most part, “neo-normative control aims to enhance the enjoyment of the job via the freedom of identity and emotional expression surrounding the work performance rather than through it” (Sturdy et al., 2010:121).

New technologies mean a wider range of control relations that “attempt to control and coordinate the activities of organisations across teams, business units, division, sites, regions and countries, not to mention supply chains and networks of various kinds” (Hall, 2010:177). In his studies of the impact of Enterprise Resource Planning (ERP) on work organisation, business process and organisational performance, Hall (2010) found that ERPs enhance the scope, depth and effectiveness of managerial control. He argued that they integrate technical, bureaucratic and normative forms of control by compelling standardised business processes on workers and labour processes (Hall, 2010). As such, ERPs “represent a new control strategy that is fundamentally systemic” (Hall, 2010:174).

Kristal (2013:361) observed how labour’s share within different industries (non-agricultural and manufacturing) has declined overall due to the “erosion in workers’ positional power” partly due to “class-biased technological change”, namely computerisation, which favours employers over most employees. On the other hand, she observed a rise in capitalists’ profits share. She found that workers lose their power to represent their interests. Kristal (2013) identified the indicators of positional power as unionisation, capital concentration (that

is, the consolidation of capital accumulation), import penetration (that is, imports from low-wage countries as a share from the industry's value add) and unemployment in the overall private sector (Kristal, 2013). She argued that a "class-biased technological change" where the focus is on "classes' positional power in the labour process" (Kristal, 2013:369) could explain the inequality dynamics between unions and capital. In her view, computerisation was responsible for supporting class-biased technological change (Kristal, 2013). She argued that "computer-based technologies are not class-neutral but embody essential characteristics that favour capitalists (and high-skilled workers), while eroding most rank-and-file workers' bargaining power" (Kristal, 2013:369). As technology evolves, the sociology of work concepts and analysis can add to public administration concepts to investigate e-government impacts.

### **3. METHODOLOGY**

The methodological practices to investigate e-government are still growing. Many e-government studies use positivist research approaches and quantitative methods which require no face to face engagement (Heeks and Bailur, 2007). Others combine quantitative and qualitative methods (Heeks and Bailur, 2007). This paper extracts evidence generated from a case study approach used to generate different data on the unique experiences of employees in their own contexts. Different case study methods, namely interviews, surveys and observations, were used. The sample of respondents were selected from the Corporate Services directorate using purposive sampling based on the subject's

knowledge and experience, snowballing following referrals and random sampling during site visits. Guided by interpretivist philosophy, the paper describes the socially constructed meanings of what these employees experienced rather than explain their behaviour.

### **4. THE CITY OF CAPE TOWN**

City of Cape Town evolved from an amalgamation of seven autonomous municipalities in 2000. It inherited a number of organisational challenges with the merger. These included a large workforce of about 27 000 employees, lack of internal organisational structure at all levels, an absence of a performance management system, disparate conditions of service, lack of a skills development plan, outdated and inadequate back office systems, different financial systems and databases and a lack of a business model on service delivery (CoCT IDP, 2002/03; CoCT IDP, 2003/04). The City sought to become a "smart city for all the people" (CoCT IDP, 2002/03:20). It planned to use an IT enablement strategy where IT would be aimed at ensuring effective service delivery, customer friendly and citizen orientedness, reduced bureaucracy, reduced transaction costs, cheaper services and improved decision making (CoCT IDP, 2002/03). To enable this, a "Smart City strategy" was developed as the framework to position the City's technological advancements.

At present, City of Cape Town is labelled as one of the most modernised municipalities implementing an IT enabled strategy for service delivery. The main system that is the back-bone of operations is SAP. It compresses about 420 business processes and deals with approximately 1.2 million consol-

dated invoices per month (Saran, 2013). It has been a crucial part of institutional performance management. Electronic human resources and time management systems are part of SAP. As features of the Organisational Development and Transformation Plan, there were great expectations that they would deal with problems such as unaccounted absences and cumbersome recruitment processes. The e-HR deliverables include:

- Productivity – biometric time and attendance system
- Self-service – management and employee self-service
- E-services – external portal for electronic recruitment (Pick, 2011)

In the 2008/2009 financial year, the City prepared to fully implement all SAP HR processes, based on SAP best practice, to improve HR business processes. This would be implemented over a three-year period and provide a management and employee self-service tool (a SAP-ERP functionality) (CoCT IDP, 2008/09). The SAP Manager Self-Service (SAP MSS) web-based tool provides managers with a single access point for information to carry out management tasks such as cost and budget responsibilities and administrative and planning tasks. Information from back-end systems and processes is then accessible to managers. The SAP Employee Self-Service (SAP ESS) allows staff to handle salary related issues, manage business travel and expenses, administer personal information, and access organisation information. The City increased the use of ICTs in its administration. It brought the back-end of departments in line with corporate business pro-

cesses by the corporate information system through automating of business processes. For management, the information systems serve better decision making, encourage a more “customer friendly and citizen-oriented” approach, reduce bureaucracy, bring down transaction costs and provide cheaper services.

Workplace matters, including matters around technological changes, are dealt with at local labour forums (LLFs). These are established under a South African Local Government Bargaining Council agreement (2009). The forums are meant to have equal representation from the trade unions and employer. The trade union representation is divided in proportion to their membership at the municipality. The City has two representative unions, the South African Municipal Workers' Union (SAMWU) and the Independent Municipal and Allied Trade Union (IMATU). The employer representatives consist of councillors and managers. They meet at least once a month to discuss an agenda jointly compiled through consultation with the parties.

## **5. INCREASED MONITORING AND WORKPLACE MISBEHAVIOURS**

For employees at the City, they witnessed enhanced monitoring. In response to a question on how he felt being monitored using the biometric time and attendance system, Employment Equity employee Zethu Dee admitted: “*I used to forget this clocking in and clocking out so I would just walk away*” (Zethu Dees, Professional Officer, 15 July 2013). When he joined the organisation at the beginning of 2012, he did not immediately adhere to the rules on clocking in

and clocking out and ignored the CoCT signs reminding employees to adhere to the system. These notices read 'HELLO. HAVE YOU CLOCKED IN?' (with 'clocked in' in red). They had a picture of three characters (a woman dressed in office clothes, a man dressed in a suit and a man dressed in a work suit and hard hat) with their arms raised and index fingers pointed up. Below the characters read 'STAY IN TOUCH'. These were positioned at all entrances with a biometric scanner as a reminder. As one exited offices, they would be met by 'HAVE YOU CLOCKED OUT?' signs.

Although Zethu Dees reported improvements in his clocking in and clocking out practices, he observed "People, when they want to leave early, they just walk past [the system] and say 'I won't do that' (that is, clock out)" (Zethu Dees, Professional Officer, 15 July 2013). Despite the system being in place, not all members of staff adhered to it. The system could not completely eliminate practices of not abiding to the workplace rules on clocking in and out. Worker misbehaviour was evident.

When questioned on how he felt about further technologies being introduced to monitor work, Zethu Dees responded:

*I guess for purposes of productivity that will be a good initiative ... to make sure people don't just sit there and are really not productive ... Except ... I'm not sure what the [ill] intentions of the managers would actually do to you ... If really it monitors the productivity, maybe to some degree it will assist people to focus on what they are doing (Zethu Dees, Professional Officer, 15 July 2013).*

He was not averse to further technologies

being introduced to monitor work but raised concerns about how managers might use this against workers.

Speaking about her experiences of resistance to the time and attendance system at the workplace, Administrative Officer Lesley Brown stated:

*There is so much resistance and negative attitude from employees because when it comes to behavioural issues, that is where the organisation is lacking. People are being treated like machines, they say, 'you should do this' no matter how you feel about it, just do it. It ignores the emotional part of things ... it's all about the systems (Lesley Brown, Administrative Officer, 9 July 2013).*

She suggested that people were expected to adhere to whatever technologies were introduced without a consideration of how people feel. This neglect of employees' feeling caused there to be resistance and a negative attitude amongst employees.

From a managers' perspective, Senior Manager Wilma Jack emphasised the importance of the time and attendance system to manage her staff movements. She stated:

*If a person has been off, you know. You can see that. Also, in terms of the return of investment, it has assisted the City get back a lot of money because now you cannot just stay away without anybody knowing where you are. Remember, we are managing twenty-eight to thirty thousand employees including non-permanent staff employees in the City ... you can imagine. Before we implemented the clock system [time and attendance system], people*

were just coming and going whenever they want (Wilma Jack, Senior Manager, 17 July 2013).

She spoke of how the time and attendance system helped in managing CoCT human resources budget and a more accurate account of whether people arrive to work. Before the system, it was difficult to manage the movement of employees.

Alice Kruger, a middle manager in Communications, shared how she believed new technologies had depersonalised work. She said: *“People feel threatened. To the City I’m just a number, my salary, my staff number ... It’s almost like you lose your identity”* (Alice Kruger, Middle Manager, 19 July 2013). Further, she stated:

*The whole thing of clocking in with your finger (shakes head). I understand why the City had to do it, but what did we sacrifice in good will? It says you don’t trust me. I, who has been working here for 21 years, why do you want me to clock in every morning and clock out every afternoon?* (Alice Kruger, Middle Manager, 19 July 2013).

She felt that the time and attendance system neglected important aspects of individuals such as their loyalty and trustworthiness. While she understood the reason for the system (to improve public accountability), she seemed to believe that her many years with the CoCT were not considered.

Alice Kruger also reported that the monitoring of manager performance had contributed to a sense of pressure on managers. She believed that there was little room for error for managers; they had to clock in and out as they had to account for their own performance according to the perfor-

mance management system (Alice Kruger, Middle Manager, 19 July 2013). Similarly, Ruth Chile acknowledged that the access of her clocking in and out times information to others on SAP meant she had to adhere to the system, especially because this was included as a measure in the performance management linked to bonuses (Ruth Chile, Senior Manager, 8 July 2013).

## **6. WORKPLACE CONTROL AND COLLECTIVE RESISTANCE LIMITATIONS**

Unions play an important role in protecting worker interests but financial and human resource constraints meant that the unions at the City had not been able to develop their own capacity to pre-emptively respond to G2E technological changes as they took place. They could not mirror structures management had established for itself to be knowledgeable about new technologies, for example, LOGICT. As such, the unions’ capacity to meaningfully negotiate with management over technological changes was limited. Speaking about SAMWU’s capacity to deal with technological changes, shop steward John Dube perceived managers as better positioned to deal with these because they had the means to attend numerous trainings on various new technologies and specifically form committees to deal with the issues. He stated:

*Are we (union leadership) getting the training we should be getting to equip the shop stewards to be able to advise that this is the best piece of equipment and analyse (shakes head). We are not on an equal footing. Deliberately so by the employer ... They only need a shop steward when there’s a crisis they can’t resolve* (John Dube, SAMWU shop steward, 18 July 2013).



In his view, shop stewards were not receiving the level of training they needed to meaningfully contribute to discussions with the employers over technologies. He viewed this as a deliberate tactic by the employer. Unions found their roles confined to manager needs.

Speaking about the internal human capacity challenges unions faced, shop steward Greg Spielberg said:

*I don't see technology play a big role in the union yet. The senior management of the union are still old school, they're more straight for the people, labour relations, unfair treatment of workers and so on. So with the union systems, there are still huge gaps to the union getting involved in technology issues (Greg Spielberg, IMATU shop steward, 8 July 2013).*

He believed that technology played a minor role in union affairs. Technology issues were superseded by condition of service matters such as pay and hours of work. He suggested that the unions had to address its own internal limitations, namely a union leadership that did not seem to take an interest in technology related matters.

Further, Greg Spielberg suggested that the age of the union leadership contributed to the perspectives they held about technologies and therefore the type of action they led when it came to e-government. He stated:

*The IMATU guys, a lot of the older guys, I stand under correction, but a lot of them probably don't have degrees. Technology is not a big deal for them. I still see people typing with one hand and one finger. Age is a factor. People don't understand the in-*

*fluences that technology has on the workplace and people as well (Greg Spielberg, IMATU shop steward, 8 July 2013).*

A man in his 20s, he pointed out that the older more senior union officials were not concerned about technology in the workplace. He attributed this to their level of education and also a lack of understanding of how technology affected the workplace and workers.

Likewise, John Dube pointed to capacity issues in SAMWU to deal with discussions around G2E technologies like SAP. He criticised the union for “not integrating modernisation and taking shop stewards to school” (John Dube, SAMWU shop steward, 18 July 2013). He emphasised:

*These cadres (shop stewards) should also go to the universities ... The unions should take care of their shop stewards and members ... We (CoCT) have an Employment Equity, Education and Training sub-committee to look at levels of qualifications and knowledge systems for our shop stewards to be able to challenge managers with degrees etc. etc. (John Dube, SAMWU shop steward, 18 July 2013).*

He highlighted the importance of improving the qualification levels of shop stewards as well as the knowledge systems the unions had to support these shop stewards. He believed this would greatly assist with the union capacity issues. Already he had observed “internal issues, leadership squabbles, where at meetings it's about positions and privileges” (John Dube, SAMWU shop steward, 18 July 2013). He described the union leadership as having access to “cosy offices” and cautioned that they “should not be mesmerised by this cosiness” and

fail to address the internal difficulties affecting the manner that they tackled the matters affecting their shop stewards and members (John Dube, SAMWU shop steward, 18 July 2013).

Citing an example of his own skills development predicament, John Dube noted how his full-time shop steward status did not guarantee he could return to work for the CoCT. He thought that while the operations of the CoCT had benefitted from his position, he believed that if he wished to return to work for the CoCT this would be difficult. Not only did the nature of the job differ from jobs in Corporate Services departments (where he used to work) but he felt the union position did not provide the kind of skills, especially technology related skills that could enable him to reintegrate into the CoCT. He expressed in dismay:

*If I'm never exposed to training all these years, how do I then come back? I would apply but I'm not current and the employer doesn't recognise the type of work I'm doing* (John Dube, SAMWU shop steward, 18 July 2013).

Already in his 50s, he believed that because of his union position he would not likely be able to return to work for the CoCT. He felt that the skills he had gained from his role were not transferable. SAMWU did not use systems as complex as SAP and it was only when he was at the CoCT offices that he could access the SAP system.

There had been no recent record of protest over e-government developments. In an interview, IMATU shop steward Greg Spielberg observed how the City had introduced a number of new technologies under e-government over the years that

he had been working there. However, he expressed that he did not see the point of some of these changes. When asked about the role the union played in the discussions around these changes, he stated:

*As a shop steward, I don't really think it's our place to fight about technology. We are more labour relations. We give feedback ... Technology is not a priority. There are other issues that are far more important* (Greg Spielberg, IMATU shop steward, 8 July, 2013).

He did not believe that unions were in a position to dispute the technologies being introduced under e-government. Instead, there were other matters that were more of a priority. He identified these as labour relations issues related to conditions of service such as pay and work times.

Echoing John Dube, IMATU shop steward Lenny Boza also pointed to the union's lack of protest against SAP. He stated:

*With regard to SAP, we had no control over it. We had to go with the times. The employer convinced us then we never challenged any introduction of SAP as IMATU* (Lenny Boza, IMATU shop steward, 19 July 2013).

Reflecting on how SAMWU reacted to the introduction of SAP and other technologies, he stated:

*We're challenged. Do we have time to focus on issues where we'd get torn apart over running battles in all directions and therefore not get anything done?* (shakes his head) *We're being challenged at that level* (John Dube, SAMWU shop steward, 18 July 2013).

He revealed that the unions faced chal-

allenges on which issues to focus on as they had numerous matters to deal with. He believed unions risked not making progress if they put their effort into every issue they came across. Further, he observed what he believed was a general trend towards reduced union power. He added:

*The union used to be very powerful, they could demand whatever because they worked as a united front ... This is how the labour politics has turned out in this country; the unions are really under immense pressure and then how do you respond to these situations without being labelled as causing harm to the economy, driving away investors? ... You become the scapegoat for the lack of leadership to meaningfully engage and realise the need for better employment conditions (John Dube, SAMWU shop steward, 18 July 2013).*

He implied that the unions were not as powerful as they used to be. He had attributed this to the technologies and technology policies as well as pointed to what he believed was the nature of labour politics in South Africa where the unions hesitated to respond to membership concerns for fear of being labelled negatively. In addition, he raised concerns about what he felt was a marginalisation of workers and their concerns as a result of what he perceived as reluctance by unions to be confrontational on contemporary workplace matters.

## **7. IMPLICATIONS OF E-GOVERNMENT FOR THE MUNICIPAL WORKPLACE**

### **7.1 Enhanced monitoring and reduced autonomy**

E-government technologies affect different levels of workers in diverse ways and

the increased degree of technological control pervasiveness is becoming evident in the public sector workplace. Organisational misbehaviour may occur as a means for administrative workers affected to resist changes. However, the indirect form of resistance has no collective strength only individual significance as it provides a means to channel a level of dissatisfaction.

Control of the workplace will continue to be a necessity for management. A number of challenges plague South African public sector workplaces, namely maladministration and misuse of funds. Certainly, technologies that monitor workers can alleviate these problems. However, managerial control cannot escalate to a point where interactions become completely impersonal.

Although e-government might not be driven to extend control over the labour process but rather mean public outcomes, the extension of control and related consequences are unavoidable. Extensions of control through technologies will need to occur in a manner that does not increase the risk of professionals leaving the organisation. Already administrative workers have more labour market opportunities because they possess a high level of skill. It would be pertinent at this early stage of e-government that the objectives of control be interrogated to ensure that the strategies followed enable workers to have enough flexibility without compromising public sector outcomes. Management might be able to monitor movements and link these to performance management but as long as it remains a challenge to quantify administrative work, performance management needs to be managed in a manner that will not lead to a major loss of highly skilled

workers who will undoubtedly be replaced by expensive consultants.

## 7.2 Diminishing union inclusivity

Unions have traditionally been viewed as obstructions to public service reforms. A major assumption is that their concerns are on increasing salary packages for workers. Bread and butter issues are a predominant focus not only because of the social and economic positions workers find themselves in but also because the limited capacity to engage in contemporary technology challenges confines them. The rapid pace of technological changes in the workplace means that the unions are not always able to understand the implications of these and their collective power is compromised. Management has the prerogative to introduce technologies but within the public sector workplace, the unions are an important partner for development. The public sector ultimately functions to achieve outcomes that cater to needs and realise rights. Municipalities must function for the public good and unions have to be included in discussions on what this might mean. The inclusion of unions in matters of technological change cannot be allowed to diminish to a point where the union completely finds no space to represent workers.

Management may set the frameworks to manage functions but what is vital is for avenues to meaningfully include unions. This will require union leadership to find the right balance between what have been labelled bread and butter issues and issues of technological change. As technology becomes more integrated in work and governance processes this distinction will need to be relooked at. Technology can no longer be viewed to replace labour. Systems are

doing more than this. For unions to ensure a more just, democratised workplace, they will need to capacitate themselves to engage over e-government matters. Their desire should not only be to be consulted on the introduction of technologies but they should have an on-going independent interest in technologies given the fact that certain levels of workers most affected by the technologies might not always be able to be organised themselves.

## 8. CONCLUSION

E government is introducing a variety of forms of management control. The extent to which the technologies are used to control the workplace varies and is becoming increasingly complex. Despite these expansions of control, workplace resistance cannot be entirely eliminated. This resistance, for different reasons, arguably represents struggles with reduced autonomy and workplace exclusion as opposed to motives to get rid of new technologies. Thus, how e government will change organisational relations and processes in the future is an area for further research.

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# COMPLIANCE TO PROCUREMENT PROCESSES, DEVIANT BEHAVIOUR AND EFFECTS ON SERVICE DELIVERY IN THE PUBLIC SECTOR

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## ABSTRACT

This paper investigates compliance to procurement processes and its effect on service delivery in the public sector. Public procurement non-compliance has triggered a lot of debate in recent years. Due to colossal amount of money involved in government procurement and the fact that such money comes from the public, there is a need for accountability and transparency. In order for government to realise the provisions of section 195 of the Constitution of the Republic of South Africa, 1996 government departments are required to comply with the rules, regulations and prescripts governing procurement of goods and services. For instance, in 2011, five Provincial Departments in Limpopo Province were put under administration in terms of Section 100 (1) (b) of the Constitution of the Republic of South Africa (1996). Procurement was mentioned as one of the weaknesses that contributed to the impasse. According to Smart Procurement (2011), despite the reform processes in public procurement and employment as strategic tool, there are predicaments in South African public procurement practices. This paper is conceptual in nature and it explores the deviant human behaviour in relation to procurement compliance. There are various theories that did an exploration on the deviant behaviour of human beings which is the centre focus of the study. However the paper will focus on social bond theory given the relevancy of their exposition to the study. The paper concludes that only compliance to procurement guidelines will ensure service delivery, in South Africa public services.

## 1. INTRODUCTION

In terms of section 217(1) of the Constitution of the Republic of South Africa (1996) when an organ of state in the national, provincial or local sphere of government, or any other institution identified in national legislation, procure contracts for goods or services, it must do so in accordance with a

system which is fair, equitable, transparent, competitive and cost-effective. Despite the reform processes in public procurement and the introduction of Supply Chain Management (SCM) as a strategic tool for addressing socio-economic imbalances of the apartheid regime, there are predicaments in South African public procurement practices, for example non-compliance

with procurement and SCM related legislation and policies as well as tender irregularities (Smart Procurement, 2011). It is against this background that the aim of this conceptual paper is to investigate compliance with procurement processes and its effect on service delivery in the public sector. This paper will keep the relevance of its discussion to the following, the social bond theory, legislative frameworks governing procurement, pillars of procurement, challenges of compliance to procurement, complex legislative requirements an impact of compliance to procurement.

## 2. THE SOCIAL BOND THEORY

As cited by Defee, Williams, Randall and Thomas (2010), good research should be grounded in theory. There are various theories that did an exploration on the deviant behaviour of human beings. But for the purposes of this conceptual paper focus based on social control theory given the relevancy of its exposition to the study. Social control theory was developed by Travis Hirschi in 1969, and it is also known as the social bond theory. According to Hirschi (1969), social control theory proposes that people's relationships, commitments, values, norms and beliefs encourage them not to break the law. He posits that individuals break the law due to a breakdown within their societal bond and maintain that weak containing social systems results in deviant behaviour. This theory is in line with the exposition of the conceptual paper on the value of exemplification of ethical behaviour as one of the key enhancement strategies to compliance (Dintwa, 2012). Contrary to the social control theory, Tittle (1995) posits that control theories generally focus on the factors that restrain or control

the behaviour of individuals such as societal norms, values and customs, however it does not consider the control exercised by these individuals over their social environment. Reckless (1961) echoes the same sentiments by indicating that the individual is so isolated in contemporary society – so free to move from one context of external control to the other or even to escape from most of it – that internal control is the more basic factor in conformity. Thus advocating for the notion of internalisation which he refers to it as the process by which social norms are taken so deeply into the self as to become a fundamental part of the personality structure (Reckless 1961). Tittle (1995) made an innovative insight that people are not only objects of control but also agents of control. In his social control theory, he postulates that each person has a certain amount of control that he or she is under and a certain amount of control that he or she exerts.

This paper argues that the establishment of different law enforcement agencies, chapter nine institutions, and development of policies and strategies aimed at dealing with corruption alone cannot suffice, there is a great need for officials to regard compliance as necessary. There is a need for individuals to reawaken the internal eye which will make them shying away from deviant behaviour. The theory postulates that if moral codes are internalised and individuals are tied into, and have a stake in their wider community, they will voluntarily limit their propensity to commit deviant acts. This implies that the power of internal means of control, such as one's own conscious, ego, and sensibilities about right and wrong are powerful in mitigating the likelihood that one will deviate from social



norms. According to Hirschi (1969) social bond is much like a dam holding back floodwaters; social bonds keep individuals safe from crime. He argues that if the dam cracks or breaks, then criminal motivations can flood these individuals and no barrier exists to prevent them from offending. The next presents the legislative frameworks governing procurement system and service delivery in South Africa.

### **3. LEGISLATIVE FRAMEWORKS GOVERNING PROCUREMENT SYSTEM IN SOUTH AFRICA**

As advocated by Hanks, Davis and Perera (2008) public procurement operates within a highly legislated environment set by national government and extended to provinces and local government bodies by specific policies, legislation and regulations. This section is limited to acts, legislative and policy frameworks which give guidelines on the compliance to procurement processes and the enhancement of service delivery in South Africa.

#### **3.1. The Constitution of the Republic of South Africa (1996)**

Under the constitutional supremacy, the Constitution of the Republic of South Africa, (1996) is the bedrock for compliance with regard procurement of goods and services and a yardstick through which service delivery can be measured. Section 195 (1) of the Constitution of the Republic of South Africa (1996) spells out democratic values and principles governing public administration. The public service as an instrument of governance as contemplated in section 217(1) of the Constitution of the Republic of South Africa, 1996 provides for the basis of procurement and determines that “when an organ of state in the national,

provincial or local sphere of government, or any other institution identified in national legislation, procure contracts for goods or services, it must do so in accordance with a system which is fair, equitable, transparent, competitive and cost-effective” (Van Gruenen and Van Niekert, 2010). Therefore any procurement action in public sector will be measured against this constitutional imperative, failure to satisfy the requirement will constitute non-compliance to procurement processes, policies and procedures, thus undermining the constitution itself.

#### **3.2. Public Finance Management Act No 1 of (1999)**

The Public Finance Management Act, No 1 of (1999) governs financial management practices in South Africa and establishes a regulatory framework for Supply Chain Management within national, provincial and state owned enterprises. According to Purera and Turley (2014), this act makes provision for the use of procurement as a policy tool, and following the aforementioned five pillars contemplated in section 217 of the Constitution of the Republic of South Africa, 1996. According to Zitha and Mathebula (2015) adherence to this Act by procurement officials will see government procuring goods and services at market related prices, thus optimising the quality of public service delivery.

#### **3.3. Preferential Procurement Policy Framework Act, No 5 of (2000)**

Parliament approved the Preferential Procurement Policy Framework Act No.5 of 2000 and its revised regulations to adhere

to the requirements of the Constitution of the Republic of South Africa, 1996. This act gives effect to the government priority of empowering designated categories of persons through preferential treatment in procurement activities.

### **3.4. Preferential Procurement Regulations (2011)**

Part 2 (3) (a-b) of the Preferential Regulations, 2011 states that “an organ of state must, prior making an invitation of tenders, properly plan for, and as far as possible, accurately estimate the costs of the provision of services, works or goods for which an invitation of tenders is to be made and; determine and stipulate the appropriate preference point system to be utilised in the evaluation and adjudication of tenders”. In putting these regulations into effect, departments are required to have procurement plan which must be approved by the accounting officer. The procurement plan if used appropriately can be the masterpiece for planning within the procurement environment.

### **3.5. Construction Industry Development Board (2003)**

The Construction Industry Development Board Act (CIDB) (Act 38 of 2003) provide for the establishment of the Construction Industry Development Board; to implement an integrated strategy for the reconstruction, growth and development of the construction industry. Compliance to this Act will see government contracting companies that have requisite skills and capability to execute construction projects thus enhancing the delivery of sustainable quality

services.

### **3.6. Private Security Industry Regulation Act (2000)**

Bidders in the security industry have to comply with Private Security Industry Regulation Act (PSIRA) (Act No.56 of 2001). The Act regulates the Private Security Industry and to exercise effective control over the practice of the occupation of security service providers in the public and national interest and that of the Private Security Industry itself. This minimises the undesirable consequences of appointing security companies without minimum requirements prescribed by PSIRA Act resulting in security companies failing to protect government property.

### **3.7. Promotion of Administrative Justice Act, 2000**

The Promotion of Administrative Justice Act (PAJA) (Act 3 of 2000) gives effect to the right to administrative action that is lawful, reasonable and procedurally fair and to the right to written reasons for administrative action as contemplated in section 33 of the Constitution of the Republic of South Africa, 1996. Through this Act, the disqualification of bidders and the passing over of bids (not awarding the bid to the bidder who scored the highest bidder) can only be done if such decision is fair, reasonable, justifiable and can stand the test of time if tested before the courts of law. Although it has often prolongs the timelines for finalising bids, however it does protect the state against possible litigations which might arise out of error in judgement as well focus much on administrative compliance and compromise substance. Failure to comply with this act results in litigations that often

comes at a hefty cost at the expense of service delivery.

#### **4. POLICY FRAMEWORK FOR ENHANCING SERVICE DELIVERY**

As echoed by Nzimakwe and Mpehle (2012), the South African government has committed itself to service delivery through the enactment of various legislative frameworks and the creation of an enabling environment for service delivery. According to Maluka, Diale and Moeti (2014) the most significant policies in this regard are the White Paper on the Transformation of the Public Service (1995), the Public Service Regulations (2001) and the White Paper on Transforming Public Service Delivery (1997).

##### **4.1 The White Paper on the Transformation of the Public Service (1995)**

The White Paper on the Transformation of the Public Service enacted in 1995, had as purpose the establishment of a policy framework to guide the introduction and implementation of new policies and legislation aimed at transforming the South African public service (Nzimakwe and Mpehle, 2012).

##### **4.2 The White Paper on Transforming Public Service Delivery, 1997**

The White Paper on Transforming Public Service Delivery, 1997 was introduced with the aim of transforming the overall public service institution and service delivery (Maluka, Diale and Moeti, 2014). On the other hand, Nzimakwe and Mpehle (2012) regard the White Paper on Transforming Public Service Delivery, 1997 (*Batho Pele*) as a policy framework that would revolutionise public

service delivery in South Africa was seen as an instrument that will bring about efficiency and effectiveness in the provisioning of services. According to Nengwekhulu (2009) the introduction of public service delivery policy was a response to high expectations which accompanied the emergence of a democratic South Africa. According to the Department of Public Service and Administration (1997), the White Paper on Transforming Public Service Delivery, 1997 introduced eight principles which became the compass in terms of which success or failure of public service delivery is assessed. The eight *Batho Pele* principles to be complied with aimed at promoting people first, set the framework for the type of service quality that citizens can expect. These principles include consultation, value for money, redress, the development of service standards, access to information, openness and transparency, as well as courtesy.

##### **4.3 The Public Service Regulations (2001)**

Furthermore, section two of the Public Service Regulations (2001) includes the code of conduct, which issues guidelines for the conduct of public officials' relationship with the legislature and the executive, the public and another employees, as well as performance of their official duties and the conduct of their private interests. The code of conduct prohibits an employee from using his or her official position to obtain gifts and benefits for herself or himself during the performance of his/her official duties. Section three of the Public Service Regulations (2001) requires senior managers (equivalent of a director) in the public service to declare their personal financial interests in private or public companies, directorships and partnerships, ownership in land

and property, gifts and hospitality received (Public Service Commission, 2013). Without compliance to this act, officials will see their private interests overtaking their interest to serve the public which puts service delivery in jeopardy.

## 5. PILLARS OF PUBLIC SECTOR PROCUREMENT

According to Ambe and Badenhorst-Weiss (2012), the pillars of public sector procurement forms the base for compliance to procurement processes by procurement officials. According to the General Procurement Guidelines issued by National Treasury public sector procurement thrives on five pillars, namely; value for money, openness and transparency, ethics and fair dealings, accountability and reporting, and equity (National Treasury, 2005). It is important to highlight that they are viewed as pillars because collapsing one of them means that the procurement system will fail which introduces range of procurement ills with multiplier effect on service delivery.

- **Value for money:** Procuring without ensuring that government receives good quality services for the amount spent cripples service delivery. Forsaking this principle will result in government procuring services at exorbitant prices which such funds could have been used enhance service delivery in other needy areas. In this regard best value for money is the best available outcome when all relevant costs and benefits over procurement cycle are considered.
- **Open and effective competition:** Asner (2006:7) advances that fair and open competition is the cornerstone of gov-

ernment procurement process since it gives each bidder an equal chance of obtaining government business. Therefore this principle must be incorporated into the procurement process of government departments since procurement thrives on real competition. Therefore, compromising this pillar compromises the quality of services that must be rendered to the citizenry of South Africa.

- **Ethics and fair dealings:** Procurement officials are required to recognise and deal with conflicts of interest or potential thereof, ensure that they do not compromise the standing of the state through acceptance of gifts of hospitality. According to Munzhedzi (2016), acceptance of gifts and hospitality compromises the good standing of the state, thus suffocating the ethical cord and throws fair dealings off the window. Ignoring the value of this principle will see bids awarded to cronies, families and friends which compromise the quality of services.
- **Accountability and reporting:** According to the General Procurement Guidelines issued by National Treasury (2005) accountability and reporting involves ensuring that individuals and organisations are answerable for their plans, actions and outcomes. It provides accountability chain in terms of reporting, thus stipulating that openness and transparency in administration, by external scrutiny through public reporting is an essential element of accountability. Accounting Officers takes overall accountability for procurement decisions and should ensure that decisions made are justifiable and in the best interests of the organisa-

tion (Muchainyerwa, 2013).

- **Equity:** The word equity within the context of public sector procurement guidelines means the application and observance of government policies which are designed to advance persons or categories of persons disadvantaged by unfair discrimination. The Preferential Procurement Policy Framework Act, (Act 5 of 2000) has been enacted to legitimise giving preference to designated groups of people in an intention to address equity in the country. According to Muchainyerwa (2013), as far as possible procurement decisions should be based on an objective evaluation of all bids in terms of the set criteria. Failing to adhere to the principle of equity disables government from achieving its objective of distributing the wealth of the country equitably which impacts on service delivery.

## **6. COMMON CHALLENGES ON COMPLIANCE TO PROCUREMENT PROCESSES BY PROCUREMENT OFFICIALS**

According to Langseth (2000) common challenges on compliance to procurement processes by procurement officials manifest itself in various forms, however this paper will unpack the hub of compliance challenges that procurement officials are experiencing whilst executing their daily responsibilities which have an impact or effect on service delivery.

### **6.1. Conflict of interest**

Conflict of interest is at the centre of non-compliance to procurement processes which has an adverse effect on service delivery. According to Grundstein-Amndo

(2001) and Kanyane (2005) conflict of interest occurs when personal interest comes into conflict with an obligation to serve the interest of the public. According to Reed (2008) conflict of interest must be properly understood as a situation and not an action, and he argues that a public official may find him or herself in a conflict of interest situation without behaving corruptly. However, such conduct constitutes an abuse of public office for private advantage and may hold a potential for non-compliance with procurement regulations, which affect the delivery of quality services to the people.

### **6.2. Lack of procurement officials with requisite skills**

Van Zyl (2006) noted that non-compliance to procurement processes and procedure is attributable to lack of requisite skills, capacity and knowledge of the workforce to be able to fully implement procurement function across various spheres of government. Compliance with procurement processes requires a degree of knowledge base with regard to procurement processes. This can be linked to the accretion by Eyaa and Oluka (2011) that non-compliance with procurement processes is attributable to three variables which are professionalism, familiarity with procurement regulations and institutional factors. They argue that in the absence of the procurement professional having a sound knowledge of procurement indicators, there is likelihood of non-compliance with procurement regulations and rules of any organisation.

### **6.3. Lack of proper procurement planning**

The outcomes of the evaluation by the Public Service Commission (2009) reveals

that there is lack of proper planning by programme managers and procurement officials whereby they neglect demand management roles and responsibilities. The above give rise to range of shortcomings with negative impact on service delivery. Procurement plans remains a critical tool to enhance planning, however it is quite often used for malicious compliance (compliance for the sake meeting the set timelines) by departments.

#### **6.4. Cancellation of bids**

According to Limpopo Provincial Treasury, Practice Note No. SCM 8 of 2006, the trend of cancelling bids prior to the award, due to poor planning defeats government's objective of ensuring that the procurement process is done in a cost-effective manner. Cancelling and re-advertising of bids comes at a cost of which such funds were supposed to have been used to fastrack service delivery.

#### **6.5. Not having a credible supplier database**

National Treasury Practice Note No 08 of 2007/2008 issued in terms of section 76 (4) (c) of the Public Finance Management Act, 1999 prescribes that Accounting Officers/Authorities should compile a list of prospective suppliers to be used for the procurement of goods, works and services in line with the procurement thresholds. It further prescribes that once such a list has been compiled, price quotations should only be invited there from. The absence of an electronic database gives officials an opportunity to rotate their preferred service providers without the necessary capacity to execute for personal gains which has the potential to affect the quality of services.

It is the view of the researcher that the introduction of Central Supplier Database (CSD) by National Treasury will go a long way in addressing the above anomalies.

#### **6.6. Complex legislative requirements**

Furthermore, complex legislative requirements that public procurement process is subjected to also contribute to non-compliance. According to Gelderman, Ghijsen and Brugman (2006) public purchasers will comply with rules they perceive as clear. The contradictive nature of frameworks governing procurement processes contributes to the impasse. This implies that tenderers must comply with all the conditions, failure which results in the invalidation of their offers. On the other hand section 33 of the Constitution of the Republic of South Africa, 1996 i.e. the Promotion of Administrative Justice Act (PAJA) holds that the solicitation, evaluation of public tenders amount to administrative action. The act introduces a concept of form and substance in the evaluation and adjudication of public tenders. Making such a judgement call requires massive interpretation which could be subjective in nature. To date, this has been at a centre stage of inconsistency with the procurement processes resulting in litigations which cost government millions.

#### **6.7. Deviating from procurement process without valid reasons**

Amongst other compliance challenges within the procurement environment includes not inviting three quotations, deviations from competitive bidding without valid reasons, not requiring of tax clearance certificate, preference points system not applied, awarding contracts to suppliers who did not score the highest points and

non-existence of a prospective suppliers' lists (Auditor-General, 2011). Matthee (2006) re-affirms the report by the Auditor General by indicating that in some cases the validity periods of bids are unduly extended, there are inadequate controls and procedures in the handling of bids, drafting of ambiguous specifications. This becomes a fertile ground for corruption and has adverse effect of service delivery.

### **6.8. Failure to verify recommended bidders before award**

It is a requirement that before any final award is made, departments must subject the recommendable bidder(s) to a verification process with the South African Revenue Services, Company Intellectual Property Commission, PERSAL, National Treasury register for non-performing service providers and the National Treasury register for restricted service providers (Kwazulu-Natal Provincial Treasury: 2010). National Treasury Instruction No.3 of 2014/15 with regard to tax compliance for persons conducting business with the state indicates that fighting with supply chain management related corruption and ensure that persons who conduct business with the state are afforded no scope of abusing the supply chain management process. However compliance with the above requirements remains a critical challenge with adverse effects on service delivery.

### **6.9. Lack of institutional support**

Obanda (2010) indicates that low levels of institutional support have a detrimental effect on compliance with procurement processes. Strong support institutional support is needed by procurement personnel in order to promote integrity, monitor the

public procurement process and apply law appropriately towards the compliance of public procurement (Migosi, Ombuki, Ombuki and Evusa, 2012).

## **7. IMPACT OF COMPLIANCE TO PROCUREMENT PROCESSES ON SERVICE DELIVERY**

Given the above discussion, this conceptual paper deduces that the impact of compliance to procurement has multiplier effect on service delivery and it manifests itself in various shapes and forms. The impact of non-compliance to procurement processes is discussed below:

### **7.1. Undermining constitutional democracy and the rule of law**

As advocated by Pillay (2004) on the impact of corruption on service delivery, failure to comply with procurement processes erode accountability, undermines the rule of law and constitutional democracy, degrade governance, dent public trust in the state's credibility and threatens ethics of government.

### **7.2. Violent service delivery protests**

According to Deloitte Tohmatsu (2003) non-compliance to procurement processes contains an element of inefficiency as that it has direct financial loss and the lost time spent to rectify such inefficiencies. Moreover, the resources that the organisation could be using for achieving its objectives are diverted to the areas they were not initially intended for.

### **7.3. Poor quality service delivery**

According to Ambe and Badenhorst-Weiss (2012) non-compliance to procurement processes have a bearing on poor quality service delivery in that they will be focus-

sing on how much goes into their pockets rather than the quality of service that must be rendered to the community.

#### **7.4. Waste tax payers' money**

As indicated by Mahlaba (2004) and Munzhedzi (2013) with regard to the impact that corruption has on service delivery, it is the researcher's view that non-compliance to procurement processes cost South Africans tax payers hundreds of millions of rands each year. The assertion by Smart Procurement (2011) that in 2010 South African government spent R26.4 billion in ways contravening laws and regulation, and the fact that a large sum of government money ends up in corrupt activities often the procurement process becomes a clear evidence that non-compliance thrives, tax payers money is at jeopardy.

#### **7.5. Contribute to the growing scourge of unemployment and poverty**

Purera and Turley (2014) opine that with government procurement representing 19 per cent of the Gross Domestic Product (GDP), it has a significant potential to be leveraged to address South Africa's social, economic and environmental challenges. It is in the same assertion whereby the researcher deduces that non-compliance with procurement processes contribute in the growing disparities between the rich and the growing scourge of poverty and unemployment in South Africa.

#### **7.6. Destroys state's machinery for service delivery**

Munzhedzi (2015) argues that if the link between public sector procurement and corruption is not adequately addressed, then the challenge will destroy the state's service

delivery ability because it makes a huge dent in the public purse. As advocated by Munzhedzi (2015), the researcher is of the view that non-compliance to procurement processes paralyses the state's machinery for delivering services to the people.

### **8. STRATEGIES FOR ENHANCING COMPLIANCE TO PROCUREMENT PROCESSES**

The discussion hereunder focuses on strategies to be employed by government departments in order to enhance compliance to procurement processes. It is the writers's view that if the strategies can be implemented it can contribute greatly in enhancing compliance to procurement processes thus impacting positively on service delivery.

#### **8.1. Institutional mechanisms for enhancing compliance to procurement processes**

There are various mechanisms introduced by government to enhance compliance to procurement processes. These include the Public Protector, the Auditor-General, Public Service Commission. These institutions are established in terms of chapter nine of the Constitution of the Republic of South Africa, 1996. They are regarded as watchdogs which keep government in checks and transform the society, thus safe guarding our constitutional democracy. According to Naidoo (2012:667) these institutions are charged with ensuring that not only procurement officials, but public service in its entirety should conduct itself in line with the values and principles enshrined in the Constitution of the Republic of South Africa, 1996 and thus geared to promoting good governance.



## **8.2. Criminalising political interference**

As advocated by Schapper, Malta and Gilbert (2006) public procurement is considered an inherently a political sensitive activity. The research does not ignore the relationship that exists between politics and administration, however exposes the impact that such relationship poses to the attainment of the objectives of hard fought democracy. The usage of political power and public office by both ministers and political parties to receive clandestine payments in government procurement ultimately interferes with the procurement process and thus constraint compliance thereof. The introduction of the concept "political mandate" in the public procurement circles has not gone unnoticed. Political mandate is concept used when procurement officials are given a list of companies that they must "take care of" during the evaluation and award of tenders. It is against this background that this paper proposes that government must criminalise political interference. Therefore, without criminalising this menace, the attainment of quality service delivery will yet be another boardroom phenomenon that will not be achievable.

## **8.3. Training and capacity building**

According to Munzhedzi (2013) public sector procurement is associated with lack of proper knowledge, skills and capacity. The training and capacity building programmes must address the core issues in procurement environment that has a negative impact on non-compliance such as planning, legislative framework, conflict of interest, as well as the impact of procurement decisions (taken during evaluation and adjudication of bids) on service de-

livery. Such programmes must also include political office bearers so that they are able have a clear understanding on the impact of their political pronouncements.

## **8.4. Enforcement and visible sanctions**

Enforcement and visible sanctions calls for a decisive action that requires regulators to put in place measures to ensure compliance with procurement processes. Such measures will ensure that the wound of non-compliance to procurement process does not become cancerous and pollute the whole public service delivery machinery. Zubic and Sims argue that enforcement action and increased penalties lead to greater levels of compliance. It is the researcher's view that officials who are not complying with procurement processes must be named, shamed and punished.

## **8.5. Exemplary leadership**

According to Mafunisa (2008), one of the powerful tools for enhancing compliance is the exemplification of ethical behaviour by senior public employees. He further asserts that if unethical practices exist at the top of the hierarchy, they are likely to penetrate the entire public service. Therefore, expecting compliance from procurement officials will remain a dream.

## **8.6. Integration of risk management into procurement processes**

Risk management is another area that has a bearing on non-compliance with regard to procurement process. The findings by Ambe and Badenhorst-Weiss (2012) reveal that there is a lack of internal control environment and the implementation of risk mitigation procedures in procurement. According to Smart Procurement (2011) the

lack of internal control environment builds a fertile ground for corruption to thrive within government departments which impeded effective implementation of procurement function thus impacting on service delivery.

### 8.7. Remuneration of procurement officials

Mafunisa (2002) and Klitgard (1997) are of the opinion that economic factors can prompt non-compliance to procurement, whilst Klitgard (1997) and Clapper, De Jager and Fourie (2002:30) further postulate that the less a public official is paid, the more likely such an official is susceptible to deviant behaviour in an attempt to supplement his/her salary, thus constitutes non-compliance with procurement processes. The aforesaid suggest that fair remuneration and recognition of the responsibilities assigned to procurement officials plays an important role in enhancing compliance to procurement processes.

### 8.8 Customised Code of conduct and policy guidelines

Mafunisa (2008) advocate for the importance of code of conduct, therefore it is important for government departments to have clear procurement policy, guidelines and code of conduct. Policies are important in any organisation as they provide principles and procedures or guidelines that should be followed when carrying out assigned responsibilities. Therefore, the writers is of the view that the process of developing procurement policies, procedures and code of conduct should not supposed to be a top-down process but rather engage all officials who will be key in the implementation thereof. This approach will instil an element of ownership of the documents developed to enhance compliance

to procurement processes.

## 9. CONCLUSION

Compliance with procurement processes remains a critical achievement through which government can achieve quality sustainable service delivery to its citizenry. Literature revealed that although government made strides in terms of introducing legislative frameworks for enhancing compliance to procurement processes and also enhancing service delivery, it is however important to indicate that there is still a lot that needs to be done to translate what is on the paper into actions.

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# POWER RELATIONS AND THE PARADOX OF COMMUNITY PARTICIPATION AMONG THE SAN IN KHWEE AND SEHUNONG

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## **ABSTRACT**

*The discourse of community participation has been popularised by both Government and Non-Governmental Organisations as a 'technical fix' to most community development problems. As such, participation is seen as a necessary condition for empowering grassroots communities such as the San in Botswana. However, despite this claims of empowerment, most often than not, the empowerment fostered under the rubrics of participatory development seems to be perpetuating the very disempowerment it seeks to combat among the San communities of Khwee and Sehunong. This paper seeks to explore how notions of power and power relations influence how the San perceive themselves in the social fabric, which in turn influences their perceived participation and conceptualisation of empowerment as embedded in the discourse of community participation. The data is from a qualitative multiple-case study using semi-structured interviews and focus groups. The findings suggested that since the San are considered to be socially inferior, they are not only left out of decision making and need to be integrated but most importantly, they are disadvantaged by the various institutional and relational structures which only serve the facilitation of selective empowerment.*

**Keywords:** Community participation, Khwee, Non-Governmental Organisations, participatory development, Technical fix

## **1. INTRODUCTION**

Community participation has become a buzzword in the field of development as it promises to make people at the grassroots central to development processes. It is believed that, with participation, there is likely to be more success of development projects as communities will feel ownership and commitment towards the projects. However, even though community participation is seen as a panacea to most develop-

ment problems at grassroots level, its ability to dismantle hegemonic structures that condone unequal power relations among the San and Tswana speaking groups has been less examined. As observed by Cobinah (2011), power and power relations are among some of the issues that control and shape participatory practice. The dynamics of power relations that shape inclusiveness and exclusion in the participatory spaces for the San is critical for understand-

ing how the participants are perceived and how they perceive themselves in the whole process.

This paper seeks to explore how hegemonic structures and relations influence the San's perception of themselves, participation and empowerment as embedded within the discourse of community participation. The rationale to focus on power relations in this paper is informed by the subordinate-dominant ethnic relations existing between the San and the Tswana speaking groups. Power in this instance is understood in relational terms, as a relationship between groups and individuals rather than an attribute- it is power over others (Mosse, 2007:7). In its relational sense, power is a scarce resource which groups compete in zero-sum games. It is on this basis that participation is explored in relation to power, particularly the connection between power, voice/silence and ethnicity as well as the structural forces at play (Parpart, 2004:177).

Critical social theory has been used to provide a theoretical framework for this paper. This theory argues that social relations are power relations. Hence, the extent to which an individual or community can influence a development process depends on the power the individual or community has (Cobinah, 2011).

## **2. WHO ARE THE SAN AND THEIR POSITION WITHIN BOTSWANA SOCIETY?**

According to the historical accounts, the San were the first people to inhabit what is now called Botswana (Wagner, 2006). While they are generally considered as an indigenous group, the official position

of the Government of Botswana is that no group is more indigenous than others; all Batswana are indigenous except for those who are Batswana by naturalisation (Government of Botswana, 1993:29). The government defended this position by claiming that giving the San an indigenous status will bring divisiveness in the society as this may give rise to negative even racist reactions from other segments of the society (Saugestad, 2001). This position has been contested as others believe that denying the San an indigenous status does not do them any good, but increases social inequality issues. According to, Ditshwanelo (2006) for instance, denying the San their indigenous rights and emphasising on 'formal equality' which is based on seeing everyone in the same form and treating people equally does not make people equal in terms of results. The fact that the San are treated just like everybody else is the very reason they are being ridiculed because they are neglected, thus poor and oppressed (Molosi, 2015). According to Saugestad (2001), in as far as development debates ignore the history of the indigenous people, development will always side-line them and marginalise them even further.

History records that by the time when the Tswana speaking groups began to inhabit the same area as the San in the eighteenth and nineteenth centuries, the San were made to live in the periphery as serfs (*malata*), while rising Tswana speaking groups gained wealth and power (Mompoti & Prinsen, 2000). According to Chawawa (2015) the relationship between the serfs and the masters provided the masters with exclusive rights to use the serfs for any form of service they deemed fit. As a result, as the masters used the serfs to accu-

mulate property, the serfs (San) remained poor and marginalised. The relations of inequality between the Tswana speaking groups and the San can be evidenced by the complex unequally perceived statuses of different ethnic groups, where some are regarded as 'inferior' and others 'superior' (Datta & Murray, 1989).

### **3. THE CONCEPT OF COMMUNITY PARTICIPATION**

Participation simply refers to the engagement and involvement of people at the grassroots level in decision making processes. Penderis (2013) distinguishes between participation as a means to achieve the objectives of development, as opposed to participation as an end which stresses empowerment and transformation to capacitate beneficiary groups in the development process. Participation as an end is of great interest to this paper as it lays the empowerment nature of the concept.

Participation according to Hickey and Mohan (2004) should ensure the transformation of development practice by closing the gaps that have been causing social exclusion of the excluded groups. The form of inclusion through the participation discourse is not a straightforward thing. For some, it simply means involving beneficiaries in the planning and implementation process through selective engagement while for those aligned with the 'NGO view', participation is just a moral imperative which is a precondition for funding (Green, 2000). According to World Bank (1994: 6) participation is a process through which stake-holders influence and share control over development initiatives, deci-

sions and resources that affect their lives.

Even though the concept of community participation promises some degree of beneficiary involvement in project planning and implementation, it is fraught with vagueness in its definition, and ambiguities in its interpretation. Cobbinah (2011:53) has observed that sometimes participation is confused with just representation whereby community members are just invited to meetings where they are meant to witness development decision making taking place. According to Molosi (2015) participation at times comes in the form of consultation where communities are informed of the decisions already taken and their position sought. This form of participation is problematic because it lacks the power to ensure that the community's position is taken on board should they challenge decisions already taken. Mohan (2002) cautions that participation as consultation and information sharing is only used by the dominant to maintain the status quo and retain their privileges as they only allow the 'have nots' to be heard with no power to change anything.

In explaining different forms of participation, Arnstein (1969) noted that the concept of participation takes different shades which differ in terms of where power and control lies. Power and control in participation practice implies that the greater the bargaining power the better the opportunity for a group's voice to matter in the development process (Cobbinah, 2011). According to Arnstein, participation can be understood in terms of a typology that ranges from citizen control (where communities actively make decisions) to merely consultation which is tokenistic.



Participation takes place in a variety of spaces that are created by different people for different reasons. As suggested by Gaventa & Valderrama (1999), community participation is about power and how it is exercised by different social actors in the spaces created for interactions between the community members and development facilitators. As such, these spaces are not just 'there' and neutral, but are dynamic social products humanly constructed means of control and domination (Lefebvre, 1991). Foucault (1977) also draws our attention to the fact that spaces are not homogeneous and empty, but are sites of social relations. In this regard, spaces are defined by those who are invited into them, as well as those who are doing the invitation. As such participatory spaces reflect power differentials which determine the shape participation can take at a particular point in time.

According to Cornwall (2002), participatory spaces can be organic/ created or invited. Gaventa (2004) informs us that 'invited' participatory spaces are designed and enforced by external forces and the beneficiaries are invited to participate. The challenge with the 'invited' spaces of participation is that although it's a common form of participation, the dominant are still situated within a position of privilege as 'conveners' of participation. As such, as the 'invited', you will have to play by the rules created by the 'convenor', which can be disempowering (Cornwall, 2008). The 'convenor' will have the latitude to shape the boundaries of what is possible and which interests can be pursued. The 'created' spaces of participation are those claimed and constituted by citizen groups. These spaces are formed by the less powerful to challenge the more dominant or to

raise common concerns that are not being adequately addressed by authoritative figures (Penderis, 2013:116).

#### **4. THE PARADOX OF PARTICIPATION AND EMPOWERMENT**

For the rights-based approach, the right to participate is a basic citizenship right which helps to protect and guarantee all other political, social, economic and cultural rights through an empowered agency of citizens (Gaventa, 2004). From this viewpoint, participation has progressed from just a simple invitation offered to beneficiaries of development to a right (Gaventa & Cornwall, 2001). As such, the proponents of participatory development sell community participation as a very critical component of successful community development initiatives because it gives 'voice' to the communities. It is this 'voice' that leads to greater consciousness of abilities and possibilities of making a difference (Budiriwanto, 2007).

As observed by Green (2000), much of the literature on community participation and the kinds of programmes it legitimates, rests on a particular philosophical construction of participation as leading to the empowerment of communities in the grassroots. However, even though empowerment is the main basis for community participation (Green, 2000), the capacity of participatory development to bring about empowerment to people in the grassroots is in question, firstly because there is no detailed empirical evidence indicating that indeed participation has brought empowerment to rural people (Cleaver, 2001). Empowerment in this instance refers to the capability to influence social spheres and question the status quo (Freire, 1972). Secondly, power

relations that stem from ethnicity are rarely a focus of attention in the participatory development literature. Gaventa (2004) cautions that if power relations are ignored, participation evolves as underhanded disempowerment because in many development programmes thought to be participatory, they are only participatory when the ideas of the oppressed are aligned to those of the oppressors. In fact, Cleaver (2001:36) asks the proponents of participation to be careful of entrenched beliefs that participation is essentially good and that its practice ensures success and issues of power and politics must be 'avoided as divisive and obstructive'. A further analysis by Mwanzia and Strathdee (2010:4) has illuminated that one of the challenges with participatory development is that power is frequently delusional and conceals the extent to which participatory processes are manipulative and marginalising rather than liberating to disadvantaged people.

In this context, empowerment should be understood as the basis for agency and resource bargaining in the communities. Agency is the ability to define one's goals and act upon them or a process by which choices are made and put into effect (Budiriwanto, 2007:7). Drawing from Freirean philosophy, people should be able to question the status quo and recreate their reality through conscientisation. Freire argues that the proper objective of participation is to ensure the 'transformation' of existing development practice and, more radically, of social relations, institutional practices and capacity gaps which cause social exclusion. In this context, participatory development is directly intended to challenge existing power relations, rather than simply working around the power with more tech-

nically efficient service delivery (Hickey & Mohan, 2004:168-169).

Both agency and resources form the people's capabilities to live the lives they want. Resources are not simply distributed based on dire need, but distribution is located on various institutions and relationships of power (Budiriwanto, 2007). Resources in this context refer not only to material resources, but also human and social resources that help to exercise choice. As alluded by Kabeer (2005), the way in which resources are distributed is influenced by the ability to define priorities and enforce claims which is based on social power. Equally important here is the people's perception of themselves in as far as bargaining of resources is concerned. The way people perceive themselves may influence what they say, how they say it and whether they are heard. As explained by Budiriwanto (2007:8) empowerment begins from within, it is rooted in how people see themselves, their sense of self-worth.

## 5. METHODOLOGY

This paper draws from a more comprehensive qualitative study undertaken among the San in Khwee and Sehunong settlements. Qualitative research approach was used as it is considered to be more faithful to the social world as it allows data to emerge more freely from context (Gergen & Gergen, 2000). Semi-structured interviews and focus group discussions were used to collect data. The use of these two data collection methods were considered to compensate for each method's individual limitations and strengthen their advantages as well (Shenton, 2004). Participants

were selected through purposive sampling and snowball sampling techniques. A total of 36 participants were selected for in-depth interviews. In-depth interviews were categorised into three cohorts. The first cohort was made up of 12 San people from each research site (Khwee and Sehunong) who are the recipients of a poverty alleviation programme known as the Remote Area Development Programme (RADP). The other groups of participants were village leaders and government community development workers. The village leaders group consisted of councilors, chiefs and members of the Village Development Committee (VDC). There were eight participants in this group. The other group – government community development workers (GCDWs) – consisted of four participants who were mainly extension workers in education and social and community welfare. It is important to note that in all the settlements, both community development workers and the councillors were from Tswana speaking groups, thus non-San.

For focus groups, participants were chosen from among the RADP recipients group and the VDC. People chosen from these groups were later joined by eight people from a category for the purpose of this study was termed the Village Mobilising Group. This group consisted of leaders of active groups in the village such as the Parents Teachers Association, Community Home Based Care and Out of School Youth Group.

Nvivo software was used in the data analysis process. The data analysis followed the grounded theory data analysis procedures.

## 6. FINDINGS AND DISCUSSIONS

### 6.1 The meaning of participation

It is evident from the findings that participation is seen as a necessity in facilitating successful development projects and programs. Most participants of this study emphasised that participation is important in any development intervention because it gives the community a voice to be in charge of their development processes.

However, even though there is common acknowledgement of the empowerment ability of participation, this was understood in two different ways. The different ways in which participation was understood depicted two different levels of decision making power and control. Participation was understood as consultation and as decision making power. Both the interpretations of participation imply different power levels which have been explained by Ainstein's ladder of participation.

Participation as consultation was mainly popular among those participants with education levels lower than the Botswana Government Certificate of Secondary Education (BGCSE). This group conceived participation in terms of different shades of tokenism which represents a top-down development approach. They indicated that they are actively involved in the development processes because they are informed about decisions made concerning their settlements as indicated in the following excerpt,

We are actively involved in the RADP decision making. Whatever they plan to do, they inform us. There is nothing that is done without being informed and consulted.

Even for projects, they tell us about them and we choose amongst what they offer (BNS3).

This group equated consultation with decision making power, when they were in fact only perceived as clients and consumers rather than equal partners in the development process. Paradath (2006) reminds us that the only meaningful participation entails decision-making partnership, which does not only enhance development practice but also contribute to deepening the democratic process. Viewing participation in terms of consultation by some of the participants may be reiterating the confusion that surrounds the definition of the concept of participation which is usually associated with any form of involvement offered to beneficiaries of development projects (Cobinah, 2011). This view of participation is problematic for many reasons.

Firstly, this view of participation shows how the concept can be used to perpetuate the very disempowerment it seeks to combat. Despite its claims of empowerment, its interventions are premised on a denial of the poor's capacity to bring about changes for themselves, by themselves, there is always development agency institutional structures involved (Green, 2000:67-68). As indicated in the findings, when superordinate groups are involved, practices that only reflect false sense of power or control may be confused with control and decision making. Following from this, Gaventa (2004) cautioned that in many development programmes thought to be participatory, they are only participatory when the ideas of the oppressed are aligned to those of the oppressors. As suggested by the findings, the outsiders who are mainly

Tswana speaking who serve as both policy makers (councillors) and implementers (community development officers) at local level, are at the centre of the whole process while the San are located within the peripheries of power but made to believe that they are in fact in control. According to Crewe and Harrison (1998) when those in a position of power locate themselves at the centre of a participation process, they consolidate their power and perpetuate the unequal social structures. As a result, unequal social structures may be perpetuated and the status quo maintained as the dominant groups advance their interests.

Secondly, this San's perception of what is participation may influence their ability to engage with authorities because the way people are perceived influences what they say, how they say it and how they perceive themselves (Cobinah, 2011). This has implications for the community's agency and empowerment because both agency and empowerment processes are rooted in how people perceive themselves and how others perceive them (Budiriwanto, 2007). Borrowing from the work of Bourdieu (1990), the construction of social reality is determined by people's position in the social space or *habitus*. It is this position that influences a community's ability to engage with authorities or people seen to be superior to them. According to Molosi (2015) this view of participation shows that the San might be seeing themselves as too powerless to question their 'masters' which leaves the status quo untouched. In fact, the discourse of participation has been criticized because it fails to question the relational and institutional forces at play, which may continue to (re) produce unequal power relations.

The other view presented meaningful participation as decision making power and control, where the community is seen as equal partners in a development partnership. This understanding was mainly aligned to those participants with education level at BGCSE and above. As indicated in the following excerpt, some participants wanted to be located at the centre of power and not the periphery.

When it comes to development, the community should take the lead in controlling the process. Government should act on the priorities given by the communities, not whereby things are just thought up in high offices and we are told about them (BNS6).

The findings suggested that participants who viewed participation in terms of decision making felt that the way participation is currently done is just used as a tool to grant development projects a stance of moral authority, while they are in fact only perceived as clients and consumers rather than equal partners in the decision making processes. It appears that even though structures such as the Village Development Committee are recognised as platforms to engage the community in development discussions and negotiations, the findings suggests that VDC only plays a symbolic role in Khwee and Sehunong. This is indicated in the following statement,

Even at times when we are involved as the Village Development Committee (VDC), when we are invited thinking that we are going to contribute our views, instead we will find that everything has been thought about us and there is nothing we can contribute (FGK)

The above statement can be explained by what Arnstein (1969) calls tokenism. Tokenism according to Arnstein's ladder of participation is a stage of information sharing whereby the 'uppers' inform the 'lowers', and the latter are able to inform the 'uppers'. However, in this arrangement, the decision making power remains with the powerful as the 'oppressed' do not have the power to challenge the dominant in cases where opinions differ. According to Molosi (2015) this is the same concept of participation and decision making as embedded within the traditional *kgotla* system. Although the *kgotla* was believed to offer the subordinated groups a chance to voice their concerns, it was mainly the voice of the dominant Tswana speaking groups that was given priority because of their social standing (Mompoti & Prinsen, 2000). Following from this kind of structures, groups considered inferior may end up internalising their powerlessness and perceive them as 'natural'.

## 6.2 Spaces of participation and power relations

The findings have shown that the interplay of social relations seem to be critical in the way the San understand the concept of participation. There is evidence that due to their inferior social status within Botswana society, their democratic right to participate in decision making is compromised. For example, some participants explained that because '*ke masarwa*', even when they make suggestions they are rarely taken on board. According to one participant, '...other people's voice is always listened to, but for us it doesn't matter, '*ke masarwa*'. The data suggests that the '*ke masarwa*' connotation is used to highlight

San's powerlessness as a class of no consequence. Based on this, it appears the San have accepted the powerlessness bestowed upon them by the Tswana speaking groups such that they consciously or subconsciously, keep reminding themselves of who they are within the social ladder when it comes to participation. For instance, one participant indicated that because the San are mostly poor, they cannot initiate any engagement platforms, government and other stakeholders should create such platforms and engage with them. Freirian philosophy terms this scenario internalised oppression. According to Freire (1972) internalised oppression is whereby the people tend to normalise their discrimination and see it as a part of them. This is not surprising because as explained by Penderis (2013), past experiences and social relations leave their footprints even in participatory contexts.

Although some participants valued participation as decision making and control, the findings suggested that they still preferred participation within the invited spaces. It seems most of the participants believe that government and other stakeholders should be at the forefront and create spaces for participation and invite them to discuss their lives. In this context, this group of San believe that it should be community development workers and councillors who invite them to discuss their development, they seem not to want things done the other way round. This view of participation is problematic. Firstly, the problem with the invited spaces is that those who offer the spaces have power over the spaces- they decide the form of participation. As such, people will be joining a game, the rules of which have already been decided (Vin-

cent, 2003). Borrowing from Gramsci (1971), invited spaces may serve as places of hegemony and platforms for control and repression to preserve the status quo rather than an opportunity for citizenship and the exercise of agency.

Secondly, invited spaces are frequently reduced to hierarchical sites of inequitable relations, which reproduce dependency and undermine the potential for meaningful participation and deliberation (Penderis, 2013). As explained by Budiriwanto (2007), the process of empowerment is rooted in how one sees their self-worth. Hence, due to the norms and values that have over the time deprived the San an opportunity to be equals in the social rung, they may even not consider themselves with any capability to engage Tswana speaking people and other development stakeholders on their own terms as indicated in the following,

It's difficult to initiate things on our own because we do not have resources and also we do not know a lot of things. That is why we continue to depend on outsiders who end up bossing us around (BNK7)

Using Foucault (1980) to explain the preceding view, Foucault has argued that in the development process there is a dichotomy of those who are seen as developed/underdeveloped, those developed will be seen as the creator and giver of development while those underdeveloped are only objects. This perhaps stems from the fact that being the recipient of generosity means to be 'inferior' to the one who gives because when you ask for something, you make the person from whom you are asking great (Saugestad, 2001:218). This has implications

for participation because unequal power relations maintain the status quo of disempowerment and powerlessness.

## 7. CONCLUSIONS AND RECOMMENDATIONS

As indicated by Hickey and Mohan (2004), the proper objective of participation is to ensure the 'transformation' of existing development practice and, more radically, the social relations, institutional practices and capacity gaps which cause social exclusion. However, if participation is just done on an 'add-on' approach, without addressing power relations between the San and the Tswana speaking groups, empowerment through participatory development is still a dream far from reach. Measures should be put in place to help the San to create their own world through meaningful participation. This is important because no person can empower another, people should engage in their own empowerment (Freire, 1972). As argued by Inglis (1997), there is a distinction between individuals being empowered within an existing social system and struggling for freedom by changing the system.

When viewed through the lens of a critical social theory framework, the findings of this study calls for a change of position, moving the San from the peripheries of development where they are development objects, into the core where they would have genuine control and decision-making power as actors of development. However, if participation is implemented on an 'add-on' basis, without transforming the social structure, development initiatives will

only be useful in furthering selective participation. In this sense, transformation will need to take place even 'upwards' before those at the 'bottom' can have any reason to believe that they can have an effect.

It is also recommended that appropriate education should be used to help conscientisation of the San so that they can engage in self-reflection and action. For example, education grounded on Freirean critical pedagogy ideas, which provides skills and knowledge necessary to help the expansion of capacities to question deep seated disempowering social practices. Both formal and non-formal education can be utilized in this instance. San youth who have been exposed to different worlds and education could be useful in taking the lead.

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# CONTRIBUTION AND CHALLENGES OF THE INFORMAL SECTOR TO JOB CREATION IN SOUTH AFRICA

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## ABSTRACT

*Since the discovery of the informal employment in Africa early in the 1970s, it has then been subject to many interpretation and debates in international development circles. Notwithstanding the debates and critiques, the informal employment sector has continued to be an essential fragment for economic growth and job creation. With the unprecedented level of redundancy in urban areas, informal economy provided an overabundance of populace with an opportunity to earn a living through Small and Micro Medium Enterprises (SMMEs). The informal employment sector has continued to grow strand by strand, absorbing as much labor force as it can, granting that it does not provide any health, financial and social security or benefits. It has though relentlessly continued to provide space for employment in unconventional manners. This is due to the fact that unlike formal sector, informal sector does not offer benefits like health insurance. Informal sector economy has over the years contributed to the economic growth of the country, though it has stagnated at 5% per annum. However, the exploitation of this niche – informal sector – was confronted by multifaceted challenges (high competition, low profit, not good operational structure etc.). The contribution the informal sector towards the economy and employment offers a niche that needs to be explored. Thus, the paper argues that with proper support and funding, informal sector economy has the potentiality to address the redundancy and economic growth in urban areas. The paper concludes that local municipalities must support informal sector through basic training on financial management, customer care and ways to expand the business in order to maximize the potential that it offers.*

*Keywords: Informal sector, economic growth, job creation, government, second economy*

## 1. INTRODUCTION

Developing countries have over the years witnessed an exceptional population growth, thus accompanied with high unemployment rate and poverty. Due to high unemployment rate, most people endeavored into informal sector as the second

economy. Informal economy has over the years received a lot of attention in the development lexicon and policy formulation, and South Africa is no exception (Laird, 2015). The notion of the second economy has been elaborated as the reality that consists of mainly informal, marginalized,

unskilled economy, much populated and popularized by the unemployed and unemployable labor force that could not be absorbed by the formal economy (ANC Today, 2004). In recent years, informed activists and researchers, including members of the global research policy network Women in Informal Employment: Globalizing and Organizing (WIEGO), have worked with the International Labor Organization (ILO) towards broadening the earlier conception and definition of the 'informal sector' to incorporate certain types of informal employment that were not included in the earlier conception and definition (Chen, 2007). The recent definition pursues to include the whole informality, as it is manifested in industrialized, transition and developing economies and the real world dynamics in labor markets today, particularly the employment arrangements of the working poor. The aim of this definition is to extend the focus and include not only enterprises that are not legally regulated but also employment relationships that are not legally regulated or protected. In brevity, this new definition of the 'informal economy' focuses on the nature of employment in addition to the characteristics of enterprises. It also includes informal employment both within and outside agriculture. Under this new definition, the informal economy is comprised of all forms of 'informal employment', that is, employment without labor or social protection both inside and outside informal enterprises, including both self-employment in small unregistered enterprises and wage employment in unprotected jobs (Chen, 2007).

There is a prevalent misconception that the informal economy is somehow illegal or is the equivalent of the underground, or

even criminal, economy (Vearey, 2012). The informal economy consists of a range of informal enterprises and informal jobs (Vearey, 2012). While there are meaningful ways to classify various segments informal sector, this comprises of self-employment in informal enterprises, which is workers in small unregistered or unincorporated enterprises, including: employers, own account operators-both heads of family enterprises and single person operators, unpaid family workers. Then followed by the wage employment in informal jobs, which is workers without worker benefits or social protection who work for formal or informal firms, for households or with no fixed employer, including: employees of informal enterprises. Other informal wage workers include casual or day laborers, domestic workers, unregistered or undeclared workers some temporary or part-time workers, industrial outworkers (also called homeworkers) (Chen, 2007). The informal economy can be assisted and be given support in the form of financial services, business support services and training, and these are national government competences. The Department of Trade and Industry, for example is tasked with growing small businesses, including informal enterprises while the Department of Labor is tasked with providing training services. Further, local government plays a particularly important role in shaping the environment that those working in the informal economy operate. In the post-apartheid period local government has been given greater independence and new roles and responsibilities. Of relevance to informal economy management and support, the 1996 Constitution commits local government to promoting local economic development (Skinner, 2006).

## 2. WOMEN AND MEN IN THE INFORMAL SECTOR

The challenge with compiling statistics on the size, composition and contribution of the informal economy is hampered by the lack of sufficient data. This is due to the ever changing and evolving nature of the informal sector (Chen, 2007; Zhao, 2008). While many countries have now undertaken a survey on employment in the informal sector, very few countries undertake these on a regular basis, as it is not seen to be the most necessary and beneficial sector in the economy. Furthermore, only a handful of countries have collected data to measure informal employment outside informal enterprises and their contribution towards the economic sector. In addition, the available data is not comprehensive and does not make conclusive decisions (Skinner, 2006; Chen, 2007). In measuring informality, agriculture continues to be excluded by many countries, though it forms an integral part of informal sector economy (Chen, 2007). The informal sector is generally a larger source of employment for women than for men in the developing world (Chen, 2001). Other than in North Africa, where 43 per cent of women workers are in informal employment sector, 60 per cent or more of women non-agricultural workers in the developing world are informally employed (Chen, 2007). In Sub-Saharan Africa, 84 per cent of women non-agricultural workers are informally employed compared to 63 per cent of men; and in Latin America it is a striking 58 per cent of women in comparison to 48 per cent of men. In Asia, the proportion is 65 per cent for both women and men. The belief that women play an integral part in reducing poverty has been a phenome-

non followed by many developing countries. However, due to the pressure given to men that they should and must be providers within their households, unorthodox methods of receiving income have been employed by men in developing countries. This involves their involvement in illegal mining, wood work and even street vending. High involvement of women in informal sector especially in survivalist connotes the unappealing plight of women with households. Informal sector play an important role in uplifting the status quo of women (Wollack, 2011). Though South Africa should not make a rush and premature decision to see informal sector as a panacea to the manifestation of unemployment.

## 3. THE ROLE OF INFORMAL ECONOMY TOWARDS JOB CREATION

The informal sector has been recognized as an important aspect and functioning of organization and economies (Dickson, 2008). It contributes in immeasurable ways toward creating new work, wealth creation, poverty reduction and income generation for both government and individuals. Schumpeter in 1934 argued that the informal sector is very significant to the growth and development of economies (Keister, 2005; Garba, 2010). There is a general consensus that the performance of informal economy is important for both economic and social development of developing countries. From the economic perspective, informal economy provides a number of benefits through Small and Micro Enterprises (SME's) (Advani, 1997). The informal economy has been noted to be one of the major areas of concern to many policy makers in an at-

tempt to accelerate the rate of growth in low-income countries. Through the SME's it has been recognized as the engine through which the growth objectives of developing countries can be achieved (Abor & Quartey, 2010). The existence of SMEs within the sector seems to have advantages over their large-scale competitors in that they are able to adapt more easily to market conditions, given their broadly skilled technologies. They are able to withstand adverse economic conditions because of their flexible nature (Kayanula & Quartey, 2000).

The informal economic sector is more labor intensive than the formal economic sector and therefore has lower capital costs associated with job creation (Anheier & Seibel, 1987; Liedholm & Mead, 1987; Schmitz, 1995). Since SMEs are labor intensive, they are more likely to succeed in smaller urban centers and rural areas. Due to their regional dispersion and their labor intensity, it can be argued that, small-scale production units can promote a more equitable distribution of income than large firms (Abor & Quartey, 2010). They also improve the efficiency of domestic markets and make productive use of scarce resources, thus facilitating long-term economic growth (Kayanula & Quartey, 2000). Informal employment sector has constantly contributed towards poverty reduction, for instance, the Federal Government had since 1999 been injecting funds into different skills acquisition programmes, small businesses, support for the informal sector through provision of credit facilities for boisterous economic activities at the rural community level (Imafidon, 2014). This is a decision in the direct direction as majority of the population live in the rural areas and an improvement in

the quality of life would prevent migration of the residents of the rural communities to the urban centers.

The implication of this is that it will create employment opportunities thus leading to greater reduction in social maladies or vices. The wide spread and acceptance of informal economic and entrepreneurship education is a clear indication of its usefulness and importance in the present realities. The development of the informal economic sector will go a long way in providing the necessary stimulus for economic growth and development. It will be crucial in boasting productivity, increasing competition and innovation, creating employment and prosperity and revitalizing economies (Ritche & Lam, 2006). The informal sector contributes towards the economy through the goods or services produced for which they are paid for by consumers, through generation of economic activities such as buying, selling and marketing of goods and services rendered. The people within the informal sector are considered entrepreneurs, the heroes and heroines in the economic sphere within their communities (Imafidon, 2014). The informal economic sector acts as an agent of social and economic transformation by providing entrepreneurship in SME's. In recent years, the informal economic sector is recognized as a critical element in the development process of nations. In developing countries in particular, the informal economic sector is being vigorously advocated for because of its potential to:

- Create jobs through the formation of new enterprises especially small and medium scale enterprise.
- Raise productivity through various

forms of innovation.

- Facilitate transfer of technology or the adaptation of existing ones.
- Harness resources that might otherwise remain idle and put them into productive use.
- Stimulate growth in those sectors which supply it with inputs.
- Reinvigorate large scale enterprises and also public enterprises.
- Encourage and sustain economic dynamism that enables an economy to adjust successfully in a rapidly changing global economy and enable individuals to use their potential and energies to create wealth, independence and status for themselves in society (Imafidon, 2014).

#### **4. THE PROSPECTS AND THREATS OF THE INFORMAL SECTOR**

The prospects and opportunities enjoyed by those who work in the informal economy differ by their employment status, by the industry or trade in which they are engaged, and by the wider social, economic, and political context in which they work. However, as a general rule, informal wage workers enjoy fewer career opportunities than formal wage workers; and informal entrepreneurs enjoy fewer market opportunities and are less competitive than formal entrepreneurs or businesses. The prospects of the informal sector are that it accommodates any person of any age, race or gender, it does not necessarily require

technical skills and it provides flexible working hours and working environment (Chen, Jhabva & Lund, 2001; Pendleton, Crush & Nickanor, 2014). The threats faced by those who work in the informal economy also differ by their employment status, by the industry or trade in which they are engaged, and by the wider social, economic, and political context in which they live and work. However, four broad generalizations can be made in this regard. Firstly, those who work in the formal and informal economics face the same general threats, notably: illness, property loss, disability, old age, and death. However, informal workers often face greater exposure to these general threats given the nature of their work and living conditions. Secondly, those who work in the informal sector face greater work-related threats than those who work in the formal sector do. Dependent informal workers face little assurance or guarantee of work, low wages or earnings, few worker benefits, and unsafe or unhealthy working conditions. Independent informal workers often have insufficient market information, skills, or power and, therefore, less access to existing or emerging market opportunities. Thirdly, those who work in the informal sector typically have fewer mechanisms – including access to formal financial instruments – for dealing with threats than those who work in the formal sector do (Chen, Jhabva & Lund, 2001). Despite the potential role of informal sector through SMEs to accelerated growth and job creation in developing countries, a number of bottlenecks affect their ability to realize their full potential. SME development is hampered by a number of factors, including finance, lack of managerial skills, equipment and technology, regulatory issues, and access

to international markets (Anheier & Seibel, 1987; Steel & Webster, 1991; Aryeetey *et al.*, 1994; Gockel & Akoena, 2002). The lack of managerial know-how plays a significant threat on SME development. Even though SMEs tend to attract motivated managers, they can hardly compete with larger firms. The scarcity of management talent, prevalent in most in rural and under developed areas of South Africa, has had a magnified impact on SMEs (Abor & Quartey, 2010).

Furthermore, the lack of support services or their relatively higher unit cost can hamper SMEs' efforts to improve their management, because consulting firms are often not equipped with appropriate cost-effective management solutions for SMEs. Besides, despite the numerous institutions providing training and advisory services, there is still a skills gap in the SME sector as a whole (Kayanula & Quartey, 2000). This is because those involved in the informal sector cannot afford the high cost of training and advisory services while others do not see the need to upgrade their skills due to complacency. In terms of technology, the informal economy often has difficulties in gaining access to appropriate technologies and information on available techniques (Aryeetey *et al.*, 1994). In most cases, informal economic sector utilize foreign and indigenous technology with a scarce percentage of shared ownership or leasing. Regulatory constraints also pose serious challenges to informal economic sector development and although wide ranging structural reforms have led to some improvements, prospects for enterprise development remain to be addressed at the firm-level (Abor & Quartey, 2010). The high

start-up costs for firms, including licensing and registration requirements, can impose excessive and unnecessary burdens on SMEs within the informal sector.

The high cost of settling legal claims, and excessive delays in court proceedings adversely affect SME operations. In the case of Ghana, the cumbersome procedure for registering and commencing business are key issues often cited. The World Bank Doing Business Report (2006) indicated that it takes 127 days to deal with licensing issues and there are 16 procedures involved in licensing a business in Ghana. It takes longer (176 days) in South Africa and there were 18 procedures involved in dealing with licensing issues (Abor & Quartey, 2010). Meanwhile, the absence of antitrust legislation favors larger firms, while the lack of protection for property rights limits the informal sector with access to foreign technologies (Kayanula & Quartey, 2000). Previously separated from international competition, many SMEs are now faced with greater external competition and the need to expand market share. However, their limited international marketing experience, poor quality control and product standardization, and little access to international partners, continue to impede SMEs' expansion into international markets (Aryeetey *et al.*, 1994). They also lack the necessary information about foreign markets. One important problem that SMEs often face is access to capital (Lader, 1996). Lack of adequate financial resources places significant constraints on SME development. Cook and Nixon (2000) observe that, notwithstanding the recognition of the role of informal

sector in the development process in many developing countries, informal sector development is always constrained by the limited availability of financial resources to meet a variety of operational and investment needs. A World Bank study found that about 90% of small enterprises surveyed stated that credit was a major constraint to new investment (Parker *et al.*, 1995). Levy (1993) also found that there is limited access to financial resources available to smaller enterprises compared to larger organizations and the consequences for their growth and development.

The role of finance has been viewed as a critical element for the development of SMEs (Cook & Nixon, 2000). A large portion of the informal sector does not have access to adequate and appropriate forms of credit and equity, or indeed to financial services more generally (Parker *et al.*, 1995). In competing for the corporate market, formal financial institutions have structured their products to serve the needs of large corporates. Requirements such as identifying a product and a market, acquiring any necessary property rights or licenses, and keeping proper records are all in some sense more fundamental to running a small enterprise than is finance (Green *et al.*, 2002). Some studies have consequently shown that a large number of small enterprises fail because of non-financial reasons. Other threats that the informal sector face include: lack of access to appropriate technology; the existence of laws, regulations and rules that impede the development of the sector; weak institutional capacity and lack of management skills and training (Sowa *et al.*, 1992; Aryeetey *et al.*, 1994; Parker *et al.*, 1995; Kayanula & Quartey, 2000; Patnaik, Satp-

athy & Mandal, 2015). However, potential providers of finance, whether formal or informal, are unlikely to commit funds to a business which they view as not being on a sound footing, irrespective of the exact nature of the unsoundness. Lack of funds may be the immediate reason for a business failing to start or to progress, even when the more fundamental reason lies elsewhere. Finance is said to be the “glue” that holds together all the diverse aspects involved in small business start-up and development (Green *et al.*, 2002).

## **6. POLICIES TO HELP ENHANCE THE INFORMAL ECONOMIC SECTOR**

There needs to be an existence of a debate on policies, as to who should be involved in the policy formulation and who should the policy accommodate and benefit. There must be policies from the national and local government with specific legislation, regulations, or sectorial policies to be enforceable in a manner and style that conforms to the policy intent towards the informal sector (Chen, Jhabva & Lund, 2001). In developing an overall policy the issues to be addressed by policy makers in consultation with various stakeholders include: What stance should the government take towards the informal sector? What segments or categories of the informal economy are being targeted? Which specific areas of policy should be reformed to conform to the overall policy? How should the policy analysis be carried out?. Government needs to analyze what their current stance, implicit or explicit, towards the informal economy is, and then decide what their future stance should be. There



is range of possible stances illustrated by local government stances towards street vendors - they include:

- dismissive: that is, to ignore the issue (e.g. hoping street vendors will go away and ignoring their existence)
- punitive: that is, to eliminate (e.g. evicting street vendors forcefully or voluntarily)
- restrictive: that is, to contain (e.g. issuing a limited number of permits and restricting vending sites)
- Promotive: that is, to support or protect (e.g. providing credit and storage facilities to street vendors)

There are certain measures to be adopted by the local government authorities in policy making ensuring enhancement and assistance to the informal sector. A large number (arguably, the majority) of small scale informal-sector operators are involved in the retailing sector. Potentially, therefore, investment in market infrastructure is capable of benefiting very large numbers of these small operators (Dewar, 2005). Furthermore, it can do so without discriminating against those who cannot prove a past record of operation or of any profitability. The second element is the stimulation of markets representing the informal sector and the main and only way they can access central, viable locations in the city. One of the biggest problems which very small operators face in the informal sector is that of spatial marginalization. Because of their very low rent-paying capacity, they tend to be forced into the peripheral areas of the city, where the potential for profit

generation is slight, as clients and consumers require services that are at their convenience (Dewar, 2005). By understanding and weighing the potentials of individual traders, the provision of markets increases their capacity to capture central, more viable, locations. The local government needs to include the growing physical large numbers of the informal traders and operators into their spatial development areas and framework.

Another form of assistance with which local authorities should become involved in enhancing the informal sector is the provision of food centers to operators and traders in the food and hospitality sector. This involves the provision of public infrastructure (utility services, shelter, hardened floor surfaces, wash-up points, collective furniture (tables and chairs) at highly accessible and busy locations (particularly tourist and recreationally-based locations) to promote agglomerations of small-scale providers of cooked food. In these centers, customers can choose dishes from a variety of vendors, given the range of cultural and therefore culinary representation in South Africa, from indigenous and distinct flavors and diets (Dewar, 2005). Educational programmes are necessary to be facilitated by the local government authorities as opposed to running them. Skills training courses oriented to promoting small business (for example, book keeping, buying strategies, marketing strategies, banking and credit and so on) in order to assist the transition from informal, largely survivalist, activities to more formal, profit-oriented businesses. Markets offer particular opportunities for engaging with traders in this way and

this will reduce the hand-to-mouth cycle (Dewar, 2005). Consideration by financial institutions to provide micro lending will provide access to capital, which is one of the largest problems which small traders face and most of the informal sector operators. While it is clearly not the responsibility (nor is it desirable) for a local government authority to undertake this activity, any pro-active informal trader policy will engage with the issue and seek to play a facilitation role.

## 7. CONCLUSION

This paper concludes that the informal economy must be an essential policy focus within a reconstruction and development programme for the new South Africa. In assessing its capacity to contribute to economic growth, welfare and the relief of urban poverty a fundamental distinction must be drawn between an informal economy of growth and one of mere survival, that is the hand-to-mouth trading. The viability of survival informal enterprises in South Africa would be greatly strengthened by policy intervention in the spheres of human development such as education, health or housing. Nevertheless, with the representation of an appropriate support framework from the national and local government authorities, the survivalist segments of the informal economy clearly can contribute to furthering the satisfaction of basic needs, to goals of self-reliance, and to a greater sense of purpose in life and work for participants within the informal economy. Likewise, the objectives of raising living standards, of redistribution of resources and empowerment of formerly disadvantaged communities, and of providing greater opportuni-

ties for production and employment can be helped by a coherent and sound package of policy intervention to manage the growth of dynamic segments of the small and micro-enterprise economy. The chosen package of targeted interventions for making more dynamic an informal economy of growth must be grounded in a firm appreciation of the heterogeneous nature of South Africa's informal enterprise economy points to the need for multiple and flexible approaches to policy formulation undertaken on a basis of recognizing the differing requirements of sets of survival enterprises on the one hand and of micro-enterprises on the other. The intervention of local government in policy formulation will ensure in the growth of the economy with the government benefiting through taxes and rates from these informal traders.

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# LOCAL GOVERNMENT AND CRIME PREVENTION: AN EVALUATION OF POLOKWANE MUNICIPALITY'S INVOLVEMENT IN CRIME PREVENTION

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## ABSTRACT

*Several policy documents are explicit with respect to local government's role in ensuring the safety of people living in their jurisdictions. The national Crime Prevention Strategy (1996) and the White Paper on Safety and Security (1998) gave local government responsibilities such as coordination and implementation of crime prevention programmes within their areas of jurisdiction. The White Paper on Local Government (1998) determined that municipalities should cooperate with the South African Police Service, other national and provincial departments, private sector, and non-governmental and community based organisations in developing and implementing strategies aimed at reducing crime. This article evaluates the municipality's involvement in crime prevention and also assesses to what extent it is involved in crime prevention. It further identifies policy implications hindering municipality's active involvement. Qualitative exploratory study design was adopted wherein the unstructured in-depth interviews were conducted with 30 safety officials from Polokwane Municipality. The research found that most safety officials are not familiar with the tenets of the proposed legislations mandating their involvement in crime prevention.*

**KEYWORDS** Crime, Crime Prevention, Policy, Implementation, Evaluation.

## 1. INTRODUCTION

Crime prevention is a complex concept that often means different things to different professionals and practitioners. The definition of crime prevention hinges around the understanding of crime and its causes (Morgan, 2011: 12). Crime is a social and legal concept that refers to a number of anti-social behaviours, that may be planned or unplanned and that occur under different circumstances. Shaw (1998, 08) argues

that countering high levels of criminality in South Africa has become a central focus of government policy. Crime increased dramatically in the country from the mid-1980s, peaking in 1996, then stabilising at high levels. Increasingly, a key component of the government's policy focus on crime control, is on preventive actions, aiming to undercut the causes and costs of lawlessness (Masuku & Maepa, 2004:13).

Masuku and Maepa (2004:14) further state that crime can be prevented either by altering the environment in which it occurs, or by intervening more broadly to change social or other conditions, which are thought to have causal significance with regard to crime. Preventing crime demands a process of analysis to determine the cause of specific types of criminal actions (and their costs for particular groups of victims), as well as the coordination of the resources and skills of a range of role-players to develop and implement appropriate interventions. These requirements suggest that crime prevention programmes are most likely to be effective if developed in the localities where the problem occurs, rather than at national level. They require a targeted approach that focuses various activities towards a single crime problem. Specifically, it also suggests that local players, and in particular local government, have a significant role to play.

In South Africa, democratic elections were held in 1994, and the ruling party the African National Congress (ANC) embarked on successive programmes to rebuild the economy. Even before the elections, however, in 1993, representatives of 26 political groups who assembled at Kempton Park, near Johannesburg, produced an interim Constitution of the Republic of South Africa, 1994. A by-product of the discussions at Kempton Park was the Local Government Negotiating Forum (LGNF), which in turn brought about the Local Government Transition Act (LGTA) 209 of 1993. The South African Local Government Association (SALGA) came into being in November 1996 to further the aims of democratic local gov-

ernment. The years 1996, 1997 and 1998, respectively, saw the creation of the Constitution of South Africa, which sets forth the aims of local government. The Constitution envisages an important role for organised local government in the democratic South Africa, with unique focus on developmental service delivery. Polokwane Municipality was established in terms of the Local Government Municipal Structure's Act, 1998 (Act 117 of 1998) as amended by notice 307 in the Extraordinary Provincial Gazette No 615 of 1 October 2000 (Swift, 2004:01). The focus on local government as a key driver in local crime reduction initiatives is in line with international developments. Municipalities have a logical role to play as coordinators of local crime reduction efforts. Crime is generally more concentrated in urban areas, and involves victims, perpetrators and circumstances specific to a particular locality. Local government is also responsible for social and infrastructural services that are at the heart of preventing crime and enhancing public feelings of safety. While the theory behind local government's role in crime prevention makes good sense, the practice is much more challenging. The integrated, multi-agency approach to crime prevention advocated by the various policy documents is new for most government departments. The way government operates can inhibit the implementation of an integrated approach that involves joint departmental activities. Local governments are required to develop integrated development plans (IDPs). The IDP is the principal five-year strategic plan that guides and informs all planning, budgeting, management and decision-making processes in a municipality (Pelser & Louw 2001, in Masuku & Maepa, 2004:12).

This paper evaluates the municipality's involvement in crime prevention and is thus crucial, as it may enhance the literature pertaining to crime prevention policy and the involvement of local government in crime prevention. Crime prevention is beyond doubt an important subject matter in criminology and thus, deserves to form part of this evaluation. Criminologists, policy-makers, government officials, scholars, and students could be able to use the findings of this study to understand crime prevention policies in South Africa. This study would also be valuable in assisting the local municipality in ensuring that the goals of the crime prevention policies are being achieved. This paper seeks to document the challenges within the proposed policies that affect the municipality's involvement in crime prevention.

### **3. STATEMENT OF THE PROBLEM**

This study is about the involvement of the Polokwane Municipality in crime prevention. The National Crime Prevention Strategy (NCPS) (1996) and the White Paper on Safety and Security (1998) laid the foundation for local level crime prevention initiatives. The NCPS (1996) broadly provided that local government should play a leading role in crime prevention in their area of jurisdiction. It determines that local government, in collaboration with local partners, should set priorities for crime prevention within their jurisdictions; promote, coordinate and oversee departmental and agency involvement in effective crime prevention in their respective localities. Local government should also acquire the necessary skills to engage with crime prevention issues and develop the

required capacity to drive prevention projects; obtain the support of major local role players in committing themselves to crime prevention; meet the management, monitor and assess requirements of their chosen strategies, programmes and implementation methodology; facilitate reporting and coordination in respect of provincial NCPS (1996) structures and processes; review and enhance strategies, and programmes and activities continuously. Furthermore, the municipality should set up a coordinating committee comprising of senior representatives from structures of the local authority, area and stations of the South African Police Services offices, local community policing forums, local branches of government departments responsible for welfare, education, housing, health, justice, and appropriate non-government bodies.

The White Paper on Safety and Security (1998) stimulated city-level interventions against crime by allocating responsibilities for by-law enforcement as well as the coordination and initiation of crime prevention projects for local government. The White Paper covered a range of activities relevant to municipalities, including social crime prevention, by-law enforcement, and crime prevention through environmental design (CPTED). The passing of the South African Police Service Act 68 of 1995 allow local government to establish municipal police services in their areas. Crime prevention through social development or social crime prevention focuses on the social, economic, and cultural factors that contribute to criminality. This approach tackles individual, family and community risk factors that lead to crime and victimisation.

For many of the programmes and projects, municipalities will need to work jointly with the departments of Education and Social Development as well as non-governmental organisations. According to the White Paper on Safety and Security (1998), some of the key risk factors that can be tackled through social crime prevention are: inadequate living conditions including overcrowding; factors that affect the family such as poverty, poor parenting, and alcohol abuse; individual personality and behavioural factors such as aggression, lack of social skills, lack of critical reasoning and problem solving skills; school-related factors such as the optimal functioning of school, school drop-out and poor school performance; peer association; creating employment opportunities by providing skills training; and programmes and projects directed at children and youth at risk of being offenders. Crime prevention through environmental design is a form of situational crime prevention. In this case, crime is reduced through appropriate planning, design and management of the physical environment. It can include reducing the amount of vacant land or open spaces in an area; ensuring that public spaces such as residential streets and public parks are well lit and maintained; developing safe pedestrian routes and trading centres; designing safe public transport nodes; improving surveillance systems in crime "hot spot" areas; and, applying crime prevention principles when designing new towns and residential areas.

The White Paper further indicates that by-law enforcement presents municipalities with their clearest and most direct tool for

engaging in crime prevention, because by-laws regulate how the city is used, and monitor the social patterns and behaviour of those who use it. Some municipal law enforcement activities include: working with SAPS and the National Prosecuting Authority (NPA) in identifying crime hot spots and designing joint projects on how to police them, enforcing traffic laws and assisting the SAPS with joint roadblock operations, enforcing by-laws such as those relating to health and safety, land and housing, in line with specific crime prevention goals in specific parts of the city, using zoning regulations to control where and when certain activities take place, such as the sale of alcohol and participating in forums aimed at improving local safety, such as community policing forums or sector policing forums are also municipal law enforcement activities. Shaw (1998:01) in Newham (2005) states that the White Paper on Local Government encourages municipalities to form partnerships with other government departments and civil organisations that can assist in carrying out preventive programmes. Moreover, the Local Government Transition Act 209 of 1993 compels municipalities to develop negotiated Integrated Development Plans (IDPs), which typically includes projects relating to crime and safety for their areas of authority. A major task for municipalities is to understand their local crime problems and how particular programmes can produce crimes. The problem is that these aspects of safety are in place in the research area but their implementation has never been evaluated. Therefore aim of the paper is to evaluate Polokwane Municipality's involvement in crime prevention. A review conducted in four cities namely Johannesburg, Tshwane, Cape Town and



Durban in 2002, which looked at how the strategies proposed in the White Paper on Safety and Security (1998) were implemented, motivated the researcher to undertake the present study. Polokwane City is the capital of Limpopo Province where the majority of people are concentrated and where the vast majority of recorded criminal activities take place. It is therefore logical to determine the extent to which policies are being followed by the local government. Furthermore, Ndebele (2008) maintains that the focus on cities as the key to crime prevention is directly in line with international developments in the area of crime prevention. Polokwane Municipality holds geographical and strategic position, due to its proximity as a major centre for the neighbouring countries such as Botswana, Zimbabwe, Mozambique, and Swaziland. This strategic location makes it the ideal business criminal gateway or destination.

#### 4. LEGISLATIVE FRAMEWORKS

There are various legislative frameworks governing municipal crime prevention. This paper focused on the following:

##### 4.1 Constitution of the Republic of South Africa (1996) and Local Government

The Constitution of the Republic of South Africa Act 108 of 1996 was approved by the Constitutional Court in late 1996 and finally came into operation in early 1997. The Constitution provides a framework for understanding the relationship between key governmental institutions, which is important in understanding safety and security issues at the local level. Perhaps most

important of all are some of the provisions relating to the “police service”, which are contained in Chapter 11:

- Section 205 (1) provides that the police service is a “national police service which must be structured to function in the national, provincial, and where applicable, local spheres of government.”
- Section 205 (2) provides that the “powers and functions” of the police service must be established by national legislation which must “enable the police service to discharge its responsibilities effectively, taking into account the requirements of the provinces.”

Bruce (1997:02) argued that while providing for policing largely to be regulated at the national and provincial levels of government, the constitution does provide some indication that local authorities do have responsibilities relating to safety and security. For example, in addition to the reference to “local spheres of government” in Section 205 (1), Section 152 (1) (d) provide that the “objects of local government” include the provision of “a safe and healthy environment.”

##### 4.2 The national crime prevention strategy (1996)

The National Crime Prevention Strategy (NCPS) (May 1996) argued for a closer integration and transformation of the criminal justice system as a prerequisite for preventing crime adequately. It represents a major step forward in the debate on criminality in South Africa, placing the concentration on

preventive as opposed to reactive measures to counter crime. The NCPS (1996) has thus brought a new focus on the prevention of victimization and offending, as well as on coordinated, long-term strategies that involve a range of participants beyond the traditional criminal justice system. The NCPS (1996) sketches a specific role for local government. Municipalities must; set priorities for crime prevention within their jurisdiction, promote, coordinate and oversee departmental and agency involvement in effective crime prevention for their localities, acquire the necessary skills to engage with crime prevention issues and develop the required capacity to drive prevention projects, obtain the support of major local role players in committing themselves to crime prevention, meet the management, monitor and assess requirements of their chosen strategies, programs and implementation methodology, facilitate reporting and coordination in respect of provincial NCPS (1996) structures and processes, continuously review and enhance strategies, programs and activities, and Setting up a coordinating committee which could comprise of senior representatives from structures of the local authority, area and station SAPS offices, local community police forum and area boards, local branches of government departments responsible for welfare, education, housing, health, and justice, and appropriate non-governmental bodies.

### **4.3 White paper on safety and security (1998)**

The 1998 White Paper on Safety and Security deepened government's policy approach to crime prevention in South Afri-

ca, and suggested areas for revision of the original NCPS, based, in part on the experiences captured in the 1997 NCPS review. In addition to making changes in respect of the institutional arrangements within the Department of Safety and Security, and shifting the emphasis of policing to crime investigation, visible policing and improved service to victims, the White Paper made a number of policy proposals in respect of crime prevention. Local government, is closest to the citizenry, is uniquely placed to actively participate in social crime prevention initiatives and to redirect the provision of services to facilitate crime prevention. Specifically, the 1998 White Paper on Safety and Security outlines three areas of intervention for municipalities: crime prevention through social development or social crime prevention, crime prevention through environmental design and law enforcement. Crime prevention through social development or social crime prevention focuses on the social, economic and cultural factors that contribute to criminality. This approach tackles individual, family and community risk factors that lead to crime and victimization (Masuku & Maepa, 2004:16). Crime prevention through environmental design is a form of situational crime prevention. In this case crime is reduced through appropriate planning, design and management of the physical environment. It can include reducing the amount of vacant land or open spaces in an area amongst other things. Criminal law enforcement is the prerogative of the Criminal Justice System departments namely, the SAPS, and the department of Justice and Correctional

Services. Nevertheless, municipalities ought to collaborate with the Criminal Justice System as far as law enforcement in their areas of jurisdiction is concerned.

## **5. LOCAL GOVERNMENT'S ASPECTS OF CRIME PREVENTION**

There are numerous areas of local government with key responsibilities for aspects of crime prevention that provide an overview of what role local government can play in the prevention of crime.

### **5.1 Governance**

Garner (2008:01) writes that the practices of local government will contribute to perceptions of good governance. Corrupt local government practices might contribute to perceptions of permissiveness in an area. Such a milieu could be conducive to criminality more generally. Consequently, the overall performance of local government is important in building trust in the state and for promoting responsible government and business activities. Furthermore, local government assumes a significant role in the governance of crime prevention. Homel and Fuller (2015, 33) positions that local government can be effective in coordinating crime prevention strategies through their coordination and management of local advisory groups. Information gathered from these advisory groups and resident panels can then be utilized to inform the work of various sections of local government. Examples include maintaining good relationships with key stakeholders, including police, corrections, housing, transport, welfare and business representatives. Establish, manage and review the operation of crime prevention advisory committees; and develop clear plans for crime preven-

tion and ensure that the plans are integrated into other administrative functions.

### **5.2 Amenity or Maintenance**

Homel (2010:15) finds that local government assumes a key role in the provision and maintenance of diverse local amenities. The provision of local infrastructure can help promote a sense of community and increase interaction between local residents. Effective maintenance of these amenities and the local area more generally will help prevent the decline of particular locations. It is generally accepted that rubbish and damage to property contribute to further degradation and crime. Examples include maintaining local areas through rubbish removal, rapid repair of damage and regular clean ups, initiate a rapid graffiti removal policy, including assistance to local businesses and residents. Garner (2008:01) highlights that local government is better positioned to conduct a risk assessment on council properties and implement appropriate strategies to reduce malicious damage.

### **5.3 Planning or Design**

Garner (2008:01) further maintained that local government has responsibility for aspects of the planning system. Through approval of development applications and establishing local design guidelines (i.e. development control plans and local environmental plans), considerable influence can be brought to bear on the built environment. Centre for Scientific and Industrial Research CSIR (2000: 77) maintains that the local government plans should incorporate crime prevention through environmental

design principles. For example, training of relevant council staff in crime prevention through environmental design and producing a specific development control plan on crime prevention.

#### **5.4 Social or Community Condition**

State's government is responsible for the provision of key social, educational, welfare and health services. Cherney and Sutton (2007: 17) writes that community services that are managed and supported by local government can contribute significantly to the quality of life of local residents. Furthermore, community building activities are frequently sponsored and initiated by local government. Through this relationship with local residents, local government also acquires significant insights into the needs of its residents. Garner (2008:02) argues that this information can be used to lobby other tiers of government and to respond to specific concerns, including fear of crime. Examples include developing relevant social policies and plans; providing social programs and services including child care facilities, libraries and programs for young people; and responding to emerging social needs through the coordination of the delivery of local services.

## **6. METHODOLOGY**

### **6.1 Research Design**

The research is qualitative in nature adopted the exploratory study design. It consists of a literature study and structured in-depth interviews. Primary documents such as legislations, municipal reports, journals and the internet have been used. The researcher used a formative type of evaluation, giv-

en that the policies have already been proposed for local government especially municipalities to be involved in crime prevention (Trochim, 2006:01). Formative evaluation examines programme implementation including the design, and the extent to which a programme is being delivered. It can provide input to future planning and implementation, thus forming the project's future. This kind of evaluation forms the programme, meaning that it helps to improve it at those points where the programme does not seem to meet the criteria originally set by its initiators (Maxfield & Babbie, 2005:23). Process and impact approach were also used. This is the most common approach to crime prevention evaluation. It seeks to answer two questions: has the programme been implemented as planned (process)? and is the programme achieving its intended objectives (impact)? (Fetterman, 2000:12).

### **6.2 Population**

The population comprised 30 Polokwane Municipality safety officials and managers who have been mandated by the proposed policies to be actively involved in crime prevention. Since the study is investigative in nature no sampling method was used.

### **6.3 Data Collection Method**

The study being formative evaluation, qualitative methods of data collection were used. Structured in-depth interviews were conducted to provide insight into unexplored dimensions of the problem. Questions in formative evaluation are commonly open-ended and exploratory, aimed at

uncovering the processes by which the programme take shape, establishing what has changed from the original design and why. Audiotaping was used primarily as backup. Arrangements regarding the interview dates were made with the respondents.

#### **6.4 Data Analysis**

After collecting data, it was then classified. The researcher dissected the information, looking for themes under which to place various statements and assertions. Data resulting from evaluation are intelligible until they are analysed and summarised in terms of their descriptive and inferential characteristics. Upon completion, data was critically and objectively interpreted the information in order to achieve objectives of the study.

### **7. RESULTS AND DISCUSSION**

Unstructured interviews with safety officials revealed that although South African Constitution does provide some indication that local authorities do that have responsibilities relating to safety and security, safety officials were not aware of how the municipality oversees departmental and agency involvement in crime prevention and their reason being that they do not know the procedure on how to do that. Section 152(1) d provides that the object of local government includes the provision of a safe and healthy environment. The municipality does not continuously review and enhance strategies, programs and activities. However few respondents argue that the municipality does review but not continuously. They maintained that crime pre-

vention activities should be enhanced by the SAPS and that the municipality exists to help where necessary and this. This indicated lack of knowledge regarding the proposed policies.

The coordinating committee had been set up but not by the municipality whilst other officials asserted that there are no coordinating committees comprising of senior representatives. This finding still showed lack of knowledge regarding their duties in crime prevention. Garner (2008:01) found that to prevent crime successfully, the municipality should establish, manage and review the operation of the crime prevention advisory committee; and develop clear plans for crime prevention and ensure that the plans are integrated into other administrative functions. Furthermore, not all respondents understood Polokwane City Council's responsibility in providing for safety and security. The municipality acquired the necessary skills to engage in crime prevention. Skills were acquired through workshops, presentations and training. However, the acquired skills are not put to work and lack of monitoring and evaluation was suggested as a cause. The municipality has set priorities for crime prevention within its jurisdiction. By-law enforcement was mentioned as amongst the priorities. The finding is in line with the tenets of the White Paper on Safety and Security (1998) whereby by-law enforcement is outlined as the responsibility of the municipality. By-laws are a product of social conventions that determine people's interactions with the city through explicit regulatory mechanisms. The respondents mentioned that there are by-law officials whose priorities are to inspect buildings which have been designated as problematic because they

are either in a bad state, overcrowded or fail to comply with building regulation, illegal dumping, and illegal hawking.

Municipal crime prevention strategy has not been developed by the municipality. This was partly due to the challenges the municipality faced in the implementation of the local crime prevention strategy. The respondents outlined funding, capacity, political support as amongst the challenges faced by the municipality. Shaw (1998:07) found that the way local crime prevention is funded is critical not only for the actual implementation of programs, but more importantly, for shaping the role which local government plays as the coordinator of initiatives to prevent crime.

Crime prevention is often considered an "add-on" when funding for these initiatives is drawn from outside the local government budget through foreign donors. This limits accountability for delivery, weakening local government's responsibility towards crime prevention. There is also the danger that crime prevention, precisely because it crosses over so many local government line departments, is in danger of not receiving specific allocations of financial support from local government itself. Departments are simply told to take account of crime prevention without receiving the necessary support. Crime prevention is seen as an unfunded mandate in that safety and security is a national government function. This ignores both the fact that safety is a key "quality of life" issue where local government can contribute, and that many functions of local government are involved more broadly with issues of governance, and thus also of crime prevention. Closely related to the problems associated with

funding, are those that relate to the capacity of local government. The pressure for service delivery and development on new (and often weak) local government structures is immense. Development projects (notwithstanding some of the funding problems outlined above) are in fact in a position to take account of crime prevention requirements without necessarily increasing the resources that are allocated to them. Thus, addressing crime prevention need not necessarily be seen as an additional or heavy burden. The issue of political support for crime prevention is potentially problematic. On the other hand, a great deal of political leadership is required in order to ensure that crime prevention is prioritized. Where political support is missing, crime prevention initiatives are often undercut. On the other hand, politicians, under a great deal of public pressure, are tempted to raise expectations about what local level crime prevention can achieve in the short term. Programs with too many objectives, which are poorly funded at the same time, are likely to become overloaded, achieving little actual prevention.

NCPS (1996) was never reviewed nor defined by the municipality and this is captured well when all indicated that the tenets were never implemented and this finding is in line with the findings by Rauch (2002:20) who indicates why various crime prevention policies were not implemented in South Africa. The ANC inherited bureaucrats from the old order who have either been passively or actively resistant to implementation of certain policies, or have been, at times, simply incapable of doing so as they lacked the same vision as the

policy makers. The NCPS policy demands the establishment of programs and policies which cut across various government departments and ignores the extent to which a new political leadership struggles to assert vertical lines of accountability within individual departments and bureaucracies which were inherited from the former government. Added to this, are the budgetary constraints, which demand an uncomfortable process of prioritisation if the massive tasks of redressing historical inequities at the social, political and economic levels are to be undertaken. Rauch (2002:21) maintained that budgetary constraints foster intense competition between various departments. This often motivates against cross-departmental co-operation. A related problem was the extent to which any crime prevention strategy was ultimately dependent on the key processes of internal transformation of government's criminal justice institutions. This objective presented government with competing needs which were difficult to prioritise. While effective crime prevention was dependent on institutional transformation, popular confidence in the processes of transformation was dependent on successful crime fighting. Polokwane Municipality did not establish municipal policing. Even though the SAPS Act of 1995 (Amended Act 83 of 1998) allow local government to establish municipal police services in their areas, many other municipalities in South Africa fails to do so. The respondents indicated that it would be impossible for the municipality to establish its policing due to the challenges previously faced by other South African municipalities: Rauch, Shaw and Louw (2001) identified the main challenge to establishing municipal policing such as

:Coordination with the SAPS and other enforcement agencies will require the Municipal Police Service (MPS) to carve out its area of jurisdiction, agree on joint and separate priorities, share resources and minimize turf conflicts with the SAPS. One of the obstacles to coordination between the police agencies is the different geographic jurisdictions in which they operate. Building an effective working relationship with the SAPS is one of the most critical challenges facing MPS leaders at this stage. This may be complicated by the fact that both organizations share the legal mandate for "crime prevention" and there is no shared understanding of that mandate.

Another issue which may cause difficulties in terms of relationship between the SAPS and municipal police services is the idea of "burden sharing" as introduced in the 1998 White Paper on Safety and Security, and the need for some SAPS funds to be linked to the relocation of certain function from the SAPS to Metro Police Services. Balancing enforcement and crime prevention activities are equally weighted in the legislative mandate to metropolitan police services. If the national government policy of requiring city governments to co-ordinate "social crime prevention" remains intact, the MPS may have to embrace social forms of prevention which have not been their traditional preserve otherwise the social crime prevention function will have to be accommodated elsewhere in the municipality. Existing MPS's are focusing almost entirely on traffic enforcement and traditional law enforcement methods of combating crime, with little attention given to prevention. Municipalities wishing to establish Metro Police Services will need to find increased resources for pub-

lic safety provision, without direct financial assistance from the national fiscus. In some municipalities such as the Polokwane Municipality, additional levies have been proposed. It remains to be seen whether local taxpayers will be willing to pay more in order to have a local police service. Defining the conditions of service of Municipal Police Officers will require the Polokwane Municipality to provide pay parity for members of the Municipal Police Services who do the same work and hold the same rank. At present, the inherited labour relations arrangements in many municipalities mean that officials can be earning very different packages for doing the same work. Workable agreements with labour unions pertaining to conditions of service should be pursued. Issues concerning disciplinary procedures have already come under the spotlight in Johannesburg and Cape Town, cities which faced union unhappiness with various aspects of their process to establish the metropolitan police.

The municipality does cooperate with the CPF. The municipality attends to the recommendations by the CPF in crime prevention such as maintaining street lights, cutting off grass and information sharing. Community Policing Forum Act 68 of 1995 requires the municipality to do the following: participate in neighborhood initiatives to safeguard the area in which they live, work and play; take ownership of community policing forums and support the SAPS in the enforcement of the law; attend community police sub forum meetings to discuss action plans in order to deal with crime, and participate in problem solving and information sharing. Social crime prevention measures seek

to prevent offending by changing the social rather than the physical environment. Interventions in this case provide tools for communities to use in an effort to reduce criminal behavior by changing social conditions. The aim is to strengthen community bonds, increase levels of informal social control and thus deter actual or potential offenders. The interviews revealed that the municipality does not tackle the factors that affect the family such as poverty, poor parenting and alcohol abuse through social development. The municipality looks to the Departments of Health and Department of Social Development to tackle family factors. Palmary (2001:33) also found that the crime prevention projects aimed at addressing deeply entrenched social inequalities such as poverty or family instability have not been tackled by South African cities. Given the complexity of these projects, it is appropriate that they are undertaken in partnership with other agencies and organisations with specialised skills in the area. Such an approach does require local government at least to be aware of the full range of crime prevention projects happening in their jurisdictions in enabling effective synergies for social prevention. Many government and NGO projects are not being monitored for this impact, making it difficult to determine their effectiveness. Local governments may be able to assist with such monitoring and evaluation, as they coordinate at the city level, which is extremely difficult when few other agencies operate in city-sized units.

The optimal functioning of schools, school drop-out, and poor school performance are not tackled by the municipality as mandated by the white paper on safety and security. The Department of Education



and Social Development, NGOs are left to deal with such school related factors, and peer association such as association with friends who are involved in crime. There are no projects initiated by the municipality that are directed at children and youth at risk of being offenders. However, the municipality creates employment opportunities by providing skill training. The research revealed that the municipality together with the Department of Human Settlement tackles inadequate living conditions including overcrowding. Other respondents believed the municipality ignores inadequate living conditions. These findings indicated that the municipality is struggling to tackle the proposed risk factors. The municipality maintained that social issues are being directed to other departments such as the Department of Social Development and Home Affairs. The findings showed that there is no cooperation, because SAPS has its own objectives in social crime prevention. There are no social crime prevention projects initiated by the municipality. The respondents outlined various challenges as the reasons why they fail to implement the tenets of the social crime prevention policy. One of the major stumbling blocks has been the difficulty of coordinating social crime prevention projects. The coordination problem has a number of aspects: The first aspect is that city boundaries do not match the jurisdictional boundaries of other government agencies which are critical to the crime prevention enterprise namely, the SAPS and Departments of Health, Education and Welfare. This makes it extremely difficult to establish city-wide leadership structures. Secondly, there has been, in some cases, a failure to link government-initiated projects with non-gov-

ernment practitioners and initiatives in the field. This can lead to duplication and wastage of resources. The research revealed that the municipality reduces the amount of vacant land or open spaces in an area by cutting off grass, developing the area, selling, and regularly cleaning it. The municipality ensured that public spaces such as residential streets and public parks are well lit and maintained. The street patterns are designed and modified to reduce opportunity for crime. National Crime Prevention Council (2004) argues that properties well maintained create a perception of ownership and safety. The council also found that lighting should be consistent and located where it can provide maximum visibility.

Safe pedestrian routes and trading centers were designed by the municipality. The findings indicated that this was achieved through different role players in particular planning and design professionals. This finding is in line with those by Landman and Lieberman (2005:06) who found that effective coordination of local environmental design initiatives is vital. Due to their nature of work, professionals involved with shaping the built environment generally, have experience in coordinating the activities of various role players. These professionals are therefore well placed to coordinate and drive environmental design initiatives.

Surveillance systems was improved in some of the crime hot spot surveillance systems have been improved by installing CCTV and designing visibility in crime hot spots throughout the city. The installation of CCTV is in line with the tenets of the White Paper

on Safety and Security (1998) whereby CCTV is indicated as an effective method of managing crime hot spots in the city. The importance of design visibility are in line with the findings by the National Crime Prevention Council (2004:09) which indicated that designing visibility in the built environment means allowing for clear sight lines and avoiding isolated or hidden spaces. Recessed doorways can result in corners that are hidden from causal surveillance. Sharp "blind" corners create the same problem, especially on stairs or corridors where there may be no alternative routes of escape. Sudden changes of grade on walkways can also create "blind spots". Certain improvements can be made. For example, columns and walls can be tucked into the built design as protrusions can hinder visibility. Visibility can also be improved through modification such as creation of windows and other openings in otherwise blank walls and removal of protrusions along walls. Improving visibility through such modification will permit natural surveillance. Similarly, the location and design of fences, shrubbery and beams must also be carefully studied when designing visibility. In blind spots where no modification to the building is possible, the use of security mirrors or other devices such as video cameras would be necessary even though these are not optimal solutions.

The municipality applied crime prevention principles when designing new towns and residential areas. The principles of (CPTED) were considered and the respondents outlined amongst others access control and natural surveillance. These findings are in line with those of the routine activity the-

ory where CPTED is viewed as a crime prevention approach, limiting opportunity for committing crime by implementing natural surveillance, natural access control, territorial reinforcement, and target hardening. Natural Surveillance, which is a design concept, is directed primarily at keeping intruders easily observable. This is promoted by features that maximize visibility of people, parking areas and building entrances, doors and windows that look out on to streets and parking areas, pedestrian friendly sidewalks and streets, front porches, and adequate night-time lighting.

The second principle is natural access control, which is a design concept directed primarily at decreasing crime opportunity by defying access to crime targets and creating in offenders a perception of risk. This is achieved by designing streets, sidewalks, building entrances and neighborhood gateways to clearly indicate public routes and discouraging access to private areas with structural elements. The third principle is territorial reinforcement, which asserts that a physical design can create or extend a sphere of influence. Users then develop a sense of territorial control while potential offenders perceive this control as discouraging, promoted by features that define property lines and distinguish private spaces from public spaces using landscape plantings, pavement design and gateway treatments. The last principle is target hardening, which is accomplished by features that prohibit entry or access: window locks, dead bolts for doors, interior door hinges and other preventive methods.

Research revealed that the municipality is working with the SAPS in identifying crime hot spots and the installation of CCTV and providing visible policing are some of the joint projects they developed to police the hot spot. The municipality enforces traffic laws and assists the SAPS with joint road-block operations. State of the art equipment such as automatic number plate recognition machines, which scan vehicle registration numbers, is available at road-blocks. Using this equipment, a number of transgressions are identified: outstanding warrants; stolen vehicle; hot-listed vehicles, and false number plates.

By-law enforcement such as those relating to health and safety, land housing, in line with specific crime prevention goals in specific parts of the city. Amongst the by-laws the municipality focuses on is the enforcement of hawking by-laws in the inner city and the formalization of informal traders. There has been a general move away from the prosecution of informal traders towards their incorporation in council planning and development. Polokwane Municipality has provided an environment conducive to informal traders and these have been provided with access to sanitation, water etc. Building of shacks behind a house is forbidden and health inspectors are assigned to inspect places serving food. Building inspectors also inspect buildings that are either dilapidated, abandoned or that might attract criminal activities. The respondents indicated that the municipality uses zoning regulations to control where and when certain activities take place. The municipality engages with the liquor board which checks whether the owner has a license to operate or not. If other activities are to take place in the city, such as promotions, sport

matches, parties or festivals, the municipality has to be notified in advance and to either permit the activity to take place or to deny them. The respondents indicated that the municipality participates in forums aimed at improving local safety. However, some of the respondents indicated that the municipality waits for the SAPS to initiate crime prevention activities, attend meetings and attend to recommendations made to prevent crime. Participating in forums aimed at improving local safety benefit the municipality in many ways including: improving the identification of hot crime spots and the root causes of crime at the local level, allowing for greater manageability given that the precincts will be divided into smaller areas and better cooperation between the police and communities at the local level to address specific crime problems.

These findings indicate that the municipality should review and define the NCPS (1996) and implement a local crime prevention strategy by managing and coordinating strategic plans. For the municipality to be actively involved in crime prevention, they should attend to the different challenges identified by other municipalities: political support, budgetary constraints, lack of monitoring and evaluation, capacity etc. The municipality should continuously review and enhance strategies, programmes and activities. The White Paper on Safety and Security (1998) outlines several ways in which social crime prevention can be achieved in the South African context. : designing out crime, CCTV, urban renewal and the city improvement districts, breaking the cycle of violence, promoting social cohesion,

supporting youth, families and groups at risk. Polokwane Municipality should follow several ways to achieve social crime prevention in the city. Furthermore, these findings reveal the following area which needs further research and investigation regarding the Polokwane Municipality's involvement in crime prevention: the relationship between poor policy implementation and level of crime.

## 8. CONCLUSION AND RECOMMENDATION

There is no doubt that Polokwane Municipality ignored the tenets of the policies mandating their active involvement in crime prevention. Like other South African municipalities, the municipality failed to overcome gaps within the policies. This has led to crime prevention being spear headed by the SAPS. In order to successfully implement the policies, the municipality should continuously review and redefine its strategies, monitor and evaluates and also learn from other municipalities' actively involved in crime prevention. There are various areas which need further research regarding Polokwane Municipality's involvement in crime prevention. The relation between poor policy implementation and fear of crime amongst the community need to be assessed. Further research is also necessary on the implementation of social crime prevention policy.

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# SERVICE DELIVERY PROJECTS FAILURE IN THE GREATER GIYANI LOCAL MUNICIPALITY IN THE MOPANI DISTRICT

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## ABSTRACT

*This paper investigates the causes of service delivery projects failure in the South African municipalities with specific reference to Greater Giyani Local Municipality since 2006 to 2015. Communities demand better services. Politicians and the government promise communities a better life for all in the form of quality housing, clean water, electricity, better education, better health facilities, tar roads, creation of employment, fighting poverty and ending inequality created by former apartheid regime. However, these promises never come to fruition. There are projects that could not even start although they had been included in the Integrated Development Plan (IDP) for many years. Some of the projects get started but could not be finished in time as planned. The municipalities should deal with incomplete projects and render services to their communities. There are mainly three objectives to be achieved by this paper, namely: to investigate why some projects are failing to start even when budgeted for; to explain why some projects are not completed in the municipality; and to explain what is to be done to make sure that projects are well completed in time. Data is collected using face to face interviews where forty (40) key respondents were sampled. The conclusion drawn from the paper shows that communities indicate that municipalities can reduce the rate of incomplete projects if they stick to the planned activities and projects as per the IDP.*

**Keywords:** Communities, Integrated Development Plan, Projects, Service delivery

## 1. INTRODUCTION

The Greater Giyani Local Municipality (GGLM) has various projects to deliver. Some of these projects were started and completed; some are still to be started, while some are in progress. The background will give a true reflection of what is happening on projects in local municipalities, with reference to Greater Giyani Local Municipality. GGM consists of 91 rural

villages and one township (Integrated Development Plan 2011/13). It is a deep rural area with the population of 247 657. 39, 6% of the population is employed, 60, 4% of the population is not working (Demarcation Board, 2003). Service delivery is defined as the distribution of basic resources that citizens rely on such as electricity, water, land, sanitation, housing and infrastructure

(Chen, Dean, Frant & Kumar, 2014). Project is defined as "a unique set of co-ordinated activities, with define starting and finishing points, done by an individual or organisation to meet specific objectives within defined schedules, cost and performance parameters", (Project Management Body of Knowledge, 2015).

There is a serious need to get deep into causes of incomplete projects at local government level. Communities complain to the local government. They are less aware of the national and the provincial governments and their roles. The local government is viewed by communities as the one that renders and provide services to them. The local government is mandated by the Constitution of the Republic of South Africa, 1996 section 152, the objects of the local government are:

- To provide democratic and accountable government for local communities,
- To ensure the provision of services to communities in a sustainable manner,
- To promote social and economic development,
- To promote a safe and healthy environment and
- To encourage the involvement of communities and community organisations in the matters of local government.

Water Service Act 108 of 1997 section 3 (1) states that everyone has a right to access basic water supply and basic sanitation and subsection 3 further says that every water service authority must, in its water services development plan provide for measure to realise these rights. The local municipi-

palities have these water service plans, but water supply is a problem. The water was supposed to be drawn from Nandoni Dam in Vembe District to Nsami Dam in Giyani (Mopani District) as a drought relief in 2010 (Mopani Herald, 2010). The Giyani area was declared a disaster area in 2009, the National government in collaboration with the office of the Premier, Limpopo Province confirmed the situation and gazetted the matter, R250 million was budgeted for (Mathebula, 2009). The Supreme Court of Appeal confirms what Mathebula had said, the National government declared Giyani a disaster area as provided by the Disaster Management Act 57 of 2002. More than R284 million was to be used to source water from Nandoni Dam to Nsami Dam (Supreme Court of Appeal, 2014). This project is still not finished by May 2015. The project came to halt due to court proceedings which were concluded in March 2014. Courts of law are involved because in most cases tenders are not properly awarded. This is where issues of kickbacks (fraud) chips in. Therefore it is not skills shortages only that cause delay in finishing projects as planned by municipalities (The Supreme Court of Appeal of South Africa, 2014).

The Supreme Court of Appeal further indicates that the Greater Giyani Local Municipality did not follow the specifications while awarding the tender, therefore the decision of the municipality to award a tender to the joint venture was motivated by bad faith and bias, which leaves the municipality guilty of fraud and fronting as said in Promotion of Administrative Justice Act 3 of 2000. According to Construction Industry Development Board Act 30 of 2000, the tender in question (drawing of water from Nandoni dam to Nsami dam) required the

some members of the joint venture had a grading of 1CE PE which did not meet the specifications but were awarded a tender. The awarding of a tender to constructors not meeting the required specifications resulted in a project failure. Favouritism and interests should not partake in awarding a tender (The Supreme Court of Appeal, 2014). Other important Acts on service delivery are Health Act 63 of 1977, Hazardous Substance Act 5 of 1973, Environment Conservation Act 73 of 1989, Occupation Health and Safety Act 85 of 1993, National Water Act 36 of 1998, The National Environment Management Act 107 of 1998, Municipal Structures Act 117 of 1998, Municipal Systems Act 32 of 2000, Mineral and Petroleum Resources Development Act 28 of 2002, Air Quality Act 39 of 2004 and National Environment Management Waste Act 59 of 2008. Some of these Acts are not playing pivotal role in service delivery, but they are important and municipalities should know them, including their implications. The Acts that deal with local government projects will be unpacked in detail in literature review.

Some politicians make empty promises in public. Communities listen carefully when their leaders speak. They even take notes and dates as well as the venue where such a promise is made. The good example of the promise is when in Mafutsanyane High school the Mopani District Executive Mayor said in May 2009 that the Dzumeri to Kheyi road will be tarred with Xikukwani to Xivulani road (The Budget Vote Speech (2009)). In the IDP 2010-2011 the Xikukwani to Xivulani road had a budget of R48 439 697 to tar 18,5 km. The project was started. The Ndhambi (Dzumeri) to Kheyi road had a budget of R101 961 768 to tar 24,68 km, Greater Gi-

yani Local Municipality adopted Integrated Development Plan (2010-2013: 120). This is supported by Mopani District Municipality Reviewed Integrated Development Plan (2006 – 2013:164). The Dzumeri to Kheyi road is allocated project number MDM/8/2/3/88 (Memorandum of Demands, 2013). The former Premier of Limpopo Province, Mr Cassel Mathale, then the acting Member of the Executive Council (MEC) for the Limpopo Department of Roads and Transport also made a commitment in 2008 at Mageva soccer field that the Dzumeri to Kheyi road will be tarred soon, the contractor will be appointed within two months, and the amount budgeted was R24 million to tar 21,9 km (Memorandum of demands, 2013). From 2006 to 2015 is nine years since the Dzumeri to Kheyi road was in the IDP. It needs to be found out, what causes service delivery projects failure in the municipality. New and inexperienced leadership turn to cause delay in project completion. The inexperienced leaders turn to be gatekeepers and do not want experienced members to be in the organisation, the African National Congress (ANC), they do this actually because they want to be associated with the organisation while in the other hand they are slowly destroying the organisation they thought they are building in reference to the African National Congress (Motlanthe, 2007). The new incompetent leaders come to focus on positions with the aim of feeding themselves rather than servicing the people, South African Democratic Teacher's Union (SADTU) Mopani Regional Biannual General meeting (2015). New inexperienced leadership allow people closer to them to join an organisation and keep the experienced members aside, they even join for these members in order to keep



them (members) as their voting tools during conferences. Motlanthe (2007) in this regard says there are reports of gate-keeping, ghost members, commercialisation of membership, membership rental which seek to influence the elective conferences. It is therefore true that inexperienced leadership can be elected in the conference, when the same leader is deployed to do a municipal work, it is a crisis. Mantashe (2010) is on the same side with Motlanthe as saying all provinces are in conflict with the ANC policy by manipulating the membership in the favour of the branch leadership by gate-keeping, despite their characteristics. Motlanthe further says the new leadership of ANC branches do not know the history and culture of the organisation they join. It is therefore necessary to steady change the organisation rather than the replacing of all old members by new leadership.

Cohen (1996) indicates that political appointees are also contributing to service delivery failure due to the fact that those appointed do not have managerial skills. He goes further to say people with necessary skills, qualifications and experience should be appointed as managers. These appointed at top management should also be loyal to the party as they will make and implement policies. Career managers and executives do not have a will to operate if they are not in support of the ruling party.

## **2. PROBLEM STATEMENT**

This is the first paper of its kind in reference to GGLM; it can therefore not be linked directly to other authors work. However, there are related studies in some areas done. The research is on service delivery. For the Limpopo Department of Agriculture Skhelele

(2010) says improper community consultation, lack of project planning, not considering stages of project development, not considering project implementation pre-requisite, lack of project office, insufficient application of project management principles, poor organisational systems, insufficient communication, lack of alignment of project objectives with that of the department and the sponsor lead to project failure. The relative deprivation and frustration-aggression that is prolonged due to rising expectations and rising gratifications can be followed by short period of reversal leading to a wide gap between expectations and gratifications. It brings in fear of loss and a fear that things will not continue to improve (Hough, 2008). The community's fear that builds over time can build less trust to the leadership. High expectations as well can damage a person's image. Community members generally talk about their dissatisfactions in community gatherings and happen to plan the way forward.

The Matsotsosela Bridge that connects people of Matsotsosela and Kheyi villages was started in 2001; it was completed in 2012/13 financial year with R9 million, 12 years after it was started, (Greater Giyani Municipality Reviewed Integrated Development Plan, 2012/13). The Dzumeri to Kheyi road was budgeted for R30 million in 2012/13 to tar 21,9km. The Xikukwani to Xivulani road was budgeted for R10 million, it covers 16km, (Greater Giyani Municipality Reviewed Integrated Plan, 2012/13). The Dzumeri to Kheyi road is again budgeted for R40 million in 2015/16, Integrated Development Plan Greater Giyani municipality 2015 to 2018. The road was in the Mopani District Integrated Development Plan (IDP) since 2006, tarring of the road is still to be

started since 2006, nine years after being budgeted for (Memorandum of demands, 2013).

Twala (2014:161) indicates that service delivery strikes started in the Free State Province due to the lack of free basic electricity and municipal corruption. It started in August 2004 as a way activating the councillor's performance. In some instances strikes on land and housing issues were the main causes of strikes followed by service delivery strikes. Some strikes are due to broken promises and due to government officials ignoring protesters (Steyller, 2012). Service delivery strikes are now a routine when people feel the project they expect is not started as scheduled and planned. Service delivery protest in some instances may be caused by incomplete projects, and projects that are not started despite being budgeted for, hence this research. Incomplete projects harm the morale and confidence of the communities. In some cases, some projects fail to start. Some projects will never be abandoned or left uncompleted. Therefore, this paper seeks to address the causes of projects failure in the municipality and how to overcome these failures in order to attain the objects of the local government as set in the Constitution of the Republic of South Africa, 1996 Section 152 (1). The recommendations of this paper will enable the municipalities to know how to use the resources they have to implement projects better and hence stability is realised in the communities.

### **3. RATIONALE FOR THE PAPER**

The Mopani District Municipality Mayor acknowledged the fact that as the municipality the other challenges faced by the municipality is the unfinished projects and the

stance against incomplete projects while resources were allocated should be taken. Unannounced visits to check progress and quality of work to projects would be done (Budget Vote Speech by Mopani Executive mayor, 2009). It is therefore true that there are projects that are not completed. In Rito (2013), the Greater Giyani Local Municipality Mayor assured the community of Giyani that the municipality would do everything in its power to address challenges faced by communities. He alerted the community that there were no electricity and sanitation meant for rural communities prior 1994. It is therefore imperative to find out if the promises made by political heads of municipalities are fulfilled. While the GGLM mayor was unpacking the 2014/15 budget, he again reiterated that services delivery projects such as roads infrastructure, electricity, water provisions, construction of culvert bridges, construction and maintenance of storm water drainage system, sports and recreational facilities need to be done (Rito, 2014). He however indicated that the community should pay for services as the municipality is owed R130 million on electricity. The resistance and reluctance by residents to pay for services then influences the service delivery and projects in municipalities. (Greater Giyani Municipality Reviewed integrated Development plan, 2012/13). Residents who do not qualify for free services do not feel compelled to pay for these services. The Greater Giyani Draft Municipal Turnaround Strategy (2010) gives following objectives:

- Ensure that municipalities are able to meet and deliver basic services to the community.
- Build clean effective, efficient responsive

and accountable local government.

- Improve performance and professionalism in municipalities.
- Strengthen partnership between communities, civil society and local government.
- Fighting corruption and improve good governance.

When municipality fails to collect rates on properties, service rendering is adversely affected. Services should therefore be paid for (Greater Giyani Municipality Municipal Property Rates Policy Draft, 2007).

It is necessary to conduct this paper in order to assist the society to understand why they should pay for services, because non-payment renders municipalities to be dysfunctional.

#### **4. LITERATURE REVIEW**

The Congress of the People in Kliptown in June 26, 1955 took a giant step to formulate the Freedom Charter. In some instances the Freedom Charter is seen as being skewed by the leading party by other people. From the Freedom Charter a lot can be driven that leads to service delivery protests. The Freedom Charter is still to be realised in many facets of life economically and socially. The current government, the ANC has done fairly good of course when coming to service delivery issues since coming to power in 1994 (Krugell, Ott and van der Merwe, 2009). South Africa is a multicultural country rooted with history of different levels of people, for example the rich and the poor, and has a potential to grow globally (Jackson, 2004:251).

#### **4.1. Causes of service delivery project failure**

Service delivery challenges in municipalities are generally in a lack of socio-economic programme implementation in local government (Mbazira, 2013). The Comprehensive Rural Development Programme (CRDP) is introduced by the Department of Rural Development and Land Reform (DRDLR) to address past imbalances, inequalities and injustices created by the apartheid government (Department of Rural Development and Land Reform, 2009). According to Statistics South Africa (2011) South Africa is facing backlog on service delivery issues such as housing, clean water electricity supply and food security. This is because South African municipalities are faced with challenges in the municipalities despite being in a second decade of democracy (Pretorius & Schurink, 2007).

Mbazira (2013:251) goes on to say that service delivery backlogs are caused by among other things such as decentralisation, mismanagement, corruption, incapacity to deliver to communities and lack of participation by the general public in participating in decision making processes. Pretorius and Schurink (2007) bring in a solution to service delivery challenges; they say interventions in programme management, creating conditions for sustainable service delivery, economic development and public participation can bring an end to service delivery challenges. Amundsen (1999) stresses the fact that corruption in poor countries is rife as compared to richer countries; in other words, when the country gets richer the level of corruption decreases. He further says that the more the power is legitimate the less the corruption. The

Greater Giyani Local Municipality is facing a backlog of the following roads: Mageva to Makhuva, Thomo to Hlomela, Ndhambi to Xitlakati, Mphagani to Xitlakati, Babangu to Msengi, Xikukwani to N'wadzekudze-ku and Mninginisi to Shangoni gate, these roads are not at good conditions at all, they must be tarred (Rito, 2015:12). Backlog on service delivery can bring about community revolt. According to Murwirapachena and Sibanda (2014:554-6), South Africa is a striking nation. They further indicate that strikes are caused by mismatch between wage offers and demands in public and private institutions, the union rivalry and the inequality, poverty and unemployment. Protests and strikes are caused by socio-economic challenges that emanates from the apartheid era, these challenges are long-lasting and have harmful effect to the nation (OECD, 2013).

Hough (2008) sites the following causes of protests: cultural cleavage, land tenure and economic development, political adaptation, social status, geography and demography, relative deprivation, the J-curve of rising expectations and the role of ideology, political motivation, service delivery promises not kept, crime, the gap between the rich and the poor, the conditions of governments departments derogating. When President Jacob Zuma spoke at Muyexe Village in 2009, he stressed the fact that service delivery in a form of electricity, water, flush toilets, roads, entertainment and sport centres, education, health, housing, energy, and shopping centres is needed in rural areas (Zuma, 2009). Krugell, Otto and van der Merwe (2009) indicate that service delivery in a form of formal housing, access to water, electricity, sanitation and refuse removal has increased across all provinc-

es since 1994. Marikana Commission (2015) says that the Lonmin mine was supposed to build houses to its employees and in doing that the national and the provincial government should be considered as well as consulting with the local authority. However, all these infrastructure initiatives need project management skills which can ensure that such projects are completed on time, within budget and with the right quality.

## **4.2. Impact of incomplete projects to service delivery**

Incomplete projects have social, economic and political impact.

### 4.2.1. Social

The citizens should be willing to support accountability at local level (Nguyen & Lassibille as cited in Joshi, 2010). Citizens should report corruption. Unethical conduct and corruption impacts South Africans negatively on service delivery (Vyas-Doorgapersad, and Ababio, 2010). Corruption should be reported, and dealt with harshly when such corruption is proved to be true. National high profile politicians corrupt the local government too, and milk it for their personal gains through illegal tendering, accepting bribes and unauthorised expenditure (Managa, 2012). This socially put the local government in a position not to offer services to their constituencies. The departments of Roads and Transport, Education, Public Works and Health of Limpopo government were put under administration, hence affecting service delivery in a negative way in the province (Managa, 2010).

### 4.2.2. Economical

Thobejane (2011:67) indicates that munic-

ipalities should have a future forecast and not address the current demands on service delivery only. This will boost investor confidence and hence economic growth. The Limpopo provincial government had accumulated unauthorised expenditure that grew from R1.5 million in 2009 to R2.7 million in 2011. The national government put five departments in Limpopo under administration as per Section 100 of the Constitution (Managa, 2012). This impacted negatively in service delivery.

#### 4.2.3. Political

The political rivalries in municipalities develop for positions and seats in the councils once appointed or elected, this impact the local government negatively (Vyas-Door-gapersad and Ababio 2010:415). Appointment in crucial civil posts such as senior managers are political and senior civil servants rotate from one job to another even when they are not effective, this lead to estrangement of the best potential managers, professionals and economists (Twalla, 2014). Political connections and appointments therefore impacts communities badly, and it is good for a particular political organisation as it will be known as an employment agency. Thabo Mbeki in ANC Today (2005) indicated that candidates at local government need to be elected to be councillors in order to gain access to material resources and to disperse patronage. Politicians can therefore manipulate nomination processes in their favour. Power hungry leaders do whatsoever to make sure they are elected in leadership position despite lacking leadership skills, and they in many instances they will make sure that

capable leaders do not become leaders.

## 5. RESEARCH METHODOLOGY

This study is based on a case study of Greater Giyani Local Municipality. The data is collected on the event, program or individual being researched through observations, interviews, past records and audio-visual materials or documents. The sample of the study included the following respondents: Five (5) traditional leaders, ten (10) municipal employees and twenty-five (25) community members. The total number of interviews conducted was 40. The Face to face interview method was used with the identified respondents to collect data. Data analysis was done through the use of content analysis. Kothari (2004) defines content as a way of analysing content or information from documented materials such as magazines, books newspapers and other contents that can be verbal or printed.

## 6. FINDINGS AND DISCUSSIONS

The findings and discussions are based on research questions being asked and are presented as follow:

### 6.1 Are all projects completed on time in your municipality?

Twelve (12) respondents said yes to this question, and twenty-eight (28) said no to this question. The respondents were to respond to this question based on the projects they know and have seen, not on rumours of projects not completed. Only 30% agreed that projects they know were completed in time while 70% said projects were not completed in time.

## 6.2: What can be the cause of the projects not completed in time?

The responses are captured in table 1 below.

**Table 1: Causes of projects not completed in time**

Causes for not completing projects in time
When projects are not monitored they cannot be completed in time.
Project not adequately budgeted for.
When project was resources are not enough due to poor budgeting.
When the projects are not well monitored.
Court interdict can stop project from continuing.
Project under budgeted due to lack of experience in budgeting for projects.
Lack of proper project planning.
Court order can stop delay project completion due suspicions of fraudulent and corrupt activities.
Poor budgeting.
When the company that was not given the tender goes to court to say that the tender was corruptly and fraudulently given to the other company
When budget is not enough and materials is not enough too.
When project is poorly managed.
Many projects are not well managed
Managing of projects is a problem

The respondents or the 70% who said projects were not completed in time. The respondents were supposed to give causes of projects not completed in time. Ten (10) respondents poor budgeting lead to projects not completed in time. Six (6) of the respondents said court interdicts prevent

projects from being completed in time. Another six (6) blamed poor management of projects. Four (4) indicated the cause of project not completed in time is lack of project monitoring. Two respondent blame poor project planning for projects not finishing in time.

### 6. 3 Can projects fail to start even when budgeted for?

The responses to this question are indicated in table 3 below.

**Table 2: Number of projects failing to start even when budgeted for**

Yes/No	Quantity	Percentage
<b>Yes</b>	<b>20</b>	<b>50%</b>
<b>No</b>	<b>20</b>	<b>50%</b>
<b>Total</b>	<b>40</b>	<b>100%</b>

**Table 2: Number of projects failing to start even when budgeted for**

Yes/No	Quantity	Percentage
Yes	20	50%
No	20	50%
Total	40	100%

Respondents were to say if project can fail to start when they were budgeted for. Twenty (20) respondents said projects can fail to start even when budget is available. The same number of respondents, ten (10), said projects cannot fail to start when budgeted for. A follow up question was asked

for those who said yes, project can fail to start. The question seeks a reason for project failing to start even when budgeted for to the forty (40) respondents.

Table 3: Reasons for projects failing to start even when budgeted for

Main reason for projects failing to start
Lack of knowledge on project planning from the Municipal level
Projects may be diverted to other places and not done in the place budgeted for due to corrupt leadership.
When those in authority do not benefit in that particular project they will divert it to their own area through corrupt means.
Corruption and maladministration
Money budgeted for cannot be available as budget are just estimates and not real things.
Court interdicts are the main reasons for projects to fail to start. There is no way a court interdict can be overruled.
Some managers are not having enough experience, knowledge and skills on project management.

Corruption is the main reason why projects fail to start. A project is said to have been done meanwhile it was never started. Those awarding a tender are in fraudulent relationship with somebody who was awarded a tender for the project.
Corruption and fraud
When the project was wrongfully budgeted for it can fail to start.

The table 3 above indicates responses from forty (40) respondents who said projects can fail to start even when budgeted for. It is a follow up question to question 3. Twenty (50%) respondents indicated that projects failing to start even when budgeted for. Ten (25%) respondents indicated that corruption can fail the project from starting even when budgeted for. Four (20%) indi-

cated the reason for project not starting as poor budgeting.

#### 6. 4 Who should carry the blame for projects failing to start even when budgeted for in the municipality?

The respondents gave the following answers as depicted in table 4:

**Table 4: Who should carry the blame for projects failing to start?**

Responses	Response
1.	The mayor should shoulder the blame.
2.	The mayor
3.	The municipal manager
4.	The mayor and his committee
5.	The mayoral committee
6.	The mayor is the only person to carry the blame
7.	The budget committee
8.	The Chief
9.	Budget committee
10.	The ward councillor
11.	The mayor and the ward councillor
12.	The mayor and the executive committee members of the municipality
13.	The mayor and the municipal manager

All the forty (40) respondents gave their responses. Thirty two (32) respondents which constitute 80% say the mayor should carry the blame for projects failing to start even when budget is available. One respondent indicated that the municipal manager should be blamed. Another respon-

dent put a blame to ward councillor. One blamed the chief and the last one blamed the budget committee.

#### 6.5 Is it good for the service delivery marchers to vandalise the community property such as schools and clinics during strikes for projects failing to start?



Table 5: Marchers vandalising property or not

Yes/No	Quantity	Percentage
Yes	4	10%
No	36	90%
Total	20	100%

Only four (4) respondents responded by saying it is good to vandalise property when striking, this is 10% of the respondents. The rest of the respondents, eighteen (36) or 90% said it is not correct to vandalise property during service delivery strikes because damaging the community's property is not beneficial. Actually the community loses even more.

### 6.6 How can the municipality deal with the backlog?

Table 6: Dealing with backlogs

Reason for respondent	Quantity	Percentage
Intervention from national or provincial government or department	22	55%
Ask for assistance from NGOs	4	10%
Stop new projects	4	10%
Stop Self-enrichment by government employees	2	5%
Employ qualified and experienced companies	2	5%
Know the cause of backlogs	2	5%
Allocate more money to backlogs	2	5%
No way backlogs can be addressed	2	5%
Total	40	100%

### 6.7 What could municipalities do to ensure that projects are completed in time?

The responses to this question are depicted in Table 7 below:

Table 7: Actions to be taken by municipalities in percentage

Reason for respondent	Quantity	Percentage
Award tender on merit	8	20%
Specify Time frame for completion of projects	6	15%
Project monitoring	6	15%
Project planning	4	10%
Deduction of money from payments if projects are incomplete	4	10%
Blacklisting companies which fail to complete projects	4	10%
Municipality should assess Risk in time	4	10%
No to tendering, rather head hunt professional companies	2	5%
Project should be well budgeted for by the municipality	2	5%
Total	40	100%

## 7. CONCLUSION

Through data analysis, it was clear that municipalities still have a long way to go in terms of ensuring that projects which are indicated in the IDP are implemented. Some of the challenges which the respondents listed as hampering the success of projects in Greater Giyani Local Municipality are the following: inexperienced contractors; irregular tendering processes whereby tender are awarded to incompetent companies and individuals; non-existent or inadequate budget from the municipality for specified projects; projects are started, but are never completed and many other reasons.

Through the implementation of the recommendations made the municipalities can avoid further strikes and loss of life and injuries. The government has to see to it that those injured during strikes are hospitalised, and those who died cost the government dearly. The government should then provide quality services to the communities they serve.

## 8. RECOMMENDATIONS

There following recommendations should be done in order to reduce municipal unrest due to lack of service delivery:

- Government should complete planned projects in time.
- Promises made by politicians should be fulfilled.
- Projects should be monitored.
- End corruption and fraud.
- Do not offer tenders to friends, relatives or family members.
- Project managers must be skilled.
- Interrelations between various government spheres should be improved.
- Management of service delivery backlogs and abandoned projects.
- International benchmarking on how other countries deal with strikers.

- Community awareness not to vandalise property.

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# WHAT IS IN A WORD? IMPLICATIONS OF UNIVERSITY -COMMUNITY ENGAGEMENT CONNOTATIONS AT HIGHER EDUCATION INSTITUTIONS

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## ABSTRACT

*Traditional responsibilities of teaching and learning at universities are losing hold in the evolving international debate on the role of Higher Education Institutions (HEIs) or universities in society. This is more so in the context of finding solutions to wicked problems such as crime, environmental degradation, and poverty and so forth. Wicked problems, or problems that do not go away despite concerted deployment of resources, challenge the conventional teaching and research that is responsible, up until now, for societal transformation. Wicked problems compel us to think innovatively about the role of universities if we are to move society forward. In this regard, finding solutions to wicked problems necessitate the involvement of surrounding communities or external stakeholders. This has led to the emergence of University-Community Engagement (UCE)-a third mission of universities. However, the contested nature of 'community' and 'engagement' and the different contexts within which UCE has evolved has thrown up questions such as-what is UCE? How can it be achieved in these different contexts? This paper reports on the process of answering these questions by developing a conceptual framework, participation typology, and principles that operationalises UCE in different contexts.*

**Keywords:** Environmental degradation, Higher Education Institutions, Participation typology, University-Community Engagement

## 1. INTRODUCTION

Traditionally, Higher Education Institutions (HEIs) or universities' responsibilities included teaching the citizenry and conducting research to aid social transformation. In this process, the citizenry's role was passive as receivers of knowledge and subjects in social science research. However, "the notion that universities contribute to social

development, by dint of its role in educating the citizenry is losing hold in the evolving international debate on the role of higher education in society" (Bernardo, Butcher, & Howard, 2012: 187). This is more so in the context of finding solutions to (super) wicked problems such as climate change, crime, environmental degradation, pov-

erty, and diseases (Rittel & Webber, 1973; Levin, Cashore, Bernstein, & Auld, 2012), and in which, the citizenry is expected to play an increasingly active role. Compelled by this reality, University-Community Engagement (UCE) became one of the tripartite missions of universities across the world, extending the responsibilities of universities beyond the traditional roles of teaching and research (Bernardo *et al.*, 2012).

The varying cultural, economic, political, and social contexts of different universities across the world have shaped the evolution of University-Community Engagement (UCE) in their institutions and countries (Bernardo *et al.*, 2012). An attempt has to be made to conceptualise and operationalise University-Community Engagement (UCE) despite this apparent divergence—a task we take on in this paper. To achieve task, the authors organised this paper into the following sections: Section 2—outlines the problem this paper tackles, Section 3—highlights the research design, Section 4—develops the conceptual framework that aids in the development of UCE typology and principles, Section 5—presents the UCE typology which is measure of the levels of participation in UCE activities by surrounding communities and/or external stakeholders, Section 6—sketches out the principles that guides the policy and practice dimensions of UCE, and Section 7—draws concluding remarks

## 2. PROBLEM STATEMENT

Bernardo *et al.*, (2012) highlights the fact that current concepts of University-Community Engagement (UCE) fail to recognise the economic (public or private ownership), geographic (Southern or Northern

hemisphere), political (founding values), socio-cultural orientation (traditional/religious or secular), and social (urban, peri-urban or rural) contexts within which universities operate. These different contexts tend to shape the nature of University-Community Engagement (UCE) at various universities. Failure to recognise these different contexts has led to a high proliferation of University-Community Engagement (UCE) conceptualisation and operationalisation. To make matter worst, the terms community and engagement are highly contested in themselves (Banks, Butcher, Henderson, & Robertson, 2003). Hence, it is crucial to operationalise University-Community Engagement (UCE) guided by the different contexts within which it exists and seek conceptual clarity to its highly contested concepts.

## 3. RESEARCH DESIGN

This is a qualitative desktop study utilising systematic literature review (Kitchenham, 2004: 1; Kitchenham, Pearl Brereton, Budgen, Turner, Bailey, & Linkman, 2009) and secondary data analysis methodologies (Onwuegbuzie, Leech, & Collins, 2012). A Boolean search of Ebsco Host, Emerald Insight, Science Direct, and South African Electronic Publications (SA ePublications) scientific databases was conducted. These scientific databases were considered in order to limited the various 'search results' biases such the North American bias (Ebsco Host), European bias (Emerald Insight & Science Direct), and the South African bias (SA ePublications). The following key search words were used in the Boolean search: 'Community Engagement', 'Community Engagement AND Higher Education', 'Community Engagement AND Higher Ed-

ucation AND Universities', 'Community Engagement AND South African Universities', and 'Community Engagement AND South African Higher Education Institutions'

Scientific literature search yielded thirty-one (31) peer-reviewed scholarly articles. A backward snowballing approach was used to identify peer-reviewed scholarly articles by searching the reference sections of leading articles. We excluded unpublished studies, conference proceedings, literature not published in English, and the Web of Science journal database.

## **4. CONCEPTUAL FRAMEWORK**

### **4.1. Contested nature of community**

When read separately, these two words that form the concepts of community engagement are highly contested ones (Banks *et al.*, 2003). First, the term community remains hotly debated, and in an attempt to answer the question-what constitutes a community? - ninety four (94) definitions have been thought up. Indeed, it is almost compulsory that any publication with the term 'community' in the title should have a section on this topic (Banks *et al.*, 2003) and this paper does not deviate from this norm. One of the difficulties with 'community' is that it falls into the category called an 'essentially contested concept'. As Banks and colleagues point out that 'community' has a descriptive, active, and an evaluative meaning. The descriptive and active meaning refers to features of the world that describe what it is to be a 'community' –for example, 'a group of people with something in common'. Its evaluative meaning comprises the value connotations that attach to the term –that is, 'community' is a positive term, and when used may conjure

up images of warmth, friendliness and collaboration.

It is in this line of thought that the three senses of community are summarised as follows:

4.1.1. *Descriptive community* refers to the social scientists' use of the term to describe a group or network of people, institutions, or organisations that share something in common. This generally involves both (social) interaction within the group or network, and a sense of attachment, identification with or belonging to. A distinction is often made between two types of communities: *territorial communities* and *communities of interest or identity*. In territorial communities, people have their geographic location in common, for example their neighbourhood, village or town. Whereas communities of interest or identity are based on characteristics other than physical proximity such as ethnicity (Chinese), occupation (professional membership organisations), religion (Catholicism), sexual orientation (LGBT) and so forth. However, these categories are not mutually exclusive, as some communities, such as mining villages, for example, may be rooted in both shared locality and common interest.

Whilst we would define descriptive community as entailing an attachment to a group or social network, it is important to note that the term is very often used in the context of policy and practice simply to refer to a geographical neighbourhood (for example, 'the Durban community'), or set of individuals ('the Black com-

munity') who may not actually feel any sense of attachment to or identity with the area or group referred to. Strictly speaking, this is a misuse of the term, but it is used so commonly that we need to take it into account. The term 'community' is often used in a policy context to mean simply people who live in an area and/or people who are not professionals. This is often what is meant when reference is made to 'community representatives', 'consulting the community', 'community development workers', or University-Community Engagement (UCE). This use of the term may imply a sense of belonging or attachment, even though there is none.

4.1.2. *Normative community/Community as value* –as already noted, 'community' not only has several different descriptive meanings, but it also has an evaluative meaning. 'Community' generally has positive connotations, conjuring up visions of warm, caring neighbourliness. However, precisely what values are embodied by the concept of community will vary according to the ideological position held. Butcher (1993: 14-17) identifies three 'community values' as: *solidarity*, *participation*, and *coherence*. In their strongest form, he argues, these are grounded in a communitarian philosophy. Although there are many different versions of communitarianism, broadly speaking they all hold to a view of the individual as constituted by society (Etzioni, 1995a; Etzioni, 1995b). What people are, and what they can become, is profoundly affected by their inherent disposition

and need to associate with, and to live a life with others in society. Butcher's three community values can be described as follows:

- *Solidarity* –the relationships that sustain community members at an emotional level. Solidarity is what inspires affection, even loyalty of an individual member towards the group;
- *Participation* –shared activities with others, through which individuals are involved in realising common goals and playing a part in the collective life and aspirations of the group.
- *Coherence* –the embracing by individuals of a framework of meanings and values that provide some overall sense of their world.

4.1.3. The meaning of *Active community* builds on and encompasses the descriptive and value meanings identified above. It refers to collective action by members of territorial or interest communities that embraces one or more of the communal values of solidarity, participation and coherence. This is the idea of community that public policy makers often have in mind when they seek to promote initiatives drawing upon community strengths and capacities. In the context of university community engagement (UCE), we can further distinguish between the internal and external communities. The internal community refers to the 'university community' comprised of academics and support staff working for HEIs



or Universities and the student populace. The external community refers to stakeholders that work together with the university including surrounding 'communities', corporate citizens, civil society organisations, and government departments (Abu Mansor, 2014).

It should be mentioned forthright that we adopt the active definition of community as it encompasses the descriptive and normative (value) meanings identified in previous paragraphs. These meanings will be used in the later paragraphs to derive the normativity, procedural, and empowerment principles. Hence, the term external 'active' communities to refer to outside individuals, groups, institutions, and organisations which universities engage with in University-Community Engagement (UCE) initiatives. This conceptual clarification of the concept of 'community', or external 'active' community, will assist in the conceptualisation and operationalisation of the term 'engagement'.

#### 4.2. Engagement typology

Definition from the Merriam-Webster dictionary unequivocally denotes that, in engagement, two or more partners, such as people, institutions, or nations, enter into an asymbiotic agreement or mutual destruction, as in the case of armed hostilities. The essence is that, in engagement, both parties actively participate. Engagement is akin to participation albeit more restrained than the latter. Developing a participation typology might lead us to the operational definition of engagement which can be

used as a yard stick to measure universities against. Without any further adjure, Reed (2008) warns us that, over the years, participation has become loaded with various meanings giving rise to a variety of interpretations. However, intentions of any programme, such as University-Community Engagement (UCE), determine the degree of participation by both external and internal 'community' members or the university community. First, these participation objectives might include mere information and consultation in which information or knowledge flows in one direction, either from the external community members (ECMs) to the university community members (UCMs) or vice versa. Second, during the involvement stage, the external 'active' community members (ECMs) and the university community members (UCMs) collaborate in the University-Community Engagement (UCE) initiative and information or knowledge flows in both directions. Third, the last stage of University-Community Engagement (UCE) is ownership of the UCE initiative by the external 'active' community members (ECM) resulting in empowerment (see Table 1). Last, various University-Community Engagement (UCE) activities should be judged by this engagement/participation typology. Again, the levels or degree of external 'active' community members (ECMs) participation in the University-Community Engagement (UCE) activities depends upon the objectives or intended outcomes/results of the UCE activities. Examples of UCE activities might include, but are not limited to, student internships, volunteer services, and social programmes and so forth (Bernardo *et al.*, 2012; Abu Mansor, 2014; Mtawa *et al.*, 2016).

## 5. CONCEPTUALISING AND CONTEXTUALISING UNIVERSITY-COMMUNITY ENGAGEMENT (UCE)

In the previous paragraphs we conceptualised the terms community and engagement by drawing on works from leading scholars in these fields (Abu Mansor, 2014; Bernardo *et al.*, 2012; Banks *et al.*, 2003). Our definition of an active community squarely fits the purpose (at least on paper) that universities have in mind when they engage external 'active' communities. We also distinguished internal community (i.e. university staff) to external community (i.e. non-university staff/outside partners). Whether or not universities practice what they preach by engaging external 'active' communities in a two way reciprocal process of participation remains to be tested-and it is a subject of another paper. The contested nature of community and overwhelming definitions of participation are daunting as concepts on their own, however, putting them together, as in the case of community engagement, makes for a challenge of daunting proportions-a task we took on this paper. We derived a University-Community Engagement (UCE) typology through the synthesis of scientific literature. We present this typology in Table 1 below.

Table 1: University-Community Engagement (UCE) Typology in the context of social science research

Stages of participation (i.e. degree of participation/rungs of the ladder)	Main purpose of participation (i.e. objectives of participation)	Characteristics of the stage (i.e. direction of communication flows)	Type of participation (i.e. theoretical basis/pragmatic participation etc.)	
<b>Non participation</b>	Manipulation	Powerful stakeholders uses powerless stakeholders to legitimise decision making	Non-participation	<b>Community Services</b>
	Therapy	Information/knowledge flows in one direction from the powerful stakeholder to the powerless stakeholders		
<b>Communication (Informing)</b>	Information	Information/knowledge flows in one direction from the university community members (UCMs) to the external community/stakeholders (ECMs).	Passive participation (degrees of tokenism)	<b>Community Outreach</b>
<b>Consultation (&amp; placation)</b>	Extraction	Information/knowledge flows in one direction from the external community/stakeholders (ECMs) to the university community members (UCMs).		
<b>Co-construction/co-design/Involvement (delegated power &amp; partnerships)</b>	Co-development (characterised by reciprocity of actions)	Flow of information/knowledge is arranged in both directions: from the UCMs to the ECMs and vice versa, in a process of shared learning (co-learning/collaborative learning).	Interactive participation (delegated power & partnership)	<b>Community Engagement</b>
<b>Decision/Empowerment (citizens control)</b>	Ownership	External community/stakeholders (ECMs) are responsible for the UCE initiative(s).	Active participation/self-organisation/citizens control (Citizens control)	

(Researchers' own synthesis inspired by Abu Mansor, 2014; Bender, 2008; Reed, 2008; Arnstein, 1969)

## 6. PRINCIPLES OF UNIVERSITY-COMMUNITY ENGAGEMENT (UCE)

We can derive the guiding principles of University-Community Engagement (UCE) from the above conceptualisation of community and engagement and the resultant typology. Guided by these concepts and typology we present the normativity, procedural, and empowerment principles of University-Community Engagement (UCE)

### 6.1. Normativity principle of University-Community Engagement (UCE)

Universities across the world pride themselves as guardians and champions of societal values such as equality, equity, human rights, and (social) justice and so forth (Bernardo *et al.*, 2012). Societal values are abstract ideals which evoke emotional reactions and are typically expressed in terms of good or bad, better or worse, desirability or avoidance. They define or direct us to goals, frame our attitudes and views, and provide standards against which human behaviour can be judged (Waas, Hugé, Verbruggen, & Wright, 2011: 1646). At the institutional level, the normativity principle can be applied as a useful tool to interpret the organisational culture or institutional values (i.e. founding values) of universities as espoused in their University-Community Engagement (UCE) policies and/or frameworks. These policies and/or frameworks spells out how external stakeholders, more in particular external 'active' communities, should be treated humanely or otherwise. This principle tells us about the social justice or injustice built-in the policies and/or frameworks of universities and their ultimate expression in University-Community Engagement (UCE) practice. Is UCE empowering or exploitative to the active communities or

external stakeholders with which universities work? Do university staff members understand their roles and responsibilities as moral champions of university values? Let us use Bernardo *et al.*, (2012) case study to shed light into how founding values can affect University-Community Engagement (UCE) policy and practice at the institutional levels. Bernardo and colleagues compare University-Community Engagement (UCE) at both the supranational (i.e. country) and institutional (i.e. university) levels between an Australian university and Philippine university. Both universities were founded by Catholic missionaries albeit they exists in different economic (developed and developing country), socio-cultural (religious versus secular country), and political contexts. These diverse contexts have shaped UCE in these institutions differently, with the Australian university pursuing a Mission-Based Model to UCE, and the Philippine university responding to the basic needs of its surrounding community through a Needs-Based Model-because of the high poverty levels in that country. Catholic religious values on which these two (2) were founded continue to influence their organisational culture and institutional values expressed in their UCE policies and practice, hence, the importance of the normativity principle in UCE.

### 6.2. Procedural principle

Ever since their founding, universities have driven the societal transformation agenda through scientific research (Bernardo *et al.*, 2012). They have continued to be sought after as centres of knowledge generation for the common good of human kind. However, wicked problems, or problems that seem not to go away despite concerted

deployment of resources, have compelled universities to seek new solutions. Wicked problems include, but are not limited to, crime, climate change, environmental degradation, poverty, diseases and so forth (Rittel & Webber, 1973; Levin *et al.*, 2012). These wicked problems challenge the modernity-era 'ivory tower' research that treats research participants from external 'active' communities as passive guinea pigs to be experimented on. Post-modernism and post-normal research (Wals, 2007) recognises the contributions that lay people (i.e. non-experts) from external 'active' communities can make in scientific research. Before we go any further, it is worth mentioning that we focus on the research aspect of University-Community Engagement (UCE) because research is one of the core businesses of any university and in certain cases it is carried out through University-Community Engagement (UCE) projects. We clarify this because of the fierce debates around what constitutes and what does not constitute University-Community Engagement (UCE)-a subject of another paper.

We then zoom into climate change as the super wicked problem of the 21<sup>st</sup> century (IPCC, 2007; UN, 2007; Levin *et al.*, 2012) to argue the procedural principle of University-Community Engagement (UCE) in environmental change research. Climate change research, or impact assessment studies to be particular, acknowledges that solutions to this wicked problem will not only come from the scientists but also from external 'active' communities. This is made more apparent by measurement issues in climate change, unlike in other sciences such as physics and its exact laws of gravity, climate change science is open to contestation from different schools of thoughts. Its

occurrence is a scientific fact but its magnitude and timeline remains contested and this is made more contentious by sceptics and their deep pocketed special interest donors. In recognition of this, universities would have to engage external 'active' communities and solicit their indigenous or local knowledge about climate change impacts and coping and adaptation strategies. Research conducted within the ambit of University-Community Engagement (UCE) seems to be the ideal platform to realise this. Reasons for such an approach has a theoretical grounding in scientific literature, as Kloprogge & Sluijs (2006) and Wals (2007) mention that the procedural principle states that there are benefits that accrues by the involvement of lay people from external 'active' communities in any initiative including in University-Community Engagement (UCE). These benefits include empowerment of actors, stronger social ties between the actors, ownership of projects post university staff intervention, better decision making, and informed policy and practice and so forth. Table 1 does indicate the different levels at which University-Community Engagement (UCE) can occur whereby the university staff and community members move from mere information and consultation to collaboration and partnerships and ultimately leaving the decision making process in the hands of the community members bolstering ownership of the UCE initiative.

### 6.3. Empowerment principle

The empowerment principle is borne out of values such as equity and equality espoused in the normativity principle. The empowerment principle states that both actors in University-Community Engagement

(UCE) initiatives should derive tangible and intangible benefits from this exercise. Normally, in the context of social science research, university academic would publish scholarly articles using field notes obtained from lay people in external 'active' communities. In fact, this has been the traditional approach to university research since time immemorial. The blurring of lines between University-Community Engagement (UCE) and scholarly research throws up opportunities for universities to once more claim the moral high ground by living up to this principle. This is crucial, more especially, in this era of research fatigue and apathy caused by many years of thief-like behaviour of university academics. Community engagement offers universities the chance to re-energise and reinvigorate external 'active' communities. However, this cannot only be achieved if the University-Community Engagement (UCE) relationship is symbiotic-meaning to the benefit of both actors. In fact, the perception that universities treat lay people in external 'active' community justly can help this cause. Hence, the empowerment should be an integral of University-Community Engagement (UCE) principles at all universities. The procedural principle can play an important role in attaining empowerment by fostering partnerships and collaborations based on equity and equality between University-Community Engagement (UCE) partners. Hence, the typology in Table 1 is crucial when planning University-Community Engagement (UCE) as it proposes ways of engaging external 'active' communities.

## 7. CONCLUDING REMARKS

In this paper, we conceptualised the problematic terms of 'community' and 'engage-

ment'. This conceptualisation aided the process of operationalising University-Community Engagement (UCE) by developing a participation typology for- and principles of- University-Community Engagement (UCE). The UCE participation typology sketches out the various levels at which university community members (UCMs) can engage with external 'active' community members (ECMs). The University-Community Engagement (UCE) principles can guide the processes of policy development and implementation through UCE practice. These conceptual framework, participation typology, and principles will guide University-Community Engagement (UCE) here and elsewhere.

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# STATE AND CIVIL SOCIETY RELATIONS PERSPECTIVES FOR GOOD GOVERNANCE: PROPOSITIONS FOR THE AFRICA AGENDA 2063 ASPIRATIONS

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## ABSTRACT

*There is a growing role of civil society in inspiring citizen action across Africa and the world. This has seen a momentum considering the growing connectedness, enhanced by information and communication technology innovations. Though there is a worrying sluggish progress by established institutional powers within nations, for engagement with civil society, there is recognition of good governance avenues, cited in the role of civil society on supplementing and regulating the state and the market. This importance is also noted by multilateral and global institutions such as the African Union, African Development Bank, United Nations and the World Bank. This paper explores state-civil society relations literature, in order to inspire scholarly perspectives for good governance towards achieving the African Union Agenda 2063. The paper is narrative in its nature. Hence governance is applied as a theoretical stance. The paper argues that there is a positive acceptance of civil society as a strategic partner in achieving national and regional aspirations, as with it is with the Agenda 2063. The paper concludes by adding that new multi-levels engagements and dialogues are needed to contextualise and steer new socio-political ideologies for a radical wake of a new social labs to facilitate the agenda of a unified civic driven Africa.*

**Keywords:** Civil Society, Governance, Africa Agenda 2063, State

## 1. INTRODUCTION

The year 2015 was the watershed year for the global development discourse, and thus marked the winding down of the Millennium Development Goals (MDGs). It also marked the wake of a new agenda which will shape global development for years to come – more precisely the post-2015

Sustainable Development Goals (SDGs). Governments and their constituencies are central to the achievement of such global commitments. Therefore the development of governance approaches within regions remains critical to position collective representation and guided participation in the global political economy (NEPAD, 2001; Pere, Pressend, Ruiters & and Zondi, 2008).

Africa has been no exception in this case. The development of the Organisation of African Unity (OAU) in 1963, followed by the African Development Bank in 1964 and the conversion of the OAU to the African Union (AU) in 2002 indicated Africa's unity in the idea of a collective and integration for strategic global participation (Tieku, 2007; AU, 2013; AU, 2016). This idea has been supported by states and often their conceptualisation is influenced by socio-political ideology trade, through civic dialogue among diverse forces (Nyaxo, 2004; Moyo, 2007; Englebert, 2009). Civil society organisations play a great role in the achievement of the desired inclusive Africa (AU, 2015). This is evident in inculcating the idea of Africa's collective identity, culture, politics and economics in the discourse and activism within civil society organisations (Hearn, 2001; Adetula, 2016). However the idea of integrations remains a complex phenomenon, hence Africa presents a complex socio-political and economic environment. Notwithstanding that Africa is part of a complex world and is subject to the trends and emergence of interconnected and dynamic realities that are prevalent today.

Contexts of state–civil society relations in Africa presents complex and diverse scenario because of its colonial history. African states have been in the past and to some extent continue to be sensationalised (particularly by the media) as a place of coups, famines, corruption and gross inhumanity (Hearn, 2001; Ellis, 2007; Meagher, 2007; Englebert, 2009). This was accompanied by largely underrepresentation in global forums, marginalisation in global negotiations, debates and decision-making process (AU, 2013: 2). The idea of state–civil society partnership presents a renewed sensation of a collec-

tive Africa driven by civic power than institutionalised government hegemony. This is in the sense that civil society engagement with the state and other constituencies create avenues for a people centred and responsive governance than just government (Biekart & Fowler, 2009; Vincent-Jones, 2006). The role of civil society in inspiring, supporting and promoting practices of civic driven development and democracy has continued to thrive, despite challenges of dealing with obstinate governments and market-economy powers.

This explores perspectives of African state – society relations in order to inspire propositions for good governance towards the Africa Agenda 2063. The paper uses a narrative literature review approach as a method. Scientific literature review papers are methodological studies which use database search to retrieve results of research, and have their main goals, objectives and theoretical discussion of a specific topic (Green, Johnson & Adams, 2006; Cronin, Rayan & Coughlan, 2008; Randolph, 2009). Narrative literature review describes and discusses the state of science in a specific topic from a theoretical and contextual point of view (Gray, Bebbington & Collins, 2006; Enferm, 2007; Randolph, 2007). Narrative analysis is more qualitative, while on the other hand systematic literature reviews are systematically planned to answer specific research question using specified methodology for identifying, selecting and critically evaluating of studies in a specific topic.



## 2. THE IDEA OF CIVIL SOCIETY IN AFRICAN CONTEXT

The concept of civil society continues to receive deferent definitional connotations for scholars and discourse. Civil society has presented wide contestations of its meaning and application, (Gebre-Egziabher, 2001; Sievers, 2009; Benequita, 2010; Jaysawal, 2013) to an extent that some has rendered it to mean anything that is not done by the state or the market. Therefore exploration of the concept of civil society must be considered in order to contribute valuable inputs, particularly for a partnership with the state. The point being that there is to some extent confirmable understanding of what the state and market are than the emerging so called civil society (Althusser, 2006; Kapferer, 2011). Civil society as a sector is broadly understood as the occupation of the space between, family, market and the state (Gray, Bebbington & Collins, 2006; CAFSA, 2012). Civil society encompasses the way in which society organises itself to promote or discourage discourses in their communities. Commonly it is viewed as the voluntary sector where communities organises, provides services, undertake policy dialogue and advocacy.

Political theories like John Locke, viewed civil society as when society strives to define and develop political legitimacy, where politics represents the order of a good life desired by society (Gebere-Egziabher, 2001), in which case society determines the rules and norms of political legitimacy. Civil society is social spaces where commons interact in ideological transactions, to determine a suitable state of public affairs within their polity. These interactions are constituted by ongoing dialogues, producing civic driven change in governance (Biekart &

Fowler, 2009). Though there are arguments that the concept has ancient roots (Siligman, 1995; Kean, 2013), the recent idea of civil society originates with the enlightenment of the 18<sup>th</sup> century. In the context of the enlightenment civil society was referred to as associational life organised spontaneously by community based on their common interests and values (Pearce, 2002; Edwards, 2009; Colas, 2013; Hall, 2013). This notion emphasised communities' requirement of cooperative behaviours for survival (Sievers, 2009), notably independent from the state, family and the market. The concept has however thrived to be commented about in other sectors, including private sector, public sector and political discourses.

In order to make effective contributions the paper lean on the definition provided by the London School of Economics and Political Science, Centre for Civil Society (LSE). The LSE puts it that "*Civil society refers to the arena of uncoerced collective action around shared interests, purposes and values. In theory, its institutional forms are distinct from those of the state, family and market, though in practice, the boundaries between state, civil society, family and market are often complex, blurred and negotiated. Civil society commonly embraces a diversity of spaces, actors and institutional forms, varying in their degree of formality, autonomy and power. Civil societies are often populated by organisations such as registered charities, development non-governmental organisations, community groups, women's organisations, faith-based organisations, professional associations, trades unions, self-help groups, social movements, business associations, coalitions and advocacy groups*" (LSE,

2006 cited in Merkel, 2012: 335; Jaysawal, 2013: 2). The paper leans on this definition considering that it covers most of the conventions about what civil society is in contemporary literature. In order to ensure that this adopted definition covers adequately what has been viewed as civil society, the paper unpacks and compares the definition with used definitions of the concept. It is worth noting however that each stance is worth special attention as a focus of research about civil society. Hence the focus of this paper is on the civil society-state interface on the issues highlighted on the Africa Agenda 2063.

### **2.1. Uncoerced Voluntary Actions**

LSE begin their definition noting that “civil society is an arena of uncoerced collective action around shared interests, purposes and values”. This is from the view that people in civil society organisations are voluntary actors, who seeks not profit in return of their service or participation (Kanyinga, Mitullah & Njagi, 2007; Scholte, 2007). Membership to civil society organisations is thus stimulated by the free will of participation by members, with consciousness to the non-monitory or material beneficitation. Civil society formation should not be bound to state rules or regulation but by spontaneous actions of community members. These actions are those that are collectively undertaken as a means of promoting or discouraging discourses that affects citizens’ lives (Cuong, 2008; wollebae & Selle, 2008, Edwards, 2009). Although civil society organisation may generate revenue they may not seek for profit, but rather give back to the organisation to further serve its social causes in society. Thus civil society organisation

can engage in business like operations, which benefits society rather than individuals.

### **2.2. Shared Interests, Purposes and Values**

Civil society represents groups and organisations, which act independent of the state and market to promote diverse interests in society (Jaysawal, 2013; Ndou, 2014). Civil society organisations promotes shared interests, purposes and values of collectives, in self-generating, self-supporting and state-independent organisations that allows its members to act collectively in the public sphere. Civil society as opposed to the state and the market, it represents cultural forces that emanates from societal values, beliefs and norms (Kanyinga, Mitullah & Njagi, 2007). This makes civil society to form associations to promote social justice, moral generation, education, human rights and cultural protection groups. While at the other hand the state represents political forces and the market economic forces.

### **2.3. Civil Society Institutions are Distinct from the State, Family and Market**

Civil society though public in their activity, they are private in their institutional form, in that they are not public as government institutions. The distinction mainly is evident in their funding models. Civil society organisations’ funding is mainly privately sourced, as opposed to public tax based funding for government institutions (Colhoun, 2011). Civil society organisations are self-governed, in the sense that they operate within a legal framework, independent of the state, and are under no interference by

other organisations, including that of family and market except in contexts where the state funds activities of civil society (Gray, Bebbington & Collison, 2006). In which case, civil society is required to account for such funding to the state. However the state would not interfere in the operations of the civil society organisation concerned. Further it is non-profit, in that there are no material benefit speculated to the founders of civil society organisations. Civil society as opposed from business (private sector) it does not engage in business operations to benefit individuals, but for the benefit and pursuit of social cause (Counig, 2008). Civil society organisations are organised society with institutional realities, which distinguish them from informal structures such as the gatherings, movements and families (Ancheier, 2000).

#### **2.4. Blurred, Complex and Negotiated Boundaries with the State and Market**

Civil society is regarded as promoting socially coordinated public action among their members and other citizens (Krishna, nd: 1). Cameron (2008: 1) contextualises civil society as the sphere of social interaction between the economy and the state. The edges of interface between the state, the market, the family and civil society are often blurred, complex and negotiated, due to the interactions and mutual influences among these sectors (Counig, 2008). The context in which civil society relates to the state and the market are more complex and sometimes difficult to notice. This is because most of problems today cannot be associated with one sector. For instance civil society's interest in advocacy for sustainable development and environmental

protection is a central issue in modern business and policy practices. More other issues that mark the proliferation of civil society are important for both the public sector and the market, these include education, politics, policy and human rights.

#### **2.5. Civil Society Embraces a Diversity of Spaces, Actors and Institutions**

Civil society has been conceived as located in the space between the family, market and the state. In Cameron (2008) civil society is described as the space of collective public actions as well as the actors and institutions that populate such a space. As noted issues confronted by civil society cannot be subjected to one sector. However civil society activities are carried out in various settings, which affect varied organisational set-ups and players. Many civil society organisations are made of many institutional memberships, and individuals drawn from many sectors including the public sector, political society and economic society (Salamon, 2010; Low & Smith, 2013; Hassan, 2015). Civil society is now organised in dynamic and productive spaces, most notably the cyber space (Garratt, 2006; Ellison, Lampe & Steinfield, 2009; Clark, 2012). Internet aided interactions and dialogues have seen proliferation, accounting to advances in information and communication technologies.

#### **2.6. Civil societies are often Populated by Organisations of May Forms and Purposes**

Civil society is often recognised by its population. For instance there are a number of authors that cites civil society as the aggre-

gate of a range of organised groups and institutions that are independent of the state, self-generating and self-reliant. Civil society is constituted of organised societies, possessing institutional reality (Anheier, 2000; Pekkanen, 2006; Edwards, 2009). In this case the populations or types of organisations that must be included or excluded in civil society must be clear. For instance civil society has been viewed as not seeking to win state control, power or positions, but persuades the state concessions, benefits, policy change, institutional reforms, redress, justice and accountability. In this regard civil society excludes all groups and individual who run for power in government

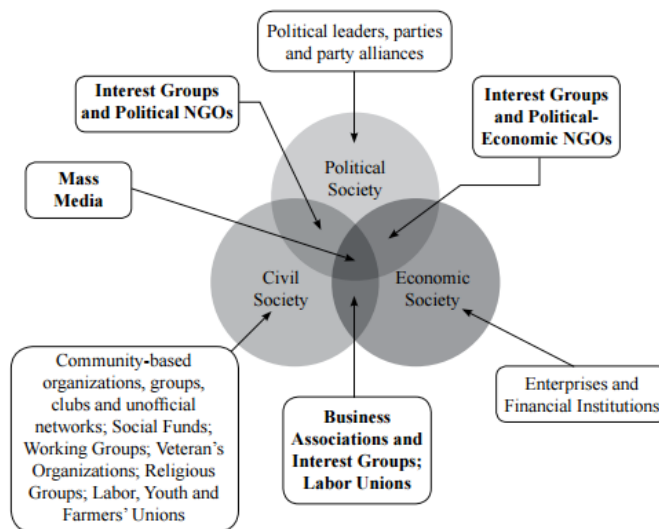
office. Therefore political parties are excluded from civil society and form part of political society.

### 3. CONTEXTS OF STATE-CIVIL SOCIETY RELATIONS

Civil society is concerned with public rather than private ends. It is thus deferent from parochial society (Diamond, 2009: 8). Civil society also relates to the state in some way, which is blurred, negotiated and complex. In its relations to the state it does not seek to control over the state. Thus civil society does not seek to govern the polity as a whole (Diamond, 1997: 8). Coung (2008:16)

differentiates between civil society, political society, economic society and institutions of the family. To explain the context of state-civil society relations, the paper adopts Howard's (2003) model of defining civil society position in a social system.

Figure 1.1 Model to define civil society position in a social system



.1 Model to define civil society position in a social system

r adopts Coung'amily. to e state cessions, benefits, policy chaSource: Howard (2003: 38).

From this framework Howard, displays the interface of three sectors, from which the diverse spaces and groups of civil society can be located (Cameron, 2008; Coung, 2008). This model provides a clear picture that civil society is the acts in between several spheres of society,

depending on a particular interests, which ranges from social, political and economic (Biekart & Flower, 2009; Hassan; 2015). In order to classify therefore the approaches of state-civil society relations, on the basis of this framework, there is a need to identify the reasons for interactions. For instance a civil society that is found between civil society and political society or that which is found between economic society and political society. These former are interested in influence the state, in their institutional and social formation. The later instead is interested in influencing either government or the economic society in the affairs of the economy. Basically there are three positions that motivate the interface between the state and civil society. Which are discussed in the following:

### **3.1 The Social Context of State-Civil society Relations**

The basic assumption about civil society is that it emanates from the social behaviours that accumulate and preserve cooperative attitudes, social values and interests. It equips individuals with the necessary skills to understand their inadequacies, to learn to act collectively with others to achieve agreed objectives (Hearn, 2001; Brown & Jagadanadana, 2007; Calhoun, 2011). This provides the state with good citizens which require minimal state intervention (Wang & Young, 2006; Ataei & Enshae, 2011; Zhang, Xue, Wang, Zhang & Gao, 2012). The state therefore is required to provide guidance and support for flourishing civil society, which does not compromise principles of good governance and democracy (Rau, 2006; Satterthwaite & Mitlin, 2013). In most cases it is the main objective of govern-

ment to promote effective and inclusive governance, civil society therefore informs provides platforms for dialogue and continued social inquiry (Anheier, 2000; Habib, 2003; Biekart & Fowler, 2009). Government is the custodians of the social welfare of the people. Development of social policies that are embedded in the social, political and cultural contexts of society requires inclusion of practical and lived experiences of the society (Simmons, Dobbin & Garrett, 2007; Deci & Ryan, 2012). This context resides within grassroots organisations that gather the social values and norms of society and preserve them. Civil society is socially resourced to build social capital, from which political society can draw public leaders, who understand the social aspiration of society.

### **3.2 The Political Context of State-Civil Society Relations**

Good governance of public affairs, emphasises the importance of the extent to which governments programmes are directed by the society they are served to (Stoker, 1998; Gridle, 2007; Castell, 2008). Civil society in this case channels the voices of the poor and marginalised people in society. These ensure that the views of the poor are witnessed in the development, implementation and examination of the application of state policy. States that strives towards good governance improves its legitimacy through civil society's participation in decision making, as civil society is regarded as preservers of public interests (Arko-cobbah, 2006; Steffek & Nanz, 2008). Evidently civil society ensures strong transparency and effectiveness in all democratic processes, from elections to service delivery itself

(Brown & Jagadanandana, 2007). At times civil society does provide public services to communities, which are primary roles of government. Government can thus promote such services by funding civil societies act to supplement and complement public service.

### **3.3 The Economic Context of State-Civil Society Relations**

A market economy cannot operate efficiently without civil society and the state for many reasons, including regulations of unfair competition, protection of society, collective labour bargaining, and consumer protection (just to mention a few). Transaction in any economic system requires the participation of good citizens and agreed mutual trust among such citizens (Castells, 2008; Cuong, 2008; Somers & Wright, 200). For government to develop economic policy, it requires strong participation of both the economic society and civil society, to contextualise policy positions that balance the interest of both the sectors. In the recent developments, there is a growing concern about the contribution of industry to environmental challenges. This has manifested in the growth of policy and civil society organisations that are driven by the environment agenda (Allen, 1997; Edwards, 2009; Kean, 2013). State-civil society relations are critical in developing sustainable communities. Improving economic growth requires a strong entrepreneurial culture, which can be cultivated from economic NGOs. Governments' ability to ensure an enabling environment for such kind of civil society, has far reaching benefit for citizens, which is the ultimate goal of government.

### **3.4 African State-Civil Society Relations**

The African state-civil society relations present an interesting and yet complex context. Africa in general has been viewed by the world as largely under developed and lacking coherent governance systems (Ellis, 2007; Meagher, 2007; Obadare, 2011). Civil society reports shows growing hostility by states towards civil society and social cause. In order to ensure the achievement of the paper's objectives, the paper will engage contexts of state-civil society relations approaches, seeking aspects of state-civil society relations that can contribute insights to partnership towards the Africa Agenda 2063. There are clear cut context that characterises civil society as distinct from the state and the market as demonstrated in the earlier discussion of the paper. However there are interfaces that have been remarkable about civil society and the state (Scholte, 2004; Finke, 2007; Calhoun, 2011). In most instances civil society arguments are placed that governments has a role to play in the creation of environment where civil society should flourish. In order to do so, government should interact with civil society, the market and other stakeholders to ensure that activities of every sphere of society are beneficial to the public in general. Recent literature of the context of state-civil society indicates emergence and unpredictable patterns (Moran & Elvin, 2009; Pahl-Wostl, 2009; Loorbach, 2010; Ghosh, 2011). These are evident in the rage of public unrests over socio-political upheavals. The relations between the state and civil society in Africa present tensions and trials. Most are known of imbalances of power and privileges. Funding constrains continue

to hamper civil society's performance. In many instances civil society is marked by international funding and influence, with less relevance to local communities.

#### **4. AFRICA AGENDA 2063 AND COMPLEX GLOBALISATION CONTEXTS**

As part of lessons learned from the review of past Pan-African plans, the African people through the African Union introduced an African Agenda 2063. In the Agenda 2063, the AU calls for mobilisation of the people and their ownership of continental programmes at the core. It promotes the principles of self-reliance and Africa financing its development; the importance of capable, inclusive and accountable states and institutions at all levels and spheres and holding the government and institutions for results (AU, 2015:1). In this Agenda, Africa rededicate itself to the enduring Pan African vision of "an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the international arena (Airhihenbuwa, 2006; Adogambe, 2008; James, 2012). In this views and contexts of Africa, it is well established that Africa is seeking a strategic role playing in the global political economy. Hence the establishment of civic driven change is at the centre of the call for people and their ownership of development programmes in the continent. Civil society remains organisations at grassroots in which African states can set the Agenda for an integrated prosperous and peaceful Africa (Shivji, 2006a; Ellis, 2007; Young, 2007; Glasius, 2010). The value of civil society is increasingly recognised in international communities. Civil society continues to play a diplomatic role in conflict resolution and cooperation with

other civil society across the globe.

At the centre of the Agenda 2063 are seven aspirations, which the continent is committed to act together and achieve (AU, 2015: 2). These aspirations are:

- A prosperous Africa base on inclusive growth and sustainable development
- An integrated continent, politically united and base on the idea of Pan-Africanism and the vision of Africa's Renaissance
- An Africa of good governance, democracy, respect for human rights, justice and the rule of law
- A peaceful and secure Africa
- An Africa with a strong cultural identity, common heritage, shared values and ethics
- An Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children
- Africa as a strong, united and influential global player and partner

In all these aspiration, a strong partnership between the state and civil society, can create progressive alliance, and be responsive to emerging community needs. The aspirations in their setting underpin the development agenda in the global arena presented in the post-2015 Sustainable Development Goals. Therefore a strong state-civil society relation has a potential of making Africa a strategic player in global issues. If Africa committedly engages in these aspirations, to unify its socio-political

and economic discourses, it will be a dynamic force in the global political economy and decision-making.

## **5. STATE-CIVIL SOCIETY RELATIONS CONTEXTS FOR PROMOTING THE AGENDA 2063**

In order to achieve the objectives of the Agenda 2063, governments of African states should organise themselves to implement such an agenda. This can be achieved only if conducive environments for dialogue and interactions between all sectors of society are provided (Shivji, 2006b; Rotberg, 2009). African state commitment to these aspirations and their achievements require strong governance principles, which are recognised by the African community. Governance principles in Africa should be embedded in the idea of unity in Pan-Africanism (Carmichael, 2007; Adogamhe, 2008; Shivji, 2009; Martin, 2012; Sherwood, 2012). This is to secure a governance context that recognises Africa is a unique and complex society, with its own cultures that does not compromise, human rights and their collective identity (Stoker, 1998; Shivji, 2006a; Young, 2007). The concept of governance remains critical as an approach of achieving agreed programmes, like the Agenda 2063. Contextualising contexts in which government and civil society interact, in the decision making and their implementations are critical for Africa today.

Governance as opposed to government signifies a change in the condition of ordered rule. Governance is concerned with the creation of conditions for ordered rule (government) and collective action (Civil society and the market). The outputs of governance are rather not deferent from those

of government; it is rather the deference in the process (Rotberg, 2009; Bevir, 2011; Crook & Booth, 2011; Monga, 2012). The process of governance recognises the role of multiple stakeholders in decision making, implementation and evaluation, while government is in pursuit of public interests through the political society. In the case of government the state is dominant and their decisions are commonly state-centric. In governance political society, economic society and civil society interact to shape the behaviours of a minimal state (Makinda & Okumu, 2007; Kaufmann, Kraay & Mastruzzi, 2009; Monga, 2012). This is a context in which government works with organisations and institutions that represents contexts and lived expressions of the public. Governance creates a condition for states and civil society to recognise their joint responsibility to tackle socio-political and economic challenges of society. Governance is a proposition for what Stoker (1998:18) recorded as five propositions for governance as a theory. The propositions includes viewing governance as : 1) a set of institutions and actors that are drawn from but also beyond government; 2) Identifying the blurring boundaries and responsibilities for tackling social and economic issues; 3) identifying the power dependence involved in the relationships between institutions involved in collective actions; 4) Autonomous self-governing networks; and 5) recognises the capacity to get things done which does not rest in the power of government command or use its authority. In this context, it is clear that state require some level of cooperation with civil society and the market to get programmes going.



## 5.1 Embedding the Africa Agenda 2063 in State-Civil Society Relations

In order for African states to develop strong governance position, it should develop governance contexts that will guide the participants on the role for promoting the Africa Agenda 2063. Civil society as described in the above interacts with the state in various contexts that includes social, political and economic pursuits. The prevalent challenges of the continent are marked by multiplier effects, which demarcate them within various spheres (Yartey & Adjasi, 2007; Booth, 2012). In order to pursue the Agenda 2063, African states need to create a conducive environment, allowing a free flow of relations between actors. This can be through establishing partnerships with civil society that promote principles of good governance (Arguden, 2011; Brinkerhoff, 2011). Civil society can be useful in shaping and monitoring the state and thereby promoting democracy and protecting human rights. Promotion of a vibrant and capable civil society to supplement African states in their developmental mandates, require established funding and support (Davaranjan, Khemani & Walton, 2011; Scholte, 2011; Grindle, 2012; Van Rooy, 2012). Development of legal frameworks that guide civil society relations with the public and private

sector is critical. This will also help reduce misuse of civil society by private individuals and capital. This should be done with clear intentions for the promotion the seven African aspiration outlined by the Agenda 2063

## 6. CONCLUSION

The aspirations outlined by the Agenda 2063, can only be achieve if African states involve communities in their governance. Upholding principles of good governance that promote the view that government needs regulation and support from diverse forces of civil society. Governance as new approach of public administration is critical and needs to be conceptualised in the context of the African people. This is on the view that if African governance should be one which serves the interest of Africans, most notable within the contest of Pan-African views. Civil society, states and markets in Africa needs to reinvent themselves to fit such contexts of African governance embedded in the Agenda 2063. New multi-levels engagements and dialogues are needed to contextualise and steer new socio-political ideologies for a radical wake of a new social labs to facilitate the agenda of a unified civic driven Africa

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# GOVERNANCE OF BLENDED PEDAGOGIES IN THE 21<sup>ST</sup> CENTURY FOR PARTICIPATION IN THE KNOWLEDGE ECONOMY

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## ABSTRACT

*The implementation and operationalization of educational Information and Communication Technology (ICT) is assumed to be helpful in increasing opportunities for teaching and learning as well as improving the participation and engagement of countries in the global knowledge economy. Effective integration of technology into pedagogically appropriate teaching and learning activities is founded on the premise that classroom environments could be transformed into "collaborative and interactive spaces" for development of skills associated with creativity, innovation, adaptability and flexibility among learners. Furthermore, the integration of ICT in education is capable of building talented teacher communities through which best practices and success stories can be shared and thus, motivating each other and also improving the quality of pedagogy. However, all these aspirations cannot happen through osmotic processes, a number of preconditions such as planning, governance, infrastructure, skills and culture plays a crucial role in the implementation of blended pedagogies. This paper theoretically argues that in addition to other preconditions necessary for successful implementation of blended learning, governance is key. For the purpose of this paper, international experiences related to the governance of blended pedagogies are discussed in order to establish the models adopted and also the inclusion of non-state organizations and communities. The paper concludes that adaptive governance model holds the potential to be suitable for blended pedagogies because it provides for continuous and unexpected changes, with unpredictable consequences as well as co-management with a number of stakeholders.*

**Key Words:** Governance, Blended Pedagogies, Digital Transformation, Education System, Knowledge Economy

## 1. INTRODUCTION

For effective engagement in the knowledge economy necessary for national development purposes, the most important sector that requires changes is education (Button, Harrington & Belan, 2014; Wolff, Wagner, Poznanski, Schiller & Santen, 2014; Glušac, Makitan, Karuović, Radosav & Milanov, 2015; Skryabin, Zhang, Liu & Zhang, 2015; Valtonen, Kukkonen, Kontkanen, Sormunen, Dillon & Sointu, 2015). In the context of information societies, Information and Communication Technology (ICT) is perceived as one of the most important tools in changing the education sector (Button et al., 2014; Skryabin et al., 2015). Therefore, many countries have implemented educational ICT related policies and plans, also invested resources in necessary infrastructure in schools with the hope to build learners' 21<sup>st</sup> century skills necessary for knowledge economy (Button et al., 2014; Wolff et al., 2014; Glušac et al., 2015; Valtonen et al., 2015). A number of factors had an effect on the changing nature of the economy from agricultural and industrial to knowledge which include, among others, "progress in ICT levels", "fast developing new technologies", "global competition", "liberalization of markets", as well as "raising the quality of life" (Achim, 2015: 1201). Therefore, the current economic structures depends on the increasing importance of knowledge and technology as the primary means of production and economic development and growth instead of labour and/or land. Knowledge economy is regarded as the stage of "global economic development" which emerged after the agricultural and industrial ages which were mainly based on land as well as capital and labour (Weber, 2011; Achim, 2015). Accordingly, "In such

an economic context, knowledge itself becomes the economic value and source, which inevitably creates a change in the principles of production and the division of labour (Susar, 2014: 2295) thus, creating correlations between pedagogy and the economy.

The extent to which learners acquire knowledge is largely influenced by compatibility of their learning styles and teachers' didactic methods (Pegrum, Oakley & Faulkner, 2013; Button et al., 2014; Peeraer & Van Petegem, 2015; Glušac et al., 2015; Gu et al., 2015; Kearney, Burden & Rai, 2015; Valtonen et al., 2015; Wolff et al., 2015). However, conventional didactics offer the level and standard of education that deny learners the opportunity to compete in the knowledge economy arena (Gu et al., 2015; Wolff et al., 2015). Additionally, lack of integration of digital technology in teaching and learning compromises ICT skills development of both teachers and learners which are now paramount in global capitalist development (Pegrum et al., 2013; Peeraer & Van Petegem, 2015; Glušac et al., 2015; Gu et al., 2015; Wolff et al., 2015). The intellectual capabilities needed for knowledge economy, inclusive of analytical, interactive and computing skills, among others, cannot be acquired through conventional didactics (Pegrum et al., 2013; Button et al., 2014; Peeraer & Van Petegem, 2015; Glušac et al., 2015; Gu et al., 2015; Kearney et al., 2015; Valtonen et al., 2015; Wolff et al., 2015). Therefore, the implementation of educational ICT is assumed to be helpful in increasing opportunities for teaching and learning as well as for reducing the gap between socioeconomic factors and educa-

tional system outcomes (Button et al., 2014; Wolff et al., 2014; Dolenc & Aberšek, 2015; Glušac et al., 2015; Skryabin et al., 2015; Valtonen et al., 2015). Furthermore, the integration of ICT in education is capable of building talented teacher communities through which best practices and success stories can be shared and thus motivating each other and also improving the quality of education (Button et al., 2014; Skryabin et al., 2015). However, the integration and implementation of ICT in education is to a large extent, determined by the planning, governance, infrastructure, skills and culture.

Many countries have incorporated e-learning in education, relating to various curricula; however, complexities concerning computer and information literacy among both learners and teachers have hindered the advancement of the envisaged pedagogic efficacies (Button et al., 2014; Wolff et al., 2014; Glušac et al., 2015; Valtonen et al., 2015; Siddiq, Scherer & Tondeur, 2016). Notwithstanding Noh, Mustafa & Ahmad's (2014) belief that ICT makes for good teaching and learning, challenges for developed countries, where infrastructure is not problematic, planning and governance have become critical to the successful implementation of blended pedagogies (Button et al., 2014; Dolenc & Aberšek, 2015; Valtonen et al., 2015; Webster & Son, 2015). Besides, Webster & Son (2015) show that ICT resourcing does not necessarily yield positive implementation in classrooms. Indeed, "the presence of institutional enablers is essential" to the successful blending of e-learning pedagogies with conventional didactics (Button et al., 2014: 1312). How-

ever, institutions have prioritised adequate access to digital technologies and resourcing ahead of the identification and execution of planning approaches and governance models regarding integration of e-learning pedagogies with conventional teaching and learning methods (Gu, Shao, Guo & Lim, 2015; Oyedemi, 2015; Valtonen et al., 2015). That is, the provision of adequate digital technologies and computer resourcing is only a necessary condition to ensure successful implementation of blended pedagogies.

Therefore, this paper theoretically argues that in addition to other preconditions necessary for successful implementation of blended learning, governance is key. The paper consists of five sections including this introduction and the conclusion. Respectively, the second and third sections discuss the models of governance and international experiences of governance of blended pedagogies. The fourth section discusses the governance of digital transformation in South Africa's education system then, the paper concludes that adaptive governance model holds the potential to be suitable for blended pedagogies because it provides for continuous and unexpected changes, with unpredictable consequences as well as co-management with a number of stakeholders.

## **2. MODELS OF GOVERNANCE**

Governance within and beyond the state has focused on non-hierarchical coordination modes and the involvement of non-state stakeholders in the formulation and implementation of public policies and plans for development (van Kersbergen & van



Waarden, 2004; Börzel & Risse, 2010; Termeer, Dewulf & Lieshout, 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska, Miovska, Jovanovska & Stojanovski, 2014). The participation of both state and non-state stakeholders is supposed to improve both quality of public policies and effectiveness of their implementation in development (Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). Governance is the various institutionalized modes of social coordination to produce and implement collectively binding rules for the provision of public goods and services (Börzel & Risse, 2010). Governance reflects increasing decentralization of power and control to non-state actors who now participate in a more complex structures and processes rather than a system characterized by hierarchical command and control or market-based anarchy (Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). Generally, there are three models of governance that deal with institutional processes and rules for authority decision making, informed by different stakeholders, specifications and norms namely: the monocentric, multilevel and adaptive models (van Kersbergen & van Waarden, 2004; Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012).

### 1.1. Monocentric Governance

Monocentric governance is referred to as a model in which the state is at the centre of political power and authority and that has control over society, economy and resources (van Kersbergen & van Waarden, 2004; Kok & Veldkamp, 2011; Termeer et al., 2010; Pereira & Ruysenaar, 2012; Stojanovska et

al., 2014). This governance model is based on the top-down development strategy, as a result, the state identify challenges and areas of need in order to decide on policy goals and other response mechanisms necessary for implementation of development policies and plans (Termeer et al., 2010). Apparently, monocentric governance model is characterized as a system which is made up of limited number of jurisdictions of hierarchical government levels whose task never overlaps (van Kersbergen & van Waarden, 2004; Kok & Veldkamp, 2011; Termeer et al., 2010; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). More often, most states have a three level system which consists of the national, provincial and local levels wherein the power allocated to the lower levels is restricted and limited by the higher level government (van Kersbergen & van Waarden, 2004; Kok & Veldkamp, 2011; Termeer et al., 2010; Pereira & Ruysenaar, 2012). For this model, the scale of the government matters for governance capacity and representation of the society. Monocentric governance is also referred to as the government perspective, hierarchical governance, command and control systems of governance or the classical modernist approach of governance (Termeer et al., 2010; Pereira & Ruysenaar, 2012).

### 1.2. Multilevel Governance

While the monocentric governance model puts power and control of national development on the state, multilevel governance model asserts that policy and administration starts internationally infiltrating down to and between different policy and administrative levels (national, regional/provincial and local). According to Termeer et al.

(2010: n.p.) multilevel governance is “a process of continuous interactions among governments and private entities, operating at, and between, several administrative levels and ultimately aiming at the realisation of collective goals”. Multilevel governance model puts emphasis on the threefold displacement of state power and control as follows: upwards to international actors and organizations; downwards to provinces, municipalities and communities; and, outwards to civil society and non-state actors (Termeer et al., 2010; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). This model denotes that the dispersion of governance to different levels is more efficient, effective and superior to monocentric governance (van Kersbergen & van Waarden, 2004; Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). It is usually impossible to find fixed matches between levels on administration, ecological and development scales therefore, the operation of governance at multiple scales captures and accommodates variations (van Kersbergen & van Waarden, 2004; Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). Additionally, multilevel model activates cross-level interactions and have more potential to collectively deal with complex multiscale problems (van Kersbergen & van Waarden, 2004; Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014).

### **1.3. Adaptive Governance**

In addition to the two approaches, there is adaptive governance model. Pahl-Wostl et al. (2007: 4, cited in Termeer et al., 2010) defines adaptive governance as “a system-

atic process for improving management policies and practices by learning from the outcomes of management strategies that have already been implemented”. Adaptive governance model is an integrated, multidisciplinary approach meant to confront complex and uncertain natural resources issues (Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). The model acknowledges that managed resources will change due to human activities, intervention and consumption and as a result surprises and new uncertainties will also emerge (Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012). Therefore, adaptive governance model assumes a world characterised by continuous and unexpected changes mostly with unpredictable consequences (Termeer et al., 2010; Pereira & Ruysenaar, 2012). The model accepts challenges of uncertainty by preparing for continuous and unexpected changes through adaptive capacity to deal with the consequences related to the implementation of development plans (Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). Contrary to monocentric and multilevel governance models, scale is not limited to spatial and jurisdictional scales only but includes institutional, management, network and knowledge scales (Termeer et al., 2010; Kok & Veldkamp, 2011; Pereira & Ruysenaar, 2012; Stojanovska et al., 2014). Apparently, blended pedagogies and participation in the global knowledge economy require such unlimited flexibility for national development. The succeeding section evaluates governance models adopted in various countries for the management of blended pedagogies.

## **2. GOVERNANCE MODELS FOR BLENDED PEDAGOGIES: THE INTERNATIONAL EXPERIENCES**

Accordingly, governance within and beyond the state should focus on non-hierarchical coordination modes and the involvement of non-state stakeholders in the formulation and implementation of public policies and plans for development. Therefore, the participation of both state and non-state stakeholders is supposed to improve the quality of public policies and effectiveness of their implementation for blended learning. As already discussed in the preceding section, there are three models of governance that deal with institutional processes and rules for authority decision making, informed by different stakeholders, specifications and norms namely: the monocentric, multilevel and adaptive models. Thus, this section discusses the governance models which are adopted by four countries as per the level of Human Development Index (HDI) inclusive of Australia with very high HDI, Brazil with high HDI, Vietnam with medium HDI as well as Kenya with low HDI as follows in the following sub-sections.

### **3.1. Australia**

The Australian governance of educational ICT is within and beyond the state with the involvement of non-state stakeholders in the formulation and implementation of public policies and plans for development in this regard (Clarke, 2004; Misko, Choi, Hong & Lee, 2004; Baker, n.d.; Baker, 2009; Department of Education and Early Childhood Development, 2009). The participation of both state and non-state stakeholders is believed to have positive effects on both quality of educational ICT policies and effective-

ness of their implementation in teaching and learning environments (Clarke, 2004; Misko et al., 2004; Baker, n.d.; Baker, 2009; Blackley & Walker, 2015). Seemingly, Australia has adopted the adaptive model for the governance of the country's educational ICT based on the evidence that it has been improving its policies and plans for e-learning since 1999 until 2008 (Ministerial Council on Education, Employment, Training and Youth Affairs, 1999; Ministerial Council on Education, Employment, Training and Youth Affairs & Ministerial Council for Vocational and Technical Education 2008; Clarke, 2004; Misko et al., 2004; Baker, n.d.; Baker, 2009; Department of Education and Early Childhood Development, 2009; Blackley & Walker, 2015). In addition to the changing policies and plans due to unexpected challenges, Australian government in partnership with business have a number of initiatives that also assist in the governance of e-learning in schools. The initiatives include the Victorian Essential Learning Standards, ePotential ICT Capabilities Resource, School ICT Progression Strategy and Ultranet, among others which mostly focus on support of e-learning, development of both teachers' and learners' skills as well as the use of technology (Department of Education and Early Childhood Development, 2009). For Australia adaptive model seem to be appropriate for the governance of blended pedagogies as it allows the country to make changes and adjustments due to the changing circumstances related to education and technology.

### 3.2. Brazil

In the current society based on the large movement of information and knowledge, through information and communication technology, a policy of continuing education for the use of technology in the educational process is necessary in Brazil (Ronaldo, Salvador & Luz, 2013; Ronaldo, Salvador, Souza & Luz, 2014; Garbin, Garcia, do Amaral, da Silva & de Abreu, 2015). The Brazilian Ministry of Education established a department known as the Capes (Brazilian abbreviation for Coordination for the Improvement of Higher Level Personnel) responsibly for the implementation of e-learning in the country since 2007 (Ronaldo et al., 2013; Bujokas & Rothbeg, 2014; Ronaldo et al., 2014; Garbin et al., 2015). The Capes' Directorate of Elementary Education is funding innovative and creative approaches through programmes conceived to change poor educational performances in the country (Bujokas & Rothbeg, 2014; Ronaldo et al., 2014; Garbin et al., 2015). Furthermore, Ronaldo et al. (2013: 46) asserted that "Resolution CNE/CP No. 1/2002 of the National Council of Education suggests that qualifying for the teaching activity should include the use of information and communication technologies". In support of the Resolution, recently Brazil's National Conference on Education emphasized the importance of e-learning as well as the effect of a policy of "Teacher Education Program" for the use of technology by in-services teachers in preparation for technological knowledge transfer to learners (Ronaldo et al., 2013; Ronaldo et al., 2014). To speed up the implementation of blended pedagogies, the Brazilian science and technology policies are implemented by providing low cost access to high speed Internet and the

distribution of personal computers or Tablets to both teachers and learners through the Capes (Ronaldo et al., 2013; Bujokas & Rothbeg, 2014; Ronaldo et al., 2014; Garbin et al., 2015). Even though the provision of Internet and computers or Tablets is not yet standardized throughout the country, the Capes' recent actions include extensive funding for providing access to internet and computers to almost all Brazilian schools within a short period of time (Ronaldo et al., 2013; Bujokas & Rothbeg, 2014; Ronaldo et al., 2014). The governance of e-learning by the state within higher education institutions and schools aimed at the implementation of blended learning suggests that Brazil has adopted the monocentric model. Seemingly, the government without the intervention of the private sector is in control of the implementation of blended pedagogies in the country. The decision making authority and management of blended learning developments is the responsibility of the government.

### 3.3. Vietnam

In 2001, Vietnam officially recognized the need to improve IT competencies primarily through the implementation of blended learning (Thanh, 2010; Peeraer & Van Petegem, 2015). The Ministry of Education and Training in the country has encouraged the adoption and implementation of technology-based learning in order to realize the targets outlined in the national ICT plan (Thanh, 2010; UNESCO, 2013; Peeraer & Van Petegem, 2015). In order to achieve its responsibilities associated with national education planning and initiatives, the Ministry of Education and Training has collaborated with international organizations such as United Nations Educational, Scientific and

Cultural Organization (UNESCO) to improve access and implementation of e-learning in the Vietnamese education (UNESCO, 2013). The Ministry of Education and Training launched the “Year of ICT” in 2008 which was dedicated towards producing a breakthrough in educational innovation by providing all schools with basic Internet access and funding several academic reviews of ICT policy and implementation (Thanh, 2010; Peeraer & Van Petegem, 2015). During this period, the Vietnamese Telecom company known as Viettel got involved in the implementation of blended learning by providing Internet access to all schools in the country. As a result of the company’s contribution to educational ICT, by the end of 2012, all schools with stable electricity had been supplied with free Internet access (UNESCO, 2013; Peeraer & Van Petegem, 2015). Additionally, Intel contributed to the educational transformations by offering training programme which consists of a series of modules intended to train teachers to integrate basic ICT in their classrooms and further demonstrate how technology can serve as an effective tool in pedagogy (Thanh, 2010; UNESCO, 2013; Peeraer & Van Petegem, 2015). Although the state seem to be driving the blended learning initiatives through the Ministry of Education and Training, business and other organizations are also involved. The partnership between the state, business and non-governmental organizations suggests that Vietnam has adopted the adaptive model for the governance of blended learning. Vietnam’s adoption of the adaptive model reveals that the country is aware of its socio-economic circumstances characterised by continuous and unexpected changes mostly accompanied by unpre-

dictable consequences. In most cases the changes are a result of the countries’ limited experiences, infrastructure, skills and culture for the implementation of blended pedagogies. Thus, the country created a scope for flexibility to be able to make changes and adjustments in terms of their plans and resources for blended pedagogies as they continuously learn and improve from their experiences.

### **3.4. Kenya**

The Kenya government appreciates and recognizes that for its country to participate in the knowledge economy, an ICT literate labour force is needed (Ministry of Education, Science and Technology (MOES&T), 2004; NEPAD e-Africa Commission, 2009; Onderi, Ajowi & Malala, 2013; Nyagowa, Ocholla & Mutula, 2014). Therefore, the government invested in efforts that ensure that education is used as a natural platform for providing the nation with ICT skills to be able to build a sustainable economic growth (MOES&T, 2004; Ministry of Information & Communications, 2006). The investment are driven by the National Information and Communication Technology Policy housed in the MOES&T and it incorporates contributions made by various stakeholders (Ministry of Information & Communications, 2006; MOES&T, 2004). In cases where there are partnerships of ICT development between the state and local and/or international organizations, this policy framework also ensures that Kenya fully benefits from the partnerships and Kenyan-led solutions are always given priority (MOES&T, 2004). To facilitate rapid development of ICT skills in the country, the MOES&T works with and coordinates other stakeholders in establishment of ICT capacities across the

country. The education and training sector plays a major role in the implementation of the proposed ICT policy as the country depends on a well-developed and a competent human resource trained by this sector (MOES&T, 2004; NEPAD e-Africa Commission, 2009; Onderi et al., 2013; Nyagowa et al., 2014). To realise the goals of the policy, the adoption of the New Partnership for Development (NEPAD) and its recommendations for ICT development were welcomed by the country. With multiple stakeholders headed by the MOES&T, the NEPAD e-Africa Commission ensured the implementation of the e-School (MOES&T, 2004). Collectively, the efforts of various stakeholders to provide adequate infrastructure as well as access, content, training of teachers at all levels of education were recognised in the national ICT policy (MOES&T, 2004; NEPAD e-Africa Commission, 2009; Onderi et al., 2013; Nyagowa et al., 2014). For the governance of e-learning in the country, Kenya has adopted the adaptive model which also take into consideration the participation of various stakeholders at different levels. Kenya's adoption of the adaptive model for governance of blended pedagogies confirms that country allows itself to learn and make changes along the processes of implementing educational ICT. Furthermore, the choice of governance model confirms that educational technology is a foreign phenomenon for the developing countries and as a result they are still working towards familiarizing themselves with it and its related practices. For a developing countries, inclusive of South Africa, an adaptive model seem to be appropriate for the governance of blended learning. In the next section, South Africa's governance models for digital transformation in

pedagogy are discussed.

### **3. GOVERNANCE MODELS FOR DIGITAL TRANSFORMATION IN THE EDUCATION SYSTEM OF SOUTH AFRICA**

In a knowledge society, "individuals, groups, organizations and government" must work as partners, rather than opponents in the provision of quality life (Department of Arts, Culture, Science and Technology, 1994). Community networking, stakeholders' collaboration and common purpose and understanding of "healthy competition, openness and accountability" should be the guiding principles for building a sustainable knowledge economy (Department of Arts, Culture, Science and Technology, 1994). Accordingly, ICT must "build and sustain social, legal and economic structures and processes that support innovation", collaboration and creativity, "competitive while sustaining the natural environment and lead to wellbeing for the greatest number of people" (Department of Arts, Culture, Science and Technology, 1994: n.p.). Most importantly, the sustainability of the 21<sup>st</sup> century skill for participation in the global knowledge economy requires citizens to develop and frequently update their "knowledge, competencies, abilities and skills" that are necessary for the production of innovative products and services. For a country to be able to "envision a desired future, examine its possibilities, select preferred results, and pursue its choices vigorously", collaboration of various stakeholders in the process of concern is crucial (Department of Arts, Culture, Science and Technology, 1994: n.p.). With the national government leading the processes of ICT implementation in the country as the principal stakeholder, a number of

its departments plays a crucial role in ensuring that South Africa participates in the knowledge such as the central policy departments, agencies, science, engineering and technology institutions and state corporations. Moreover, the involvement and participation of the private and education sectors as well as the non-government organizations is equally regarded as important (Department of Arts, Culture, Science and Technology, 1994).

At a national level, a policy goal is to ensure that ICT infrastructure and systems adequately support the needs of the economy and allow for parties beyond the public sector to participate in the provision processes (NPC, 2012). Over the last decade, the government, private sector, parastatals, and non-governmental organisations have responded positively to the challenge of bridging the digital divide in South Africa (NPC, 2012; Department of Communications, 2014). According to the NPC (2012: 190) "The ecosystem of digital networks, services, applications, content and devices, firmly integrated in the economic and social fabric, will connect public administration and the active citizen; promote economic growth, development and competitiveness; drive the creation of decent work; underpin nation building and strengthen social cohesion; and support local, national and regional integration". In South Africa, ICT should reduce the spatial exclusions and enable unified participation by the majority of citizens in the global ICT system (Department of Arts, Culture, Science and Technology, 1994; NPC, 2012; Department of Communications, 2014). ICT is an enabler which speeds up delivery, develops intelligence, create ways to "share, learn and engage" knowledge

and thus, an all-inclusive strategy is need to diffuse it in all areas of society and economy (Department of Arts, Culture, Science and Technology, 1994; NPC, 2012). A single "cohesive strategy" is needed to ensure the distribution of ICTs in all areas of society and the economy and the participation of various stakeholders in its governance. Like energy and transport, ICT is an enabler that can speed up delivery, support analysis, build intelligence and create new ways to share information, learn from and among each other and globally engage with other parties. Additionally, South Africa's policies revealed that the "ICT revolution had a major impact on the way in which societies are organised and managed, resulting in fundamental and far-reaching" changes that are key to wealth creation and social and economic development (OECD, 2008: 330 cited in Vandeyar, 2013). Therefore, the governance of educational ICT in this regard cannot be left to chance. Given the international experiences from both developed and developing countries discussed in the preceding section, the most appropriate model adopted for the governance of educational ICT is the adaptive model. Therefore, it would be appropriate for South Africa too to adopt the adaptive model for governance of successful implementation and operationalization of blended pedagogies. Although the national government is leading the implementation of blended pedagogies, it is important for South Africa to actively involve non-state organizations in the governance thereof for unpredictable consequences as well as co-management with a number of stakeholders.

#### 4. CONCLUSION

Governance literature identifies three broad models, which are: monocentric; multilevel; and, adaptive. Whereas monocentric governance “places the state at the heart of political power and authority”, the multilevel version “recognises the three-way displacement of governmental power across scales”, whilst adaptiveness hopes to “handle the inherent complexity and unpredictability of socio-ecological systems”. Thus, the success of blended pedagogies rely on the choice of governance model, inclusive of policy development and administration, as well as their capacity to address inequalities across all levels. Therefore, this paper asserts that adaptive governance model holds the potential to be suitable for blended pedagogies because it provides for continuous and unexpected changes, with unpredictable consequences as well as co-management with a number of stakeholders. That is, this paper recommends the adoption of the adaptive model for governance of blended pedagogies in order to cater for the involvement of different stakeholders, including direct beneficiaries who have authority and other related contributions over the specified development interventions, as well as a suitable degree of acceptance and preparedness for challenges related to uncertainty and future. From the international experiences discussed in this paper, it appears that such governance model could adequately address the uncertainties related to the global knowledge economy and national capitalist development instead of the multilevel model which South Africa seem to have adopted.

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# SOUTH AFRICA'S ROLE IN THE SADC COMMUNITY REGIONAL INTEGRATION

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## ABSTRACT

This paper noted the role of South Africa in fostering the Southern African Development Community's (SADC) regional integration. Regional Integration is a process in which neighbouring states enter into an agreement in order to upgrade cooperation through common institutions and rules. The objectives of the agreement could range from economic to political to environmental, although it has typically taken the form of a political economy initiative where commercial interests are the focus for achieving broader socio-political and security objectives, as defined by national governments. The current economic situation internationally and within SADC depicts unstable economic and political prospects due to economic down-turn in some major development countries and in Africa. This paper argues that South Africa's role in leading SADC regional integration is undoubtedly steady and notable in as far as peace, political and economic stability. This article recommends that regional leaders should draw more positive energy towards practising good governance. Findings from this article contribute towards regionalism and government relations.

**Keywords:** Agreements, South African Development Community, Economic integration, Trade, Political-structure.

## 1. INTRODUCTION

Past experience within the Southern African region has raised a need for more regionalisation. Regionalism implies much emphasis on the political and economic liberalisation through trade. The overall objective of regional economic integration strategy (REIS) of SADC is to endorse sustainable economic growth and poverty reduction in the SADC Region. This objective corresponds to the general objective of the SADC Treaty, the RISDP and the various Protocols that constitute the basis of SADC's Regional Econom-

ic Integration Agenda. South Africa and Botswana has the potential of necessary economic capability and levels of diversification that are required to drive economic integration in a manner that is equally beneficial. Landsberg (2012:3) asserts that Mandela and Thabo Mbeki's administration When Thabo Mbeki pursued a unique variant of Africanism and Continentalism which is unique in the African Affairs.

Historical factors that have shaped each of the SADC member states differ across the region and continue to influence the institutional arrangements in the different countries (Vanheukelom & Bertelsmann-Scott, 2016). The failure to regional partners to commit to agreed earmarked programme objectives can have negative economic and social impacts, especially where domestic regulatory frameworks are insufficient or not implemented effectively by leaders. The main goals of SADC are to foster greater economic cooperation between the member states and to reduce their independence on the north countries like G-8. However, SADC seek to self-reliance and the forging of fostering links and partnerships among its member states to create genuine equitable regional-cooperation. The SADC structure has transformed from the original structure of the Southern Development Coordination Conference (SADCC) to the latest SADC structure with more members like South Africa joined. Despite SADC's depending on the donor countries, member states have managed to inculcate regional identity amongst themselves.

South Africa consider regional interest when carrying their tasks regarding politics and economic activities within their countries domestic and regional needs, in order to respond to the emerging challenges affecting the member states. This article argue that SADC's main problem is to be able to effectively address the economic development path of their predecessors, that is not favourable any more, and is based mainly on the market economy and the neo-liberal economic approach. These perspectives

enabled South African companies to operate in other parts of Africa to capture - and in some cases to dominate - the opportunities offered by the global economic system. In reality, SADC integration path should be different from some other regions experiences if ever they want to divert from the type of investment that is imperialist driven. Using a qualitative approach, this article draws literature from diverse secondary sources like official SADC strategic reports, policy documents and agreements, articles from accredited journals and books. This article is responding to the question of - what is the Role of SA in forging strong ties with SADC in pursuit of the mission driving regional integration.

## **2. CONCEPTUALISATION**

The SADC political structure indicates how its main organs function to exercises its powers to govern in as far as politics and decision making. In a general sense, it refers to institutions or groups and their relations to each other, their patterns of interaction within political systems and to political regulations, laws and the norms present in political systems in such a way that they constitute the political landscape of the political entity ([www.wikipedia.com](http://www.wikipedia.com)). According to Goldstein (1991) a Political structure is a term commonly used in political science. In a general sense, it refers to institutions or groups and their relations to each other, their patterns of interaction within political systems and to political regulations, laws and the norms present in political systems in such a way that they constitute the political landscape of the political entity. In the social domain, its counterpart is Social structure. Political structure also refers to the

way in which a government is run. The main arms of the SADC structure include the Troika, Summit of the heads of states and the secretariat.

Regional Integration is a process in which neighbouring states agree to cooperate through an understanding or agreement in terms of observing common rules and institutions (Wikipedia, 2016). The rationale for regional integration can vary from economic to political to environmental, although it is important for the member states not to lose their sovereignty and focus on some form of a political economy initiative where commercial interests such as trade and infrastructure can be main focus for achieving broader socio-political and security objectives, as defined by national governments. Grant, Cornelissen and Shaw (2013: ) elaborate on the new conception of regionalization by affirming that it is drawing their perception into multiplicity and multi-layered characters of regions, and its emphasizing the significance of non-state actors and spaces. Regional integration has been organized either via supranational institutional structures or through intergovernmental decision-making, or a combination of both. Past efforts at regional integration have often focused on removing barriers to free trade in the region, increasing the free movement of people, labour, goods, and capital across national borders, reducing the possibility of regional armed conflict (for example, through Confidence and Security-Building Measures), and adopting cohesive regional stances on policy issues, such as the environment, climate change and migration.

Intra-regional trade refers to trade which focuses on economic exchange primarily

between countries of the same region or economic zone. In recent years countries within economic-trade regimes such as ASEAN in Southeast Asia for example have increased the level of trade and commodity exchange between themselves which reduces the inflation and tariff barriers associated with foreign markets resulting in growing prosperity.

According to Ndulu, Kritzinger-van Niekerk and Reinikka (2005: 101) regional integration can be understood along three dimensions:

(i) Geographic scope- which illustrates the number of countries involved in an arrangement (variable geometry) and can determine the capacity and the strength of the region to engage in political and economic activities.

(ii) The substantive coverage or width that is the sector or activity coverage (trade, labour mobility, macro-policies, sector policies, etc.), and

(iii) The depth of integration to measure the degree of sovereignty a country is ready to surrender, that is from simple coordination or cooperation to deep integration.

The Regional Indicative Strategic Development Plan (RISDP) and the Strategic Indicative Plan for the Organ (SIPO) remain the guiding frameworks for SADC Regional Integration, providing SADC Member States, SADC Secretariat and other SADC Institutions with consistent and comprehensive programs of long-term economic and social policies (SADC, RISDP 2015).

### **3. THE SADC HISTORICAL FOUNDATIONS**

South African Development Community (SADC) is a political and economic institution that provides a framework for regional integration. They embarked on as Frontline States whose objective was political liber-

ation of Southern Africa. In May 1979 consultations were held between Ministers of Foreign Affairs and Ministers responsible for Economic Development in Gaborone, Botswana. In July 1979, a meeting was held in Arusha, Tanzania which led to the establishment of SADCC on April 01, 1980 in Lusaka, Zambia BARRATT. The main objectives of SADC are to achieve development, peace and security, and economic growth, to alleviate poverty, enhance the standard and quality of life of the peoples of Southern Africa, and support the socially disadvantaged through regional integration, built on democratic principles and equitable and sustainable development.

The Southern African Development Co-ordinating Conference (SADCC) was established in 1980, by the so-called front line states with the specific aim of reducing economic dependence on apartheid South Africa, which was still excluded from the African integration plan. However, in anticipation of South Africa's democratic transition in the early 1990s, The specific objective of SADC regionalisation is to create an enabling environment through the SADC Secretariat to enhance the movement of people, goods and services within SADC, facilitate investment, and secure WTO compatible market access arrangements between SADC EPA countries and the European Union (EU). On the political front, SADC endorses the ideals of democracy, good governance, respect for the rule of law, and respect for human rights. Although violence occurs in some member states, most of the region has enjoyed relative peace and stability. It is aimed in identifying the organisational structures in the fourteen countries and indicating the relationship amongst the different levels/tiers

or spheres. Some general characteristics will be identified that could assist member states to reconsider their existing intergovernmental relations, thus improving co-ordination amongst different public institutions and obtain more efficient and effective public service delivery (<http://www.sadcre-view.com>).

Hartzenberg (2011) asserts that the African leader's ambition and commitment on the ambition to integrate Africa, and to develop the continent through import substitution industrialisation, was a key feature of the immediate post-colonial period that leads to regionalisation. The Southern African Development Co-ordinating Conference (SADCC) was established in 1980, by the so-called front line states with the specific aim of reducing economic dependence on apartheid South Africa, which later was changed to the Southern African Development Community (SADC). The proposed framework for African integration and continental industrialization was the division of the continent into regional integration areas that would constitute a united African economy, the African Economic Community (Hartzenberg, 2011). To achieve this the Economic Commission for Africa (ECA) supported three regional integration arrangements; the Economic Community of West African States (ECOWAS) for West Africa, which was established in 1975, predating the LPA; the Preferential Trade Area (PTA) covering East and Southern Africa, which was the precursor of the Common Market for Eastern and Southern Africa (COMESA); and the Economic Community of Central African States (ECCAS) for Central Africa. The Arab Maghreb Union (AMU) was estab-

lished in 1989, completing continental coverage ((Hartzenberg, 2011).

The main organs involved in the SADC integration are the Secretariat; Summit heads of states; the Troika system; the SADC organ on Police, Defence and Security and the Council of ministers. The Southern African Development Community (SADC) Secretariat is the Principal Executive Institution of SADC, responsible for strategic planning, facilitation and co-ordination and management of all SADC Programmes. It is headed by the SADC Executive Secretary and is located in Gaborone, Botswana ( ). The SADC Secretariat structure is designed to maximise and support the facilitation of the Member State policies and programmes to

best contribute to the overall objectives of SADC – achieving Regional Integration and Poverty Alleviation. The SADC Secretariat's performs its functions guided by the Vision, Mission and Mandate of SADC, in as far as its strategic planning and management of the programmes of SADC through sectoral and administrative roles. The vision of SADC is to be a reputable, efficient and responsive enabler of Regional Integration and Sustainable Development. However, the mission of SADC is to provide strategic expertise and co-ordinate the harmonisation of policies and strategies to accelerate Regional Integration and sustainable development. Treaties and agreements are binding documents used by the SADC to

resolve their problems and conflicts in the region. In fostering



Source: SADC Regional milestones (www.sdc.int)

#### 4. EXPOSITION: ADC REGIONAL INTEGRATION:

The long-term transformation of the SADC economies requires focused qualitative and quantitative shifts in industrial structure,

its enabling environment and the interdependence with other sectors to maximize the direct and indirect value addition in the industrial sector broadly defined to include related support services. In so doing, industrialization will need to be situated within the global dynamics of competitiveness, quality of products as well as flexibility to respond to internal and external demand dynamics. The positive spill-overs from industrialization will stimulate employment and substantially



raise income levels which will improve the standard of living for the poor people in the region. However, there are challenges that need to be addressed, like the political stability, industrialisation, economic and social stability and the infrastructure.

#### **4.1 Political stability**

Saurombe (2010: 122) argue that South Africa has one of the strongest economy in Southern Africa hence the regional and global interests lie at the heart of South African's foreign policy resulting in the need to create compromises that may disadvantage the SADC block. The SADC regional mission depends by large extent on the cooperation and commitment of the actors in bringing peace and stability in the region. They have adopted multi-sectoral governance in order to include all actors in decision-making. Some member states like Botswana and South Africa are also involved in bilateral trading talks with EU in as far as trade and economic development.

In the last few decades the African continent has faced many challenges that encapsulate civil wars, economic and political instability. Given this environment, many of the African nations' attempts to industrialise have been disappointing. However, political willingness to forge a strong regional integration system is a necessary ingredient needed to spur intra trade and economic integration within the region as it creates a conducive environment for the industrialisation roadmap. Regional members will need to take a more realistic proactive approach that re-examines the countries' industrialization targets they have set for themselves. However, it is estimated that

41 million people - 23 per cent - of the 181 million rural populations in the Southern African Development Community (SADC) are food insecure, and out of this figure, more than 21 million are in urgent need of assistance (SADC Press Release, 2016).

#### **4.2 Industrialisation Strategy and the economy**

The notion of industrialisation entails the process in which a particular society, region or country transforms itself from being only an agricultural society into being also a base for manufacturing of goods and services. A sustainable industrial sector of the future should be resilient and with high propensity for continuous modernization. SADC countries are equally challenged to substantially enhance their competitiveness to supplement their inherited comparative advantage in natural resource-based production and exports. Action should therefore target the competitiveness of firms as well as the economies at large. Deeper regional integration reinforced by industrialization and enhanced competitiveness should provide the context for the region's development. Enabling the productive and distribution capacities of the process will help remove structural impediments and enhance factor productivity.

The SADC adopted the Industrialization Strategy and Roadmap 2015 - 2063 with a long term perspective to align to national, regional, continental and international dimensions. The Strategy recognizes that for trade liberalization to contribute to sustainable and equitable development, and thus to poverty reduction, it must be complemented by the requisite capacities to pro-

duce, and to trade effectively and efficiently (www.sadc.int). The primary orientation of the Strategy is the importance of technological and economic transformation of the SADC region through industrialization, modernization, skills development, science and technology, financial strengthening and deeper regional integration. However, there is a concern that SADC need to develop its human resources to be able to fulfil its industrial strategy, in as far as retaining competent professional and technically qualified human resource support with best expertise.

Due to political instability since the 1980s, industrial output in Africa has actually declined in its share of global production (UNIDO report, 2016). Nezeimana and Nhemana (2016: 3) suggest that for these SADC countries to take off industrially, the process must be characterised by high levels of seriousness, commitments, willingness and smooth economic cooperation within member states. However, multiple memberships of other states between ECOWESA and SADC indicate lack of unity and trust. South Africa also while its trading with SADC countries, it is also trading with EU and BRICS. This can also threaten other members in terms of trusting SA to be fully committed on the regional integration. With the end of apartheid, South Africa has made a great transformation from being the greatest conflict area to being the greatest peace-maker in Africa and its joining of SADC was expected to boost the organization's capacity. South Africa's communication and technology has improved over the years with.

### 4.3 Infrastructure sector

Infrastructure includes the sectors of transport, water; communication, power and irrigation - and it indicate a large portfolio in terms of finance and activity in the SADC region. The SADC has made great strides in developing its infrastructure in the past decades although there is still digital divide in some parts of the region. The importance of infrastructure development in regional integration cannot be overemphasised. The community of SADC has integrated efficient communication and transport infrastructure facilitates mobility (SADC Activity Report, 2011-2012). It is acknowledged that reduction of poverty and economic growth in the region hinge on infrastructure development. SADC members are facing internal structural problems which contributed to the depressing of performance in the past decades. Currently, South Africa is a major consumption of energy in the region. It gets assistance of water supply from Lesotho and Mozambique to curb the shortages of water and energy.

Chingono M & Nakana (2009: 398) assert that almost all of the SADC countries depend on South Africa's railways, port (airports and seaports), high ways and other transit facilities. South Africa exports far more to the SADC region than it imports. The two of its members Angola and Mozambique have been involved in disturbing civil war, that have virtue destroyed their productive and agricultural capacity. South Africa has hosted a number of SADC activities since 1994. Botswana and South Africa has better infrastructure that is conducive for forg-

ing better economic partnership than other member states. It has surfaced among other nations that South Africa attempts to wield its economic power when negotiating with partners in both SACU and SADC (Saurombe, 2010: 127). This has alleviated fears from other member states that South Africa is dominating in the decision-making since its driving most of the strategic activities like the Africa's Partnership for Development and Growth.

#### **4.4 Trade and the economic development**

However, South Africa's relations with SADC have improved since the end of apartheid region. It has been a dream that South Africa must mobilise its economic and political powers to assist in the development of the African continent (Grant and Cornelissen, 2013). It came with no surprise that South Africa will take a leading role in SADC regional integration. Currently, the legacy of apartheid poor infrastructure in rural South Africa is not a stumbling block because SA has provided direction on regional collaboration and institutionalisation while the racial hegemony suffices. Notable, Angola - which is capable of rich resources including oil, diamonds and other minerals - is a strategic partner for South Africa with huge

economic potential. Indeed, Angola is already the 10th largest supplier of imports to South Africa. The region trade is supported by imports and exports of goods and its wealth of minerals. However, The total value of these imports amounted to R11.7 billion in 2009 - while R11.1 billion worth of goods had been imported by August 2010. Key sectors include mining, tourism, finance and energy (Cornellisen, 2013). The region's economy can be largely trade diverting rather than trade creating. The majority of the countries in the region (with exception of South Africa and Zimbabwe) tend to be primary product exporters depending in the Countries' resource benefaction. Another success story of South Africa is the improved access to the foreign direct investment (FDI) which is hoped to attract all the countries in the region and benefit from improved access to South Africa's market and its business community. Yet, there are occasionally mixed feelings about FDI as some fear a South African "take over" of the domestic economies. Currently, the region's economic growth of DGP is below the estimates benchmark of 6%. Table 2 indicate the member states sectoral contribution to GDP as in 2013.

Table 2: Sectors' contribution to GDP (%), 2013

Country	Agriculture	Industry	Services
Angola	10.83	56.98	32.18
Botswana	2.54	36.91	60.55
DRC	25.16	35.09	39.75
Lesotho	7.83	36.57	55.60
Madagascar	29.11	16.00	54.89
Malawi	26.96	18.79	54.25
Mauritius	3.27	23.07	73.66
Mozambique	29.25	23.66	47.09
Namibia	7.07	29.64	63.29
Seychelles*	2.09	15.42	82.49
South Africa	2.39	27.58	70.03
Swaziland*	7.48	47.69	44.83
Tanzania	27.00	25.18	47.82
Zambia	17.68	37.25	45.07
<b>SADC (simple average)</b>	14.07	30.74	55.19

The region does not meet the commonly accepted prerequisites for economic integration. It appears as if economic integration would improve the current status in the region. According to the Global Economic Prospects (REP) (2016: 29), the regional growth in the Southern Africa have slowed noticeably to 3.0 percent in 2015, down from 4.5 percent in 2014, and 0.3 percentage point lower than January estimates. Notable, the slowdown was most severe in oil exporters (Angola), where low oil prices sharply slowed activity (World Bank 2016f). Also, the decline in metal prices led to a substantial fall in revenues and exports in non-energy mineral exporting countries (REP, 2016:29). Other adverse development challenges included drought (South Africa, Zambia), and electricity shortages in South Africa and Zambia.

## 5. CONCLUSION AND RECOMMENDATIONS

The main purpose of this article was to assess South Africa's role in the SADC's efforts to realise its mission on regional integration, through the lenses of its major activities on political, infrastructure, economic and social sectors. This study notes that South Africa has made strides in supporting SADC and its member states in various sectors such as support of regional existing political, economic, infrastructure and trade sectors. The main problem with regional integration is that it refers to wide expectations and the benefits it should generate. This in turn leads to a discussion of the parameters used to assess success or failure. Also, some members vest their interest on the region to alleviate their problems that they have self-created. Progress in these member states is recorded as having di-

verse impacts in as far as economic and social influence on their country of origin. It should also be recorded that the economic down-turn has affected most of regional performance. However, we can note some improvement in the SADC infrastructure, economic growth and development in the last five years. It can be argued that SADC need strong commitment and contribution from the entire member states in order to realise regional integration. While some countries like South Africa has progressed in terms of practising good governance through democracy, some member states like DRC had their political instability which also is bothering the Southern States. South Africa should use its position to upgrade its economy to negotiate for better options in other regional blocks like EU and the BRICS Forum, in order to improve its capacity and that of SADC. South Africa has also managed to bring to their economic agenda and trade competitive trade partners like the EU, USA and the first world. South Africa is ideally placed as a neighbour and leader to the benefit of the whole region. Although it seems to be difficult for now to foster good governance in some other region, it is strongly recommended that SADC political structure must continue to forge more efforts on commitment and compliance to apply good governance and peer review mechanism in order to realise their regional integration. Another recommendation is to pay more attention on civic participation to continuously engage on discussion on issues concerns the involvement of civil society. Its participation in interregional summits must not be through presentation of position papers to ministerial or head of states assemblies. The Ministerial heads that represents their countries must touch base

on their communities through their ministries to engage the broader society on regional integration and current SADC activities.

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# EXPLORING STATUS OF CHIEFTAINCY IN THE MODERN ERA

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## ABSTRACT

*Traditionally, chiefs and other traditional leaders were held in high esteem. However, with the advent of democracy based largely on western perception, the role and therefore status of chiefs have seemingly declined considerably as a result of the introduction of new policies such as Traditional Leadership and Government Framework Act, Communal Land Right Act and amalgamation of formal local government and traditional chieftaincy institutions have weakened the status of chiefs. The paper used qualitative approach as it needs to feed the deeper feeling of participants. This paper looks at the then and new functions and roles of traditional leaders, and hopes to come up with possible strategies that can assist in restoration of the powers of traditional leaders. The paper explores the status of chieftaincy in the modern era and the nature of collaboration between the chieftaincy institution and formal local government actors. The paper assessed the status of chieftaincy in the modern era. The paper relied on related data from both primary and secondary sources. Purposive sampling technique was adopted to select officers like chiefs, members of traditional council (royal council) and community members. To do this, the study employed techniques such as questionnaire administration, interviewing and focus group discussions to gather data for analysis. Written documents were also relied upon in the development of the paper. The results showed that the amalgamation of chieftaincy institutions with local government resulted in the decline of the status of traditional leaders. The system is weakening and undermining the authority and position of the chiefs. The role of chieftaincy is no longer recognised in the current decentralised system of government. There is lack of proper consultation between the chiefs and formal local government. This paper concludes that democratic government seems to undermine the authority of the traditional leaders.*

**Keywords:** Traditional leaders, By-Laws, Chieftaincy, Customary systems, Royal council

## 1. INTRODUCTION

Chief refers to a person, who, hailing from the appropriate family and lineage has been validly nominated, elected or selected, and enstooled, enskinned or installed as a chief or queen EX mother in accordance with the relevant customary law and usage (Dawda, 2013). People in tribal areas which by then were called homelands were led and guided by customary laws. As a result respect and honour to traditional leaders use to carry the real meaning to the nation. Today the existence of the institution of chieftaincy or traditional leadership seems to depend on the history of a particular community Matshidze (2013). Nations are finding it hard to associate democracy with chieftaincy as these are two institutions that operate within the same jurisdiction differently which is local government and chief. Bottah (2006) define democracy as a respect for the rule of law, it means local participation in decision-making affecting the interests of the people; allowing district people to elect their own representatives. Traditional leaders are responsible for the maintenance of order, community consultation and participation in decision making, impartial and unbiased decision making rulers and promotion of community welfare before individual gain which never contradict the notion of democracy. Williams (2009) alluded that there are multiple sources of legitimacy that all traditional leaders, chiefs as well as elected officials, can use to justify their rule. Each of these different sources offer people a particular set of characteristics (symbols, values, political principles, institutions, rules, and processes). Currently, these sources are characterized

as static, diametrically opposed categories. The emergence of the new dispensation has led to the decline of the powers of the chieftaincy or traditional leadership in general. This paper concludes that democratic government seems to undermine the authority of the traditional leaders.

## 2. TRADITIONAL LEADERSHIP AND GOVERNMENT FRAMEWORK ACT 14 of (2003)

According to the Traditional Leadership and governance Framework Act, No. 41 of 2003, "traditional leadership" means the customary institutions or structures, or customary systems or procedures of governance, recognised, utilised or practised by traditional communities; "tribe" means a tribe that was established. A chief is by his very nature father of all the citizens in the area under his sway. The chief has the obligatory responsibility of treating good and fairly the community under his or her custody. Chiefs by their very nature are not like political parties that exist to articulate and advance certain parochial policies that are drafted in an attempt to copy everything white and few non-monarchical European countries but have the responsibility of unifying and upholding their communities. According to the Traditional Leadership and governance Framework Act, No. 41 of 2003 the institution of chieftaincy exist to provide for the recognition of traditional communities; to provide for the establishment and recognition of traditional councils; to provide a statutory framework for leadership positions within the institution of traditional leadership, the recognition of traditional leaders and the removal from office of traditional leaders; to provide for houses of tradition-



al leaders; to provide for the functions and roles of traditional leaders; to provide for dispute resolution and the establishment of the Commission on Traditional Leadership Disputes and Claims; to provide for a code of conduct; to provide for amendments to the Remuneration of Public Office Bearers Act, 1998; and to provide for matters connected therewith. All these show the significance of the existence of the institution of chieftaincy which in practice seem to be rhetoric. The powers and authorities of the institution of chieftaincy are no longer recognised as stipulated in the Act.

### **3. COMMUNAL LAND RIGHT ACT No.11 of 2004**

The traditional leadership continues to wield real economic power as the custodian of all the lands under their authority. As custodians of the land the chiefs also hold the land as trustees on behalf of the peasants, dispensing equitable distribution of land to the citizenry under their care. Chiefs remain as better adjudicators of who gets what and where regarding native lands and by that they can be accountable to the people. The Communal Land Rights Act [No.11 of 2004] provides the chieftaincy institution with the responsibility of taking charge of the land within the institution area of jurisdiction.

Dawda (2013) asserts that the powers of the chiefs mandate them to facilitate the release of land for development projects. Land is very important for the establishment of such projects as educational and health infrastructure and boreholes. From long Chiefs play an important role in the release of land for any development purpose. Land

is an important asset on which all other projects depend and the assistance given by chiefs to make the acquisition of land easier makes their contribution to infrastructural development very important. Chiefs and elders also play a very important role in serving as links between their communities and other development partners. People seem to be misinterpreting the Communal Land Rights Act [No.11 of 2004] on the issue of 'provide for the democratic administration of communal land by communities'. Chiefs are custodians of the land and traditional belief systems that guard against phenomenal contamination of the country's traditional customs, values, norms and practices.

### **4. SIGNIFICANCE OF THE INSTITUTION OF CHIEFTAINCY**

In post-apartheid South Africa, numerous chiefs have become adept in combining the resource of tradition with appeals to western models and the discourse of liberation politics. Thus, chiefs project themselves as guardians of African custom, but simultaneously as pioneers of rural development. This dual role has become necessary to fit into the political and moral framework as developed by the ANC, where chiefs can become an important part of change, development and even restitution in rural areas. This however, rides on the chief holding legitimacy, both historically and within the local community (Godsell, 2013). Chieftaincy institution has been in existence throughout the African history and may be referred to as indigenous rulers. It is the highest form of traditional authority at the community level and it plays a dominant role in the social, political and economic affairs of its citizenry. The institution represents the gov-

ernment at the local level. Traditional leaders serve as links between their communities and other development partners. Chiefs also contribute in the areas of mobilising communal labour for the construction of projects that are demand driven. The major function of the traditional councils is to advise government, at the local and national levels, on local "custom and tradition". They also engage in development work, particularly in the struggle against HIV/AIDS. Chiefs act as intermediaries between the local people and the government at the centre. They explained government policies to their subjects and in turn informed the government of the wishes, demands or reactions of their local subjects. They are instruments of their local government, presided over native law courts which applied traditional laws; they collected local taxes and made laws for the good government of their chiefdoms.

## **5. CHIEFTANCY AND CULTURE**

Accountability on cultural heritage will always be the responsibility of chieftaincy institutions. Chieftaincy institution has been in existence throughout the African history and may be referred to as indigenous rulers (Harris, 2005). It is the highest form of traditional authority at the community level and it plays a dominant role in the social, political and economic affairs of its citizenry. The nation without the tradition of its own lacks identity. It is significant to maintain and refine the culture as there is a great value on it. People's own roots should be regarded. The institution of chieftaincy maintains what distinguishes the nation from other people. It portrays the uniqueness of the country, nation and statehood. Traditional Leadership and Governance Framework Act, No.41

of 2003, defines "traditional leadership" as the customary institutions or structures, or customary systems or procedures of governance, recognised, utilised or practised by traditional communities; "tribe" means a tribe that was established

Traditionally, the chieftaincy institution is the one that provides for the basic community needs. The institutions serve as the medium for national development and the fostering of greater national unity. Chieftaincy institution has the responsibility of embracing culture which the community identifies with. According to (Williams, 2009) chieftaincy as an institution of leadership has the source of legitimacy which justifies its rule. Through customary laws the chieftaincy institution is able to maintain order; community consultation and participation in decision making; impartial and unbiased decision making and promotion of community welfare. And the source, which according to chieftaincy institution is customary laws, offer people a particular set of characteristics (symbols, values, political principles, institutions, rules, and processes). Old customs and traditions surrounding the institution of the chieftaincy should always be recognised.

## **6. DIFFERENT ROLES AND POWERS PLAYED BY TRADITIONAL LEADERSHIP AND MUNICIPALITIES**

The institution of chieftaincy had great responsibility of providing human basic needs including socio-economic development; and can also serve as the medium for national development and the fostering of greater national unity William (2009) Traditional chieftaincy and political relationship should be centred on the idea of unity. William further indicated that, the chieftaincy

has the responsibilities of maintenance of order; community consultation and participation in decision making; impartial and unbiased decision making and promotion of community welfare before individual gain. According to (Williams, 2009) there are multiple sources of legitimacy that all leaders, chiefs as well as elected officials, can use to justify their rule. Each of these different sources offer people a particular set of characteristics (symbols, values, political principles, institutions, rules, and processes). Chieftaincy will remain a central figure in the lives of many particularly the rural communities in South Africa, therefore its authority and powers should be maintained in the midst of political changes.

## **6. METHODOLOGY**

### **6.1 Design**

In this paper qualitative research method was used to understand the status of chieftaincy in the modern eras (Creswell, 1994). The paper relied on related data from both primary and secondary sources. Purposive sampling technique was adopted to select officers like chiefs, members of traditional council (royal council) and community members. To do this, the study employed techniques such as questionnaire administration, interviewing and focus group discussions to gather data for analysis. Written documents were also relied upon in the development of the paper.

### **6.2 Population and location of the study**

The population of this study consisted of chiefs, royal council members and community members of Vhembe District (Vuwani and Ndzhelele).

### **6.3 Sampling technique**

The sampling method used was purposive. This sampling method allowed the researchers to screen women based on the identified characteristics in order to solicit the required information (Strydom & Venter, 2002).

### **6.4 Data collection method and techniques**

For the purpose of collecting data, in-depth interviews were used to elicit facts or statements from the interviewees. This technique assists the researcher to gain insight into the "subjective understanding" of those being interviewed through using leading questions and listening (Seidman, 2008). Open-ended interview was used as it was helpful in describing the status and power of the chiefs as compared to the powers of municipality. Field editing was employed on in-depth personal interviews to rectify the errors and omissions, while the interview was in progression as recommended by Tustin et al. (2005).

### **6.5 Data analysis**

Thematic analysis was used to identify, analyse and report patterns (themes) within data and interpret various aspects of the research topic as stated by Braun and Clarke (2006).

## **7. RESULTS AND DISCUSSIONS**

### **7.1 Chieftaincy in South African communities**

The study revealed that pre-1994; South Africa was divided into homelands. Each and every homeland had a king who had the subordinates of chiefs. The structure of chieftaincy remains the same even today. The respondents indicate that kings

and chiefs had all the powers and authority over the citizenry. The kings and chiefs had all respect and honour. The chiefs from different areas of Vhembe district in Limpopo province indicated that the powers and authority of chieftaincy institution have been weakened. Chiefs and royal council complained of not properly consulted by the local governments for the projects that affect their areas of jurisdiction. It was further mentioned that the utilisation of land is not satisfactory. The chiefs also indicated that local government do not educate them on how local government operates including the recent demarcation process that raised disputes in Vuwani. The chiefs and royal council alluded that they were not consulted by the local government representatives about the shifting of certain wards to a new municipality. The outcomes of the incident, this resulted in many vandalism of government properties including educational infrastructure which led to the absence and disturbance of teaching and learning especial for grade 12 learners. The chiefs and royal council mentioned that local government give the ward councillors powers that make chieftaincy institution look undermined. Ward councillors convene meetings with the community without the approval from the royal council. The chiefs, royal council and community members of the areas indicated that the lack of recognition of tribal areas is a serious challenge that affects their development negatively.

## **8. CHALLENGES OF CHIEFTANCY IN THE MODERN ERA**

According to the results presented in this paper, the following challenge were indicated by chiefs and royal council as the

contributing factors that affect the chieftaincy institution negatively in South Africa, especially in Venda, Limpopo province:

### **8.1 Lack of Resources**

Among the key challenges inherited by South Africa's post-apartheid sphere of rural local governance is the significant lack of basic infrastructural services (roads, healthcare facilities, accessible water, electricity etc.) and extreme poverty. This situation prevails especially in the densely populated rural communal areas that fall under the jurisdictions of tribal (traditional) authorities (Williams, 2009). Post-1994 democratic era, people living in the former homeland regions largely depend on various kinds of state social grants for their basic survival needs. Though some sporadic instances of success might be observed that may be able to yield positive rural developmental outcomes the issue of budget comes in. The democratically elected local structures of governance in the post-1994 rural political landscape have created a power impasse which has led to misuse and abuse of communal natural resources by 'outsiders' and locals. The locals who could access lands are not equipped to make use of the land and the outsiders are using the land for the development of their own countries. e.g. Indians would make it a point that they take their investment to their own countries. The institutions lack the system of checks and balances demanded by modern day systems of governance. Generally, they also have no economic or administrative capacity to provide services or develop the communities they are supposed to govern. These affect the status of the chiefs as the challenges hinder the institution in socio-economic development of

the community. Chieftaincy institution is not provided with basic infrastructure and the institution is not modernized and equipped.

## 8.2 Lack of education and knowledge

The challenge is compounded by lack of knowledge of the nation of South Africa. Democracy is not well interpreted to the nation. Too many democracy means abolishment of one's tradition for the adoption of the western culture particularly the Americans. The relationship that is supposed to be maintained by the municipalities and the institution of chieftaincy is not well recognised. Traditional house seems to be of low status particularly chiefs that are of age. Nonetheless, it is realised that chiefs provided an important communication link between the community and the local municipality. The institution is considered during election so that it serves as instrument to convince its people in voting for a particular party. Lissoni (2013) alluded that however, in the national elections of 1994 and 1999 it became clear to the ANC that the chiefs exercised an important influence over their followers during elections. In some rural constituencies, such as the Northern (Limpopo) province, chiefs contributed to an overwhelming ANC victory of close to 98%. Williams (2009) indicates that the government is trying to cede partial authority to the chiefs to gain access and this eventually lead to, in the eyes of the government, gaining legitimacy in the eyes of rural people because of the delivery of services. Instead chiefs use this to further ingrain themselves in the emerging political sphere and to carve out a role for themselves in the democratic state that the government cannot currently full fill.

## 8.3 Accountability

According to Hendricks and Ntsebenza (1999) Western influences, starting with colonialism has robbed chiefs and Kings vital growth inputs to the extent it has turned some of them to become unaccountable to anyone. Compounding on this challenge is the ambivalent role of traditional leaders within the sphere of democratic local government in rural South Africa. Even during the early years of South Africa's democracy .The interface between traditional authorities and democratic state structures is still filled with uncertainties and tensions post-1994. The municipal demarcations are not clear to the institution of chieftaincy. Municipalities would claim some portions of the land which were thought to be under the custody of chieftaincy and thus affect the authority of the chiefs. From the interviews conducted it was indicated that sometimes even the community would be confused as the municipality may sometimes claim to own the same land that was allocated to the household by the chief. The empirical literature sources highlighted one common phenomenon that though municipalities have financial resources to carry out rural development but development seems impossible at the village level without the involvement and consent of chiefs. The tensions produce centralization of control of communal resources. The challenge is that little is understood about the interface between community management and local governance, particularly in rural governance contexts where community development is championed by traditional authorities.

#### **8.4 Responsibilities without power and resources**

The Constitution of the Republic of South Africa, 1996, recognised the position of chiefs in a democratic South Africa, but lacks of resources dilute their powers. Government officials do not put traditional authorities in the picture when planning for development activities. Chieftaincy institution is not well represented at the local government, and not able to generate its own revenue and thus limit their ability to participate in development planning and implementation at the local level. The poor representation of chiefs at the local government, make the chieftaincy institution perceive the local government system as not transparent in its undertakings. Majority of the chiefs (90%) actually feel that the Municipal government impose on traditional administration since they are mostly not consulted in most projects. Chiefs perceive local government system as a threat to traditional governance system as the system seems to be taking over most of the functions of traditional authorities in the communities. The lack of formal space for traditional authorities within the mainstream local governance structure to engage the local government remains a serious challenge to chiefs in the decentralised process, as the chieftaincy institution is not well informed about the operations of the municipalities. Thus, the challenge is how to effectively integrate traditional authorities into the mainstream local governance structure without compromising their non-political role. More so, unclear linkages and modes of engagement and cooperation between traditional authorities and formal local governmental structures prevent effective contribution of traditional authorities towards the common

goal of local development and become sources of conflicts (Conteh, 2016).

The Introduction of Party Politics contributes to the decline in the authority and powers of Chiefs in the country. Chiefs are now looked upon as 'vote-catching' agents that can win the support of the electorate for political parties at local level as each ruling party demands the political allegiance and support from them. Power Struggle between Chiefs and Other Personnel in the Locality has greatly increased.

#### **9. CONCLUSION**

The institution of chieftaincy plays a vital role in society and is still held in high regard in rural communities, often overlooked by the central government. The coercive forces of the state should always be under the command and control of civilians. The role of the chiefs is more important as the role of the local government as chiefs contribute to the maintenance of law and order through the settlement of disputes, mobilisation of human resources for communal labour and facilitating the release of land for infrastructural development. The Constitution of the Republic of South Africa, 1996 gives an indication of the importance it attaches to the institution of chieftaincy; it safeguards the institution as established by customary law and usage. Finally, in order for chiefs and their council to play a major role in good governance and the decentralisation process and to deepen democracy at grass root level, their chiefdoms should be provided with basic infrastructure and their institutions (like the Chiefdom treasuries, the Chiefdom police and local courts) modernised and equipped.

## 10. RECOMMENDATIONS

The institution of chieftaincy could be revitalised by exploring for them means to open for funding, resources, accountability, popular participation, public debates, morality and responsiveness to the people's aspirations. The traditional systems should be modernised. For instance, chiefs were responsible for the welfare of their people before the birth of democratic regime and they would provide each household with a land/ field, the same land can be modernised and be given to the skilled people together with modern resources for production that will benefit the whole community. If the institutions of the chieftaincy could be well resourced and strengthened then the chiefs' voice would be heard as the institution would be contributing to the nation. Traditional rulers can be of more service if somehow they are integrated into local administration. Therefore, cooperation between them and the district assemblies should not be in principle but literal. The experience and wisdom of chiefs should be utilised fully at levels of government as chieftaincy institution is the structure that the local people identify most with. They should be made part of central government by being involved in every development, in planning and implementation of programs so that they and their people can benefit from government projects. Cultural heritage championed by chiefs should be embraced. The manner in which chieftaincy and local populations were engaged in the negotiations of the introduction of specific norms, rules, processes, and institutions that are fundamental to the ANC's policies of transformation and democratization as it is in the Constitution of the Republic of South Africa 1996, should be looked at. Incorporation of chiefs in gov-

ernment affairs for voters' mobilization and implementation of projects for the benefit of the few should be highly opposed. Revision of their compensations is also vital as they also face the challenge of underpaid. Review of their background might provide insight for understanding current political dichotomy. There is the need to build the capacity of Chiefs and their elders. The National and Regional Houses of Chiefs and the District Assemblies should be resourced by the government and tasked with the responsibility of organising seminars and capacity-building programmes for chiefs and their elders. This would equip them with basic knowledge of their roles in their interaction with other development partners. This would also enhance their ability to analyse their own circumstances, plan and implement development projects and strengthen linkages with other development partners.

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# CHALLENGES AND CONSEQUENCES OF MANAGING PRIMARY ELECTIONS IN EMERGING MULTIPARTY DEMOCRACIES: A CASE OF UGANDA

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## ABSTRACT

*Management of elections is conceived as a daunting administrative task implemented in a politically charged atmosphere which if not consciously handled in a professional manner may result in much undesirable consequences. In Uganda, similar to most of sub Saharan Africa, primary elections have been carried out within respective political parties with a remarkable difference from the practice in the Western world. The Uganda's political past has intermittently been punctuated by both party and non-party eras with unique modes of elections. The remarkable period however begins in 2005, when Uganda held a referendum and changed electoral process from the movement non-party to Multi-party political system. Under multiparty democracy, political parties were expected to hold primary elections to select competent candidates who would compete with other flag bearers from other parties in the general elections. Since then, primary elections have been conducted particularly in the dominant National Resistance Movement (NRM) Party took effect in 2006, 2011 and 2016 elections. Emerging realities in the electoral processes and electoral outcomes indicate that managing primary elections in Uganda has proven to be a great challenge for both the local councillors and the parliamentary level representatives. A growing level of "independent" candidates and the irreconcilable conflicts among political contenders within same parties leave deplorable gaps for understanding, managing and practicing party primary elections. Empirical evidence from primary and secondary data is examined in this paper to reveal the challenges of managing primary elections and possible consequences thereof.*

**Keywords:** Primary elections, multiparty democracies, political parties, independents, electoral processes

## 1. INTRODUCTION

Concerns of democratising governments are keenly underlined in the existing literature with a global surge and dramatic political changes most felt in the last decade of the 20th century. In United States, methods of nominating candidates have also evolved overtime in the 20th century (Davis 1997). LeDuc, Niemi and Norris (1996) also offer highlights of the literature with significant changes in democratisation and electoral processes in Europe regarding transformations of party systems, and constitutional structures with the fall of communist and authoritarian regimes gave a gradual the expansion of democracy within and across the European continent (Gunter Diamandouros and Puhle 1995). Subsequent dramatic changes were also observable in South Africa with end of apartheid (Southall 1994) in South American countries as well as in Asia and the rest of Africa (Diamond, Liz and Lipset 1995). While these elections have been in place, from the time of independence in 1960s to date Uganda's political landscape has been punctuated with regimes of minimal democratic practices. Till the coming of the National Resistance Movement (NRM) into power in 1996, elections less democratic. From 1986, Uganda was under No-party dispensation and electoral processes would be based on individual merit and electoral colleges for marginalised groups like women, and youth (Uganda Constitution, Kyohairwe 2009).

In the year 2005, Uganda held a referendum and changed her governance from the movement to Multi-party political system. Under this arrangement, political parties were expected to hold primary elec-

tions to select competent candidates who would compete with other flag bearers from other parties in the general elections, an arrangement that took effect in 2005 and 2006 respectively. In an attempt to ensure that multi-party dispensation takes root and be more democratic like elsewhere, primary elections have been organised practiced in the 2006, 2011 and 2016 local and national elections. However, as evidences from assessment of the primary elections particularly at parliamentary level were to a great extent mismanaged and this resulted into the steadily growing of "independent" candidates a substantial number of whom in a surprise turn won the general elections. IPU (2011) notes that the number of independent MPs increased from 37 in 2006 to 44 in 2011 general elections. Because the 2016 elections experienced related challenges in primary elections, this study was set to examine the challenges and consequences experienced as a result of the practices in the emerging multiparty democracy in Uganda.

## 2. RESEARCH OBJECTIVES

The study was to investigate the challenges of managing the primary elections in Uganda. It was also aimed at establishing the consequences from such primary elections challenges as perceived from the actors' point of view. The conclusions derived at gradually would be substantially informed to guide subsequent primary elections but also offer grounded facts for future researchers on the subject matter

### 3. THE STUDY METHODOLOGY

This study was conducted through a phenomenological design, purely qualitative in nature intended to understand the voters and election officials' view-points based on their experience in primary elections participation. Interpretive methods of analysis were then used. The study carried out in-depth interviews from 30 respondents including voters, electoral officials and political candidates. The political candidates selected purposively, conveniently and by use of snowball techniques included those who were defeated at primary elections and those who managed to go through the elections successfully. Use of non-probability techniques indicated here was largely influenced by that fact that it was quite difficult to obtain adequate sampling frames of the entire population involved in the electoral process in the categories considered. The respondents included those who run for local councillors' positions at district or municipal level as well as the parliamentary candidates. The respondents were drawn from the districts of Bushenyi and Sheema in Western Uganda, Mityana from central Uganda and Mbale and Iganga and Toro districts from the Eastern Uganda. There was also an excerpt of an interview earlier carried out by a news reporter with a parliamentary contestant from Rukungiri district in Western Uganda. Drawing samples from different regions was intended to establish the comparative opinions of the respondents on the primary electoral processes across the two dominant party divides – National Resistance Movement (NRM) and Forum for Democratic Change (FDC). This was because other parties' structures at the grassroots were quite limited to enable revelation of substantial findings from the sam-

pled areas. The study focused onto 2016 elections.

Questions set for respondents in an interview schedule covered a range of issues that explored which level the respondents were engaged in electoral process, and also sought to find out the capacities they were involved in the elections. The broad and specific questions also focussed on the political parties that these individuals were involved, sought their own views on the way the primary elections were conducted in their areas of jurisdiction. The respondents were also asked what they considered as consequences of such processes. In addition to the interviews, a document analysis was used to triangulate the face to face interviews carried out by the researcher

### 4. LITERATURE RELATING TO THIS STUDY

A number of studies have been done to establish key determinants of supply and demand of candidates in the electoral processes. Among the many studies is detailed literature in Pippa Norris and Joni Rovenduski's works (1993, 1995), on the British legislative processes which suggest that members of the British House of Commons are demographically unrepresentative of the British population in terms of gender, race, education and class. Pippa and Joni Rovenduski's (1993) article specifically takes a close look at the reasons why this is the case, based on data from the British Candidate Study of 1992, that analyses the background, experience and attitudes of MPs, candidates, applicants, party members and voters. The strata is compared to indicate whether the outcome of the selection process reflects the supply of those willing

to stand for Parliament or the demands of local party activists when adopting candidates for local constituencies. Pippa Norris subsequent works (1996) observe that electoral bodies are evaluated as representative according to widely differing principles based on alternative democratic theories. She identifies two key models that may help us to understand legislative recruitment. The first model is the “*responsible party government model*” where voters are given the choice of alternative party platform or elections and individual candidates are regarded as members of their collective organisations. She argues that under such a model, *who* stands for elections is less important than *what* their party stands for and she relates this condition to be manifesting in democracies characterised by high degree of discipline. The second model that Norris mentions is the *district delegate model* where elected members are seen primarily as agents of geographical areas, from which they are elected than their party organisations. This model is characterised by less collective responsibility for government but rather is inclined to social representation based on simple grounds of equity regarding salient cleavages like gender, ethnicity, class, race and the like (Norris, 1996 in LeDuc, et al 1996, 184-5).

Further explanations advanced by Norris on the legislative recruitment determinants include individual factors that influence the willingness of potential candidates to pursue public office. This is what she refers to as “supply-side factors”. On contrary she also identifies the “demand factors” effect where party national leaders, party managers constituency officials and grass-

roots party members act as gatekeepers to determine who should access a political office. She distinguishes this category from non-party gatekeepers like interest groups, media financial supporters and civic notables that may also have influence in electoral process. In yet a further view, she considers the nature of electoral system either being a single-member districts or open-party lists to have a substantial effect on primary elections. A legal system that specifies the criteria for eligibility and that establishes other standards for selecting politicians is an additional factor affecting electoral processes at all levels. (Norris, 1996 in LeDuc, et al 1996, 192-197). All these factors seem to be a pool of structural, systemic and procedural determinants of primary and higher level elections which have a great impact on who is selected or left out of political positions, and closely examined are the sources of challenges of primary elections and their dire consequences.

## 5. REALITIES ON PRIMARY ELECTIONS IN UGANDA

Interviews conducted with voters, political contestants and electoral officials revealed inter-related views on the perceptions commonly held on primary elections in Uganda. The key findings are in the excerpts in the below.

### 5.1 Views from voters on the way the primaries were conducted:

One of the respondents from the Eastern region who participated in the elections as a candidate in the primary elections for parliamentary seat pointed out a number of factors that brought challenges in the NRM ruling party primary elections as follows:

1. Failure to follow the two key principals governing primary elections: On this issue, he pointed out NRM failure to a) assessing the popularity of the party and; b) assessing the popularity of the individuals being fielded to run for the party positions. To stress the second principle he stated: *"if the other candidate is more popular, then you also need to elect a popular candidate. You also need to compare the registered voters and identify the possible voters likely to vote your candidate..... this was missing because there was a lot of external influence for one to be voted for."* He also added, *"NRM rushed to stop those who had not passed through primary elections to protect their flag bearers"*. He made a reference to particular cases who had intended to stand as independents after being defeated in the primaries to become flag bearers. This, to him was considered as a clear indication of external influence and a big challenge of protecting those candidates who were fielded by the party without necessarily being popular. There was a fear that given an opportunity, the independents could out-compete the party selected flag bearers.

2. Money culture in politics: The respondent's other view was that there was improper use of money in the entire electoral process including the primaries was disastrous. He condemned the act of giving money to the voters and to those involved in the electoral process. His own opinion was that, *"Naturally you shouldn't*

*be giving people money to vote you. The money should be to facilitate the process of election. It should be for posters, transport etc not votes"*. In actual fact in his own interpretation, he referred to the use of money and winning elections on that basis as *deceptive popularity*. Reiterating the argument on money culture effect, he further said *"... so take away the money, you don't see the power of the candidates"*. He mentioned that during the NRM elections, the village party members, parish coordinators, sub county team, district and national task force were all "paid" in the electoral process.

Relatedly, a respondent from the central region, while giving his experience on the primary elections stressed that actors for choosing candidates are not defined. To him, choice of flag bearers is influenced by a critical factors which he identified as , *" choosing candidates based on money, those who can be resisting, those being supported by top politicians etc"*.

3. Party structures: For another respondent from the central region the problem of party primary were largely structural. He pointed out that the structures that are in place currently favour the NRM government that is in power. Referring to the local council structures, he observed: *"look at the LC system for instance. From LC1 to LC5, all the structures are a creation of the Movement which has been in power for the last 30 years. Those who occupy those positions are part of the NRM,...the structures are simply historical"*. This expression implied

that going through primaries is more procedural than a staid exercise capable of bringing competitive candidates for the current multiparty politics. He further regarded the current politics in Uganda as being still immature. He categorically stated: *“Unfortunately, even the government is not promoting the multiparty. If the government was willing, they would be supporting and facilitating the other parties to establish their structures”*.

4. Reasons for joining politics. The other emerging views during the interviews in this study were largely to do with the motivations for individuals' involvement in the electoral process. One respondent from the western region for instance stated: *“In multiparty system, primary election are mandatory. You have to participate in order to choose a candidate who stands for your principles as a party”*. Another respondent holding a divergent view however said: *“People join parties because they are only defiant but not because of the parties' interests”*. I particularly found these views intriguing. A clear indication was that people who vote, those who stand for elections are either doing it as a ritual because it is an obligation, do select to stand to defend their party ideology or because they have a grudge with another party. The last category here sounds more interesting because their motivation for voting or running for a political office is basically not to participate in the parallel party. This was common

amongst candidates of opposition parties. It was seen as a challenge for primary elections because such candidates were seen as having no clear agenda for the public and thus would attract less support.

## **5.2 Excerpt of an interview with a prominent politician**

A long standing parliamentarian who lost in the recent primary elections was interviewed by a news reporter. *In a Newspaper excerpt the MP contestant /politician and a news reporter is as below:*

Reporter: Your defeat shocked many who thought you were powerful figure in the national Resistance movement (NRM) and kingmaker of Rukungiri District

Politician: *I was shocked, too. Now I know that there were many underhand activities before and during elections. But I still accepted results for many reasons I will not discuss here. Some of these reasons are very important for my people, my party and my country*

Reporter: Did electoral commission (EC) rig you, for example?

Politician: *While the electoral commission had the responsibility to ensure that everything was free and fair, I believe what went wrong was beyond just electoral commission. First, we had some internal party divisions that threatened the fabric of our campaign. Then we had religious*

leaders leading the flock the sectarian path. We also had the opportunists who are royalists kept changing with the weather. We had misled youth who were easily manipulated. We also had misled party members who still yet to understand and appreciate the importance of holding the party interest over individual ones. I also feel that our voter population allowed themselves to be distracted from the real pertinent issue. We can no longer afford to vote or give support based on religion or tribe. My intent is to weed these evils out. Uganda should vote on pertinent issues. They should value royalty to party. They should argue with logic, not emotion, and inject their passion in delivery

We have young people whose mindsets we must take care of more seriously than ever before. Instead of us contesting on our promise and track record, the rules of the game were changed. That, in a summary is what went wrong

Reporter: People say the NRM's dismal performance in Rukungiri should be blamed on you as NRM district chairman

Politician: There is no uniform reason for the performance of particular party in every area. And the case of Rukungiri and Rujumbura (my constituency) in particular I do not think one would call 48% for Museveni a loss. This is instead a significant number and an achievement for

NRM considering that this is the area where Besigye the strongest opposition candidate comes from and, until recently, Kanungu where Amama Mababazi comes from.

You must note that underhanded activities did not affect me alone. They affected the party too. Whether it was to do with the register, whether it was to do with the presiding officers whatever it was it affected both the presidential, the parliamentary and other candidates in the lower organs

Reporter: Now your defeat has boosted the Forum for Democratic Change's (FDC) strength in Rukungiri

Politician: Not really. There was no actual gain by FDC numerically because, for the first time, we received people crossing from FDC to NRM. And not small people. Many crossed from FDC, even those who had gone to "Go Forward" returned. We did not lose any to FDC

Reporter: What do you feel now that you will not be an MP?

Politician: What do you mean? Mps are not more than 400 in a population of 36 million or so? That is a very small portion. Aren't people going about their business and living well without having a responsibility of the constituency? For some of us, it is a service, it is not a job. So that is why it is not a loss. May be the people have lost a dedicated person, a selfless MP

*So I do not think about it. It is just like a responsibility which has been taken away. It gives me more time to do other things. I may even serve in the same area better. I go there and talk to young people. You know every situation comes with lessons. I will also have more time to focus on the ministry, increase its effectiveness, consolidate the party members and work with them on mending fences and putting the house in order I am quite excited about it, actually.*

Reporter: But will you miss parliament?

Politician: *Well, may be interacting with colleagues and talking freely because when you are in parliament, you can say whatever you want because you have privileges. But who knows? May be I will remain an MP? You know when you are appointed a minister you become an MP automatically and still enjoy the same privileges.*

*Otherwise I do not think will miss so much because I have built many relationships with the members that have not ended with this incident. I believe I will be more effective this time, having time to leverage on those linkages in order to grow Uganda's brand*

## **6. OPINIONS ON CONSEQUENCES ON PROCESSES OF CONDUCTING PRIMARY ELECTIONS IN UGANDA**

Respondents identified a number of consequences emerging from the primary elections and the related electoral processes. One of such consequences was the splitting of the party. Some of the losers in the primaries dared to stand as independents holding a view that the electoral process was never a fair one and that the ground was not levelled for all competent interested candidates within the parties. One of the respondent from the eastern region noted about NRM party that, "*cohesion of the party was shaken*" and that the party has to work on this in order to be strong again. This view was shared by all respondents who kept emphasising the fact that this is the very reason why many individuals wanted to run as independents. A specific response from one respondent from the central region was that some of the NRM selected flag bearers were gradually defeated by those who dared to stand as independents because of "*let the ballot decide*" slogan from the independent contesters. This affected all categories of candidates especially at the local level and mostly in the ruling party.

Incidentally, running as independent candidates in any party during the primary elections proved an uphill task also. It was noted by some respondents that some people after failing in main primary elections would stand as independents but their electorate would deny them votes. One of the respondents had a critical view of this. She observed "*This is very serious. If you rebel against your own party, how I am sure as a voter that you will not defy my wishes.*"



That is how some of the independents candidate failed to make it.

Another consequence was that the precedent of financial culture and money politics has been set. Most of the respondents were also of the view that the parties will have to invest heavily in every subsequent election. This was considered as a huge test to democracy because only candidates with money to pay voters will often be elected. It was also considered as a future challenge of representative where the elected councillors and parliamentarians will be less responsive to the electorate. One respondent emphasis on this pointed out “*politicians have bought the vote; you have been paid in return.... Soap, sugar, salt, and these petty things... even money in cash...so how can the voter ask for any services? How can they hold their councillors accountable, or even their members of parliament?*” This view is a good indication on the failure of accountable and responsive representatives for the electorates.

## **7. WHAT THEN DO WE CONCLUDE OUT OF THE FINDINGS FOR THIS STUDY?**

The interview between the journalist and the politician above bring out issues that the other interviewees had hinted on. First the statement that *there were many underhand activities before and during elections* that brought the politician down suggests the intra party conflicts which may be an effect of the different gatekeepers within the ruling NRM party during the primary elections. Indeed the politician noted the existence of some internal party divisions that threatened the fabric of the party campaign. His identification of specific categories like the

religious leaders, the opportunists/royalists, the “mised youth and party members” who seemed not to understand and appreciate the importance of holding the party interest over individual ones is a crystal clear view of the lack of collective responsibility as theorised in of Norris’s *district delegate model* where elected members are seen primarily as agents of geographical areas. All through, we see the respondents hinting on the primary elections issue of falling short expected principals governing primary elections. Party structures, political systems, the legal system are all implied as challenges of the primary elections. Outstandingly, we recognise the effect of the gatekeepers on the “demand side” of the electoral process that very influential in determining who becomes a flag bearer and who influence the legal system to protect the selected candidates by barring the independents from freely joining the competitive elections.

The consequences of such structural, legal and process dynamics are the ultimate weakening of the existing parties that has led to party factions. The financial culture and money politics make matters of primary election worse to an extent that the future sustainability of multiparty democracy in Uganda remains under a threat. What requires to be done is for the government legal framework and the responsible parties to review these challenges and put into practice mechanism to realise competitive candidates for parties, strengthen party ideologies and parties, establish and streamline party structures and minimise monetised politics.

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# THE INCREASED ROLE OF TEACHER UNIONS IN PARTY POLITICS IN BOTSWANA: THE GOOD, THE BAD AND THE UGLY.

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## ABSTRACT

*Botswana has been experiencing declining performance of the education system typified by consistently declining Botswana General Certificate of Secondary Education (BGCSE) results since 2005. This decline in the overall performance for government schools has become a defining feature of Botswana's public education. This paper critically explores the potential impact of teacher unionism on the academic performance of learners in public schools. The paper argues that while trade unions seek to serve the interests of their members particularly by working towards improving their conditions of work and terms of employment, unionism has tended to make teachers and school administrators to become pre-occupied with pursuing their immediate needs thus diverting their focus from the classroom towards having a stake in the public policy making process and playing a much bigger role in the social, economic and political spheres. This has invariably drawn teachers into active partisan politics in the process distracting them from the core business of teaching. It is contended that teachers' legitimate involvement in partisan politics as a way of influencing and pressuring the government to meet their demands has impacted negatively on educational output. In consequence, trade unionism has indirectly caused many teachers to become collectively lethargic and carefree in the full knowledge that their vocal, resourced and belligerent unions are always willing and ready to defend their lack of enthusiasm, complacency and apparent reluctant attitudes towards work which has resulted in many experienced teachers entering classrooms every day and sleepwalking learners into the examination rooms at the end the term.*

**Keywords:** Botswana, Government schools, Declining performance; Trade union, Partisan politics.

## 1. INTRODUCTION

It is in order to state that until as recently as the early 21<sup>st</sup> century; the labour movement in Botswana has, by and large, been relatively apolitical. Since trade unions register members from different political persuasions, they have sought to demonstrate very little bias if any towards particular political orientation. Trade union members have belonged to different political parties necessitating the need to subscribe to the philosophy of political pluralism by leaving partisan politics to individual members. Individual union members are free to join

any political party of their choice. The leadership is also free to associate with any political party but they may not explicitly use their positions to intimidate members to join particular parties. To the uncritical mind, this seems a noble and righteous arrangement that makes it possible to organize workers from all walks of life, with varying political orientations. Champions of this arrangement would like to argue that it is good in solidifying unity and a collective endeavour in the struggle for fair and dignified treatment at work. Consequently, trade unions in Botswana have never really been a significant factor in political and economic development except as loose associations of irrational voters and abused self-loathing workers (Dipholo, 2010).

Their ability to influence government policy has always been negligible and as a result government was under no obligation to advance the interests of labour because it did not recognize them as significant social forces. However, progressive trade unions are known to have intimate relationships with political parties that are favourably disposed to their interests. Trade unions have developed into a number of forms, influenced by differing political and economic regimes (Limb, 1992). They also have varying objectives and activities which includes the following:

- **Provision of benefits to members:** Early trade unions provided a range of social benefits to insure members against unemployment, ill health, old age and funeral expenses.
- **Collective bargaining:** Where trade unions are able to operate openly and are recognized by employers, they may nego-

tiate with employers over wages and working conditions.

- **Industrial action:** Trade unions may organize strikes or resistance to lockouts in furtherance of particular goals.
- **Political activity:** Trade unions may promote legislation favorable to the interests of their members or workers as a whole. To this end they may pursue campaigns, undertake lobbying, or financially support individual candidates or parties (such as the Labour Party in Britain (<http://www.cs.mcgill.ca>); the African National Congress (ANC) in South Africa) for public office (Hamutenya, 2003) and Umbrella for Democratic Change (UDC) in Botswana (Basimanebotlhe, 2014).

Broadly, trade unions are formed to serve the interests of their members (the workers) especially by working towards improving the working conditions as well as terms of employment of the workers. They often seek to maintain some sort of balance in employment relations that are often characterized by tension emanating from imbalances in power between the workers and the employers. It is posited that in much of the world the labour movement operates in a very hostile political and economic environment which requires trade unions, like other members of the civil society (Youngman, 2008), to be politically hyper active in order to influence policy in their favour. After remaining apolitical for some time, possibly until the early 21<sup>st</sup> century the labour movement in Botswana ultimately came to recognize that under no circumstances of whatsoever would the government take them on board of its own free will. It then dawned upon the labour movement that they must demand what is rightly theirs- a

legitimate role in influencing public policy direction or a stake in the policy making process (Limb, 1991).

To do so, trade unions took a radical decision that required them to revise their position on political neutrality because it is generally accepted that political neutrality is negative in nature precisely through its disorienting and paralyzing effect on the workers. The reality is that the internal dynamics of trade unions are conditioned by the economic and political framework within which they exist. This means that trade unions must necessarily be responsive to changing circumstances and constantly transform themselves in order to remain relevant. At times the economic and political environment may justify politically neutral trade unions while other circumstances of an economic and political nature could demand the labour movement to be actively involved in politics.

In consequence, Botswana trade unions set out to recommit themselves to playing a much wider role beyond the confines of the immediate needs of their members if they were to achieve their objectives. In effect, trade unions sought to recommit and inspire themselves to building a better future not only for them but for the entire nation by fighting to create a regime that responds to the needs and aspirations of the people. Underpinning this renewed commitment and inspiration was an unambiguous declaration to form alliances with political parties, in particular opposition parties that are thought to be favourably disposed to their interests. This marked a unique, unprecedented paradigm shift that resulted in trade unions and by extension their members assuming definite political posturing charac-

terized by active partisanship.

This paper seeks to argue that while trade unionism is inseparable from economic and political development, the involvement of teachers in partisan politics as a way of influencing and pressuring the government to meet their demands could have impacted negatively on educational output. The introductory section contextualizes the discussion by providing a historical picture of the transformation of the labour movement in Botswana. The next section discusses the legal framework for trade unionism in Botswana arguing that until very recently, civil servants were by law prevented from joining trade unions. The nature and role of trade unions is then presented to provide the parameters for understanding labour relations from a general perspective. This is followed by a discussion on teacher unionism and its likely impact on educational performance in Botswana. Challenges and prospects for teacher unionism are discussed with a view to interrogating circumstances that may collude to support or denounce the motive for unionism. Concluding remarks are made to bring out the main issues discussed.

## **2. THE LEGAL FRAMEWORK FOR TRADE UNIONS IN BOTSWANA**

The International Labour Organization was formed in 1919 as part of the League of Nations to protect worker's rights. Its guiding principle is that "labour is not a commodity" to be traded in the same way as goods, services or capital, and that human dignity demands equality of treatment and fairness in dealing within the workplace. Articles 23 and 24 of the United Nations Declaration of Human Rights spell out specific

rights for workers across the world among them the right to unionize and the right to just and favourable conditions of work and remuneration. The ILO has drawn up numerous conventions on what ought to be the labour standards adopted by countries party to it (<http://www.iol.org>). Countries are then obliged to ratify the Conventions in their own national law. It is against this rectification by the Botswana Government that trade unions sought to promote an environment under which such rights could be demanded, enjoyed and defended. Botswana has enacted various pieces of legislation governing labour relations and the rights and activities of trade unions. These include the following:

### **2.1 Employment Act of 1982**

The Act sets out the basic minimum terms/conditions of employment for private sector, parastatal corporations and local government employees. In particular, it outlines the duties of the parties to a contract of employment, maximum hours of work, their entitlement to various types of leave with pay, minimum wages as well as legally permissible ways of terminating employment contracts.

### **2.2 Trade Unions and Employers' Organizations Act of 2003**

It embodies the rules on formation and registration formalities for trade unions, amalgamation of trade unions, federations of trade unions as well as employers' organizations. It also spells out the consequences of registration of the aforementioned bodies. More importantly, it reiterates each employee's entrenched right to form and/or

join trade unions and outlaws discrimination on the basis of trade union membership.

### **2.3 Trade Disputes Act of 2003**

It outlines the trade disputes settlement mechanism at both individual and collective level. It also encourages collective bargaining in the sense that it does create a possibility for the establishment of Joint Industrial Councils between employers industries and trade unions recognized by such employers/industries and it also states the legal significance of collective labour agreements. More significant is the fact that it discourages strike action by failing to outline circumstances under which strike action will be deemed to be lawful.

### **2.4 Factories Act of 1979**

It provides for the regulation of the conditions of employment with particular regard to safety, health and welfare of persons employed in factories and for the safety and inspection of certain plant and machinery in order to ensure that workplace safety is observed at all times.

### **2.4 Worker's Compensation Act of 1998**

The Act obliges employers to keep all their employees insured or for them to set aside sums of money as may be determined by the Commissioner of Labour for purposes of compensating the employees for injuries suffered or occupational diseases contracted in the course of their employment or for death resulting from such injuries or diseases.

## 2.5 Public Service Act of 2008

The Act sets out in general terms the criteria for appointment to the public service, termination of appointments and retirements, as well as the terms and conditions of service for public officers. The Act also defines misconduct and unsatisfactory service and the appropriate penalties therefore. It is the only statutory enactment that seeks to address sexual harassment in the workplace. There have not been any major changes to the labour legislation having a bearing on the workers and/or trade union rights over the past decade (adopted from Friedrich Ebert Stiftung, 2008). As already stated, the law governing the establishment and the functioning of trade unions in Botswana is found in the Trade Unions and Employers' Organizations Act. The Act does provide a relatively friendly mechanism for recognition of trade unions as negotiating bodies on behalf of their members. Once the trade union has satisfied minimum requirements as outlined in the Act, the employer will be bound to deal with the trade union as the negotiating body, on behalf of its members, on all matters that have a bearing on the relationship between the members and the employer. The next section discusses the nature and role of trade unions.

### 3. THE NATURE AND ROLE OF TRADE UNIONS

Although trade unions are primarily concerned with conditions in employment and the workplace, they have always had broader social and political concerns over a wide range of national and international issues. Spooner (2000) argues that there has been a partial retreat of the labor movement from this broader social and political

commitment in recent decades. Others, such as such as Watson (2000, in Spooner, 2000) argues that the trend has been in the opposite direction, as evidenced by trade union campaigns on human rights, women's rights and participation in pro-democracy movements.

Historically, trade unions have argued that a consistent defense of their members' interests demands a long-term struggle for a social and political context at national and international levels that is favorable to the well-being of people and society as a whole. They claim to be serving the interests of society in general, as would NGOs, in acting on the desire to advance and improve the human condition. The modern concept of labor rights dates back to the 19th century after the creation of labor unions following the industrialization processes (Walker and Morell, 2005). Nevertheless, a difficult question about the independence of trade unions is whether they come under governmental influence. Individual governments do at times try to influence the labour movement in a particular field specifically by establishing trade unions that promote their policies. Also, especially in more repressive countries, trade unions may find it very difficult to act independently. In some cases even when they act independently they are often chastised for pursuing hidden political agendas especially agendas associated with political opponents. Beyond these obvious situations, there is a widespread prejudice that government funding or some other forms of assistance leads to government control (Dipholo and Tshishonga, 2013). Ordinarily, trade unions may appear to be independent when they design their own

programs, but government influence often arises indirectly or directly if their activities are designed to make it more likely that government assistance of any kind will be forthcoming. This means that there is always some tussle between the government and trade unions with the former attempting to exert influence and control over the latter while on the other hand trade unions may seek to retain and consolidate their independence. This on its own has the potential to strain relations and foster mistrust, suspicion and acerbic relations that may compromise productivity in the workplace.

In Botswana, the labour movement has relatively been autonomous from government. That is, there have not been any significant incidents of government interference in the activities of trade unions, even in a purported attempt to enforce the law (Trade Unions and Employers' Organizations Act) that governs the establishment and registration of trade unions, notwithstanding the fact that it does permit some measure of government interference in the activities of trade union. Perhaps this is because until as recently in 2014, the Botswana labour movement can be argued to have been politically neutral in that it has not, thus far, formed any alliances of a political nature with any particular political party in the country, including the ruling party.

This notwithstanding, public perception, especially in the mid-1990's was that Botswana Mine Workers Union and Manual Workers Union, leaderships aligned to the Botswana National Front, the then main opposition political party and a strong contender in the

1994 general elections (Basimanebothle, 2014). However, this suspicion was never supported by the facts on the ground because there was never a public declaration of the alliance. To the extent that the trade union movement did not have alliances with any political party, it did not have any political power. However, in the aftermath of what was considered, by Botswana standards, a historic industrial action in 2011 organized by The Botswana Federation of Public Sector Unions (BOFEPUSU), the Federation took a stance to support the opposition block, Umbrella for Democratic Change (UDC) in its endeavor to unseat the ruling Botswana Democratic Party (BDP) at the 2014 General Elections. The labour movement argued that such alignment was necessary to ensure that their members use their votes as bargaining weapon in order to make an impact of a political nature and enhance their negotiating powers. This bold decision meant that the labour movement became actively involved in partisan politics. This was however without problems. Some critics from both within and outside of the labour movement contended that by frolicking with politics, trade unions ran the risk of betraying the workers struggle and worsening frayed tempers between the employer and union members (Bule, 2015). This decision also had the potential of creating opportunities for the government to interfere in union business to deliberately weaken them so that their support for the opposition parties did not endanger the ruling party's hegemony. This probably marked the advent of strained relations characterized by sabotage and counter-sabotage.



#### 4. TEACHER UNIONISM AND EDUCATIONAL PERFORMANCE IN BOTSWANA

Concern about the consistent decline in students' academic performance in Botswana since 2005 particularly with respect to Botswana General Certificate of Secondary Education (BGCSE)<sup>1</sup> examination results has become an established occurrence. Whereas this unfortunate trend has triggered a verbal sparring characterized by blame and counter-blame, the school and in particular the teacher has had to endure the most stinging criticism (Moswela, 2014: 46). Moswela (2014), states that part of the blame game manifests in teachers being blamed for focusing more on activities that are of secondary importance, [*especially the unionisation of the teaching profession*], at the expense of the core business of teaching. This is an accusation that cannot be simply wished away in the same way as teachers' participation in civic life cannot be dismissed whimsically. Agreeing that the teacher as a member of the larger community within which the school is situated and therefore has a role to play in community activities, it represents the starting point to embrace community service normally referred to as 'service to the community' as an inherent duty of a teacher. This argument then acknowledges the relationship between the school and the community to the extent that the teacher cannot be deprived to the responsibility of citizenship, inclusive of politics.

A teacher is above all, a citizen and by international law cannot be disenfranchised. This seems a readily acceptable proposition. Perhaps the controversy lies in the ex-

<sup>1</sup> The BGCSE is an internationally recognised certification taken at the high school student's level. BGCSE is based on the United Kingdom General Certificate of Secondary Education (GCSE) model. The examinations are designed to be taken after three years of senior secondary or high school study, which is the equivalence of the South African Grade 12.

tent and operational spheres for which a teacher is permitted to stray from the classroom. Community service for the teaching profession thus becomes a highly contested and charged subject especially when academic results are consistently disappointing as is the case with the Botswana General Certificate of Secondary Education (BGCSE). However, this cannot distract from the bigger picture of the responsibilities of the teacher as a citizen.

One definition of politics is that it is the public allocation of values (Nnoli, 1986:5). Politics is also defined as the competition among individuals, groups and states pursuing their interests. The implication of this definition is that individuals and/or groups are constantly in competition for the attention of the employer to meet their sectional needs, requiring them to organize themselves in order to have a collective voice and exert pressure on the state and other powerful institutions to meet their needs.

As was stated earlier, trade unions are formed to serve the interests of their members implying that teachers deliberately formed and joined trade unions to attend to their welfare and perhaps most importantly to seek other concessions beyond their immediate interests. Thus, teachers can become politically active and actively participate in partisan politics to seek support for the education sector that is often grossly underfunded and neglected. Moswela (2014:53) argues that it has become a truism that education cannot be separated from politics. Therefore, teachers are an essential component in the educational spectrum that has to be recognized as an important part of the education-politics nexus.

Beare et al, (1998:235) states that,

It is no wonder that the image of the education is bad when its own members are unthinking about its public standing. This begets political attention...it is not a secret that some politicians choose to cut public education funding, balance the budget on the back of students and slash the education workforce, inflicting the tremendous harm...to our students and risking our children's future. We have to understand that politics will always play a part in our education, we have to tolerate that. On the other hand, education needs to be free enough and independent enough so politics cannot abuse it

Balancing the legitimate role of the teacher in politics through among others, unionisation with effective delivery in the classroom would naturally satisfy key stakeholders. However, this endeavour will always present a daunting task which invariably leads to heightened tension as government attempts to initiate various measures that are perhaps well-intentioned to reorient the teachers to focus more on the core business of teaching while on the other hand teachers' organizations use every muscle to reinforce their legitimate role in civic life like every other citizen.

When this happens as it inevitably often does, teachers are more likely to become radical and militant to the extent that the core business of teaching is inadvertently relegated to the side lines in the professional and personal life of a teacher and subordinate to the struggle with the employer. For instance, at the height of teachers skirmish with the government in 2010, spe-

cifically the Ministry of Education and Skills Development, teachers vowed to end the political career of the then education Minister accusing her of bringing the teaching profession into disrepute, undermining the profession and failure to convince the Botswana Examinations Council to agree to improved remuneration for invigilation while government handsomely pays non-teaching invigilators way beyond what teachers get (Tsimane, 2010). This mirrors a similar instance that occurred earlier in 2003 when teachers threatened to resign en masse if their proposed strike did not get desired results (Ditsheko, 2003). These cases point to frayed tempers and acidic relationships that cannot offer a conducive environment for teaching and learning.

On the other hand, the government through the Minister of Education and Skills Development threatened to dismiss teachers who link the improvement of their welfare to good examination results. The Minister is reported to have retorted in the vernacular that, '*yo ke tla mo fitlhelang a re ene o lekanya tiro le madi o tla ya ga mmaagwe*' (Modikwa, 2013), loosely translated to mean that she will dismiss from work all those teachers who deliberately become lazy, lacklustre and under-performing because of what they consider to be poor pay – a case of matching work to remuneration/compensation.

This unhealthy tug of war between teachers and the government meant that students' learning was compromised resulting in poor academic performance. As Moswela (2014) observes, when teachers and the government are engaged in 'war' the core business of teaching suffers, pointing out that students also lose focus on their learn-

ing as they become interested third parties in the rivalry between the two. When this happens, invariably students support their teachers' course (Moswela, 2014: 53) worsening the situation by making learning the biggest casualty.

This has been the trend over the last few years as evidenced by the following media reports:

**'Teachers step up war over pay'** *Mmegi*, 15<sup>th</sup> August 2003, which reports about the intensification of teachers struggle with the government for better terms of service. On this occasion the teachers' organizations vowed to adopt radical forms of protest to shake the government into favourable action (Ditsheko, 2003);

**'Trade Unions get a P2 billion deal to avert tools down'** *Sunday Standard*, 19<sup>th</sup> September 2010, which reveals the government's interventions aimed at averting a complete shutdown of the public service including public schools (Sunday Standard Reporter, 2010);

**'Teachers, Education fight takes new twist'** *Mmegi*, 12<sup>th</sup> March 2012, which carries a report alleging intimidation of teachers by officials of the Education Ministry (Moeng, 2012);

**'BTU to intensify war with government over working conditions'**, *Sunday Standard*, 16<sup>th</sup> April 2012, which reports about a resolution by the Botswana Teachers Union (BTU) to intensify their battle against the government over bad working conditions for primary school teachers. The resolution observed that primary school education in Botswana is the most ignored, undermined, unrecognized and compromised

with primary school teachers being the most frustrated, manipulated and humiliated or even abused (Kologwe, 2012). These comments resonates with the view that a demoralized teacher cannot deliver (Moswela, 2014) and one can add that a demoralized politically conscious teacher is unmistakably dangerous and a disservice to his/her profession and a guarantor for poor performance;

**'Teachers down tools over marking allowances'** *Sunday Standard*, 10<sup>th</sup> December 2012, which gives a report about the stand-off between teachers engaged to mark the 2012 Botswana General Certificate of Secondary Education examinations and the government over pay. This was in relation to a resolution taken by Botswana Sectors of Education Union to boycott marking the examinations (Motlhabane, 2012);

**'Dow meets teachers' unions'** *Daily News*, 25<sup>th</sup> March 2014, reports about the new Minister of Education and Skills Development, Honourable Unity Dow attempts to mend fences with the teachers' unions specifically the Botswana Teachers Union (BTU) and the Botswana Secondary Teachers Union (BOSETU). The Minister is reported to have stressed the necessity of engaging teachers' unions and recognizing each other as partners in developing education by collectively devising solutions to the challenges that currently characterise the education system. The Minister further remarked that '*all stakeholders involved in the education system must shoulder the responsibility of the recent plight of poor performance in schools by not pointing fingers, but rather collectively identify and devise solutions to these challenges in order to restore public confidence in the education system*'

(Kgautlhe, 2015:2).

To this, representatives of teachers' unions are reported to have retorted that they appreciated Minister Dow's consultations that offer an opportunity for honest dialogue that could go a long way in solving challenges in the education sector, stating that building trust in the education sector would ensure parents trust the teachers to deliver results;

**'Teachers want Dow's head'** *The Patriot*, 4<sup>th</sup> April 2016, which comments that shortly after taking the reins at the Ministry of Education and Skills Development, Unity Dow quickly made enemies among students and teachers (Staff Writer, 2016). The reports highlight that the new Minister was worse than her predecessor and was likely to do more harm than good to the Botswana education system.

These select media reports about the 'war' between teachers' unions and the government sum up the extent of the strained relations that has a bearing on educational output specifically in the declining academic performance. Using figures from the Botswana Examinations Council 2015 Summary of Results for the Botswana General Certificate of Secondary Education (BGCSE) one is able to notice a worrying trend in declining academic performance in the examinations (occurring synchronously with teachers' union militancy) as shown in the tables below. Table 4.1 shows the number of grades issued following the 2015 examination which were grade C or better. The corresponding number in previous years is also shown. In each case, the percentage change compared to the previous year is indicated.

**Table 4.1 Number of Grades which are C or better**

Year	<b>2015</b>	<b>2014</b>	Year	<b>2012</b>	<b>2011</b>
Total grades awarded	<b>255,245</b>	251,451	240,123	225,376	211,618
Number of grades C or better	<b>69609</b>	64,753	67,010	65,798	65,303
% of grades C or better	<b>27.27</b>	25.75	27.91	29.19	30.86

Table 4.2 shows the number of grades issued which were grade A or better in comparison with previous years.

**Table 4.2 Number of grades which are A or better**

Year	2015	2014	2013	2012	2011
Total grades awarded	<b>255,245</b>	251,451	240,123	225,376	211,618
Number of grades A or better	<b>5631</b>	5,796	6,194	5,802	6,440
% of grades A or better	<b>2.21</b>	2.31	2.58	2.57	3.04

Figures from the above tables show a consistent fall in the academic performance of the learners in examinations. This drop in academic performance in examinations occurred at the same time with increased teacher unions' activism perhaps indicating the likelihood of a positive correlation between increased activism and poor academic performance. This also seems to support the observation that when teachers are at war with the government the core business of teaching suffers leading to poor examination results. The existence of trade unions and their propensity towards militancy in their engagement with the government on matters pertaining to their welfare provides fertile grounds for a hostile workplace environment that may not support effective teaching and learning resulting in poor academic results. Unionism provides opportunities for organised collective resistance and insulates members against victimisation hence their willingness to participate in activities that could be harmful and counterproductive. By international labour law, industrial action is lawful and unionized teachers are alive to the reality that their participation in industrial action is protected by law, particularly because trade unionism and its inherent rights are safeguarded by the Labour Relations Act.

## **5. CHALLENGES FOR TEACHER UNIONISM**

Teachers have, with all other citizens the responsibility to participate in general elections to choose representatives. This is both a privilege and a duty. However, teachers' active involvement in politics is sometimes branded an unnecessary distraction when students' academic performances are less than satisfactory as has been the case with the Botswana education system. When the academic performance of students in examinations dips, the school is the first to receive the blame (Moswela, 2014). This is in spite of the factors that academic performance in schools is dependent on a variety of factors (Agunloye, 2011).

This presents a key challenge to teachers' unions. They are faced with the challenge of justifying their legitimacy, relevance and motive especially when performances in the classroom take a nosedive. They have to make the government and the community at large respect the rights and responsibilities of teachers as citizens entitled to take part in politics at the community level. They have to convince others that a teacher is entitled to the privilege and duty to vote itself an important aspect of the political development of a nation. Teachers are also faced with the challenge to justify their demands as well as their entitlements to use teachers' unions in pursuance of their legitimate demands.

## **6. PROSPECTS FOR TEACHER UNIONISM**

In spite of the challenges facing teacher unions as discussed above, there exists opportunities consolidate the gains so far made and woo sympathizers especially the communities they serve to understand their cause. This is necessary to mobilize public opinion to support their cause and invariably restore the credibility of their organizations which have come to be dismissed as rabble-rousers. The best way for teachers to make their organizations accepted by detractors is to initiate measures that will result in improvement of the academic performance of students and/or mobilize the communities in their collective efforts to exert pressure on the government to avail adequate resources for the public education system. This will cause community members to appreciate that contrary to popular belief, teachers unions are not self-centred or selfish as to concern with the immediate needs of their members without the slight-

est concern for the public good. It will help others appreciate that the teachers' war against the government is justified and a necessary evil.

In this regard, teachers unions must make every effort to reconstruct their relationships with the communities within which they subsist. This is in view of the perpetual stereotype propagated by the government that the teachers are inward looking, self-contained and hardened delinquents who are detached from the core business of teaching due to their participation in active partisan politics. Teachers' organizations must work in addressing this stereotype that ferments misunderstandings, fears, mistrusts and resentment.

Additionally, teachers' organizations must seek to educate the community about the rights and responsibilities of the teacher as a citizen who is entitled, as with all mature citizens, to have a say in the choice of their political representatives. Moreover, teachers' organizations must mobilize and educate the community so that community members can appreciate that teachers are members of the communities and cannot be disconnected from the world of other citizens. Thus, the role of the teacher goes beyond the confines of the school premises and this aspect of community service is integral to both their professional and public lives.

Teachers' organizations must seek to cultivate and sustain a climate that recognizes and value the school-community nexus that appreciates the centrality of a symbiotic relationship where the school is rightly viewed as an essential fabric of civilization while the community acts as the surrounding to which the school belongs. Each needs

the other and perhaps none can function without the other. An appreciation of this school-community nexus would help in removing stereotypes, fears, undue apportionment of blame and public resentment.

## 7. CONCLUSION

Thus, while legitimate and necessary, unions may at times do more harm than good by radicalizing their members and causing them to become feisty, lackadaisical, derelict and law unto themselves. This has the potential to distract from the core business of teaching leading to poor academic performance as has deliberated in this discussion.

**The Good:** The increased role of teachers' unions in party politics is an essential component of political development.

**The Bad:** The increased role of teachers' unions in partisan politics may distract from the core business of teaching.

**The Ugly:** Government's attempts to browbeat teachers to stay away from active politics may increase teachers' militancy and cause most of them to be biased and to take personal prejudice to the class, ultimately orchestrating decline in academic results.

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# MONITORING PERFORMANCE OF THE PRO-POOR FUNDED COMMUNITY FOOD SECURITY PROJECTS IN THE GAUTENG PROVINCE

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## ABSTRACT

*This paper forms part of the study (thesis) conducted by the author in 2010 which evaluated the "impact of public participation of community food security projects". The author explored the way performance monitoring systems actually function on pro-poor funded food security projects. The paper assessed the design, process and mechanism involved to monitor the established projects with particular reference to community food garden projects in the Gauteng Department of Agriculture and Rural Development (GDARD). Food security projects forms part of the government social safety nets for alleviating poverty and in promoting long-term growth in low-income households. The projects further seek to increase the household livelihood and income generation through active and meaningful participation. Government invests massive funding for these projects, whereby financial and non-financial support is offered to the respective beneficiaries. The established food projects comprise of household food gardens, school based projects and community based projects. A theoretical and empirical approach was applied to attain the set objectives. A follow-up interview was conducted to inquire about the institutional arrangements for the Department to undertake performance monitoring on implemented food security projects. The author observed that performance monitoring improve poverty targeting of government expenditures and responsiveness to community needs. However, some of these projects loose project objectives and the intended goals. The study conducted by Mzini in 2010, observed that some of these funded projects were discontinued due to lack of incentives and the collaboration from the beneficiaries. The underlying development assumption is that the availability and use of reliable evidence and data can make planning decisions more pro-poor and responsive to local needs. This study intends to recognize the role of monitoring practices in the success and sustainability of the projects. It also increases awareness of the importance of performance monitoring and to explain the basic tools used in monitoring. This paper serves as a contribution to international learning on the design and functioning of poverty monitoring systems for enhancing accountability for poverty-reduction strategies.*

**Keywords :** performance monitoring, pro-poor funding, design, process and mechanism

## 1. INTRODUCTION

This paper explored the way performance monitoring systems actually function on pro-poor funded food security projects. The article examined the design, process and mechanism involved to monitor the established projects with particular reference to community food garden projects in Gauteng Province. The poverty reduction agenda has coloured the development discourse in broad terms. The global development community made the reduction of poverty its primary objective in the late 1990s and no country has been able to sustain a rapid transition out of poverty without raising productivity in its agricultural sector. Recent years have witnessed a trend in explicitly specifying the results (outcomes and impacts) of both broader country strategies and more specific programs and projects. The use of agriculture as a mechanism for reducing poverty in a sustainable fashion has also undergone a quiet revolution in the past decade. Over the years, the South African government has invested on food security projects, whereby financial and non-financial support is offered to the respective beneficiaries. Particularly with the establishment of community food security projects as a way of helping local people improve their own lives and livelihoods. Food security projects forms part of the government social safety nets for alleviating poverty and in promoting long-term growth in low-income households. The FSP further seeks to increase the household livelihood and income generation through active and meaningful participation. The established food projects comprise of household food gardens, school based projects and community based projects. Assessing the

performance of such projects may be seen as a worthless action especially when such funds are used for charitable obligation. It is essential to have practical management tool for reviewing performance. Such tools can also enable learning from experience, which can be used to improve the design and functioning of projects. The funding institutions seek to develop the ability to achieve and maintain high performance and productivity in organisations is a key challenge facing management today.

## 2. RESEARCH OBJECTIVE AND RESEARCH METHODOLOGY

The general objective of this study was to explore the way performance monitoring systems actually function on pro-poor funded community food security projects. The author concentrated on the design, process and mechanism involved to monitor performance of established projects. The research methodology applied in this is essentially of a qualitative nature where secondary sources were consulted from existing research to highlight the nature of performance monitoring and community food security. The author reviewed the titles and abstracts and of all identified documents and examined citations from these documents for additional references. Literature material was sourced from a number of peer reviewed journals; food security intervention projects reports and donor condition guideline manuals regarding food security projects. The literature builds on the research done by Kimweli (2013:9) which assessed "the role of monitoring and evaluation practices to the success of donor funded food security intervention projects in Kibwezi District, Kenya". The literature gave the study

its background information necessary to evaluate the variable under study. In addition an empirical component is added to illustrate practices observed in the Public sector specifically in the GDARD. Semi structured interviews were conducted and supported by a questionnaire containing eleven (11) questions with open ended questions was used for qualitative data collection. The researcher contributes thus to the article body of knowledge as a participant observer.

### **3. BACKGROUND OF PRO-POOR FUNDING AND COMMUNITY FOOD SECURITY PROJECTS**

The Government's fiscal policies and strategies over the time have been developed with major emphasis to support pro-poor population especially those in rural areas. Such policies and strategies have been implemented through the government budget, whereby various interventions have been pursued at all government levels to support pro-poor growth. Food security projects forms part of the social safety nets. Social safety nets serve as an "important role in alleviating poverty and in promoting long-term growth by providing households with the protection that markets and informal networks may not supply" (Bickel, Nord, Price, Hamilton & Cook, 2000:2). Bickel, *et al.*, (2000:2) described food insecurity as a "complex, multidimensional phenomenon which varies through a continuum of successive stages as the condition becomes more severe". Food security matters immensely. It is a "topic of keen interest to policy makers around the world in large part because the consequences of food insecurity can affect almost every facet of society" (Jones, Ngure, Pelto & Young, 2013:481). Food security also

matters for maximizing economic capacity to poorly nourished population (Jones, *et al.*, 2013:481).

In South Africa, the national Department of Agriculture, Forestry and Fisheries is responsible for developing food security policies. In Gauteng province, community food security projects are led by the Gauteng Department of Agriculture and Rural Development (GDARD). The two main mission the Department aims to expand access to agricultural opportunities; "maximising food security" (GDARD, 2015:9). Food security is implemented under the Programme 2: Agriculture and Rural Development. The Programme area: Agriculture and Rural Development is responsible for two of the major mandate areas of the GDARD, i.e. development of agriculture and development of rural areas (GDARD, 2015:45). The Programme is established to respond directly to the GDARD's Strategic Outcome Oriented Goal 1 which seeks to modernise and transform agricultural sector by increasing food security, economic inclusion and equality in the province" (GDARD, 2015:46). Community food security projects strives to raise labour productivity, pulls up wages, and gradually eliminates the worst dimensions of absolute poverty (Timmer, 2005:3).

#### **3.1 Pro-poor funding**

Van Domelen (2007:i) indicated that the pro-poor funding projects "have gained increasing attention for their capacity to support poor communities, especially in the context of scaling up efforts to end extreme poverty". Donors continue to "spent huge amounts of money to finance food security

intervention projects” (Kimweli, 2013:10) in a quest for alleviating poverty in low-income household. The financing of a project involves the arrangement of adequate funds to pay for the development and operation of a clearly defined project. The maintenance of such projects also requires funding. The structure and form of finance will be influenced by the nature of the project. The majority of funding comes from national, provincial and local government sources. However, contributions may be funded by the private sector in which the private sector aims to own and control some or all of the assets. In Gauteng, the GDARD provides funding in order to create and upgrade social and economic infrastructure, promote income-generating activities, and support the development of civil society and social capital (Costella & Manjolo, 2010:1). The nature of performance monitoring is described in the next section.

#### **4. OVERVIEW OF PERFORMANCE MONITORING**

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There is an increased demand for results from donor funded projects in the 21st century. Government departments perform their mandates with tight budgets and many competing priorities. Progressively, programme owners are being required to document the needs to which they are responding and the extent to which they are effective in addressing those needs. Performance monitoring also forms part of community food security assessment activities undertaken by policy implementation officers and funding institutions (Wait, 2011:22). Community food security assessment encompasses the collection of data that will determine

whether the project goals are met. The central activity of performance monitoring is the collation of data to facilitate the reporting of performance indicators (Turabi, Hallsworth, Ling, and Grant, 2011:2).

Monitoring is seen as a practical management tool for reviewing performance. Performance monitoring is an integral component of performance management, whereby management control systems respond to performance information in a manner conducive to the improvement of performance (Anthony, 2011). Monitoring in community food security projects allows project teams to run projects effectively, ensuring they have the desired results for beneficiaries (Kimweli, 2013:9). Monitoring is critical to a project's success. In this case it is steered towards assessing the contribution of humanitarian assistance and the difference made in populations and beneficiaries lives to address their needs (Wait, 2011:22). The rationale is to identify any need for corrective actions to ensure project execution towards attaining its objective (International Tropical Timber Organization (ITTO), 2009:9).

A project can be monitored internally or externally. Internal monitoring is undertaken by the project's implementing partners, whereas external monitoring is carried out by external agents (European Union (EU), 2007:7). Internal Project M&E is built into the design of a project and is undertaken by the team that is responsible for management and implementation of the project. External Project monitoring is carried out by an outside team, which is not directly responsible for the management or implementation of the project. External

M&E should assess the effectiveness of the internal M&E put in place by the project management team (The Department of Water Affairs and Forestry (DWAF), 2005:5). Internal and external monitoring is done to ensure that the project meets deadlines, stays within the budget and achieves its objectives, activities, outputs and impacts. The responsibility for internal monitoring is with the central management of the funding institution.

#### **4.1 Types of monitoring**

Performance monitoring “continuously collects and analyse data to compare how well a project is being implemented against expected results” (Organisation for Economic Co-operation and Development (OECD), 2002:5). Project performance monitoring is a critical component in a well-functioning project. Performance monitoring seeks to ensure that the project is performing in accordance with the set goals as specified by the mission statement of the funding institution. There are different types of monitoring available, including but not limited to: result monitoring; activity monitoring; financial monitoring; and beneficiary monitoring (Wait, 2011:21).

A proper evaluation of program impact cannot occur without continual monitoring and collection of information. Programme monitoring often focus on inputs and end results. The result monitoring assesses the “effect and change brought about by the project, in terms of the three levels of results, namely: outputs, outcomes and impact” (Wait 2011:21). Results monitoring provides information on the progress towards achieving objectives and on the impact the program is having

in relation to the expected results. This type permits project managers to address any developing problems. It also allows for adjustments to be made where required in order to correct the challenges faced with such projects. Activity and financial monitoring assesses if resources or inputs are being used at the planned rate. It also inspects whether the project is implemented in line with activity plans to deliver outputs. Public funding is a scarce resource. Therefore it is particularly important for managers in terms of determining resource allocations (Wait 2011:21). Policy makers often deal with human who are beneficiaries of the implemented projects. It is essential include the element of such beneficiaries when monitoring performance of projects. The abovementioned types allow projects managers to verify the actual situation in relation to the planned situation (ITTO, 2009:9). Performance monitoring also helps to establish a long-term monitoring system with a clear set of indicators. Monitoring is a key function of proper project administration; however the process may be complicated. The next section summarises the causes and impact of inadequate monitoring.

#### **5. CAUSES AND IMPACT OF INADEQUATE MONITORING**

There is an increased demand for results from pro-poor funded projects. The success of donor funded projects on food security intervention continues to face serious challenges (Kimweli, 2013:9). Some institutions lack capacity for assessing the implemented projects. Levinson and Herfort (2013) further argues that “the monitoring of community food security projects is important given the paucity of

data documenting successes and failures in such projects". Primarily, monitoring of such projects allow project teams to run projects effectively in order to ensure that they have the desired results for beneficiaries (Kimweli, 2013:9). The study conducted by Hinton (2003:i) indicated that the deficiencies in monitoring are related to violations of good management principles. Inadequate monitoring is often the result of the following:

- poorly established criteria for evaluating vendor performance;
- perception of oversight as a responsibility to develop a partnership rather than enforce rules, regulations, or contract provisions;
- focus on rules and regulations rather than outcomes;
- failure to conduct follow-up reviews to ensure that corrective action was taken; and,
- failure to identify the risk and level of review necessary for each vendor.

Government departments can mitigate the risks by developing an effective monitoring system. Good management and supervision are essential to eliminate surprises. The next section describes the results and practices of the GDARD on performance monitoring for the implemented food security projects.

## **6. RESEARCH RESULTS AND DISCUSSIONS**

This section presents the results and discussion of the research conducted in the GDARD.

### **6.1 Institutional arrangements**

The department was asked if there are dedicated staffs that monitor the project performance. The department have agricultural professionals who ensure

that the mandate of the institution is implemented in a proper manner. The department make use of extension officers to support effective policy and programming decisions regarding food security issues in their community. When asked about the composition of the dedicated staff, the department indicated that there are internal and external officers appointed to monitor such projects. The team comprises internal and external officers. The internal officers include the extension officers in the Directorate of Agriculture. Whereas the external officers consists of the team who work in the Directorate Monitoring and Evaluation Unit. External monitoring is undertaken by the portfolio committees established in the Gauteng Legislature. These teams could identify sensible indicators to measure project relevant impact and carry out the key monitoring necessary for tracking progress (Levinson & Herforth, 2013:1). These teams could identify sensible indicators to measure project impact based on the type of activities in the programme, carry out the key monitoring necessary for tracking progress, and feed back to the project management (Asian Development Bank. 2007). Extension officers are in a better position to undertake an analysis of problems and solutions as they are closer to the implementation of activities, and should work with management take those solutions forward (Wait, 2011:22). Another question inquired about the appointment of the monitoring team. This question was important because the lifespan of a project is lengthy, therefore institutions cannot have part-time officers for implementing the projects. In this case the extension officers are full-time employed. Furthermore, the author probed a question which inquired

about the description of the establishment (how many) of the monitoring team. It was indicated that undertakings are categorised in a form regions, which are: Pretoria; Germiston (consisting of Ekurhuleni Metropolitan Municipality and Sedibeng District Municipality); and Randfontein. All these regions forms part of the Gauteng province.

It was also important to request clarity on how the monitoring teams are involved especially with the setting of the categorised regions. The department indicated that each region is attached to a dedicated extension officer in order to avoid duplication of functions and malpractice. Monitoring is critical to a project's success. The involvement of the team in the monitoring process was found to impressive. The monitoring team owns the established projects, in a sense that they become part of the infant stage (emerging farmer) of the project until the project graduates to subsistent farmers and commercial farming.

## **6.2 Capacity development**

The author also made inquiries to ascertain whether there are arrangements made to offer capacity development for enhancing the functions of the monitoring team in the department. Good project monitoring builds on good project design (EU, 2007). The GDARD strives to enable and support the agriculture sector to actively contribute to economic growth, inclusion, equality and the creation of work. The response from the department announced that there are programmes earmarked towards capacitating the team. Firstly the extension officers are employed with their professional qualifications. Secondly, the department also facilitate training through the human

resource department and finance unit. Such workshops enable the monitoring team to obtain skills in order to supervise the projects being evaluated. Field staff typically requires continuous information on trends in beneficiary-level conditions to plan and make necessary adjustments to their activities. Program managers require information for basic supervision and accountability requirements, program planning, and design, as well as internal resource allocation decisions (Riely, Mock, Cogill, Bailey and Kenefick, 1999:10). Participatory performance, assessment, monitoring, evaluation, and impact can be used as systematic evaluation in order to assess, monitor, and evaluate the participants performance and impacts, and the quality and success of the rural network development will be evaluated both quantitative approach with questionnaire and observation forms (Thiengkamol, 2010:549). Capacity development also enables the monitoring team to be aware of the following important monitoring processes:

- monitoring the implementation of strategies, policies, projects and actions;
- monitoring the utilization of financial resources and other resources;
- monitoring output, outcome and impact;
- monitoring the quality of products and services delivered;
- monitoring processes, infrastructure, supplies and payments;
- monitoring internal and external risks; and
- monitoring compliance with legal, contractual and voluntary obligations.

Effective performance management requires managers to have access to performance information that gives a balanced view of organisational performance without overwhelming managers with data or overburdening their organisation with reporting requirements (Turabi, Hallsworth, Ling, and Grant, 2011:2). Monitoring activities may be influenced by a number of principles, key to institutional policy, including accountability, independence, and Learning". Accountability requires a strong element of disclosure of evaluation findings and the determination of the impact of the organization's programme activities to inform donors and the general public (United Nations Environment Programme (UNEP), 2008:3). The appropriate monitoring of food security is critical for supporting early warning and global monitoring systems and for informing government policy across many sectors (Jones, Ngure, Pelto & Young, 2013:481).

### 6.3 Project Details

Since the department leads the mandate of food security in the province, it was important to make inquiries about number of established projects and how are the projects established since monitoring is essential. In terms of the strategic objective and annual targets a department must present its intentions as to how the policy projects will be implemented for food security. The author was presented with an annual performance plan of the GDARD in order to record the true reflection of the department mandate. Table 1 below presents an outline of the sub-programme food security Programme Performance

Indicators and Annual Targets for 2015/16 for food security. The following table provides a profile of established community food security projects in Gauteng province. In Gauteng province, there are six types of food security projects established in the GDARD: \_

- households benefiting from agricultural food security initiatives;
- hectares cultivated for food production in communal areas and land reform projects;
- individual homestead gardens;
- school food gardens;
- community food gardens; and
- women benefitting from community food gardens (GDARD, 2015:53-52).

## 7. FREQUENCY OF MONITORING

Monitoring is critical to a project's success. This section inquired about frequency of monitoring undertaken in the department. The point at issue was to understand the frequency of reporting and the period in which monitoring is undertaken, establish the link between the reports and monitoring and ascertain if the department utilise *progress reports* submitted

### 7.1 Frequency of monitoring

Monitoring can be carried out on day to day basis or at a regular set interval. Although the monitoring process is concurrent, there can be peaks of activity (Pattnaik, 2007:1155). Responses given indicated that the frequency of monitoring must correspond with the guidelines for reporting performance. The GDARD is required to prepare, approve (by MEC) and submit legislated performance reports to Provincial Legislature within set timeframes. "All required Plans and Reports submitted



within set timeframes" (GDARD, 2015:26). Monitoring schedules also assist the department to analyse information regularly and correct issues before they become problems (Wait, 2011:22). Scheduled monitoring also help public officials and policy makers to assess the changing needs for assistance and the effectiveness of existing programs Scheduled monitoring enables monitoring team to integrate risk reduction and adapt into their community-level work. Monitoring food security can help to identify and understand the basic aspect of well-being of the population and to identify population subgroups or regions with unusually severe conditions (Bickel, Nord, Price, Hamilton and Cook, 2000:2). The periodic project review constitutes an important element in the process as it integrate all stakeholders towards gaining deeper and more direct insight into the progress of the set goals.

## **7.2 Link between the reports and monitoring**

It was found that there is a link *between the reports and monitoring*. Review, as monitoring does, should in particular examine systematically the indicators of achievement of each of the Project elements "Outputs, Specific Objective(s) and Development Objective" (ITTO, 2009:11). The link of such report assess whether the project is proceeding according to the work schedule and to provide recommendations and approve any change in actions which would help support the success of the project.

## **8. UTILISATION OF PROGRESS REPORTS SUBMITTED**

An up to date progress report should be submitted by implementing directorates. Such reports must be submitted four weeks

before a review process in order to capture the available data and for rectification (ITTO, 2009: 11). The department use the following reports for monitoring performance of established projects, namely: inception report, yearly plan of operation, progress report, technical report, financial reports and completion reports. Among these reports the essential one is the inception report and the progress report. For the successful implementation of the project the monitoring need to be assessed during project formulation stage (Pattnaik, 2007:1154). The inception report is important as it provide details about the how the project commenced. It comprises confirmation that informs whether the all conditions were met, provisions in place and formalities that were concluded when the project was implemented. The Progress Report is reported bi-annually. Progress reports present information which is required by managers. It account about the executed Activities, achieved Outputs in the period covered by the report meant for higher levels of administration (ITTO, 2009:12).

## **9. DISCUSSION: THE FRAMEWORK FOR MONITORING PERFORMANCE**

This section looks at the design, process and mechanism involved to monitor pro-poor projects. Monitoring is at the centre of sound governance arrangements.

### **9.1 Design**

The design and monitoring framework is a powerful tool that brings structure and logic to any project. It makes development interventions focus on achievable and measurable results through performance targets and indicators and it draws attention to the risks that projects may face during

implementation (Asian Development Bank, 2007:iii). It is important that project design incorporate a framework of monitoring and evaluation to cope up with unexpected events. Project design allows project managers to cope with all future eventualities through an appropriate monitoring and evaluation system. The institutional responsibilities for monitoring and evaluation should be judiciously addressed during the management planning process. The funding institutions have guidelines on how project monitoring and where all stakeholders must be involved in the monitoring process. The proper management of community food security will lead to community competency building, self-reliance and sustainable development as well (Thiengkamol, 2010:548). Community food security includes a general guide to community assessment and focused materials for examining the assessment components related to community food security. A well-designed project is consistent with goals and includes measurable objectives from which evaluation strategies should flow (Pattnaik, 2007:1154). Designing the framework for performance monitoring includes a number of key steps. An institution should ensure that it define the purpose and scope of the monitoring system and the information and outputs expected, provide a general description of key stakeholder audiences and the types of performance information they each expect, when that information is required, in what format, and who is responsible for collecting it, define the performance indicators to be collected and analysed for each stakeholder, detail the necessary conditions and capacities required to manage the monitoring,

including the number of monitoring staff, their responsibilities and linkages to other management activities, and incentives and develop a budget for monitoring activities (Thiengkamol, 2010:549). Monitoring methodologies and project frameworks are dependent on well-developed sets of indicators (Pattnaik, 2007:1154). The establishment of effective Monitoring systems will lead to better accountability, as well as improvements in program design and management (Riely, Mock, Cogill, Bailey and Kenefick, 1999:10).

## **10. PROCESS**

Monitoring is an on-going activity that is concurrently carried out during project implement stage. Monitoring processes refer to the set of activities, or functional areas, through which project inputs are used to obtain the expected results of the program. These processes can be broken down according to specific functional areas which are fairly generic in their application across programme types (Riely, Mock, Cogill, Bailey and Kenefick, 1999:23). Monitoring occurs at several levels and a performance measurement framework need to be developed with project stakeholders, outlining clearly what will be monitored, when, how, and by whom (Pattnaik, 2007:1155). The process for performance monitoring is characterised by a monitoring plan. Institutions are required to develop a monitoring plan to enable the project team to be able to prepare and execute monitoring functions in a timely manner. Monitoring plans are becoming standard practice in the sector. It can provide the project team and their stakeholders with a number of benefits:

- data collection, analysis and

reporting is more efficient when thinking has gone into what data should be collected and how it will be used in a planned way;

- help project managers plan the use of resources to avoid staff overstretch;
- avoid over-promising on data and then under-delivering;
- allows a crosschecking of log frame content to ensure it is realistic;
- act as a form of knowledge management and transfer;
- highlight opportunities for coordination of indicators, data gathering and sharing of data collected across projects/programmes within department (Wait, 2011:49).

Performance monitoring of the food security projects should also contribute to further harmonization of monitoring and evaluation processes across the department. Performance monitoring is a joint effort within any institution. The author observed that the role of planning for performance monitoring enhances: collaboration and harmonization; results orientation and performance management; focus on contributions of individual and collaborative efforts; and collective accountability. A strengthened performance monitoring culture contributes to improved design of results-oriented programmes, while the generation of monitoring and evaluation information supports informed management and decision-making for strategic planning and programming. Working relationships are essential for Performance monitoring to develop links between activities and results of efforts of department.

## **11. MECHANISM INVOLVED TO MONITOR PRO-POOR PROJECTS**

The institutional responsibilities for monitoring should be judiciously addressed during the management planning process. Monitoring is at the centre of sound governance arrangements. The best targeting mechanism will reflect the local context, including institutional framework, information availability, degree of inequality, governance factors, and the demographic profile, including presence of ethnic minorities. Design of a targeting mechanism should be explicitly linked to a programme's objectives. For the sake of organizing indicators in any monitoring system, it is often useful to begin by organizing the programmes according to their component parts. For most social funds programmes there will be three standard pillars of a poverty targeting mechanism such as geographic targeting, the menu and eligibility criteria and an inclusive and participatory micro project identification and implementation process (Van Domelen, 2007:ii). Geographic Targeting is the most common form of targeting method used in social fund and community-driven programmes. It is relatively low cost and administratively simple, particularly when using an existing poverty map. However it has some drawbacks because countries may lack reliable and timely data. Geographical data on poverty may not be sufficiently disaggregated to be of much value as a poverty predictor. Also in need of consideration is whether or not Governments have the political will to follow through with pro-poor resource allocations, even when a good map exists (Van Domelen, 2007;iii). Monitoring methodologies and

project frameworks are dependent on well-developed sets of indicators and a functional performance unit (Pattnaik, 2007:1154).

## 11.1 Indicators

Indicators are categories of information for which data are being collected. The indicators are primarily useful to demonstrate changes over time. They provide insight into the dynamics of key factors that will contribute to resilient outcomes. Indicators provide the basis for pre and post analysis and describe the effects (positive and negative) on the ecosystem and various project implementation parameters. They are necessary for the achievement of evidence-based policy making, budget decisions, management, and most importantly accountability and transparency (Pattnaik, 2007:1154). In particular, it is important to clarify the distinction between programme inputs and outputs, and between programme inputs and impacts, in order to effectively identify impact indicators (Riely, *et al.*, 1999:23). There are a number of other possible uses of food security-related information and indicators that can be developed for project performance monitoring. Table 1 demonstrates the indicators developed by GDARD for monitoring performance.

Table 1: Quarterly Targets for 2015/16

Performance indicator	Reporting period	Annual target 2015/16	Quarterly targets			
			1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>
Number of households benefiting from agricultural food security initiatives	Quarterly	12 000	1000	2000	4500	4500
Number of hectares cultivated for food production in communal areas and land reform projects	Quarterly	500	-	-	500	-
Number of individual homestead gardens supported	Quarterly	12 000	1000	2000	4500	4500
Number of school food gardens supported	Quarterly	65	10	23	20	15
Number of community food gardens supported	Quarterly	65	10	20	20	15
Number of women benefiting from community food gardens	Quarterly	600	100	200	200	100

GDARD, 2015:53-54

Indicators of food production and food availability have been used to assess food security at national and regional levels. Unfortunately, these methods, besides being very expensive, do not provide information reflecting the access by poor households to available food supplies. Therefore, the need for food security measures that provide data at the project level should be redeveloped to ensure accuracy and commitment (Melgar-Quinonez & Hackett, 2008:28). Some indicators are too ambiguous. It is also essential to

have small but balanced set of indicators to support strategic decision-making. These performance indicators should focus attention on activities of greatest importance to an organisation and its stakeholders, thereby minimising the data collection burden (Eckerson & Watson, 2006:2).

### **11.2 Monitoring Unit**

Community-based targeting is not a separate targeting *method*, but rather part of a *mechanism* that places community agents in charge of assessing eligibility and/or implementing delivery. Institutions must have a functional monitoring unit. A two-tier mechanism for monitoring the performance of projects should be adopted as under: Projects Monitoring Unit (PMU); and Performance Review Unit (PRU). The PMU should be created at the level of the project authority or the government department which has granted the concession. The PMU should have sufficient capacity, resources and skills to oversee and monitor implementation of the PPP contract assigned to it. The PMU is accountable to the Performance Review Unit. Institutions may hire consultants to provide the requisite assistance as necessary.

## **12. CONCLUSION AND RECOMMENDATIONS**

The author explored the way performance monitoring systems actually function on pro-poor funded food security projects. The article also described the design, process and mechanism involved to monitor the established projects with particular reference to community food garden projects in the led by GDARD. Performance monitoring in food security projects therefore contributes to the success of food security projects though it should be complemented

with good project management skills. It enables learning from experience, which can be used to improve the design and functioning of projects. However, some of these projects loose project objectives and the intended goals. The author also observed that some of these funded projects were discontinued due to lack of incentives and the collaboration from the beneficiaries. Successful implementation of these projects requires collaborative involvement of all beneficiaries in order to attain the MDG goals as they are geared to generate large cash flows. For performance monitoring to be applied to the projects, the projects implementing departments should conduct trainings to the community to build up their capacity in understanding and participation in the monitoring and evaluation system.

The establishment of institutional mechanisms to design, promote, monitor and evaluation is a pre-requisite for successful management planning as well as for implementation of a project. Institutions can develop a framework of three components involving the use of specific monitoring tools and processes to assess organisations performance against the Service Agreement requirements. The three components are: service agreement monitoring; assessment of identified risk; and responses to performance issues. Firstly, service agreement monitoring will allow public institutions to develop service agreement monitoring checklist, conduct desktop review and attestations to funded institutions. As a participant observer the author noticed that some of the established projects were discontinued and the infrastructure was vandalized.

Secondly a relook re-assess identified risk process will allow the monitoring team may either propose new recruits who are eager to participate in a project. The team may also propose an alternative activity in the project premises. Thirdly, institutions must create remedial actions and service review processes come up with a response to performance issues observed. As indicated above, most projects do not meet the set goals, it is proper for the PMU and the RPU to set up remedial actions to solve the problems arising. The service review provides an opportunity for the department and the organisation to meet, jointly to raise issues and determine an action plan. The intent is for both the department and the organisation to jointly develop solutions to key issues and problems. Accountability and quality assurance are integral components of monitoring, which help to ensure that project objectives are met, and key outputs and impacts are achieved.

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# THE ROLE OF TRANSFORMATIONAL LEADERSHIP IN ACHIEVING GENDER EQUITY IN THE DEPARTMENT OF HEALTH LIMPOPO PROVINCE.

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## ABSTRACT

Gender equity has become one of the South African government's priorities. South Africa has developed the *Employment Equity Act no 55 of 1998 (EEA)*, with the purpose of promoting equal opportunities for both males and females. The act is also aimed at eliminating unfair treatment and discrimination of women in the workplaces. However, since 1998 when the EEA was introduced not much has been done in trying to close the gap between men and women in terms of employment. This paper hopes to contribute in several ways in highlighting the issues pertaining to a gap that exists in female leadership research and gender based research. The aim of the study is to investigate the significance of transformational leadership style in pursuing gender equity in the Department of Health, Limpopo Province. The objectives of the study included, examining if the Department of Health in Limpopo is committed to addressing issues of gender equity as well as the importance of organisational transformation in relation to gender equity and challenges faced by the department in its attempt to achieve gender equity in leadership positions will also be probed. The study followed a combination of quantitative and qualitative research methods. It was conducted at the head office of the Department of Health based in Polokwane, Mopani District Municipality and Capricorn District Municipality. The study focussed only on academic hospitals in the province.

**Keywords:** Gender equity, Commitment, Transformational leadership, Organisational transformation.



## 1. INTRODUCTION

Gender equity is still a global challenge, especially in developing countries like South Africa. Jacobsen (2011) states that gender inequality pervades the world and that a lot still has to be done to rectify this anomaly. Furthermore Bryan and Varat (2008) found that women are more at a disadvantage especially in developing countries where they have limited bargaining power in markets and often lack opportunities to improve their socioeconomic position. However, governments have come with a number of interventions and policies to address gender inequality and to bring about transformation in organisations. Nevertheless, change has taken place at a slow pace. So, this paper presents a study that is still ongoing, that advocates that transformational leadership is needed to drive the pertinent issues of gender equity within organisation, specifically the department of health for purposes of this study.

Gender equity has become one of the departmental priorities. South Africa have developed the Employment Equity Act no 55 of 1998 (EEA), with the purpose of promoting equal opportunity and fair treatment in employment through the elimination of unfair discrimination, and implementing affirmative action measures to redress the disadvantages in employment experienced by designated groups. Since 1998 when the (EEA) has been developed, not much was done in trying to close the gap between men and women in terms of employment. This is supported by the results stated by the Commission on Gender Equity (2015) stating that men still have more institutional and social power, more access to all sorts of resources-including those needed for basic

physical survival and that men still have more opportunities to develop themselves than women. Therefore, this study would like to investigate the reasons why gender transformation within organisational leadership positions is still a challenge, what are the challenges faced in trying to implement this act and whether transformational leadership can be helpful in achieving gender equity. According to the World Bank (2013). In Nigeria, almost half of the women (48%) are employed, in South Africa about 44%, and in the UK 56% of women are employed. Women still hold fewer jobs and hardly any leadership positions in the corporate world. This raised interest to find out from employees in the department of health whether they think that their organisation is committed to gender equity, and if they think transformational leadership can play a role in addressing issues of gender equity.

## 2. THEORETICAL FRAMEWORK

Schedlidlizki and Edwards (2014) indicated transformational leadership concept was first developed through consideration of accounts of revolution and revolt in society by Downton in 1973. Thereafter Burns in 1978 articulated the idea and suggested that transformational leadership is linked to psychological fulfilment and moves people up the hierarchy of needs and addresses people's higher-order needs for achievement, self-esteem and self-actualisation for self-fulfilment. In 1985 Bass expanded the idea and suggested that transformational leadership is a process of changing how people feel about themselves which in turn raises their motivation and enables them to achieve a performance beyond normal expectation. According to Burns (1978)

transformational leaders should encourage employees to put in extra effort and to go beyond what they (employees) were expected before. By so doing these gives the employees of transformational leaders the feeling of trust, admiration, loyalty, and respect toward leaders and are motivated to perform extra-role behaviours (Katz & Kahn, 1978; Bass, 1985). Several authors have studied the idea and expanded it (Bennis & Nanus, 1985; Sashkin, 1988; Avolio & Bass, 1993; Alban-Metcalfe & Alimo-Metcalfe, 2000; Alban-Metcalfe & Alimo-Metcalfe, 2001). In expansion of the ideas Bass (2004) and Avolio (1993) developed a model called Full Range Leadership model (FRLM) (Schedlitzki & Edwards, 2014).

According to this model transformational leadership encourages people to look beyond self-interest for the common good (Avolio & Bass, 1994). The FRLM has been identified as the leadership development solution for all managers regardless of organisational and national boundaries (Avolio & Bass, 1999). Researches have shown that the FRLM has positive results in many applications (Avolio & Bass, 1998; Barling, Weber, & Kelloway 1996; Dvir, 1998). To support this idea, Kelloway (2003) also found that transformational leadership has the positive effects on performance and attitudes. A transformational leader has special ability to bring about innovation and change, their impact is greater in organisations where moderate to high levels of environmental uncertainty are present (Dunham-Taylor, 2005). They are able to bring about significant change in both followers and organisations. Dorn (2012) further asserts that, transformative leaders cause changes in individuals and systems. They enhance motivation, morale, performances

of followers and connect followers' sense of self and identity. According to Bass, (1985), transformational leaders achieve the greatest performance from subordinates since they are able to inspire their subordinates to raise their capabilities for success and develop subordinates' innovative problem solving skills. In addition, managers exercising transformational leadership style focus on the development of value system of employees, their motivational level and moralities with the development of their skills (Ismail, Halim, Munna, Abdullah, Shminan & Muda, 2009). Therefore this leads to better organisational performance because there is a good working relationship between the employer and the employee.

There is clear evidence that a supportive management and staff perception of having effective leaders creates a climate that is associated with health care excellence. According to a study conducted by McKee, West, Flin, Grant, Johnston, Jones, and Yule (2010) senior management and CEO values and attitudes have a central role in relation to patient safety and staff well-being. The Businesswomen's Association of South Africa (2016) reported that the Board of Health Funders in South Africa has only two (02) women in their board of eighteen (18) members, the Health Professional Council of South Africa (HPCSA) has only three (03) women in their leadership positions out of a total of ten (10). Furthermore research on health care sector illustrated that the majority of medical school entrants are now women. However, very few women enter specialists programs. In addition, out of 86 medical schemes in the country, only 23 have women principal officers.

According to Govier and Nash (2009) the

key components of transformational leadership are influencing and inspiring others. Leaders and followers are able to raise each other to the highest level of achievement and development. This approach to leadership not only does not improve performance only and production only but also makes positive difference in the lives of organisational members and the community at large. Transformational leaders achieve outstanding results because they have the ability to motivate and transform people. This is supported by Bass and Riggos (2006) that people who embrace the principle of transformational leadership have staff with higher level of satisfaction, motivation and performance, as well as lower levels of stress and burnout. They further urged that such teams are more innovative, collaborative and effective which yields to their organisations being able to respond fast and productively to change. In addition, Alimo and Alban (2008) who conducted a comprehensive research to investigate the impact of transformational leadership on organisational performance in the National Health Services also found similar results stating that a culture of transformational leadership significantly predicts increased levels of staff motivation, satisfaction and commitment. Moreover Gavier and Nash (2009) concluded that effective transformational leadership is pivotal to the success of healthcare organisations as first line practitioners lead teams to provide quality care and deliver service improvement.

### **3. THE REGULATORY FRAMEWORK ON GENDER EQUITY**

The issues and challenges faced by women have been at the forefront of international discussions and conferences that have

come up with agreements and commitments made by several countries and governments to address among others, gender equity. These international commitments include, but are not limited to: the Vienna Declaration and Programme of Action (1993); the International Conference on Population and Development (1994); the Beijing Declaration and Platform for Action (1995, revised in 2005 and 2010); the Millennium Development Goals (2000); United Nations Conference on Sustainable Development, which culminated in an agenda that states that commitment to women issues should be fast-tracked (United Nations Human Rights Report, 2014). In line with international commitments, South Africa also its own acts and policies that guide the promotion of the status of women. According to the Bill of Rights in the Constitution of the Republic of South Africa (Act 108 of 1996) everyone has the right to equality and person should not be discriminated against. No discrimination means everywhere including in the workplace. Furthermore, the South African government adopted a policy framework which outlines South Africa's vision for gender equality and how the country intends to realise this ideal of gender equality (Kornegay, 2000). Policy frameworks were also developed with the aim to achieve the integration of gender consideration into the transformation process, namely South Africa's National Policy Framework for Women's Empowerment and Gender Equality (2002), referred to as the Gender Policy Framework. Following national development and adoption of the framework on gender equity, provincial governments also adopted their own. The following principles and guidelines are stipulated in the Gender Policy Framework:

- When the need arises, additional legislation is to be developed to attain women empowerment and gender equality.
- The Constitution of South Africa is to enshrine the equality of all people, through a non-sexism and non-racism approach.
- Women are not a homogenous group. This principle must guide policies and programmes that will result in the implementation of gender equality.
- Women's rights are to be seen as human rights.
- Affirmative action programme with regards to women empowerment are to be developed and implemented.
- Policies and procedures that hinder women's access to basic needs, the economy and decision making are to be reviewed and change in terms of gender equality.
- Economic empowerment of women is to be promoted.
- Efficient machinery is to be put in place to effect and implement this policy on national and provincial levels, as well as in the private sector.

Currently, in South Africa, promotion of gender equality is legally binding and commitment to it is high on the agenda. By 2007 South Africa was ranked 18th out of 115 countries in terms of narrowing the inequality gap between men and women. In terms

of political empowerment South Africa was ranked number one in Africa, with 42% of its cabinet ministers and 33% of its members of parliament being women. In terms of the corporate environment the picture seems less impressive. Only 46% of women were found to be employed in South Africa, it also appears that these women earned on average less than half of that of their male counterparts (Van der Walt, 2007). Globally a lot has been done to incorporate women into all levels of governance; nonetheless they are still underrepresented in many government organizations, mostly in positions of higher authority and leadership (De La Rey, 2005). To support this, statistics obtained by Sadie (2005) on the Southern African Development Community (SADC) parliamentary structures show that the targeted 30% representation of women in political and resolution making structures in member states was not met except in South Africa and Mozambique. In 2004 the percentage of women in parliament was 15.4% globally, 12% in Botswana, 14.4% in Lesotho, 15.9% in Angola, 17.14% in Malawi, 25% in Mauritius 22.3%, in Namibia, 16%, in Tanzania and Zimbabwe, 32.8% in South Africa and Mozambique had the highest at 37.2%.

Gouws and Kotze (2007) in their studies of women in leadership positions in South Africa assert that one of the findings of a survey done by the South African Commission on Gender Equality (2005) indicates that over 30% of the sample are of the opinion that women are too emotional to be able to handle high level leadership positions. They thus contend that there are stereotypical ideas about women's abilities that hinder the performance of women in leader-

ship positions. These stereotypes also make people to be sceptical about women in managerial and leadership position (Gouws & Kotze, 2007). Thus, it would seem that despite all the enabling legal framework that is in position in South Africa, nationally and provincially, there are still challenges in reaching gender equity targets. This paper presents an ongoing study that intends to explore reasons why equity targets are still not met, specifically in the department of health in Limpopo. In addition, as shown here, transformational leadership has been to be seen to be effective in helping in organisational change efforts. So a further question is whether it (transformational leadership) can help in promoting gender equity efforts.

#### **4. LITERATURE REVIEW**

Many of the questions about women's leadership positions have often arisen in a number of studies. However, there is limited information on the challenges faced by women leaders in leadership or management position both in the public and private sectors. This study provides information on how the health department in Limpopo is addressing issues of gender equity. It will also determine the significance of organisational transformation in relation to gender equity. In terms of the Employment Equity Act No 55 of 1998, as well as required organisational policies and guidelines, female candidates should be given preference to their male counterparts. Authorities in South Africa fully understand the need to urgently address gender inequality in the labour market. Joy and Wagner (2007) found that, according to return on equity, companies with more women on board directors outperformed those with the least number of women by

53%. Their study also showed that, according to return on sales and return on invested capital, companies with more women board directors outperformed those with the least by 42% and 66% respectively. These results were supported by Baxter (2007) that women bring an added dimension to the workplace because they have a unique management approach that adds significant value to the business. However Mkhize and Msweli (2010) did not find any difference in performance of that listed South African companies with a high percentage of women in leadership positions when compared to similar companies with a low percentage of women in leadership positions.

A Grant Thornton International Business Report (2016), which surveyed 5520 businesses in 36 countries including South Africa, revealed that the number of women in top management positions has increased by only 3% over the past five years. Eastern European countries stand out in terms of representation of women in top positions, -35% of such roles are occupied by women. In Russia, 45% of senior roles were filled by women, with 39 % in Lithuania, 37 % in Estonia and 35% in Latvia. In South Eastern Asian countries, 35% of senior positions are held by women in leadership positions. However the Philippines and Indonesia made it to the top ten worldwide with 39 %, 37% and a 36% respectively of women in leadership positions. Although government is putting efforts to increase female leadership in business, the group of seven countries fall below the global average of 24% (Grant Thornton International Business Report, 2016). According to a report by the European Commission (2012), in the European Union, women constituted only 13.7%

of board seats. In 2010, for the Asia-Pacific region, women comprised only 6.5% of the board members, whereas for the Middle East and North-Africa, this number was only 3.2% (Corporate Women Directors International, 2010). In Australia, female representation within government boards was 38.4% in 2012. Women's parliamentary representation represented only 20% of ministers globally (Inter-Parliamentary Union, 2013).

According to the U.S. Bureau of Labour Statistics (2013), 75.8% of those employed in hospitals in 2011 were women. Furthermore, women occupied nearly 71.3% of first- and mid-level officer and management positions and 53.3% of executive and senior officer positions in the private hospital industry in 2012 (Equal Employment Opportunity Commission, EEOC, 2012). It was reported in the Grant Thornton International Business Report (2013) that 21% of South African businesses that were surveyed in 2013 had no women in senior management positions. However during the same period, out of the 31% of businesses surveyed globally, supported 50/50 representation of women in decision making structures. Furthermore only 15% of South African women are represented on boards as compared to 19% representation globally. Despite this, the

study revealed that there was a significant improvement in terms of women in chief financial positions in South Africa with a rate of 14% in 2012 which doubled to 32% in 2013. According to Business Women's Association (BWA) of South Africa (2015), South Africa is still without adequate representation of women in JSE listed corporations. The report revealed that only 8.79% of JSE listed companies have 25% women directors. However according to Census 2015 there is improved representation of women noted in State-owned Enterprises (SOEs) with the SOEs demonstrating the highest gender equity at directorship level. Business Women's Association SA (2015) also indicated that companies have not, as yet, recognised the impact women have on the company performance as a result of the feminine attributes they import into the organisation.

According to the Grant Thornton International Business Report (2016), women in senior management position globally have increased from 19% in 2004 to 24% in 2016. In contrast South African women in senior management positions in the business industry have decreased from 26% in 2004 to 23% in 2016. This trend of women in leadership positions is illustrated in table 1 underneath

**Table 1: Women in Top and Senior Management Positions**

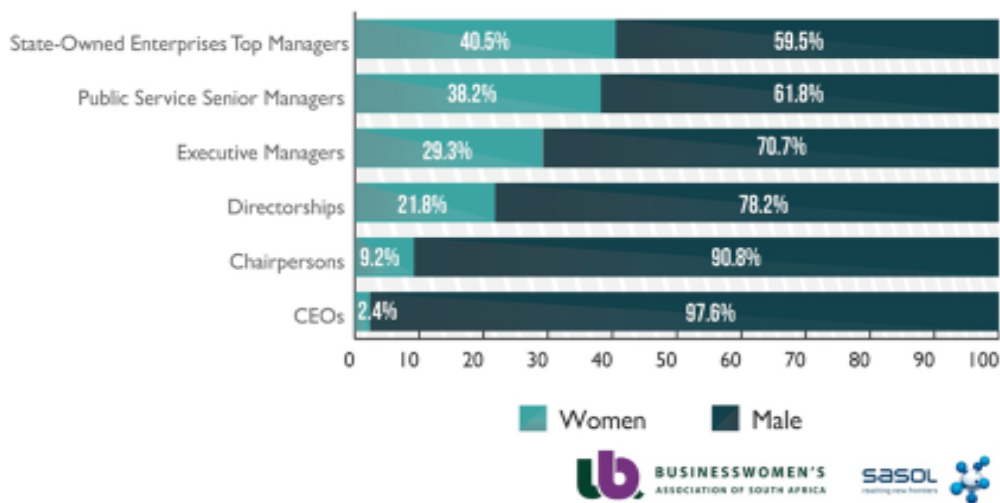
South Africa(% of women in top and senior positions)	26	29	28	27	28	28	26	27	23
Year	2004	2007	2009	2011	2012	2013	2014	2015	2016
Global(% of women in top and senior positions)	19	24	24	20	21	24	24	22	24

From: Grant Thornton IBR (2016)

So the representation of women globally and in South African top and senior positions is very low. The question of whether organisations are committed to gender equity issues or not thus remains. The decline in women leadership representativeness in South Africa makes the question of why that is the case even more important to address. A survey conducted by BWA of South Africa (2015) also shows (in figure 1 underneath) the depressing underrepresentation of women in significant leadership positions in South Africa. The State-Owned Enterprises (SOEs) seem to be doing better than other South African organisations.

## South African women representation

Statistical profile - Women workforce representation across organisations



### 5. RESEARCH DESIGN

This paper presents a study that will follow a combination of quantitative and qualitative research methods, i.e. mixed methods. Mixed methods do not only involve collecting, analysing, and interpreting both qualitative and quantitative data but also integrating conclusions from those data into a cohesive whole (Leedy & Ormrod, 2014). The targeted population and sample will be as follows: Limpopo Province has five (5) district municipalities comprising of 44 hospitals. The study will focus on the head office of the department (based in Polokwane); Mopani district municipality, which has nine (9) hospitals; and the Mankweng and Polokwane hospitals as they are the

two major academic hospitals in the province (total of 11 hospitals).

- From a qualitative perspective, individual, one-on-one interviews will be conducted with management in the Department of Health to explore their commitment to gender equity in the department. So the target population consists of all managers in the provincial department of health (= 4 in total); CEOs, Clinical Managers; Nursing Services managers and the Allied Health Managers of the 11 hospitals that area found within the district municipalities that are targeted for this study.

All four (4) branch managers from head

office will be included in the study. A quota sample from the other hospital level managers will be selected to eventually have two (2) managers from each management category, making a total of eight participants. So the total sample will be (12).

- For the quantitative approach questionnaires will be designed and administered to non-managerial health professionals to find their opinions about whether they see their organisation to be committed to gender equity or not.

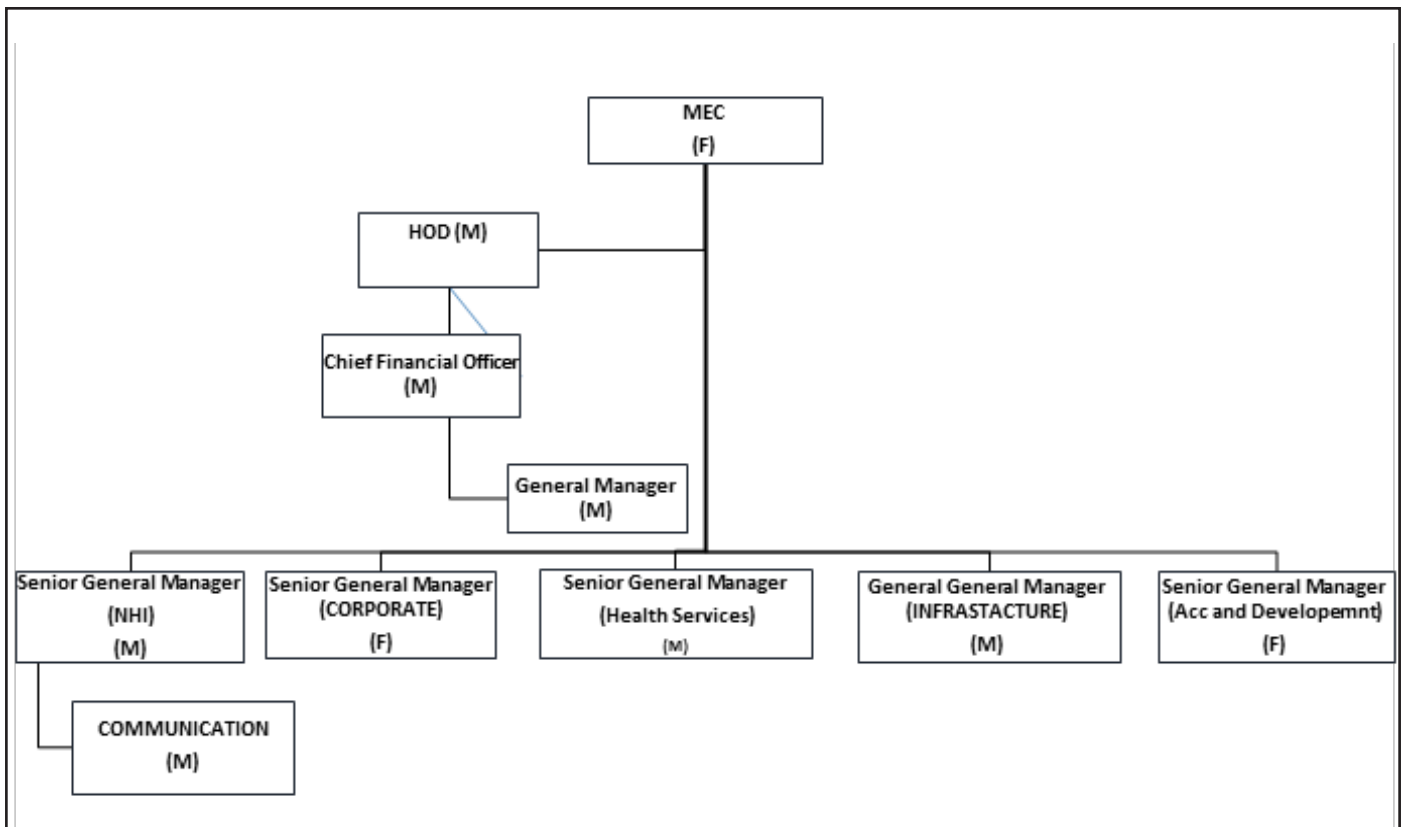
For the sample, a list of the participants will be generated from the database, followed by simple random sampling to end up with 60 participants.

So the total sample for the qualitative part will be twelve (12) while the total for the quantitative part will be 60. A research guide will be designed for face-to-face interviews with the identified participants for the qualitative part of the study and data for the quantitative part of the study will be collected using a designed self-administered questionnaire. For the qualitative part of the study content analysis will be used to classify data according to prominent themes. This will be combined with use of the NVIVO statistical package. For the quantitative part of the study the statistical analyses of the data will be conducted using the IBM Statistical Package for the Social Sciences (SPSS) version 23.

## 6. PRELIMINARY RESULTS

After data analysis, results will be recorded by looking at themes and use of statistical graphs and charts. In the meantime, the study performed a preliminary analysis of the existing positions in the provincial department of health to assess how far they are in terms of gender equity. The department has also developed gender mainstreaming policies, in line with the national policy framework, in an attempt to address gender equity. However transformation appears to be at a slow pace as suggested by preliminary analysis. The organisation structure is presented in figure 2 underneath, which illustrates the number of males and females in the management positions in the provincial department of health, Limpopo.





**Fig 1: No of male and female managers in the Limpopo Provincial Department of Health**

Source: <http://www.provincialgovernment.co.za/survey63>

**Key words:**

- Male: (M) = Male
- Female: (F) = Female
- MEC = Member of Executive Council
- HOD = Head of Department
- NHI = National Health Insurance

The figure above shows that of the ten positions that are available in the department only three (3), i.e. 30% are occupied by females. So as much as the Department of Health is trying to close the gap between men and women in leadership position there is still a lot that needs to be done.

Table 2 underneath presents the number of CEO positions in hospitals in the targeted districts.

Table 2: Percentage of females in targeted districts

District	Total no of hospitals (→ No of CEOs)	No of CEOs who are Female	Percentage (%) of Female CEOs
Mopani	8	3	37.5%
Vhembe	8	1	12.5%
Capricorn	5	0	0
<b>Total</b>	<b>21</b>	<b>4</b>	<b>19.1%</b>

As illustrated in table 2 above, the total percentage that is female is even more disheartening. This further highlights the need for a study like this one that wants to find out if this organisation is perceived to be committed to addressing gender equity issues and whether there are any challenges and/or enabling factors in their endeavour to address these issues.

## 7. CONCLUSION

Gender issues, and specifically gender equity, is a pertinent topic that is being discussed the world over. Countries and organisations within those countries are constantly monitored to see if they comply with national equity targets. So the importance of finding out the challenges that organisations face in implementing equity plans cannot be emphasised enough. This paper has presented an outline of a study that is still on-going. The purpose of the study is to find out how committed the department is to addressing gender equity and the challenges encountered. Data is still being collected and results will be available. However, a preliminary investigation gives a gloomy picture in this department. This highlights that this study is important.

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# THE IMPACT OF SERVICE DELIVERY STRIKES IN SOUTH AFRICAN MUNICIPALITY

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## ABSTRACT

Service delivery protests have recently been occurring at a high rate, with their roots from Apartheid resistance movements. The South African government find it even very hard to determine the underlying causes of public or service delivery protests. In this paper, the researcher made use of qualitative method. In arguing the standpoint of this paper the authors use literature reviews to provide and analyses the link between the current service delivery protests with the historical public protests in the country. That includes the apartheid caused protests and the influence it has on current public protests. This paper conclude that protests have a huge impact on service delivery, and also, the manner in which services are delivered have an impact on the occurrence of service delivery protests.

**Keywords:** Apartheid, Service delivery, Protests, Public service delivery

## 1. INTRODUCTION

The rate at which service delivery strikes have been recently occurring precipitated an investigation of this nature in the public service to determine how the government will be able to achieve its constitutional mandate of promoting the general welfare of the people through effective and efficient service delivery. Standing or protesting against poor service delivery by communities is good to influence good governance, but strike (violent protest) as the mechanism used by people, is improper and ineffective register public concerns. This paper will focus on service delivery strikes, from a point of influence or causes, impacts, and to the recommendations as to what can be done to prevent service delivery strikes. It will also be approached from the legal perspective as to what does the government or law says about the right to protest. With the government or the law providing the right to strike or protest, it is necessary to answer the question of; "are service delivery strikes justifiable or not?" The right or legal provision for the citizens or communities to protest or strike requires a need to differentiate strikes from protests. The role of Thulamela Municipality in service delivery as provided by the Municipal Systems Act, as well as its influence in the service delivery strikes will be discussed in order to understand the occurrence of service strikes within local government.

## **2. POLITICAL TACTICS OF COMMUNITY PARTICIPATION**

This section provides political tactics of community participation. These tactics include lobbying, mass propaganda, demonstration, strikes and boycotts; non-violent civil disobedience, and violent protest.

### **2.1 Lobbying**

According to Ranney (1996: 9) the means of influencing government that is most often associated with interest groups is lobbying in which interest groups representatives influence actions of public officials. There are three types of lobbyist which include: the contact man, the informant, and the watchdog. A successful lobbying requires a hearing from the government authorities. After gaining access, various techniques of persuasion should be applied such as making a formal presentation of their group's position, marshalling facts, figures and arguments to show it in the most favourite light. Interest groups do their own lobbying through contacting public officials, presenting briefs of petitions, participating in public hearings, soliciting wider public support for their cause, financing court cases, and arranging demonstrations and strikes (Bauer, 2003: 40).

### **2.2 Mass Propaganda**

Heywood (1997: 188) defines propaganda as information disseminated in a deliberate attempt to shape opinions and, possibly, stimulate political action, communication or manipulation. From Heywood's definition notes that the public or communities are influenced to take part in government affairs that benefit the government through deception. For example, during elections po-

litical parties deceive the public to vote for them into power. Modern pressure groups cultivate mass public opinion through public relations operations and spend millions of money every year to create favourable climates of opinions for the political objectives.

### **2.3 Demonstration**

According to the Centre for Political and related Terminology in Southern African Languages (2004:14) demonstration is concerned with publicly manifesting a feeling in a form of a procession and mass meeting showing solidarity and support for a particular cause. Demonstration includes tactics such as picketing, mass marching, chanting slogans, heckling opponents, blocking roads and occupying public buildings. As a tactic of political action, demonstrations can have severe effect such as overreactions for opposing groups and from the police, which may arouse sympathy for the group from outsiders who care little about the group's issues but dislike anything that smacks of repression in brutality. Demonstrations as a tactic, is employed primarily by interest groups who do not have access to free advertising space and time and lack the funds to purchase such publicity .

### **2.4 Strikes and Boycotts**

A strike usually means a collective work stoppage by industrial workers for economic goals but also can be employed to serve a political purpose, such as forcing the government to reject certain policies or even sparking a revolution. It can be a process of stopping services by community members in order to attract government attention on a particular issue (Hornby 2005:1465). A boycott is an organised effort to achieve

a social economic or political objective by refusing to deal with a person, organisation or nation seen as the offending party. In South Africa, a boycott of paying for services and rents by blacks placed an enormous burden on the so-called illegitimate black local authorities, leading many of them to collapse (Freedom of Expression Institute, 2007).

## **2.5 Non-Violent Civil Disobedience**

This is the refusal to obey certain laws or government orders, the purpose being to influence the government policy and is usually deployed as follows: firstly, the interest groups need to explore all the possibilities for negotiation and arbitration with its opponents and with the government. Secondly, if no measurable success is achieved, then an ultimatum is issued by the interest group, which sets out exactly what its next steps will be and why it has decided on such a course of action. And lastly, the course of action entertained by the interest group include amongst others, peaceful disobedience of some laws – traffic regulations or prohibitions against blocking streets (Bauer, 2003).

## **2.6 Violent Protest**

Any group that resorts to making use of violent protest to achieve its political aims should keep in mind that violent tactics are more likely to achieve the goals of the group. It is also important to remember that resorting to violent protest, as a means of achieving a political aim is not commonly associated with interest groups. In many cases, it is a reaction that requires a psychological build-up, nurtured by poverty, discrimination, frustration and a sense of personal or social justice (Freedom of Ex-

pression Institute, 2007).

## **3. LEGAL FRAMEWORKS INFLUENCING MUNICIPAL ADMINISTRATION**

This section presents for the legal frameworks influencing local government or municipal administration.

### **3.1 Constitution of Republic of South Africa of 1996**

The Constitution of Republic of South Africa Act (1996), as the supreme law of the country, has a big role to influence or shape the administration or governance of municipality or local government in general. As provided earlier in the transformation of local government from the prior to post-Apartheid local government system, it is clear that the new democratic constitution has heavily influenced the municipal administration in the country. Chapter 7 of the Constitution provides for the governance of local government; from the status of municipalities, objects of local government, developmental duties of municipalities, establishment of municipalities, powers and functions of municipalities, composition and election of municipal councils, membership of municipal councils, terms of municipal councils, internal procedures, privilege, publications of municipal by-laws, organised local government and other matters.

### **3.2 White Paper on Local Government of 1998**

The White Paper on Local Government plays a very crucial role in the new democratic local government of South Africa. The White on Local Government asserts that the basic services enhance the quality of life of citizens and increase their social and economic opportunities by promoting



health and safety, facilitating access to work, to educate, to recreation and stimulating new productive activities (White Paper on Local Government 1998).

### **3.3 Municipal Structures Act 117 of 1998**

Local Government: Municipal Structures Act (Act 117 of 1998), has a crucial role to play in the administration of local government. This Act sets up the basis for the establishment of municipal categories, which are; category A (Metropolitan), category B (Local municipalities), and category C (District municipalities). It defines the way municipalities are established and establishes the way councils are to function, including committees and mayoral options. It also determines the division of powers and functions between municipalities who have concurrent jurisdiction.

### **3.4 Municipal Systems Act 32 of 2000**

According to the Municipal Systems Act, 2000 (Act 32 of 2000) municipal services are defined in two different definitions. The first is the basic municipal services which mean municipal services that are necessary to ensure an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety or the environment. The second definition, of a municipal service, is wider in its scope. A municipal service is a service that a municipality in terms of its powers and functions provides or may provide to or for the benefit of the local community irrespective of whether:

- Such service is provided, or to be provided, by the municipality through an internal mechanism or by engaging an external mechanism; and

- Fees, charges or tariffs are levied in respect of such a service or not.

### **3.5 Batho Pele Principles**

These principles were drawn in the White Paper. The White Paper, also known as the Batho Pele, is a document on the transformation of public service delivery that was published in October 1997, notice 1459 of 1997. The content of this White Paper deals primarily with how public services are provided, and specifically with improving the efficiency of the delivery of services. The document seeks to introduce a fresh approach to service delivery, an approach that will put pressure on systems, procedures, attitudes and behaviour within the public service and re-orientate service delivery in the customers' favour, an approach that puts the people first. The Batho Pele policy framework consists of eight service delivery principles, namely: consultation; service standards; access; courtesy; information; openness and transparency; redress; and value for money (Fox *et al* 2007: 20).

## **4. LEGAL PROVISIONS FOR THE RIGHT TO PROTEST**

This section provides for the legislation which promotes public protest. Only the Constitution of Republic of South Africa as well as the Regulation of gatherings Act are discussed.

### **4.1 Constitution of Republic of South Africa of 1996**

Freedom of Expression Institute (2007: 4) argues that there is a need for the people to know as to whether they have the right to protest or not. The Constitution of Republic of South Africa Act (1996), as the supreme law, provides for the fundamental human

rights and ensures that indeed the citizens are granted their human rights. Chapter 2 Section 17 of the constitution provides that everyone has the right, peacefully and unarmed, to assemble, to demonstrate, to picket and to present petitions. With this vested rights granted by the constitution, people have the right to engage in actions expressing disapproval or dissatisfaction of or objection to the service delivery. Although the constitution provides for the right to protest, it also enshrines the rights of everyone to be free from all forms of violence, from either public or private source; not to be tortured in any way and not to be treated or punished in a cruel, inhuman and degrading way. This prohibits any form of violence by the citizens of South Africa. As protests can be either legal or illegal and violent or non-violent, protesters are usually prompt to become violent when protesting. For this reason, protesters should make sure they abide by the procedures that they should be legally and non-violent when they are protesting (Freedom of Expression Institute, 2007).

Nleya *et al* (2011) argues that unresolved service delivery issues usually result in some members of the community or public expressing themselves through structured and non-structured public gatherings, marches and sometimes public protests. However, the constitution calls for maintaining order during public protests, even when the issue is meritorious or justifiable. The Constitution of the Republic of South Africa Section 205 and sub-section 3 clearly provides for the objects of the police service which are to prevent, combat and investigate crime, to maintain public order, to protect and secure the inhabitants of the Republic and their property, and to uphold and enforce

the law. In respect of this provision, the police have and or are entrusted with the right to arrest protesters who deviate from the legal protest procedures to maintain order (Ministry of Police, 2011: 6). It is clear that the constitution provides for the right to protest, not to strike (violent protest), and violence is strictly prohibited. So the Constitution says people have a right to protest, as long as it is done peacefully. The old time Apartheid laws that made it difficult for people, especially blacks, to gather and protest have now gone (Nleya *et al* 2011). With the constitution providing for the right of the public, peacefully and unarmed, to assemble, to demonstrate, to picket and to present petitions as well as entrusting the police service to maintain order, Freedom of Expression Institute (2007: 4) argues that there is a need for the police (law enforcers) and the public (protesters) to create a good relationship between them in order to maintain these rights.

#### **4.2 The Regulation of Gatherings Act 205 of 1993**

After a lot of political violence in South Africa in 1991, President F.W. de Klerk, set up the Goldstone Commission of Inquiry to investigate the cause. The Goldstone Commission recommended for a new law, the *Regulation of Gatherings Act*, which became a law on 14 January 1994 and started being used in November 1996 (Freedom of Expression Institute, 2007: 5).

The *Regulation of Gatherings Act, 1993* (Act 205 of 1993) regulates matters associated with gatherings that express any form of protest, contest or criticism in a public space. According to the Gatherings Act, the word "gathering" has a specific meaning; it is a march, picket or parade of 16 people or

more taking place in any public space. A gathering requires prior notification to the relevant local authority. A public space may be a street or road, a park, a public square, the steps or grounds of a building. The Act provides that every person has the right to assemble with other persons and to express his views on any matter freely in public and to enjoy the protection of the state while doing so (Hepple *et al* , 2015: 196).

The Act provides that protest may be directed at an individual or an institution, such as a municipal Executive Mayor, a police officer, a private company or a municipality. Protests occur as an expression of dissatisfaction or disapproval about an issue, i.e. water delivery, electricity rates or specific laws and municipal policies. The Act explains in detail exactly what must be done in order for a gathering to be considered legal by the authorities. It sets out clear procedures and guidelines regarding applications to conduct public gatherings and identify key role-players who must make inputs towards a final decision for approval. As part of the problem that the protestors or the police sometimes do not follow the laws about protesting and deviate from legal procedures provided. It tells both sides what they should do, and how they should do it. It tries to make sure that they talk about the protest before it happens, and work out a way to make it peaceful.

The Constitution and the Regulation of Gatherings Act, provides for the enabling means for the public to voice their demands to the government through protest. Zhekelele Maya, a member of the Dipal-iseng Youth Forum in Balfour, argues that protest is a democratic right in South Africa

today, but it only become a right through a culture of defiance (Ebenezer, 287).The people are granted the right to protest legally and peacefully, and the government supports the right to protest than to strike (violent protest). From this point it is clear that the government has seen it necessary to provide for mechanisms that govern public gatherings or protest to reduce service delivery violence. The provision of the legislation proves for the dissatisfaction of the people with the service delivery, as another democratic means to improve service delivery and promote good governance through public participation (Managa, 2012: 6).

## **5. THE ROOTS OF PROTESTS IN SOUTH AFRICA**

South Africa was racially separated during Apartheid regime from 1948 till 1994. This regime saw people classified due to their colours (race), with the whites being the first preference and regarded as superior than the other races. Thus Apartheid was a policy or system of segregation or discrimination on grounds of race. Nleya *et al* (2011) argue that apartheid period could be regarded as the period that brought the culture of strikes or violent protests in South Africa. Black people were denied their fundamental human rights which saw them excluded from government matters with no say, thus they had no freedom of speech or no right to participate in government matters. This ill-treatment or hardship for black people led to many struggles by black communities to resist Apartheid through riots (Oxford University, 2006: 56).

From the 1940s to the 1970s, resistance to apartheid took many different forms. In the 1940s, the resistance movement was still moderate, but in the 1950s, it turned to

open, but non-violent, confrontation. In the early 1960s it took up arms in the struggle. The state met every attempt to fight against resistance by increasing its repression. Despite the South African government's harsh policies and growing poverty and hardship of the African people, there was little organised black resistance against the state until things began to change in the 1940s. There were many popular struggles during this time, including housing protests and bus boycotts. As time went by the situation worsened as black people were involved in serious riots (Oxford 2006: 56). The three important protests that took place during the period of resistance to Apartheid, which proves where protests come from, will be discussed below, which is 16 June 1997 (SOWETO) uprising; Sharpeville Massacre; and Women's Anti-Pass March to the Union Buildings, Pretoria.

### **5.1 16 June 1976 (SOWETO) Uprising**

In 1974 the Minister of Bantu Education and Development, M.C. Botha, ordered that South African schools must teach half of the subjects in standards five and six in Afrikaans by issuing the Afrikaans Medium Decree (Oxford University 2006: 71). This was supported by the Bantu Education Act, 1953 (Act 47 of 1953), which provided for the racially separated educational facilities. Bantu education was created to limit a black man's thinking capacity, with the idea that if given better education, blacks will no longer submit to the oppressive laws of the Apartheid and whites could lose power.

People opposed learning in Afrikaans as the medium of instruction because they believed that the children's education would suffer. They also opposed it because;

according to the words of Archbishop Desmond Tutu, Afrikaans was the language of the oppressor. On the morning of the 16<sup>th</sup> June 1976, between 10000 and 20000 black students walked from their schools to Orlando Stadium for a rally to protest against having to learn through Afrikaans in schools. The protest was planned by the Soweto Students' Representative Council's (SSRC) Action Committee, with support from the wider Black Consciousness Movement (BCM). During the protest, violence raised and the police fired on the crowd. Hector Pieter-son, who was 13 years old, was the first child to die. The students responded violently and unrest swept through the country (Oxford University, 2006: 71). Although the uprising was eventually crushed by the police it had great results. It was the biggest challenge to the government and the Apartheid system. The uprising established the leading role of the African National Congress (ANC) in the anti-Apartheid struggle, as it was the body best able to channel and organise students seeking the end of Apartheid. The government could no longer ignore resistance. The United Nations Security Council passed Resolution 392 which strongly condemned the incident and the apartheid government. In many ways, the Soweto uprising was a major turning point and marked the beginning of the end of Apartheid. In present-day South Africa, 16 June is celebrated as a Youth Day public holiday (Oxford University 2006: 71).

### **5.2 Sharpeville Massacre of 1960**

As the laws, policies or Acts of Apartheid were initially made to discriminate blacks, one of these Acts that made it possible to discriminate blacks was the Pass Laws. The

Pass Laws Act of 1952 was a form of internal passport system designed to segregate the population, severely limit the movements of the black populace, manage urbanisation, and allocate migrant labour. It was initiated to require black South Africans over the age of 16 to carry a pass book, known as 'dompas', everywhere and at all times. The Pass Laws largely applied to African men and later applied to both African men and women. These laws were opposed by the black South Africans with groups such as revolutionary syndicalist and the Black Nationalist. This resistance led to a protest of which turned into a great massacre in the Sharpeville Township, known as Sharpeville Massacre.

The Sharpeville Massacre occurred on the 21<sup>st</sup> of March 1960, at the police station in the South African township of Sharpeville in Transvaal, today known as Gauteng. The Pan Africanist Congress (PAC) had organised a protest against the pass laws. Still using the methods of non-violent protest; they planned to march to the local police station. After the day of demonstration against the pass laws, a crowd of about 5000 to 7000 black African protesters went to the police station, handed in their passes and they gave up themselves for arrest. The South African police fired on the crowd and killed 69 people and wounded 180 people. Sources argue that the crowd was peaceful, while others state that the crowd was violent, throwing stones at the police and that shooting started when the crowd started moving towards the fence around the police station (Oxford University, 2006: 64). Although the massacre did not result in an instant abolishing of the pass laws, it had the effects on the then government. Thus the Sharpeville massacre marked the turning

point in the anti-Apartheid struggle. There was a massive outcry, both nationally and internationally, about the police actions there. The government responded by declaring a state of emergency and banning ANC and PAC. In present-day South Africa, 21 March is celebrated as a public holiday in honour of human rights and in commemoration of the Sharpeville Massacre.

### **5.3 Women's Anti-Pass March to the Union Buildings, Pretoria**

Not only has the Pass Laws led to the Sharpeville Massacre, but also to the women's anti-pass march to the Union Buildings. As it was mentioned earlier that the Pass Laws was initially applied to the African men before it was applied to women, women had to take actions against the application of the pass laws which required them to carry a pass book, dompas, everywhere and at all times. During the 1950s women within the Congress Alliance came together to combat the inherent sexism that existed within various anti-Apartheid groups, such as the ANC. For this reason South African women of all races organised a march to the Union Buildings to submit their petition. On the 9<sup>th</sup> August 1956 over 20,000 women marched peacefully through the streets of Pretoria to the Union Buildings to hand over a petition to J.G Strijdom, South Africa's Prime Minister of the time, over the introduction of the pass laws and the Group Areas Act No. 41 of 1950. This Act enforced different residential areas for different races and led to forced removals of the people, native South Africans, living in wrong areas. The petition was not received by Strijdom as it was intended, but was eventually received by his secretary as Strijdom had arranged to be elsewhere. This march was led by Lilian Ngoyi,

Helen Joseph, Rahima Moosa, Albertina Sisulu, and Sophia Williams-De Bruyn. The women left bundles of petitions containing more than 100,000 signatures at the office door of the Prime Minister. They silently stood for thirty minutes singing a protest song that was composed in honour of the occasion: "*Wathint' abafazi, Wathint' imbokodo, uza kufa!*" which means "'you strike women, you strike the rock, you will die'" (Oxford 2006: 62). Although this march proved to be the height of passive resistance against Apartheid in South Africa, it was largely ignored by the Apartheid government. But it can be argued that although it was ignored, this march had the effects to the government, which later saw the Pass Laws finally repealed in 1986. In present-day South Africa, 9 August is celebrated as the National Women's Day public holiday to commemorate the 1956 women's anti-pass march to the Union Buildings. The first National Women's Day was celebrated on the 9<sup>th</sup> August 1994. Managa (2012) maintain that a huge responsibility faced the Government of National Unity (GNU) to undo the apartheid policy legacies, which are poverty, inequality and racial segregation of service in order to create a single, efficient public service that delivers on the basic needs of all citizens.

## **6. CAUSES OF SERVICE DELIVERY STRIKES**

Although protests have turned to seem like a hobby in many communities in South Africa, Nleya *et al* (2011) are of the view that people engage in service delivery protests for different reasons with some communities protesting for a meritorious reason whilst others not. Shaidi (2013: 1) argues that service delivery protests are the actions by the communities to voice their demands to the

government with regard to service delivery. From the historical view of protests in South Africa, it can be seen that protests may take place from a political perspective as a means to sabotage the government. Paton (17 February 2014) reported that in Bekkersdal, Mothutlung and Bronkhorstspuit protests leaders had another axe to grind aside from poor living conditions. Whether on the losing side of some or other ANC battle or shut out from local business opportunities by more powerful factions, each leadership grouping had its own battle to fight over power and money, and mobilising service delivery protests was the best vehicle available to do so. Other than that, Shaidi (2013: 36) argues that with the Apartheid policies, which left black communities poor, it is now the responsibility of the local government which caters for all South Africans to deliver services to the previously disadvantaged groups in a manner intended to alleviate poverty. With this responsibility, Managa (2012: 1) maintains that poor communities have high expectation from municipalities. Managa further explains that they (poor communities) expect the local government to provide everything for them since they cannot afford for themselves. This dependency has gone too far to such an extent that the municipalities are failing to meet the demands of indigent communities. For this reason, Shaidi (2013: 76) believes that communities engage in protests to voice their expectations or demands. Although these protests may seem to be caused by different reasons, but the main cause of these protests is dissatisfaction with municipal services and the manner in which they are delivered. Van Der Berg (February 03, 2015) divides causes of service delivery protests into three, which are: systemic (cor-

ruption); structural (poverty, dependency); and governance (dissatisfaction with municipal services). This study discusses governance as the main cause of service delivery protests, influenced by systematic and structural causes.

### **6.1 Dissatisfaction with Municipal Services**

Beard *et al* (2008: 23) maintain that the government has a constitutional mandate to ensure that the general welfare of the people is promoted. The national government has allocated functions to the local government to ensure that, since the local government has communal affairs with their communities, quality services can be delivered to the people. The Constitution of Republic of South Africa 1996 (1996) chapter 10 section 174 (1) provides that local government shall be established for the residents of areas demarcated by law of a competent authority. The aim a municipality is to render services to the residents within its jurisdiction. The Constitution states that municipalities have the responsibility to make sure that all citizens are provided with services to satisfy their basic needs. Cloete (1997: 5) argues that once an institution has been created, it has to deliver on what it was set up to do. Thus the establishment of municipality brings expectations to its residents with regard to the services to be rendered. With these expectations municipalities should deliver services to the satisfactory of its residents. Satisfaction is reached when communities are provided with quality services they expect from municipalities (Managa 2012). The White Paper on Transforming Public Service Delivery (1997) provides for the Batho Pele principles which deal primarily with how public services are provided, and specifically with

improving the efficiency of the delivery of services. One of the eight Batho Pele principles, service standards, provides that people should be told what level and quality of public services they will receive so that they are aware of what to expect. Service delivery protests as defined by Craythorne (in Shaidi 2013: 16), refers to community action through which the residents of an area decide to voice their dissatisfaction with the manner and scale at which public services are rendered to them. This implies that service delivery protests arise due to dissatisfaction and these dissatisfactions are the result of unfulfilled expectations (Managa 2012). Thus dissatisfaction with municipal service delivery leads to communities engaging in protests to voice their dissatisfaction. Onebamo (2015) states that unfulfilled expectations are often the root cause of frustration. When people have expectations and these expectations are unmet or unfulfilled, frustration often results. Managa (2012: 1) reported that over the years, the majority of protests have been marked by exceptionally high levels of violence and vandalism, as people vent their frustration and anger.

Dissatisfied communities engage in strikes to convey a message of dissatisfaction. It is argued, as reported by Paton (17 February 2014) that, the government as a political organ of the state, politics plays a vital role to influence the public service strikes. Managa (2012: 2) concurs to this arguing that during election campaigns politicians deceive communities to vote for them by promising them good and quality services that they will provide when they get into power. When politicians get into power they ignore what they have promised the electorates which prompt the electorates to protest violently

because they are angered by the politicians' deception (<http://www.idoceanline.com/Politics-topic/propaganda>). The Institute for Security Studies in their article: "The reasons behind service delivery protests in South Africa (August 5, 2009)" concurs to this, saying that dissatisfaction comes in the wake of political promises during election period that all or most of the electorates' issues will be addressed once the new government is in place.

The Constitution provides for the goods and services considered basic needs for an individual to survive which include: sufficient water; basic sanitation; refuse removal in denser settlements; environmental health; basic energy; health care; housing; and food and clothing. The municipalities face challenge (Managa, 2012: 4), in delivering services such as lack of community participation in local government. The Center for Sociological Research at the University of Johannesburg, in its review of four protests in mid-2009, found that each protest only occurred after unsuccessful attempts by community members to engage with local authorities over issues of failed service delivery (Ebenezer 2013: 287). According to Green (1982: 23) there is very little evidence to suggest that government actually respond to citizen participation contacts. Managa (2012) argues that if people or communities are satisfied with municipal service there is a little opportunity for protests to take place. Thus dissatisfactions with municipal services could be influenced by excessive dependency in municipal services and allegation of rampant corruption. According to Van der Berg (2015) "service delivery protests refer to the collective action taken by a group of community members, and directed against a local municipality over poor or

inadequate provision of basic services and a wider spectrum of concerns including; housing, infrastructural developments and corruption". From this definition Van der Berg argues that the main cause of service delivery protests is dissatisfaction influenced by corruption.

## **6.2 Allegations of Rampant Corruption**

NEHAWU believes that one of the reasons why communities are dissatisfied with municipal services is because of corruption, arguing that corruption is a disease against service delivery. Paton (2014), reported that service delivery protests in Bekkersdal was due to municipal corruption. Smith (2007: 16) defines corruption as behaviour which deviates from the formal duties of a public role because of private-regarding (personal, close family, private clique) pecuniary or status; or violates rules against the exercise of certain private-regarding influence. In chapter 10 Section 195 (1) (a) of the Constitution states that a "high standard of professional ethics should be promoted" in governing public administration with democratic values and principles. Klitgaard (1988: 11) admits that corruption is at its heart on ethical problem. Andrew (in Mafunisa 2008: 68) defines ethics as standards that guide the behaviour and actions of public officials in public institutions, and which may be referred to as moral laws. The Municipal Systems Act, Schedule 1 provides for the code of conduct in local government which prescribes how municipal councillors, ward committees, and administrative officials must behave, and the penalties for improper behaviour. In general code of conduct requires that councillors must perform their duties: in good faith (or with a desire to act fairly towards others);



honestly; transparently; and in the best interest of the municipality (which includes the interests of the community). Managa (2012: 4) maintains that when municipal officials do not perform according to the code of conduct it heavily affects the communities and the communities are prompt to protest in a manner to fight against corrupt activities in local government. Richard (2010: 258) maintains that the problem of unethical behaviour in the government institutions cannot be left unresolved, particularly because it is intolerable and harmful to the entire society, because it undermines the nation's efforts to remedy the suffering of its poor and vulnerable population.

Government departments and public servants are meant to be seen as foot-soldiers of delivery but are more susceptible to corruption (NEHAWU). Corruption in general could mean the promotion of private gains or selfish interest at the expense of the public interest, against the overall objectives of the government, by whoever is in charge and responsible within the area of work Mafunisa (2008: 11). Cloete and Mokgoro (1995: 161) concur that public officials use their powers and authority in their positions to serve themselves not the general public. Richard (2010: 258) maintains that corruption manifests itself in many different forms, including patronage and nepotism. Richard further explains that there is variety of reasons for this, including idleness, incompetence, and contravening or deliberately ignoring the appropriate rules, regulations, and legislature. For Malan and Smit (2001: 17) favouritism to relatives, to people of same ethnic orientation, and to people of sex, gender, belief, political parties and associations is rife. Lack of proper monitoring and evaluation systems within municipalities

created space for tenderpreneurs to loot millions of Rands from taxpayers (Seokoma, 2010). According to Corruption Watch (February 3, 2014) although the basic right to sufficient water is enshrined in South Africa's Constitution, gaining access to that clean water has been a long struggle for millions of people. The public service is the axis around which the government's effort in rendering services to promote the general welfare of the community turns. The major pitfall in South Africa's quest for development and betterment of the welfare of its populace is corruption in its public service (Richard 2010: 265).

### **6.3 Tender Corruption**

One cannot talk of corruption in local government and do not talk of tender corruption. In South Africa tender corruption is referred to as tenderpreneur. According to the general secretary of the Congress of South African Trade Unions (Cosatu), Zwelinzima Vavi (in Ribeiro, Dwyer, Borges & Viola 2015: 223), tenderpreneur is one who through political connections wins tenders unfairly and provides shoddy service to communities while more genuine entrepreneurs are side-lined as well as their skills and proper services. The Constitution, in chapter 13 section 217 (1) provides that "when an organ of state in the national, provincial or local sphere of government, or any other institution identified in national legislation, contracts for goods or services, it must do so in accordance with a system which is fair, equitable, transparent, competitive and cost-effective". The arbitrary actions by politicians undermine the constitution in awarding the tender.

The government do not just deliver nor provide services as it wishes, it does so through

procurement. Procurement is defined by Ambe and Badenhorst-Weiss (2012: 244) as the function whereby public sector organisations acquire goods, services and development and construction projects from suppliers in the local and international market, subject to the general principles of fairness, equitability, transparency, competitiveness and cost-effectiveness. Due to the corrupt officials, tenders are awarded to the entrepreneurs unfairly. The procurement reform processes were embedded in Section 112 of the Municipal Finance Management Act, 2003 (Act 56 of 2003 and Section 76(4) (C) of the Public Finance Management Act, 1999 (Act 1 of 1999 and the Preferential Procurement Policy Framework Act, 2000 (Act 5 of 2000)).

From the above discussion, Harvey (2013: 643) argues that communities protest in advocating their constitutional right to have access to municipal services and prohibit unacceptable immoral conduct in promotion of self-interest by public officials at the expense of the general public. Since corruption is intolerable, it can be justified when communities engage in protest to voice their dissatisfactions resulted from corrupt officials who deviate from their formal duties, which is to serve the public, to enrich themselves with public resources (Cools *et al* 2011: 211). Corruption requires or demands mechanisms that are effective in checking and minimizing it (Richard: 2010). Mbeki (2005) in his State of the Nation Address (SONA) stated that “as long as the political bosses avoid their own accountability, or fail to take stern action against errant officials, there is faint hope for improved service delivery”. In a quest to address corruption problem, Richard (2010: 262) argues that corruption will never be completely

eliminated; we must instead set our sights on preventing most corruption, or significantly curbing corruption that is already present. Ackerman (1978: 95) speaks of the need for personal honesty and a devotion to democratic ideals. Clarke (1983) suggests that anti-corruption campaigns must be introduced and conducted properly with the aim to alleviate corruption. Cloete (1994: 26) argues that this is only possible if the citizens are knowledgeable and prepared to take drastic measures against any institution that treats them unsatisfactorily. Richard (2010: 262) maintains that certain anti-corruption interventions must have particular relevance to specific sectors. Clarke (1983: 297) proposes that culprits should be demoted, transferred to less lucrative or totally unsuitable jobs, or reprimanded. But Mkhombo (2008: 16) recommends for the implementation of imprisonment as a way to correct unethical officials. As Cools *et al* (2011: 211) maintains that corruption is bad and is unacceptable and intolerable. Rich's (in Mafunisa 2008: 56) observation is that when certain kinds of behaviour are viewed as bad, to extent that folkway and mores are insufficient to control them, the criminal justice process, with its inherent threat of punishment, is used to prevent such bad behaviours. The Constitution of Republic of South Africa Chapter 9 provides for institutions to ensure that democracy runs smoothly. These are constitutional mechanisms for the government to minimize unethical conducts.

## 8. RECOMMENDATIONS

This section presents the recommendations on violent protests, strikes, service delivery, strategies on how best can strikes be reduced and also promote service delivery and corruption. These recommendations are made based on the findings of the study.

### 8.1 Violent protests

- Education on conflict management should be given to the community and the municipality.
- Modes of conflict resolution should be provided.
- The municipality and the community should work on the basis of consensus.
- Tactics of community participation should be known by the community members and the municipality.
- The municipality and the community should have good and positive attitude.
- The community should learn to follow procedures prescribed by the legislations.

### 8.2 Service delivery

- The municipality should be effective, efficient and economical in all its operations.
- The municipality should be fair and reasonable in all its dealings with all community members.
- The municipality should respect democratic principles.
- The municipality should follow the legislations affecting local government.

- As this research study was intended to benefit the municipality, the municipality must partner with research and tertiary institutions for the improvement of service delivery standard.

- The municipality should promote social justice in terms of service delivery.
- Addressing the issue of poverty and unemployment, especially to the youth. This will promote the ability of community members to support the municipality by paying service charges.

### 8.3 Strategies to reduce protests

- The municipality should comply with the anti-corruption strategies provided by the government.
- The municipality should regard people first in all its dealings. This means that the principles of Batho Pele are important in this regard.
- Community development programmes should include training on conflict management and resolution as well as procedures to be followed when there is a problem.
- Regular meetings between the municipality and the community should be held.
- Appointing officials on the basis of merit should be emphasised.
- The municipality should fulfil its promises made during election campaigns. People feel betrayed if the municipality does not fulfil its promises and they end up resorting to service delivery violence.

## 8.4 Strategies to curb corruption

Corruption was mentioned in chapter two and identified in chapter four as one of the major causes of service delivery violent protests (strikes). The researcher recommends the following strategies to minimise or curb corruption:

- Eliminating the mentality from people that no matter how hard the government can work in a quest to fight corruption, corruption will never be completely eliminated. This mentality does not promote the minimization of corruption.
- Promotion of merit system of employment to get qualified staff with competency and capacity to serve people.
- It is the role of municipal executive staff to lead by example. If leaders possess ethical behaviour, probably their subordinates will do the same. Ethical principles of municipal administration should be promoted.
- Promoting openness and transparency. Operation in secrecy provides for a room for unethical conduct. If the public has access to information about municipal affairs, officials are less likely to deviate from their formal entrusted duties for personal gains.
- Prosecuting and sending corrupt officials to prison
- Municipal officials should receive enough or sufficient benefits for their work performed. It is clear that corruption sometimes takes place as a means for officials to earn life. This requires the municipality to fairly remunerate its employees.

- The other best way to deal with corrupt officials is to gain trust from officials. The municipality can gain trust from officials through treating them fairly and giving them fair opportunities to prove themselves because they need to feel being part of the organization.

## 8.5 Promoting active community participation

Community participation has been identified as a crucial aspect that fuels effective and efficient public service delivery. It has been mentioned in chapter two that the lack of community participation is one of the crucial factors leading to the challenges faced by the municipality in rendering services to its communities. The researcher recommends the following to improve community participation in local government, and the government in general, in order to enhance public service delivery:

- Community participation awareness campaigns: for people to actively and effectively participate in municipal affairs, and government in general. Communities should know about their rights to participate in local governance, The campaigns should be intended to provide knowledge about legislations that provide for the right(s) of the people to participate.
- Training and development of municipal officials to get required skills to be able to interact with diverse communities and understand the dynamics of the society.
- Openness and transparency in municipalities to allow for a room of community participation.
- Targeting interest and pressure groups

which seek to influence government activities in their own chosen directions.

- Promoting civic associations at grass-roots level. For the active performance, these civic associations should be run by potential citizens, such as educated people who are equipped with sufficient knowledge about government matters. Meaningful participation will probably influence the public to take part in government affairs.

## 9. CONCLUSION

A descriptive, qualitative and interpretive methodological approach was used in this paper to assess the impact of service delivery strikes and present possible remedies to prevent service delivery strikes in the future, so that there will be a good relationship and interaction between the communities (recipients of public service) and the municipality; finding the roots and causes of service delivery strikes with municipalities which enables the researcher to understand what necessary mechanisms (recommendations) are needed to a service delivery strikes; provide knowledge to communities as to what exactly is public service, and, *inter alia*, to prevent the occurrence of service delivery strikes.

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# GOOD GOVERNANCE AND CONFLICT RESOLUTION IN AFRICA

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## ABSTRACT

This paper provides an analytical argument about good governance and conflict resolution in Africa. The paper aims to explore and explain governance as an act of governing and an applicable practice in Africa. The paper is conceptual in nature and will critically engage the application of good governance principles which need to be applied African countries. The paper support the notion that good governance is characterised by respect of human rights and creating democratic institutions of promoting good governance and conflict resolution in Africa.

**Keywords:** Good governance, Government, conflict resolution, Human rights,

## 1. INTRODUCTION

Governance has become a pivotal concept within the study of Public Administration, Development Administration, and Political Science. It is because government plays a major role at just about every main juncture of our lives and, therefore, in a democracy, governance should be the concern of all of us. A high level of citizen understanding, co-operation and participation is essential if a democratic government is to be really successful. In the past, governments assumed principal responsibility for the development and delivery of public services. This has mainly been provided through large-scale government departments and other public institutions. Over time, governments became aware of the benefits of working more closely with each other and other delivery agencies. The complex problems fac-

ing governments have led to the inclusion of not only other government departments, but also the non-profit and private sectors as well as community-based organisations. This change is a reflection of an emphasis away from looking at government, per se, to looking at the concept of 'governance'.

## 2. GOVERNANCE AS AN ACT OF GOVERNING

Kooiman (2006) describes accurately that governing issues are not just 'public' (state) anymore. They are frequently shared, and governing activity at all levels is becoming diffused over various societal actors whose relationship with each other is constantly changing. This may sound very confusing to you, but what it simply means is that the Government is not the only entity which is



rendering services and products to society anymore. Government is but one actor or partner in this network of organisations, agencies, society and businesses.

Kooiman (2006:4) defines 'governing' as "...the totality of interactions, in which public as well as private actors participate, aimed at solving societal problems or creating societal opportunities; attending to the institutions as contexts for these governing interactions; and establishing a normative foundation for all those activities". Kooiman (2006:4) further defines 'governance' as "...the totality of theoretical conceptions on governing". It is also known as the interactions between government and society. In other words, the moment government implements policy to render services, it is busy with its governance function. This is, however, a very simplistic way at looking at things. A government is thus one of the actors in governance. Pierre (2000:14) is of the opinion that 'governance' can be used as a blanket term to signify a change in the meaning of government. In simple terms "governance" means the process of decision-making and the process by which decisions are implemented (service delivery) as well as a network of actors which are involved in this process.

### **3. TYPES OF GOVERNANCE**

Governance can be used in several contexts such as democratic governance, corporate governance, global governance, and so forth. There are different types of governance to provide a more holistic perspective of governance this paper provides democratic governance, corporate governance and Networked, holistic or third party governance.

### **3.1 Democratic governance**

According to the Centre for Political and related Terminology in Southern African Languages (2004) a democracy is a form of government where the power to form a government and to make decisions by legitimate representatives lies with voters - often referred to as "the people". Thornhill *et al* (2014:413) refers democracy as a political system in which decision-making power is widely shared among members of the society. The word literally means "rule by the people." A constitution, free and fair elections, the right to vote, freedom of expression, freedom of the press, freedom of association, and equality before the law characterise effective democratic governance.

Voters determine the broad governance framework by which government works. The quality of this process, and thus the quality of governance, depends on well-informed citizens that can influence the outcome of policy decisions.

### **3.2 Corporate governance**

Corporate governance describes the manner in which boards or their like direct a corporation, and the rules applying to that direction. It thus consists of the set of processes, customs, policies, laws and institutions affecting the way people direct administer or control a private sector organisation. Corporate governance also includes the relationships among the many role-players involved and the corporate goals. Typical role-players include the shareholders, management, and the board of directors. Other stakeholders include employees, suppliers, customers, regulators, the environment and the community at large. According to Horn-

by (2005) governance is shared involves or is shared by all members of a group.

### **3.3 Networked, holistic or third party governance**

Public management lies at the centre of a web composed of many different relationships that extend to the citizen, to the state, to society and its values, to the economy and its development, and more. In their work *'Public Management in an Interconnected World'*, Bailey and Mayer (1992) explain this complex web of actors involved in matters that affect our daily lives. They explain that the environment is dynamic and the public managers should constantly adapt and adjust to solve complex problems. At the heart of this web is interaction and interdependence. No single actor, public or private, has the knowledge, infrastructure and skills required to solve complex, dynamic and diversified societal challenges. The public manager should learn to think clearly about these relationships and the values and balances they affect, for they constitute the synthesis that is public management. Because of these broad relationships, public management must constantly and correctly define and redefine its role in society. Not even in Socialistic states does a government try to do everything; in the democratic state, government does what it should or must, according to the will of the people.

The 1990s brought network analysis as a new way of looking at and analysing traditional government and public sector structures, thus discovering new governance patterns. It focuses on diversity, fragmentation, interdependency, mutuality and the need for consensus-building, co-production and interaction in public service delivery. A net-

work approach to New Public Management (NPM) has emerged. Networks can be regarded as a 'mode' of governance, expressing new government-society interactions (Kooiman, 2006:105). The networks, also known as 'third sector' organisations, are embedded within the fabric of civil society constituting what is called "third party governance" (Gildenhuis & Knipe, 2000: 68). These are organisations which are neither government nor markets, having a great impact on government policy. Network analysis makes it clear that people working in government and administration will have to learn to think of organisation as an external, not internal activity. The prospect is that hierarchical control will be replaced by continuing processes of bargaining among interested parties within most fields of public administration (Peters & Pierre, 1998:31).

Leat, Seltzer and Stoker (2002:212) explored the challenges that networked or holistic governance brought. They summarised these challenges as follows: "Holistic governance is a major commitment for the reform of policy-making, civil service and local government structures, budget, work processes and professional networks, systems of staff development, management practices, information systems including the design and use of digital information technology, and for the accountability of public officials at every level". From this quote, it should be clear that serious challenges lie ahead to institutionalise holistic governance – especially to collaborate, coordinate and integrate functions between different actors involved in governance. Leat, Seltzer and Stoker (2002:14) are of the opinion that especially the following developments gave rise to the development of

holistic governance. They are –

- *Problem-solving government*: that certain felt problems should be addressed and solved by government action, rather than the argument being accepted in advance that these problems are insoluble or that any solution would be worse than the problem;
- *Effectiveness in policy design and implementation*: for effectiveness of governments' social, domestic and economic policies in their publicly stated terms and for their publicly stated goals of social problem-solving, rather than for other implicit goals, symbolic reassurance or simply to provide selective benefits to important interest groups;
- *Rational design*: for systems of accountability, evaluation, data collection on performance and outcomes, and financing within governance systems that are designed to service that end;
- *Integration*: for more specific coordination between agencies as a key feature of that design;
- *Prioritisation*: for more effort to devise systematic, even formula-based strategies by which to settle priorities between problems and available solutions for the attention of politicians, for the allocation of resources, for the allocation of effort in scrutiny and oversight, rather than simply relying on politics, pressure, media interest and the diligence of interest groups and lobbies and a responsive culture of democratic political government that allocates according to popular concerns, interest group's voices and media pressure; and

- *Anticipation and prevention*: for increased institutionalisation of foresight and anticipation, and the use of more preventive mechanisms in the design of policies and specific interventions in particular cases.

In holistic governance, there are the issues that should be integrated to become a 'whole. In South Africa this would mean that all tiers of government should work closer together, that there is better coordination within government functions such as security (so-called 'cooperative governance'). This would mean, for example, that the South African Police Service, Correctional Service, and the South African Defence Force collaborate or where everybody involved in health provision (i.e. Dept of Health, private medical institutions, local clinics, social care, etc.) work together to achieve joint outcomes. Furthermore, holistic governance also means that the public sector work closer with the private sector, non-governmental organisations, and community-based organisations.

#### **4. PRINCIPLES OF GOOD GOVERNANCE**

According to the Development Assistance Committee (DAC) of the OECD, good governance has eight major characteristics.

##### **4.1 Participation**

Participation is the act of taking part in an activity or event (Hornby 2005:1062). Participation by citizens is the cornerstone of good governance. It is thus important that governments create mechanisms to facilitate participation in decision-making. Participation could be either direct or indirect through elected representatives. Citizens

could participate through groups or associations (e.g., trade unions, chambers of commerce, nongovernment organizations, political parties) and as individuals (e.g., through letters to newspaper editors, participating in radio and television talkshows, voting). At grass roots level, participation should help local government to make decision regarding the design and implementation of public programmes and projects. This increases legitimacy of government and "ownership". Often, citizens could actively participate in these service delivery projects, by, for example, help with the construction of houses in an area.

#### **4.2 Rule of law and respect for human rights**

The doctrine of the rule of law is important in governance (Kleyn and Viljoen 1998). Good governance requires fair legal frameworks that are enforced impartially. It also requires full protection of human rights, particularly those of minority groups in society. To ensure impartiality requires an independent judiciary and an impartial and incorruptible police force. The rule of law encompasses well-defined rights and duties, as well as mechanisms for enforcing them, and settling disputes in an impartial manner. It requires the state to be as much bound by, and answerable to, the legal system as are private individuals and enterprises. Respect for human rights (freedom of movement, political participation, worker's rights, freedom of speech, and freedom of religion) is a further criteria for good governance. These human rights are promoted by the Constitution of South Africa and the International Law (Beukes 2008: 11).

#### **4.3 Openness and Transparency**

According to Du Toit et al (2002) public servants are obliged to inform citizens about the administration and management of national and provincial departments, what it costs to run them, and who is responsible for running them. Transparency means that governments can defend the decisions that were taken and that mechanisms were created to facilitate a say in the making of those decisions. It means that government-related information must be freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media.

Transparency refers to the availability of information to the general public and clarity about government rules, regulations, and decisions. Transparency in government decision-making and public policy implementation reduces uncertainty and can help inhibit corruption among public officials. To this end, rules and procedures that are simple, straightforward, and easy to apply are preferable to those that provide discretionary powers to government officials or that are susceptible to different interpretations. Openness should be a rule to secure public accountability (Du Toit et al 1998:155).

#### **4.4 Responsiveness**

Responsiveness is based on the belief that government must answer to the will of the people. It expects that public institutions, officials and political leaders should be sensitive to the needs of the people (Du Toit et al 1998; 113). There are the constitutional stipulations for good governance in sec-

tion 195 of the Constitution. It states that "... people's needs must be responded to, and the public must be encouraged to participate in policy-making." This means that our Government must ensure that public institutions serve everybody within a reasonable timeframe.

#### **4.5 Consensus-oriented**

According to Hornby (2005:309) consensus is an opinion that all members of a group agree with. In a heterogeneous society like South Africa, there are different groups – each with their own views, aspirations, needs, and perceptions. Good governance requires that the Government should try to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved. A democracy thus does not simply mean 'majority rule', because the Government must act in the best interest of everybody. This can only result from an understanding of the historical, cultural and social contexts of a given society or community.

#### **4.6 Equity and inclusiveness**

According to Riker and Brisbane (1997) is a situation where there is no unfair treatment of certain people based on various factors such as race, religion, tribe, point of view and others. A society's well-being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being. This implies that people must have the opportunity to contest elections freely, respect for basic human rights, and the absence of gender discrimination. Without these components

of political freedom, many other political goods that collectively compose good governance are difficult to exercise. No discrimination against people is accepted in good governance and democracy (Du Toit and Van der Waldt 1997:101-102).

#### **4.7 Effectiveness and efficiency**

According to Cloete (1994) effectiveness, efficiency and economy are regarded as the 'three good Es' in public governance. Good governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. A government should thus utilise scarce resources optimally to the benefit of everybody. Everything and everybody involved in translating resources into service delivery must perform effectively and efficiently. Concepts of efficiency and effectiveness in the context of good governance also cover the sustainable use of natural resources and the protection of the environment.

#### **4.8 Accountability**

Buekes *et al* (2008:170) indicate that accountability is a principle of controlling the arbitrary (without good reason) exercise of administrative discretion of persons exercising authoritative authority. Accountability is imperative to make public officials answerable for government behaviour and responsive to the entity from which they derive their authority. Not only governmental institutions but also the private sector and civil society organisations must be accountable to the public and to their institutional stakeholders. Who is accountable to who varies depending on whether decisions or actions taken are internal or external to an organisation or institution. In general an organisa-

tion or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law. Accountability also means establishing criteria to measure the performance of public officials, as well as oversight mechanisms to ensure that the standards are met. The accountability of public sector institutions is facilitated by evaluation of their economic and financial performance. Economic accountability relates to the effectiveness of policy formulation and implementation, and efficiency in resource use. Financial accountability covers accounting systems for expenditure control, and internal and external audits (Geldenhuys 1997).

## **5. CAUSES OF CONFLICT IN AFRICA**

### **5.1 Ethnicity/tribalism**

According to Fairchild (1984:256) a tribe is defined as a social group, usually comprising of sibs, bands, villages, or other sub-groups. It is normally characterised by the possession of a definite territory, a distinct dialect, a homogeneous and distinctive culture, and either a unified political organisation, or at least some sense of common solidarity as against outsiders.

### **5.2 Racism**

Racism is the tendency to identify oneself racially and to show hostility or lack of moral respect for members of other races. The word race is present in all languages of Latin origin, and it is identical in English and French. Race is generally and merely refers to a group of common origin and is thus not clearly distinguishable from ethnicity or nationality. Racialism is the doctrine that indicates that racial categories are im-

portant in determining human behaviour. In general racism has shown a capacity to survive long after the demise of racialism as a serious intellectual belief. The politics of race since 1945 can be described as the politics of post-racialist institutions. In its most important forms it has consisted of powerful interest groups maintaining the structures of power which existed when racialism was predominant (McLean and McMillan 2009:448-450).

Globally, the most notable example of this was in South Africa where the victory of the (Boer) Nationalist Party led by Dr Hendrik Verwoerd in 1948 led to the institution of apartheid, a policy of separate development for black, white, Asian, and coloured(-mixed race) peoples. Apartheid was often justified in purely cultural terms, but it operated on racial criteria and prohibited inter-racial communities (McLean and McMillan 2009:450).

### **5.3 Religion**

According to Kleyn & Viljoen (1998) religion determines the relationship between an individual and a Supreme Being. Fairchild (1984) says that religion is the social institution built up around the idea of a supernatural being or beings, and the relation of human beings to them. In any particular culture this idea becomes formalised into a social pattern, or patterns. Such a pattern comes to be known as "the religion" of a particular group. Every religion firstly involves the nature and character of divinity, secondly a set of doctrines concerning the reciprocal duties and obligations between divinity and humanity, and thirdly a set of behaviour patterns designed to conform to the will of God and to assure to the individual behaviour the approval of his con-

science and whatever rewards or freedom from penalties in this world or the next are included in the doctrines of particular faith (Fairchild 1984:256).

Some religious people do not tolerate people who do not belong to their religions. They regard them as enemies as long as they do not belong to their religious organisation. There is a need of change of attitude so that people can live together as brothers and sisters in the world.

#### **5.4 Political affiliations**

Political parties may be defined by their common aim (Ball, 1993:79). They seek political power either singly or in co-operation with other political parties. In other words, the first and foremost aim of each political party is to prevail over the others in order to get into power or to stay in it.

The main aim of the political party is to capture the state political power (Heywood 2007). The capture of political power, or indeed its retention, can be achieved within existing political structures or by overthrowing them. Working within the political system, parties can present candidates and leaders to the electorate and seek to mobilise the support of the electorate by propaganda, organised activities and by emphasising ideological differences with other parties in competitive party systems. The overthrow of the existing system can be achieved by a *coup d'état*, civil war, guerrilla activities against the existing government, or by capturing power by legitimate

electoral means.

#### **5.5 Wealth (resources)**

Greed causes the politicians, officials and the capitalists not to be satisfied with the wealth or resources they have (Bauer 2003:22). Wealth can be regarded as material objects owned by human beings or the bodies of owners. The source of all wealth is the land, and the processes of creating wealth are comprehended in the general term production. The phenomena arising in connection with making and distribution of wealth form the subject matter of the special social science of economists. Wealth is of two main types, production goods and consumption goods and material possessions of considerable amount (Fairchild 1984:337).

#### **Service delivery**

The government is a body with supreme authority over the area of jurisdiction. A government is also regarded as a body of persons and institutions that make and apply all enforceable decisions for a society (Thornhill et al 2014:414). It is a mechanism through which the state operates. The government is responsible to render services for the promotion and improvement of the general welfare of the society. It is also concerned with stimulating development and eradicating development problems such as poverty, inflation, corruption. Government should be responsive to public opinion, and should pursue policies that are prudent, rational and mutually consistent. Policies should manifest themselves as services to the people. There are many strikes which are caused by lack of service delivery and other factors, and are occurring all

over South Africa ( City Press, 26 June,2016).

## **6. INSTITUTIONS FOR PROMOTING GOOD GOVERNANCE AND CONFLICT RESOLUTION IN AFRICA**

There are various institutions which are responsible for conflict resolution in Africa. Their effectiveness and efficiency will depend upon the environment and methods of conflict resolution. In this paper only two major institutions were mentioned. They are:

### **6.1 UNITED NATIONS (UN)**

The United Nations is an international organisation which is established to promote co-operation amongst the states of the world. It was established on 24 October 1945. The organisation has purposes such as; to promote and facilitate cooperation in International Law; to promote international security; economic development; social progress ;human rights, civil rights, civil liberties and political freedoms; democracy, good governance; and to achieve lasting world peace (Joyner 1997).

### **6.2 AFRICAN UNION (AU)**

African Union is an international organisation which is established to promote cooperation among the independent states of Africa. It was founded on 26 May 2001 (AU Handbook 2016).

## **7. MODES OF CONFLICT RESOLUTION**

The management of conflicts places leaders in the difficult situation of having to select a conflict resolution mode. Modes of conflict should be used based on the type of conflict, and whom the conflict is with.

Modes of conflict resolution are as follows:

### **7.1 Confronting (or Collaborating)**

This is a problem-solving approach whereby the conflicting parties meet face-to-face and try to work through their disagreements. This approach should focus more on solving the problem and less on being combative. This approach is collaboration and integration where both parties need to win ( Meiring 2003:183).

### **7.2 Compromising**

To compromise is to bargain or to search for solutions such that both parties leave with some degree of satisfaction. Compromising is often the end result of confrontation. Some people argue that compromise is a "give and take" approach, which leads to a "win-win" position. Others argue that compromise is a lose-lose position, since neither party gets everything he/she wants or needs (Kerzner 2001:407). According to Riker and Brisbane (1997:119) a compromise is a solution that requires both parties to give in on certain points and allows them to have their way on other points. Through reaching a compromise, each party leaves feeling that the solution to the conflict is acceptable. Every party wins in this mode.

### **7.3 Smoothing (or Accommodating)**

According to Pruitt & Rubin (1986:2-4) accommodating is one of the modes of conflict resolution. This approach is an attempt to reduce the emotions that exist in a conflict. This is accomplished by emphasizing areas of agreement and de-emphasizing areas of disagreement. An example of smoothing would be to tell someone, "We have agreed on three of the five points and



there is no reason why we cannot agree on the last two points". Smoothing does not necessarily resolve a conflict, but tries to convince both parties to remain at the bargaining table because a solution is possible. In smoothing, one may sacrifice one's own goals in order to satisfy the needs of the other party.

#### **7.4 Forcing (or Competing, being uncooperative, being assertive)**

According to Kerzner (2001:408) forcing is what happens when one party tries to impose the solution on the other party. Conflict resolution works best when resolution is achieved at the lowest possible levels. The higher up the conflict goes, the greater the tendency for the conflict to be forced, with the result being a "win-lose" situation in which one party wins at the expense of the other.

#### **7.5 Avoiding (or Withdrawing)**

Pruitt and Rubin (1986:2-4) says that avoidance is often regarded as a temporary solution to a problem. The problem and the resulting conflict can come up again and again. Some people view avoiding as cowardice and an unwillingness to be responsive to a situation.

### **8. RECOMMENDATIONS**

These paper present recommendations on both good governance and conflict resolution.

#### **8.1 Good governance**

There is a need of coming up with laws which will be able to promote good governance. These laws and regulations should not only

be made, but should be conformed to and be implemented adequately. Principles of good governance should be followed without an excuse by the leaders, public officials and the community at large.

Educational programmes are significant for modern communities. They need to be introduced, in which the political leaders, public officials, and the community are trained on good governance. All levels of government should be involved in the educational process, in order to promote vivid understanding amongst the stakeholders in good governance. The society, political leaders and public officials should actively participate in governance, and this will help in legitimising their government. They must all take an active part in policy making and implementation, and all aspects of service delivery.

#### **8.2 Conflict resolution**

The political leaders, public officials and community must be ready to agree on issues on issues which are causing conflict in their states. Conflicts need to be resolved in a rational way, and decisions should be made in order to take actions which are just, sound, fair and reasonable to all the affected parties in a conflict. A suitable mode or modes of conflict resolution should be selected in order to promote a manner of resolving conflicts effectively and efficiently. This choice will depend upon the environment, and the type of a conflict.

### **9. CONCLUSION**

The research was conducted at a time when there is no peace in the continent of Africa, as some of its countries are facing various types of conflict. South Africa in par-

ticular, is currently encountering conflicts such as service delivery strikes in most of its parts, and some political unrest in other parts of the country. Some African countries are facing violence caused by opposing groups, which are aimed at destabilising and toppling the governments.

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# THE CONTRIBUTION OF RECORDS MANAGEMENT TO GOOD GOVERNANCE AND ACCOUNTABILITY IN THE TRADITIONAL COUNCIL OFFICES

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## ABSTRACT

*Government departments are required to manage their records systematically and to adhere to policies and procedures from the National Archivist to ensure compliance with the Act. Records are keys to the effective running of any organisation or government department as they serve as memory and are used as evidence for the transacted tasks to ensure good governance and accountability. Therefore good governance requires best practices in records management that are applied to accountability. Traditional councils play an active and important role in local government programmes and service delivery, particularly in rural areas. The Traditional Leadership and Governance Framework Act (No 41 of 2003), recognises tribal authorities as traditional councils with important functions linked to local government. However, majority of Traditional Council Offices do not comply with the South African National Archives Act.*

*This paper adopted desk top study to investigate the role of records management to good governance and accountability in the Traditional Council Offices. The paper revealed that effective records management is an important tool for good governance and accountability. The paper also revealed that one of the critical pillars of good governance is transparency and accountability. Some recommendations were provided for improvement of records management to ensure good governance and accountability. It is also crucial that the records in Traditional Council Offices be managed by qualified records officers who understand the archival and record policies of the National Archives Act.*

*Key words: Chieftainship, Records Management, Tribal and Royal Councils and Good Governance.*

## 1. INTRODUCTION

According to Record Management Policy Manual (2007), records refer to all information irrespective of format or media on which it is held; that is created, received, maintained and preserved as evidence of the activities of an organisation. Okello-Obura (2011) and Kalusopa and Ngulube (2012), state that records are documents of the activities of the organisation that should be authentic, reliable and usable in order to ensure good governance and accountability. According to Makhura & Du Toit (2005) organisations use records to plan their future activities and as such records are helpful in decision making. Furthermore Shepherd and Yeo (2003) assert that records assist organisations to perform their tasks including the protection of the rights of the staff and assets of the organization, ensure good governance and promote accountability through legal, regulatory and fiscal requirements. Thus properly managed records are essential tools for good governance and accountability.

Traditional Council Offices are part of the governmental bodies they fall under the Department of Cooperate Governance, Human Settlement and Traditional Affairs. The records management policy manual (2007), section 13 of the National Archives Act, (Act No. 43 of 1996), requires government departments to manage their records systematically and to adhere to policies and procedures from the National Archivist to ensure compliance with the Act. Traditional Council Offices are instituted with the responsibility of providing service to the ru-

ral communities. According to Bizana-Tutu (2008:13) the services by Traditional Council Offices include the issuing of social grants, allocation of sites to the subjects, taking minutes from the meetings, resolving disputes and promoting culture of the tribe. Therefore it is important to keep records for services rendered.

Okello-Obura (2011) posits that records serve as memory of the organisation and are regarded as valuable assets because they assist to provide evidence of the actions that took place to ensure good governance and accountability. The study by Kalusopa and Ngulube (2012) revealed that organisations rely on records to perform their functions and to assess the performance of the employees. Whereas according to Gunngsdottir (2012) and Joseph, Debowski and Goldschmidt (2012) records are valuable and are mostly needed by people to satisfy their needs of acquiring land, getting passports and protecting their rights. Additionally properly managed records assist the state to provide authentic statistics of the nation which enable government to provide social services to the public (Kargbo 2009). According to Okello-Obura (2011) authentic records should prove what they purport to be; and reliable records should be accurate and trusted. Records function as evidence of the activities that took place within an organisation. According to Motsathebe and Mnjama (2009:133) organisations that have proper records management, are accountable and produce better results.

Bizana-Tutu (2008:9) states that Traditional Council Offices are required to adjudicate over customary matters. Government departments should provide the public with

easy access to records (Kamatula 2009). Section 13 (1) of the National Archives and Records Service of South Africa Act, (Act No 43 of 1996) states that the National Archivist is responsible for all records that are under custody of governmental bodies (Records Management Policy Manual 2007:7). Traditional Council Offices fall under the provincial Department of Cooperative Governance, Human Settlement and Traditional Affairs in Limpopo and therefore Traditional Council Offices form part of the governmental bodies that needs proper records management practices. Furthermore Traditional Council Offices are expected to provide functions such as allocation of sites, provision of social grants, adjudicated over cases and preside over meetings for the rural communities. This study therefore focuses its attention on the state of record management systems in Limpopo province, with specific reference to the traditional councils of Polokwane Municipality.

## 2. LEGISLATION FRAMEWORK

All government offices in South Africa must comply with the stipulations of the National Archivist with regard to records management (Records Management Policy Manual 2007). It is therefore important for records managers in Traditional Council Offices to manage records according to records management practices and to comply with the stipulations by the South African National Archivist. Therefore, records managers in Traditional Council Offices should understand the regulatory environment that affects their functions in order to ensure accountability and good governance. Underpinning the framework are the legal requirements set by South African government to ensure that government and public

entities manage their resources effectively, ethically and efficiently. Traditional councils as part of the public entities are also obliged to manage their records in accordance with legislation to ensure accountability and good governance requirements. The legislation include the following:

### 2.1 South African National Archives Act 43 of 1996

According to Records Management Policy Manual (2007) all government departments and public entities should comply with section 13 (2) (b) (i) of the National Archives and Records Service of South Africa Act, (Act No 43 of 1996) which stipulates that governmental bodies are to classify records in accordance with the systems determined by the National Archivist. According to Records Management Policy Manual (2007 the National Archivist puts the following conditions for all records managers in governmental bodies:

- ✓ A file plan which contains the classification system which facilitates the best retrieval of records
- ✓ The retention and disposal policies that clarifies the records that are to be destroyed and the records that are to be transferred to the archives.
- ✓ To ensure that records are stored in effective storage which covers all types of mediums;and
- ✓ To ensure that sufficient attention is given to paper-based and electronic records

Traditional Council Offices would be serving their people better if records are managed

by qualified records managers who comply with the stipulations from the National Archivists. It would therefore be proper for Traditional Council Offices to keep the records of community projects, service delivery and social development because the social and economic development of a country relies on the effective management of records throughout their entire life cycle to ensure accountability and good governance.

## **2.2 Traditional Leadership and Governance Framework Act 41 of 2003**

According to Traditional Leadership and Governance Framework Act (Act No. 41 of 2003) the traditional leader and the traditional council have a major role to play in leading the tribal community. According to section 19 the traditional leader is expected to perform the functions provided for in terms of the customary law and customs of the traditional community concerned and in applicable legislation. Section 4(2) of the Traditional Leadership and Governance Framework Act (Act No. 41 of 2003) stipulate that applicable provincial legislation must regulate the performance of functions by a traditional council by at least requiring traditional council to do the following:

- ✓ Keep proper records
- ✓ Have its financial statement audited
- ✓ Disclose the receipts of gifts
- ✓ Adhere to the code of conduct

Furthermore, section 4 (1) of the Act stipulates that the traditional council must assist, support and guide the traditional leader in

the performance of their functions. Tribal council offices are repository of all records of functions performed by the traditional leader and the traditional council. Tribal council offices in the province fall under the Department of Cooperative Governance, Human Settlement and Traditional Affairs and are therefore part of the governmental bodies.

## **2.3 The Public Finance Management Act (Act No. 1 of 1999)**

The purpose of this Act is to regulate financial management. This can be possible if Traditional Council Offices keep records of all the transaction in accordance with record keeping practices. The managers in charge of the records must comply with the retention and disposal requirements. The Traditional Council can only be accountable and transparent if it makes all the records available for audit purposes. Furthermore such actions by the government will discourage people to commit fraud.

## **2.4 Traditional Courts Bill**

The Traditional Courts Bill was developed to replace Sections 12 and 20 of the Black Administration Act of 1927, colonial-era provisions that still empower chiefs and headmen to determine civil disputes and try certain offences in traditional courts. The aim of the bill was to advance South Africans' access to justice by recognising the traditional justice system in a way that upholds the values in customary law and the Constitution. The purpose of the Bill was to ensure that justice is done and that the public's rights are protected. It was

important to record daily proceedings in court because such records are holding important decisions by the traditional courts that have to be respected. Records from the traditional courts will also help individuals who would like to review or appeal against the outcome of the cases. It is therefore important that such records are properly managed to ensure that they are made available to the public.

### **2.5 The Promotion of Access to Information Act (Act No. 2 of 2000)**

The purpose of the Act is ensuring that records held by government bodies or individual are accessible to promote good governance and to enlighten the public about their rights. Therefore Traditional Council Offices need to provide the public with clear guidelines and procedures on how to access records held by these traditional council offices.

### **3. LITERATURE REVIEW**

This paper adopted literature review to investigate the contribution of records management to good governance and accountability in the Traditional Council Offices. The sources consulted include books, journals, newspapers, magazines, databases, government publications. The results of the study revealed that effective records management is an important tool for good governance and accountability. According to Bless, Higson-Smith and Sithole (2013:49) literature review enable the researcher to search the current writings that are relevant to the topic. It is very clear from the literature that there is a consensus that properly managed records

are essential tools for good governance and accountability.

### **3.1 Records management in traditional council offices**

The situation in Traditional Council Offices is similar to that of any organisations or government departments with regard to records creation and record receipts. It is therefore important to establish the activities of the traditional council services first which will be followed by the records accruing from such activities. The activities of the chiefs and their responsibilities give rise to the creation of records in traditional council offices. Accordingly the Traditional Council Offices should preserve records of value that would later be used by posterity as evidence to have an understanding of the genealogy of the chiefs.

According to Classens (2014) since the year 2003 traditional leaders in South Africa were empowered by the constitution to take charge of the title of the land and to present rural communities as 'owners of the land'. Traditional leaders have powers to rule over the allocation of land within their jurisdiction. They are also accountable to the public they serve (Meer & Campbell, 2007:5-6). Former President Thabo Mbeki of South Africa cited in Meer and Campbell (2007:9) noted that the traditional leaders have a critical role to play in the organisation of the society. It is through proper records management that traditional leaders can be able to be held accountable and promote good governance.

Records management is one of the pillars of good governance because activities of the government are based on easy retrieval and free access of information that



is contained in records (Ngoepe & Van Der Walt 2009). Therefore Traditional Council Offices are expected to comply with the best record keeping principles to ensure good governance and accountability. Furthermore, Meer and Campbell (2007) and Classens (2014) assert that the chiefs are given the powers to adjudicate over cases within their jurisdiction and they are also expected to oversee the provision of service delivery to the community. The activities result with the records of case proceedings, the outcome of the cases, review of the cases, letters to the aggrieved and to the defendants. All these activities form powerful records of the Traditional Council Offices which should be well managed and preserved. Traditional Council Offices are also the custodians of the culture of the history of the community. It is therefore important to keep records of the chieftaincy, regiments, genealogy, poems and songs that are associated with the community.

Based on the importance of records that are kept at Traditional Council Offices it is therefore important for the offices to have a file plan that will guide them on the best classification system. In their study of records management in organisations, Shepherd and Yeo (2003) note that organisations are facing huge inflow of records. Though most of the records are still in paper format the writers revealed that organisations were receiving and creating records in various formats like images, sound, moving images, photos and electronic. According to Shepherd and Yeo (2013) organisations such as government should be ready for the hybrid system, because digital records are at risk of unlawful destruction.

### **3.2 Benefits of proper records management**

#### *3.2.1 Promotion of good governance, transparency and accountability*

Archives have the power over the administrative, legal and accountability of government, and therefore the public should take part on matters regarding protection of privacy, intellectual property and freedom of information (Schwartz & Cook 2002). The value of archives depends on proper recordkeeping systems and therefore properly managed records enable the public to engage in public debates which ensures good governance, transparency and accountability. According to Buenrostro (2010) records are used by scholars to investigate how the organisations were managed citing maps, photographs and pictures as memories of the organisations. Buenrostro (2010:61) posits that court records, financial records and license records are examples of the memory of government departments. Records must be authentic in order for them to be regarded as proof of the true activities of the organisation. By authentic it means the records must be unaltered and actually not being tempered with by any person. The principle of *Respect des fonds* is concerned with the original order in the creation of records. Millar (2010:101) argues that the original order in the creation of the records is the one that can be used for evidential purposes, because it is authentic and reliable.

Records are used by organisations and government including traditional leaders to monitor if the transactions that took place are in line with the plan, and records also guide organisations to check deviation from the plans. According to Woods

(2000:824) the International Monetary Fund and the World Bank use good governance as a yard stick to issue loans to countries of the world and they use records to monitor conditions with compliance by the countries. Otu, Bempah and Ohene (2014:69) state that records are needed for all aspects of the function of government which includes access to information. The public has to access information that is in records to protect their rights. Otu, Bempah and Ohene (2014:69) posit that records promote good governance through economic development, however poor records management affect public reforms by government which results in fraud and corruption. According to Norwan, Mohamed and Chek (2011:207) records that are used correctly in financial reporting improves the relationship between shareholders and management of companies. However, Ngoepe and Ngulube (2014) revealed in their studies of governance in South African government departments that records were not used by the departments to support auditing which are the recipe for corruption.

Records of government assets should be kept, maintained and managed properly; and the public should be aware of the existence of such records. Meijer (2001:260), McLeods and Child (2007:216) opines that government will win trust and confidence of the public through transparency. According to Kamatula (2010:157) a transparent government is the one that is able to provide reliable and authentic records to the public. The records will assist the public to understand what the government is doing. If government departments are able to provide sound records management principles then they will win the trust of the

people. The public will have confidence that the government is not hiding anything from them.

Mukwevho and Jacobs (2012:34) point out that record should be managed properly so that they reflect the true transactions that took place. Such records create a trust between government and the public and shows that government is accountable to its citizens. Mubangizi (2007:80) states that governments are given the responsibilities of delivering services to the people through the building of roads, schools, clinics and water facilities. Records are key to manage the process of monitoring such services. It is the prerogative of government to provide information to the community regarding procurements procedures through open public meetings and such information is contained in records.

According to Tukamuhabwa (2008:34) public procurements attracts more attention from the public. Records managers should be robust in their monitoring compliance of records management with government policies through the creations and management of records that are reliable and authentic. Government should also use records to account and report to the public on the functions that they performed. However, Lekaba (2014:34) in the studies of service delivery protest in South Africa revealed that service delivery protests in South Africa rose from 10 in 2004 to 173 in 2012 with the government failing to provide auditors with proper financial records. Furthermore, Tukamuhwaba (2008:37) states that Uganda failed to provide statistics for audit due to the poor records management.

### 3.2.2 Quick retrieval of records

The benefit of properly arranged records is quick retrieval. Makhura and Du Toit (2005:12) point out that properly arranged records enable the organisation to have a free flow of information that is usable. The subject-based and the function-based are the most commonly used system for records arrangement. According to Yusof and Mokhtar (2015) the subject-based has been used by the librarian for a long time and it is still in use. The subjects are then arranged alphabetically and the alphabetical arrangement relies more on the names for filing. Franks and Kunde (2006:56) posit that metadata elements are structured in a manner that they describe, explain and locate where the records are to be found. According to Shepherd and Yeo (2003:89) and Kally, Schoeman and Burger (2005:129) metadata refers to the provision of the whereabouts of the information sources. According to Shepherd and Yeo (2003:90) metadata is used in the location of both paper and electronic records. Cards are used for the creation of metadata of paper records. Joseph, Debowiski and Goldschmidt (2012:65) assert that metadata is applied more easily in the electronic records.

### 3.3 The impact of poor records management

*Poor records management in organisation have far reaching implications. Below are some of the consequences that organisations may face as a result of poor records management.*

#### 3.3.1 Poor records management, fraud and corruption

According to Lungia'ho and Rotich (2014)

organisations fail to perform their functions due to poor records management. In Uganda the government failed to account for millions of shillings because of the insufficient financial records that were presented to the financial auditors (Okello-Obura, 2012:204). Fraud happens when the officials fail to provide the required records especially financial records that are needed by the financial auditors. Asogwa (2012:208) and Joseph, Debowiski and Goldschmidt (2012:63) point out that a lot of money is paid by government on litigations due to poor records management. The Auditor General of South Africa revealed that poor records management resulted with a number of unauthorised, wasteful and irregular expenditure from a number of supply chains (Auditor General of South Africa 2014). The reason is that records of the activities are not brought to the auditors when the financial books are audited.

## 4. THEORETICAL FRAMEWORK

It is important to underpin this paper on a theoretical framework. According to Kalusopa (2011:48) theoretical framework is a set of interrelated concepts that structure a systematic view of the phenomenon. Furthermore, it is stated that the theoretical framework guides the researcher to provide effective explanation from the findings of the research. In this study the researcher will discuss three (3) theoretical frameworks, the technical framework, the life cycle framework and the record continuum framework, and choose the best that is suitable for records management practices in traditional council office.

#### **4.1 The technological framework for records**

Nengomasha (2009) in the study of records in Namibia posits that there has to be cooperation between records managers and IT staff in order for the technological framework to succeed. Nengomasha (2009) further states that training in the operation of electronic equipment is important for the success of the technological theory. Kalusopa (2011) posit that the migration to electronic records has resulted in hypermedia documents and these volumes of electronic records poses a huge challenge to the practice and management of records. Kalusopa (2011) further states that people react differently to technology and therefore people have to be psychologically ready for the adoption of e-records. According to the Kalusopa (2011) technological framework for records management requires training in the handling of ICT, and budget to afford the required facilities. Based on the study of Nengomasha (2009) and Kalusopa (2011) planning is important before a move is made to the electronic records.

#### **4.2 The life cycle of records**

According to McKemmish (2015:4) the life cycle process is similar to biological organism. With human life a child is born and as a toddler the child depends on others for everything. Then the child develops into a teenager where life is personally experienced. The last period is for that child to have a family and after a period there comes a time for death. The same happens with the records. Records are created, maintained, used and then disappear. The disappearance of the records happen when they are destroyed. According to Higgins the life cycle process is the beginning of

the records management programme and forms part of the systems and procedures of managing each phase of the life cycle of records. Furthermore Higgins (2008) states that the life cycle model requires that the life stages of the record are identified and planned. This should be done with the aim of implementing the necessary action, to ensure maintenance of authenticity, reliability and usability of the records.

#### **4.3 Records Continuum Theory**

The continuum view emerged from the 1950's. According to An (2003:1) came with the idea that records managers were true archivists and that the record keeping systems should embrace the archive work. An (2003:1) states that records continuum aims for the development of record keeping systems that are involved with capturing, management and maintenance of records. McKemmish (2015:2) and Yusof (2011) posit that the record continuum theory is used by most scholars because it combines the functions of the records managers and those of the archivist. Matangira, Katjieveri-Tjiuoro and Lukileni (2013) and Yusof (2011) state that the record continuum model is suited for the preservation of electronic records.

#### **4.4 Choice of a theoretical framework for the study**

Both the technological framework for electronic records and the record continuum theory are based on electronic records. The life cycle theory covers both the paper and electronic records. It is for this reason that the study to investigate the role of records management in promoting accountability and good governance adopted the life cycle theory as the relevant model. This

model was found to be relevant and suitable for the study of the importance of records management in ensuring accountability and good governance. Ndemanishi (2014:491-494) posits that the life cycle theory has records creation, records organisation, records maintenance and use, file tracking and storage, preservation and disposal. Matangira, Katjieveri-Tjiuro and Lukileni (2013) note that the life cycle model involves the records from its creation and receipt, to the classification of such records, its maintenance and ultimately its use. According to McKemmish (2015:4) the life cycle concept describes records in specified stages which are observable for a long period of time and the author further identifies stages in the life cycle concept as creation, maintenance, use, disposal, acquisition, description, and access. Furthermore McKemmish (2015:5) states that in the life cycle concept there is a distinct difference between the functions of the records managers and those of the archivists. Ngoepe (2008) argues that the life cycle theory has been used mostly for paper records and that paper records practices are still used by government department and that volumes of paper records are still being created.

## 5. CONCLUSION AND RECOMMENDATIONS

Traditional Council Offices operate just like the governments and are directly answerable to the public. Therefore, it is essential for Traditional Council Offices to be transparent and accountable to promote good governance. The results of the study revealed that it is only through proper maintenance, creation, capture, distribution and preservation of records that Traditional Council Offices can be accountable and

transparent in the provision of services to the public. A trusted tribal council office is one that can demonstrate its accountability and transparency and is continually striving to improve value delivery and increase cost-effectiveness. According to Records Management Policy Manual (2007), the National Archivist of South Africa is in charge of all records management that are under governmental bodies. The study reveals that Traditional Council Offices are not complying with the policies from the National Archives Act and as such are cannot be accountable and lack good governance.

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# ASSESSMENT OF PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN THE DEPARTMENT OF ARTS AND CULTURE

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## ABSTRACT

*Effective performance management system in the public sector is essential for the overall performance of public institutions. Organisations around the world use some kind of performance management system to manage their employees' performance. The South Africa public service uses the performance management and development system to manage employees' performance. As a result of the rapidly growing demands for services by the public, government employees in all departments are expected to perform at an optimal level in order to meet the growing public needs. The Public Service Commission (PSC) has since 2004 been monitoring and evaluating the performance management practices in the public service. While this study focused mainly on the operational employees of one Department, it is important to note that in most of the PSC reports, it was found that the overall implementation of the performance management and development system (PMDS) of senior management services (SMS) employees was unsatisfactory. This paper focuses on the National Department of Arts and Culture.*

## 1. INTRODUCTION

South African government is the largest employer and the main provider of the public goods and services. A high standard of performance is expected from public servants by members of the public who rely solely on public goods and services. In the country review report of South Africa's performance since 1994, the African peer review mechanism panel argues that South Africa suffers from a severe skills shortage. The ten-year review comes to one key conclusion about the performance of the democratic state and the Public Service: The architecture of the new democratic state is in place, yet many areas of service delivery require much improvement (Matshiqi 2007: 13). Grobler, Warnich, Carrell, Elbert & Hatfield (2011:293), define performance management as a process of evaluating how well employees perform their jobs when compared to a set of standards and then communicating that information to employees. With the introduction of the National Development Plan (NDP) 2030; the Department of Public Service and Administration is required to implement and

coordinate interventions aimed at achieving an efficient, effective and development oriented public service which is an essential element of a capable and developmental state. As described in the NDP, there continues to be unevenness in capacity that leads to uneven performance in the public service DPSA-2014/15 Annual Performance Plan (APP). This paper presents a brief background, research method and design followed to collect data. The paper further present and discusses the data collected from the national Department of Arts and Culture in 2015. This paper will focus on the assessment of the implementation of performance management and development system in the National Department of Arts and Culture. The performance of employees in the public service can effectively be managed only if there are performance standards in place directly linked to the system. The current performance management and development system (PMDS) was developed by DPSA with the purpose of ensuring that departments can have proper guidelines on how to manage the performance of individual employees and the organisation as a whole. There are 47 national government departments in South Africa. The analysis in this article focuses on the implementation of the performance management and development system in the National Department of Arts and Culture.

## **2. THE RESEARCH METHOD AND DESIGN**

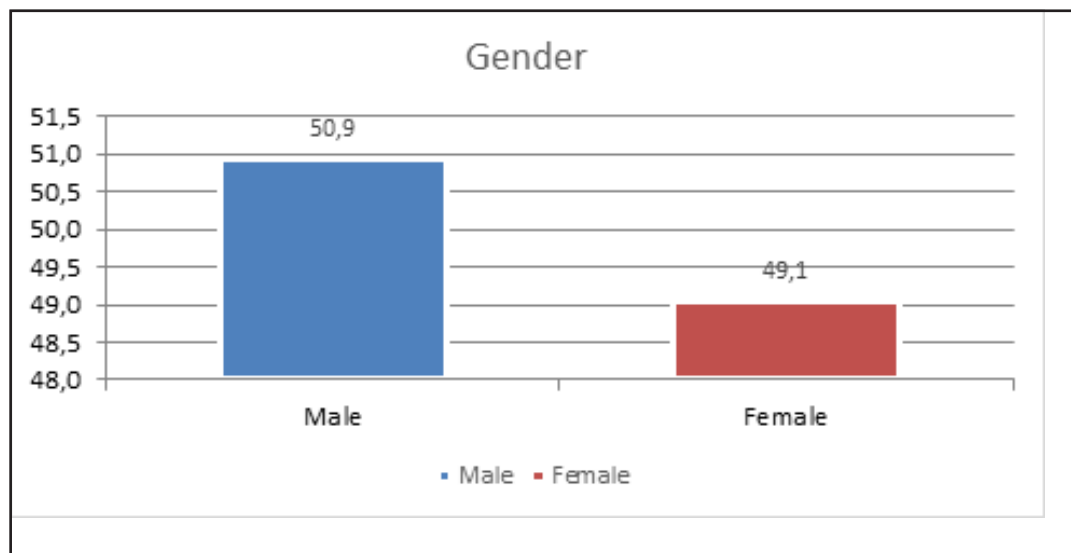
Quantitative research approach was adopted in this study. Quantitative research is, according to Welman, *et al.*, (2005:188) an essential description design which is used in investigations among individuals or groups

within given community, groups or organisations. During the time of the study (2015), the national Department of Arts and Culture had 521 staff members. A sample of 15% (79) of operational staff members from salary level 3- 12 from the total population were asked to fill in questionnaires. Vanderstoep & Johnston (2009:26) describe population as the universe of people to which the study could be generalised, and a sample refers to the subset of people from the population who will participate in the current study. The primary data was collected by means of questionnaire. The type of questionnaire adopted for data collection was closed ended questionnaire.

## **3. PRESENTATION AND INTERPRETATION OF RESULTS**

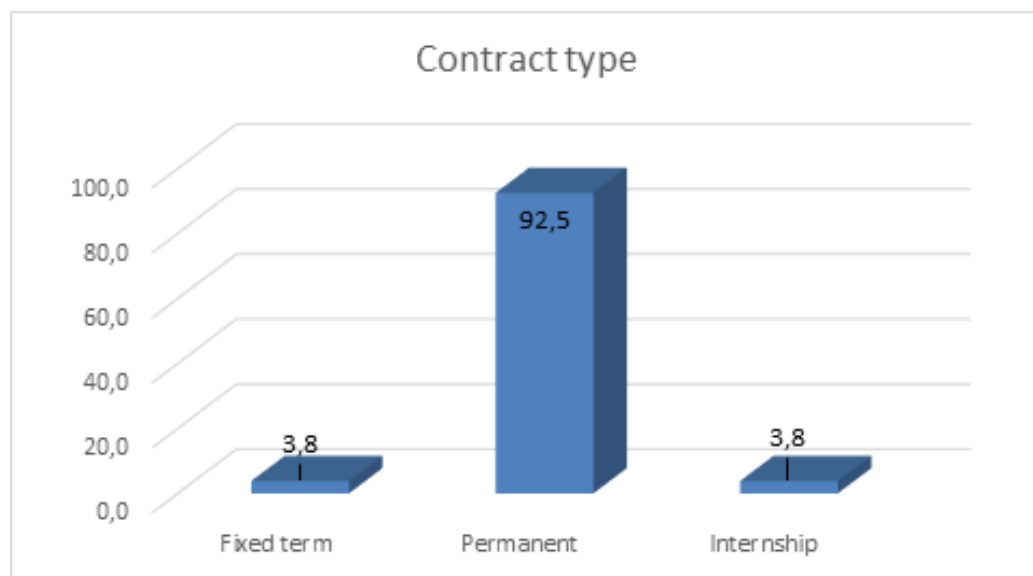
This section of the article presents the results of the study. The following charts present the collected and analysed data of the study.

Figure 1: Gender



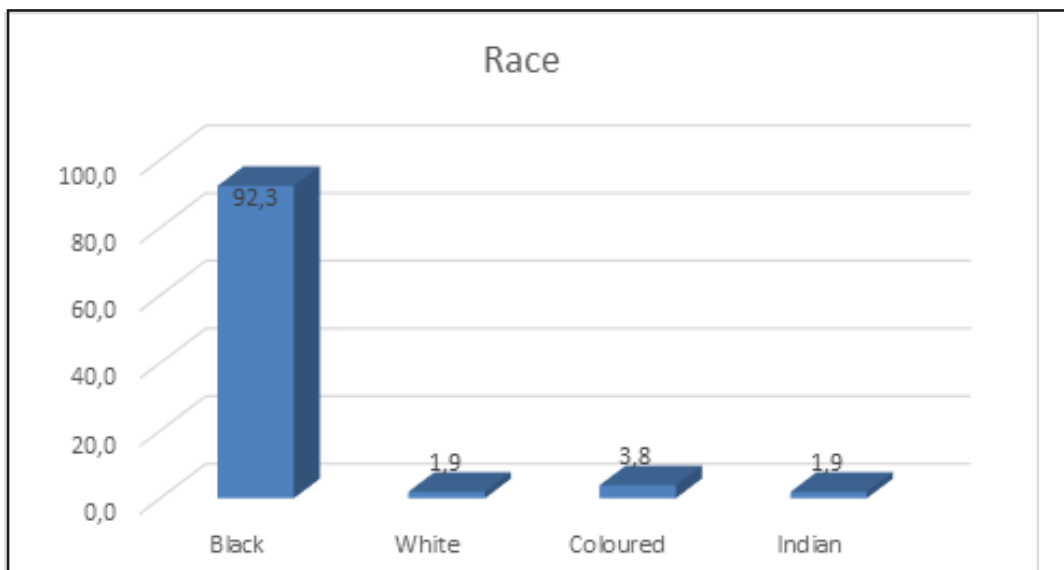
**Figure 1** Reflects gender differences and results show that male (50.9%) dominates female (49.1%).

Figure 2: Contract type



**Figure 2** reflects contract type differences. The majority of respondents were working on permanent basis with 92.5%, followed by workers who are interns (3.8%) and the fixed contract with 3.8% respectively. The chart reveals that the department is dominated by employees on permanent contract rather than fixed term contracts.

Figure 3: Race



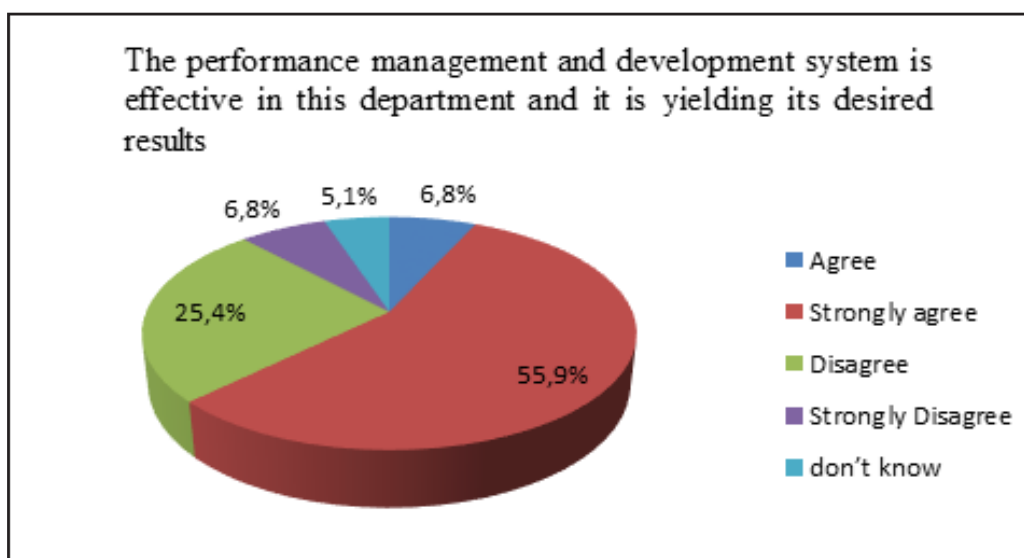
**Figure 3** Reflects that 92.3% of respondents were black, followed by 3.8% of coloured and minority were white and Indian with 1.9%. South Africa as a country is dominated by black people, therefore the above chart reflects the demographic profile of South Africa.

Figure 4: Salary level



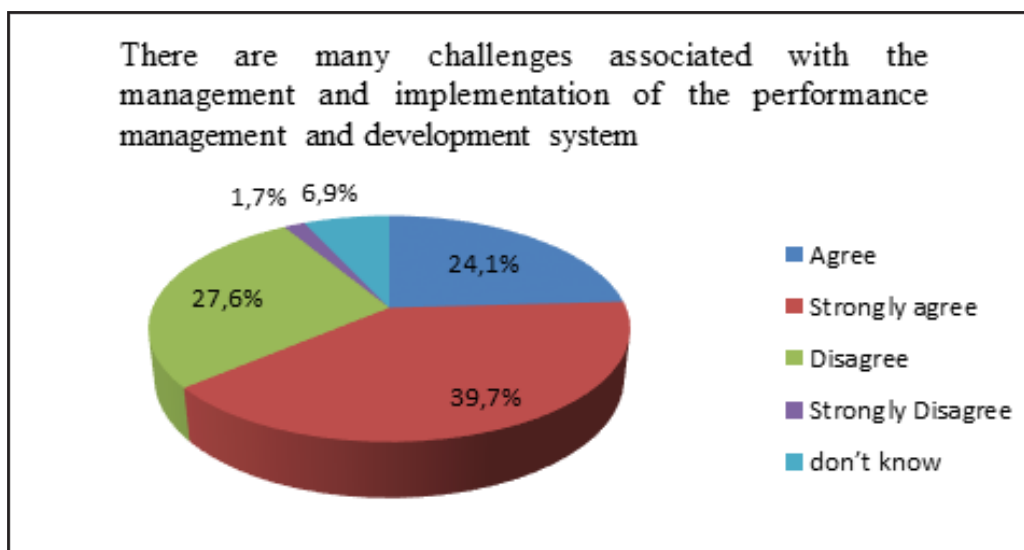
**Figure 4** Reflects that majority (35.8%) of the employees are earning between 7 and 8 as well as 9 to 10 (35.8%) salary levels, followed by employees who are earning between 5 and 6 salary level with 20.8%, and minority earn between 3 and 4 salary levels with 3.8%.

Figure 5. PMS as effective



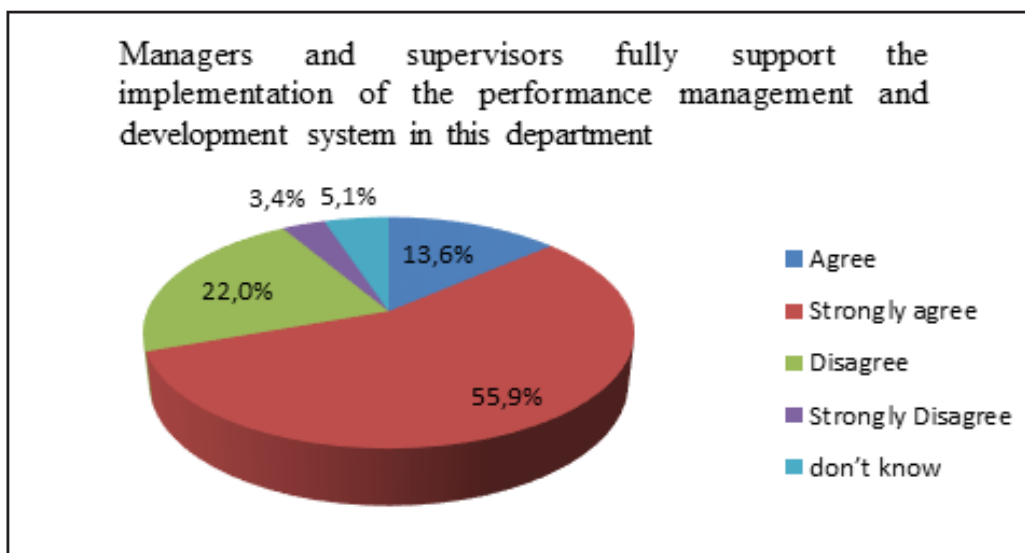
The chart shows that 62.7% (6.8% & 55.9%) of the respondents agreed that the performance management and development system is effective in this department and it is yielding its desired results, while 32.2% (25.4% & 6.8%) disagreed with the statement, followed by those who indicated that they do not know constituted 5.1%. The chart reveals that the system in this department is working and majority of staff believes that it is yielding its desired results.

Figure 6: Challenges of PMS



The chart shows that 63.8% (24.1% & 39.7%) of the respondents agreed that there are many challenges associated with the management and implementation of the performance management and development system, while those who disagreed constituted 29.3% (27.6% & 1.7%), followed by those who do not know who constituted 6.9%. The chart reveals that most employees experience challenges regarding the management and implementation of the system.

Figure 7:Support of PMS

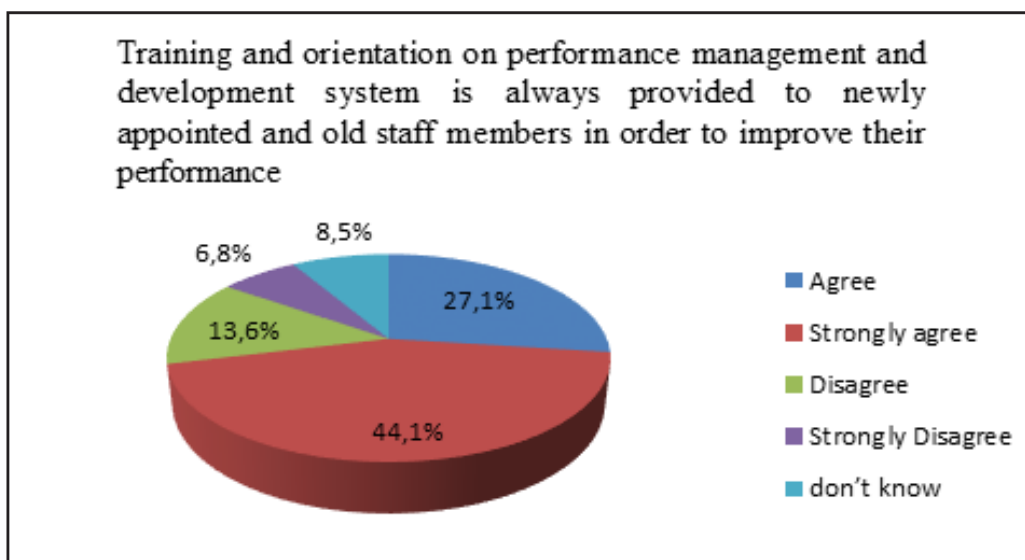


The chart shows that 69.5% (13.6% & 55.9%) of the respondents agreed that managers and supervisors fully support the implementation of the performance management and development system in this department, while those who disagree constitute 25.4% (22% & 3.4%), followed by those who indicated that they do not know with 5.1%. The chart reveals that most managers and supervisors are doing their best to ensure that the system achieves its objectives in this department by providing full support on the implementation of the system.

Figure 8: Training of PMS on new and old staff

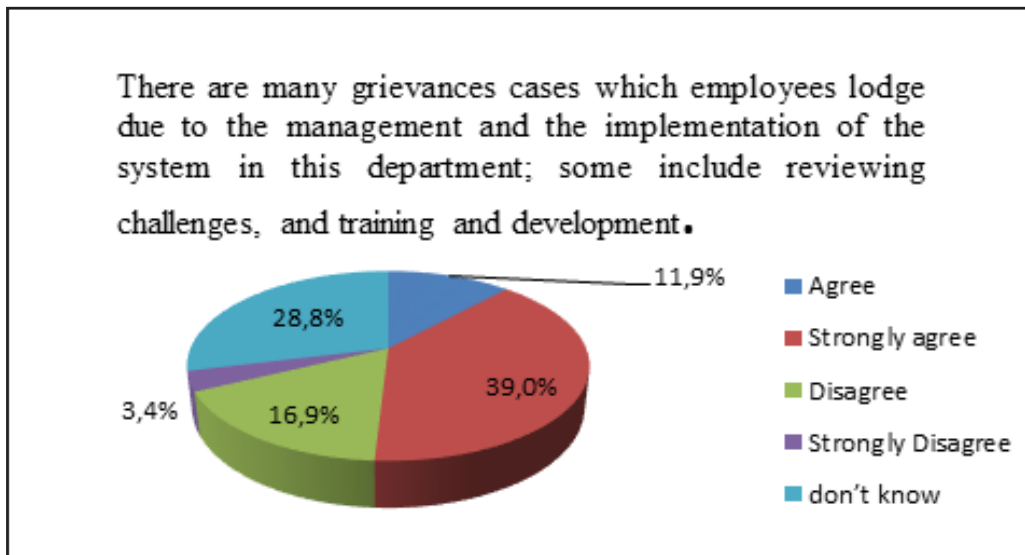
The chart shows that 71.2% (27.1% & 44.1%) of the respondents strongly agreed that training and orientation on performance management and development system is always provided to newly appointed and old staff members in order to improve their performance, while 20.4% (13.6% & 6.8%) of respondents disagree with the statement, followed by those who indicated that they do not know who constituted 8.5%.

Figure 9: Middle and Senior management and PMS



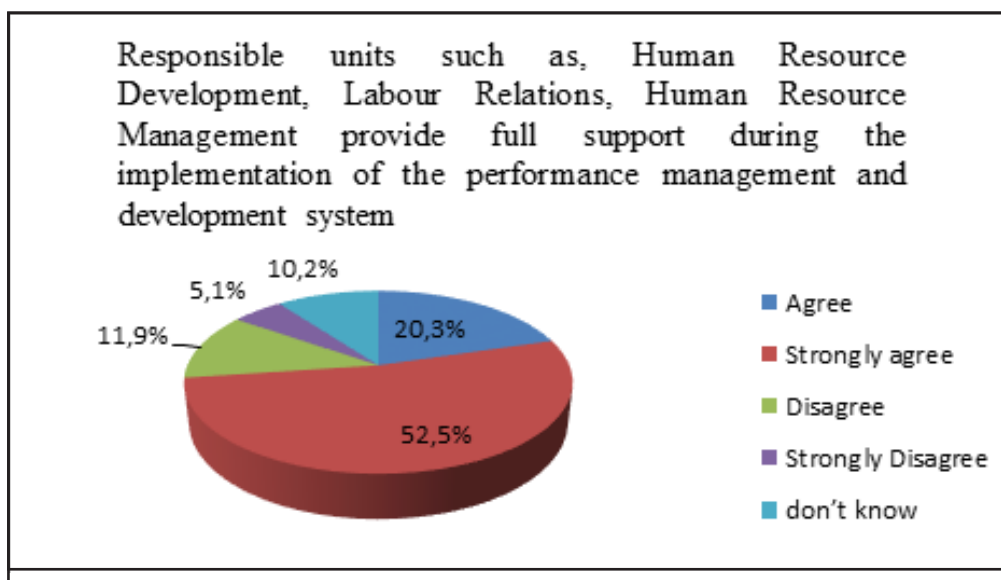
The study shows that at least 44.6% (10.7% & 33.9%) of the respondents agreed that middle management services and senior management services do their performance management contracting on time each financial year, while 33.9% of respondents indicated that they do not know, followed by the minority of 21.5% (16.1% & 5.4%) who disagreed with the statement.

Figure 10: Cases of grievances



The chart shows that 50.9% (11.9% & 39%) of the respondents agreed that there are many grievance cases which employees lodge due to the management and the implementation of the system in this department; some include reviewing challenges, and training and development, while on the other 20.1% (16.9% & 3.4%) of respondents disagree with the provided statement, followed by the last group with 28.8% of those who indicated that they do not know. The chart clear reveals that the department still need to perfect the way in which the system is being managed and implemented in order to ensure that the grievanc-es which are lodged due to unsatisfactory by employees are minimised

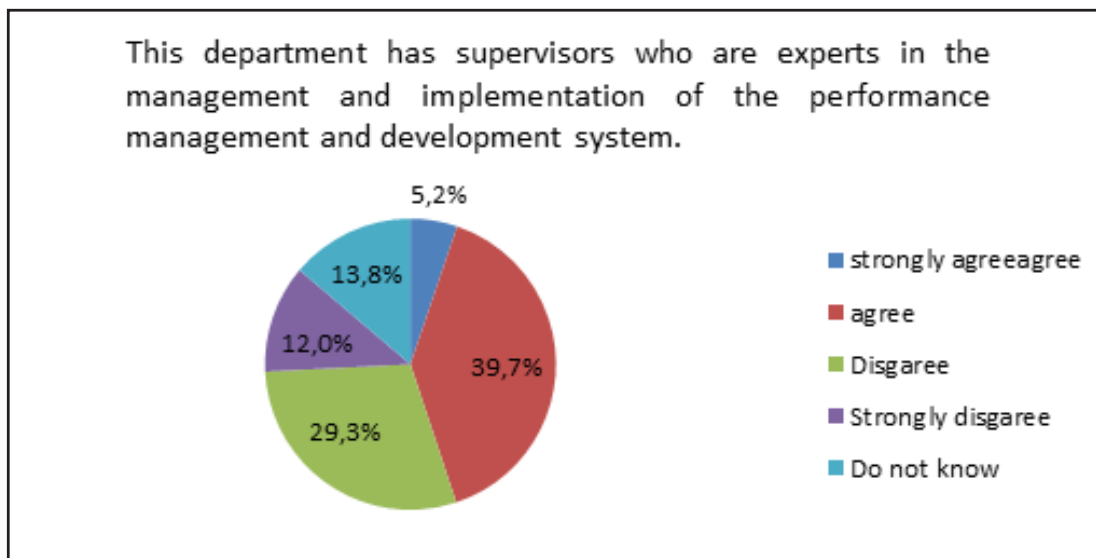
Figure 11: Units that supports PMS





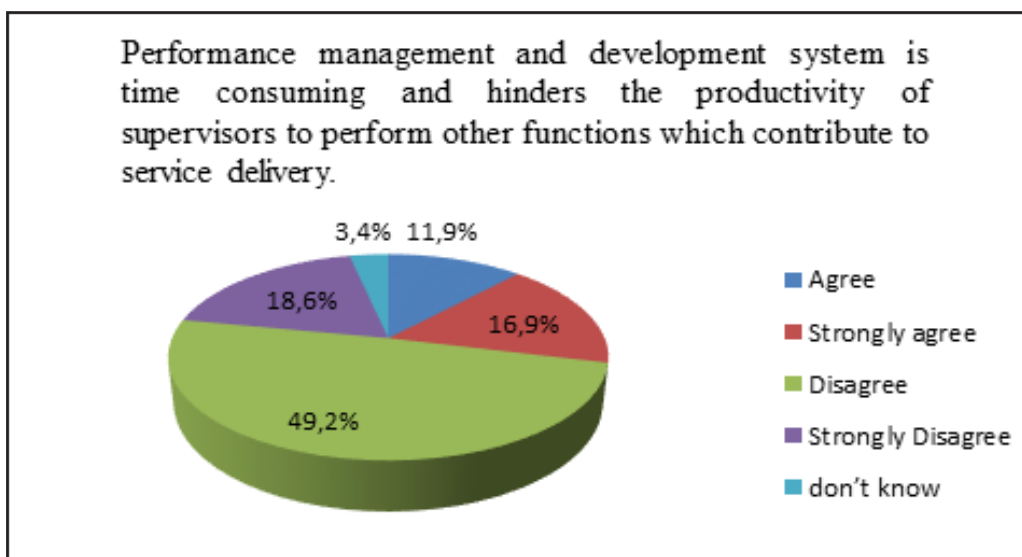
The chart shows that 72.8% (20.3% & 52.5%) of the respondents strongly agreed that responsible units such as, Human Resource Development, Labour Relations, Human Resource Management provides full support during the implementation of the performance management and development system, while 17% (11.9% & 5.1%) of respondents disagree with the statement, followed by those who indicated that they do not know with small percentage of 10.2%. The chart reveals that the responsible units are doing their best by providing full support during the implementation of the system to ensure that employees are happy with all processes and also to ensure that the system's objectives are met.

Figure 12: Capacity of supervisors to implement PMS



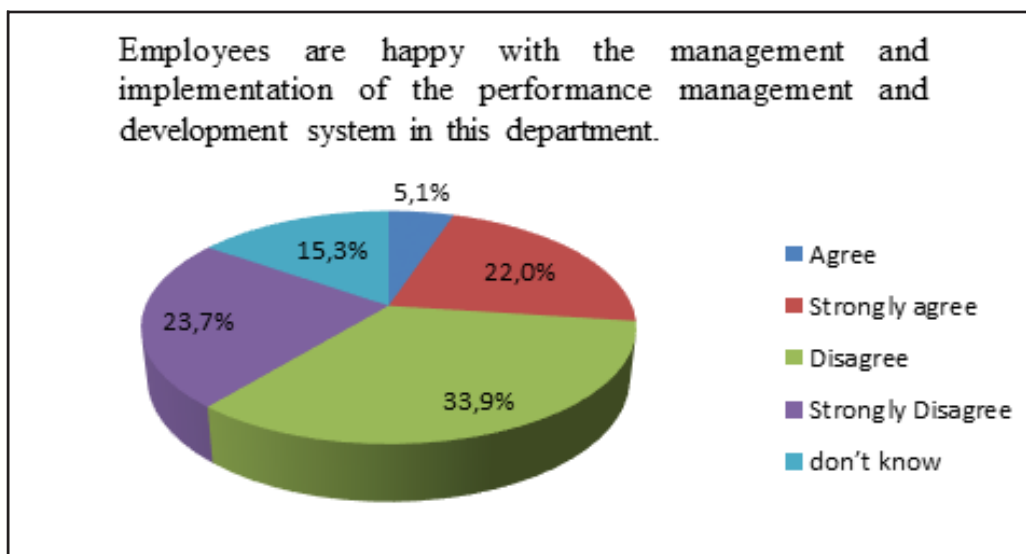
The above chart shows that 44.9% (5.2% & 39.7%) of the respondents agreed that the department has supervisors who are experts in the management and implementation of the performance management and development system, while those who disagree constituted 41.3% (29.3% & 12.0%), followed by those who indicated that they do not know who constituted 13.8%. The chart reveals that lack of experts in this department might be another cause of challenges which employees experience and grievance which employees lodge due to poor management and implementation of the system.

Figure 13: PMS as time consuming



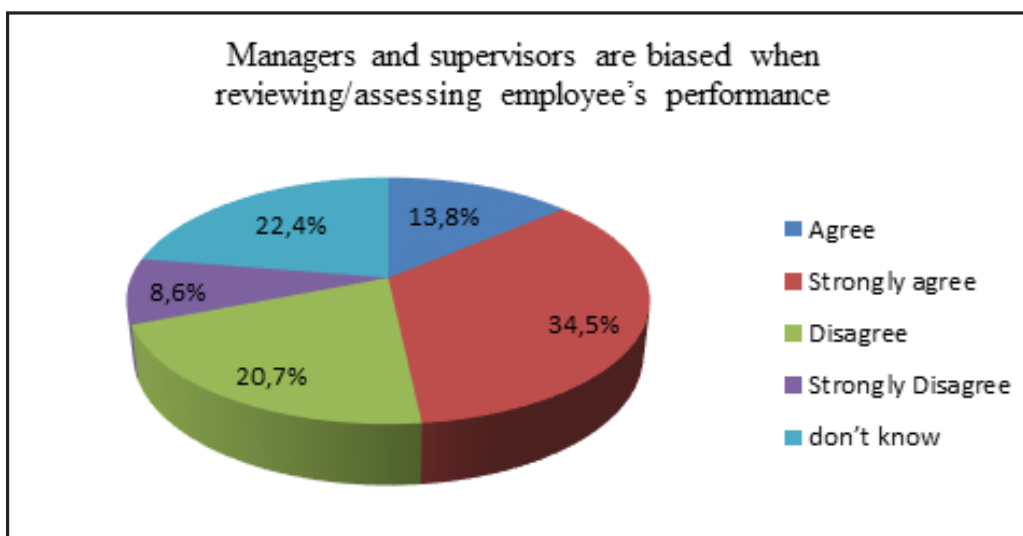
The above chart shows that 67.8% (18.6% & 49.2%) of the respondents disagreed that performance management and development system is time consuming and hinders the productivity of supervisors to perform other functions which contribute to service delivery, while 28.8% (16.9% & 11.9%) agreed that management and implementation of the system is truly time consuming and hampers the productivity of the supervisors, followed by those who indicated that they do not know whether it is time consuming or not who constituted 3.4%. The chart reveals that most employees understand the need for performance management and development system in their department and also its contribution towards effective service delivery.

Figure 14: Employees satisfaction with PMS



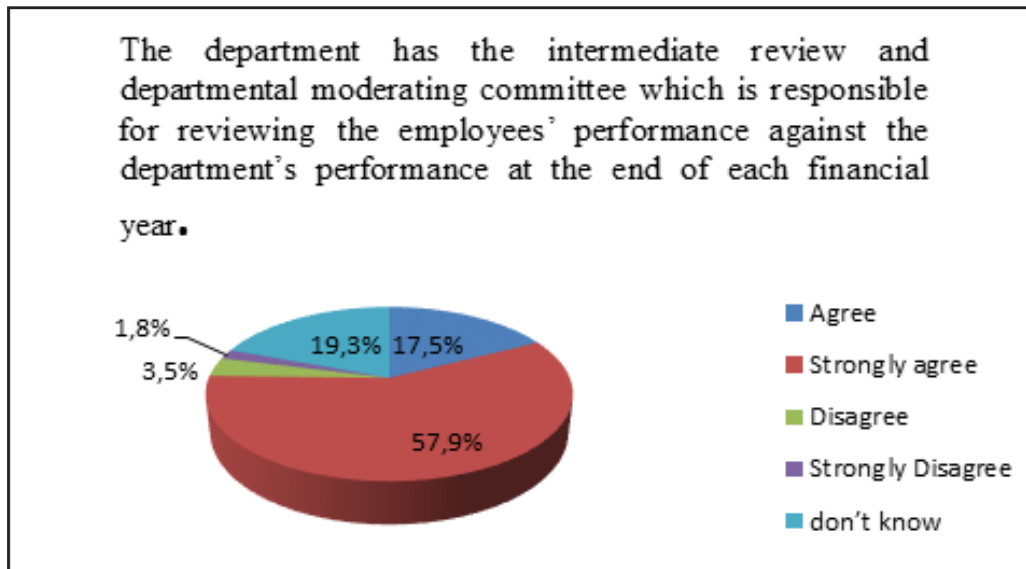
The chart shows that 57.6% (33.9% & 23.7%) of the respondents disagreed that employees are happy with the management and implementation of the performance management and development system in this department, while on the other hand 27.% (22% & 5.1%) respondents agreed, followed by those who indicated that they do not know with 15.3%..

Figure 15: Managers biasness in reviewing PMS



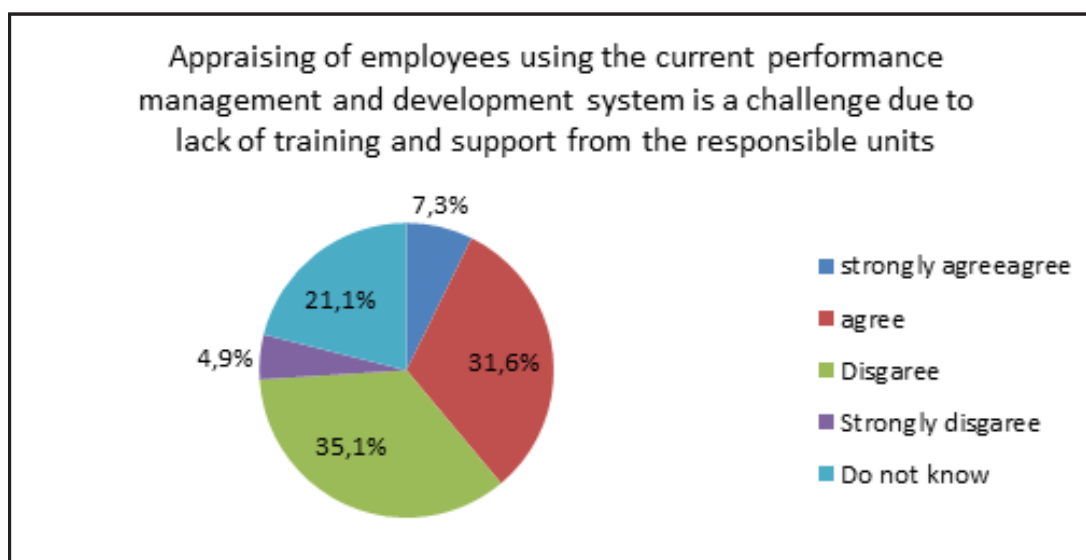
The chart shows that 48.3% (13.8% & 34.5%) of the respondents agreed that managers and supervisors are biased when reviewing/assessing employee's performance, while those who disagree constituted 29.3% (20.7% & 8.6%), followed by those who indicated that they do not know with 22.4%. The chart reveals that training is still required for most of supervisor and managers to ensure that they fully understand the negative impact they cause on employees personal life when they are bias when evaluating their performance.

Figure 16: Immediate Reviews and Moderating Committees



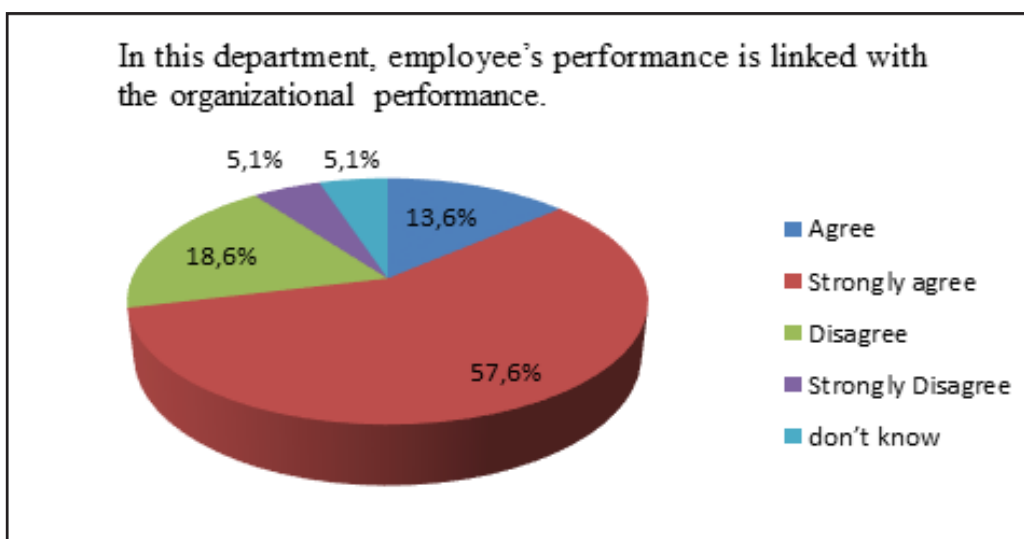
The chart shows that 75.4% (17.5% & 57.9%) of the respondents strongly agreed that the department has the intermediate review and departmental moderating committee which is responsible for reviewing the employees' performance against the department's performance at the end of each financial year, while on the other hand 19.3% of respondents indicated that they do not know, followed by 5.3% (3.5% & 1.8%) who disagreed with the provided statement. The chart reveals that this department has the performance intermediate committee and departmental moderating committee but not all employees in the department are aware of the existence of these committees.

Figure 17: Appraising of employees as a challenge



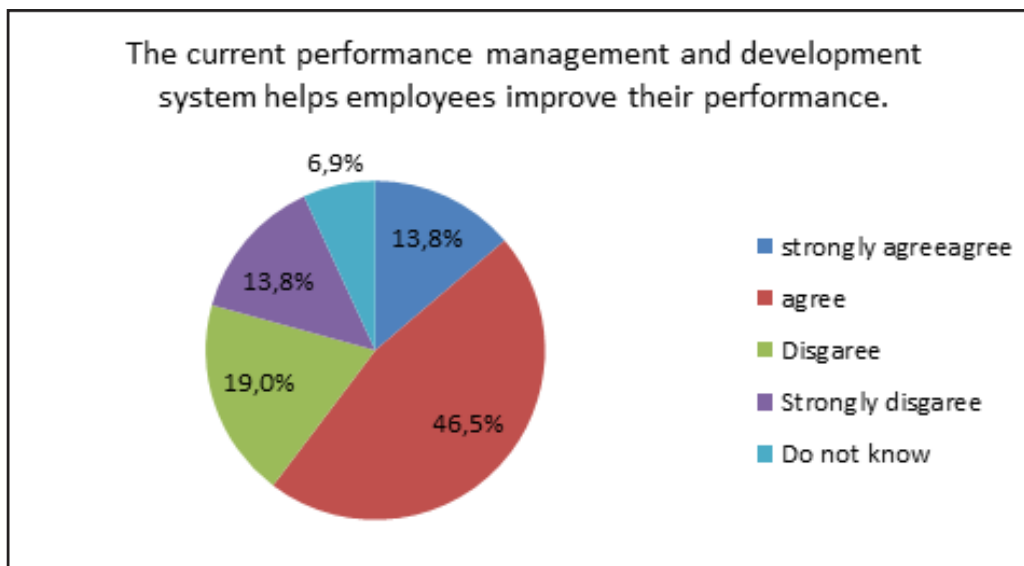
The chart shows that at least 40% (35.1% & 4.9%) of the respondents disagreed that appraising of employees using the current performance management and development system is a challenge due to lack of training and support from the responsible units, while on the other hand 38.9% (31.6% & 7.3%) agree that surely performing this task is a challenge due to lack of training, followed by those who indicated that they do not know who constituted 21.1%. The chart reveals that not all employees are trained adequately to understand the performance appraisal process by the responsible units. More training is required to ensure that supervisor have adequate skills when assessing employees performance as this could reduce grievances lodged by employees due to poor implementation of the system and biasness by supervisor and managers due to lack of knowledge and skills

Figure 18: Linking employee performance with organisational performance



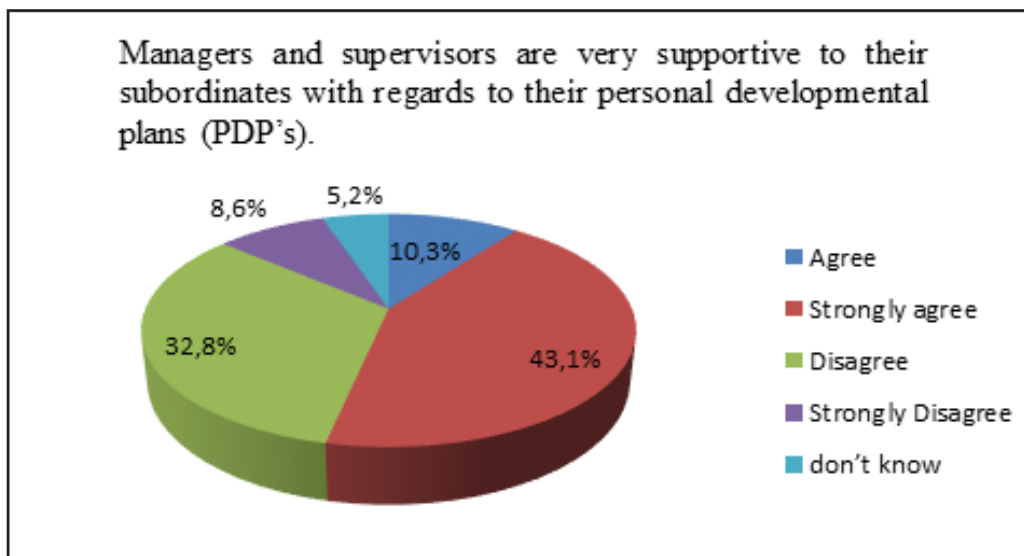
The chart shows that 71.2% (13.6% & 57.6%) of the respondents strongly agreed that employee's performance is linked with the organizational performance, while on the other hand 23.7% (18.6% & 5.1%) disagreed with statement, followed by 5.1% of those who indicated that they do not know. The chart reveals that the system working in this department, however, it has not achieved its full potential.

Figure 19: PMS improving employee performance



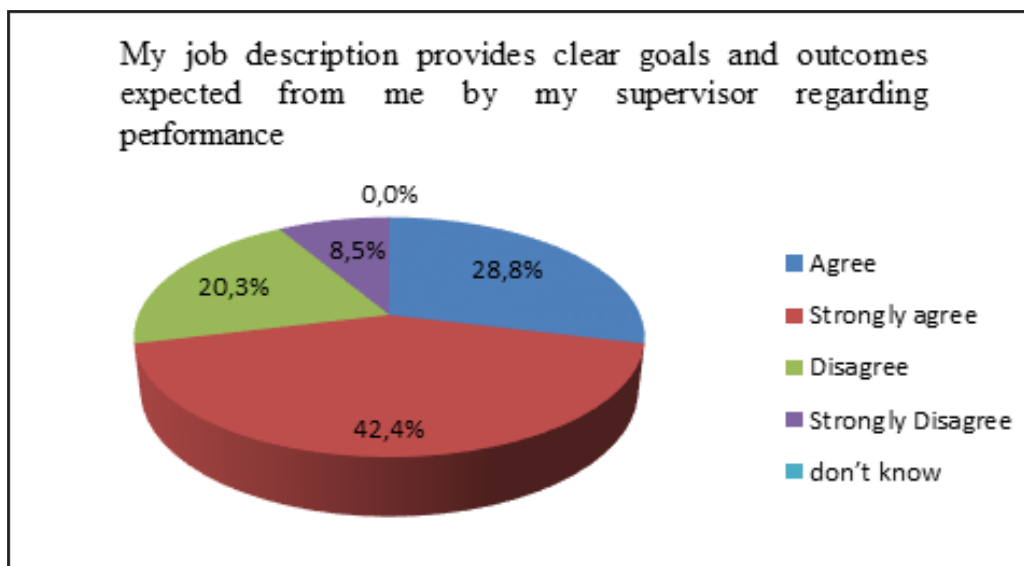
The chart reveals that 60.4% (13.8% & 46.5%) of the respondents agreed that the current performance management and development system helps employees improve their performance, while 32.8% (19% & 13.8%) disagreed with statement, followed by the last group who indicated that they do not know with 6.9%.

Figure 20: Managers and subordinates supports



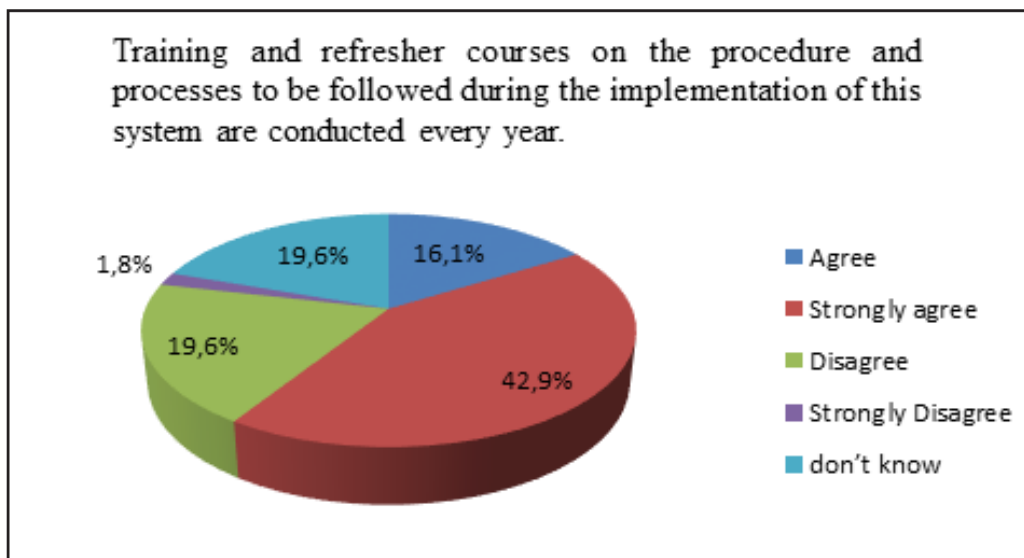
The chart shows that 53.4% (10.3% & 43.1%) of the respondents agreed that managers and supervisors are very supportive to their subordinate with regards to their personal developmental plans (PDP's), while on the other hand 41.4% of respondents disagreed with the provided statement, followed by those who indicated that they do not know who constituted 5.2%. The chart reveals that although there are managers and supervisors who are supportive to employee's personal developmental plans, but there are some employees who are not receiving the same treatment from their supervisors which might be the cause of some of the challenges which employees encounter when implementing this system.

Figure 21: Goals and outcomes



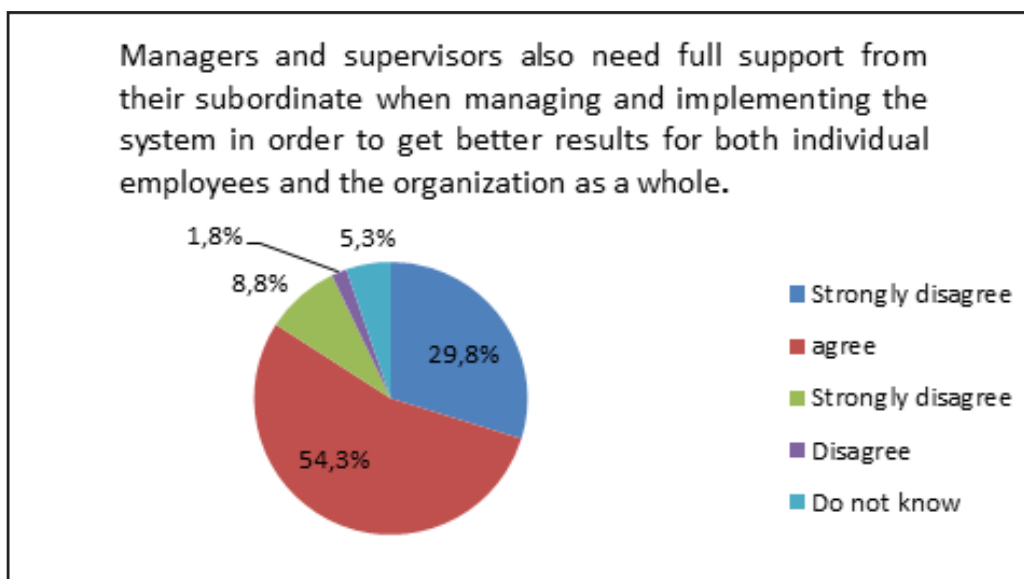
According to the above chart the study reveals that 71.2% (28.8% & 42.4%) of the respondents strongly agreed that their job description provides clear goals and outcomes expected from me by my supervisor regarding performance, which is a good thing, while on the other hand 28.8% (20.3% & 8.5%) disagree with the statement. The chart reveals that managers and supervisors are playing their role by providing clear goals and outcomes for their employees which helps employees understand and know exactly what they are expected to do in order for the organisation to achieve its intended results.

Figure 23: Training and refresher courses



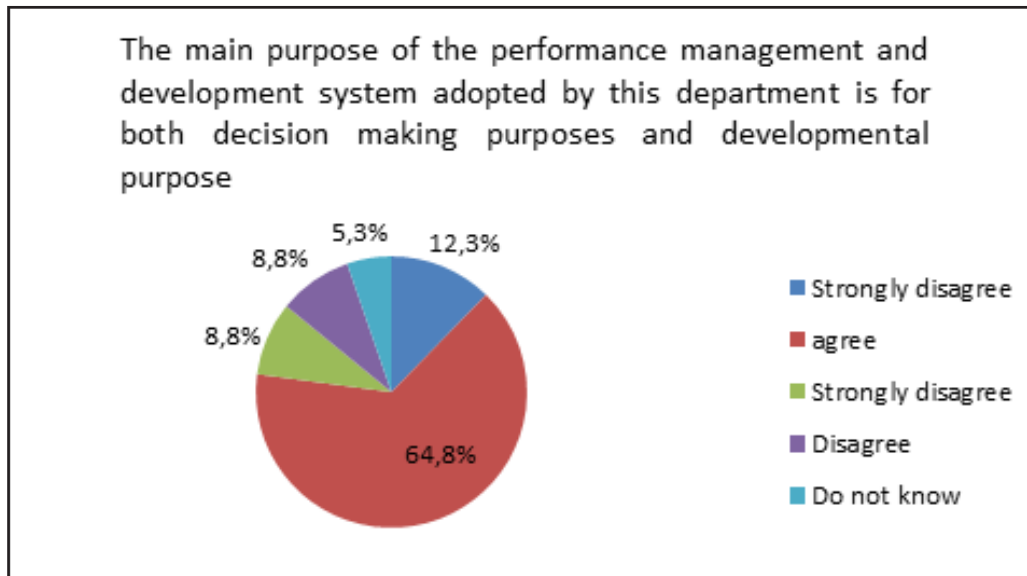
The chart shows that 59% (16.1% & 42.9%) of the respondents agreed that training and refresher courses on the procedure and processes to be followed during the implementation of this system are conducted every year, while 21.4% (19.6% & 1.8%) disagree with the statement, followed by 19.6% respondents who indicated that they do not know. The chart reveals that not all employees benefit the same from the training and refresher courses which are made available for employees on the procedures and processes to be followed during the implementation phase.

Figure 24: Managers and supervisor supports



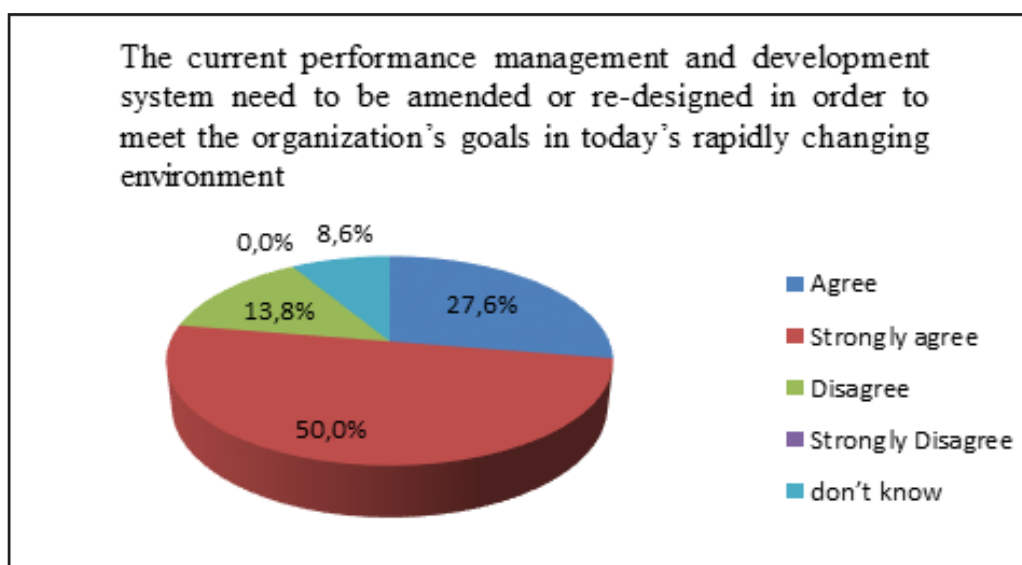
The chart shows that 84.2% (29.8% & 54.3%) of the respondents strongly agreed that managers and supervisors also need full support from their subordinate when managing and implementing the system in order to get better results for both individual employees and the organization as a whole, while on the other hand 10.6% (8.8% & 1.8%) of respondents disagreed with the provided statement, followed by the last group who indicated that they do not know who constituted 5.3%. The chart reveals that employees understand that their managers and supervisors need their support in order to ensure that they achieve the objective of the system and get better results for themselves and the organisation as a whole.

Figure 25: PMS for developmental purpose



The above chart shows that 77.1% (12.3% & 64.8%) of the respondents strongly agreed that the main purpose of the performance management and development system adopted by this department is for both decision making purposes and developmental purpose, while those who disagree constituted 17.6% (8.8% & 8.8%), followed by those who indicated that they do not know who constituted 5.3%. The chart reveals that performance management and development system in this department was primarily adopted for the purpose of decision making and employee development.

Figure 26: PMS to be amended



The study shows that 77.6% (27.6% & 50%) of the respondents strongly agreed that the current performance management and development system need to be amended or re-designed in order to meet the organization's goals in today's rapidly changing environment, while on the other hand 13.8% disagree with the statement, followed by those who indicated that they do not know who constituted 8.6%. The chart reveals that employees believe that if the current system can be redesigned better results could be achieved.

#### 4. DISCUSSION OF RESULTS

The demographic analysis of the participants in the study reveals that 92.3% of respondents' were black, followed by 3.8% of coloured and minority were white and Indian with the same percentage of 1.9%. The majority (35.8%) of the employees were between 7 and 8 and 9 and 10 (35.8%) salary levels, followed by employees who were on salary levels 5 to 6 with 20.8%, and minority were between salary levels 3 and 4 with 3.8%. Lastly those working on permanent basis constituted 92.5%, followed by those on internship (3.8%) and the fixed contract with 3.8%.

The second section of analysis focused on the general questions of the implementation of the performance management and development system (PMDS). The study reveals that 62.7% (6.8% & 55.9%) of the respondents believe that the PMDS is effective, 32.2% (25.4% & 6.8%) disagree with the statement, 5.1% stated that they do not know. 63.8% (24.1% & 39.7%) of the employees indicated that there are many challenges associated with the management and implementation of the PMDS, 29.3% (27.6% & 1.7%) disagreed followed by those who do not know who constituted 6.9%. The analysis reveals that even though the system is working, there are still many challenges associated with the way in which supervisors and managers implement the system in this department.

The study further shows that 69.5% (13.6% & 55.9%) argues that managers and supervisors fully support the implementation of the PMDS, while 25.4% (22% & 3.4%) disagree, and those who do not know with 5.1%. Majority 72.8% (20.3% & 52.5%) of employees believes that responsible units such as, Human Resource Development, Labour Relations, Human Resource Man-



agement provides full support during the implementation of the performance management and development system, while 17% (11.9% & 5.1%) disagree and those who do not know with little percentage of 10.2%. 71.2% (27.1% & 44.1%) believe that training and orientation on PMDS is always provided to newly appointed and old staff members in order to improve their performance, 20.4% (13.6% & 6.8%) disagree and 8.5% do not have a clue if that is happening.

Based on these analyses it is evident that managers and supervisor are doing their best to ensure that the system achieves its objectives. At least 44.6% (10.7% & 33.9%) argues that middle management services and senior management services do their performance management contracting on time each financial year, while 33.9% state that they do not know, and 21.5% (16.1% & 5.4%) disagreed with the statement. Respondents still argues that there are many grievances cases lodged due to the poor management and the implementation of the system, 20.1% (16.9% & 3.4%) disagree and 28.8% indicated that they do not know. The other contributing factor to poor management and implementation results from lack of experts to manage the system with 44.9% (5.2% & 39.7%) of employees who provides that lack of experts contribute to most of the challenges which they face in the department, 41.3% (29.3% & 12.%) disagree, and those who do not know constitute 13.8%. Employees understand the need of the PMDS as 67.8% (18.6% & 49.2%) disagreed that PMDS is time consuming and hinders the productivity of supervisors to perform other functions which contribute to service delivery. However some 28.8%

(16.9% & 11.9%) employees believe that the management and implementation of the system is truly time consuming.

Majority 57.6% (33.9% & 23.7%) of employees are not happy with the management and implementation of the PMDS, 27% (22% & 5.1%) are happy and 15.3% which (some of whom are interns) indicated that they do not know. The other factor which is the cause of employee dissatisfaction is that 48.3% (13.8% & 34.5%) of employees believe that managers and supervisors are biased when assessing employee's performance, 29.3% (20.7% & 8.6%) disagree and 22.4% state that they do not know.

The study further shows that 75.4% (17.5% & 57.9%) employees agreed that the department has the intermediate review and departmental moderating committees, while 19.3% indicated that they do not know, and 5.3% (3.5% & 1.8%) disagreed. At least 40% (35.1% & 4.9%) of employee disagree that appraising of employees using the current PMDS is a challenge due to lack of training and support from the responsible units, 38.9% (31.6% & 7.3%) agree that appraising is a challenge due to lack of training, and those who said they do not know constituted 21.1%. Linking employees' performance with the departmental performance is another key factor to success while using the PMDS to assess their performance and 71.2% (13.6% & 57.6%) of employees claim that they are doing it while the other employees disagree and those who do not know constitute 5.1%.

Majority 60.4% (13.8% & 46.5%) of employees believe that the current PMDS helps employees improve their performance, while 32.8% (19% & 13.8%) disagree and those who claim they do not know constituted 6.9%. It further reveals that majority 53.4% (10.3% & 43.1%) of employees stated that managers and supervisors are very supportive to their subordinate with regards to their personal developmental plans (PDP's), while 41.4% disagree and those who indicated that they do not know constituted 5.2%. 71.2% (28.8% & 42.4%) agreed that their job description provides clear goals and outcomes expected from them by their supervisors regarding performance; however 28.8% (20.3% & 8.5%) disagree. It is evident that managers and supervisors are playing their role by providing clear goals and outcomes for their employees which helps employees understand and know exactly what they are expected to do in order for the organisation to achieve its goals.

Training and refresher courses on the implementation and procedures of PMDS is one of the most fundamental elements in order to ensure that the employees understand the process to follow when adhering to the system policy. 59% (16.1% & 42.9%) of employees argue that training and refresher courses do take place during the course of the year, while some 21.4% (19.6% & 1.8%) disagree followed by 19.6% of those who said they do not know. Majority of employees 84.2% (29.8% & 54.3%) understand that managers and supervisors also need full support from them when managing and implementing the system in order to get better results for both individual employees and the organization as a whole, while

10.6% (8.8% & 1.8%) do not support that and those who do not know constituted 5.3%. The study reveals that 77.1% (12.3% & 64.8%) agreed that the main purpose of the PMDS adopted by the department is for both decision making purposes and developmental purpose, 17.6% (8.8% & 8.8%) disagree and those who do not know constituted 5.3%. Lastly, majority 77.6% (27.6% & 50%) of participants agreed that the current PMDS need to be re-designed in order to meet the organization's goals in today's rapidly changing environment, 13.8% disagreed those do not know constituted 8.6%. It is evident that majority of employees believe that the current system cannot achieve its goals unless it is redesigned to meet the needs of the employees who are managed by the same system.

## 5. CONCLUSION

This article analysed the current state of the implementation and management of the performance management and development system in the Department of Arts and Culture. Based on the analysed results, it is clear that majority of employees are not happy with the management and implementation of the system. Issues such as lack of experts, biasness and poor support from managers with regards to addressing their personal developmental plan contribute a lot towards their unhappiness. Employees believes that in order for the system to achieve its goals it needs to be redesigned to meet the needs not just only to focus on meeting the organisational goals by using the very same employees who are not happy with how the system is being managed.

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# THE SIGNIFICANCE OF TRANSFORMATIONAL LEADERSHIP IN PURSUING GENDER PARITY IN THE DEPARTMENT OF SOCIAL DEVELOPMENT, LIMPOPO PROVINCE

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## ABSTRACT

*This paper investigated how transformational leadership can be used to pursue gender parity in the Department of Social Development, Sekhukhune District. A large volume of literature reveals that transformational leadership motivates and develops both the leader and the follower. This paper argues that senior management levels are still mostly held by men who cannot adopt transformational leadership to pursue gender parity within organisations. Since there are fewer women in senior managerial positions, most women tend not to apply for senior posts as they do not have role models, coaches, supporters or mentors. Hence, women are based in lower administrative and human resources positions. The study is qualitative in approach and uses literature to argue that transformation in the Department of Social Development is taking place at a snail's pace. Furthermore, it expresses that leadership plays an important role in setting the direction and tone for women empowerment in the Department of Social Development. Literature has shown that women are faced with multiple challenges that hold them back, compared to their male counterparts who have a lot of growth opportunities.*

*Keywords: Gender parity, Equity, Transformation, Leadership.*

## 1. INTRODUCTION

Transformational leaders bring out the best in every follower which ultimately make the followers to become more committed and satisfied (Hickman, 2010: 77). These followers are essence of the organization and their full involvement enables their abilities to be used for the organization's benefit. Furthermore, the followers' individual needs and personal developments are encouraged. According to Hickman (2010), transformational leadership involves inspiring followers to cherish and share their potential aligning it to vision and goals of the organization. Moreover, transformation leaders stimulate followers intellectually; lift their moral and developing innovative problem solvers through coaching, monitoring and sup-

port. An individualized consideration component as outlined by also Hickman (2010: 78), stresses that colleagues and followers develop their potential successfully through individual coaching and monitoring. Likewise, Jacobsen (2011) maintains that gender inequality pervades the world and that a lot still has to be done to rectify this anomaly. Nevertheless, governments have come with a number of interventions and policies to address gender inequality and to bring about transformation in organisations. However, change has taken place at a snail's pace. For this reason, the study proposes transformational leadership as one of the interventions to be considered in addressing gender parity in the Department of Social Development in Sekhukhune District.

South African organisations have to transform so that they can benefit from the expertise that is brought about by diverse workforce, especially women. Blackburn & Jarman (2005) notes that gender stereotypes result into gender segmentation within the organization. Smaller percentage of women within the organization has lower chances of reaching the top. Despite the rising number of women within the labour market, women still face difficulties in reaching the top, particularly in male-dominated organizations. Unfortunately, in female-dominated organizations, men still hold top positions. Altman *et al.* (2005) explains that with the current changing world, legislature assist women to penetrate into the managerial position. Women are slowly moving from lower and middle management level positions to senior positions. Thus far, women are underrepresented in senior management level (Nielsen & Huse (2010). Valerio (2009), emphasises that the scarcity of women in senior positions makes it more

difficult for women to imagine themselves in higher positions.

Coffman, Gadiesh and Miller (2010) observed that women enter the workforce in large numbers, but over time steadily disappear from the higher echelons of the organisations' hierarchical structures because organisations are still not convinced of the business case for gender parity. Hence men still occupy most senior positions in organisations. There is limited information on why women are not being given equal opportunities as their male counterparts in organisations and if organisations are resisting change or not. Organisations deprive the country of leadership expertise that could have been tapped from female leaders. Furthermore, girls that are still growing will not have enough mentors or role models to emulate and the vicious cycle will continue.

## **2. OVERVIEW OF GENDER AND TRADITIONS**

Socialisation encourages men and women to adopt gender roles and hold them as personal ideas for themselves or see them as a way of living, enhancing and support patriarchy and its structures and thus sanction women's oppression, Valerio (2009).

According to Patel (2010), gender roles are upheld whereby men are viewed to be heads of the household and breadwinners while women do all domestic work and childcare. Gender continues to be socially constructed, whereby different gender roles expectations and responsibilities are attached to women and men. Furthermore, gender roles led to how jobs were distributed across the world, Chin and Trimple (2015; 199). Society judges men through

their career advancement. When men are secondary careerists they are deemed to have taken a negative move (Hutching & Michailova, 2014).

Women suffer from prejudice, a wide disparity exist between men and women with men frequently enrolled with careers that are heavy duty such as engineering while women are enrolled in careers which are caring in nature, such as Social Work, Teaching and Nursing, (Hills :2015). According to Hickman (2010), women are culturally associated with communal qualities, which express caring, helpfulness, friendly, sympathetic and kind, just to mention a few. Furthermore, women are occupationally discriminated against, as they are predominant in jobs of inferior status, and with fewer women present in the managerial positions. Hoobler, Lemmon and Wayne (2011: 152), explains that men and women are different: men prefer high stakes environment of senior management, while women choose environment with lesser challenges. These explanations are stated to the role testosterone plays in male risk-taking and the role oxytocin and empathy play in women choice of career choice. Women tried to reach gender parity, sadly their genetic makeup won out in the end. The differences in career achievement are motivated by natural differences between men and women. Hoobler, Lemmon and Wayne (2011), outlines that individuals tend to associate male characteristics with leadership positions. Unfortunately, women are not considered to have good leadership skills and do not suit senior management positions. Therefore women are marginalised into functions such as administrative services and human resource not on positions where they can take responsibilities for

the loss and profit of the organisation.

During mid-1960 women grew into the knowledge-based and service economy reaching 40% workforce, at the time Social Work, Teaching and Nursing where the only professions emphasized, Patel (2016). From 2008, there were more women than ever before in the workplace (Valerio 2009: 14). Hills (2015) cited Robinson (2014) stating that women in South Africa's Parliament increased from 2.7 per cent to 27 per cent immediately after 1994 elections. In 1999, it increased to 30 per cent, 33 per cent in 2004 and 44 per cent after 2009 elections. For this reason, South Africa's legislature had become among the top ten most reproductive in the world. The Women Empowerment and Gender Equality (WEGE) Bill has been seen as a prospective law in South Africa which aims at forcing all organisations, corporations and government departments to have 50 per cent women on their decision-making bodies. The Constitution of South Africa, Act No 108 of 1996, acknowledges equality between men and women. In addition, the *Employment Equity Act No 55 of 1998* introduces affirmative action for designated groups. The law made it clear that discrimination in employment on the basis of sex, race, colour, religion and national origin is unlawful. While much progress has been made in overcoming apartheid policies and in adopting new macro social policies with high impacts, shortfalls exist in implementing the policies, Patel (2015).

Although there is legislation accessible for all organisations, most organisations are ignorant of it. In some organisations, there are developments of employment equity plans which are yet not implemented. Generally,

some organisations do not put much effort into implementing available legislation and policies in place (Hills, 2015). According to Hoobler, Lemmon and Wayne (2011: 152) family-work conflict bias refers to “just being a woman signals to a manager that her family will interfere with her work, irrespective of whether or not that woman actually has children of a certain age”. Nowadays the family-work conflict is obvious. Moreover, women head the majority of single parent households, and remain responsible for greater parenting duties in most two-parent households, therefore not forming part of the ideal manager who is available to stay late, come in early and sacrifice for the company.

Women who bring their children to near site childcare facilities may make their roles as mothers more noticeable to their superiors, which may require the women work schedule flexibility to accommodate family responsibilities which conflicts with the ideal manager's expectations, Hoobler, Lemmon and Wayne (2011: 154). When women have the responsibility to balance dual roles, one role tends to be prioritized, (Hutchings and Michailova : 2014). Gender boundaries among other challenges faced by women result in tension between family and marital status which leads to women holding their career to prioritize their marriage. Women begin to be doubted once they become mothers as they sacrifice for their marriage more than men do, according to Hutchings and Michailova (2014: 24). Hickman (2010: 442) stated that women leaders find it difficult to be accepted in leadership positions as they find themselves in a double bind. When highly communal they are criticized for not being agentic enough. On the other hand, when highly

agentic, they are criticized for lack of communion. Either way, they still do not portray qualities for a managerial position. When a woman is assertive, subordinates take it as being cheeky yet would receive it better if it came from a male manager, Patel (2016). When women leaders are firm it is taken as a correct way for a leader to speak but incorrect for a woman to speak. Women are labelled “control freaks” when speaking up, yet men are labelled as “passionate” for the same reason. Disturbingly, women's assertive behaviour appears to lessen their chances of getting a job or escalating in their career, (Hickman: 2010).

According to Chin and Trimple (2015), women managers are often expected to take charge and lead like their male colleagues yet at the same time expect them to be caring and nurturing as culturally expected. Furthermore, they are expected to impress others as good leaders and as good women. The challenges of having to overcome the biasness of being labelled as “too masculine” or “too feminine” lead women managers to a relatively androgynous style that incorporates both masculinity-feminine approaches. Women managers experience pressure of meeting expectation of being caring in and out of their homes. While on the other hand, men managers focus on themselves and regard other things as beyond their control, therefore this leaves them with no pressure experienced.

According to Mor Barak (2011), women are preferred to solve work-related conflicts by compromising and negotiating with others, yet men are preferred to be assertive, ambitious and competitive, mostly confrontation is common in resolving conflicts. For

this reason, masculine-femininity studies led a goal to achieve equality between men and women. Chin and Trimple (2015) cited Ghei and Nebel (1994) enlightened that effective managers use both masculine and feminine approach to resolve conflict, depending on the circumstances. Hoobler, Lemmon and Wayne (2011: 151) showed that women at lower and middle management positions have improved; however, the same cannot be said about senior management positions. Underrepresentation of women in senior leadership is problematic for several reasons. Lack of women on senior management indicates to women at lower management that aspiring to a senior management is untenable. Since men are at senior positions responsible for recruitment, attainment and development, it will take long to have women in senior positions.

According to Hills (2015: 165) there is also a challenge of women at the top not supporting others. At times, men tend to assist women to the top yet women kick the ladder down for other women preventing them from using the same ladder to get to the top position. Hills (2015: 165) also mentioned the issue of women being jealous of one another stating that "Anyone who has not experienced jealousy at the office is either lying or in deep denial", cultural jealousy is highly common among women in the organizations. Moreover, highly qualified and experienced women may not apply for senior positions, Hickman (2010). Furthermore, it is stated that women take a slow pace in breaking through the glass ceiling when it comes to senior management positions; this is due to concrete wall barrier (Valerio, 2009). Unfortunately women are underrepresented in senior positions

and such implies that there are few experienced women mentors to females in lower organizational hierarchy.

According to Hickman (2010), due to their role in the non-work domain women tend to have less time to socialize with colleagues and building professional networks. Fast-tracking managers spend more time and efforts into socializing and networking with outsiders than did their less successful counterparts. Additionally, networking is more necessary to management career advancement. Even when given enough time, women find it difficult to network if they are in minority. Breaking into hard masculine networks makes it harder. Family-work conflict bias has been found to be a reason for women's underrepresentation in senior management, Hoobler, Lemmon and Wayne (2011). Likewise, Valerio (2009: 89) explains that women candidates often find themselves on the glass cliff, appointed to senior management positions when the organisation is experiencing greater risk. When the risk occurs, they must face the consequences, blame and criticism.

According to Hoobler, Lemmon and Wayne (2011) when enough women are in the pipeline, they will eventually hold senior management positions which may be equal to men. According to the National Center for Education Statistics, there were many women who graduated with higher degrees yet only a few women hold senior management positions. Women have gained the requisite experience and education, yet not on senior positions. Nevertheless, Hickman (2010: 441), states that even in occupations such as Librarianship, Social Work, Teaching and Nursing dominated by women, men ascent to higher position more quickly than



women. Organisational policies enables women to have more family responsibility leaves such as paid maternity leave which lead to women working less hours than the men counterpart. Indirectly, organization policies benefiting women have unintended consequences of stigmatizing women's career path, Hoobler, Lemmon and Wayne (2011). According to Valerio (2009), even into the 1960s, it was acceptable for women to work yet stop working during pregnancy and stay at home to raise children. Moreover, unlike before, families consisted of five or more children. From the 1960s contraceptives were introduced and children were planned and reduced, which brought more women into the workforce. Women multiple roles reduce experience and development leading to reducing their chances of managerial advancement compared to men (Tharenou, 2005).

Valerio (2009) argues that the challenge of maintaining dual roles does not only affect women. She explains that most recently, younger generation of fathers are now involved in domestic responsibilities and the upbringing of their children. Most men struggle as well to integrate a leadership position and being a father. Furthermore, child-caring is no longer a women's work, men are also involved. The focus on the restructuring of domestic work and childcare is a positive developmental movement encouraged by organizations such as Sonke Gender Justice Network that promotes gender equality. However, such organizations do not take single parents into account, which has become a reality in South African families. Not only children are cared for, relatives, the sick and older persons are included.

Hickman (2010: 444), states that people do

not realise that childcare care provided by mothers has increased compared to previous generations and despite the fact that fathers had also increased time in child caring. Even though fathers are involved in domestic work, family-work conflict has not yet eased for women. Moreover, much pressure has been offset for intensive parenting and increasing time for career position or escalation. Budlender (2008) stressed that women spent more time on care work than men in South Africa which is not unusual internationally. Governments all over the world have been continuously engaging in discussions on the best approach to be used to increasing women's representation in leadership positions (Hills, 2015). Furthermore, efforts have been imposed by legislation on gender quotas. Organizations are encouraged to include women in their decision making team and non-complying organizations in their annual report must provide reason why they had fallen short and explain what they plan to do. Hills (2015:154) argued that since 2013 there have been developments in Germany, leading to legislation being adopted equal participation on both men and women in managerial positions in private and public services. Moreover, it is explained that Australia, Britain and Sweden governments have to impose quotas if organizations do not appoint more women managers voluntarily. South Africa has performed well in the global movement towards closing the gender gap.

### **3. CULTURE**

Jyrkinen (2014: 176) states that "senior managerial positions are traditionally held by older men, and many women's careers

stagnated in middle management already at an early stage". It becomes clear that culture builds a leadership character in men from an earlier stage. Furthermore, Chin and Trimple (2015), mention that cultural factors influence individual perceptions and organizational culture. Moreover, it has been outlined that men are more likely to demonstrate laissez-faire leaders, often absent and uninvolved until problems become severe before intervening. In contrast, women are involved, encouraging and rewarding appropriate behaviours. For today's changing global organizations, a transformational style is suitable as countries put equity in their governance. Despite the fact that world-wide countries put equity as one of their governance women are still held back by the following multifaceted challenges:

### **3.1 Domestic and cultural practices**

"Whether you are a man or woman, you are affected everyday by decisions made by leaders in organization", Valerio (2009: 11). Historically and culturally, most of these decisions have been made by male leaders. Egan and Bendoric (1994) explain that men are at a decision making position that are affecting women's career. Managers (decision makers) depend on the interview, whether they like the applicant and their gut reaction. For this reason, it is argued that men give recommendations that favour them. "Decision makers often assume that mothers have domestic responsibilities that make it inappropriate to promote them to demanding positions", Hickman (2010: 444). Valerio (2009) noted that although the Constitution of South Africa, 1996 guarantees the right to equality, established cultural norms and beliefs are often at odds with the

county's constitution. The government and judicial system have endlessly upheld the rights to women against oppressive cultural practices. Despite of the efforts placed by the government, women still continue to be oppressed by a number of cultural norms and believe practiced and to some extent religious practices as well. South Africa has a rich heritage which is unique among other countries, giving good identity and traditional recognition. Society judges men through their career advancement. When men are secondary careerists they are deemed to have taken a negative move, (Hutchings and Michailova :2014). Proverbs such as "Ya etwa keya tshadi pele, ya wela ka leopeng" (those who are led by a female leader fall into dongas). This proverb does not promote women leadership. It reflects how women leadership is not supported nor given recognition. According to Valerio (2009: 80), when women show behaviours that are outside prescriptive gender norms, they are turned to be disliked. For this reason, women encounter resistance in leadership by others. When it comes to leadership behaviours, people are more exceptive to men behavioural latitude than those portrayed by women.

### **3.2 Limited pool of women who possess the required skills**

According to Hills (2015), there are limited women who possess leadership requirement skills and talents to operate in the corporate environment effectively. Most women in the organization do not qualify to be appointed into management level as they have not yet acquired skills that can make them probable to be managers. Moreover, Hutchings and Michailova (2014:

28) cited Miller et al., 2004 explaining that Human Capital theory states that “people are awarded for their previous investment in education and training”. The theory suggests that women have less human capital to contribute in the labour market. In contrast, women who have invested in their education, spending years building their careers and therefore fit in the management profiles have a desire to follow or have followed an entrepreneurship path and had created their own companies. Valerio (2009:15), these talented women start their own businesses, “where their entrepreneurship allows them flexibility and freedom.”

### **3.3 Women not taking ownership**

Women are supported by the legislature and the government has a number of programmes aimed at developing women and achieving gender parity. However, women are not doing enough to succeed to climb the leadership ladder and command respect in the boardroom, Hills (2015: 164). Moreover, women not like men, argue less for higher salaries or performance reviews and argue for promotions. Most women are fearful of removing obstacles and not confident enough to break barriers. Ultimately, women hold themselves back in their careers. Hutchings and Michailova (2014: 22), cited Fischlmayr (2002), report that women knowingly behave in accordance to stereotypical expectations and therefore portray low self-esteem.

### **3.4 Gender Bias in hiring**

Hills (2015) cited Hmurovic 2012, explaining that women are evaluated less positively

than equally qualified men when applying for jobs that are stereotypically believed to belong to male, such as leadership roles. Moreover it has been discovered that at times leadership hiring criteria are adjusted to advantage men. Hmurovic furthermore reveals that there is biasness in hiring women for leadership positions. Valerio (2009), states that the notion that it was too risky to employ women as they will leave their job to raise their children contributed to the gender biasness in hiring. Furthermore, “gender stereotypes are commonly described along lines of agency and commonality” Acar (2015: 225). Agency involves traits such as aggressive, dominant, self-confident and likely to act as a leader. Women face gender bias through stereotypes resulting to unequal treatment. Acker (2010) outlines that stereotyping and prejudicing women result in unequal treatment. Furthermore, women experience problems establishing rapport and lack of support as managers. According to Hickman (2010: 441), men still have benefits of faster promotions and higher wages. Furthermore, it is noted that promotion comes slowly for women compared to their male counterpart with equivalent qualification.

Rein (2009) disputed that women often complain about the glass ceiling but more often it is their fault when they do not get promoted, they simply do not ask for a promotion or a raise in a salary as often as men do. They believe that if they continue to put more effort into their work and be loyal to the organisations, they will be recognised and get promoted; unfortunately that strategy does not always work. Women should learn to be vocal about their achievements, be visible and be as demanding as their male counterparts.

### **3.5 Pay parity: the remuneration inequality**

Hickman (2010) expresses that women still earn lower than men. According to the World Economic Forum (2013), South Africa still has the element of sexist leading to a patriarchal society. It is revealed that women still earn less than their male counterparts on average. The 2013 statistics revealed that South African women earn at least 33 per cent less than their male counterparts for the same work. Valenrio (2009) aligns with what had been stated by the World Economic Forum (2013) mentioning that it is reality that payments among men and women are still unequal. Budlender and Francis (2014) confirm that women earn less than men counterparts although at the same educational level.

“No country in the world has yet achieved equality between men and women” Hills, (2015: 173). According to the World Economic Forum's Global Gender Gap report (2013), majority of the countries made slow progress on closing the gender inequality gap. It has been placed on record that Scandinavian countries make the most progress followed by Finland and Norway, being the top three. Nevertheless, South Africa is one of the top twenty countries. The year 2009, South Africa was ranked 06<sup>th</sup> and dropped to 12<sup>th</sup> in 2010. However, South Africa is ranked higher than developed countries such as United States, United Kingdom and Germany.

### **4. CONCLUSION**

According to literature, organisations with women in leadership value diversity of

thought and experience which becomes a good reputation of the organization. Therefore, appointing women in leadership position is a good and smart business and a proactive image for the organization. Women face many challenges attaining leadership position and even after attaining the positions, Acar (2015). Recently, most women have been working towards breaking through the glass ceiling to attain leadership positions. Unfortunately they still face challenges after breaking through the glass ceiling. Acar (2015: 224) cited Haslam & Ryan, 2008 and Bruckmuller, Ryna, Rink & Haslam, 2014 arguing that challenges such as the absence of mentoring and coaching, work-family challenges, glass cliff prevent women from rising in the corporation based on their gender.

Transformational leadership is supported by a large volume of literature which reveals that most women more successful than men in transformational leadership. Policies had been placed, therefore it becomes essential for organizations to implement legislature to help equalize the leadership field and balance the gender inequality in the workplace. A woman manager could be delegated the role to lead a transformation leadership approach that would involve mentoring, coaching and support as well as conveying the message to the staff that has a transformational focus. Transformational leadership is a skill that can be developed and fostered in followers. It can therefore serve a role of a touch-barer to help equalize the transformational leadership gender imbalance which is currently impeding gender parity progress in the current global economy.

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# KEEPING COMMUNAL PROPERTY ASSOCIATION'S NOSE ABOVE WATER: ISSUES, TRENDS AND CHALLENGES OF MORE-TELE CPA AT VAALBOSCHHOUT FARM.

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## ABSTRACT

*It is a common cause that people that file claims for land restitution purposes file same with good intentions and as such they deserve to be given a hearing and be given those pieces of land that rightfully belong to them. What remains a big question is whether these claimants put the land they have claimed into good use or not. Often and at times, this is not the case. The paper tries to find the reasons why the acquired land is not utilised to profit the heirs. Also, land reform has not reached all its intentions. The paper will furthermore outline the intentions the intentions of government by introducing and implementing this land restitution programme. Whilst the government has registered a remarkable in getting the programme up and running, it has become very apparent that the programme is dwarfed by challenges that CPA's encounter on daily basis. The communities in the CPA's are involved in conflicts over the resources.*

**Keywords:** land restitution, land redistribution, government, Communal Property Association (CPA)

## 1. INTRODUCTION

The political inequality gave rise to land being taken by the minority white people. Black Africans have experienced a long period of land dispossession and alienation (Gordon, 1988, Mbongwa,et.al 1996, The World Bank, 1994 and Ngqangweni, 1996. The first democratic elections in South Africa changed the political landscape of the country. The results of the elections were that all people should be treated equally and that issues of land should be addressed in a way that the previously disadvantaged people are assisted to acquire land. Hendricks (186) purports that the democratic government has inherited a problem of monumental proportions. Few people are still suffused with the euphoria of democracy that they are not sanguine about the enormity of the task at hand. Many people were forcefully removed from their forefathers 'land and crumply dumped in arid, infertile pieces of land. The land thieves settled themselves in good places where they could derive lot of benefits. Blacks according to Hendricks (2015, 1990) could not own land in the reserve areas either since communal system administered by chiefs and herdmen, in consultation with local magistrates, allowed usufruct rights and access but there was to be no land mar-

ket. The aim of the White Paper on South Africa Land policy (1997:7) was to address the apartheid legacy to contribute to economic development by giving households an opportunity to engage in productive land use and by increasing employment opportunities through encouraging greater investments. The usherance of the new democracy elevated the integrity of the black people by giving them back their land. It is not surprising that the Constitution even stresses that:

A person or community disposed of property after 19 June 1913 as the results of the past racially discriminatory laws or practises are entitled to the extent provided by an Act of Parliament, either to restitution of that property or to equitable redress. (RSA Constitution, 1996:12). It is against this background that people were given back their land. Furthermore, the White Paper, according to Hendricks, (192) on Land policy stipulated the following: Redressing the injustices of the past, Fostering national reconciliation and stability, Underpinning economic growth and improving household welfare by alleviating poverty. The policy of land redistribution aims to broaden access to land for the dispossessed by purchasing white-owned land and transfer public land to targeted individuals and communities (Hendricks 192-3).

Moretele Communal Property Association has been formed by communities from different places such as Dihibidung, Moseitha, Marapyane, Pankop, Mmamethake and Lebotlwane who were forcefully removed from Vaalboschhouthfarm by the apartheid regime. The new dispensation saw the need to take these people back to their land. The farm is so big and has to house back

more than 200 households. The main overriding objective of this study to assess the production level of the farm and determine whether these people, from different backgrounds now can come together, work harmoniously and move on to greater heights with their communal association. The paper is intended to investigate reasons why land is lying fallow and not used as intended. The government has played a big role in providing people with land but it still appears that in other areas land never gets to be put into good use. The study will try and find the reasons for this inadequacy. To a little extent the study will determine the role played by government to support these people to a sustainable farming business.

## **2. PAST POLITICAL LANDSCAPE**

The political inequality gave rise to land being forcefully taken from blacks by the white minority that settled in the Cape. People lived on barren land that was not good for any commercial activity. People that wise fully stole land from these blacks chose the pieces of fertile land where they could benefit. The first democratic elections in South Africa brought about the change in the political landscape of this country. People were involved in elections so that they could be free and access the land their forefathers inadvertently gave to the white colonists. The main intention of the democratic dispensation was to bring about equality so that South Africans should enjoy wide range of civil liberties such as equality before the law. Unfortunately, there are still serious disparities in wealth and poverty. On average, people that are rich are whites and the majority of blacks are living under poverty line. During the first five years of South Africa democracy, redistribution



was effected mainly through the once off payment of a settlement/ land acquisition Grant (SLAG) of R16 000.00 which beneficiaries could use to acquire and develop land on the open market (Hendricks, 193). The R16 000.00 was to be used in the buying of the land but because it was so little, the households pulled the money/grant to form a trust or a communal property association. The Communal Property Association (CPA)

was a legal entity capable of entering a deed sale with a willing seller and having the land registered. This was how the CPA's were formed. Strictly speaking the CPS's were developed to assist the previously disadvantaged people who were, because of all these poor. The table below represents the hectares occupied by whites over the years before redistribution came into play that were approved by government as a form of redress.

Year Approved	Hectares
1995	11,171
1996	68,887
1997	140,527
1998	273,416
1999	174,286
Total	667,285

Source: <http://www.nlc.co.za/mdredis.htm> in Hendricks p.193

By 1999, the government approved half a million hectares for transforming to the previously disenfranchised majority as shown on the table above. The above figure already redistributed has been taken from almost 83million hectares used by farmers in the country.

### 3. THE SMALLER PICTURE

There is deterioration in the farm as compared to the period when it was still in the hands of the white person. The fence is almost bad and needs to be revamped. The demarcations that were previously there are no longer there and animals are running loose and not channelled to graze in a particular portion for a particular period of time. The farm house is not taken care of. It is dilapidated and needs renovation. No one seems responsible for these inadequacies. The government started an initiative of addressing the imbalances of

the past by giving back the land that was previously grabbed from the black people by the whites. This is a good move of ensuring that land is distributed fairly and that it is also used profitably. After people get back their land, they fold arms and still look up to the government to continue funding them. In other quarters, they settle in the farms and do absolutely nothing. There are many communal farms where there is nothing being produced from the farms that were so profitable when were still managed by whites. Often times as soon as people get to the farms the first thing they would do is to check what can be looted and be taken home. They 'steal' basically everything, starting from small things to very big farm equipment, not even having it at the back of their minds that the very machinery and equipment would assist them with the running of the farms. Committees installed by the communities also have their hands in the till and swivel money that can-

not be accounted for. More often than not the community itself bring all the animals to that farm without checking the carrying capacity. The farms end up being badly overgrazed. All these problems compound and gravitate into serious problems that consequently and subsequently end up in conflicts, cliques and unnecessary tensions. The other problem staring in the faces of the black farmers is that they are not entrepreneurial. Most of them farm with animals only whilst those doing crops are also so few. These farmers greatly rely on rainfall for the sustenance of their farming. They cannot grow grass, cut it for future use or even engage in crop farming and so that they can after harvesting, make fodder for their animals. " The racism of apartheid is clearly manifest in the manner in which white rural dwellers were encouraged to modernise their agriculture through subsidies, grants, transport concessions, favourable credit facilities, tax relief, marketing board and the ready availability of cheap labour while blacks are denied the wherewithal to undertake proper farming (Hendricks,190). This has and will continue to widen the gap between rich and poor. The paper intends to find answers to the following questions.

- Why do people in CPA's having never ending conflicts?
- How profitable are the CPS's?
- What is the distribution of membership in terms of gender and
- What and how is the support from government to the CPA's?

## **5. LEGISLATIVE FRAMEWORK AND POLICY IMPERATIVES**

In trying to redress the imbalances of the

past, the government came up with various strategies aimed at addressing problems that precipitated from apartheid. The issue of land remained an eyesore. South Africa however is praised for having a good constitution in the whole world. Enshrined in the constitution is RDP (Reconstruction and Development Program) which purports the following pronouncements:

The state must take reasonable and other measures within its available resources to foster conditions which enable citizens to gain access to land on an equitable basis.

A person or community whose tenure of land is legally insecure as the results of past racially discriminatory laws or practices is entitled to the extent promulgated by an Act of parliament, either to tenure which is secure or to comparable redress.

A person or community disposed of property after 19 June 1913 as the results of past racially discriminatory laws or practices is entitled to the extent provided by an Act of parliament either to restitution of that property or to equitable redress (RSA constitution, 1996:12).

The constitution is a reflection of conflict in South Africa between the full citizenship of blacks and the preserved privileges of whites, and the political equality of citizenship and the economic inequality of class. This constitution empowers government to institute land reform measures. The White Paper emphasized that current land ownership and land development patterns strongly reflect political and economic conditions of the apartheid era, and that ra-

cially-based land policies were a cause of insecurity, landlessness and poverty among black people (White Paper on South African land policing (1997: V). South Africa boasts with three land reform programmes viz land restitution, land redistribution and land tenure reform. Land restitution restores land and provides other restitutionary remedies to people disposed by racially discriminatory legislation (White paper on South African land policy (1997) 52-60. Land redistribution component provides the landless poor, labour tenants, farm workers, women and emergent farmers with access to land for residential and productive use in a bid to improve their income and quality of life. Lastly, the land tenure component seeks to bring all people occupying land in South Africa under a unitary, legally validated system of land holding (White Paper on South African land policy (1997) 60-75). As already stated, the main purpose of land reform is to improve the lives of people. If land reform is not done, people will continue to be poor. According to Chauke (2013:2) poverty, mostly in South Africa's rural areas is widespread and this has been precipitated by the removal of the majority of the country's inhabitants – blacks – from productive land use. These people were put in communally occupied reserves (former homelands) that were grossly inadequate to accommodate, let alone provide food for the many inhabitants of this country. So, it goes without any saying that land reform has achieved some strides. "The Public discourse in South Africa's agricultural sector has been dominated for a long time by a perennial concern about access to land, including access to its ownership, for the entire population (Waters, 2013). Land reform in South Africa has been far more than a typical government

intervention in a sector of the economy.

## **6. LAND REFORMS LESSONS IN TWO COUNTRIES.**

Land reform is generally accepted to mean restitution, redistribution and/or confirmation of rights in land to the benefit of the poor or dispossessed (De Villiers, 2003:2). Land can be accessed through market and non-market reforms. Market reform can be evinced when land is acquired through willing seller – willing buyer basis and non - market comes into picture when government opts for a policy of expropriation where land is expropriated (taken with or without adequate compensation) for redistribution purposes. A successful land reform model requires a combination of both market and non-market reform (De Villiers, 4). This will assist the State to move with speed and bring back the dispossessed land to their rightful owners. However, land reform needs proper planning and on-going monitoring to evaluate and determine the successes and failures of the programme. Land reform is not a one man show. People should be involved as this whole exercise is about them. Mamphodo (2006) stresses this when asserting that in order for land reform and other aspects to be implemented, there must be involvement with the government departments, local government, parastatals and non-governmental organizations. Literature has been reviewed from two countries in a bid to extract lessons and best practises, if any, acquired by these countries on how they are implementing their land reform programmes.

### **6.1 ZIMBABWE**

Zimbabwe has made remarkable strides in dealing with land reform. When Zimbabwe

became independent on 18 April 1980, the land question was therefore already at the forefront of the issues that the young nation had to address. It was predicted at the time that:

“The most acute and difficult question confronting the first ... government ... of ... (Palmer in De Villiers).”

Whether the land reform in this country was successful is another story. Land reform, (De Villiers, 2003) is probably one of the most difficult domestic policy issues to be dealt with by Zimbabwe, Namibia, South Africa as well as Australia. De Villiers (P.2) further asserts that in each of these countries, the process of land reform is incomplete. In Zimbabwe, land reform was the programme aimed at ensuring that the acquired land was owned by the state and not by the farmers themselves or their workers. It was not easy to kick-start land reforms. As De Villiers (23) puts it, the kick-off for land reform in Zimbabwe began on a sour note. Land reform in Zimbabwe started in 1980 with the signing of the Lancaster House Agreement, so that land could be equitably distributed between black subsistence farmers and white Zimbabweans who in the past enjoyed superior political and economic status. The aim was to deal with past imbalances and to alter ethnic balance of land ownership. These efforts by the Lancaster House however, were not in any way, intended to damage the important and invaluable farmers' contribution to the Zimbabwean economy.

The land reform in Zimbabwe brought about the following repercussions.

- Poor economic conditions for the whole country that affected the

lives of many inhabitants.

- Land that remains unused as the present occupants do not have requisite land tilling skills.
- Endemic corruption and policy contradictions where more land remains the commodity for certain people that wield political power and authority.

However, the main objectives of Land Reform in Zimbabwe were to:

- Reduce civil conflict by transferring white held land to black people.
- Provide opportunity for war veterans and landless people.
- Expand production and raise welfare and
- Maintain levels of agricultural production (Bratton in De Villiers, 10).

Unfortunately, not every objective was realised and this created a lot of problems for the country.

The policy clearly stipulates that no one below 21 years can own land but Lands and Rural Resettlement Minister Douglas Mombeshora said (in one of his Ministerial speeches) that there are people between 10 and 12 years owning plots (News, Politics: 25 June 2016).

## 6.2 SOUTH AFRICA

Land reform in South Africa had a purpose to initiate sustainable land reform programme. Following South Africa's transition to a constitutional democracy, the government recognised that a key mechanism for

facilitating both political and social-economic transformation was land reform (Mostert, 2000:163) this was done to reverse the historic disenfranchisement.

## 7. CONCEPTUALISING THE FARMER AS AN ENTREPRENEUR

A farmer is someone who keeps the animals and grows the crops for commercial gain. It is safe to refer to the farmer as an entrepreneur. "The early definitions of "farmer" and "entrepreneur" are perhaps not so far apart as they have since become" McElwee & Annibal (2010: 477). They, McElwee & Annibal (2010) have it that research into "farmers as entrepreneurs" has not provoked extensive investigation and there are difficulties associated with defining the entrepreneur, as noted by Palich & Bagby (1995: 426). Defining farmer entrepreneurial activity is complex as they do not con-

duct similar business activities to their urban counterparts. Farmers are recognised as heterogeneous group comprising different capabilities, enterprise skills and diverse social backgrounds and economic circumstances (McElwee & Annibal, 475-6). McElwee & Annibal (478) go further to intimate that the problem of definition is not confined to entrepreneurship for there are also issues of conceptualisation when terms such as "farm" or "the farm" are used. Katz (1999) in Pyyssäinen, et, al proposes that there are some skills which can be taught and some cannot. These authors believe that entrepreneurship can be taught. Their emphasis is on providing farmers with skills to make them entrepreneurial. Pyyssäinen et.al (24) believes that entrepreneurial skills for small business offer the following list of entrepreneurial skills.

Personal Skills	Interpersonal	Process skills
<ul style="list-style-type: none"> <li>• Innovation</li> <li>• Initiative risk</li> <li>• Taking ability to deal</li> </ul>	<ul style="list-style-type: none"> <li>• Interacting with others effectively.</li> <li>• Negotiating</li> <li>• Influencing</li> <li>• Demonstrating leadership</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to plan and organise</li> <li>• Ability to analyse, synthesise , and evaluate</li> <li>• Ability to execute a plan.</li> </ul>

## 8. METHODOLOGY

The respondents were kept informed about their rights to be involved in the study. No one was coerced to partake in the research and that the anonymity and confidentiality factors would be upheld. Furthermore, the permission was sought from the necessary authorities to conduct this study.

## 9. PROCEDURE

The respondents that were targeted for the research were n= 40. Convenient sampling was done as anyone within reach was asked to fill the tool. Questionnaires were distributed to all the present people on the farm. A questionnaire had a 5 point Likert scale to gauge the perception of farmers on how their CPA is run. Furthermore, an interview was also held

where participants were asked similar questions and responses were jotted down and later analysed. The aim of using the triangulation was to get the data from different sources, by so doing, strengthening the research and to check the validity of the responses.

## 10. ANALYSIS AND FINDINGS

**Table 1: gender**

<b>Gender</b>	<b>Frequency</b>	<b>Percentage</b>
<b>Females</b>	17	42.50
<b>Males</b>	23	57.50
<b>Total</b>	40	100.00

The above table shows that n=17 (42.5%) comprises of females whilst 23 (57.5%) comprises of males. The number of the males is more than that of the females. This may be because farming is largely perceived as a thing for the males, but this however does not hold water as there are many women who are fully involved in farming and are prosperous.

**Table 2: age**

<b>Age Group</b>	<b>Frequency</b>	<b>Percentage</b>
<b>Less than 25years</b>	2	5.00
<b>26-35 years</b>	06	15.00
<b>36-45years</b>	11	27.50
<b>46-55years</b>	19	47.50
<b>Over 56 years</b>	2	5.00
<b>Total</b>	40	100.00

The CPA, as shown in the above table has only 2 people who are less than 25 years and 6 people are between 26 and 35 years. The majority of the people are concentrated between 36 and 55years: with 11 between 36 and 45 years and 19 between 46 and 55

years. The table depicts that middle-aged people have an interest in farming than the old and the young ones. The reason behind this picture is that old people may lack some energy and passion to run the farming activities whilst the young ones are still busy with schooling and do not engage in farming as they are still depended on their parents. Over and above this, whilst young people may be part of the farm, Detre (et. al.) posit that they may also seek additional income from off farm activities.

The results have shown that the level of literacy of the people in the CPA is very low. This illiteracy level will affect their performance and general farm management.

**Table 3: The farm is not well managed.**

5 point Likert scale	Frequency	Percentage
Agree	25	62.5
Disagree	4	10.00
Not sure	8	20.00
Strongly agree	0	0
Strongly disagree	3	7.5
<b>Total</b>	40	100.00

The above table shows that 62.5% of the respondents are of a mind that their farm is not managed well. Those disagreeing and strongly disagreeing with assertion and believing that the farm is well managed have shown 10% and 7.5% figures respectively. It means that the high number of farm dwellers is not contending with the type of management their elected executive is displaying.

**Table 4: There are serious conflicts amongst farmers at our farm**

5 Point Likert scale	Frequency	Percentage
Agree	20	50.00
Disagree	2	5.00
Not sure	5	12.5
Strongly Agree	10	25.00
Strongly Disagree	3	7.5
<b>Total</b>	40	100.00

The findings in the above are that more than half, 50% and 25% of the respondents do hold the belief that there are conflicts among the community members in the farm. The findings of the interviews also have shown that many people see conflict as the order of the day. People have a lot of things they are not agreeing about. 12.5% respondents are not sure whether there are conflicts or not whilst 5% and 7.5% are adamant that conflicts are not eminent in their farm. This is so small a figure that to be accepted as representing many farm dwellers.

**Table 5: Membership in the committee is equal across the gender line.**

5 Point Likert scale	Frequency	Percentage
Agree	3	7.5
Disagree	7	17.5
Not sure	-	-
Strongly agree	2	5.00
Strongly disagree	28	70.00
<b>Total</b>	40	100.00

The above table symbolises that the issue of gender representation is still a big issue. Fe-

males are not given chance to participate in the farm activities. The finding corresponds with the responses on the biographical pictures obtained from the questionnaires where there were about for the 42.5% females and 57.5% for the males that took part in the study. The implication is that there are more males than females in the farm. The responses as shown on the table above signifies that 7.5% and 5% of the participants agree and strongly agree with the assertion that membership in the executive committee is equal across the gender line. The other picture painted from the table above is that 70% and 7.5% of the respondents strongly disagree and disagree with the assertion. The implication is that many people are not happy with the manner in which females are treated when it comes to the positions in the committees. The interview also revealed that man wants to be above the women at all the times. It was further picked up that when a female is recruited in the committee; she is given a very low position, like that of the secretary. They are not considered for strategic and managerial positions.

**Table 6: The Government continues to support our newly formed Communal Property Associations.**

5 Point Likert scale	Frequency	Percentage
Agree	2	5.00
Disagree	10	25.00
Not sure	-	-
Strongly agree	4	10.00
Strongly disagree	24	60.00
Total	40	100.00

What the above table is showing is that government is not fully assistive to the farmers. About 25% of the respondents disagree that government plays an indispensable role in providing support whilst 60% strongly disagree that they are getting an adequate support from the government. The biggest support that these people are forgetting is the one of acquisition of land. Government used lot of money to bring land back to these farmers. Over and above this government also provides the farmers with some money to enable them to run the farms. Whether this money is used well is an important question to be looked at. A small fraction, 5% and 10% of the respondents have shown that they agree and strongly agree respectively with the assertion that Government is playing a supportive role.

## 11. VARIABLES RELATED TO PROFITABILITY

Profitability is yielded when there is a financial gain in a business. It is expected that every business's sustainability should be related depended on its profit gains. With regard to factors affecting financial performance in general, Fox (et. al., 1993) and Rougoor (et.al. 1998) provide reviews of large number of studies in the area of financial performance in farm management (Detre et.al, 49). Their views concluded that personal attributes/characteristics, demographics and goals were important in explaining profitability differences across farms. Age has a bearing on profitability and it influences financial performance negatively. Tarnar and Mishra in Detre (et.al. 50) found age to influence financial perfor-



mance negatively whilst Davis (et. al., 2009) and Hyde (et.al. 2008) found age to influence financial performance negatively. The level of education and age are so connected. Both have a bearing on financial performance. Young people are energetic although same is channelled elsewhere. Many young people are educated and prefer to work in towns than in farms. The older ones will stick to the work in the farms. According to Darr & Chern (2000) in Detre, et.al. (49), if the farm operator had at least some college education, he was more likely to make it in farming. This symbolises that education also plays such a pivotal role in the world of farming. Also, as Detre, et.al. Put it, the education level force farmers to stick to the farms as there are no employment opportunities for them outside the farms. Therefore, many are not in the farms because they want to be there, it is the circumstances that pushed them towards that direction. The size of the farm does not guarantee profitability. There would be a lot of profit if there was dairying as Kauffman and Tauer's findings indicated no strong relationship between number of cows and the probability of higher returns (Detre, et.al. 50). Hoffman (1996) in Detre: p.50 indicated that well managed farms, based on farm records are better able to compete on per-unit profitability basis with farms many times larger. What matters most is how the farm is utilised to enhance profitability. Vaalboschhout farm is fairly big but it is not profitable to the whole community. The main activity there is the keeping of animals that are not even well taken care of. There are a lot of cattle that the farmers there are keeping but they only benefit when they take one cow to the auction once in a blue moon. Having to resort to

dairying would pay good dividends.

## **12. INTERVIEW RESULTS**

### *12.1 How is the relationship between members of the CPA?*

One respondent indicated that the relationship is not good. There are lot of fights over grazing, number of cattle to keep, who is to manage. Others echoed same sentiments on the issue of conflicts. These conflicts even led to other people disengaging from the CPA and cancelling their membership from the interactions it became evident that the relationship between members of the CPA is not cordial at all.

### *12.2 What are the causes of the conflicts?*

Some respondents felt that women are oppressed and are not given a fair hearing in meetings. This causes tension over gender. One respondent was quick to mention that there is gross misappropriation of funds by the executive committee. The financial statements are given at the end of each year but that is normally has some flaws as calculations are falsified and that supporting documents are not provided. They provide lot of stuff without any mandate and fail to consult with the entire communities before they appropriate monies. This to him is the main cause of conflict.

## **13. RECOMMENDATIONS**

This paper recommends the following:

- The Government should intensify the support they provide to the CPA's so that they can be sustainable.
- Female should be given a chance to participate fully in issues of farming.
- Among other forms of assistance that

the Government should provide, is workshop of the committees that run the farms. They are handling lots and lots of money. It becomes very essential that they are taken through the programmes intended to hone their financial management skills and general management. These workshops would ready the new farmers to take up new responsibilities.

- Young people have to be lured in taking farming as something important that can even move people from poverty strickenness to leading a wealthy life.

#### 14. CONCLUSION

The issue about land reform still needs more time to be brought to a close. However, some progress has been registered in providing people with land although some pieces of land stand fallow for years. It has been found in the study that people have a tendency of fighting over a lot of things when they are occupying a farm. Instead of them making profit on the farm they deteriorate, loot the equipment and sell others for their personal gains. This tendency draws the community and the state backwards rather than forward. Furthermore, when land reform is done, that should come as a package i.e. before they occupy the land, they should be taken through workshops that should prepare them well in advance.

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# DERIVING A CONCEPTUAL FRAMEWORK FOR A FORMATIVE EVALUATION OF THE CITY OF JOHANNESBURG 'SEPARATION OF POWERS' PILOT PROJECT

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## ABSTRACT

*Oversight and accountability of the executive to the legislature are cardinal to good governance and ultimately democracy and political development. Conflating legislative and executive functions limits oversight, effectiveness of governance arrangements, accountability, and public participation. The Department of Cooperative Governance and Traditional Affairs (COGTA) has stressed that governance and democracy at local level is 'in distress' because of inadequate accountability measures and a lack of a clear separation between the legislature and the executive. To counter the latter and improve governance, the City of Johannesburg provided for institutional arrangements that separate executive and legislative functions of Council in 2006. However, after implementing this governance model, we are not certain if separating legislative and executive functions of a municipal council improves governance at municipality level. This research intends to assess if this initiative can improve local level governance. Therefore, the focus of this paper is developing a conceptual framework for such a formative assessment. The paper applies these frameworks to collect, process, and analyse data as well as interpret the empirical results.*

Keywords: Conceptual framework, Theoretical framework, Governance, Participatory

## 1. INTRODUCTION

Oversight and accountability of the executive to the legislature are cardinal to good governance and ultimately democracy and political development. Conflating legislative and executive functions limits oversight, effectiveness of governance arrangements, accountability, and public participation. This is unfortunately the situation at local government level in South Africa. Visser (2005) has argued that there is a governance problem at local level in South Africa due to poor accountability resulting from weak oversight at municipality level. Further, the 2009 assessment of local governance in South Africa undertaken by the Department of Cooperative Governance and Traditional Affairs (COGTA) describes municipal governance as being 'in distress'—a position that we think has not changed seven

years later. This assessment identifies two root causes of distress—(i.) non-separation of legislative and executive functions leading to (ii.) inadequate oversight, and hence accountability, measures (Department of Cooperative Governance and Traditional Affairs 2009). Similarly, Christmas (2009) points to an obscure division between executive and legislative roles in municipalities as the key cause of distress in municipal governance. Despite supposedly effective legislative provisions and implementing several interventions, McLennan (2009) thinks that governance arrangements in several South African municipalities is ineffective and remains a critical challenge. Governance challenges including a lack of accountability and responsiveness at municipality level may imply a flawed design of local government in South Africa (Fessha 2008). To improve governance, the City of Johannesburg provided for a clear separation of executive and legislative functions in 2006. However, after implementing this governance model, we need to ascertain that separating legislative and executive functions does improve governance at municipality level.

This 'theoretical' article proposes a conceptual framework for undertaking a formative evaluation the city of Johannesburg 'separation of powers' pilot project. After broadly interrogating governance, we propose democratic governance as the most relevant option for local government. Thereafter, we identify public accountability as a key ingredient of democratic governance. Further, we point out oversight, scrutiny, and public participation as key elements to attaining public accountability and, subsequently, democratic governance. We have also proposed preferred

institutional arrangements and mechanisms for fostering public accountability at local government level. These include separation of powers principle and, therefore, oversight as well as scrutiny. It is these that form the basis of our proposed conceptual framework and local governance arrangements. We argue that, depending on the context, the 'separation of powers' principle and, therefore, oversight and scrutiny can provide a framework for assessing local municipal governance. In doing so, we are contributing to the debate on efficacy of local governance arrangements as well as sub-national initiatives.

## 2. THE APPROACH

Badenhorst (2007) has pointed out that we review literature to (i.) understand the context or setting and, thereafter, to appreciate the research problem, opportunity, or question, (ii.) justify the research, (iii.) identify the research and knowledge gap through reviewing past and current research studies on the subject of interest, (iv.) identify, understand, and develop frameworks, theories, models, and perspectives that we can use to interpret our research findings, and (v.) develop conceptual frameworks. Technically, the main outcome a literature review is a conceptual framework—defined implicitly by Kumar (2014) as an advanced outline of how a research should proceed after we have interrogated key literature on the research of interest. This implies that this outline or outcome results from a detailed understanding of (and justifying) the research problem, identifying the knowledge gap, and then developing an explanatory or theoretical framework for interpreting the research findings. Infer-

ring from this, Wotela (2016) has proposed that including the main outcome—which is the conceptual framework—a literature review should have the following seven key sub-components or areas of focus:

1. Evaluation setting or context analysis ... to understand the evaluation setting or context.
2. Evaluation intervention analysis ... to understand and justify the need to evaluate an intervention.
3. Review of similar past and current empirical research studies and evaluations ... to establish the knowledge gap.
4. Establish and discussing the academic field of study (and its important components) encompassing the research or evaluation ... to give the research or evaluation an academic home.
5. Identifying and discussing the key evaluation attributes or variables ... to understand what information or data we should be pursuing for our research or evaluation.
6. Develop an explanatory framework ... to apply when interpreting our empirical findings.
7. Summarise Steps 1 to 6 into a conceptual framework ... to outline how our research or evaluation will proceed based on discussions and decisions emanating from interrogating the literature.

In each area of the seven areas of focus, we apply a thematic summative content analysis when synthesising literatures and writing

up. The approach is thematic because we have devised key questions against which we interrogate and synthesise literature theme by theme. It is summative because we have derived these themes before literature review but we allow and include those that arise during literature review. Lastly, it is 'content' because when reviewing literature we focus on explicit and implied subjective interpretation of the discussions. Hsieh and Shannan (2006) have provided a detailed description of summative content analysis amongst other types of qualitative content analysis.

We, therefore, apply this proposed outcomes-based literature review to develop an explanatory framework and more importantly a conceptual framework to prepare for a formative evaluation of the City of Johannesburg 'separation of powers' pilot project in the next sections. First, we begin with an understanding of the context (the City of Johannesburg metropolitan) and then the intervention (the City of Johannesburg metropolitan 'separation of powers' pilot project). Second, to establish the knowledge gap, we interrogate research approaches, designs, procedures and methods applied as well as findings and conclusions realised by past and current studies on and evaluation of governance arrangements in general and specifically separation of powers. Other than establishing the knowledge gap we also use this interrogation to consider methodological options that we can employ for our assessment. Third, we propose and detail a theoretical or rather an explanatory framework that will facilitate interpretation of empirical research findings on the workability of the City of Johannesburg 'separation of powers' pilot project. Worth mentioning

is the linkage between these explanatory frameworks and our attributes of interest that we will collect research information on. Lastly, for now, we derive a conceptual framework that will guide the proceeding paper(s) when collecting, processing, and analysing data and information to assess this intervention with a view to recommend governance arrangements that can foster accountability and oversight at local government level.

### **3. THE CITY OF JOHANNESBURG METROPOLITAN MUNICIPALITY: THE RESEARCH CONTEXT**

With about 4.7 million inhabitants, the City of Johannesburg is classified as a 'Category A' metropolitan municipality (Department of Cooperative Governance and Traditional Affairs 2009). It delivers its public services—ranging from water, waste management, power supply, and public transportation—through twelve Municipal Entities (MEs) that are in turn managed through boards accountable to the City Council. The City Council has 260 councillors. Of these 130 are elected Ward Councillors and the other 130 are appointed by the political parties proportional to the elected councillors. Thereafter, ten are appointed to constitute a ten-member Mayoral Committee. The elected Executive Mayor chairs the eleven-member Mayoral Committee—which constitutes the political executive wing of the City. On the other hand, the Speaker of Council is the legislative head and chairperson of Council. The Speaker presides over Council meetings in accordance with Council's Standing Rules. The Speaker is also responsible for Section 79 oversight committees that assist Council in the executing its oversight duties.

### **4. GOVERNANCE ARRANGEMENTS AT LOCAL GOVERNMENT LEVEL IN SOUTH AFRICA—THE RESEARCH PROBLEM AND PURPOSE**

Other than the judiciary, the South African legislative framework provides for the legislature, the executive, and the government departments in all three spheres of government. The legislature (elected members) represents the public and their mandate includes approving policies and laws as well as monitoring the executive and the government departments. At national sphere, the legislature is represented by the national parliament and the National Council of Provinces (NCOP). At provincial sphere, the legislature is represented by the provincial parliament and at local sphere by the council of elected and seconded councillors. The executive (cabinet or executive committee) co-ordinates the formulation of policies and laws, oversees implementation of policies and laws as well as government departments. Similarly, at national sphere, the president and cabinet make-up the executive while at provincial sphere it is made up of the premier and executive council. At local government, it comprises the mayor and mayoral committee. The mandate of the government departments (public servants) is implementing government interventions (policies and laws) as directed by the executive. The national administrative functions are executed by respective director generals and the specialised departments within national government. At provincial sphere, it is heads of departments and specialised staff while at local sphere it is the municipal manager, heads of departments, and specialised staff. Section 133(2) of the Constitution of

South Africa (1996) provides for national and provincial governments to separate the legislative and executive functions with the latter accountable to the former. Therefore, the legislature oversees the executive. Further, the constitution provides for the national government to establish national parliament and the National Council of Provinces (NCOP) to perform the legislative functions which include law-making, overseeing and scrutinising the work of the executive. At provincial government level, Section 114(2) of the constitution provides for the provincial legislature that oversees and scrutinises the provincial executive authority (Constitution of South Africa, 1996).

While the legislative arrangements for a democratic, responsive, and accountable government are certain and well defined at national and provincial government, they are not so at local spheres. For example, the Constitution of South Africa (1996) has placed executive and legislative roles in a single body of council at local government sphere. Therefore, in a municipal council plenary sitting conflates both legislative and executive powers. We argue here that conflating legislative and executive functions underlies the oversight and accountability problems that South African local governments are facing. This sphere of government cannot provide effective, transparent, and accountable local governments (Constitution of South Africa, 1996). This results in ineffective democratic, responsive, and unaccountable local governments.

In response to unclear separation of roles between the legislature and the executive leading to inadequate oversight and accountability measures, the City of Johan-

nesburg reviewed its governance arrangements. This was with a view to improve on internal processes, oversight, accountability, transparency, and public participation as well as promoting democratic practices within the municipality (City of Johannesburg 2005). The Gauteng Provincial Department of Local Government mandated the City of Johannesburg Metropolitan Municipality to pilot the separation of executive roles from legislative roles of councillors in the municipality. The project, also referred to as the 'Separation of Powers' governance model was piloted during the 2006 to 2011 political term and, thereafter, implemented in the 2011 to 2016 political term. Obviously, over the years the City of Johannesburg has refined this model which is similar to the national and provincial parliament. It emphasises separating legislative and executive functions to promote oversight, accountability, and public participation through delegating legislative and executive functions of Council to the legislative and executive arms, respectively. The model also accentuates the role of non-executive councillors. However, despite implementing this governance model, we are not yet certain whether separating the legislative and executive functions of a municipal Council improves municipality governance. Therefore, we wish to assess if this initiative can improve local level governance. This paper focuses on developing a theoretical and conceptual framework for such an assessment largely because South Africa, the challenge of local governments is not the absence of reforms but rather evaluating the instituted reforms.

## 5. METHODS, DATA, FINDINGS, AND CONCLUSIONS OF STUDIES ON AND EVALUATIONS OF GOVERNANCE ARRANGEMENTS

There are a number of studies on and evaluations of governance, oversight, and public accountability arrangements in different contexts. For example, Leach and Wingfield (1999) as well as Snape (2000) point out that scrutiny is a problematic function for local government. The former argue that it is important that political parties are protected from undue government restrictions but it is equally important that elected representatives enjoy the right to participate freely and independently in the business of their political assembly. Legislative scrutiny and oversight is often best performed by elected members who bring in a degree of independence whilst balancing party sentiments and community preference. This independence and structuring of political activities around political parties makes oversight, scrutiny, and public accountability problematic for local councils. Therefore, internal political dynamics in councils determines the success of scrutiny. As a result, as Leach and Wingfield (1999: 87) point out “scrutiny ... [can] only work effectively in a cabinet/assembly system dominated by one party if its members are prepared to criticise their colleagues or the executive openly—something which is extremely difficult under present party discipline in the current system”. They also raise a red flag that such an arrangement may not always succeed. The chairing of scrutiny committees by the majority party makes councillors reluctant to challenge their colleagues making oversight and scrutiny ineffective.

Similarly, Snape (2000) has concluded that

scrutiny is a problematic function for local government councillors because they feel it unsettles internal political dynamics. An open and accountable legislative process tests the rights of elected members to take an independent stand on matters of oversight and scrutiny. However, as a matter of convenience, democratic communities structure their political activities around organised political parties (Uhr, 2001). Similarly, Snape and others (2002:42) argue that holding the executive to account is extremely difficult because it:

“... directly challenges the power, influence, and culture of the party group system. It also directly challenges often, the most powerful elements within the decision-making system. Although leaders, cabinet members, and senior officers declare their support for robust scrutiny, in reality some will not complain if the role emphasis lies with policy development and review rather than holding the executive to account”.

Leach and colleagues (2003) as well as Ashworth and Snape (2004) have discussed local municipal council scrutiny committees established in 2000 to improve the effectiveness of local governance in the United Kingdom. They were meant to provide a clear cut delegation of executive and scrutiny functions between the executive and the non-executive councillors, respectively. The task of the former was making and implementing key decisions while the latter hold the executive to account. Obviously, the aim of these reforms was to make the executive accountable through scrutinis-



ing executive decisions and actions before they were made, before they were implemented, and after they were implemented. Leach and colleagues (2003) have noted a general reluctance to apply approved oversight mechanisms, such as the call-in mechanism, to improve accountability. They argue that scrutiny is problematic for councils based on evidence generated in during the early stages of these scrutiny committees. In the early stages, scrutiny committees gave low priority to scrutinising executive decisions and actions of council employees (Cole 2001; Ashworth 2003). Instead the executive exerted more influence on scrutiny than the scrutiny committee. Ashworth and Snape (2004) also audited these scrutiny committees from 2000 (when the reforms were introduced) to 2005. Their audit shows that oversight and scrutiny contributed positively to policy review but failed to hold the executive to account effectively. They conclude that oversight and scrutiny failed to become an effective part of local governance and was not yet an effective arrangement to 'check and balance' the executive.

The findings by Snape (2000) as well as Leach and colleagues (2003) emphasise how the majority party views scrutiny and how this perception determines the success or failure of local government oversight and scrutiny arrangements. For this reason, Snape (2000) has emphasised that before legislating local municipality scrutiny practices, this challenge should be considered. Therefore, local political and organisational factors are important ingredients of effective oversight and scrutiny (Hankla and Downs 2010). This makes the choice

of municipality governance structures and the authority devolved to its internal organs critical to the success of any governance initiative. Uhr (2001) has described Chapter 9 Institutions in South Africa which enforce oversight and accountability in all the three spheres of government. These institutions provide specialised government accountability in addition to that performed by elected members or dedicated public agency established by the assembly to act as an independent entity. Chapter 9 institutions institute oversight by reviewing performance against prescribed standards. Effectiveness of their oversight and scrutiny depends on the government institutions abiding to the established standards and should be acknowledged by those being reviewed. There are various options for structuring local municipal institutions and devolving authority. One option is councils establishing strong executives (Blair, 1991). According to Hankla and Downs (2010), local executive dominance may lead to a successful oversight and other governance arrangements because it provides for sufficient financial resources as well as access to information and expertise to oversee the executive. The downside is that it weakens local democracy and eliminates responsive local government. It is unlikely that local citizens would prefer a strong executive compared with a council driven system.

The other option, as Hankla and Downs (2010) have argued, is influential legislatures that are critical for good governance and democratic oversight. Their role is verifying whether executives carry out their responsibilities honestly and effectively and ensuring citizen participation. To provide

for local municipal authority and enhance public accountability requires a parliamentary form of institution where the elected council makes up the legislature with powers to appoint and dis-appoint the local executive. Such an arrangement will allow the local council to hold the local executive to account. One weakness with this arrangement is that local authorities would not remove executives without provincial consent (Hankla and Downs, 2010). Another function of legislatures is promoting public participation in government processes with a view to improve oversight, scrutiny, and public accountability. As Geurtz and Wijdeven (2010) has argued public participation in local government emerged to discourage one-sided decisions. They encourage shared power and decision-making. There is also a view public participation in local government contributes to authoritative resource allocation (Heller, 2001). Further, Orr and McAteer (2004) have identified three generic benefits of public participation. First, increasing public participation in decision making improves the quality of services delivered to communities because the local government can proactively consult with local communities. Second, other than service delivery, local government provides a platform for political activity—that is, engaging the public better to capture the poorly organised, the poorly resourced, and the dissents. Third, greater levels of participation ensure the future of local government because if they do not consult they risk becoming irrelevant.

Orr and McAteer (2004) have also argued that absent or ineffective and disempowering public participation strategies weaken local government's oversight, scrutiny, and

public accountability. Sometimes councils' perception of public participation as a survival strategy, and not as a genuine consultation tool, disempowers public participation. With this perception, councils configure public participation to resemble legitimate consultation when it is meaningless. The International Association of Public Participation (2004) state that meaningful public participation involves a process that informs, consults, involves, collaborates, and empowers local communities. When public participation is this effective the impact of the public on governance processes is certain.

Piper and Deacon's (2009) study has established the functionality of local government public participation in South Africa based on performance of ward committees in Msunduzi municipality. The South African governance system has provides for ward committees to facilitate deliberative democratic decision making. Therefore, ward committees should foster public representation, consultation, and recommendations on matters affecting communities to or through the ward councillor to the local or metropolitan council, the executive committee, and consequently to the executive mayor. In accordance with Section 72 of the Municipal Structures Act, the local or metropolitan council may also delegate duties and powers to a ward committee. Piper and Deacon (2009) conclude that despite ward committees operating for seven years, they were not fully functional because committee members depend on ward councillors, political parties, and the municipality. This dependence syndrome undermines democratic benefits, therefore, compromising effectiveness of ward committees. Further, Smith (2006) and Christmas

(2009) argue that structures (ward councillors and ward committees) provided for by the Municipal Structures Act of 1998 to facilitate public participation in municipalities are ineffective. This contributes to the perception that municipalities are not responsive to the needs of communities.

Michels and De Graaf (2010) have also assessed the relationship between citizens and government in two Netherlands municipalities to ascertain if public or citizen participation can improve the quality of democracy. The aim of this study was to establish the role of the public vis-à-vis government in local participatory democracy and account for the true contribution of citizens involved in policymaking. They focus on the relations between citizens and government from a citizens' perspective. Their findings show that the role of citizens is limited primarily to providing information which government uses to make decisions. They conclude that for a local level healthy democracy to emerge, there is a need for democratic citizenship—that is, collective responsibility in public matters, increased public engagement, and improved legitimacy of decisions are more importantly than having a voice in decision-making. Further, Geurtz and van de Wijdeven's (2010) study has described direct participatory democracy experiences of a medium sized municipality in the Netherlands. In doing so, they have identified two main reasons a government involves the public in its programmes. First, citizen participation leads to people-informed outputs. Second, citizen participation makes decision-making process democratic. Geurtz and van de Wijdeven (2010) conclude that strong citizen participation at local government connects the citizens to its government. Be-

sides, public participation tests a system's ability to accommodate scrutiny. Legislative scrutiny is enhanced if, and only if, it can disallow or veto executive regulations if they do not conform to specific standards or legal form. In relation to bills and regulations, political assemblies are tested for their willingness to promote greater public participation in scrutinising the core activities of government.

Compliance driven public consultation processes which are usually void of meaningful public participation, oversight, and accountability in municipalities is another challenge inhibiting effective public participation. In South Africa, Mogale (2003) has suggested that meaningful public participation is not always attained because its conceptualisation at local government level is fuzzy and ideological. This leads to a mismatch between public participation conceptualisation and operationalisation. This disconnection between theory and practice, degenerates public participation into just a strategy that convinces local audiences that local government recognises their development needs. As a result, positive effects of participation are minimal and municipalities are seen as unresponsive and not accountable to the public. Only a more collegial approach increases policy legitimacy especially if the initiative is supported by a representative structure.

The foregoing review shows that oversight, scrutiny, and public participation are key aspects to public accountability as well as advancing democratic governance. The United Kingdom experience shows that oversight, scrutiny, and public participation need overhauling to improve public accountability. However, evidence shows

that local governance reforms have experienced challenges emanating from internal political dynamics that limit oversight, scrutiny, public consultation, and consequently public accountability. Accountability agencies and legislatures have a tendency to conserve their style of operations to 'play it by the book' (Uhr 2001).

## **6. SITUATING THE 'SEPARATION OF POWERS' ARRANGEMENT WITHIN THE DEMOCRATIC ACCOUNTABILITY AND ITS CRITICAL COMPONENTS**

Democratic accountability and its critical components of oversight and scrutiny as well as public participation are normally exercised within the broad framework of 'separation of powers'. Therefore, if we have to derive a theoretical framework and later on a conceptual framework, we need to discuss the over-arching framework that nests 'separation of powers' within which we interrogate the concepts of oversight, scrutiny, and public accountability, in context. Ashworth and Snape (2004) describe oversight as the process of investigating the 'hows' of organisational conduct, particularly where there is a greater expectation of official compliance with authorised policy. Oversight is a critical governance arrangement in legislative environments. The Parliament of South Africa (2008) states that its oversight role adheres to the Commonwealth description based on the conventional Westminster perspective whose emphasis is on the role of legislatures in ensuring that government performs and complies with statutory procedures and rules. Obviously, oversight objectives are linked to the broad objectives of democracy and accountability. They are meant to detect

and prevent abuse of power, arbitrary behaviour, and unconstitutional conduct by government and its agencies (Snape and Ashworth, 2004). At the core, oversight protects rights and liberties of citizens (Parliament of South Africa, 2008) by holding the executive to account for their dealings so that they improve government effectiveness, relevance, and efficiency. This makes oversight useful in the implementation of government interventions and allows for transparency of and public trust in government operations.

Leach (2003) has argued that all forms of oversight measure performance against certain standards to test for compliance. Many oversight activities investigate entities where appropriate legal authority has been stretched or bypassed particularly in relation to defence and security operations. In such cases, oversight is unusually confidential or in-camera hearings held between the overseer—such as the parliamentary committee established to monitor the performance—and the supervised. Oversight can include oversight visits by a legislated committee to conduct physical verification of performance against a standard.

Further, Ashworth and Snape (2004) describe scrutiny as a general investigation of the 'whys' in the political and administrative conduct where there is notable discretion by government officials. Scrutiny allows for reviewing government performance by political assemblies (legislatures), by public agencies established by the political assembly or government, and by non-governmental bodies including the media. Leach (2003) has discussed scruti-

ny processes especially those undertaken by legislative assemblies such as question sessions and parliamentary debates between government and non-government officials commonly called 'the backbench' as well as those initiated by opposition parties. Legislative or parliamentary scrutiny refers to accountability tasks undertaken by members of the legislature when scrutinising the government. Examples include a parliamentary committee investigating government operations or when a parliamentary chamber reviews a government bill, or when a parliamentary delegation to another country to examine the impact of an intervention or its contribution to an international programme. March and Olsen (1995) as well as Ashworth and Snape (2004) have identified two avenues for effecting public scrutiny of local government decision-making and accountability, that is, (i.) political and community bodies and (ii.) specialist oversight using competent public authorities.

Ashworth and Snape (2003) point out, comparatively, oversight seeks justifications on the 'how questions' from administrative officials implementing approved interventions while scrutiny seeks explanations from policy makers to the 'why questions'. Scrutiny points to public and political review of government operations while oversight is less public orientated and focuses on technical reviews of government. Public authorities established to ensure that government operations conform to approved standards undertake most scrutiny responsibilities. However, compared with scrutiny, oversight is a more specialised form of enhancing accountability. Further, government oversight activities focus on a narrower range of operations though

they vary across policy areas. One common form involves a designated oversight agency responsible for 'whole of government' compliance with particular policies. This could be a commissioner empowered to act on citizens' complaints, oversight activities confined to one government agency, or even span across a limited range of government operations. In practice, oversight and scrutiny functions tend to merge and the terms are frequently interchanged because most public accountability arrangements reflect aspects of both. As a result, in the absence of oversight, scrutiny processes are applied to provide for accountability. However, accountability can be ineffective when oversight mechanisms are employed in place of scrutiny. Therefore, one should distinguish the components of accountability. Further, as Uhr (2001) has argued, oversight and scrutiny are not reserved for legislative assemblies only. Agencies such as the Auditor-General and internal auditors do undertake public scrutiny activities.

The Parliament of South Africa (2008) points out that in South Africa scrutinising (formal and informal) as well as overseeing the executive are constitutionally mandated functions of the legislative organs of state. The latter entails overseeing the management of government departments by the executive in pursuit of effective service delivery. Uhr (2001) points out that legislatures or parliaments are key public accountability institutions in parliamentary democracies. Their systems differ in how they structure the freedom of the legislature to manage accountability. The most influential models of accountability among Commonwealth countries are based on the 'Westminster system' of responsible

parliamentary government. One highlighted feature of this model is the evolution of accountability arrangements in parliamentary regimes. Snape and Taylor (2004) suggest that 'Westminster system' has evolved through three broad phases—that is, (i.) initially promoting the need for government accountability to parliament and the courts; (ii.) followed by extending it to public scrutiny; and (iii.) finally extending the range of oversight mechanisms designed to supplement parliamentary scrutiny.

As argued by Pillora and Mckinlay (2011), the basic norms of a responsible parliamentary government should reinforce the principles of representative government. Therefore, legislatures should link the people and their government to reinforce the principles of democracy. Uhr (1998) points out that while awaiting universal suffrage, responsible government systems invested heavily in parliament to foster public accountability. One important mechanism to achieve this is providing parliament the sole responsibility of approving government budgets, that is, accountability through financial control. Further, Uhr (1998) argues that excluding legal accountability (the judiciary and the courts); earlier components of parliamentary accountability focused on financial control, that is, government taxation and expenditure. Establishment of an independent state auditor attached to parliamentary public accounts committee meant to foster financial accountability is an important parliamentary instrument for financial control. These arrangements placed parliament at the centre of national governance making it the institution responsible for determining who holds executive power and under what terms and conditions.

According to Schedler, Diamond, and Plattner (1998), 'responsibility' in classic models of parliamentary government was conferred on elected members capable of commanding a stable parliamentary majority. The responsible government model rests on the norms of accountability that elevate the rights of those commanding the largest parliamentary parties. Accepting the responsibilities of executive office, leaders of the majority parties were inclined to emphasise the responsibility side of governance and downplay the accountability side. Legislative support staff, referred to as scrutiny officers by Snape and Taylor (2001), promote public accountability in responsible parliamentary government. They provide for oversight, scrutiny, and therefore accountability processes by facilitating, publishing, and communicating findings of public hearings and investigations. Therefore, such staff should produce accurate and timely public record of legislative debates and committee engagements. The work (reports and transcripts) that scrutiny officers produce should be democratic worth, useful as official transcripts, and provide evidence of competence of government in managing public affairs. This provides the public and their representatives as well as the media an opportunity to view accountability records as significant illustrations of how government business is being conducted. However, as Snape and Taylor (2001) point out, research shows it is easier to secure public accountability in political theory than in concrete practice because the process involves extending parliamentary controls over the spheres of responsibility exercised by the political executive. This has potential to go against executive

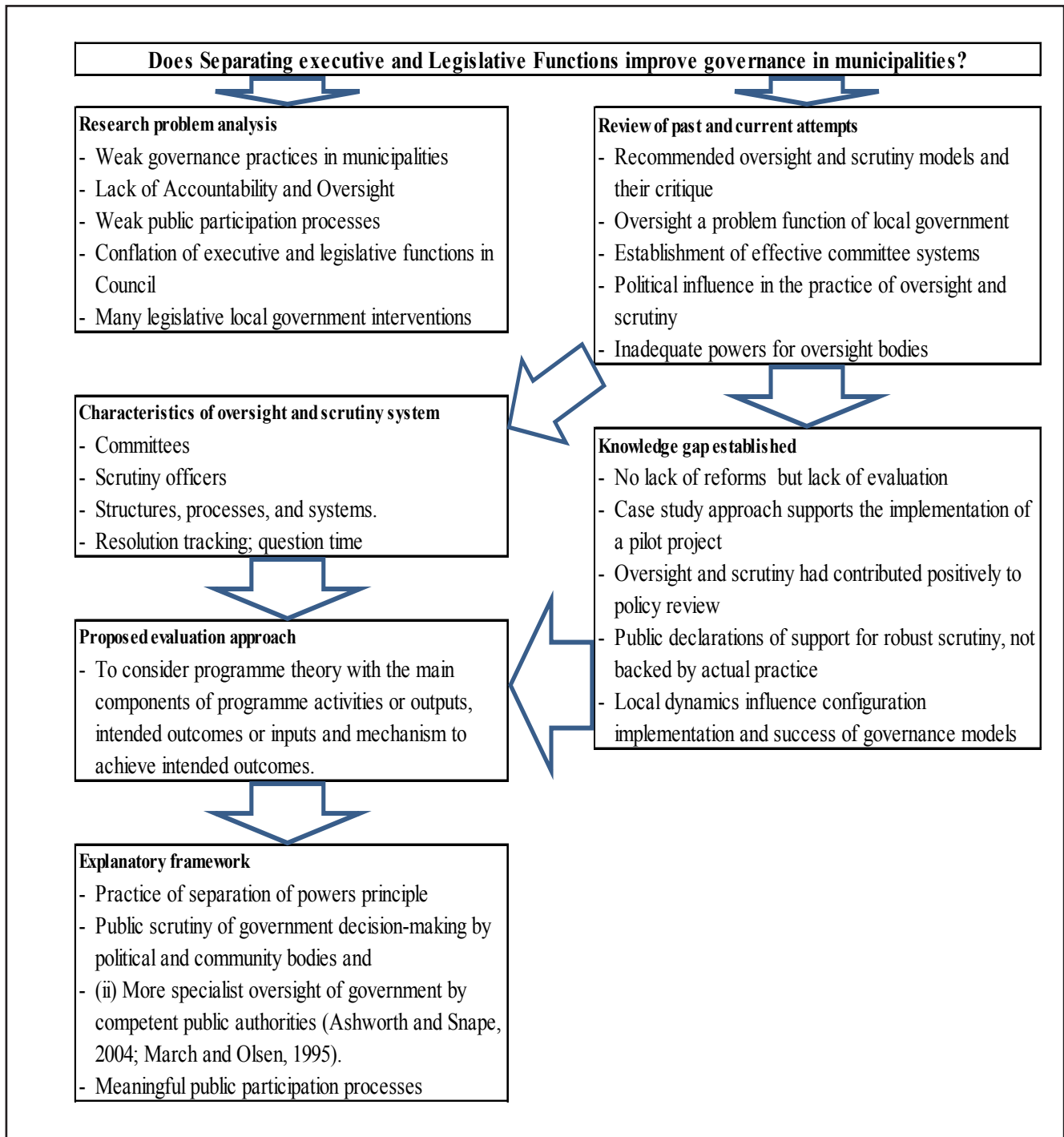
convenience. This is why public accountability is consistently reformulated by refinements in scrutiny and oversight. Uhr (1999) has suggested that "...left to itself, the attractive banner of 'parliamentary government' could be raised just as easily by unaccountable parliamentary oligarchs ... as by friends of parliamentary democracy".

## **7. A FORMATIVE EVALUATION OF THE CITY OF JOHANNESBURG 'SEPARATION OF POWERS' PILOT PROJECT, A CONCEPTUAL FRAMEWORK**

The governance arrangements in municipalities conceptual framework is based on the 'separation of powers' principle combined with oversight and scrutiny mechanisms. Specifically, it emphasises that the context within which a particular model is implemented is important as it can influence the effectiveness of any governance arrangement. Therefore, we do not recommend a completely new conceptual framework but rather how such existing concepts can be contextualised. Figure 1 presents a conceptual framework a formative evaluation of the city of Johannesburg 'separation of powers' pilot project. It arises from a reflective summary of the preceding sections in this paper; namely, a research problem analysis as well as reviewing past and current studies on and evaluation of the 'separation of powers' concept in the context of governance. In doing so, we point out the knowledge gap including the lack of understanding the local dynamics that influence effectiveness of governance models. On the basis, of these we have proposed a more informed approach and established an accompanying plausible theoretical framework.

The principle of separation of powers is an important structural element to achieve accountability oversight and scrutiny in democratic governments through the separation of legislative, executive and judicial powers into different branches of government. A basic separation protects the independence of the judiciary from the political executive holding office as the government of the day. It also protects the freedom of the legislature or parliament from domination by the serving executive government. Historically, modern constitutional government first separated out the judicial power from the combined weight of the other two powers: the accountability of government was strengthened by protecting judicial office-holders from interference from the two political branches. Thus a basic element of accountability is the protections enjoyed by the judiciary through such institutional features as security of tenure, freedom of decision-making and the rights of citizens to approach the courts to seek review of government decision-making.

Figure 1: Showing a conceptual framework for a formative evaluation of the city of Johannesburg 'separation of powers' pilot project



Accountability is further enhanced through a separation of legislative from executive power, either by forming two distinct branches of government as in the case of presidential systems, or by devising institutional checks and balances to highlight the distinctive responsibilities of the political executive and the legislature. Most parliamentary governance systems have the political executive drawn from the party or parties commanding a majority of members of Parliament. Without special effort to protect the independence of the law-making function, parliamentary systems can degenerate into the subservience of



the legislature to a dominant political executive which expects little more of the political assembly than that it 'rubber stamp' government initiatives. Democracy should protect the independent value of representative assemblies; making democracy effective means promoting the independence of the legislature as the central forum for community deliberation over law and policy. Accountability is best served where governance systems are able to mobilise public scrutiny of the executive branch and to subject government operations to sustained oversight by parliamentary and other specialist authorities.

The approach to accountability evident in the separation of powers has sometimes been called 'horizontal accountability', that is, accountability between equally autonomous if not quite equally powerful institutions. This is in contrast to most forms of accountability which illustrate 'vertical accountability', that is accountability between unequal institutions where one is acknowledged as the principal and the other as the subordinate agent. At times, both forms of accountability are combined. This applies in many parliamentary systems. Separation of powers is the practice of dividing the powers of a government among different branches of government (Carney 1993). At the centre of separation of powers doctrine is a suggestion there are different kinds of public roles that ought to be separated from one another and ought to be exercised by different institutions or personnel. According to Vile (1967) and Carney (1993), in a pure form of separation of powers, each of these branches would be allocated a matching identifiable role that is Executive, Legislative and the Judiciary (Vile, 1967; Carney, 1993). The legislative

branch is mandated with making laws, the executive branch with administering the law and the judicial branch has a mandate to try cases brought to court and to interpret the law. The separation intends to achieve a balance and to prevent an overconcentration of power in the hands of a single person or institution (Carney, 1993). Each government branch is confined to exercising its own function and not encroaches into functions of other branches. Ideally, people who make up these branches would be separate and distinct.

Development of the doctrine of separation of powers is attributed to ancient and modern writers (Alvey, 2005). The writing of ancient philosophers such as Plato (427 – 347BC), Aristotle (384 – 322BC) and Polybus (205 – 123BC) influenced modern writers (Alvey, 2005). Their writing formulated theories of government, political theory as well as defining the key functions of government. The ancient 'mixed constitution' designed to avoid competition between factions is considered the ancient version of separation of powers (Alvey, 2005). The 'mixed constitution' was a mix of and balance among three forms of constitution, monarchy (rule by one), aristocracy (rule by the few) and democracy (rule by many) (Fitzgerald, 1980). Of the modern-day writers, Carney (1993) and Alvey (2005), credit Locke (1690), Baron de Montesquieu, the 'Spirit of Laws' (1748) and Madison (1788) with the modern idea of separation of powers. Locke (1690) was critical of absolute monarchy and advocated constitutional monarchy and limited government. Montesquieu (1748) improved the ideas of Locke and is credited with elaborating the modern conceptualisation of separation of powers doctrine. Collectively, they ad-

vocated perceiving separation of powers doctrine as purely a system of checks and balances (Alvey, 2005).

There are three key reasons for separating powers. First, drawn from historical times, separation of powers seeks to protect liberty and promote good government through dividing different powers of government among three branches of government. According to Carney (1993), Montesquieu suggested that, to avoid arbitrariness, and promote liberty, power of governance should be divided between three organs of the state. In promoting good governance and protecting liberty, the doctrine aims to use checks and balances to reduce abuse of power (Persson et al. 1997). The theory works by creating subtle conflict of interest between the three branches of government. It is assumed that this allows the bodies to discipline one another to the voters' advantage (Persson, et al. 1997). By applying a strict separation of powers, it is assumed, 'each branch will be a check to others and that no single group of people will be able to have total control of machinery of the state' (Carney, 1993:2).

The spirit of the doctrine is that if a single person or body held all three functions or powers, it would result in dictatorship and arbitrary rule. The doctrine suggests that political stability and freedom would be secured if the three arms of government remained separate. According to Carney (1993), Montesquieu argued that if power is concentrated in a single person's hand or a group of people then it results in a tyrannical form of government. They saw separation of powers as a way to reduce arbitrary power of unchecked rulers. In its

later application the idea stresses the role of citizenry and gives citizens the rights to criticize state action.

Persson and others, (1997) describe separation of powers as a basic constitutional principle of liberal democracy that promotes accountability. They argue that separation of powers improves accountability of elected officials and effectiveness of voters. However they caution that this can only happen under proper checks and balances. They noted that separation of powers allows for the design of a system that allows for conflict of interest between executive and legislature and needs for executive and legislature to agree in legislative decision making (Persson and others 1997). Scholars identified three general ways in which a legislature may control the executive in a separation of powers system; oversight, legislation and budget making.

They suggest for separation of powers between the legislature and the executive tools to work, there must cooperation between the two branches in policymaking. The legislature should have ability to oversee the executive and executive must be willing to comply with legislative laws. They give budget formulation as an example of how separating powers can work and produce accountability by splitting the decision over budget formulation into two stages while requiring both policymaking bodies to agree at each stage. Closely analysed, one body (executive) has full control over the size of the budget, while the other body (legislature) has complete agenda setting over composition of the budget. They caution, however, the mere existence of conflict of interest alone is not enough to improve accountability; howev-

er, it is important that no policy is imposed unilaterally without agreement of the two bodies.

Persson and others (1997) highlight the importance of agenda setting power in the design of separation of powers. They argue that important decisions must be separated in part and assigned to the different bodies, that is, executive and legislature. Each body will have full agenda setting power over its part of the decision. Each body will prevent the other from abusing its power through creation of overt and covert conflict of interest. Proper sequence of decision making can introduce controls to deprive the executive and the legislature of most of the rents they use to hold power. Second, separation of powers is a basis for setting up a constitutional system useful for dividing legislative, executive and judicial roles in a new or developing state (Carney 1993). Montesquieu's 1748 publication, the 'Spirit of Laws', according to Carney (1993) influenced the constitution of the United States of America and evolving of the French republic. Third, according to Barber (2001) the purpose of the doctrine of separation of powers is efficient government. He argues that separation of powers is a tool to achieve a constitutional objective, that is, the goal set for the state by political theory. If the constitutional objective of a country is to be a democratic state, separation of powers theory can help a state achieve this objective.

A major critique of the separation of powers doctrine is the existence of major differences between its theory and its practice which have resulted in a complete separation being possible only in theory and not in practice (Alvey, 2005). These difficulties

emerge, from the three-part classification of government power and functions. This classification and the nature of government functions ensure that it is not always possible to impose a strict doctrine of separation of powers (Carney 1993). According to Lumb (1983; 24) an absolute separation of powers would lead to anarchy. The realities of government have resulted in separation of powers being applied to varying degrees as governments try to uphold controls. As a result only a partial separation of powers has been implementable, complemented by further controls.

Another weakness of the separation of powers doctrine is assuming that it is possible to define the separate functions of government and to decide to whom their performance should be assigned (Barendt 1995). It is not possible to clearly place government functions into these three branches of government because governments the world over, enjoy significant delegated authority. Barendt (1995) argues the failure to conform to a strict separation of powers should not take away from the overall objective of separation of powers, which is to promote liberty and to prevent arbitrariness or tyranny in government which may arise from the concentration of power. The allocation of functions between three, four or five branches of government is not the most important, but that it is a process to achieve that end. Precise allocation may not be the most important factor; however, insensitive allocation may also produce incompetent inefficient government. He also cautions that, while it is possible to define in general terms the legislative, executive and judicial functions of government, what is crucial is that this distribution is enforceable by the courts. The absence of the en-

forceable distribution presents challenges for the doctrine.

Barber (2001) emphasises that, instead of allocating functions to an arm of government best suited to execute them, the competency of institutions to carry out these functions should be more important considerations. These may include composition and skills available, the knowledge and experience of actors in the institution, information gathering powers of the identified institution, decision making processes in the institution, and vulnerability of the institution to outside factors, among others. In essence Barber (2001) presents structural concerns that should not stop the allocation of functions but should be considered when engaging the doctrine of separation of powers, concerns that relate to deeper issues of legitimacy as well as the normative theories of rights and democracy. Separation of powers, therefore, presents opportunities for efficient exercise of power when various types of power are allocated sensibly to the right kind of institution.

Reality is that not all government functions can be neatly slotted into just one of the categories identified in the doctrine (Carney 1993). Instead there are suggestions that within a separation of powers exists a combination of both a separation and fusion of powers. For example, in many countries there is common acceptance the judiciary is sacrosanct and functions and responsibilities of the judiciary are distinct. However, there are suggestions, in the Commonwealth, of partial fusion between executive—executive and the legislature (Assembly)—(Bagehot 1963). The doctrine assumes that it is possible to distinctly separate the personnel that are involved with

the Legislature, the Executive and the Judiciary. However, practically this is not always possible. For example in the Westminster system, the personnel of the Executive (Ministers) must be chosen from members of the Legislative Assembly, Members of Parliament (MPs). This presents an overlap which Carney (1993) describes as necessary as it promotes responsible government by making the cabinet responsible to the Legislative Assembly. While in many cases the separation between the Judiciary and the other two branches is clearer, the powers of the three branches of government overlap sometimes. Another weakness of the separation of powers doctrine includes that it is not always contained in a country's constitution and therefore cannot be enforced by law.

The separation of powers principle is also criticised for being subject to external factors such as whether the system of government is a presidential or parliamentary democracy as different constitutions can strengthen or weaken the components sharing power. The institutional arrangements implemented in the judiciary, the legislature and the executive also have an influence on the functionality of the separation of powers doctrine in practice. Sometimes the form of separation of powers adopted is subject to political practice or legal arrangements. In some instances where separation of powers is not a legal restriction, it is complimented with other controls such as committee systems of parliamentary review and action (Carney 1993). As a result of these implementation challenges and innovations, a complete and strict doctrine of separation of powers exists only as a theory. There are implementation challenges to the separation of powers doctrine. While the sep-

aration of powers doctrine emphasises the interaction among the judiciary, executive and legislature, this article is interested in the separation of powers and the interaction between the legislature and the executive. The conceptualisation and implementation of the separation of powers has evolved over time and one example of this evolution is the development of legislatures. Over the past three decades, legislatures have enhanced their capacity to play a more active role in the policymaking process which has been dominated by the executive. Legislatures have assumed greater responsibility in formulating policy, and more actively oversee the operations of the executive branch oversight). This oversight role has taken many forms.

One way is of legislative standing committees responsible for continuous review of the work of the state agencies. Legislatures also create special committees or staff agencies designed specifically to evaluate agency operation and performance. In addition, legislatures review (and sometimes, veto) the rules and regulations developed by executive agencies to implement law. According to Persson et al, (1997) the separation of powers can have many rationales such as prompt correction of mistakes or protection of minorities; key to this is separation of powers assist a government to promote principles of democratic governance through limited government. The theory of separation of powers, mechanisms and tools as outlined above can be used to assess and evaluate the practical institutional arrangements in South African local government in general and as practiced in the City of Johannesburg in particular.

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# THE EFFECTS OF POOR COMMUNICATION IN SOUTH AFRICAN LOCAL MUNICIPALITIES

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## ABSTRACT

*This paper explores the aspect of communication among appointed officials, councillors and community structures. Communication is mainly in three ways, firstly, communication between the officials and the recipients of services, secondly communication between the councillors and thirdly, their constituencies and the communication from the constituencies to the councillors and bureaucracy of local municipalities. Central to this problem is the feedback to communities on the local municipalities' visions for development, perceived ineffective channels created by the municipalities to interface with the communities and lastly, perceived lack of interface between the elected councillors and the communities. A lack of communication from councillors, officials to the communities slows up the operations of the local municipalities and causes poor decision making on issues affecting the people. Effective communication channels between the municipalities, Ward Councillors and the communities lack power and influence in effective provision of services. This impact negatively on the public and the officials. The municipality's communication channels include amongst others mayoral "imbizos" and ward committees' participation within all wards of the municipalities as stipulated in their respective Integrated Development Plans (IDPs). The research design used in this paper was qualitative in nature and data was collected by means of an extensive review of government and public documents, academic books and articles. The paper concludes that an intervention is needed in order to change and enhance communication strategies in local municipalities.*

**Keywords:** *Communication, Councillors, Integrated Development Plans, Ward Councillor*

## 1. INTRODUCTION

Communication serves as a base for control and coordination in institutions. Hence it provides information essential to effective completion of the institutional mission. Effective communication is the interchange of information between two or more persons. In addition, the study of organisational communication centres on procedures of interaction means by which people obtain information, form opinions, make decisions, merge into the institution, leave the institution and create relationship and understanding with one another. Furthermore, communication is central to the success of most of all institutions, therefore when change is occurring in an institution, communication is mostly even more essential to implement that change effectively (Alyushina & Kucheruk, 2010).



Sanchez (2008) argues that communication is the exchange and flow of information and ideas from one person to another. It involves a sender transmitting an idea to a receiver. Effective communication occurs only if the receiver comprehends the exact information or idea that the sender intended to transmit. A typical communications model has five elements: namely; a sender, a message, a medium, a receiver, and a feedback process. To this end, this paper will inform and educate people about the role of effective communication in sustainable local development. Moreover, the significance of this paper is to ensure that issues pertaining to service delivery are communicated and debated by the communities and relevant stakeholders in municipalities. It can be argued that knowledge is power only when applied, and this paper will assist the Ward Councillors and the society as a whole to share knowledge and cascade skills in communities. The importance of communication is to ensure that services are implemented as communicated. This paper begins by presenting a related literature review on the topic. It further provides an analysis of issues directly affecting communication. Furthermore, the paper comprises of a discussion on the findings and recommendations that municipalities can consider applying in their respective boundaries. The paper concludes by expressing the fact that effective communication is a complex process.

## **2. COMMUNICATION AND MUNICIPALITIES**

This paper is based on legislation such as the Constitution of the Republic of South Africa, 1996 and the *Local Government Municipal Systems Act, 2000* (32 of 2000) which compels municipalities to consolidate views of

its communities through public hearings by allowing citizens to have a continuous input into local issues. In essence, there is a need for community involvement in the affairs of local municipalities as well as to allow communities to contribute to the decision making process of municipalities. Alyushina and Kucheruk(2010) argue that ineffective communication is capable of increasing the level of concern and fear in the public, as well as to enhance rumours that result in an insufficient perception of risk. The current practice of communication in certain municipalities cannot satisfy all the needs of the whole society to debate decision making and obtains reliable communication, which is the foundation for obtaining mutual trust from the community and stakeholders. Sensitive and productive assessments of risks are achieved through effective communication. Ineffective communication between the municipalities, public and stakeholders influence negative impact in the Municipal Councils to allow citizens to have constant inputs into local politics. In this connection, Magubane (2014) observes that protests related to proper water supplies and housing, and municipal corruption have hit most municipalities thorough out the country due to poor/lack of communication.

Byrd (2008) indicates that the Municipal Councils often discourage the involvement of the local community and it dictates the community's right to contribute to the decision making of the municipality. Community involvement results in various methods to setting up different strategies to consult the local communities on the municipalities' draft budgets to achieve a common goal of developmental local government. Alyushina and Kucheruk, (2010) suggest that

poor of communication creates further difficulties to public engagement and drops the confidence of the provision of public goods and services to communities. Ineffective communications among members of the communities and their respective municipalities, lead to poor institutional arrangements, unpleasant local relationship with the communities and the municipalities. Findings by Nashir-uddin (2013) on the challenges to enhance effective communication suggest that they arise due to numerous forms of delegation without proper direction and result in miscommunication. The further argues that because of swift municipal development, individuals increase in town areas, and this increase result in a gap between communication, demands and provision of municipal facilities and services. It is argued that effective communication develops interest in the issues, challenges, and reform measures needed to be taken for ensuring the efficient and effective communication functions at the local government sphere since it lacks serious intervention. The theoretical context of local government has a variety of communication constraints between ward councillors, members of a community and other stakeholders of a municipality.

Furthermore Hanssen (2008: 1) found that the extent, to which local politicians utilise means of communication channels in their contact with residents and stakeholders, is linked with traditional forms of communication such as face to face. In addition, politicians make a use of telephone contact which still does not cater to inform all the people about the municipal decisions on important matters affecting the general wellbeing of communities. Municipal councillors' uses e-mails as an important means

of communication channel to talk to residents, officials of the local government and ward councillors as to electronically debate issues, which is not effective because not all of the residents possess email addresses. E-mail utilization exists in municipal chain of command, and the usage of e-mail in work related matters must be communicated to ensure effective provision of goods and services in the best interest of the society. The means of the methods of communication is unable to transfer all essential local knowledge from residents to local councillors to the municipal authorities. Heinelt (2013) identify that lack of communication between the municipality and society discredit the understanding of democracy which is determined by the Constitution of the republic. A lack of communication affects councillors negatively to debate issues that affect their role in the community to perform a specific role according to their understanding of democracy.

According to Denters and Klok (2013) the focus is on the negative influence of inability to communicate issues on the orientations of local councillors concerning representative roles and behaviour of ward councillors. The lack of effective communication does affects ward councillors as individuals to support for participatory governance in the municipalities. In essence, with regard to ineffective communication in the municipalities, it influence the role of ward councillors, community and other stakeholders very weak and it indirectly affect municipality negatively to understand how councillors and community value responsiveness. With regard to a behavioural responsiveness, municipalities do not take into account the ethical behaviour to lead to effective communication. It is clear that

a gap of communication between communities and municipalities impact negatively to the society's participation in putting comments to the draft budget of a municipalities. Plüss (2013) supports the view for a development of a new form of political routing at the local sphere of government as a matter of reality since it has been established in numerous studies that lack of communication is a factor that influence poor service delivery. However, various means of communication arrangements such as public hearings have unequal effects on the political will and often reinforce the influence of the municipal council to communicate effectively issues affecting the whole society. Furthermore, the inability to frequently communicate has a negative impact on the importance of the council in local politics (Plüss, 2013).

Van Schalkwyk, (2014) is of the view that ineffective communication during the working hours, tends to waste time. Hence, poor planning and communication occur more often in the local sphere of government. The gap rises inappropriately between councillors, community and appointed officials of municipalities to frequently contacting each other on issues affecting the whole general society. Moreover, ineffective communication amongst the municipal officials tends to have negative influence into office gossip and unethical behaviour of the staff. In this connection, the sender has information that they are wishing to deliver and share through a method of communication. The message is the information being communicated. In addition, the medium is the method the sender chooses to transmit or share the information. The receiver is the recipient of the message and the feedback process allows the sender to

know that the message was received and understood (Smoke, 2005). Koval and Thaler (2003) argue that if one of these components of the communication model is not present, then the communication process or message trying to be conveyed could become misunderstood, or communicated in a manner that the sender did not intend. Many of the breakdowns in communications throughout institutions has had one of these components missing that has led to the miscommunication, lack of communication, or some barrier affecting the communication. In fact, as soon as email writers start using text phrases to describe emotions that would normally be delivered via physical body language, the intended message could be misunderstood by the reader due to a complete misinterpretation of the writer's emotional tone. Expressive and careless messages are sent before the sender has reflected on the message being sent which could potentially lead to ill feelings and negative consequences. In addition, an email could be sent to the wrong recipients creating privacy or personnel issues (Hahn, 2007).

Communication is an active process on all parties involved that requires the person receiving the message to actually listen to that which is being said. It is not enough to just hear the message, but to understand, remember, and provide some sort of feedback to the message. Furthermore, what counts is the material of the communication and the nature of the person doing the communicating including his or her ability to listen as well as to talk (Bossidy & Charan, 2002). The above related literature had an important impact in supporting and influencing the purpose of this research. In addition, the literature review clearly showed

and documented the number of variables that could affect effective communications between municipal officials, Ward Councilors and community members in municipalities. However, achieving effective communication is not always easy, nonetheless the results are worth it. Adding to the above, it is significant to acquire increased effectiveness and efficiency, higher moral, an honest exchange of thoughts and opinions and a more harmonious work environment (McWilliams, 2005). Indeed, enhanced communications will support and assist to foster a closer employer and employee working environment and develop an atmosphere in the organization to encourage discussion and the exchange and sharing of information to improve communication in municipalities. Furthermore, face-to-face communication is still regarded as the best way to communicate a message and get the full meaning and intent across to the receiver (Metcalf, 2007).

### **3. ISSUES DIRECTLY AFFECTING COMMUNICATION**

Without efficient communication, any institution is unable to exchange information essential to daily operations and create a communication network to carry new item for consumption of data. The following issues have been identified for the purpose of this paper:

#### **3.1 Language barriers**

A miscellaneous workplace such as a municipality has interest of its community members at heart, such as a variety of services provided by the municipalities amongst others include water and sanitation, electricity and refuse removal. But the language barrier that can sometimes occur in a diverse workplace, or any workplace, might become a communication problem. Furthermore, there might be language barriers be-

tween people of different ethnic backgrounds in communities, people of different ages and people with different levels of industry experience. Any language barrier is going to slow communication or create misunderstandings that make communication ineffective within municipalities (Gallo, 2007).

#### **3.2 Personal issues**

According to Robbins, (2012) effective communication in municipalities is based on professional correspondence designed to assist in the daily operation of municipalities as well as the continued growth of municipalities. When employees allow personal issues to affect the municipal communication, a communication problem develops that could take a long time to track down and resolve. For instance, people who refuse to communicate based on a personal disagreement are damaging a municipality's ability to deliver effective services to the society and these slow the growth of the municipality at large.

#### **3.3 Lack of feedback**

O'Dea (2008) identified that a one-way communication can become an ineffective way to exchange information between the officials, councilors and community members throughout the municipal communication channels. Furthermore, employees and managerial staff should provide feedback at all times to the councilors as well as to the communities as to improve the quality of information disseminated and the manner in which the information is delivered. For instance, if a municipality have a tendency to send out information in a format confusing to other people in and outside the municipality such as stakeholders (Churches, government departments and private businesses, etc.), then the municipality needs to be informed of its communication problems immediately or else the information coming from that group will always pose a communication challenge.

### **3.4 New appointees**

When new employees are brought into an institution, the need is to ensure that appointed employees and elected councilors as well as the public receive comprehensive introduction into the proper ways to communicate throughout the municipality. In addition, institutions which do not include communication training in their new hire orientation programs will be forced to struggle with new appointees who are forced to learn proper communication procedures (Palazzolo, 2008).

### **3.5 Inaction**

Kwon and Onwuegbuzie, (2005) argue that one of the biggest effects of communication barriers in institutions such as municipalities is that they causes employees to fail to deliver on requested directives. Moreover, a weak delivery of a message can cause the intended receiver to fail to act. Hence, this weakness can mean the receiver is uncertain about the request. Often, it can mean the sender has failed to present the request in a way that motivates the receiver to take immediate action and perform to expectation.

### **3.6 Misinterpretation**

Misinterpreted messages are also an effect of communication barriers in municipalities. While this can stem from poor communication efforts by the message sender, municipalities has two common barriers that can lead to misinterpretation. However, language and communication differences are common as municipalities become more diverse. Additionally, noises and distractions in the work environment can cause confusion during the reception and interpretation of messages (Miura, Kariyasu, Yamasaki and Sumi, 2004).

### **3.7 Bad work relationships**

Cornelissen, Durand, Fiss, Lammers and Vaara (2015) agree with the literature that several common communication barriers can lead to disengaged and even conflicting relationships among colleagues, or between community, ward councillors as well as supervisors and subordinates. Yet, a barrier commonly tied to this negative effect is emotions. However, when a workplace becomes overly affected by the emotional state of one, a few or several workers within the organisation can significantly affect the ability of people to work together. For instance, a supervisor who routinely expresses negative emotions can overwhelm workers. Additionally, co-workers who routinely project emotional eruptions can create hostile working relationships.

### **3.8 Lack of knowledge**

According to Sanchez (2008) inappropriately structured organizations and communication processes and several other common barriers can eventually contribute to an environment in which employees and the community generally lack knowledge about the institution, its mandate, vision and purpose. However, this can contribute to poor service delivery and productivity, creativity and results within the organization. Thus, it can also lead to poor communication and ineffective results during interactions with clients or customers of the municipality known as the community. Furthermore, top management should take on the responsibility of making certain each employee has knowledge to do his or her job. Munilla and Dosier, (1991) identified nine issues which directly affect effective communication on day to day operations and are now highlighted below:

### **3.8.1 Not all employees are being kept informed**

The assumption is that the usual modes of communication will send important information to everyone who needs to know and that everyone will receive this information. However, in many institutions, the information does not reach people who are not using those methods of communication on a regular basis (e.g., email that is not read by front-line workers).

### **3.8.2 Employees not receiving consistent messages from management**

Different supervisors are sending different, sometimes conflicting messages about priorities. This causes confusion and distrust among employees.

### **3.8.3 Employees not receiving timely messages**

Information is not getting to employees when and where they need it. Without vital information at the right time and in the right place, the decision-making process slows and projects are not completed on time or in the best way.

### **3.8.4 The right information is not being sent to the right people**

Critical information (e.g., market data) is not being shared among key stakeholders. Top management is not engaging employees who have most of the customer contact in the important decisions of the institution. Employees are not getting important information to management.

### **3.8.5 Expectations are not clear**

Top leaders do not discuss expectations with mid-level managers. Therefore, they do not have the same expectations nor do they agree on how to reach strategic goals. Because of this, employees do not have clear goals and benchmarks to guide their progress.

### **3.8.6 Plan for the future is not known**

Leaders do not discuss their vision for the future of the institution with employees. There is no

sense of a shared direction toward which everyone is striving. This does not inspire employees to do their best work.

### **3.8.7 Functional areas not collaborating**

Departments/units do not share the information that could help all departments/units achieve common goals. They are competitive rather than collaborative. This limits the capability of the institution as a whole.

### **3.8.8 Employees not open with each other**

Employees do not share information with each other. They do not trust each other. This compromises the productivity of teams, departments/units, and the organization.

### **3.8.9 Communication hampered by distance between units**

Departments/units that are in different locations do not communicate as much and as often as those in close proximity. The distance makes face-to-face meetings harder to arrange and collaboration takes more time.

Even in this age of email, cell phones, text messaging, and Web conferencing, critical communication among leaders, between management and employees, and between departments/units, still does not happen as much and as often as needed. Municipalities are not exempted from these.

## **4. FINDINGS AND RECOMMENDATIONS**

This paper focused on the literature and observations, which allow the paper to be much essential as to enhance effective communication as much significant in municipalities to ensure effective and efficient provisioning of goods and services to the people. However, the current practice of communication in most municipalities cannot satisfy all the needs of the communities to debate decision making and obtaining

reliable communication, which is the foundation for obtaining mutual trust from the community and stakeholders. Moreover, public participation which is held by the municipalities clearly give evidence that the Municipal Councils discourage the involvement of the local community and it dictates the community's right to contribute to the decision making of the municipalities. However people fail to attend meetings due to lack of effective communication between ward councillors, municipal officials and the communities as a whole. Ineffective communication among members of the communities and the municipalities, lead to poor institutional arrangements, unpleasant local relationship with the communities and the municipalities. However, findings on the challenges to enhance effective communication are due to numerous forms of delegation without proper direction due to miscommunication between the community, municipal officials and the elected ward councillors.

Furthermore, the means of the methods of communication is unable to transfer all essential local knowledge from residents to local councillors to the municipal authorities. In essence, ineffective communication within the municipalities influence the role of ward councillors, communities and other stakeholders in a very weak manner. However poor communication indirectly affect municipalities negatively in a way that councillors and members of the communities value responsiveness and accountability from the appointed officials of municipalities. Nevertheless, various means of effective communication arrangements such as public hearings have unequal effects on the political will and often reinforce the influence of the municipal council to

communicate effectively issues affecting the whole society. Van Schalkwyk (2014) argues that ineffective communication during the working hours, tends to waste time. Hence, poor planning and communication occur more often in the local sphere of government. The main challenge in the municipalities is the implementation of new means of communication steering modes which then generally weaken the councillor's position of power to be rejected. Based on the above discussion, the following recommendations may serve as guidelines to municipalities:

#### **4.1 Ways to enhance effective communication**

Obviously, there is a significant cost to the poor communication that is much persistent in variety of work groups, teams, and government institutions. Fortunately, there are numerous things which one can do in order to enhance the excellence of individual and institutional communication. Van Schalkwyk (2014) identified the following ways to enhance effective communication within the workplace, particularly in municipalities where there is a high need to ensure good governance:

#### **4.2 Use multiple channels for institutional communication**

One of the greatest effective ways to make sure that people get the message is to send it through numerous channels of communication. In other words, more effective channels include meetings, face to face talks, e-mail, faxes, telephone conversations, bulletins, postings, and memos just to mention a few. However, the key is to ensure that appointed officials and councillors in local government always make use

of multiple approaches to distribute a message. In addition, the need is to never rely on a single channel of communication.

#### **4.3 Make important messages repetitive**

Adding to using multiple channels, municipality can improve its communication by repeating important messages from time to time to public at large.

#### **4.4 Focus on listening**

Focus on listening is very vital during individual (one on one) communication. However, the biggest reason is that most of the people are poor, people do not take the time to active listening. In other words, to focus on listening can be done by using thoughtful listening skills (rephrasing what others speaks in order to confirm understanding), using good nonverbal behaviors and body posture (for example, face communication partner with an open stance), and focusing on the partner by making a conscious effort to listen first instead, of trying to get the message across first. However, the need is for one to tell herself or himself to allow others to talk and listen.

#### **4.5 Get the message across**

After one has done to listen and fully understood the communication of the other, therefore, the need is to ensure that

one get the message across in the exact way it is intended. In addition, to do this, one need to speak openly and honestly, and be as straightforward as possible (no beating around the bush); a person need to speak inclusively and use terms that will be understood and respected by a diverse array of individuals as well as to check for understanding to make sure the message has been received accurately.

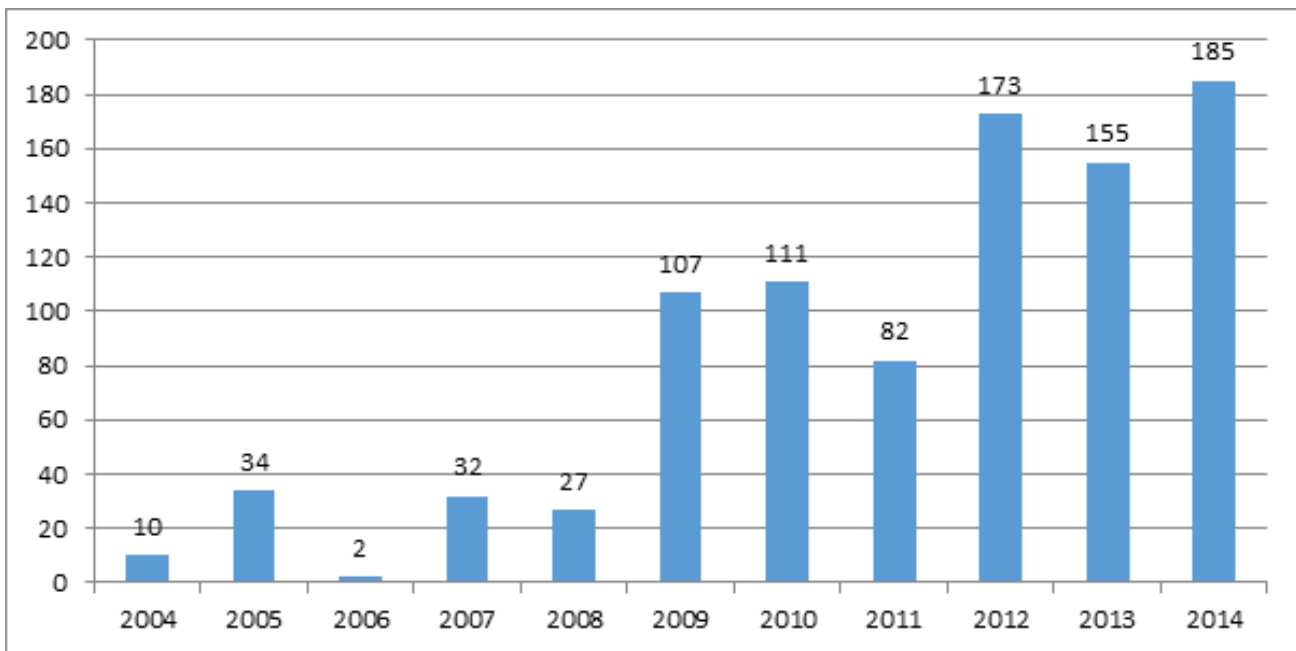
#### **4.6 Handle communication problems**

Finally, one must become more effective at managing the communication problems that will certainly arise during human interaction. However, such problems include conflict, difficulty in resolving problems, misunderstandings, dealing with difficult people and managing cultural differences. According to Heinelt, (2013) it is clear that communication takes effort. Nonetheless it is effort well spent given the benefits. However, communication should be more pleasant, more productive at work setting in which everyone feels valued. Adding to the above, the ideas are shared openly and relationships are characterised by trust in effective communication. This paper argues that poor communication by municipalities to communities does hamper progress, and results in escalating service delivery protests as experienced in the country and is de-



picted on Figure 1 below:

**Figure 1: Service delivery protests by year for 2004 – 2014**



*(Adapted from Municipal IQ Municipal Hotspots Monitor)*

## 5. CONCLUSION

This paper depicted the fact that communication is something that people do reflexively like breathing. People talk to their spouses, kids and friends without giving much thought to how they are doing it. However, it might seem easy, but communicating effectively actually takes quite a bit of diplomacy. For instance, choosing the right words, listening with our minds instead of just our ears, and getting our message across are skills that all people need to work on. Hence, at home and in social settings, miscommunication can lead to arguments. In the workplace, the effects can be far more serious. In addition, poor productivity, unmotivated employees can result from communication failures at the office. However, to improve communication within a team and throughout an entire institution, the need is to implement a few easy but important changes to the corporate philosophy and practice. Effective communication is the lifeblood of an institution. It is the medium through which an institution's vision and goals are interpreted and understood by both its internal and external stakeholders. Thus, it is clear that effective use of communication is often identified as a main problem between municipalities and the recipients of services. However, lack of communication from councillors, officials to the communities slow up the operations of a municipality and causes poor decision making on issues affecting the people.

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