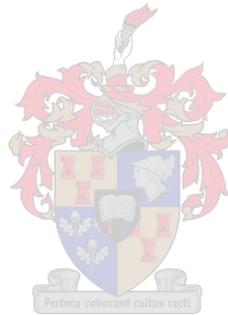**"An assessment of the implementation of the Service Delivery Improvement Policy in the Department of Arts, Culture and Tourism in KZN".**

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"Thesis presented in partial fulfilment of the requirements for the degree of Master of Public Administration at the University of Stellenbosch"

Supervisor:- Profesor Erwin Schwella

Proposed Date of Award:-   December 2008

I, the undersigned, hereby declare that the work contained in this thesis is my own original work and that I have not previously in its entirety or in part submitted it to any university for a degree.

Signature:- V V Mnculwane   Date:- 7 August 2008

CHAPTER 1

1. INTRODUCTION

As an attempt to usher in a paradigm shift in the way public services are rendered in the new dispensation, Section 195 of the Constitution of the Republic of South Africa, Act No. 108 0f 1996, envisages a Public Administration governed by specific values and principles intended to act as a guide in government's endeavours of seeking to provide services impartially, fairly and without bias. According to the supreme law of the country, this could be achieved among other things by responding adequately to the needs of the people and further entrenching the participation of the citizenry in the policy processes of government; thus deepening good governance.

Part of the challenge that faces the realization of what the Constitution envisages centres largely around the transformation of public servants sothat they begin to deliver services in a way that puts the citizen first. To this extent government has already responded with a very ambitious *Batho Pele* program, the implementation of which is intended to effect a turn around in the Public Administration status quo bequeathed by the past, so that it is deliberately focused on the needs of the client.

The current section of the thesis is an introduction to the entire work aimed at assessing the levels of implementation of the Service Delivery Improvement Policy of Provincial Government within the Department of Arts Culture and Tourism in KZN. The introductory section therefore seeks to do the following. Firstly, it will offer an abridged background to the development of the idea of this thesis and thus offer the motivation for the study. Secondly, it will provide another short survey of the preliminary literature consulted which subsequently gave rise to the present research topic. Subsequently, the statement of the

research problem and the objectives set for the study will be explained followed by the type of research design adopted; while the penultimate section will focus on the actual method of inquiry employed in the research. The concluding section briefly outlines the relevant chapters of the thesis.

2. BACKGROUND

The advent of a new political leadership in KwaZulu-Natal in 2004 has subsequently ushered in a paradigm shift in the area of policy direction and governance in general. On the one hand, public participation in policy making is gradually taking centre stage and virtually transforming government from being a lopsidedly elitist enterprise to a more inclusive project, deliberately punctuated by forums strategically created to elicit public insights and opinion on policy matters from a wider front; and by so doing arguably determining the face of governance in the province. On the other hand, the alleged shift from an elitist to a populist orientation has inevitably created a characteristic interest in entrenching a robust transformation of the public service in the province which - among other things - occasioned in 2004, a rigorous organizational review process of the Office of the Premier as the nerve centre of provincial government. The said review process eventually gave rise to an integrated Service Delivery Improvement Policy, the fundamental aim of which is to address the identified weaknesses in service delivery initiatives which were already impacting negatively on the realization of a specific provincial goal of Strengthening Governance and Service Delivery in the province.

However, notwithstanding the said commitment to the transformation of Public Service Delivery at the strategic level of policy formation in the Premier's Office; there is sometimes a perception that the implementation of the policy at the operational level of government (i.e. in various provincial line departments) still leaves much to be desired. It can be argued that the state of affairs could be the result of the nature of the policy itself; whereas others may want to contend that it is the lack of capacity to implement within the relevant departments which is the

ultimate source of inadequate implementation. Others still would like to infer that it is the lack of political will responsible for the non-implementation of the policy.

3. THE PRAGMATIC NATURE OF POLICY AND THE SOUTH AFRICAN POLICY CONTEXT.

It can be argued that right from its inception, the study of policy has been a discipline characterized by a strong orientation towards pragmatism and utilitarianism. In an erudite article tracing the ultimate origins of policy science, the scholars de Leon and Overman (2004: 11), assert that at the incipient stages of the development of the discipline, it was argued that unless knowledge and ideas are found to be helpful in the quest to transform and improve the human condition, they can only be regarded as an irrelevant esoteric ivory tower exercise which has no practical relevance to life's problems. To an extent, the said pragmatic orientation of policy studies indirectly underscores the importance of the 'implementability' of a given policy. Unless a policy is implemented, it cannot bring about the expected transformation of the situation for which it is intended.

In his critical analysis of the policy implementation processes of the South African government, van der Waldt makes an illuminating reference to the evaluation made by the 1998 Presidential Review Commission on the subject. According to this report, it is concluded that, while South Africa has well crafted relevant policies, it is nonetheless evident that numerous inhibiting problems arise in the implementation phase of the said policy interventions.[1] To this extent it is inferred that whatever measures and policy interventions set in motion both at the legislative and executive centers of government, are not necessarily implemented as per their intentions and potential impact (van der Waldt, 2001: 97). On the other hand, Brynard (2000: 164), adds an interesting nuance to this

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[1] The observation of the Commission is somehow reminiscent of the frustrations felt by Americans about the limited successes of such programmes as the War on Poverty and Great Society Programmes of the 1960's. It is ironical that these concerns initiated a distinct approach to the study of implementation and virtually shifted focus from the initial stages of the policy process to the actual exigencies of policy implementation (Hill & Hupe, 2002: 42)

criticism-cum-indictment. On the one hand he concedes that policy analysts concur that policy implementation is crucial. On the other hand however, he identifies a characteristic tendency evinced by many which seems to imply that policy implementation could easily be an aspect of policy management that never existed. Brynard further observes that the legacy can be traced as far back in the history of policy science as the 1960's and 70's in America and Western Europe respectively (Brynard, 2000: 164)

The KwaZulu-Natal Provincial Growth and Development Strategy evaluation highlights the lack of compliance with legislation and by implication the lack of implementation thereof as one of the critical factors stunting development in the province. A careful study of the strategic documents of the KwaZulu-Natal Office of the Premier tentatively provides part of what it considers as responsible for the lack of effective implementation of relevant policies in the province. In its abridged report of the survey conducted by the Sub-Programme: Macro Policy Development and Strategic Planning a conclusion is reached that there is a profound dearth of public policy management and public policy analysis skills in the Provincial Government (KZN Office of the Premier, Strategic Plan 2005-2010: 35). Taking particular cognizance of the fact that policy implementation itself is a critical aspect of the policy process, the lack of relevant skills in this regard is construed as responsible for the state of affairs alluded to by the KZN Provincial Growth and Development Strategy.

The Office of Premier of KwaZulu-Natal has issued a number of documents which spell out in no uncertain terms the Service Delivery Improvement Policy of Provincial Government. The intended research will seek to identify the extent to which the policy is implemented within the newly established Department of Arts, Culture and Tourism in KZN which came into existence with the advent of the new dispensation in 2004. To this extent the study will be limited to the Head Office in Pietermaritzburg as well as the four clusters strategically located as comprehensive service delivery centers of the department around the province.

Consequently, in the light of the above cited preliminary evidence, it can be concluded that the implementation of a policy is important and to that extent cannot be left to chance. On the contrary, it deserves the attention that is normally given to other aspects of policy management if it is going to be successful. The Service Delivery Improvement Policy of the KZN Office of the Premier is by no means an exception to the rule; hence the present endeavor to interrogate its implementation.

4. THE STATEMENT OF THE RESEARCH PROBLEM4. THE STATEMENT OF THE RESEARCH PROBLEM

The present thesis is primarily an assessment of the extent to which the Service Delivery Improvement Policy of the KwaZulu-Natal Government, as advocated by the Office of the Premier is implemented by the Provincial Department of Arts Culture and Tourism. The aim of this study therefore is to critically analyze the policy with the intention of determining its intrinsic potential for successful implementation; and further ascertain the level of implementation thus far achieved by the new provincial department, established by the new government currently in power since 2004 in the province. This is intended to make a contribution to good governance in the province.

However, in order to achieve this aim the following objectives for the study will be pursued. Firstly, the thesis will seek to define the concept of 'Service' as it relates to the public sector and by implication begin to give an indication as to what Service Delivery Improvement Policy of government seeks to achieve. Secondly, the thesis will also critically examine the Service Delivery Policy of the Office of the Premier-KZN in order to indicate the direction it is intended to take when the intervention is implemented. Thirdly, the study will also do an assessment of the implementation of the policy in the operations of the youngest Provincial Department of Arts, Culture and Tourism. The final objective of the study is also

to make a meaningful contribution to the evaluation of the policy and by implication to the improvement of public service delivery in the province.

5. RESEARCH DESIGN

In order to provide relevant answers to the research problem, a qualitative empirical approach to research inquiry has been adopted in this study. Both primary and existing data consisting mainly of textual and to a lesser extent numeric information will be used and analyzed. However, there are possible challenges facing a researcher who adopts this design. They include such possibilities as the bias of the researcher, the cumbersome nature of the process of collecting data and the analysis thereof.

Consequently, the study will focus on the analysis and examination of pertinent data in the form of policies, reports submitted from relevant structures regarded as the conduits of implementation of the policy, as well as data yielded by individual interviews that were conducted. While more emphasis will be on the examination of textual data, limited consideration will also be given to the assessment of numerical information especially in cases where statistics form the substantive content of the documentation interrogated. However, the fact that the intended research has a strong empirical dimension presages that the degree of control will be low.

6. METHODOLOGY

The 5C Protocol Model of Policy implementation will be used as a critical apparatus for analyzing the data of implementation acquired through field interviews and textual analysis of policy documents and other relevant implementation documents of the Provincial Service Delivery Improvement Policy to be studied. This will provide the researcher with critical aspects of the policy that are important for the implementation process. Structured interviews with specific units of analysis have been conducted. The actual sampling of the units

has been guided by the snowball technique and has been restricted to not more than sixteen managers taking cognizance of the gender and racial mix representative of both the Office of the Premier and the Provincial Department of Arts, Culture and Tourism in KZN. A limited number of randomly selected customers have also been interviewed for the purposes of the study. The rationale for focusing more within the said department for data collection is precisely because it is regarded as the conduit of implementation of the policy for this study.

Notwithstanding the aforesaid quantitative tinge in the nature of the study, the strong qualitative orientation in it presages that data analysis tools compatible with qualitative research are going to be used quite extensively.

7. CHAPTER OUTLINE7. CHAPTER OUTLINE

The thesis will be comprised of five chapters provisionally outlined as follows. The current chapter serves as an introduction to the entire thesis. The second chapter provides the theoretical framework and focuses on such things as the literature review on the subject as well as exploring different approaches to implementation theory. The subsequent chapter will elaborate on methodology used by the study; while the fourth section will be an analysis and assessment. The very last chapter focuses on making relevant conclusions and recommendations based on the foregoing.

8. CONCLUSION8. CONCLUSION

The introductory chapter has provided a comprehensive background to the study by highlighting the governance situation ushered in by the new dispensation in KwaZulu-Natal in 2004. This was followed by a brief analysis of the South African policy and the underscoring of the practical nature of policy; while the following sections stated briefly the research problem, the design and the methodology to be used. The chapter was concluded by a brief outline of the chapters of the thesis. Having laid the foundation in the introductory section, the

following chapter will therefore interrogate the subject of the *magisterium* of policy implementation.

CHAPTER 2CHAPTER 2

INTEROGATING THE *MAGISTERIUM* ON PUBLIC POLICY IMPLEMENTATIONINTEROGATING THE *MAGISTERIUM* ON PUBLIC POLICY IMPLEMENTATION

1. INTRODUCTION1. INTRODUCTION

In the previous section of the thesis an introduction to the study was provided by among other things providing the background to the inquiry and briefly exploring questions of methodology. This chapter is an exploration of the *magisterium* of public policy implementation as provided primarily by the literature on the subject. This examination however will be preceded by an abridged explanation of the concept of service in order to provide a context within which public service delivery is construed and discussed in this thesis.

Subsequent to this, the analysis of implementation and its dynamics will ensue followed by an investigation of various theories-cum-approaches to implementation used by various scholars over time. An attempt will be made in this regard to consider, synthesize and summarise specific representative contributions made by a select number of scholars within the period beginning with Pressman and Wildavsky in 1973 through to the latest developments epitomized in the recently published work (i.e. 2007), co-authored by Knoepfel, Larrue, Varone and Hill in 2007.

It is also in this context that a somewhat modest contribution made by South African scholarship in the development of implementation theory more particularly in the person of Brynard will receive some consideration. This will lead to a consideration of important variables for policy implementation as they are to be used in subsequent chapters of the thesis to analyze the policy under consideration. Lastly, specific conclusion based on the foregoing will be made.

2. THE NOTION OF SERVICE AND THE PUBLIC SECTOR2. THE NOTION OF SERVICE AND THE PUBLIC SECTOR

According to the analytical Oxford Dictionary, from a very early age, the word 'service' in the Romance Languages has - in complete contradistinction to their Latin derivation - carried with it transitive dimensions. In Modern English in particular, the word has completely jettisoned its intransitive character typical of its erstwhile Latin usage; and to that extent bears connotations of being a servant, (i.e. to be of service) to another person or working for someone.

In the cradle of classical democracy, the ancient Greek *polis* the privilege to serve one's citizenry as a full time public servant was the hallmark of direct popular rule and for this reason the lot or rota system used for choosing civil servants virtually ensured that to an extent, elitist tendencies were circumvented and public officials constituted the microcosm of the city state[2] (Heywood, 2002: 72). The honor to be a servant of one's community was an opportunity and privilege open to every citizen of the *polis.* At the risk of oversimplification[3] it can still be inferred that to be of service to one's compatriots was every citizen's duty. It is within this context of *diakonia* that the notion of the public service takes its cue. However, the term public service itself acquires specific nuances in the way

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[2] However Plato in his 'The Republic', criticized this seemingly egalitarian popular system of government on the basis that the majority of citizens did not possess the necessary skills and wisdom needed for good governance; and to that extent proposed that particular philosophers and other elitist groups must be expected to rule the city (Heywood, 2002: 72)

[3] The fact that women, slaves and foreigners in particular were not part of this scheme of things in early Athenian Democracy can be used as an indictment against this conclusion (Heywood, 2002: 72)

it is used within the discipline. On the one hand, there is a tendency to use and define the concept as referring to the type of personnel whose focus is the administrative functions of government; and to this extent the public service is synonymous with the civil service.   It can be argued that this is an anthropocentric definition of the concept. On the other hand, there is an explanation of the concept which seems to suggest that public service refers to a state of being. To this end the public service is a state of being employed in the civil service.

The two approaches are in essence not mutually exclusive but refer to different aspects of the same complex phenomenon. There is for an example, a sense in which The Public Service Act No. 103 of 1994 of the Republic of South Africa evinces this rather composite if human resource management oriented understanding of the public service concept.   Section 8 of the said prescript virtually describes the public service as a phenomenon that consists of persons who are, in one way or the other, holding office within the establishment of government.

By the same token, there is also an understanding of the public service which while implying the above explications-cum-usages of the concept, nonetheless creates an important nuance in its focus by laying more emphasis on the actual services that are provided for the citizenry by the personnel employed in the civil service.   It is often within this wider integrated context therefore that the transformation of public service delivery is interrogated and explicated.

3. THE DYNAMICS OF IMPLEMENTATION3. THE DYNAMICS OF IMPLEMENTATION

It can be argued that the aforementioned observation that there is a profound dearth of critical studies of the implementation process (See Chapter 1, Section 3 above), evinces a characteristic tinge of the seminal influence from Jeffrey Pressman and Aaron Wildavsky's pioneer work on implementation. Pressman

and Wildavsky concluded in their work published in 1973, that implementation had not been studied comprehensively while it was paradoxically, much discussed. In their analysis of relevant writings, the two scholars were led to conclude that out of the literature interrogated for this purpose, Martha Derthick's New Towns in Town, was the only thoroughgoing critical analysis of the implementation process available at the time (Shapiro 1978: 29).

The alleged capricious nature of the Pressman-Wildavysky conclusion reached in respect of the absence of critical studies on the implementation process is highlighted by Judith N. Shapiro in her doctoral thesis five years after the Pressman-Wildavysky *causa celebre.* According to Shapiro, the literature survey conducted by the two eminent scholars was virtually predicated on a semantic reductionist perspective of the concept of implementation; and to that extent the conclusions reached were inevitable.

> The search through literature that these two scholars conducted was predicated upon finding the word "implementation" or any reasonable synonyms, such as "execution" or "administration" in the titles searched. The criterion was, perhaps,too arbitrary since a number of studies of public policies deal with the problems of implementation without specifically mentioning implementation or any of its synonyms in their titles. (1978: 29)

For Shapiro therefore, the pervasive influence of one's particular bias in understanding and explaining policy making and its implementation is to a large degree responsible for the conclusion one reaches on the subject. For example, Shapiro (1978: 274) further argues that the bias that conceives of policy implementation purely as administrative function - whereby implementers execute implementation without any recourse to their own individual interpretations of the mandate - is responsible for the notion that all what implementers of policy can do is to simply comply with administrative norms and

procedures in their implementation endeavors. Such an overriding methodological rationale undergirding the understanding of implementation virtually ignores the evidence that there is an important role played by individual implementer's personal idiosyncrasies and values in making specific political choices related to the implementation of a given policy and the chaotic nature of the process of policy making generally.

According to Shapiro (1978: 274), the contemporaneous poverty programs were studied primarily with the intention of analyzing the extent of their implementation success or lack thereof. To this extent, she included in her literature analysis other works which in her view could have been considered by Pressman and Wildavysky had it not been for the arbitrary premise from which she alleges the two scholars were operating.

Shapiro is not by any means the only scholar who was critical of the conventional claim that implementation studies virtually emerged with the publication of such works as that of Pressman-Widavysky in 1973, and Erwin Hargrove's 'missing link' in 1975. About 24 years after Shapiro's indictment, the English scholar Michael Hill and the Erasmus University Rotterdam don, Peter L Huppe in their work titled Implementing Public Policy, argue that implementation has always been a central theme in policy studies. In this way they concur with Shapiro that the fact that the word implementation itself was seldom used in implementation studies of various kinds conducted, accounts for the conclusions reached by Pressmann and Wildavysky in 1973. To this extent, Hill and Huppe directly cite specific works which in their view could have been identified by Pressman and Wildavysky in their celebrated survey.

Pressmann and Wildavysky's bibliography,ostensibly demonstrating
the absence of implementation literature, did not contain such classic
American works as Blau's The Dynamics of Bureaucracy(1955),
Kaufman's The Forest Ranger (1960) and, above all Selznick's TVA

and the Grass Roots (1949) (2002: 18-19)

However, it can still be argued in favour of the two pioneer scholars that, to the extent that the contemporary discussions on implementation were failing to yield a well developed – even if incipient - theory of policy implementation, their observation can still be regarded as legitimate and reasonable. By the same token, both Hill and Hupe also acknowledge the fact that with the advent of Wildavysky-Pressman and Hargrove's publications respectively, there is admittedly a sense in which *"a distinct approach to the study of implementation did emerge at the time"* (Hill & Hupe 2002: 41)

4.   DIFFERENT APPROACHES TO IMPLEMENATION THEORY4. DIFFERENT APPROACHES TO IMPLEMENATION THEORY

The evolution of the discipline of policy analysis has yielded over time distinct approaches to the study of implementation.   Notwithstanding such a development, it can still be argued that except for what can be referred to as variables considered critical for the implementation process, there is as yet no comprehensive and commonly held theory of policy implementation in existence with an intrinsic ability to command consensus from a wider front.   However, a critical analysis of the said development reveals that research on policy implementation has gone through important and critical phases which may have the propensity to lead to the development of a much broader common theory in future.

It can also be argued that the analysis and the resultant classification of approaches to the history of implementation theory is to a large extent an arbitrary if subjective affair depending – amongst other things – on the overriding criterion the analyst uses for such a categorization. For an example, in his brief attempt to review the evolution of implementation theory research Brynard (2000: 167), in keeping with common parlance, traces three distinctive generations of scholarship on the subject. The first is the classical generation which having

been shaped by particular influences, conceived of implementation as something that happens automatically once a policy pronouncement has been made from the corridors of power. The second subsequent cohort of scholars challenged the basic assumptions of the previous contingent; and to that extent construed of implementation primarily as a complex political process which often yielded failure than success. The third group, according to Brynard consists of analysts whose interests lie on the prospects for the development of a fully fledged implementation theory and to that extent focuses more on how implementation works in general. The subsequent section of this chapter will therefore engage in a somewhat in depth critical analysis of some of the important approaches to implementation theory.

4.1 APPROACHING POLICY IMPLEMENTATION AS AN ADMINISTRATIVE FUNCTION

The classical theory of policy implementation conceived of public administration in general as a scientific, rational, machine like bureaucracy that does not defy the laws of order in its functioning. To this extent its machine like mode of operating makes it fairly predictable. In this context therefore, policy implementation is – out of necessity – regarded as a cog in the administrative machinery known as public administration (Brynard, 2000: 167). Construed in this fashion, policy implementation becomes nothing more than a simple automatic function which takes its cue from the pronouncements and directives of those high up in the echelons of power in a given administration. Once a policy is enacted - so it is argued by this school of thought - it is 'thrown to' the administrative machine where it is neither subjected to scrutiny nor to question, but simply implemented as has been ordered. In their essay partly aimed at tracing the evolution that has occurred over time in public policy studies and more particularly with implementation, Barrett and Fudge captured the fundamentals of this development rather aptly when they observed that,

Much of the organizational literature treats the implementation of policy

as a separate process more or less in a vacuum. Policy is made somewhere else and handed in, so to speak, to the administrative system which then executes it. The implementation process is seen as inextricably bound up with organizational structures and processes, that is, policy comes in at the top and successively refined and translated into operating instructions as it moves down the hierarchy to the 'operatives' at the bottom. (1981: 9)

Notwithstanding the particular nuances peculiar to the discipline of public administration in this regard, one can argue that the classical approach to implementation theory has on occasion been influenced by the very same forces that shaped the progress of management as a science.   There is admittedly recognition that there are about three identifiable prominent influences that determined the nature of the classical approach to Public Administration and by implication to the development of implementation theory research. We shall turn briefly to some of these critical influences in the following section of the thesis.

4.1.1 THE SEMINAL INFLUENCE OF MAX WEBER

The mechanistic classical approach to implementation evinces a seminal influence from the German Sociologist, Max Weber's model of bureaucracy. The latter tended to conceive bureaucracy as a firmly ordered, rationalized, legalistic and authoritarian system, which ultimately informed the understanding of the public service as a system *"where a small group of decision-makers at the top create policy and subordinates at the bottom dutifully carry it out"* (Brynard, 2000:167) To this extent, the classical model of policy implementation, as a direct result of its Weberian legacy, ultimately ensured a top down understanding of implementation; while it simultaneously demonstrated a conviction that policy development is a preserve of the powerful elite within the administrative oligarchy. The pervasive influence of the said legacy inevitably occasioned a

sharp criticism from such thinkers as Barret and Fudge in their short analysis of the approach.

> Weberian ideas about hierarchical organization and management are so
> firmly embedded in the conventional wisdom of public organizations
> that it is difficult to stand back and examine critically some of the
> assumptions being made. Many of the attempts to improve performance
> of public agencies follow the logic of organizational studies, assuming
> that if management structures and processes, channels of communication
> and clarity of communication are 'right', effective action will be assured.
> (1981: 9)

4.1.2 THE DECISIVE INFLUENCE OF FREDERICK WINSLOW TAYLOR

There is a sense in which Taylor's *causa celebre* publication on scientific management ushered in a new era in the evolution of management theory in general. In an erudite yet fairly abridged history of the development of the latter, Robbins and Barnwell aptly observe that,

> The publication in 1911 of Frederick Winslow Taylor's Principles of
> Scientific Management marked the beginning of serious theory
> building in the field of management and organizations. (2002: 39)

To this extent it can be argued that the classical approach to policy implementation demonstrates a characteristic influence of the concerns of scientific management as espoused by Taylor wherein the bureaucracy is conceived of as an efficient system closed to outside influences. It can be safely inferred that such influences as these bequeathed by thinkers such as Taylor and Weber were to a large degree responsible for giving rise to an indictment leveled against this closed system of public management and administration as Barrett and Fudge point out.

Public agencies often tend to be viewed as rule bound and inflexible bureaucratic machines which grind on regardless of changing problems and circumstances, concerned more with their own procedures than with the public they are intended to serve. (1981: 3)

The fact that in the classical approach to policy implementation, the bureaucracy was conceived of as a closed system virtually gave rise to the perception of government inefficiency, and by implication, policy failure as a management issue. The attempts to redeem the situation therefore comprised of such internal management processes as the improvement of the policy content of government decision making in all spheres, the improvement of decision making processes within government, the streamlining of the structures of management in government, administrative operations and service delivery (Barret & Fudge 1981: 5) These activities which in some respects bear semblances to business processes re-engineering were aimed at the internal workings of government agencies with the hope that the administrative machinery thus revamped, will with regard to policy implementation, deliver to the expectations of the policy makers. There was also another important influence in this development; and we turn our focus to it in the following section.

4.1.3 THE CONTINUED INFLUENCE OF WOODROW WILSON'S PAPER4.1.3 THE CONTINUED INFLUENCE OF WOODROW WILSON'S PAPER

In 1887, the then Proffesor Woodrow Wilson of Yale University delivered an influential paper which to an extent determined the course of Public Administration in western democracies. The basic focus of this paper titled " The Study of Administration*"* was to seek to separate public administration, that is *"… the practical operation and functioning of government …"*(Link, 1968: 1), as an enterprise that is different from politics. This approach tended to re-inforce the notion that a given administration's responsibility is to implement what politicians

have already decided in terms of policy. To this extent, the approach could not identify any particular role played by 'street level bureaucrats' in the shaping of public policy save its implementation without deviation from what the legislator has suggested.

4.1.4 A CRITIQUE OF THE CLASSICAL APPROACH4.1.4 A CRITIQUE OF THE CLASSICAL APPROACH

There are fundamental assumptions on which the classical approach to policy implementation seems to be premised. The tendency within this school of thought has been that policy is innovated and crafted by legislators, while administrators only implement what has been prescribed without any deviations. By the same token, the approach further assumes that the directives of top level technocrats within the conduit of policy implementation in the bureaucracy are carried to the letter by their subordinates. To this extent the approach evinces clear tendencies towards an elitist orientation. Consequently, within this scheme of things successful implementation comprises the attainment of the goals set for the policy by its crafters and a strict adherence to the orders of senior administrators in the implementing agencies.

The fact that this approach primarily views the potential for any implementation success as centred on the ability to control the policy process, as well as ensuring compliance with the objectives set for the policy, presages that the problems related with these fundamental chores-cum-activities are purely administrative in nature and to that extent they are policy free (Barret & Fudge, 1981: 20). Lack of compliance with objectives for example is construed as outright recalcitrance which can be circumvented by putting in place the right incentives; failing which recourse to enforcement remains the only option.

Invariably, there has been a general recognition that these and other similar considerations informing the approach are flawed assumptions. On the one hand, it is not always true that legislators create policy while the administrator's brief is the implementation thereof. All the parts of the hierarchy in the bureaucracy do in one way or the other get involved in the making of policy (Palumbo & Harder, 1981: x). This, it can be concluded, creates possibilities for a bottom up approach in policy making. On the other hand, Palumbo and Harder (1981: x) further observe that when legislators make pronouncements about policy choices, they do not always provide clear goals that can efficiently direct successful implementation of the relevant prescript. This they argue, is occasioned by the fact that policy should seek to solicit support from extremely diverse constituencies and that in itself necessitates that policies are often couched in vague if broad terms to enlist support from a much wider front.

These observations inevitably lead the two scholars to conclude that policy is not only created within the legislators; but even prescripts and directives emanating from administrators high up in the hierarchy are often re-invented in the process of implementation[4] by lower level administrators.

> … organizations do not follow a top-down model in the sense that all
> the lower echelon members do precisely what those at the top
> "order". There is inevitably a large degree of discretion at all levels
> of an organization, and this is not always used to implement
> the interpretation those at the top have of the policy goals. (Palumbo
> & Harder, 1981: x)

The premise advocating the attainment of goals set for the policy and the elitist orientation deeply etched in this approach to implementation present yet another set of possible indictments against the position. The question as to who sets the

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[4] Hence Michael Lipsky's development of the concept of street level bureaucrats as policy actors who have the potential to as it were 're-invent' policy and during implementation and in the process, add new nuances which may not have been part of the original prescript.

goals for a given policy raises some questions about the values enshrined in such goals.

Furthermore, this approach to policy making is also criticized for its reductionist perspective of the complex nature of implementation. The implementation of policy is construed as taking place in a top down fashion within a hierarchical organizational context. The assumption is made that successful implementation thereof primarily hinges around improved communication and the establishment of proper channels to expedite the communication of objectives of the executed policy. On the one hand, the reductionist tendencies in the approach become obvious when one takes particular cognizance of the fact that, even in a unitary hierarchical organization, problems related to organizational control, and by implication the co-ordination of tasks implicated in the execution of the relevant policy is often underestimated. The realization that the implementation of policy is more often than not an interagency endeavour exacerbates and complicates the problem of organizational control even more. This suggests that the understanding of implementation in hierarchical, if administrative terms virtually obscures and underestimates the fundamental role played by coordination in the execution of policy. Barret and Fudge put it rather aptly when they observe that,

> … pleas for better communication or 'briefing' often mask more fundamental issues, such as policy ambiguity; conflict of value systems between professions and agencies; scope or limits of discretion. (1981: 16)

While there are recognizable influences that seem to have shaped the administrative top-down approach to policy implementation; it did not exist for a long time without being challenged. Other approaches came and tended to supplant it and that is the focus of the next section of the thesis.

4.2 APPROACHING POLICY IMPLEMENTATION AS A COMPLEX POLITICAL PROCESS

Barret & Fudge, in complete contradistinction to the previous school of thought, describe policy implementation as,

> … a process of interaction and negotiating, taking place over time,
> between those seeking to put policy into effect and those upon
> whom action depends (1981: 4)

This school of thought as represented by Barret and Fudge in this instance essentially indicted the previous approach for its failure to understand the complexity of policy implementation. It was argued that the fact that a policy has been enacted does not necessarily suggest that implementation will ensue smoothly and successfully. Case studies were used do demonstrate and substantiate the alleged complexity.   In complete contrast to the previous generation of researchers therefore, this school of thought virtually conceived of policy implementation as a complex political process that involved among other things, persuasion, negotiation, coordination compromise and bargaining.

According to Hill and Hupe (2002: 44), the system of complex interlinkages between six variables suggested by the model of analyzing policy implementation advocated by Donald Van Meter and Carl Van Horn is yet another classical example of the school of thought that sought to prove how involved and complex policy implementation actually was. The two scholars suggested in their system of analysis that there are six variables interacting to bring about a measure of implementation success. These variables are namely standards and objectives set by the policy, the resources allocated to expedite implementation, intergovernmental communication and enforcement activities, characteristics of implementers, economic, social as well as political conditions obtaining during implementation and the actual predisposition of the implementers themselves

(Hill & Hupe, 2002: 44). However, the approach is not without its criticism and the following highlights some of these loopholes.

4.2.1 A CRITQUE OF THE APPROACH4.2.1 A CRITQUE OF THE APPROACH

There is a sense in which the approach, especially as epitomized by the Pressman-Wildavysky paradigm is predicated upon implementation failure. To this extent the approach is undergirded by an almost palpable pessimism about implementation success. In point of fact the very title of the work published by the two eminent scholar's – "How Great Expectations in Washington are Dashed in Oakland; or Why It's Amazing that Federal Programs Work At All, This Being a Saga of the Economic Development Administration as told by Two Sympathetic Observers who Seek to Build Morals on a Foundation of Ruined Hopes (1973) - smacks of this very characteristic pessimism.

While this approach rightly underscores the complexity of implementation, in complete contrast to the classical paradigm, one can argue that it is still trapped within the mode of thinking that conceives of implementation failure as a failure to deliver in accordance with the dictates of the policy as contemplated by its original crafters and pronouncers.

Bowen (1983: 1), in an article published about nine years after the Pressman-Wildavysky's work interestingly demonstrates some of the intrinsic weaknesses of the paradigm by pointing out that there still exists a potential for analyzing the implicated interactions between stakeholders during policy implementation that will yield a much more optimistic view about the inevitable co-operation implicated in policy implementation generally. The central thesis of Bowen's approach centers on a relatively expanded use of the very same probability theory by including not only the multiplicative dimension; but further interrogates the theory to include both its additive dimension and conditional probability theorems. The net result of this approach according to Bowen is that in contrast to Pressman and Wildavisky's paradigm, the approach leads to a kind of

optimism about the potential for successful implementation of a policy. Secondly, the methodology underscores the value of persistence and a particular way of packaging clearances which increases the chances of successful implementation. Thirdly, it affords an opportunity therefore to extrapolate relevant lessons to inform subsequent endeavors in policy implementation.

There is a possibility of challenging Brynard in his assertion that this school of thought also believed that nothing works in implementation (Brynard, 2000: 167). Depending on the list of names one categorizes under this classification, it can be argued that not all of the scholars falling under this group were convinced that nothing works. In point of fact, even with Pressman and Wildavysky' paradigm, there exists a possibility for 'amazing' optimism as suggested by the very title of the publication. We will now turn our attention to an approach that seeks to underscore the relationship between programming and implementation.

4.3   POLICY   IMPLEMENTATION   AND   PROGRAMMING4.3   POLICY IMPLEMENTATION AND PROGRAMMING

The debate about what comprises implementation per se, where it begins and ends is still raging on among scholars. Brynard (2000: 165), aptly observes that, "*There is still some confusion about when implementation begins, when it ends, and how many types of implementation there are.*" According to Barret and Fudge (1981: 10), for scholars like Jeffrey L. Pressman and Aaron B. Wildavsky, implementation does not include the process of passing enabling legislation and the allocation of resources. These activities according to Pressman and Wildavsky comprise what they regard as the setting of initial conditions intended to expedite the actual implementation thereof.

To this extent therefore, as Barret and Fudge (1981: 11) perceptively note, according to Pressman and Wildavsky, programmes in the form of activities by

which the intentions of policy makers are translated into action, are the input made into the process of implementation proper. This suggests that it is programmes, and not policies per ser that constitute the primary input for policy implementation.

On the other hand, for other scholars, both legitimation of the policy by the passing of legislation as well as the commitment of resources to it are fundamentally to be construed as part of implementation; simply because what takes place during these preliminary processes is critical in the explication of subsequent actions and reactions (Barret & Fudge, 1981: 15)

However, contrary to this view, other scholars argue that there needs to be an analytical distinction between programming and implementation phases. In a recent work by Knoepfel, et al (2007: 188), the scholars argue that the rationale for the suggested distinction is occasioned by the fact that, while it is true that both phases may evince similar thrusts, they nonetheless are different in so far as the actors involved in them pursue different strategies for each phase. To this extent the four scholars define implementation accordingly as the *'set of processes after the programming phase that are aimed at the concrete realization of the objectives of a public policy."* The distinction between the two phases according to these scholars is further demonstrated by the fact that implementation itself focuses on the production of decisions and actions that address those affected directly; hence the emphasis on actions and processes aimed directly at the realization of policy objectives evident in the above definition of implementation. This product is only arrived at as a result of negotiations taking place between the various actors in the implementation process. The nature of these negotiations is such that they occur between both public and private actors; whereas programming on the other hand can take place without any participation from civil society organizations like NGO's and sectoral pressure groups.

Other approaches to implementation have the tendency to underscore the complex nature of the phenomenon; and the following section focuses on one such paradigm.

4.4 POLICY IMPLEMENTATION AS INTRICATE PROCESS OF NEGOTIATION IMPLEMENTATION AS INTRICATE PROCESS OF NEGOTIATION

There is admittedly an important semantic difference between compliance and consensus particularly within the context of the policy implementation debate. While compliance evidently has connotations of acquiescence or conformity to rules and commands, consensus as Barret and Fudge (1981: 21) note, has more to do with *"… the degree to which different actors and agencies share value systems and objectives and are thus more or less willing to support and execute particular policies and programmes."*

The understanding of policy implementation as negotiation seeks to underscore the value of some important dynamics involved in the execution of a given policy. That is, on the one hand, in order for the policy implementer to gain a level of acceptance for the proposed implementation s/he may need to bargain and in the process compromise some of the original intentions. To this extent compromise becomes the means by which any measure of performance can be achieved.

This is an important development in the analysis of policy implementation and the attempt to develop a theory through policy analysis. In a situation where implementation is understood to include compromise, policy makers will inevitably have to jettison some of the initial assumptions they may have had about its possible implementation. The latter is here understood as getting something done. To this extent therefore as Barret and Fudge note, *"… performance rather than conformance is the main objective and compromise a means of achieving it"* (1981: 258)

The following approach to the phenomenon of implementation underscores the importance of interaction as critical for implementation.

4.5 POLICY IMPLEMENTATION AS AN INTERACTIVE PROCESS OF ACTION AND RESPONSE4.5 POLICY IMPLEMENTATION AS AN INTERACTIVE PROCESS OF ACTION AND RESPONSE.

This approach to policy implementation focuses on what goes on during implementation and virtually seeks to understand how and why it happens. To this extent it underscores the relationship between policy and action and further explores the different frameworks within which such action takes place. It is for this reason that it is regarded as the action perspective to policy implementation.(Barret & Fudge 1981: 26).

According to Barret and Fudge (1981: 26), in order to understand actions and responses implicated in policy implementation, one needs to critically look at the actors that are involved, the agencies which form the context from which such individuals act, as well as the factors that have an influence on their behaviour. The actors themselves have different roles. To this extent they are not only interrogated in their single roles either as crafters of policy or implementers thereof. On the contrary, they are looked at in a combination of roles which also include a third dimension, that is their role as interested stakeholders who are affected in one way or the other by the policies that are implemented by both themselves or others.

The fact that agencies and actors play different roles in the policy game presupposes that their actions and responses are shaped by a number of different factors depending on the respective roles of each. On the one hand, the scope for action is largely dependent on specific factors such as the functions and responsibilities of the agency or actor and environmental pressures. On the other hand, the manner in which such scope for action is made use of. Specific factors like, the agency's or actors perception of their scope of action, the

manner in which they understand the need for action in a given scenario as well as the existing motivation to act collectively determine how implicated actors will use their scope for action (Barret & Fudge 1981:28)

Hill and Hupe I2002: 55) in their analysis of the contribution of Barret and Fudge (1981: 251) in the history of the evolution of the implementation theory make some important observations. The two scholars observe that in their attempt to make a dynamic link between policy and action, they are indirectly suggesting that there exists a possibility in implementation where policy undergoes a fair amount of modification, to use a milder expression. To this extent during implementation policy is virtually mediated by actors or implementers who operate from a variety of assumptions which may be radically different from the views of the crafters of the policy. This observation therefore presages that there is a sense in which policy gets re-interpreted if re-crafted during implementation in a situation where implementation itself is approached as a bottom up perspective.

5. CONCLUSION5. CONCLUSION

The foregoing discussion occasioned specific conclusions that can be made in respect of our subject matter thus far. The first conclusion reached is that service is a transitive word and bears connotations of doing duty for someone else. This is not only evident in the use of the word in formal modern English, but is also characteristic of the way it used to define the service offered in the public sector. Implementation is a critical stage in the policy process that requires dedicated study and research. Good and relevant policies can be in place but there is no guarantee that they will be successfully implemented. The critical study of the implementation process has not yet yielded a comprehensive implementation theory. However various distinct approaches have emerged over time giving rise to some kind of consensus regarding the critical variables that must be considered for successful if effective public policy implementation.

The theoretical framework thus far interrogated has outlined some aspects of the development of implementation theory by highlighting various approaches. Consequently, the ensuing section of the thesis will be an explanation of the method and methodologies that will be used in the study.

CHAPTER 3

RESEARCH METHODOLOGY AND METHODSRESEARCH METHODOLOGY AND METHODS

1. INTRODUCTION.

The first chapter of the thesis served as an introduction outlining among other things the background and other pertinent sub-themes relevant to the scope of this study. The second chapter has been a fairly elaborate explanation of the theoretical framework of the *magisterium* of policy implementation intended to be

a preparation for the interrogation of the case study. The current chapter will then focus exclusively on questions of methodology in order to lay the foundation and provide the context within which the presentation of the findings and the analysis thereof will take place.

The KwaZulu-Natal Office of the Premier took a decision in 2004 to undertake a radical organizational review process which was primarily occasioned by the identification of certain weaknesses in service delivery initiatives generally; and more particularly with regard to addressing the Provincial Priority Goal of Strengthening Governance and Service Delivery. The process of review culminated – among other things – in the establishment of a Sub-Programme: Service Delivery Improvement housed within the main Program: Public Service Transformation. The emphasis of this programme was clearly service delivery with the expressed strategic objective "*to monitor and coordinate service delivery by the Provincial Government as a whole.*" (KZN Office of the Premier, Strategic Plan 2005-2010: 30)

Consequently, the overall purpose of this research endeavour is to assess the implementation of the Service Delivery Improvement Policy of the KZN Office of the Premier as the nerve centre of government, with particular reference to the Provincial Department of Arts, Culture and Tourism which came into existence almost simultaneous with the new dispensation in 2004. The methodology adopted to consider the aforesaid thesis statement has been designed to bring about specific core objectives. Firstly, the probe is expected to critically analyse the actual policy with the aim of laying bare its fundamental elements construed as contributing in one way or the other to its potential implementation. The second primary objective of the probe is to seek to assess the level of implementation effected in the operations of the youngest department in the province, namely the Department of Arts, Culture and Tourism. Thirdly, it is also expected that the study will make a modest contribution to the evaluation of the policy and by implication improve service delivery in the province.

2.   ADOPTING A RELEVANT RESEARCH DESIGN2.   ADOPTING A RELEVANT RESEARCH DESIGN

In order to arrive at reliable and logically argued conclusions, it is significant that this study adopts a particular research design. For the purposes of this thesis therefore, a combination of two distinctive yet interrelated approaches to enquiry have been used. On the one hand, the type of data that has to be extracted from relevant policies, reports, strategic documents from both of the implicated Departments presages that extensive textual analysis of the contents of such documents be conducted. The Service Delivery Improvement Policy, The White Paper on the Transformation of Public Service Delivery of 1997, as well as other pertinent prescripts had to be analyzed in order to identify the objectives and other important aspects of the intervention within a wider policy context. By the same token, progress with implementation – and even the absence thereof- can be captured in the relevant reports made to various stakeholders responsible for monitoring the execution of the intervention at various levels of the implementing agencies. It is therefore crucial that appropriate and effective research designs be adopted in order to be able to elicit enough useful data for the purposes of this research and the conclusions reached.

On the other hand, an enquiry of this nature also requires an amount of survey based investigation on a limited number of relevant research units who form the critical target groups of the policy. These individuals are identified primarily on the basis of the presumption that they will have the information that the researcher requires to reach informed and reliable conclusions about the study. Implementers and recipients of services form important target groups of the intervention being studied and to that extent their inputs are critical.

Notwithstanding the particular strengths of the adopted research designs, it is also important that the researcher be aware of specific limitations germane to the designs selected. To begin with, the question as to whether absolute objectivity

does in fact exist is always a moot point. Taking cognizance of the research designs that have been adopted, there is a possibility that the bias of the researcher might prove to be a bit of a hindrance in so far as the identification of research units, analysis of documents and the conclusions reached are concerned. Secondly, identifying relevant documents to analyze presents a challenge when the researcher is faced with so much information to sift through and make sense of; while at the same time access to embargoed or classified documentation, the delay in the granting of permission to access certain data also represent nuances of the same limitation encountered as a result of the adopted design for the study. Furthermore, the choice of useful tools for analyzing data can also be an arbitrary affair if one takes cognizance of the labyrinth of pathways a researcher can follow in this regard. To this extent the possibility of being tormented by choice in this context can eventually lead to the usage of inappropriate tools for this purpose. Incidentally, the converse is also equally true in this respect. A dearth of knowledge and by implication incompetence in analyzing documentary sources like policies is also a real challenge while one uses the identified designs. Coupled with the lack of analytical skills could also be the inadequacy of quality documentary sources like reports and other related documents (e.g. Departmental Service Commitment Charters), that could render themselves amenable to effective scrutiny.

By the same token, the survey based research design has its own particular limitations and challenges. Time constraints and the costs that can be incurred while gathering data through this particular design can easily impact on the quality of one's findings. Other challenges include such issues as the type and number of questions the researcher asks his/her respondents, the size of one's sample and the 'representativeness' of the samples used. There is also a possibility that identified research units may not honour previously arranged appointments for interviews.

The adoption of a particular research design inevitably suggests that the researcher briefly elaborates on how s/he is going to operationalize or implement the said design in order to elicit enough data for his/her purposes. That is the focus of the following section of the study.

3.   IMPLEMENTATION OF THE DESIGN3.   IMPLEMENTATION OF THE DESIGN

In order to operationalize the design there has to be an explaination of the actual research instruments used while not shying away from the limitations that such instruments are perceived to have. This section as a result starts with a focus on the instruments used.

3.1   THE   RESEARCH   INSTRUMENTS   USED3.1   THE   RESEARCH INSTRUMENTS USED

The method of implementation of the selected research designs will take the form of a few techniques. The latter includes such methods as using textual analysis techniques to critically consider the content of primarily provincial policies aimed at transforming service delivery as advocated by the 1997 *Batho Pele* White Paper. In order to comprehend sufficiently a given policy's amenability to implementation or lack thereof, the critical analysis of the intervention has to be embarked upon sothat the fundamental aspects of the said policy are laid bare. This becomes even more important if one takes particular cognizance of the fact that a possibility exists that the causes of non-implementation of a given state intervention cannot always be exclusively blamed on implementers. On the contrary,   serious   shortcomings   can   sometimes   occur   with   the   actual programming   of   a   given   policy   which   can   later   cause   difficulties   with implementation. This is particularly true in instances where programming itself is not considered part of implementation. To this extent, the policy alternative under scrutiny has been subjected to an analysis intending to identify important elements of the intervention. This has enabled the researcher to spot out such integral policy phenomena as the problem it seeks to address, its objective,

target groups and other important elements comprising its content. Such an analysis is premised on the assumption that there was more than one alternative available to the policy maker to solve the perceived social problem; and to that extent the alternative chosen was considered to be the one that will maximize benefit when implemented.

The strategic documents of both the department of Arts, Culture and Tourism and the Office of the Premier have also been critically analysed in order to identify the extent of implementation of specific interventions of the policy which have to be incorporated in the strategic plans of the two institutions. According to the Provincial Citizens' Charter, Service Commitment Charters and Service Delivery Improvement Programmes have to be an integral part of the Strategic Planning processes of implementing departments; and to that extent performance against standards set is reviewed annually so that they will be raised accordingly in the ensuing financial year. For this reason therefore, it was quite imperative that strategic documents of the three successive years beginning from 2005/06 – 2007/08 be analysed and compared to check a possible progressive fulfilment of service needs identified by the prescribed consultation surveys.

Equally, the analysis of progress reports submitted to various stakeholders and minutes of bodies implicated in expediting the discharge of the policy were also critically analysed in order to elicit the data relating to the execution of the intervention and the *modus operandi* the said bodies follow in their implementation.

Structured, semi-structured and unstructured in-depth interviews were held with a limited number of individuals in order to elicit valuable data about the implementation of the policy. To this extent 5 Deputy Directors, 4 Directors and 3 Executive Assistants were interviewed. For structured interviews in particular and to a lesser extent semi-structured interviews as well, questionnaires were

prepared based on the activities and decisions to be carried out by various actors in the implementation of the policy.   However, while the questions crafted to solicit relevant information from individuals inevitably took their cue from the aforesaid structured intervention activities suggested by the policy, extreme care has been exercised to align the inquiry with the elements of the 5 C Protocol, as part of the critical apparatus ultimately used to asses the implementation of the policy.   The following section therefore will focus attention on some of the limitations that the instruments used have.

3.1.1 THE LIMITATIONS OF THE INSTRUMENTS3.1.1 THE LIMITATIONS OF THE INSTRUMENTS

Every research instrument used has its particular limitations that the researcher has to face. The question of values is not only applicable to crafters of policy when a government intervention alternative to solve a social problem is being considered. To be sure, values impact the policy process from its inception to its ultimate conclusions affecting not only the choice of a policy alternative but also the methods used to assess implementation as well as the evaluation of impact. There exists a possibility therefore that the chosen method of analysis is virtually informed by the values of the researcher-assessor; and to that extent the analysis of a given intervention could easily be rejected as biased. By the same token, the values that might have informed the policy maker in choosing the alternative may not necessarily be the same as those of the assessor of the implementation thereof.   This too can pose certain challenges relating to objectivity of the assessment.

On the other hand the exegetical aplomb required to analyse and compare such documents as progress reports, strategic documents implicated in the policy could be of a level that is not capable to extract reliable information from these sources; while the very choice of documents to be scrutinized in this regard can also be an extremely subjective affair guided to a large extent by the values of

the assessor-evaluator than the implementation dictates suggested by the policy itself.

The use of questionnaires as research instruments has its own peculiar challenges which can affect the quality of data elicited through this method. Changes of voice during the posing of questions to individuals can often depict the bias of the researcher and has the propensity to affect the quality of information yielded by the informant. Secondly, there is always a possibility that one's informants may not cooperate and share required information sparingly, particularly if the researcher is seen as an outsider, thus running the risk of acquiring the information which at closer scrutiny may not be very reliable for the study's purposes. Thirdly, the errors that can often be committed while crafting questionnaires present yet another formidable challenge in the use of these specific instruments. Such challenges include *inter allia:-*

- the failure to pretest the questionnaire prior to use,
- making use of fairly vague expressions which lack poignancy in the formulation of the questionnaire,
- crafting questions that assume too much about one's respondents,
- use of complex questions which combine more that one questions in a single probe,
- logical sequencing of questions,
- crafting questions which measure constructs which do not exist; and
- using very long questionnaires.

Having outlined the nature of the research designs, the instruments used and the limitations thereof, it is now time to turn focus on the data itself.

3.2 DATA

The analysis of both provincial and national policy documents relating to the Service Delivery Improvement initiatives has yielded abundant data of high

quality. Fundamental elements of the policy have been clearly identified. To this extent the said documents were subjected to diligent and rigorous interrogation by the instruments and in the process provided data which was analysed to inform the conclusions made in the study. The accuracy of this data and its reliability can for an example be illustrated by the clear identification of nuances created by provincial policy when compared to the national documents on the same policy; thus giving the researcher an idea about the contextual realities the provincial policy seeks to respond to. Nuances peculiar to the province are clearly evident in the principles that inform service delivery in KZN. That is, while the *Batho Pele* White Paper is based on eight *Batho Pele* Principles; the Provincial Citizens' Charter which forms the core of the policy in KZN is based on eleven principles which include the traditional *Batho Pele* fundamentals.

Data extracted from other forms of documentation used for the purposes of this study (reports, strategic plans, minutes), has also yielded enough information on which to base ones conclusions. The instruments used were able to elicit from these sources the kind of data that enables an opinion to be formulated about the implementation status quo obtaining in the department which forms the focus of this study.

Field notes prepared during structured, semi-structured and unstructured interviews; as well as transcribed recorded interviews were converted into intelligible write ups which were then critically analysed using the fundamental principles of *Batho Pele* as espoused by the Citizen's Charter, in order to identify specific themes, patterns, trends and relationships that speak to the Service Delivery Improvement Policy of provincial government. Incidentally, while field notes were reviewed during the preparation of the said write ups, pieces of original information missed out or forgotten at the time of writing notes could be recalled and subsequently included in the right ups to fill the existing gaps.

The gathering of data subsequently leads to the analysis thereof. Specific tools used for this purpose need to be clarified because they form the basis for the conclusions reached in the inquiry; and that is going to be the subject of the subsequent section of the thesis.

3.3 ANALYSIS AND INTERPRETATION OF DATA YIELDED BY THE RESOURCES

In order to turn data into evidence and information, the 5 C Protocol approach to public policy implementation has been used in order to detect levels of implementation or lack thereof. To this extent the data has been subjected to the rigorous scrutiny of the five elements of the 5 C Protocol as espoused by Brynard in Cloete (2000: 178-187)

3.3.1 THE EXPOSITION OF THE 5 C PROTOCOL APPROACH TO POLICY IMPLEMENTATION

While it is true that there is no exhaustive theory of implementation that has been adopted thus far, there is however evidence that a measure of consensus exists with regard to the critical variables that impact on implementation. The empirical studies used in attempts to understand and articulate implementation in its complexity indicate that there are specific clusters of variables whose heuristic significance has guided empirical studies on implementation to offer some explanation of what happens during the execution of a given policy.

It is within this context that the South African public policy scholar, Petrus Brynard has developed an approach to the study of Public Policy Implementation which is primarily informed by both the findings of previous scholarship and the complexity of the South African policy context in particular. While he is reticent to refer to it as a comprehensive predictive theory of implementation for obvious reasons, he nonetheless argues that its appeal lies in the fact that on the one hand, it is a result of synthesizing scholarship on the subject and subsequently coming out with 5 critical variables which shape the direction that implementation

takes; whereas on the other hand such variables are identifiable in the analytical works of various "*scholars adhering to otherwise divergent perspectives (top-down or bottom-up), working on different issues (environment, education, etc.), in different political systems (federal, unitary, etc.), and in countries at various levels of economic development (industrialized or developing).*"   (Brynard, 2000: 178; Brynard: 2005: 16). We can now turn our attention to the origins of the approach.

3.3.2 TRACING THE ULTIMATE ORIGINS OF BRYNARD'S 5 C PROTOCOL MODEL
3.3.2.1 THE SEMINAL INFLUENCE OF THE NETWORK APPROACH TO GOVERNANCE

Brynard's development of the 5 C Model is primarily informed by the pioneer research conducted by the scholars of the Erasmus University Rotterdam in the Netherlands. In the decade of the 1990's and after, scholars like W J M Kickert, E Klijn and J F M Koppejan pioneered research on the development of a network approach to the policy process building on the criticism levelled against networking as a viable theory of governance.

Klijn and Koppenjan (2000: 2) trace the origins of the network approach from two distinctive and influential developments in the evolution of public management science. On the one hand they argue that it resulted from a realization that government is no longer the cockpit from which societies are governed and that policy processes generally are the result of a characteristic interplay between different actors in the policy arena. On the other hand, in the analysis of these two scholars, such a fundamental realization regarding the nature of public policy management has conveniently fused itself with discussions on managerial reform epitomized in the New Public Management paradigm. This development has among other things led to network management which tends to focus its attention on "*mediating and co-ordinating interorganizational policy making*" (Klijn and Koppenjan 2000: 2); thus giving rise to the network approach to the policy process.

To this extent the network approach to policy rests on specific critical assumptions which include *inter alia* the following:-

- Public policy is made and implemented in very complex processes of interaction between a number of actors taking place in the context of interdependent networks.

- The actors in the policy game are mutually dependant on each other as a result of which,

- Policy objectives can only be realized in the presence of sustained cooperation between the various actors.

- The collaboration cannot happen by itself and for that reason it requires sustained skills in game management and network constitution.

Having traced the origins of the approach it is now critical that its relationship with the South African context be outlined; which is the focus of the next section.

3.3.3 THE 5 C PROTOCOL AND THE SOUTH AFRICAN CONTEXT

Informed by both the complexity and network theories of public policy management as expounded by the above scholars on the one hand and the complex policy situation of the Republic of South Africa on the other, Brynard adapts the critical variables as an approach to public policy implementation. In a paper titled *"Harnessing the partnership of the public and non-state sectors for sustainable development and good governance in Africa: Problems and the way"* forward, delivered on the 27th Annual Conference of the African Association for Public Administration and Management (AAPAM) in Zambia in 2005, he observes,

> This paper will review some of commonly known approaches
> to policy implementation followed by a section on critical
> variables for implementation. These variables, partly or

wholly, prove to be vital for the policy implementation in
South Africa. (Brynard, 2005: 3)

This development in Brynard demonstrates a slight progression from an earlier position (i.e. in 2000) where he only exhibits a tinge of influence from the domestic policy context and simply recommends the variables for general policy implementation without reference to a particular situation.

Brynard (2005:9) begins the exposition of his approach by creating a convergence between the Top-down and Bottom-up models of public policy implementation. He argues that Top-downers often regard policy makers as central actors in the implementation game and for that reason can focus their attention on those factors which can be manoeuvred at the top (i.e. national level) in order to influence policy. Bottom-uppers on the other hand will emphasize the critical role played by target groups as well as service deliverers in the implementation game. Brynard (2005: 9) further observes that there is currently an emerging tendency among policy scholars to identify a convergence between the two perspectives in the way they understand and explain policy implementation. Consequently, this creates a relationship between policy implementation and service delivery in the sense that in the created convergence, macro-level variables characteristic of the top down approach are virtually tied up with the micro level variables of the bottom up models.

Incidentally, this is yet another area where the South African scholar identifies a resonance of the 5 C implementation model with the domestic policy arena. In keeping with common trends in the South African policy analysis fraternity, Brynard (2005: 3) traces three major phases of the policy context since the advent of democracy. From 1995-1996, there is the so called White Paper era focusing attention on major policy reviews through a phase emphasizing service delivery with a renewed attention to implementation in 1997-2003, to the most recent accentuating of service delivery particularly in respect of local

government. While the approach has been described as compatible with the domestic situation its amenability to complexity will have to be clearly outlined.

3.3.4 THE 5 C PROTOCOL VARIABLES AND THE COMPLEXITY OF PUBLIC POLICY IMPLEMENTATION

Taking into consideration the complexity of the implementation process, Brynard (2000: 178-186; 2005: 16-21), proposes 5 critical variables of content, context, capacity, commitment and clients and coalitions as a way of understanding and making sense of the said complexity. According to Brynard (2000: 176-178; 2005:14-15) the complexity of implementation emanates from the following factors:-

- The complexity arising from the difficulties involved in seeking to define the nature of implementation, where it starts and ends. For that reason he describes implementation virtually as *"what happens after a policy is enacted"* (Brynard: 2000 ; 2005: 14). The net result of this description is that it has the propensity to regard programming as part of implementation. By the same token he sees a dialectic operating between implementation as a situation where the goals of a policy have been attained (i.e. implementation as a noun); and implementation as a process towards the attainment of such goals (i.e. implementation as verb) in the sense that the latter is dependant on the former.
- The fact that implementation is an involved political process and not an administrative problem and to that extent concerned with who gets what, when, how and from whom. For this reason it is a multi-actor undertaking.
- The multi-player aspect makes implementation to operate at multi-levels thus intensifying complexity.
- Policies are continuously being transformed and redesigned during implementation and to that extent policy is evolutionary in nature.

3.3.5 THE EXPOSITION OF THE 5 C VARIABLES

We have established the relevance of this approach to the current South African policy context. In order to make sense of such complexity Brynard then suggests the 5 critical clusters of variables as an approach to assess the course implementation is taking. These variables are linked to each other and also influence one another in the implementation process. The following is a slightly elaborate explanation of the nature of these variables.

3.3.5.1 THE CONTENT OF THE POLICY

According to Brynard (2000: 179) it was T J Lowi who provided the seminal typology of the policy content by characterizing it as distributive, regulatory or redistributive. Distributive public policies have a characteristic zero sum effect and focus on the creation of public goods aimed at the general welfare of the citizenry. Regulatory policies lay down rules that govern specific conduct and spell out the type of sanctions that will be meted out in cases of non-compliance. Redistributive public policies are government interventions whose main intent is to effect a change in which either wealth or power is distributed sothat a bias towards certain groups is evinced in the said re-allocation. Therefore, for Lowi the content of the policy has to do with the means it prescribes to achieve specific ends.

Brynard further observes that while this classification has won the favour of a wide variety of scholars of implementation; there is equally a realization among some that policy content has to do not only with the means employed to achieve specific ends. On the contrary, it is implicitly observed that policy content is also useful in determining the ends themselves and how it chooses specific interventions to achieve those goals. To this extent the mediation of the *"choice of ends and the means is the content of policy."* (Brynard 2005: 17)

It can be argued that Brynard's analysis of the content of policy finds some resonance in the work of other scholars of policy working in completely different contexts other than South Africa. In a recent work on policy analysis, Knoepfel et al (2007: 191) represent what can be regarded as yet another nuanced rendering of this important variable. For these scholars reference to the structure of the program to be implemented as enshrined in what they call the Political Administrative Programme (PAP) brought about by the programming of a given policy, must not be construed in reductionist terms where structure only refers to the actual substantive content of the policy. On the contrary, policy content should also include such phenomena as the characterization of,

> "… the different possibilities for expressing the intention of the
> legislator (for example, degree of precision, scope for manueuvre
> given to federal/centralized or decentralized administrative actors)
> and the different modes of intervention adopted (for example,
> obligations or bans, financial incentives, information) or the
> institutional arrangements predetermined in this legislation"
> (Koepfel et al, 2007: 191)

At least two critical observations can be made in respect of Brynard's articulation of the policy content as a variable for assessing implementation. The analysis seems to suggest that as a result of the complexity of the policy process generally, it is difficult if not inappropriate to understand and explain policy content in static terms. The evolution that the meaning of policy content has undergone since Lowi gives credence to this observation. On the other hand, it can also be argued that the characteristic multifaceted meaning of policy content evident in Brynard's analysis of the concept, resonates fairly well with the manifest complexity ascribed to the implementation process alluded to above. That is, the implementation process as compounded by issues relating to definition, the political nature of the process and the multiplicity of actors in the

implementation arena, as well as the continued evolution the policy undergoes during its implementation.

3.3.5.2 THE CONTEXT OF IMPLEMENTATION

The relevance of contextuality in putting a policy into effect is premised on an important postulation that implementation is inevitably impacted upon by the very context within which policy execution takes place. A criticism has been raised that there is often a tendency among researchers not to go beyond unsubstantiated injunctions about the relevance of the context for effective policy implementation (Brynard, 2000: 180). This according to Brynard (2005: 17) has the potential to give rise to two problems:-

- It poses the danger of loosing the accumulation of learning; and
- A failure to account for the impact the context has on the effectiveness of implementation.

To this extent therefore a question can be raised as to how should one attempt to account for the pervasive influence the context has on the effective implementation of a given public policy?

In an attempt to give an answer to this question Brynard (2005: 17-18) observes that the focus in respect of contextuality as a critical aspect for implementation is on the institutional corridor through which the policy travels in *"the complex, dynamic maze of implementation"* (Brynard: 2000: 178). The context as a variable is shaped by the social, economic, political and legal realities of the system within which implementation takes place. Conversely, in the process of implementation, the policy itself changes its environment and is also equally changed by its context. This is a critical dialectic in policy implementation which among other things is typical of the bottom-up approach to public policy implementation.

Brynard believes that effective implementation is the result of human interactions than hierarchical regulation. For this reason he identifies the critical role played by effective working relationships between implementing agencies during the policy process. To this extent Brynard identifies bargaining, cajoling, accommodation, threats, gestures of respect, and related transactions, as specific strategies impacting on effective working relations and by implication effective implementation of public policy.

It can be concluded that there are very clear seminal influences of the network approach in Brynard's conception and explication of this critical variable for public policy implementation. The following are some indications of this influence as evident in the above.

3.3.5.2.1 THE INFLUENCE OF LEARNING NETWORKS

In the policy network approach there is a characteristic emphasis on the potential such networks has for learning. There is for example an opportunity to learn about one another's interests and strategies as a starting point for process management (Klijn and Koppejan 2000: 13); which often brings about a change in the perceptions of actors in the policy network regarding the nature of social problems and possible solutions. For example, it can be safely inferred that Brynard's observation that a shoddy analysis of the role played by the context on policy implementation poses the danger of loosing the accumulation of knowledge, has a direct influence from the network approach.

3.3.5.2.2 INFLUENCES FROM NETWORK MANAGEMENT

The network approach also takes particular cognizance of the fact that a concerted action among the various players in the policy game is a result of proper network management. The critical challenge to sustainability of interactions among actors in the policy game arises from the interdependency of the various actors and the diversity of goals and interests that each brings to the

game. The fact that co-operation and collaboration of these goals in a policy network does not happen of its own accord, presages that network management strategies be used to enhance levels of co-operation. Two types of network management strategies are used for this purpose. Process Management which improves interaction between various actors in the policy game is one aspect of this phenomenon. On the other hand, the network manager will also use a number of Network Constitution strategies aimed at altering the institutional characteristics of the network so that specific strategies and co-operation opportunities of the various actors are changed and leveraged for effective policy implementation (Klijn and Koppejan 2000: 7)

Consequently, the various interventions and strategies proposed by Brynard above in order to enhance human interaction within the various policy actors and to ensure effective working relationships are by and large informed by the inevitability of conflict in the networks which can easily thwart successful implementation within policy networks. To this extent therefore the variable takes seriously the complexity involved in the implementation of public policies by policy networks.

3.3.5.3 THE COMMITMENT OF THE VARIOUS ACTORS

Brynard (2005: 18) relates commitment to both the willingness and the ability of the actors to implement a given policy. According to Brynard good policies with all the necessary features germane to effective implementation can be put in place, but if the various actors in the policy game are either unwilling or unable to implement, the said intervention will remain ineffective. The South African scholar interestingly identifies a convergence of perspectives in the way this critical variable is understood and operationalized by Top-downers on the one hand, and Bottom-uppers on the other. He concedes that commitment is considered critical for implementation by both approaches. However, for a hard-line top-down perspective the disposition to implement is primarily determined by the content of the policy and the way it provides for the necessary resources required for

implementation. According to this view both the content of the policy and its resource allocation are determined 'from the top'. This is probably another demonstration of how the critical variables can also be manoeuvred from above for effective implementation. While a fundamentalist bottom-up perspective consents to the role played by 'the top' in shaping both content and capacity, it will nonetheless contend that commitment is influenced largely by the institutional context and the clients and coalitions implicated in the implementation of a given policy (Brynard 2005: 18)[5] To this extent commitment as a variable for implementation is not only critical for the so called 'street level bureaucrats' but it is equally vital at all levels through which the policy passes and relies for its effective implementation.

In the aforementioned articulation of this variable Brynard (2005: 18) identifies an intrinsic link between commitment and other critical variables of the 5 C Model. There is on the one hand, a connection between commitment and the ability of the actor to implement. Ability taken in another sense directly relates to questions of capacity which is yet another critical variable of the model to be discussed in the subsequent section. On the other hand, there also exists a link between the content of the policy and the propensity to implement. These interdependencies underscore an important principle in the very nature of the variables as understood by Brynard. That is, depending on the complexity of the implementation scenario at stake, these variables tend to influence and condition each other during the intricate process of implementation.

The fact that the content of a policy is according to the Top-down approach decided at the top is yet another example that the protocol variables are applicable to both top-down and bottom up approaches.

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[5] There is in this particular instance a clear influence from Lipsky's concept of the role of street level bureaucrats in the policy process.

3.3.5.4 CAPACITY TO IMPLEMENT

Capacity is undoubtedly another multifaceted concept not easy to define. Consequently, with the advent of a network approach to service delivery coupled with government's responsibility to mobilize relevant resources for the attainment of policy objects, it is to be expected that capacity would be even more complex as various stakeholders participation in policy implementation becomes inevitable for any measure of success.

Brynard's conception of this critical variable for effective implementation is informed by the systems approach and concerns the structural, functional and cultural ability of the actors in the policy arena to implement government interventions (Brynard 2000:181; 2005: 19). That is, in order to deliver the services intended to raise the standard of living for the citizenry in a durable way, the structural, functional and cultural dimensions of the agents of implementation will have to work in concert. This capacity is further influenced by the availability and the access to relevant tangible and intangible resources (e.g. leadership, motivation, finances and human resources). However, it is also critical that the environment within which the actors implement policy (i.e. political, administrative, economic, technological, cultural and social), be conducive to such action. By the same token, Brynard (2005: 20) perceptively notes that the challenge in respect of this variable is not to identify the type of resources that will be required to beef up capacity; but what is critical is how such capacity can be created and operationalized.

It is perhaps worth pointing out that literature originating from such organizations as donor agencies, and those that offer technical expertise, and provide capacity building, (examples of which are the UNDP, ECDPM, World Bank, IFM), often speak of capacity in so far as it relates to "organizations, institutions or governments as a whole" (Schroonraad & Radebe, 2007: 117). To this extent

Schroonraad and Radebe observe that such approaches to capacity do not necessarily relate to specific integrated programmes that governments execute.

It can also be argued that the consideration of the variable of capacity for policy implementation evinces a seminal influence from the Open Systems Approach to management theory. Operating from the premise that management is by its very nature a complex phenomenon, impacted upon by a number of interrelated variables, the latter approach, virtually assumes that the environment within which the management task – and by implication public policy management - is executed is one such important variable that defines the nature of the management function performed within a given context.

3.3.5.5 CLIENTS AND COALITIONS

The primary focus in respect of this variable is the critical role played by coalitions of individuals and organizations who are in one way or the other affected by the policy and to that extent have a greater potential comparatively speaking, of influencing the way a given government intervention is implemented. Brynard (2005: 20) argues that in respect of this variable, it is extremely important to begin by identifying influential clients and coalitions from the potentially large number of possible actors implicated in the policy. The intention is to seek to determine the type of actors whose interests are directly affected by the policy and to that extent have the greatest potential to influence its implementation one way or the other.

Brynard's observations in this regard also find some resonance with other scholars. For example, Knoepfel et al (2007: 192) make an illuminating observation in this regard. According to these scholars the economic, political as well as the social weight of various clients and coalitions in the policy arena virtually determines the extent to which their cooperation may be considered necessary for the effective implementation of a given policy. To that extent the economic, social and political standing of a given actor is an indicator of the

important role likely to be played by a particular stakeholder in the process of policy implementation.

3.3.6 THE RATIONALE FOR THE CHOICE OF THE 5 C MODEL AS A TOOL OF ANALYSIS

Brynard's exposition of the critical variables of implementation can be summarized as follows:-

- The 5 C variables are premised on the assumption of complexity of the implementation process arising from the fact that implementation is far from being a simple administrative process where implementers only execute what the policy maker has enacted.
- The model evinces a great indebtedness to the network approach to management as well as the general systems thinking.
- They command the allegiance of quite a diversity of practitioners and analysts operating from diverse perspectives, working on diverse policy fields in diverse political systems and in countries which are at different levels of economic development.
- The variables inform and shape each other in the filed of policy implementation and as a result are not static but dynamic.

Based on the above exposition of Brynard's approach to implementation the rationale for the use of this tool to analyze the data yielded by research is manifold. On the one hand, an attempt to scan through the history of the development of implementation theories has up to this far not yielded a comprehensive theory commanding allegiance from a fairly wide front. The search for such a theory still rages on in the discipline. The 5 C Protocol on the other hand, while not claiming to present an all-inclusive theory of implementation, nonetheless achieves something that is not generally possible with most theories of policy implementation attempted thus far. That is, it has innovatively considered and included in its scope the most critical variables that impact on implementation identified by scholars who in essence approach the

task of public policy implementation from quite divergent perspectives. For this reason, it is possible that while analyzing any given theory of implementation suggested, one begins to identify at least some of these critical implementation variables already at play and determining the course implementation of a given policy is taking.

Part of the difficulty with the study of public policy implementation arises from the fact that such studies are more often than not highly situational and dealing with specific contextual exigencies that require a government intervention of one kind or the other. For this reason, there is a tendency that different lessons yielded by the study of implementation within a given context are often related to a particular unique situation. It is therefore critical that when analysing data dealing with the subject of implementation, a choice is made of a tool that is likely to cope with the peculiarities implicit in almost all conceivable public policy implementation irrespective of its contextual exigencies.

Apart from the possible wide representation of diverse scholarship within the policy implementation arena evident in the use of the 5 C Protocol approach, part of its strength as a tool of assessment lies in the fact that the critical variables suggested in the approach are interdependent. For this reason, the researcher will be able to circumvent difficulties associated with a reductionst approach to data analysis and to that extent making conclusions that may not necessarily be reliable and persuasive.

By the same token, the choice of this analysis and interpretation tool is bolstered by its amenability to complexity. The various interdependent yet distinct variables comprising the 5 C Protocol paradigm signify the complex nature of policy implementation which cannot always be thought of as a linear phenomenon with straightforward predictable relationships between variables.

4. INHERENT LIMITATIONS OF THE METHOD

Every given research methodology has its potential limitations which separate it from perfection. The current methodology is by no means an exception as may have already been evident in the foregoing analysis. However, most of the advantages implied in the use of other alternative or possible ways that could have been used to come to reliable conclusions in this study have been matched by the adopted methodology. For an example, while it could have been advantageous to make use of a much expanded version of the adopted methodology, the present study made use of documentary sources which in most instances supplemented the evidence provided by survey based research. In practice, the strategic choice of two interrelated designs used in this study tended to militate against the disadvantages of using a single pronged elaborate design for the purposes of this study. Secondly, the present study has a fairly limited scope and extreme care has been taken in the adopted methodology that resources are subjected to a much more rigorous scrutiny when they are being analysed to ensure that conclusions reached can claim a measure of dependability. The use of policy analysis techniques, the exhaustive 5 C protocol approach to the interpretation of data ensured that the conclusions reached are reliable.

However, inspite of the aforementioned ways of circumventing unreliability of conclusions as a result of the method chosen, it must still be conceded that an extended time could have allowed the researcher access to much more extensive interviews with street level bureaucrats within the units as well as a much wider cross section of customers of the implementing department. This would give more scope to views from below about the extent of implementation of the policy in the organ of state under study.

5. ETHICAL CONSIDERATIONS

The current study was undertaken with a strict adherence to ethical principles espoused by the university. To begin with, access to relevant documentation in

the respective departments was gained after due processes and clearances had been obtained from the relevant authorities. Secondly, the information acquired from this research has been used only for the purposes of this study as agreed upon. Thirdly, the results of the study are to be shared with the relevant forums in the Department of Arts, Culture and Tourism as per the arrangement with the Accounting Officer of the said department. To this extent therefore reasonable attempts have been made to counteract and militate against potential harm while conducting this research.

6. CONCLUSION

The current chapter of the thesis began with the adoption of a two pronged research design comprising of both the critical analysis of relevant documentation and survey based investigations on a limited number of research units. Subsequent to this the selection of appropriate instruments to be used for the analysis of the data yielded ensued, followed by a brief discussion of some of the inherent weaknesses of the instruments selected. The nature of the facts acquired through research has been interrogated and the identification and exposition of tools to be used for analyzing the data obtained followed. The penultimate section virtually consisted of a fairly abridged explanation of some of the critical ethical considerations informing the project. The following section of the thesis will then present the findings made by research and also engage in the analysis of such data.

CHAPTER 4

RESEARCHRESEARCH FINDINGS

1. INTRODUCTION1. INTRODUCTION

The previous chapter outlined the methodology used for collecting research data. The current section of the thesis will do the following:-

- Firstly, the chapter will present the results of the textual analysis of the policy documents for which implementation is being assessed by this study.

- Secondly, the presentation of results of fieldwork interviews and other pertinent documentation relating to the implementation of the policy within the Department of Arts, Culture and Tourism will ensure.

- The third section will focus on the application of the 5 C Protocol to the data collected in order to inform the conclusions to be made about the status of the implementation of the policy; and

- Lastly, some informed conclusions will be made based on the foregoing.

2. PRESENTATION OF DATA COLLECTED FROM POLICY DOCUMENTS2. PRESENTATION OF DATA COLLECTED FROM POLICY DOCUMENTS.

The documents selected for purposes of data collection for this research project included policy documents outlining the intervention (i.e. The KZN Citizens Charter of 2005, The *Batho Pele* White Paper of 1997); as well as the strategic documents focusing on the programming of the policy alternative (i.e. The

Strategic and Operational Plans of both the KZN Office of the Premier and the Department of Arts, Culture and Tourism).

Subsequently these texts were subjected to a rigorous textual analysis; a standard method used particularly in the social sciences to study the content of communication. In the context of this study, the analysis focused on the critical investigation of policy documents and other pertinent documentation in order to identify content relating to the nature of the policy and its potential for implementation communicated to the implementer.[7] The exposition is premised on a conviction that an 'implementable' government intervention should consist of specific constituent elements which will enable the policy to solve social problems in a targeted manner. Knoepfel et al (2007: 24) have proposed a definition of policy highlighting the important elements of a well programmed public policy alternative. The critical aspects of public policy suggested by the said scholars include among other things:-

- The identification and articulation of the problem requiring a policy response leading to the setting of the objective(s) of the policy alternative.
- The identification of the groups targeted by the policy whose behaviour needs to change in order to achieve the relevant policy goals.
- The extent to which the policy advocates coherent and integrated action for the solution of the problem
- The identification of the specific values enshrined in the policy,
- The evaluation strategies proposed and the specific intervention instruments prescribed to achieve policy goals

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[7] The importance of communication for the implementation of a policy alternative cannot be overemphasized. In fact Brynard (2005: 21) goes to the extent of suggesting that communication is a vital part of all the 5 variables identified for the model. He further suggests that the multi-lingual nature of the South African context makes it rather imperative that communication could easily be regarded as the 6th variable of the model.

- The way in which competencies are distributed and the nature of the interactive dimension implied in the policy; and how the specific intervention deals with issues of adjudication in its implementation.

The current section therefore will focus on the critical analysis of the key aspects of the Service Delivery Improvement Policy of the KZN Provincial Government. This is important for two reasons. On the one hand it locates the assessment of its implementation within a particular framework and to that extent enables a balanced and informed analysis of data provided by other sources.   On the other hand there could well be instances where policy implementation fails as a result of shortcomings in its programming.   For this reason an inquiry into its composition has the potential to indicate the direction its implementation is likely to take.

The following section therefore has two aims. That is:-
- the identification of the key elements of the programmed Service Delivery Improvement Policy as a result of a process of textual analysis of specific documents which spell out what Provincial Government commits itself to do to transform service delivery, taking its cue from the 1997 *Batho Pele* White Paper on the transformation of public service delivery and ultimately from the Constitution as the supreme policy document in the country.
- Secondly, in order to prepare for a fairly rigorous assessment of the implementation of the policy in the Department, some of the 5 C variables indicated in the various aspects of the policy will be highlighted.

2.1 THE TARGET GROUPS OF THE POLICY2.1 THE TARGET GROUPS OF THE POLICY

A critical content analysis of relevant documentation detailing the various aspects of the intervention identifies specific groups of people targeted by the policy whose behaviour needs to change one way or the other for the attainment of policy objectives.   On the one hand, taking its cue from the British Citizens'

Charter of 1991, the policy targets public servants in the Province and seeks to transform the way in which services are rendered by inculcating relevant service ethics espoused primarily by the *Batho Pele* principles and the South African Constitution. The Citizens' Charter points out that *"… it undertakes to orientate the public servants to be a vehicle to deliver services in an attempt to overcome the challenges facing KwaZulu-Natal as a developmental province."* (KZN Office of the Premier, Citizens' Charter 2005: 4)

On the other hand, the fundamental policy documents (i.e. The KZN's Citizens' and the Service Rights Charters) together with the actual programming thereof point to the public that receives government services as yet another important target group on whose change of behaviour effective implementation depends. To this extent the policy envisages the sensitization of the citizenry by means of a comprehensive and robust "Know Your Rights Campaign" (KZN Office of the Premier, Strategic Plan 2005-2010: 30; KZN Provincial Government, Service Rights 2005: 2-8; KZN Office of the Premier, Citizens Charter 2005: 3). The latter is intended to be an empowerment measure seeking to ensure that public services are not rendered to an apathetic if obsequious citizenry unable to participate actively even when consulted about the quality and level of services offered (KZN Office of the Premier, Citizens' Charter 2005: 1 *Batho Pele* White Paper,1997, Chapter 10 of the Constitution of the Republic of South Africa, 1996)

2.3 COHERENCY OF THE POLICY AS A THEORY OF SOCIAL CHANGE2.3 COHERENCY OF THE POLICY AS A THEORY OF SOCIAL CHANGE

Public policy intends to resolve a social problem experienced collectively and politically understood to be warranting a solution (Knoepfel et al, 2007: 21). For this reason public policy presupposes a type of theory of social change; and inner coherency is a critical component of any such theory (Knoepfel et al, 2007: 27).

Public policy consists of key coherent decisions which give rise to specific formalized activities intended to solve the identified social problem (Knoepfel et al, 2007: 24). The textual analysis of the Citizens' Charter indicates that the Service Delivery Improvement Policy of Provincial Government demonstrates the characteristic inner consistency. Firstly, the expressed aim of the Citizens Charter as a policy document is to impact on the behaviour of public officials in the rendering of client-centric services to the citizenry. To this extent the policy states that for this to be realized it has *to "… start with treating citizens as our 'customers' and implies:-*

- *Listening to their views and taking them into consideration when making decisions regarding services that should be provided;*
- *Treating them with consideration and respect;*
- *Ensuring that the promised level and quality of service is always of the right standard, and*
- *Responding swiftly and sympathetically when standards of service promised are not met.* (Citizens' Charter 2005: 1)

The intention of the Service Rights Charter is *".. to inform the Citizens of KwaZulu-Natal of their rights as individuals* (Service Rights Charter, 2005: 3); thereby committing Provincial Government to protect these rights. The KZN Office of the Premier's Five Year Strategic and Performance Plans 2005-2010 also consents that the strategic objective of the said Know Your Rights Campaign is a measure intended to revitalize *"… service delivery in the Province in line with Batho Pele principles and the Provincial Citizens' Charter. This process includes the promotion of public participation in influencing service delivery trends and measures. The public will be sensitized to their rights as recipients of government services.* (Strategic Plan 2005-2010: 30). The latter is informed by a realization that good governance has a lot to do with influencing the behaviours of clients by circumventing a reticent attitude and creating an assertive citizenry which is able to make government accountable for the services it renders. The policy seems to be operating from an assumption that it

would be futile to put in place a Citizens' Charter which spells out the type, level and quality of services government commits itself to deliver, yet on the other hand remain with an indifferent and a subservient clientele.

Taking its cue from the 1997 *Batho Pele* White Paper, the Provincial Service Delivery Improvement Policy further demonstrates its inner coherency in the logical arrangement of the *Batho Pele* principles which form the bedrock of both National and Provincial Policy on Service Delivery Improvement. According to the Charter and by implication the *Batho Pele* White Paper, the consultation of citizens about the services provided is a logical step towards the setting of standards and other subsequent activities of ensuring equitable access, treating citizens with courtesy, dispensing accurate information about services rendered, entrenching openness and transparency, providing redress where promised standards were not met, ensuring value for money used, encouraging innovation and rewarding excellence, measuring service impact; and providing strategic direction. (Citizens' Charter 2005: 5-11; *Batho Pele* White Paper 1997: 8-16)

Care is also taken that the Provincial initiative to transform service delivery is aligned with national policy as espoused by the Constitution. To this extent the Provincial Policy states its inner coherency with the supreme law of the country and seeks to entrench a Public Administration characterized by:-

- A high standard of professional ethics;
- Services that are delivered impartially, fairly, equitably and without bias;
- Efficient effective utilization of resources;
- A responsive climate focused on peoples' needs;
- A participative customer base, and an accountable, transparent and development oriented administration (Citizens' Charter 2005: 1; The Constitution of the R S A 1996: 111)

By the same token, the observed intra-coherency existing within the provincial policy as well as its inter-coherency with national interventions on the

transformation of service delivery is not a trivial matter. On the one hand, it seeks to ensure that both spheres of government approach the solution to the identified problem in a clearly targeted and coordinated fashion which augers well for corporate governance espoused by the Constitution.

2.4 AN INTEGRATED INTERVENTION PROGRAM2.4 AN INTEGRATED INTERVENTION PROGRAM.

Based on the *Batho Pele* principles espoused by the White Paper on the Transformation of Public Service Delivery, the policy enumerates concrete actions that must be taken to implement each *Batho Pele* Principle (KZN Office of the Premier, Citizens' Charter 2005: 5-10). To this extent the policy prescribes 50 specific activities intended to effect implementation in respect of the eleven principles espoused by the KZN Citizens' Charter. The said activities can be classified as follows:-

Table 1. 5 C Variable Analysis of the Citizens' Charter

Citizens' Charter Principle	Specific Activities Prescribed By The Policy	Percentage	5 C Variables Indicated in Activities
1. Consultation of Citizens about the level and quality of services.	• Establish consultation forums relevant to services delivered and the customer base. • Establish tools to conduct customer satisfaction surveys at service points. • Provide reports on implementation.	6%	1. Forums of **clients and coalitions** directly affected by the policy. Forums also indicate **content** in terms of redistribution of power to the citizen 2. Creating tools to conduct survey enhances **capacity** to implement. 3. Reporting demonstrates the accountability of the institutional **context** in respect of the implementation of the policy. It can also be construed as an attempt to engender **commitment** from actors.

Citizens' Charter Principle	Specific Activities Prescribed By The Policy	Percentage	5 C Variables Indicated in Activities
2. Setting of service standards	• Develop Service Commitment Charter and Service Delivery Improvement Programme • Ensure 100% compliance with management regulatory framework • Ensure 100% compliance with department specific legislation and policies • Delivery of all promised services in accordance with approved budgets • Review and raise standards annually	10%	1. Service Commitment Charters intended to enhance **commitment** from the actors. 2. Compliance reflects the **regulatory content** of the policy and can also be construed to effect **commitment** to implementation. 3 . Reviewing and raising of standards can enhance **capacity** by creating willingness to implement.
3. Providing equal access to services	• Develop strategies to improve service delivery and include them in Strategic Plans • Establish call centres • Establish departmental One-Stop Service centres • Develop websites that allow online access to services • Increase accessibility to disabled customers at service centres • Improve treatment of citizens at service centres	12%	1. **Context** is implied in the sense that it speaks of what the institutional corridor of implementation is expected to do and also in the sense of facilitating interaction between the service provider and the client and forging transparency on the part of the former.
4. Treating citizens with courtesy and consideration	• Provide customer service training to front line staff • Disseminate information about the Public Service Code of Conduct • Train relevant stakeholders on protocol issues • Provide training on cultural diversity • Train receptionist before placement • Acknowledge correspondence within three days • Reply correspondence speedily • Improve public relations, code of conduct, dress code and telephone etiquette.	16%	1. Indicating both **contextuality** and engendering **commitment** by creating willingness to implement. 2**. Capacity** is also implicated in the sense that the activities prescribed do have the potential to increase the structural, functional and cultural ability to implement the policy.
5. Giving information to citizens	• Publish the reviewed version of the KwaZulu-Natal Citizens' Charter. • Publish results of customer satisfaction surveys • Address citizens in their language at front line service points	12%	1. **Content** is at stake in the sense that there is a direct redistribution of power by enabling the citizenry to know what to expect from state institutions. 2. There is also **capacitation** involved in

Citizens' Charter Principle	Specific Activities Prescribed By The Policy	Percentage	5 C Variables Indicated in Activities
	• Make information available in basic language groups • Make use of visual aids in disseminating information in order to cross language and literacy barriers. • Publicise the Know Your Rights Campaign as part of the policy document.		that the ordinary citizenry is provided with empowering information
6. Openness and transparency	• Submit and publish Departmental reports • Submit quarterly reports to relevant stakeholders • Produce service delivery improvement reports • Comply with the Promotion of Access to information Act • Provide relevant contact details	10%	1. **Context** is reflected in the sense that the institutional conduit of implementation is addressed. 2. The need for networking between actors of various spheres of government points to the relevance of **clients and coalitions** for effective policy implementation. 3. **Regulatory** Content in the form of legislation.
7. Ensuring redress: dealing with complaints	• Develop and implement complaints policy • Train and empower staff to deal with complaints • Resolve problems and complaints in stipulated times • Make complaints procedure available on website • Frontline teams to demonstrate level of implementation	10%	1. The Institutional **context** is implicated in terms of what is expected of the conduit of implementation. 2. **Commitment** is also at stake in terms of it being entrenched by specific measures 3. **Capacity** is also created in the structure and culture of the organization.
8. Ensuring value for money	• Deliver services according to plan • Identify best practice/innovations related to cost reduction.	4%	1. Identification of best practice has a lot to do with the role of **clients and coalitions** in the learning networks.
9. Encouraging innovation and rewarding excellence	• Encourage innovation and creativity • Facilitate sharing of best practice • Recognize and reward performance • Identify new ways of recognizing excellence • Keep track of contributions made	12%	1. **Clients and coalitions** and the learning network.
10. Measuring service delivery impact	• Measure impact and report regularly.	2%	1. The Institutional **context** is implicated in terms of what is expected of it.

Citizens' Charter Principle	Specific Activities Prescribed By The Policy	Percentage	5 C Variables Indicated in Activities
11. Providing leadership and strategic direction	• Put in place customer focused and well aligned Strategic Plans • Develop mechanisms for leaders to obtain feedback	6%	1. Clients and coalitions involved in interactions with each other 2. Development of mechanisms for leaders' feedback and the putting in place of customer focused Strategic Plans indicate a convergence between the bottom up and top down approaches; and also the relevance of the **context** of implementation.
TOTAL	50	100%	

The bulk of activities prescribed per principle relates to the treatment of clients with courtesy and consideration (i.e.16%); whereas the lowest number of activities is in respect of the measurement of service delivery impact (i.e. 2%.). The above table also demonstrates an interesting mix of 5 C Variables already implied in the various activities prescribed by the policy in respect of each *Batho Pele* Principle. The content variable is expressed in a number of activities relating to various principles; whether it be in terms of redistributing power to determine the quality and level of public services they receive (i.e. in the consultation principle); the empowering of the same citizenry with information; or it is in the regulatory content expressed in activities advocating compliance with legislation in the implementation of the policy (i.e. in the activities relating to the Openness and Transparency Principle). Secondly, the variable of 'contextuality' is implied in the activities dealing with what is to be expected from the corridor of implementation provided by the various actors in the implementation arena; whether such activities entail the responsibilities of the institutional framework (e.g. the establishment of tools for customer satisfaction surveys); or the facilitation of interaction between the service provider and the client. Other implementation variables are also identifiable in the activities linked to the principles:-

- Capacity to implement is ensured by among other things, activities intended to create willingness to implement (i.e. regular review and

raising of standards as well as increasing structural, functional and cultural ability to implement the policy).

- Attempts by the policy to engender commitment to implementation include prescribing regular reporting and the responsibility of implementing structures to effect relevant staff training.

- The creation of useful coalitions is clearly demonstrated by a concern for establishing forums of consultation, the need for networking between the spheres of government; the identification of the possibility for network learning demonstrated by the need for state organs to identify best practice from other actors in the implementation arena and the encouragement of innovation and creativity.

It is also important to realize that the 5C variables as expressed in the policy are not mutually exclusive; but are intricately linked to each other in the implementation process. For an example, the provision of customer care services for front line staff is a case in point. While it can be construed to be developing the capacity of employees to implement the principle of treating citizens with courtesy and consideration; it can be argued that training can also ensure that there is commitment to implement among various actors; whereas contextuality is also implicated in the sense that the measure prescribed has a lot to do with the nature of the institutional conduit responsible for the implementation of the policy. A critical observation to be made at this stage is the fact that as a result of the alleged characteristic relationship of interconnectedness existing between the variables, they have a tendency to shape and influence each other during the implementation process.

2.5 THE POLITICAL ADMINISTRATIVE PROGRAM (PAP) OF THE POLICY.

In order to be implemented a policy undergoes a rigorous process of programming[8]. The latter gives rise to a number of crucial products of the policy process. For Brynard's model programming is part of implementation. For this reason there is a potential for manoeuvring some of the variables of implementation at the top during programming. One such output which is important for the present analysis of the policy, is its Political-Administrative Program; which among other things encapsulates regulatory acts and norms which authorities responsible for the implementation of a given policy consider to be necessary (Knoepfel, *et al* 2007: 159). A critical textual analysis of the said policy provides the following integral elements of the Political-Administrative Program.

2.5.1 THE OBJECTIVE OF THE POLICY

The Citizens' Charter identifies the improvement of service delivery as the primary objective of the provincial public service transformation initiative *"… a transformed South African public service will be judged by one criterion above all: **its effectiveness in delivering services** that meet the basic needs of all South African citizens. Improved service delivery is therefore the ultimate goal of the public service transformation programme"* (KZN Office of the Premier, Citizens' Charter 2005: 3); whereas the Strategic Documents of the same nerve centre of Provincial Government advocate the monitoring and co-ordination of provincial government service delivery as the strategic objective of the intervention (KZN Office of the Premier, Strategic Plan 2005-2010: 30), enabling government to attain the stated goal.

2.5.2 EVALUATION OF THE IMPLEMENTATION OF THE POLICY

According to the Citizens' Charter and its stated objective, the type of data to be collected to ascertain the extent to which the objective is attained is specified. The Service Delivery Improvement Reports the various provincial departments

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[8] Others regard policy programming as part of implementation; whereas for others still programming precedes implementation proper.

are supposed to make, will reflect the progress made in accordance with the relevant business plans, the allocated budget and the *Batho Pele* Principles (KZN Office of the Premier, Citizens' Charter 2005: 7). On the other hand the same charter spells out examples of the data which will be collected from the departments as benchmarks for implementation of the policy. While the list is clearly not exhaustive (KZN Office of the Premier, Citizens' Charter 2005: 11), it is evident that out of the 14 areas of measurement prescribed by the policy, 29% relate to the creation of infrastructural capacity of the implementing state agency and includes data in respect of the:-

- Establishment of help desks at all delivery points,
- Wearing of name tags by personnel,
- Establishment of call centres; and
- Upgrading of websites in state institutions

The remaining 71% of data to be collected has much to do with the change of behaviour of officials at service points; and to that extent reflects a concern with the impact the nature of the institutional framework has on the implementation of the policy. Equally, this can also be a measure to entrench commitment to implement and entails:-

- Answering the telephone within six seconds
- Minimizing time spent on the telephone by officials
- Officials identifying themselves when answering the telephone
- Officials offering themselves to assist by referring queries to relevant units
- Relaying messages without delay
- Responding to promises made within 3 working days
- Responding to written queries within 5 working days
- Responding to telephonic complaints within 4 working days
- Responding to electronic complaints within 3 working days; and
- Offering redress and pertinent explanation

By the same token, the Office of the Premier commits itself in the Charter to, "*Ensure that all departments produce quarterly reports which are then subjected to public scrutiny;*" (KZN Office of the Premier, Citizens Charter 2005: 12)

2.5.3 SPECIFIC INTERVENTION INSTRUMENTS OF THE POLICY

The Political-Administrative Program of the policy concretizes the fulfilment of its objective in line with the *Batho Pele* principles (KZN Office of the Premier, Citizens Charter 2005: 5; Department of Public Service and Administration, *Batho Pele* White Paper 1997: 8-16). For each principle, the policy identifies specific activities which are intended to make concrete the intervention hypothesis (Knoepfel, *et al* 2007: 156). To this extent, the activities cited also implicitly and explicitly identify those to whom the specific interventions will apply; thus making clear the causality hypothesis between the measures and their targets. To this extent, the anthropocentric nature of the interventions enshrined in the *Batho Pele* principles are demonstrated in the interventions by their characteristic focus on the client-citizen as the recipient of the transitive measure performed by the public official (KZN Office of the Premier, Citizens' Charter 2005: 5-11)

THE DISTRTIBUTION OF COMPETENCIES IN THE INTERVENTION

This part of programming focuses on the designation of public actors and the institutional rules relevant to the implementation of a given government intervention (Knoepfel, *et al* 2007: 159). The Service Delivery improvement Programme under scrutiny specifies about five public actors on whom the mantle of implementation rests. The Service Delivery Directorate of the Office of the Premier KZN has an obligation to champion the policy as it promotes the actual agenda of service delivery transformation in the province (KZN Office of the Premier, Citizens' Charter 2005: 12). The second actor is the Monitoring and Evaluation Component of the same nerve centre of provincial government for whom *"… the continual improvement of the public policy process and the PGDS,*

monitoring of key provincial programmes and evaluation of their impact…" (KZN Office of the Premier, Strategic Plan 2005-2010: 30), is the primary responsibility[9], has eventually taken the task of monitoring and evaluation of the implementation of the policy in provincial government. The third public actor identified and designated by the programming of the policy are the thirteen provincial departments which effectively commit themselves to the standards of service espoused by the Citizens' Charter (KZN Office of the Premier, Citizens Charter 2005: 12-38). The Provincial *Batho Pele* Forum whose particular brief ranges from the coordination of the implementation of departmental Service Commitment Charters to the arrangement and management of the Premier's Service Excellence Awards, has been established in the province (KZN Office of the Premier, Citizens' Charter 2005: 9-10; KZN Office of the Premier, Strategic Plan 2005-2010: 30). The last provincial structure that has competency allocated to it in terms of the policy is the Provincial Security Managers Forum. The roping in of this institution as an important public actor in the policy arena indicates the critical role played by such phenomena as risk management, fraud and corruption in effective service delivery improvement in the province. The high profile nature of both the *Batho Pele* Forum and the Security Managers Forum can probably be inferred from the fact that they are chaired by the Director-General of the Province.

2.5.5 ELEMENTS OF PROCEDURE IN THE POLICY: THE INTERACTIVE DIMENSION.

The context within which interactions between the public actors involved in the policy process occur is provided by the legal mandates and good governance

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[9] Interviews with relevant management has indicated that the current arrangement is a later development in the management of the Service Delivery Improvement Policy brought about by a process of re-alignment of programs undergone by the Office of the Premier. This observation might appear trivial at *prima facie* evidence; but if one takes particular cognizance of the fact that the classical approach to public policy implementation tended – as a result of it being premised on implementation failure – to ascribe any unsuccessful implementation of the policy to the implementers at the level of 'street level bureaucrats' (if one were to borrow from Lipsky), the later re-identification of an appropriate structure for the evaluation of the policy may prove that some of the inadequacies evinced by the implementation of a given government intervention may be attributable to the very nature of the programming of the policy.

principles identified as specific forces driving the development; and by implication the implementation of the Service Delivery Improvement initiative of the KZN Government (KZN Office of the Premier, Citizens' Charter 2005: 3-4); can be regarded as indicative of the content of the policy. It is a well established fact in governance that all state intervention must be based on a legal foundation which mandates the policy. The legal prescripts identified as providing such a basis for a given policy are intended among other things to provide the framework for the interaction among actors in the policy arena, thus informing the behaviour of such groups. To this extent, the policy under scrutiny appeals to an array of legislative prescripts to legitimize itself as a lawful state intervention.   Such prescripts range from the supreme law of the country through to specific legislation relating to the public service which includes:-

- The Public Service Act, No 103 of 1994
- The Public Service Laws Amendment Acts, 1997/1998
- Public Service Commission Act, 1997
- Public Service Amendment Act, 1998
- Public Finance Management Act, 1999
- As well as administrative law epitomized in the Promotion of Administrative Justice Act, 2000 and the pervasive influence of the White Paper on Transforming Public Service Delivery (*Batho Pele)* 1997. (KZN Office of the Premier, Citizens' Charter 2005: 3)

On the other hand, the interactions between various public actors in the policy arena are also intended to be informed by good governance principles of discipline, transparency, independence, accountability, equity and social responsibility (KZN Office of the Premier, Citizens' Charter 2005: 4)

2.5.6 ADJUDICATION OF THE POLICY

The South African policy scholar, Professor Henry Wissink has made a notable input in policy studies with his Stage Model of policy making. According to De Coning and Cloete (2007: 46-47), Wissink suggests that when developing a

policy, it is helpful to break down the policy process into various stages which correlate with the actual dynamics and activities that give rise to actual outputs. The ninth stage comprising Wissink's model is the adjudication of the policy. This among other things includes the means prescribed by the policy to engender compliance with the intervention. The substantive content of the Service Delivery Improvement Policy of the KZN Government does not seem to indicate any overt recourse to specific sanctions for failure to implement its measures, save the fact that implementers are bound by the prescriptions of the array of legislation that informs the policy's mandate. However, it can be safely inferred that the policy evinces an explicit and implicit reliance on persuasion in order to enlist compliance from identified actors. A pertinent example of this phenomenon in the policy is the establishment of the *Batho Pele* Forum which among other things acts as an advisory body to the various implementing agencies, and also has a particular brief to recognize excellence in the provision of services by arranging the Premier's Service Excellence Awards, which are evidently another way of encouraging innovation and rewarding excellence in the implementation of the intervention.

3. PRESENTATION OF DATA FROM INTERVIEWS AND OTHER IMPLEMENTATION DOCUMENTS.

Out of 16 interviews held, 75% were formal structured interviews held with officials of the implementing Department of Arts, Culture and Tourism (i.e. 5 Directors, 6 Deputy Directors and 1 Chief Director). A questionnaire of eleven carefully constructed questions inquiring into the status of the implementation of the policy, based on the 11 principles of the Citizens' Charter was used for structured interviews; which were tape recorded and in some instances translated to English before the preparation of comprehensive write ups. (See Addendum 1). The remaining 25% were unstructured interviews held with officials of the KZN Office of the Premier namely the Director-General of the Province and the staff of the Public Service Transformation Chief Directorate; and inquired about the state of monitoring of the Service Delivery Improvement

Policy of Government particularly within Provincial line Departments. The said inquiry sought among other things, responses regarding the tools used for monitoring line departments' implementation of the policy and the nature of the reports submitted to the unit by the same.

The data extracted from interviews was supplemented with information acquired from:-

- the critical study of reports made by the KZN Department of Arts, Culture and Tourism to the relevant bodies and institutions to which it has an obligation to report progress made with implementation.
- Position Papers prepared by consultants on the Service Delivery Programme of Provincial Government (i.e. Position Paper Prepared by Pricewaterhousecoopers on the KZN Primier's Service Excellence Awards)
- minutes of meetings of the institutions forming the implementation corridor of the policy;

3.1 PRESENTING DATA FROM INTERVIEWS.

The following therefore is the data yielded by interviews:-

3.1.1 LEVELS OF CONSULTATION IN THE DEPARTMENT.

The first question raised with informants inquired about the number of consultation forums held in a given unit since the third quarter of 2005/6 financial year, in order to solicit the views of the citizenry about the level and quality of services received. The overall picture about the responses made particularly among the junior management within the units of the Department evinces a characteristic ambivalence, ranging from uncertainty coupled with a lack of precise knowledge about the form such consultations should take as contemplated by the policy on the one hand, to small pockets of excellence on

the other end of the spectrum. Out of six (6) Deputy Directors consulted only one (1) gave an indication of the presence of unquantified forums; while another was quite uncertain about whether they have been held or not; nor was he confident about the form such forums should take. Four deputy directors could not give a response to the question raised in this regard. One Cluster Director gave clearly quantified numbers of types of consultation forums held within the unit and the nature of the discussions that took place in them; whereas two other Cluster Managers gave an indication that while in some instances very low key consultation forums are held, the department does not seem to have a strong culture of consultation. No response was received to this effect from the fourth Cluster Director who was consulted about the matter.

On the other hand, documented evidence in the form of Progress Reports on the implementation of the eight *Batho Pele* Principles by the provincial organ of state to the Department of Public Service and Administration indicates that in instances where the template requires precise information regarding specific consultation initiatives like Annual Workshops and Summits, Road Shows, Exhibitions, Stakeholder Forums, Ministerial Service Delivery Visits, there is a tendency not to quantify such interventions. Out of the 12 positive answers given in respect of specific consultation activities by the report (i.e. annual workshops and summits, road shows, exhibitions, website, stakeholder forums, customer satisfaction surveys, *Imbizos,* ministerial service delivery visits, conferences, joint management meetings with service delivery partners, campaigns, national questioning of clients/questionnaires; and feed back sessions), none have been clearly quantified, while in four instances vague quantification has been provided (i.e. regularly, quarterly, annually) even in instances where concrete statistical evidence could have been easily provided if the alleged activities had been performed.

At the level of conceptualization particularly by senior management in the Department there is a very clear and comprehensive articulation of what the

department understands about the principle of consultation germane to the Service Delivery Improvement Policy of Government. In response to a relevant question in a survey conducted by the Office of the Public Service Commission, the Corporate Strategy division aptly describes the Department's understanding of the principle as follows.

> The aspect of consultation as one of the BP principles revolves around the interaction of the Department with stakeholders within the arts, culture and tourism sectors and the interfacing with internal clients in respect to the quality the services rendered by the various components. To ensure that there is an all inclusive approach and quality based services to the arts, culture and tourism sectors as required (Undated Public Service Questionnaire).

By the same token, the same survey conducted by PSC to evaluate compliance with the principle of consultation indicates another important factor with regard to the implementation of this policy. There are eight specific strategies used by the Department as mechanisms for ensuring that the citizenry is consulted about the quality and level of services rendered. The report cites Road Shows (e.g. the Taking Art to the People initiative), Workshops (implemented as per the operational plan of the Clusters), Forums and Committees (e.g. the Tourism Conference), Visits to Offices (Unannounced Visits), Targeted Media, Media Adverts, Press Releases, Interest Group Meetings, Annual Reports and Departmental Journals. On the other hand, Promotion of Arts and Culture, Promotion Management and Preservation of Public Records and the Promotion of Multi-Lingualism are the specific service areas mentioned as activities where only five of the above consultation mechanisms were used; namely Road Shows, Workshops, Meetings and Seminars, Conferences and Questionnaires).

A review conducted within the wider Provincial Government in KwaZulu-Natal has also revealed that the entire bureaucracy is not strong on consultation. A survey held in 2006 by Pricewaterhousecoopers on the need for repositioning the Premier's Service Excellence Awards (PSEA) in the province indicates that most of the technocrats of Provincial Government tend to rely more on Departmental or Regional *Izimbizo* as primary fora of interaction with their client base.

According to this report therefore, the net result of this state of affairs is the profound lack of customer involvement in Service Delivery initiatives; which suggests among other things poor consultation by implementing agencies. The said survey makes a further finding in this regard. That is, the practice of consultation of the customer about the services provided evinced tendencies of slight improvement in respect of those organizations that were re-entering for the award. Among other possible reasons implicitly cited by this report for the noticeable improvement in this regard is the feedback that entrants receive from the team responsible for the awards after the organization's participation in the scheme.

Notwithstanding the said impact of the advice from the PSEA team is perceived to have on the implementation of the Service Delivery Improvement Policy within the administration, there is still evidence that such valuable feedback to entrants has been at best fairly erratic over the years. The awards were pioneered by KwaZulu-Natal in 1999 as a non monetary team based award system to encourage among other things, the *Batho Pele* ethos, that is a client based service delivery in provincial governance. The awards have been regarded and adopted as a best practice model by the majority of the nine provinces in South Africa. However, research has indicated that during the first few cycles of the PSEA's existence, all entrants received feedback on their implementation of the policy; while none of the contestants received any response in 2002; whereas only half of the entrants received comments in 2003. In 2004 there was no feedback received by the entrants while all received theirs in 2005.

However there seems to be an almost palpable cross cutting optimism that pulsates within the Department about the role which the recently established District Forums will play in enhancing service delivery by, among other things expediting planning and enhancing the flow of information between the Department and its clients.   There seems to be general agreement within the administration that the advent of these structures is in essence ushering in a paradigm shift in the approach to governance by a Department where consultation is on occasion considered not to be very strong.   Almost all the informants interviewed were aware of the potential this intervention is to have in changing the culture of the department vis-à-vis the practice of consultation.

3.1.2 THE DEVELOPMENT AND IMPLEMENTATION OF SERVICE DELIVERY IMPROVEMENT PROGRAMMES

The second question focused on service standards and inquired into the existence of any service delivery improvement program developed and implemented since the 2005/6 financial year. Responses made during interviews ranged from denial of any existence of such initiatives to characteristic misconceptions about the nature of such interventions as envisaged by the policy. 12% of the respondents were not aware of any Service Delivery Improvement Programme existing within their scope of practice; whereas 44% tended to regard consultation initiatives within the department as service improvement programs in themselves. The other 44% could not respond to the question posed in respect of this issue.

Early reports made to the DPSA regarding the Department's implementation of the *Batho Pele* principles confirms that at the initial stages of reporting, no Service Delivery Improvement Programme (SDIP) was published and distributed while only a draft of Service Standards existed. The earlier version of the SDIP available for scrutiny provides useful data for the study. On the one hand, no reference is made to the Citizens' Charter as forming part of the inevitable

rationale for the development of the program; while the White Paper on Transforming Service Delivery is only listed as part of a cluster of legislative prescripts mandating the action. The structuring of the document understandably reflects the incipient attempts of the young department to wrestle with issues of compliance in respect of this principle. On the other hand, the latest version of the SIDP of the Department evinces higher levels of sophistication and comprehensiveness where each programme works out its service commitment standards in accordance with its line functions. With regard to the specific principle of the setting of relevant service standards for each sector, out of the six strategic service areas identified (i.e. Oversee the functioning of the Tourism Public Entities, Provide access to Archival Records and other holdings in all three repositories, Promote Tourism Development in the Province, Provide translation, Interpreting and Editing services to Provincial government departments and municipal authorities), only one programme (16.6%) has a clearly conceptualized and articulated service standard although not quantified. With regard to the other four of the six key service areas identified (i.e. slightly over 66%), citizens are neither provided with any information regarding the current service standards nor are they furnished with a commitment to realistically improve the status quo in future. The sixth key service area (i.e. 16.6%) provides service standards which border on the verge of obscurity and vagueness.

3.1.3 THE GENERAL TREATMENT OF CLIENTS

The third question probed into the types of interventions effected to improve the treatment of clients at access spots and at points of front line delivery within the Department which is one of the six areas of focus advocated by the Citizens' Charter in respect of the third *Batho Pele* Principle of providing equal access to services. 46% of the responses received in respect of this specific inquiry revealed awareness of the diversified nature of the client base serviced by the department; and could identify a few interventions made to enhance the accessibility of services to the clients. They included such things as provision of signage, expediting grant applications and training of staff in Client Care.

However, mention was also made of the shortage of staffing as a militating factor in the implementation of this specific principle.

In keeping with common practice, Strategic Documents of the department on the other hand document specific service delivery improvement plans as a result of the SWOT analysis engaged in during strategic planning exercises within the administration. The sectoral situation analysis engaged in during the strategic processes of the Department, reflected in its Strategic Plans can be divided into two primary types. On the one hand there are corporate level strategies which seek to define the nature of businesses the Department plans to engage in; whereas on the other hand, some of the plans enshrined in these documents seek to spell out specific strategies adopted by various business units of the organization in fulfilling their carefully defined strategic objectives; and to that extent could be described as more of business level strategies. The strategies include such phenomena as synergies created as part of the process of establishing a strategic link between arts culture and tourism, entrepreneur mentorship and cultural competitions.

While there is quite an array of these strategies enumerated by the strategic documents of the Department; it is difficult if not impossible to discern any *Batho Pele* influence in the way they are rationalized and crafted. This is critical if one takes particular cognisance of the fact that in its first meeting after the launch of the Citizen's Charter in November 15 of 2005, the Provincial *Batho Pele* Forum resolved in January 25, 2006 that the *Batho Pele* Principles should form part of the strategic planning focus. By the same token the 2006 Pricewaterhousecoopers Concept Paper For the Strategic Positioning of the KwaZulu-Natal Premier's Excellence Awards points out that part of the failure of the awards is due to the fact that *Batho Pele* strategies are often not aligned to the mission and objectives of the organizations while the very organizations themselves often adopt a piecemeal approach to the implementation of these principles.

The reports on progress with the *Batho Pele* made to PSC also identify quite a sizeable number and type of seemingly very effective mechanisms used to improve equitable access to services provided. Decentralization of services to the Clusters for example is identified as one of the helpful ways of improving front office access. The interviews held in all the four Clusters of the Department also confirmed the observation made by the said reports. However, the fact that not all the services offered by the department are accessible through the Clusters militates against equitable access to services provided.

3.1.4 ENTRENCHING THE CULTURE OF *BATHO PELE* THROUGH STAFF TRAINING.

Two questions were used during field interviews of officials of the Department intended to probe into two areas of staff training as proposed by the fourth and seventh principles of *Batho Pele* respectively. The one question inquired about the number and type of customer service training provided for front line staff in order to entrench courtesy. The second question sought to solicit responses from managers interviewed about the number of personnel in their respective units who have received specific training in dealing with issues of redress. Half of Directors interviewed provided very clear interventions which have been done to enhance courtesy among front line staff. Such endeavours included telephone ethics, completion of grant forms, *Batho Pele* Principles. As a result of the aforesaid Provincial Consultations recently held in the 2007/2008 financial year, the manager of one Cluster in particular responded by designing a program aimed at training his staff in Customer Care. This is currently augmented by the induction of newly appointed staff on the same. Evidence from the Directors of the other two Clusters suggests that no specific staff training has been provided save that prepared as part of induction for new recruits. Responses from all the Deputy Directors interviewed indicates that they are not sure about the nature that such training should take.

At the other end of the spectrum the responses received suggest that there is a profound dearth of initiatives aimed at equipping those who are at the coalface of service delivery in the Department with skills in addressing questions of redress. Responses received indicate that only 5 professional staff and 6 administrative personnel have received some measure of training in redress in all the four regional clusters of the Department. There is also an observation from the client base especially in the Durban and Zululand Clusters that officials have the tendency not to honour appointments arranged a time in advance coupled with a failure to make redress for such a discourteous if unprofessional behaviour.

While a number of mechanisms are suggested for dealing with complaints from clients in the copies of Service Delivery Improvement Plans of the Department over the last three years, there is nonetheless no trace of training of staff in the same. Both field interviews and relevant documents analysed reveal that clients do lodge complaints, hence the preponderance of mechanisms contemplated to be used by clients to register their dissatisfaction. At closer scrutiny, some of the strategies identified as those that will be used in dealing with complaints appear only on paper and not in practice. For an example, there is currently no facility available in the Departmental website which offers clients an opportunity to register their complaints, nor is there any evidence of Complaints Registers in the Clusters visited during fieldwork research.

3.1.5 PROMOTING ACCESS TO INFORMATION AND ASSESSMENT OF SERVICE DELIVERY IMPACT.

Two questions were further posed to the informants. One question probed into the extent to which the Department has been able to conduct customer satisfaction and publish the results thereof as per the fifth *Batho Pele* principle; whereas the second inquiry sought to have responses regarding the tenth principle of gauging and reporting on service delivery impact of the Department. 91% of the respondents indicated that there are no reliable tools developed to conduct customer satisfaction surveys. 9% of the respondents indicated reliance on *Izimbizo* and clients's annual meetings and questionnaires as tools used to

determine customer satisfaction. However, even in such instances financial constraints militate against the regular use of these limited forms of surveys. To this extent therefore no evidence for any formal reporting to the citizenry about results of such surveys was indicated by the relevant field interviews.

The implementation reports interrogated for this research do not reflect any data in respect of the customer surveys and the publication of results; nor do they give any information regarding measures taken to assess service delivery impact.

3.1.6 REPORTING ON THE IMPLEMENTATION OF THE POLICY

Responses to the question which probed the nature of the stakeholders to which units in the Department report their implementation of the *Batho Pele* Principles were also interesting. While all the informants report on the general progress they are making in terms of their respective responsibilities; none gave any indication that they are at any given time reporting specifically on the implementation of the principles. The stakeholders identified by all informants included Arts and Culture centres, and internal structures (i.e. supervisors)

Documentary evidence interrogated for this research however indicates that the Department makes reports to the following structures:-

- The Provincial *Batho Pele* Forum Meetings
- The Service Delivery Improvement Unit of the KZN Office of the Premier.
- The Public Service Commission

To this extent therefore, while as a Department the state organ makes reports to the relevant structures about its *Batho Pele* implementation endeavours; there is no evidence provided by field interviews that officials do internal reporting on the same to their supervisors. There is in this sense a gap between what the official reports to the outside stakeholders who monitor performance claim and what seems to be obtaining on the ground.

3.1.7 UNDERESOURCING AS A HINDRANCE TO INNOVATION AND REWARD.

A question regarding the Departments attempts at encouraging innovation and rewarding excellence was raised with the respondents. 50% of Directors interviewed highlighted the use of Performance Appraisals, Certificates of Participation, Letters of Commendation, Directorate Meetings and Motivational talks as measures often used in respect of this *Batho Pele* Principle. However challenges of limited funding, staff shortages, lack of adequate office space and pertinent ergonomics were cited as some of the factors militating against the sustainable use of interventions in this respect.

The fact that part of this under sourcing relates to staffing virtually translates to the Department being thin on the ground particularly in the Clusters where key service delivery should be taking place. Almost all the Cluster Managers interviewed cited this challenge as something that poses enormous difficulties with effective service delivery. By the same token, there were also indications given, however trivial, that budgetary constraints in particular militate against the encouragement of innovation and rewarding excellence within the units.

3.1.8 STRATEGIC DIRECTION AND THE IMPLEMENTATION OF THE POLICY.

The Citizens' Charter conceives of the implementation of this principle as comprising the responsibility of leaders in *"providing direction, creating alignment, engaging staff, creating partnerships and demonstrating ethical and sound leadership"*. (Citizens' Charter 2005: 9). This Charter Principle is part of the three additional principles added to the KwaZulu-Natal version of the *Batho Pele* as a result of the evolution of the criteria used to measure the performance of organizations entering for the Premier Service Excellence Awards.

During interviews, managers in particular were asked as to how they receive feedback about their leadership styles. 95% of the responses received cited staff meetings as the primary forum where supervisors receive such comment; while only 5% of the responses mentioned popularity with officials and prospective employees as another indication.

The profound lack of specific scientific mechanisms designed to enable leaders to receive objective criticism from peers, subordinates and customers about the nature of their leadership is corroborated by surveys conducted by Pricewaterhousecoopers on the prospects for the repositioning of the KZN Premier's Service Excellence Awards. 25% of the eight critical factors identified by the survey as impinging negatively on the implementation of the SDIP through the PSEA relate to issues of feedback. They are:-

- The lack of intergration between the PSEA and by implication the SDIP of Provincial Government with the Departmental Performance Management Cycle. The lack of this integration virtually militates against the possibility of receiving an opinion from supervisors on the supervisee's implementation of the policy.
- Erratic feedback to entrants of the PSEA from assessors thus depriving state institutions an opportunity to receive advise on their performance.

3.1.9 ENGENDERING VALUE FOR MONEY IN GOVERNANCE

This is another area where there is fair amount of agreement that the department has eventually effected a turn around strategy. Responses received from informants cited the following process re-engineering interventions as cost cutting measures that are beginning to ensure value for money used:-

- the reduction of the numbers of officials who plan and attend major cultural events in the calendar of the Department
- The introduction of a centralized photocopying system in clusters.
- The rediscovery of the value of electronic government in shipping off relevant documentation to the Head Office; thus reducing costs of

travelling which often skyrocketed particularly in the far flung Clusters within the Province.

- The rediscovery of the value of corporate governance by roping in the private sector as partners in service delivery improvement.

4. THE ANALYSIS OF THE FINDINGS

This section of the chapter analyses data yielded by research using the 5C Protocol as the tool of analysis indicated in the previous methodology section. The intention is to interpret the data yielded so that it is made clear as to what it means in respect of the thesis statement being probed by the research.

4.1 THE CONTENT OF THE POLICY AND THE EXTENT OF ITS IMPLEMENTATION IN THE DEPARTMENT.

The fundamental question that must be raised at this level of inquiry about the implementation of the content of the policy within the KZN Department of Arts, Culture and Tourism is twofold. On the one hand, the Lowian typology referred to in 3.3.5.1 above requires that the researcher seeks to do at least two tasks. The first responsibility is to indicate on the basis of data collected whether the policy is either regulatory, distributive or redistributive in its content; whereas the second task is that of demonstrating how the data yielded by research buttresses one or more of these paradigms or alternatives. On the other hand, one needs to inquire as to how does the data acquired through research indicate the extent to which implementation seeks to exhaust the alternatives of execution provided by the actual programming of the policy. In a sense, what needs to be interrogated is the extent to which different modes of intervention advocated by the policy are adopted in the implementation endeavours of the Department.

There is a clear redistributive content evident in the policy which aims to reallocate power to the citizen to inform decisions about services provided. This is expressed in the policy's expectation that officials offer services in a manner

that puts the citizen first, by among other things listening to their views and incorporating them when decisions about services are made, treating the client with consideration and respect; and keeping the standards promised to the citizen in the provision of services; whereas on the other hand, both the consultation forums prescribed to solicit such views and measures taken to enable the citizens to know what they can expect from government are further examples of the empowering content. The redistributive content of the policy is coupled with a strong regulatory content evident in the policy's insistence on compliance with the managerial regulatory framework and an array of pertinent legislative mandates.

The implementation data collected suggests low levels of comprehension and appreciation of the contents of the policy existing among officials in the Department. This is exemplified among other things by a weak culture of consultation demonstrated by inadequate forums provided, uncertainty about the nature that such forums should take; and the characteristic tendency to avoid to quantify the data provided in the implementation reports. This has dire consequences for implementation because low levels of policy content appreciation suggests that public officials who are one of the primary target groups for successful execution are rendered less able to leverage the policy's redistributive and regulatory content for the empowerement of the client. To this extent the policy is rendered less effective in so far as addressing the power dynamics between the administration and the client by effecting a change in the way power to decide about services is distributed between the service provider and the recipient. Traditional public administration, more particularly prior to the advent of the New Public Management paradigm, is generally very inward looking and bureaucratic. However, if public administration is to be developmentally oriented and responsive to the needs of the citizens, mechanisms such as those intended to expedite consultation will have to be implemented so that the aforementioned structure of the power relations is influenced and a paradigm change in terms of good governance effected. In this

way the participation of the general public in policy making is inevitably entrenched.

On the other hand, we have also established that policy content has a lot to do with the alternatives that can be used to execute the mandate of the legislator. The aforesaid low levels of content appreciation also suggest that the alternatives of intervention offered by the policy are not exhausted in the implementation thereof. The above analysis of levels of implementation of the various *Batho Pele* Principles has indicated that the department is not faring that well in almost all of them. This presents a threat to the potential that the policy has to resolve in a targeted manner, the nature of the problem it seeks to address. Public policy is intended to be an integrated intervention that seeks to resolve a specific problem experienced collectively and has been politically construed as warranting a solution. To this extent, public policy presupposes a type of theory intended for social change. However, the optimism about the potential of District Forums in particular in so far as entrenching consultation at the lower level is an indication that the Department is gradually effecting a turn around in this regard.

4.2   THE   ROLE   OF   THE   INSTITUTIONAL   CONTEXT   IN   THE IMPLEMENTATION OF THE POLICY.

The role played by the institutional context as a corridor for effective implementation of the Service Delivery Improvement policy is clear. The policy highlights what is expected from these actors particularly in the following areas:-

i. In order to set appropriate service standards implementing institutions are expected among other things to:-

- Develop and include in their strategic plans, specific strategies for the improvement of service delivery
- Put in place call centres and One-Stop Service Centres; and

- Websites to ensure online access to services

ii. To entrench openness and transparency as an organizational culture conducive to the implementation of the intervention, actors in the implementation arena have to submit various reports on the implementation of the policy.

iii. The development and implementation of a complaints policy, training of staff to deal with customer complaints and queries are classical examples of what is expected from the implementing agencies in order to comply with the seventh *Batho Pele* Principle of ensuring redress and dealing with customer complaints.

The lack of effective strategic direction demonstrated by the profound absence of specific scientific mechanisms designed to enable leaders to receive objective feedback; lack of integration between the SDIP and Performance Management Cycles and virtually low levels of human interaction in respect of implementing actors demonstrated by erratic feedback from assessors of the PSEA and supervisors within the Department are all factors in the institutional context which hamper implementation.

Low levels of consultation identified during research are further indicators of an institutional context not favourable to effective implementation of the policy; while the awareness of the officials about the complex situation within which public service delivery takes place augers well for the future, because it has the potential to lead technocrats within the administration to identify the need for enhancing accessibility of the services to the diverse Provincial clientele.

Regional Clusters form the primary points of access for service delivery in the Department; and to that extent they are the coalface of service delivery. However, the very fact that clusters are thin on the ground in terms of staffing indicates an institutional context which virtually militates against effective service delivery. The situation is further exacerbated by other factors such as limited resources and non representation of other business units of the Department in the Clusters.

4.3 ARE THE POLICY ACTORS COMMITED TO IMPLEMENTATION??

The Service Delivery Improvement Policy uses a variety of strategies to entrench commitment to implement specific *Batho Pele* Principles from the targeted groups. As part of consultation the policy enjoins actors to provide quarterly, half-yearly and annual progress reports on the implementation of the policy so that they can be scrutinized by the public. This is intended to monitor the commitment of actors in the policy arena. By the same token, in the setting of standards for service delivery, implementing agencies must develop Service Commitment Charters which commit them to the provision of services at a certain standard, deliver services promised to the citizenry in accordance with approved budgets and conduct yearly reviews of standards. Thirdly, specific measures prescribed to ensure redress and dealing with complaints are also meant to ensure commitment from implementers. There is also a sense in which the regulatory content in the form of legal mandates of the policy can be regarded as yet another mechanism used to ensure commitment from state institutions entrusted with the implementation of the intervention. To this extent therefore, the policy links effective implementation to the commitment of the targeted actors.

The actual implementation of the intervention as per the data collected however depict very low levels of commitment from some of the groups on whose behaviour implementation depends. This is indicated in a number of instances during field interviews:-

- Responses received from informants regarding the existence of service delivery improvement programs (SDIP) as per the second *Batho Pele* principle revealed that 14% of officials interviewed, who are entrusted with implementation of the policy were not aware of the existence of such programs; 44% misconstrued consultation for

SDIP's; while the remaining 44% could not give a response to the question posed.

- Reports made to the relevant stakeholders depict the same lack of commitment to implement in the sense that they tend to evince an aversion to quantify information given even in instances where this would enhance the quality of reporting done. The said characteristic repugnance to providing numerical evidence tends to suggest that there is a possibility that where an attempt is made to quantify the data provided; there exists a potential for simply thumb sucking the numbers given.

- The interrogation of implementation documents like strategic plans has indicated that there is no clear *Batho Pele* influence in the Strategic Planning Processes of the Department. This is demonstrated in the corporate and business strategies identified in the Strategic Documents of the institution. To this extent there is not much commitment to implement displayed in the strategic planning processes of the department, thus leading among other things to a lack of allocation of resources for *Batho Pele* which eventually give rise to a piecemeal approach to the implementation of the principles.

- Lack of commitment is also evident in the insufficient training offered to train staff in matters of redress as the policy prescribes; whereas the uncertainty about the form that some of these interventions should take, is also evidence that the *Batho Pele* principles are not equally deployed at all levels of the organization; thus impacting on commitment to implement.

Based on the above therefore, it can be concluded that while the programming of the policy is clear on the relevance of commitment for effective implementation of the intervention, it is however not met with the corresponding devotion within the Department as the conduit of implementation.

4.4 THE CAPACITY OF THE DEPARTMENT TO IMPLEMENT

The analysis of the various aspects of the policy reveals that it abounds with mechanisms to ensure adequate capacitation of the actors for its effective implementation. Firstly, there is the sensitization of the citizenry with the Know Your Rights Campaign which is intended to create an empowered and assertive client base capable of holding government accountable to promised standards of service delivery. Secondly, the attempt by the policy to transform and align service delivery in accordance with the values espoused by the Constituion as alluded to in section 2.3 above, is also intended to enhance the capacity of the public service to deliver accordingly. Thirdly, the injunction to create assessment tools for conducting customer satisfaction surveys at front line service points as a measure to enhance levels of consultation within implementing departments is intended to boost the agency's capacity to implement the policy. The annual reviewing of performance and subsequent raising of standards seek to inculcate willingness to implement and enhance capacity of the actor; while the constellation of measures prescribed in compliance with the fourth *Batho Pele* Principle in the Citizens' Charter, (i.e. measures like the provision of staff training in customer service and cultural diversity as well as training in protocol issues to relevant stakeholders), have the potential to impact on the structural, functional and cultural ability of the department to implement. The publication of empowering information in respect of customer satisfaction results, the use of languages understood by the client at front-line service points and making information available in basic language groups, are some of the measures prescribed by the policy to capacitate citizens as recipients of public services and critical actors in the implementation of the intervention.

However, while the policy seeks to capacitate implementing agencies of the policy, the assessment of the actual implementation within the Department depicts severe capacity limitations. The weak culture of consultation in the Department demonstrated by the shortage of consultation forums and uncertainty about their form are all indications of a lack of capacity to consult; thus impacting

negatively on implementation. Shoddy Service Delivery Improvement Plans at least at the initial stages of reporting also bear witness to the conclusion that there is a possibility of a lack of capacity to implement responsible for this state of affairs.

Of particular concern is the shortage of resources needed to implement the policy. This relates to the limited funding, staff shortages, lack of adequate office space and relevant ergonomics which impact on productivity. The lack of capacity of the actors to conduct customer satisfaction surveys and impact assessments can also be related to the lack of funding to outsource such services within the Department.

The turn around which has been effected by the new leadership in terms of engendering value for the money used in service delivery is a positive step which has the potential to steer the department to better levels of policy implementation. However, it is critical that all the variables work together in concert for effective implementation; and to this extent a gain in a single cluster of implementation variables may easily be undermined by underperformance in other areas.

4.5 THE ROLE OF CLIENTS AND COALITIONS
Interventions suggested to effect the different *Batho Pele* Principles in the Citizens' Charter point to the necessity of creating coalitions for effective implementation of the policy. The following are examples of such instances:-

- The creation of various consultation forums of clients directly affected by the policy in order to inform the setting of standards in service delivery.

- The identification of best practice and innovations in respect of cost saving mechanisms has a lot to do with the role of coalitions in the learning networks.
- Development of mechanisms for leaders to obtain feedback in respect of the eleventh *Batho Pele* Principle in the Citizens' Charter is another classical example of coalitions which are involved in interactions with each other during the implementation process.
- The identification of a constellation of implementation actors (i.e. The Service Delivery Directorate and The Monitoring and Evaluation Component of the Office of the Premier, Provincial Departments and other state institutions functioning within the Province, The Provincial *Batho Pele* Forum; and the Provincial Security Managers Forum), are all indications of the critical role played by coalitions in implementation

Evidence yielded by the implementation of the policy within the department suggests a weak communication between the critical constellations responsible for policy implementation. This is demonstrated by the uneven deployment of the *Batho Pele* Principles among the different actors within the department, more particularly the low levels of comprehension and appreciation of the contents of the Citizens' Charter among junior managers displayed during research. By the same token this is further exacerbated by the fact that some of the critical decisions which affect the implementation process made in the meetings of the Provincial *Batho Pele* Forum are not always communicated to those responsible for providing strategic leadership within the department. A case in point is the lack of integration between the strategies crafted during the strategic planning sessions of the Department and the *Batho Pele* Principles as advocated by the Citizens' Charter. Furthermore, research conducted has been unable to identify the role played by some of the structures identified in the constellation of actors the policy prescribes; whereas the recent innovation of the creation of Arts and Culture Forums in the district as evident in the responses given during the

interviews is a positive step towards the establishment of relevant implementation coalitions.

5. CONCLUSION5. CONCLUSION

The assessment of the implementation of the Service Delivery Improvement policy of government has provided important information.   The assessment commenced with the critical analysis of the policy documents and indicated that the said policy comprises important elements germane to the nature of government intervention in general, thus making it amenable to implementation. The analysis of implementation of the policy by the 5 C Protocol variables within the organization indicates a weak culture of consultation in the department, thus giving rise to inadequate attempts in developing and implementing programmes intended to improve service delivery as per the results of structured and targeted consultations.

There is also a sense in which the general lack of measures aimed at entrenching the culture of *Batho Pele* through staff training tends to impact against effective implementation of the policy. Access to information still faces enormous organizational challenges while the lack of tools to assess service delivery impact virtually militates against the modest implementation endeavours even in relation to those pockets of excellence evinced by the organization.

There is also a general lack of strategic direction provided in respect of the implementation of the policy imperatives; while the department is currently experiencing a real turn around in the way resources are used to ensure value for money. Inevitably a critical analysis of the data yielded using the 5 C Protocol variables indicates that there are serious challenges faced by the department in respect of the implementation of the Service Delivery Improvement policy of Provincial Government. To this extent therefore, the following chapter will present conclusions and recommendations.

CHAPTER 5

CONCLUSIONS AND RECCOMMENDATIONSCONCLUSIONS AND RECCOMMENDATIONS

1. SUMMARY OF THE FINDINGS

In the previous chapter, the interrogation of documentary evidence yielded by the textual analysis of the policy has identified key elements which renders the policy a coherent integrated social theory under girded by specific values buttressing its implementation; and to that extent capable of effecting a transformation in the behaviour of targeted groups (i.e. public servants and the citizenry), on whom successful implementation largely depends. The interviews conducted supported by the evidence of relevant implementation documents regarding the specific strategies prescribed in the programming of the policy in the Citizens' Charter indicates that the implementation process is virtually stunted by a host of factors ranging from poor consultation resulting in insufficient attempts made to develop Service Delivery Improvement Programmes informed by such consultations, through a limited number of interventions aimed at improving the treatment of clients at access points and at points of frontline delivery, to the lack of staff training as a means to inculcate the *Batho Pele* culture. Significant challenges still face the Department in terms of ensuring internal reporting on the implementation of the policy and promoting equitable access to information for the diverse client base serviced by the organ of state; while the profound dearth of relevant tools to measure impact still renders the Department unable to gauge its influence in the service environment. There is also a serious lack of resources which makes implementation of the policy difficult. Out of the 13 Provincial Departments, The Department of Arts, Culture and Tourism receives the smallest budget. The lack of effective strategic direction gives rise to a failure to create appropriate alignments, establish relevant partnerships and engaging staff accordingly in matters of implementation. There is undoubtedly a significant positive impact created by ensuring that there is value for money used in matters related to governance within the Department.

The stated primary goal of this thesis is the assessment by means of the 5 C Protocol Model, of the implementation of the Service Delivery Improvement Policy of the KwaZulu-Natal Provincial Government within the youngest line function Department of Arts, Culture and Tourism. Consequently, while not

withstanding traces of a seemingly incipient turn around in the implementation situation of the policy within the Department, a conclusion can be made that the implementation of the intervention within the state organ is poor and leaves much to be desired. This is demonstrated by:-

- The shoddy implementation of its redistributive and regulatory content evident in its programming. The low levels of content appreciation further impact on the ability of the officials to exhaust the alternatives it presents for executing the mandate of the legislator.
- The institutional context which lacks enough strategic direction and leadership for the implementation of the policy which among other things is reflected in the lack of synergy between the SIDP and the Departmental Performance Management Cycle.
- The lack of required commitment to implement.
- Insufficient attempts made at capacitating the primary actors in the policy arena; and
- A weak communication between the critical constellations of clients and coalitions directly affected by the policy.

To his extent, drastic measures will have to be taken to expedite the incipient turn around if the implementation status quo is to improve significantly; and this leads us to the following recommendations.

2. RECOMMENDATIONS2. RECOMMENDATIONS

In order to face the implementation challenge evident, the following are some of the recommendations which will inevitably usher in a paradigm change and the creation of an environment favourable to service excellence in the ministry of the organ of state.

2.1 SYNERGIZING THE DEPARTMENTAL PEFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM (PMDS) WITH THE CITIZENS CHARTER2.1

SYNERGIZING THE DEPARTMENTAL PEFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM (PMDS) WITH THE CITIZENS CHARTER

The revised KwaZulu-Natal Department of Arts, Culture and Tourism Strategic Plan 2005-2010 identifies provincial imperatives and "*the pressure to make a mark that is recognizable by our communities in the new dispensation*" (KZN Department of Arts, Culture and Tourism, Strategic Plan 2005-2010:5), as the primary considerations informing the current strategic planning processes of the organ of state. In order to realize this goal, it must be argued that the levels of implementation of the Service Delivery Improvement Policy of government will need to be jerked up. To achieve this it is of dire necessity that the Citizens' Charter - and by implication government's service delivery improvement initiatives - be linked to the performance management cycle of the Department. For this initiative to be effective and efficient it would require a double pronged approach where both the individual employee performance management and the organizational effectiveness appraisal are linked to the policy.

2.1.1 LINKING THE CITIZENS CHARTER WITH THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM OF THE DEPARTMENT (PMDS).

Performance management is primarily a strategic management mechanism intended to link the objectives of an organization to individual employee goals. It is an attempt by the management of an organization to ensure that the strategic goals of the organization are implemented even at the lower levels of the institution. It can be argued that a fairly balanced individual employee performance management system should seek to cover at least three related aspects of performance. Firstly, it should seek to appraise the personal traits and values of the employee. These will include such personal features as loyalty, responsibility, humility, helpfulness, integrity and empathy. Secondly, the system should also seek to assess the employee's behaviour while executing his/her duties. For an example, the ability of the employee to work well with others can be a helpful behaviour based criteria that can be appraised by the

system. Thirdly, the performance appraisal system should also look at what the employee has been able to accomplish in terms of the duties set for him or her.[10]

The KZN Department of Arts, Culture and Tourism has a well developed Performance Management and Development strategy in place.   The challenge for the organ of state therefore is to explore innovative ways of creating a synergy between the existing individual employee performance management policy and the Citizens' Charter in such a way that key aspects of the latter are integrated in the management of the performance of individuals within the organization. It can be safely argued that within the existing Departmental PMDS policy are exciting possibilities for the envisaged integration. However, a logical attempt towards this synergy will have to be conceptualized and implemented as follows if it has to be effective in enhancing and transforming service delivery in accordance with the *Batho Pele* principles advocated by the Citizens' Charter.

2.1.1.1 THE STRATEGIC PLANNING PROCESS AND THE INTERGRATION OF THE *BATHO PELE* THE STRATEGIC PLANNING PROCESS AND THE INTERGRATION OF THE *BATHO PELE*.

The starting point for the integration should be the actual goal setting strategic planning processes of the Department. During the Strategic Planning Phase of the organization, senior management in particular sets the direction of the department and determines not only the mission and vision of the organization, but also the strategic goals the attainment of which is believed to bring the department closer to the achievement of its mission. One of the hallmarks of contemporary organizational management is the ability of the leadership to identify specific developments already shaping the macro environment within

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[10] It is often noted that the Outcome-based approach to performance management may not be suited to all the types of jobs in the workplace; and that it simply focuses almost exclusively on what was attained and not necessarily on how an outcome was achieved, which then places a lopsided if not exclusive focus on effectiveness at the expense of efficiency. However, this thesis wants to argue that in questions relating to the quality of the product for an example, consultation with the customer as one of the *Batho Pele* imperatives will often ensure that the services offered are of the kind of quality that the client-citizen requires. This makes a case once again for the comprehensive implementation of the principles by avoiding reductionist and piecemeal attempts in execution of the policy.

which the organization does its business. It can be argued that one of the fundamental service delivery environmental issues which have occurred over the last few years of the Department's existence is the enactment of the Citizens' Charter by Provincial Government on 15 November 2005, thus committing all provincial government departments to the implementation of specific activities in fulfilment of the Service Delivery Improvement Policy. It is therefore imperative that as part of goal setting in the strategic planning processes of the Department, the Citizens' Charter in particular informs the formation of the specific goals to be achieved. This among other things will seek to ensure that the policy is not necessarily construed as an optional add on to what the Department needs to strive for in terms of its goals. This will inevitably lead to the subsequent task.

2.1.1.2 ALIGNING THE KRA'S, GAF'S AND CMC'S OF INDIVIDUAL EMPLOYEES' PEFORMANCE AGREEMENTSALIGNING THE KRA'S, GAF'S AND CMC'S OF INDIVIDUAL EMPLOYEES' PEFORMANCE AGREEMENTS.

In order to link the *Batho Pele* principles to the goals and strategic objectives of the organization, the Performance Management and Development System's Key Result Areas (KRA's), Generic Assessment Factors (GAF's) and Core Management Criteria (CMC) put in place during the Performance Planning and Agreement Phase of the cycle should out of necessity, incorporate the principles of the policy. Key Result Areas (KRA's) according to the Departmental PMDS Policy "*describe what is expected from an employee in his/her role, and focus attention on actions and activities that will assist the unit/and ultimately the department in performing effectively*" (KZN-DACT: PMDS Policy 2006: 10). The policy prescribes not less than five KRA's to be included in the Performance Agreement signed between a supervisor and an employee. There is therefore nothing that prevents the two partners to the agreement to deliberately include specific policy imperatives as one of the Key Responsibility Areas where the employee's level of performance will have to be appraised and developed. This in essence becomes critical if the said imperatives have been creatively integrated into the corpus of the strategic goals set. By the same token, the

Departmental PMDS policy explicitly states that in respect of the five out of the fifteen Generic Assessment Factors used to calculate 20% of levels 1-8 employees performance, *Batho Pele* imperatives should as far as possible be applied in assessing individuals. The important issue therefore would be that of deciding during the planning phase of the performance process, which specific principles relate to the job the employee at stake is supposed to enter into an agreement on. This requires a fair amount of dedication and diligence on the part of the supervisor and his/her subordinate. Equally, the same can be said about the Core Management Criteria (CMC) which, according to the policy are expected to account for 30% of levels 9-12 junior management's performance agreements. Almost all the eleven CMC's can be directly or indirectly linked to the Citizens' Charter so that the management of a junior manager's performance is linked to the *Batho Pele.* Out of the eleven CMC's, only five are required for a given manager's performance agreement; and these can be carefully chosen in order to reflect the Service Delivery Improvement Policy imperatives as enshrined in the Charter. To accomplish this process of alignment the following step is also critical.

2.2 LINKING THE CITIZENS' CHARTER TO THE DEPARTMENTAL BALANCED SCORECARD

The phenomenon of measuring organization effectiveness has since the 1950's undergone quite an exciting metamorphosis beginning with the understanding of such effectiveness in terms of goal attainment through the systems approach, the strategic constituencies, to the advent of Dr Kaplan's innovative Balanced Scorecard paradigm in the beginning of the 1990's. Part of the strength of the latter approach is that it is virtually informed by the strengths noticeable in the previous attempts and to that extent is commanding some respect from a fairly wider contingent of practitioners and management specialists. As would be normally expected, the Balanced Scorecard approach to measuring organization effectiveness has made significant inroads into the public sector arena in recent years. However, the common problems which often beset endeavours of

adapting a management innovation owing its ultimate provenance from the 'for profit' private organizations cannot be ruled out in this instance in spite of the enthusiasm with which the method is advocated even in the public sector. Be that as it may, there is evidence that the approach has some recognizable strength in so far as enabling public managers monitor and measure the performance of their state organizations. To this extent innovative thinkers have since started to develop adaptations of the approach which are intended primarily for the peculiarities of the operational environment of the public sector.

The KZN Department of Arts, Culture and Tourism's Strategic Plan 2005-2010 explicitly acknowledges the fact that a decision has been made to develop and implement a Balanced Scorecard approach to the management of organizational effectiveness within the organ of state. It is therefore of dire necessity that this process be expedited and that extreme care is taken in adapting the relevant Balanced Scorecard to the environment of the public sector. Part of this environment would require that the Scorecard includes aspects of the Service Delivery Policy in the array of activities the scorecard seeks to interrogate. This too will require a fair amount of commitment from the senior management of the organization because it might suggest that resources will have to be assigned in order to acquire relevant expect advice to help craft the said scorecard. The development of such a scorecard will virtually be manageable if the goals of the Department already incorporate the *Batho Pele* imperatives. With this achieved the process should lead to other concerns in the entrenchment of the policy within the Department.

3. A VIGOROUS MARKETING OF THE CHARTER AND THE REVITILIZATION OF THE KNOW YOUR RIGHTS CAMPAIGNTHE REVITILIZATION OF THE KNOW YOUR RIGHTS CAMPAIGN

The realization that the Citizens' Charter as the primary provincial embodiment of the Service Delivery Improvement policy of Provincial Government evinces no recourse to sanctions as a strategy for the adjudication of implementation,

presages that the policy itself relies more on persuasion for effective execution. It is therefore imperative that the policy principles be vigorously marketed and deployed to all the levels within the Department. Exposure to the imperatives of the policy should not only be limited to the briefings of senior management by external stakeholders and induction exercises for the new recruits. On the contrary a sustained effort to familiarize staff at the coalface of implementation with the policy should be continuously in place.

By the same token, the said internal marketing and exposure of junior staff to the imperatives of the policy is further made critical by the contemporary quest for Total Quality Management within both public and private organizations. If the quality of the service offered is to be of a higher standard, it is also important that all the quality of the internal processes leading to the ultimate final product be properly managed. To this extent the proper deployment of the principles to all the levels will certainly ensure that such processes are focused on effectively as a result of the fact that client consultation has become an indispensable critical feature of the organization at all levels.

The service environment in the Province would still benefit enormously by a sustained effort to invigorate and revitalize The Know Your Rights Campaign; sothat an assertive and informed citizenry willing to hold government accountable for its activities is created. This campaign will go a long way towards enhancing the implementation of the policy even within the Department currently under scrutiny.   Apparently, this will involve among other things creating strategic partnerships between the specific components within the Office of the Premier which are responsible for the Service Delivery Improvement and that unit as well whose particular brief is to entrench the human rights culture within the Province.

4. THE NEED FOR RESILIENCE IN MANAGING CHANGE AND ENTRENCHING THE *BATHO PELE* CULTURE.

The relevant interventions by senior leadership in the Department to effect a radical paradigm change in such phenomena as the consultation status quo, effective stringent measures to ensure value for money used are clearly change management issues which require a fair amount of resilience in order to cascade the culture to the lower reaches of the departmental administration. Failure to honour pre-arranged appointments by officials, which has been described in some responses by clients as vestiges of discourteous behaviour bequeathed by the organizational culture of previous dispensations in the administration, indicates the lowest level to which transformation endeavours will have to stoop to sustain the new paradigm.

It can be argued that the observed interventions ushering in change in the culture of the organization amount to the unfreezing phase of change management where the departmental leadership, as a catalyst for such transformation are introducing changes that are intended to increase awareness for such a modification by attempting to reduce the strength of existing negative attitudes and behaviours as well as certain values. However, in order for this process of transformation to be sustained to the extent that change itself becomes the ultimate status quo, it is critical that the current leadership be resilient. Numerous techniques are available to a change catalyst which can be used by the leadership to enforce change and resilience in ushering in a *Batho Pele* culture in the Department.

5. GUARDING AGAINST SUPPLANTING CONSULTATION WITH INFORMATION DISPENSING.

Out of the eight specific mechanisms identified as strategies used by the Department to ensure maximum participation by the citizens in determining the quality and level of services rendered, about half of those plans alleged to have been used as consultation devices in the relevant reports, have an intrinsic potential to be easily turned to ordinary information dispensing sessions by the technocrats involved; depending on how they are used.

6. ESTABLISHING STRATEGIC PARTNERSHIP WITH THE PRIVATE SECTOR

The New Public Management paradigm envisages Public Private Partnerships being created to ensure both effectiveness and efficiency in governance. The Department will also have to explore possibilities of partnerships with the private sector particularly in instances where it lacks specific capacities in the implementation of the policy. A case in point here is the development of relevant and efficient tools to measure service delivery impact for the Department. There is a possibility that service oriented private firms could be willing to enter into partnership with the organ of state by providing the necessary expertise in exchange for mileage to be gained and in the quest for tax rebates. The partnership currently existing between the KZN Office of the Premier and Pricewaterhousecoopers in the administration of the Premier's Service Excellence Awards is a classical paradigm of the suggested joint venture that can be arranged through the identified potential partners' Corporate Social Investment Units (CSI). Such partnerships will add to the number of critical and effective coalitions required for the effective implementation of the policy.

7. THE SIGNIFICANCE OF THE CONCLUSIONS MADE

In the statement of the overall aim of this study, mention is made of the fact that it is not necessarily intending to add new knowledge to the already existing corpus of theories on public policy implementation. On the contrary, part of the objective of the study is to help in the general evaluation of the policy, and by so doing contribute to entrenching good governance by improving service delivery in the Province; hence the recommendations for implementation indicated above.

However, be that as it may, the study has in a number of ways confirmed some theoretical approaches discussed earlier on in the interrogation of the relevant *magisterium* on the subject. The primary aim of the intervention is to inculcate

among public servants the spirit of *diakonia* (i.e. of servanthood) to the client-citizenry and thus entrenching good governance in the service of a critical Provincial Growth and Development Strategy goal alluded to earlier in this thesis. The low levels of implementation therefore presuppose that the course for the service that puts people first in the Province is negatively impacted.

On the other hand, the study has further corroborated the observations made with regard to the evolution of implementation theory discussed in the second chapter of the thesis. That is, policy implementation cannot be conceived of in purely mechanistic terms where administrators automatically implement that which those high up in the hierarchy of the administration have decided. There is admittedly more to the execution of public policy than the pronouncements made at its launch on the 15th of November 2005. To this extent, the intricacies involved in the organ of state's attempts at implementing, point to the fact that policy implementation is primarily an interactive complex political process requiring commitment from various actors in the policy arena for its success. By the same token, the study has also tended to indicate that programming will have to be understood not as part of implementation primarily because the latter can be a joint venture between organs of state and civil society formations, whereas only public actors were involved in the programming thereof.

8. SUGGESTIONS FOR FURTHER RESEARCH.

The study has also indicated that there are still potential areas of further research that can be pursued in relation to this subject. The critical aspect that requires more research in this regard would be to assess the impact the Department is having on its environment of service delivery. This would also entail the development of relevant tools for the said assessment which could also be an area of research on its own.

9. WORKS CONSULTED

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ADDENDUM 1ADDENDUM 1

RESEARCH QUESTIONNAIRE

NAME OF INFORMANT……………………………………………………..

DATE…………………………………

VENUE…………………………………

A. CONSULTATION

How many consultation forums have been held in your unit with regard to the level and quality of services offered since the third quarter of 2005/6 financial year?

B. SERVICE STANDARDS

Has there been any service delivery improvement program developed and implemented since the 2005/6 financial year?

C. ACCESS

What types of interventions have been effected to improve the general treatment of clients at points of front line delivery?

D. COURTESY

What type of customer service training has been provided for front line staff in your unit since 2005/6 financial year?

E. INFORMATION

How many times have you published results of your customer satisfaction surveys since 2005/6 financial year?

F. OPENESS AND TRANSPARENCY

What type of stakeholders receive reports on the implementation of the *Batho Pele* principles from your unit?

G. REDRESS

How many staff in your unit have received training in dealing with complaints from the clients?

H. VALUE FOR MONEY

What type of cost saving innovations have been established and implemented in your unit since 2005/6 financial year?

I. ENCOURAGING INNOVATION AND REWARDING EXCELLENCE

Are you aware of any measures taken in your component aimed at encouraging innovation and rewarding excellence among staff.

J. SERVICE DELIVERY IMPACT

Are you aware of any measures taken to assess service delivery impact in your component?

K. LEADERSHIP AND STRATEGIC DIRECTION.

What type of mechanisms do you use to obtain feedback on your leadership style?