

Institutionalization of Civil Service Systems for Comparative Analysis

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of Master of Public Administration at the University of Stellenbosch.

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DECLARATION

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 at any university for a degree.

M van Beek

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SUMMARY

The primary focus of this study is the civil service system as an organization and the extent to which it is institutionalized within a specific society. Within the ambit of organizational science the emphasis is on the concept of institutionalization, more specifically the institutionalization of the civil service system. Several aspects pertain to the field of Public Administration; these include the study of public organization structures and processes, the formulation and execution of public policy and the general administration and management of the public organization. Civil service systems form an integral part of public administration. The civil service is viewed as the focal point in this study as it represents a collective organization that incorporates the different public organizations within the system. This study focuses on four concepts identified by Bekke, Perry, & Toonen (1996) in their book *Civil Service Systems – In Comparative Perspective*. These concepts act as indicators of institutionalization within civil service organizations. The concepts are briefly explained as: *boundedness* (the influence of the boundaries between civil service system and society), *exchange* (the interaction that occurs externally between the civil service and society, and internally within the system), *routinization* (the extent to which the organizations within the system are rule and routine-bound) and *connectedness* (the extent to which the different components of the system are connected). Each of the indicators is developed within a theoretical framework that supports scientific operationilization. With operationilization each of the indicators are explored according to a set of questions. The answers to the questionnaires developed for a specific indicator represents the extent to which the civil service is institutionalized. The information supplied by all the different questionnaires provide for the creation of a profile that indicates to the level of institutionalization of the civil service system. This information can be utilized within a comparative analysis of civil service systems. These questionnaires and the information they provide can also be utilized in the identification of key concepts, they can improve understanding concerning relationships among concepts and the underlying logic or dynamic of different organizational relations within civil service organizations.

OPSOMMING

Die primêre fokus van hierdie studie is die staatsdiensstelsel as 'n organisasie en die mate waartoe dit geïnstitusioneel is binne 'n bepaalde samelewing. Die doel van die studie behels die ontwikkeling van 'n navorsingsinstrument wat gebruik kan word binne 'n vergelykende studie aangaande die institusioneel van staatsdiensstelsels. Verskeie akademiese dissiplines dra by tot die aard van vergelykende studies. Die primêre fokus van hierdie studie omvat twee van hierdie dissiplines, naamlik Publieke Administrasie en Organisasiekunde Wetenskap. Verskeie aspekte hou verband met Publieke Administrasie as 'n studieveld, insluitend die bestudering van openbare organisasiestrukture en prosesse, die formulering en die uitvoering van openbare beleid asook die algemene administrasie en bestuur van 'n openbare instelling. Staatsdiensstelsels vorm 'n integrale deel van publieke administrasie. Hierdie studie fokus hoofsaaklik op die staatsdiens as 'n kollektiewe organisasie wat die verskillende openbare instellings inkorporeer en verteenwoordig. Binne die strekking van die organisasiewetenskap is die klem op die konsep institusioneel en meer spesifiek die institusioneel van die staatsdiens. Die klem val veral op die vier konsepte wat deur Bekke, Perry & Toonen (1996) in hulle boek *Civil Service Systems – In Comparative Perspective* geïdentifiseer is. Hierdie konsepte word gebruik as indikatore om die mate van institusioneel van die staatsdiens aan te dui. Die konsepte kan kortliks beskryf word as *begrensing* (die invloed van instellingsgrense of afbakenings tussen die staatsdienssisteem en die samelewing), *uitruiling* (die interaksie wat plaasvind tussen die staatsdiens en die samelewing asook die interaksie binne die staatsdiens), *roetineering* (die mate waartoe instellings binne die staatsdiens verbonde is tot reëls en roetine) en *verbondenheid* (die mate waartoe die verskillende komponente van die stelsel aan mekaar verbind is). Elkeen van hierdie komponente word omskryf deur middel van 'n teoretiese raamwerk wat die wetenskaplike operasioneel van elke komponent ondersteun. Met die operasioneel word die verskillende konsepte toegepas binne 'n bepaalde vraelys. Die antwoorde op die vrae bied 'n aanduiding van die mate waartoe die instelling geïnstitusioneel is. Die inligting wat verskaf word deur die verskillende vraelyste gee aanleiding tot die samestelling van 'n profiel wat die vlak van institusioneel binne 'n bepaalde staatsdiensstelsel

aandui. Sulke profiele kan gebruik word binne 'n vergelykende studie van verskillende staatsdiensstelsels. Die vraelys inligting kan ook gebruik word vir die identifikasie van sleutel konsepte binne staatsdiensstelsels, asook die verklaring van bepaalde verhoudings en onderliggende logika of dinamika tussen die verskillende instellings binne die staatsdiens.

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CHAPTER ONE

1. Introduction

1.1. Background

The primary focus of this study is the civil service system as an organization and the extent to which it is institutionalized within a specific society. This focus relates to the goal of the study, which concerns the development of a research technique, or instrument that can be utilized in a comparative study of the institutionalization of civil service systems. Comparative analysis studies within Public Administration are considered a developing field where various academic disciplines contribute to the nature of the subject. The primary focus of this study incorporates two of these disciplines, namely Public Administration and Organizational Science.

Civil service systems relate to the field of Public Administration and have been described as the centre of Public Administration. Public Administration is a multi-faceted field of science, characterised by constant transformation and development. Varied approaches and emphases have been given to the different facets of Public Administration. These facets include the study of public organization structures and processes, the formulation and execution of public policy and the general administration and management of the public organization. The civil service is considered the focal point in this study as it represents a collective organization that incorporates the different public institutions within the system.

Within the ambit of Organizational Science the emphasis is on the concept of institutionalization, more specifically the institutionalization that occurs within the organizations of a civil service system. The motivation for this study concerns the expansion of the body of knowledge relating to the institutionalization of civil service systems – specifically, within a comparative perspective. The aim of the study could thus be understood to relate to the development of a research technique that would assist a researcher in determining the extent of institutionalization that occurs within a specific civil service system. This technique could however also be utilized within a

comparative analysis whereby the extent of institutionalization within different civil service systems are examined in order to explain certain observations or phenomena relating to the performance of these systems.

1.1.1. Research Problem

The motivation for this study and the specific subject decided upon needs to be explained in order to better comprehend the development of the research problem identified for this study. The topic for this study was suggested in the concluding chapter of the book **Civil Service Systems in Comparative Perspective** (Bekke, Perry and Toonen, 1996). This defining book was written in an attempt to advance the formal study of civil service systems with the development of theory, concepts, and indicators useful for the comparative study of civil service systems. According to the authors a lack of basic knowledge existed concerning the functioning and management of civil service systems, specifically in terms of a comparative analysis perspective. Fourteen different authors contributed to their book in order to develop a more complete picture of civil service systems and the multiple roles that civil service systems play within administrative systems worldwide.

In their concluding chapter the authors suggested four research themes that in their opinion could have strategic implications for comparative civil service research. One of these themes focussed on the "*institutionness*" of civil service systems. They raise several questions concerning the institutionalisation of civil service systems, including questions that relate to levels of institutionalization and the specific indicia or indicators used to measure institutionalization within civil service systems. From the research compiled in their book the authors identified four relevant indicators that might be used to measure the institutionalisation of civil service systems, namely, *boundedness, exchange, routinization and connectedness*.

The subject matter and focus of this thesis was therefore determined by the questions raised by Bekke *et al* (1996: 329). From their questions the following research problem was identified: Can the four indicators be developed into a comparative research instrument that determines the extent of civil service institutionalization?

1.1.2 Hypothesis

The nature of this study can be described as explorative and inductive as it aims to develop an instrument or research technique that could assist with comparative research of civil service systems. The formulation of a classical hypothesis is not feasible as the intended result of the study is a hypothesis-generating instrument. The purpose of the study relates to the construction of a technique or instrument that would assist a researcher in an inductive research process concerning the institutionalization of civil service systems. The aim of the instrument would be to allow for the development of “*grounded theory*” (Bailey, 1982:55) whereby a researcher analyses a civil service system with the aid or application of the instrument without a hypothesis. The researcher collects data and analyses data in terms of the framework supplied by the instrument and formulates explanations as to extent of institutionalization that occurs within the organization. However, as a general premise for this study it is accepted that with *boundedness*, *exchange*, *routinization* and *connectedness* as indicia of institutionalization a comparative instrument can be developed.

1.2. Methodology

As noted in paragraph 1.2. *supra*, this study can be described as explorative in nature, with an inductive reasoning process and a qualitative approach to data collection. The objectives for conducting an explorative study include:

- To acquire new insights concerning a specific phenomena.
- As a preliminary enquiry to a more structured study of a specific incident, trend or phenomena.
- To enable the explication of central concepts and constructs.
- To determine research priorities for further research.
- To allow for the development of hypotheses concerning a specific phenomenon (Mouton & Marais, 1985:43).

All of these objectives can be made applicable to the outcome of this study, as the goal of the study relates to the development of a research instrument that could assist a researcher in realizing any of these objectives within a study of civil service systems and the concept of institutionalization.

1.2.1. Field of study

For the purposes of this study the civil service is recognized as a system, operating as a single organization but containing several public institutions that interact with each other within the system and with its external environment. This internal and external interaction relates to the institutional aspect of the civil service. The study of institutions and the process of institutionalization have delivered a comprehensive and growing body of knowledge. The process of institutionalization can primarily be described as the level to which an organization not only creates, but also sustains the roles and relationships between the elements of the organization. The unit of analysis for this study is therefore a civil service system, as a singular organization comprised of different public institutions. The instrument developed in this study may be applied to a civil service system for analysis.

In answering the research question the primary concern of the study will be the four concepts that act as indicators of institutionalization within civil service organizations as proposed by Bekke et al (1996:329). These indicators can briefly be described as:

- *Boundedness* – which relates to the boundaries that exist between the civil service and its society this indicator also assumes that the civil service has been bounded from or created by the society it serves.
- *Exchange* – which indicates to the interactions that occur between the civil service and its external environment as well as the interactions that take place between the organizations within the civil service system.
- *Routinization* – which relates to the extent to which the civil service is characterised by routine and patterns of routinization.
- *Connectedness* – which relates to the extent to which the organizations within the civil service system are connected to each other, thereby creating an institutionalized organization.

To be able to answer the research question and attain the goal of the study as described in introductory paragraph 1 *supra*, the following four objectives were identified for the study:

1. Complete a thorough literature study of printed and electronic literature sources, documentation and statistical data that pertain to the key concepts of the study

including: Public Administration, civil service systems, comparative analysis, institutionalization, boundedness, exchange, routinization and connectedness.

2. Conduct a process of research synthesis whereby previous facts and findings concerning the key concepts are analysed, sifted, classified, simplified and synthesized to enable further interpretations and the drawing of new conclusions.
3. Allow for the integration and scientific operationalization of key concepts.
4. Develop a research technique or instrument that can be utilized by a researcher conducting a comparative study of the institutionalization of civil service systems.

1.2.2. Research strategy

The strategy employed in this study for developing an instrument from the four indicia has a two-pronged approach. Each of the indicators identified was first analysed and developed theoretically. The theoretical analysis takes into account the different theoretical developments and conceptual considerations pertaining to each of the indicators and forms part of the process of research synthesis. This process results in a theoretical framework that can be integrated and scientifically operationalized. The operationalization process relates to the second aspect of the two-pronged approach and results in the development of different sets of questionnaires pertaining to each of the indicators. The methodology employed in the development of the questionnaires is described in Chapter 2 paragraph 2.3. These questionnaires together create the research instrument that indicates to the extent of institutionalization that exists within a particular civil service system.

1.2.3. Limitations of the study

The following limitations pertain to the study:

1. Data collected for this study was primarily from secondary literature sources. Sources included printed and electronic literature and media, documentation pertaining to the key concepts and statistical data. No primary data was utilized during the research process.
2. The nature of the study is explorative and inductive. Facts and findings from a group of related studies based on different theoretical frameworks, independent variables, dependant measures and research designs are integrated in a process of research synthesis to enable the development of a research instrument.

3. The explorative nature of the study results in the absence of a formal hypothesis. A premise was formulated from the research question that serves as a foundation for the research methodology applied and research strategy employed.
4. The data used in the study is empirical, however the instrument developed has not been tested and has not been empirically verified.
5. The goal of the study, relates to the development of a research instrument that may be utilized in a comparative study of the institutionalization of civil service systems. The theoretical frameworks that underpin each indicator were thus developed (as far as possible) from data and concepts with universal application. Nation specific constructs (terminology, legislative requirements, organizational structures) were avoided as it could limit the application value of the instrument in a comparative study.

1.2.4. Key concepts

The key theoretical concepts that pertain to the theoretical foundation of this study are briefly stated. In Chapter two, paragraph 2 *infra* these concepts will be explained in more detail.

Public Administration

Public Administration as a field of study is characterised by constant transformation and development. Several authors have commented on the different theoretical developments that have occurred in Public Administration. Different theories and their foci have highlighted the richness and complexity of the field and reveal the wide scope of the subject matter. A universal definition of Public Administration is not easily attained as no consensus has yet been reached by scholars and practitioners on the boundaries and central core of the subject. For the purposes of this study the following description of public administration as an activity will be adhered to "...that system of structures and processes, operating within a particular society as environment, with the objective of facilitating the formulation of appropriate governmental policy, and the efficient execution of the formulated policy..(Fox, Schwella & Wissink, 1991:2)

Civil service system

The civil service system as the focal point of this study has been described as the core of public administration. For the purposes of this study the term can be defined as. “...*mediating institutions that mobilize human resources in the service of the affairs of the state in a given territory...*” (Bekke et al,1996:1-2). Civil service systems as analytic units are the only units within public administration not largely shared by other social sciences.

Comparative analysis,

Comparative analysis studies within Public Administration are considered a developing field where various academic disciplines contribute to the nature of the subject. As an analytic tool comparative analysis is used to enlarge the base of knowledge within the field of Public Administration as it allows for the identification of key concepts, the relations among concepts and the underlying logic or dynamic of these relations; a better understanding of the evolutionary development of civil service systems; and an enhancement of the policymaker’s capacity to design civil service systems. (Bekke, *et al*, 1996:9-8)

Institutionalization

For the purpose of this study the concept of “Institutionalization” is understood within the ambit of Organizational Science and the concept of “institution”. An “institution” can accordingly be described as “...*a structure with established, important functions to perform, with well specified roles for carrying out those functions; and with a clear set of rules governing the relationships between the people who occupy those rules*” (Lawson, 1989:34-35). The process of institutionalization is defined as the level to which a specific institution’s pattern or social order is not only created but also sustained – where the roles and relationships between people are not only regulated but also controlled.

Boundedness

Boundedness as an indicator of institutionalization relates to the boundaries drawn between state, civil society and the civil service. It also indicates to the level to which the civil service is a reflection of the society it serves – bounded from the state and

other social institutions. This aspect indicates to the character of the civil service as determined by the state and civil society that it operates within.

Exchange

Exchange as an indicator of institutionalization relates to the transactions that occur between state and civil service it also pertains to how these transactions characterises the civil service. Exchange also relates to the relations between the civil service and the organizations with which they interact.

Routinization

Routinization as an indicator of institutionalization relates to the operational and collective choice aspects of the civil service system. It indicates the extent to which these two aspects have become standard practice and whether the civil service operating rules are applied in a routine or an ad hoc fashion.

Connectedness

Connectedness as an indicator of institutionalization refers to the extent to which a particular set of rules is common or viable across a governmental system. This indicator relates to the systemic character of the civil service – operating as different components within a larger system. Connectedness indicates towards the connectedness that exists between the different sectors within the civil service.

1.2.5. Sources

This study is primarily a literature research project. The data for this study was collected from secondary sources that included printed and electronic media (books, journal articles, completed research and papers delivered at conferences, magazine and newspaper articles and information available on the Internet Websites) and statistical data (qualitative surveys and statistics). Objectivity of data used for the analysis is of vital importance as the validity and reliability of the conclusions of the theoretical analysis and instrument development depends on the “value-free” nature of the data used for evaluation. To ensure relevance of data the scope of the secondary data collected was extended to include as many sources as was available to obtain objectivity.

1.2.6. Time frame

The study was completed over a period of five months, from July 2001 to November 2001. It is suggested that the outcome of this study, namely the instrument, be utilized by a researcher in a cross-sectional study of a civil service system or systems. Data collected in this manner could then be utilized to determine the current state of developments within a specific system or within a comparative analysis of more than one system.

1.2.7. Referencing Technique

The Harvard referencing technique has been used throughout this study. Direct quotations of authors have been written in italic. All quotations (direct or indirect) are followed by an indication of the source thereof. A list of sources is included at the end of the study.

1.3. Structure

In accommodating the goal and objectives set out for this study the thesis is structured into chapters.

1.3.1. Contents of Chapters

Chapter One

Chapter one provides an introduction to the study and the research methodology and strategy employed throughout the study. It also gives an overview of the structure of the study.

Chapter Two

In chapter two a theoretical and measurement framework is provided that serves as a point of departure for the rest of the study. Key concepts such as public administration, the value of comparative analysis, institutions and institutionalization are examined. The four institutionalization indicators are introduced. The methodology employed for the composition of the instrument that measures institutionalisation according to the indicators is explained. This explanation includes an overview of the methodology of scientific enquiry for comparative analysis as well as the construction of the questionnaires that constitute the instrument.

Chapter Three

In chapter three the boundedness indicator is analysed and defined according to different theoretical considerations including the systems approach to public organizations and the influence of the general environment. The indicator is operationalized according to the theoretical foundation.

Chapter Four

In chapter four the exchange indicator is analysed and defined according to different theoretical considerations including the identification of the three different elements that constitute a civil service exchange. Three aspects are focussed on, the role of the public servant, the role of civil society and the goods/services being exchanged. The indicator is operationalized according to the theoretical foundation.

Chapter Five

In chapter five the routinization indicator is analysed and defined according to different theoretical considerations including the elements of organization structure that pertain to rules, procedure and routine. The influence of the formalization and centralization elements of organization structure is examined in terms of the civil service organization. The indicator is operationalized according to the theoretical foundation.

Chapter Six

In chapter six the connectedness indicator is analysed and defined according to different theoretical considerations including the complexity element of organization structure that relates to differentiation and integration. The influence of control within organizational connectedness is also analysed in terms of the civil service organization. The indicator is operationalized according to the theoretical foundation.

Chapter Seven

The concluding chapter provides a summary of the theoretical development that has occurred and how the theory has been operationalized. It also indicates to the value of the study and its results for use in comparative analysis. Recommendations concerning the application and further development of the research are also given.

Finally, a list of sources is provided which have contributed to the theoretical development of the study.

CHAPTER TWO

2. Theoretical and Measurement Frameworks

2.1. Introduction

The purpose of this chapter is to provide a foundation for the research and to introduce the theoretical and measurement frameworks of the study. The key concepts that relate to the focus of the study are briefly examined in order to set a theoretical framework for analysis. The term Public Administration is examined as well as the concept of a civil service system. The value of a comparative analysis is also explored together with the theories associated with institutions and institutionalization within the civil service context. The four institutionalization indicators will be briefly introduced as they form the main focus of the rest of the study.

2.2. Theoretical Framework

2.2.1. Public Administration and civil service systems

Scholars are constantly searching for a clearer perception of their environment and their existence within it. The totality of human life experiences is subjected to questions and the search for answers to these questions. In doing so, thoughts and conclusions are analysed and categorised into logical sequences and proven facts. The ability to learn and reason is referred to by Caiden (1982:4-5) as he describes the unique ability of the human species to develop sophisticated social institutions to serve it's collective interest. Since the days of Aristotle, (Moyo 1992:xviii) scholars have endeavoured to define the interaction that takes place between citizen and state as it marks one of the basic elements of societal existence. Societies are able to learn instinctively to conduct the administration of their public affairs in a similar fashion from age to age and from one continent to another – allowing administrative continuity to link civilizations with each other. Within this process the institutionalization of administrative capacity for collective purposes can be described as the foundation of public administration (Caiden, 1982:5-6).

Public Administration as a field of study can be explained as a quagmire of complexity and peculiarity. The word “quagmire” indicates to the constant transformation and development occurring within the field. This transformation and development includes continual changes in communal expectations and their reflections within politics, the changing structure of public organizations, the development of techniques (including technology) and processes for service delivery, ever changing legislation and the levels of individual interaction with government. Caiden (1991:11) describes the field of public administration as having “...*a life of its own, a rather elaborate and complicated life that cannot be taken for granted for it is in a perpetual state of incalculable flux.* “. Several authors have commented on the different theoretical developments that have occurred in Public Administration (Denhardt in Lynn and Wildavsky, 1990:43-62; Caiden, 1982:14-24, 30-48; Peters, 1978:2-7). The different theories and their foci highlight the richness and complexity of the field and reveal the wide scope of the subject matter. A universal definition of Public Administration is not easily attained as no consensus has yet been reached by scholars and practitioners on the boundaries and central core of the subject (Caiden, 1982:21, Stillman, 1983:1-3).

As a point of departure the following descriptions of public administration can be considered. Fox, Schwella & Wissink (1991:2) describe public administration within an open systems approach as being “...*that system of structures and processes, operating within a particular society as environment, with the objective of facilitating the formulation of appropriate governmental policy, and the efficient execution of the formulated policy.* Other authors include aspects such as “..*the application of organizational, decision-making, and staffing theory and procedures to public problems.*” (Vocino & Rabin 1981:4), “..*the coordination of individual and group efforts to carry out public policy. It is mainly occupied with the routine of government...*” Pfiffner & Presthus as quoted by Caiden (1971:13) and “..*the process, organizations, and individuals (the latter acting in official positions and roles) associated with carrying out laws and other rules adopted or issued by legislatures, executives and courts...*” Gordon referred to by Stillman (1983:2). These different definitions indicate to the varied approaches and emphasis given to the subject matter. In his assessment of public administration within a comparative perspective

Heady (1966:2) identifies specific concerns, including: “...*institutional arrangements for the conduct of large-scale administration in government – organizing for administrative action*” and “...*the environment or ecology of administration – the relationship of the administrative subsystem to the political system of which it is a part and to the society in general.*”. For the purposes of this study the focus will be on the institutional and organizational aspects within public administration – specifically the civil service system and its institutional arrangements.

The civil service system as focal point of study within Public Administration is emphasized by Bekke, Perry & Toonen (1996: 1- 2) as they refer to the viewpoint held by Morgan & Perry (1988) that civil service systems can arguable be considered the core of public administration. They define it as. “...*mediating institutions that mobilize human resources in the service of the affairs of the state in a given territory*” and indicate that civil service systems as analytic units are the only units within public administration not largely shared by other social sciences. Their definition outlines specific parameters suitable for the analysis of civil service systems. The inclusion of specific defining aspects such as: *institutions, mobilisation of resources, service of the state and given territory* provide variables to include within a comparative study with the civil service system as unit of analysis. In his discussion on comparative public administration, Pierre (1995:7) broadens these aspects by indicating to the internal organizational dynamics of public administration and the relationship between the public bureaucracy and civil society as valuable indicators within a comparative analysis of public bureaucracies.

2.2.2. The value of civil service systems for comparative analysis

Comparative analysis as an analytic tool is used to enlarge the base of knowledge within the field of Public Administration. The value of comparative analysis has been examined and extolled by several authors including Bekke *et al* (1996: 7-9), Heady (1998:32-35; 1966: 1-13), Peters (1978:3-7), Pierre (1995:1-11), Pollit & Bouckaert, (2000:40-41) and Raphaeli (1967:1-29). Apparent in all these deliberations is the view that comparative analysis highlights the dynamism and complexity evident within public administration. Comparing civil service systems is considered a valuable tool for study as it allows for:

- The identification of key concepts, the relations among concepts and the underlying logic or dynamic of these relations,
- a better understanding of the evolutionary development of civil service systems; and
- an enhancement of the policymaker's capacity to design civil service systems. (Bekke, *et al*, 1996:9-8)

A systematic approach remains a key element with the completion of a successful comparative analysis. A systematic approach would allow for "...*the use of a single set of categories, their identities and uniqueness that may be discovered and explained...*" Dahl as quoted by Raphaeli (1967:4). In conjunction with a systematic approach would be the development of a theoretical framework. The ultimate goal of theory within such a framework would be to clarify the differences and similarities found among bureaucratic systems and to demonstrate meaningful relationships (Raphaeli, 1967:6). The ultimate goal of knowledge gained through comparison of civil service systems within a specific framework is surmised by Denhardt in Lynn & Wildavsky (1990:50) as he concludes "...*we have a chance of building a new theory of public organizations, one that recognizes the diversity of our field but also acknowledges our common purposes.*"

In their book **Civil Service Systems in Comparative Perspective** (1996), Bekke, *et al* (1996:329-330) developed a framework to further the study of civil service systems with the specific emphasis on comparative research. The authors identify different research issues that they believe have strategic implications for comparative civil service research. The focus of this thesis will concentrate on one of these research issues, namely "*Institutionalization – considering the "institutionness" of civil service systems*". The institutions that comprise the civil service and the extent to which they are "institutionalised" are analysed within a comparative analysis perspective.

2.2.3. Civil service institutions and institutionalization

The study of institutions has delivered a comprehensive and growing body of knowledge, as the concept of "institution" is evident throughout society. This has resulted in a multi-disciplinary approach towards the subject. Institutions are not particular to Public Administration, it is also shared by other disciplines, specifically

Sociology as institutions compose part of the social systems within society (Anderson & Carter, 1990:48).

Several theories have been developed that amongst others examine the need and emergence of institutions, their existence and continual evolvement and their demise. The most well known being the work originated by March & Olsen (1989) and the work compiled by Powell & DiMaggio (1991). Other authors on the subject of institutions and institutionalization include: Baum & Sing (1994); Castoridiadis (1987); Kaufman (1991); Katz & Gartner (1988) and Weaver & Rockman (1993). The knowledge gained from these different approaches has all supplied relevant information from which the institutions that comprise a civil service can be analysed.

In clarifying the concept of *institution*, the idea of *structure* has to be included – as the one elucidates the other. Structure denotes a set of patterned role relationships – where human beings interact by adopting specific roles and carrying out those roles. An institution arises when a structure is widely viewed as helping to meet one or more of the basic needs of a society. Institution can accordingly be described as “...a structure with established, important functions to perform, with well specified roles for carrying out those functions; and with a clear set of rules governing the relationships between the people who occupy those rules” (Lawson, 1989:34-35). To further explain the concept, Jepperson in Powell & DiMaggio (1991:145) describe institutions as representing a social order or pattern that has attained a certain state or property – a social pattern that reveals a particular reproduction process. Braibanti in Robins (1976:7) describes institutions as patterns of recurring acts structured in a manner conditioning the behaviour of members within the institutions, shaping a particular value or set of values and projecting value(s) within the social system in terms of attitudes or acts. He also contends that institutions can also be wholly or partially political. Institutions such as courts, legislatures, civil services and political parties are considered wholly political institutions.

The process of institutionalization can simply be described as the level to which a specific institution’s pattern or social order is not only created but sustained – where the roles and relationships between people are not only regulated but also controlled. Jepperson in Powell & Di Maggio (1991:145) depicts the process as being regulated

by repetitively activated, socially constructed, controls (rewards and sanctions). Institutionalization therefore not only relates to the creation of an institution but also to the sustaining of that institution.

Several themes on institutionalization have emerged in a variety of forms in a variety of disciplinary contexts – these themes consider institutions in various contextual settings and within diverse disciplinary strands (Goodin, 1996:19). In his discussion on institutionalization, Jepperson in Powell & DiMaggio (1991:151-152) describes the level of institutionalization as the degree to which an institution is vulnerable to social intervention – noting that an institution is less likely to be vulnerable to intervention if embedded within a specific framework of social institutions. He highlights different aspects that indicate to this embeddedness including (i) the length of organizational existence, (ii) the centrality of its location (in relation to other institutions), the (iii) extent of the linkage between the institution and constraints conceived to be socially external (morality and presumed laws of nature and the level of “*taken-for-grantedness*” evident within society regarding the institution. The questions raised by Bekke, *et al* (1996:329-330) links these aspects to the process of institutionalization specifically within civil service systems. They question the extent to which civil service systems are institutionalised – examining the level of institutionalization as a point of departure for gaining knowledge relating to civil service systems. Considering the work completed by Morgan and Perry (1988), Katz and Gartner (1988) and Kaufman (1991) these authors differentiate four different “*indicia*” or indicators to be utilized in measuring the level of institutionalization within a civil service system. These indicators are:

- Boundedness

Boundaries as an indicator relates to the boundaries drawn between state, civil society and the civil service. It also indicates to the level to which the civil service is a reflection of the society it serves – bounded from the state and other social institutions. This aspect indicates to the character of the civil service as determined by the state and civil society that it operates within.

- Exchange

Exchange as an indicator relates to the transactions that occur between state and civil service – how these transactions characterises the civil service. What are

the relations between the civil service and the organizations with which they interact?

- **Routinization**

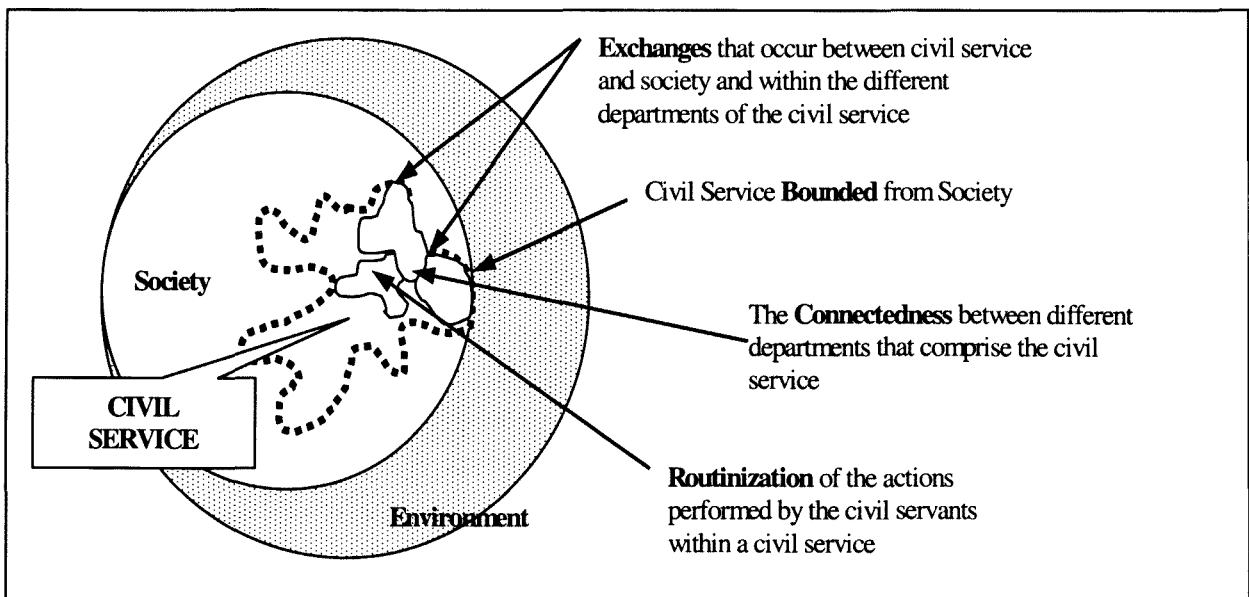
Routinization as an indicator relates to the operational and collective choice aspects of the civil service system. To what extent does these two aspects become standard practice – are the civil service operating rules applied in a routine or in an ad hoc fashion?

- **Connectedness**

Connectedness as an indicator refers to the extent to which a particular set of rules is common or viable across a governmental system. This indicator relates to the systemic character of the civil service – operating as different components within a larger system. How evident is the connectedness between the different sectors within the civil service?

The above mentioned indicators can be explained according to Figure 2.1.

Fig. 2.1. Institutionalization indicators within the civil service system (Developed from Goldstein (1994:112))



2.3. Measurement Framework

2.3.1. Methodology

The methodology employed within this study for the development of the instrument for comparative analysis consisted of a two-pronged approach. Each of the indicators identified was firstly analysed and developed theoretically. The theoretical analysis takes into account the different theoretical developments and conceptual considerations pertaining to each of the indicators and serves as a framework for operationalization. Key concepts that relate to each indicator were identified. These concepts served as a basis for the operationalization of the indicators. The second step thus entailed the integration and scientific operationalization of the indicators. This process of operationalization resulted in the development of an instrument that consists of different sets of questionnaires pertaining to each of the concepts relating to the four indicators. The questionnaires have the primary aim of indicating specific organization qualities or characteristics that affirm the existence and/or influence of specific institutionalization concepts as defined by an indicator. The purpose and use of this instrument in comparative analysis research is of significance and needs to be further explained.

The value of comparative analysis and its ultimate goal has been examined in paragraph 2.2.2.*supra*. The goal of comparative analysis relates to the development of a framework that would be able to clarify the differences and similarities found among bureaucratic systems and to demonstrate meaningful relationships. This goal has to be kept in mind in the development and composition of a measurement instrument for comparative analysis. In their discourse on the purpose of comparative analysis Hitchner & Levine (1981:1) state that the purpose of comparative analysis is to discern uniformities and differences, to determine variable and constant phenomena, and to distinguish the unique from the common. They stress that in essence comparative methodology consists of the construction of explanatory statements concerning activities and behaviour with cross-national, cross-societal, or cross-cultural applicability. The purpose of the instrument is to assist with the discerning of uniformities and differences within civil service systems and to determine variable and constant phenomena. The instrument has been

developed for use by a researcher conducting a comparative analysis of the institutionalization of civil service systems.

2.3.2. Instrument composition

In constructing an instrument (particularly the development of the questionnaires that relate to the different indicator concepts), two aspects had to be considered. These aspects are:

- The methodology of scientific enquiry to be employed, and
- The selection of question techniques to be utilized in the construction of the questionnaires.

2.3.2.1. Methodology of scientific enquiry

In their book **Comparative Research Methods** Warwick & Osherson (1973) examine the different methodologies associated with comparative research. In their work they try not to endorse a specific or single method for comparative research but rather give an overview of the methods available, ultimately stressing the need for “*creative combinations*” of research methodologies. They identify and examine the basic problems that arise in comparative analysis research, namely:

- Conceptual equivalence
- Equivalence of measurement
- Linguistic equivalence, and
- Sampling

In expanding these problems they identify different factors, which increase the complexity associated with comparative analysis. They conclude that the problems identified stem from an exclusive or excessive reliance on single methodologies. In addressing these problems they favour a more innovative approach that combines different methods in comparative research stressing that “...*almost any mixture of existing methods would offer possibilities for reducing the difficulties noted previously...*” (Warwick & Osherson, 1973 :41).

Five research methods widely used in scientific enquiry and applicable within comparative research are identified and explained by Smelser in Warwick & Osherson (1973: 44-58) they include:

1. The experimental method

2. The statistical method
3. The comparative method
4. Heuristic assumption method
5. The case study method

In his explanations he attempts to show the basic continuity that exists between the comparative method and the other four methods of analysis. Even though these methods have common features they differ considerably in scientific power as they vary in respect to:

- Constrictions regarding the number and kind of social units under investigation.
- Ways in which the variables can be manipulated.
- The kind and amount of theoretical and empirical knowledge on the basis of which the variables may be manipulated.

In determining a research methodology suitable for this study these different aspects had to be considered. The comparative method as defined by Smelser was focussed upon as it allows for systematic comparative illustration. The comparative method is often employed in the analysis of historical data, where the number of cases is too small to permit statistical manipulation. The method is also often required in the comparative analysis of national units but may also be used in comparing regions, cities, communities and other sub-national units. The logic of the comparative method rests on its attempt to develop explanations by the systematic manipulation of parameters and operative variables. One of the disadvantages of the comparative method in comparison to the experimental and statistical methods is that the investigator cannot manipulate conditions situationally or mathematically. The investigator has to make use of cruder methods of manipulating variables including illustrative replication at several levels and deviant case analysis. It has to be stressed however that as soon as the units become large enough to permit the use of statistical techniques the line between the two research methods (statistical and comparative) are crossed. This facet of the comparative method results in the investigator having to be prepared to shift back and forth between statistical and comparative methods according to the character of the data. Another disadvantage relates to the measurement of variables since most of the data available are

historical data, precipitated or produced from social behaviour that has transpired without reference to the scientific purposes of the investigator.

This study employed the comparative methodology as a foundation for instrument development. The instrument concerned is for use in comparative analysis of civil service systems and has to be able to identify the concepts relating to the different institutionalization indicators as expounded in the theoretical analysis. To enable the identification of these different concepts the instrument has to accommodate both statistical data (where available) and data that does not allow for statistical manipulation. The data collected by the instrument is intended for use by a researcher or investigator conducting a comparative research of civil service systems. The quality of data collected by the instrument would depend on the kind and amount of theoretical and empirical knowledge employed by the researcher during the collection process.

2.3.2.2. Questionnaire construction

As stated previously the instrument developed for the comparative analysis of civil service systems consisted of several questionnaires. These questionnaires aim to identify specific data that relate to concepts of organizational institutionalization. The aim is to draw a profile from the data collected that graphically illustrates specific institutional characteristics (as defined by the institutionalization indicators). These profiles can then be utilized in a comparative analysis to determine the composition of different civil service system institutions as well as the level of institutionalization that exists within the organizations. This information can be utilized to explain organizational phenomena relating amongst others to:

- Performance variations between different systems.
- Relationships among key concepts and the underlying logic or dynamic of these relations.
- Improved understanding of the evolutionary development of civil service systems.

The questionnaires had to be constructed in a way that facilitated the comparative research method (as defined in paragraph 2.3.2.1. *supra*) and allowed for both statistical data and other qualitative data to be included. The questionnaires consist of sets of questions that indicate to the existence of concepts associated with the four

institutionalization indicators identified within the theoretical analysis. In order to measure not only the existence of a specific concept but also the extent of its influence within the organization a rating scale system was employed. The value of a rating scale system within the questionnaire concerns two aspects. The first aspect relates to the use of the questionnaires by researchers for the purpose of comparative analysis. Within a comparative analysis study the researcher will be tasked with the assessment of different civil service systems. The rating scale as a form of measurement allows for a 'rater' to assess behaviour or a specific situation (Huysamen, 1994:133). The second aspect relates to the researcher having to assess a specific civil service system according to the different concepts identified by the indicators. Some of the concepts are clearly definable in terms of quantifiable statistics (e.g. the level of organizational transparency in terms of the transparency index). However, some of the concepts are purely value judgements according to observable or historical data (e.g. the extent to which political influences affect operational decisions within the organization). In order to accommodate both types of answers within the questionnaire the semantic differential rating scale was employed.

The semantic differential rating scale is explained by Bailey (1982:379-381) and Schutte (2000:40-44). According to these authors the semantic differential rating scale allows for the indirect or underlying measure of a concept, or the "*measurement of cognitive meaning of concepts in a semantic space*". Within the questionnaires the semantic differential scale was used and amplified with the use of graphic shading. With the use of a graphical rating scale both quantifiable statistics and qualitative information can be included and utilized to develop a profile of organizational institutionalization. As suggested by Bailey (1982:379) a 7-point scale is employed within a semantic differential scale and was used to enable the quantification/validation of the data collected and allow for greater differentiation with data collection. Within the 7 point rating scale both statistical and other data can be included. A statistical figure of 50% would be indicated as a 4 on the rating scale. Data with no statistical content would be assessed in comparison and then rated according to the scale. This form of comparative assessment is noted by Lijphart (1971:688) as he refers to Mill's description of the "*method of difference*" and the "*method of concomitant variations*". This method relies on the observation and

measurement of the quantitative variations of the operative variables – these observations are then related to each other. In relating the observations to each other quantification becomes possible. Essential to this methodology is the fact that all the other factors be kept constant - in this instance within the organizational setting of a civil service system – and within the confines of the institutionalization concept.

The reliability of the rating scale as a measuring instrument is increased by the use of the instrument by a single researcher that rates different civil service systems. The manipulation of variables is lessened, as the semantic understanding of the different concepts is restricted to a single researcher applying his/her theoretical and empirical knowledge during the rating process.

2.4. Conclusion

The aim of this chapter was to clarify certain theoretical concepts and assumptions that establish the point of departure for the rest of the study. It also explained the methodology employed with the development of the measurement instrument. The value of Public Administration as a field of study was examined with specific emphasis placed on the significance of the institutional and organizational aspects of public administration. The concept of a civil service system was defined and its value within comparative analysis was examined. Part of the examination focussed on the institutions that create the civil service and the process of institutionalization. The process of institutionalization within civil service systems has specific relevance as it forms the foundation of the study. In conclusion the four institutionalization indicators were presented and their focus briefly explained. To effectively develop and operationalize these indicators within a research process a thorough analysis of each indicator has to be completed. In the following chapters each indicator will therefore be discussed according to the analysis provided by Bekke *et al* (1996) together with other current theoretical considerations. This approach allows for the integration of theory and scientific operationalization of the different indicators. Each indicator is operationalized within a questionnaire or a set of questionnaires developed from the theoretical background. These questionnaires indicate to the presence of factors or elements that indicate to the level of institutionalization present within the

organization. The compilation of these questionnaires result in the development of an instrument to be used in the comparative analysis of different civil service systems.

CHAPTER THREE

3. Boundedness

3.1. Introduction

The central focus of this chapter concerns the subject of boundedness as an indicator of institutionalization within civil service systems. Boundedness as a concept will be defined and described within two perspectives. The first perspective will be presented according to the theoretical context supplied by Bekke *et al* (1996:329). It also includes an examination of the significance of organizational boundaries on the civil system. The second perspective will be developed according to other current theoretical considerations relating to the concept of boundedness. These considerations will explore related concepts such as the systems theory – specifically the open system theory within the context of the civil service. The significance of the organizational environment will also be examined in terms of specific components. The chapter will conclude with the integration and the scientific operationalization of the theoretical perspectives concerning boundedness and institutionalization.

3.2. Theoretical context

The point of departure supplied by Bekke *et al* (1996:329) deals with boundaries and boundedness as one of the significant indicators that provide “*important insights into the institutional character of civil service systems.*” They refer to civil service systems as being bounded from state and other social institutions and also observe the different boundary conditions and the blurring of boundaries between traditional social systems and the civil service.

To effectively analyse boundaries as an institutionalization indicator a thorough explanation of the concept is needed. Boundary as a concept has to be considered on two levels. On one level, it describes the parameters or limits of the institution. A boundary demarcates and distinguishes the institution (the civil service) from state

and society – this distinction between government and society establishes an important institutional characteristic of the public service (Millet,1966:10). As explained by Kaufmann (1991: 13) boundary suggests a rough measure of the organizations existence and reflects the “...*criteria employed to distinguish one set of people from all others...*”, it also relates to “...*the barrier conditions between organization and its environment.*” (Katz & Gartner, 1988:432).

Also significant is the nature of the boundary as described by Anderson & Carter (1990:29) “...*boundary does not necessarily mean barrier*”. The existence of a specific or distinguishable boundary does not exclude different levels of interaction between environment and institution. This interaction relates to the second aspect of boundary – the civil service being *bounded* from the state and civil society. As emphasised by Millet (1966:9) “...*in a free society, government and society are not synonymous. Government is but a part, albeit an essential part of the larger whole.*” The character of the state and the civil society in essence gives birth to the identity of the civil service. One of the elements that influence the identity of the civil service is the state structure (including the constitution) (Pollit & Bouckaert, 2000:40). The identity of a civil service also results from its responsiveness to external forces – historical, political and cultural (Olsen in March 1999:63). The meaning and functioning of institutions are shaped by features of the socio-economic and political context in which they are embedded (Steinmo, Thelen & Longstreth, 1992:20). Institutional persistence relies on the ability to change according to external factors. This ability is necessary to ensure a relevant civil service - citizens give their allegiance to a set of norms, beliefs and practices embodied in political institutions (March & Olsen, 1989:161). Civil service systems will therefore differ from one society to the next as they deliver different public services in different ways to different societies (Peters in Campbell & Peters, 1988:25).

3.3. Current theoretical considerations

As contemporary organizations, civil service organizations are not immune to the rapid rate of change and development that defines our post-modern existence. It therefore seems relevant that current thoughts and considerations on modern day

organizations be examined when analysing the significance of boundedness and the organizational boundaries of civil service organizations.

3.3.1. Systems Theory

In analysing the concept of civil service system boundaries the influence of the external environment was highlighted. This emphasis on the external environment and its influence on the organization gains relevance within the systems approach to organizations, more specifically the open systems approach. The systems theory highlights the necessity for maintaining the basic systemic elements of *input-process-output* and the use of feedback to continually adapt the systems output. A closed system remains a closed loop – no input from the environment is taken into account. In contrast the *open system* uses the feedback loop to utilize input from the system as well as the environment that sustains the organization. An open system depends on feedback to ensure that the organization's outputs remain relevant to its environment. This theory stresses the connection of the organization to a larger system of which it is part. The connection to the larger system or systems within the environment indicates to the importance of feedback. Feedback becomes a means whereby the organization is enabled to recognize the demands and changes within the external environment – this recognition becomes essential to the organization's continued effectiveness and ultimately its continued existence (Gibson, Ivancevich & Donnelly, 1994:34-25).

The open systems theory contends that organizations need to be open and adaptable to the demands of their environments. The boundaries of the organization therefore need to be not only permeable but also be able to adapt and change according to the development and requirements of its environment. This openness would not only ensure organizational survival but also lead to increased relevance and effectiveness (Goldstein, 1994:108-109). Contemporary organizations and the role of boundaries, systems and environments is examined by Goldstein (1994:111-116). He observes that the boundary of a system creates the identity of the system and defines it in contrast to its environment – the distinction between system and environment characterises a system. The identity of a system determined by its boundaries is described as being much more than just a reaction to its environment – it becomes an *enacting* of its environment. Boundaries establish system identities –

these identities in turn also demarcate the approach that the system takes to the environment. He concludes that the boundaries of contemporary organizations have to be permeable enough to allow for an exchange of energy and information, but not so permeable that it destroys the distinction between the system and the environment and thereby its identity.

The civil service system understood within the systems approach suggests that every civil service organization is connected to the greater civil service system, which in turn is connected to a society that contains several systems and which forms part of a global environment made up of different societies. A civil service system is therefore not a stand-alone organization but integrally entwined within the systems of society and mankind. The boundaries of the civil service not only define the organization but also indicate to the approach that the organization has towards its environment – its society. To be able to effectively respond to the changes and demands of its environment the boundaries of the civil service has to develop a degree of permeability. However, the boundaries of effective civil service systems also have to develop a balance between permeability and persistency. It has to retain some persistent form or structure that signifies its character whilst continually being able to adapt and change according to its environment.

This ability to adapt to an environment consequentially leads to the whole concept of an organization operating as an organism. The use of an organic metaphor has often been associated with the open systems theory (Schuman, 1976:102-104). In contrast to the machine like closed system, the open system operates more like a living organism that changes its form and output according to its environment. This change and alteration of organization also in turn affects changes within the environment as well. Baum & Singh (1994:43) define these changes as “*mutual adaption*” and note that organizations receive social approval or disapproval as a function of adopting particular practices. This metaphor is also associated with the concepts linked to organizational ecology and the “life-cycle” of the organization. Müller (1990) analyses the growth, change and adaptation of public service institutions from an organizational ecological perspective. His study reflects the dualism that exists within public service organizations between the demands of

environmental influences and the limitations caused by the machine like bureaucratic structures that characterize civil service organizations.

The persistent structural qualities of the civil service system include the bureaucratic elements identified by Max Weber. Weber contended that the high rationality of the bureaucratic structure is fragile and needs constant protection against external pressures to safeguard the autonomy needed to attain its specific goals. The features of this rational structure include:

- A continuous organization of official functions bound by rules.
- A systematic division of labour, rights and power identified as essential for the rational organization.
- A principle of organizational hierarchy that ensures correct levels of control.
- Rules that regulate the conduct of organization members are technical rules or norms.
- Members of the administrative staff are completely separated from ownership of the means of production or administration.
- The resources of the organization are free to be allocated and re-allocated according to the needs of the organization.
- Administrative acts, decisions, and rules are formulated and recorded in writing. A systematic interpretation of norms and enforcement of rules is maintained. (Etzioni, 1964:53-54)

Civil service systems can thus be described as organizations with bureaucratic structures operating as open systems within ever changing environments. To stay relevant and effective within their environments these organizations have developed permeable borders that give them organic/organism-like qualities. They do not operate as closed, machine like systems as they are bounded from their environments. This balance between machine and organism is described by Waldo (Etzioni, 1969:9) as an “...*extremely complicated, subtle, perhaps mysterious...*” organizational existence. Jackson & Carter (2000:174) define this type of system as a quasi-closed system specifically regarding its internal functioning. Both its bureaucratic form and the organizational responses to the demands and influences of its environment determine the institutional character of the civil service organization. The influence of form and structure will be analysed as part of the *routinisation* and *connectedness* indicators. The influence of the environment on the

civil service system has to be explored further to determine how it impacts on the boundaries and ultimately the character of the organization.

3.3.2. Organizational environment

Schwella (Fox *et al*,1991:2-6) defines the context of public administration and has developed a public management model that aims to conceptualise, explain and simplify the complexities of public management. The model accepts the fundamental premises of the open systems approach and the importance of the environment on the civil service and public management. The environment of the civil service is further analysed and defined in Schwella, Burger, Fox & Muller, (1996:14-26) – they divide environmental influences into a general and a specific environment. The general environment of the civil service is described as comprising of the following components:

3.3.2.1. Values

Values have been defined as a system of shared beliefs. In democratic systems specific values influence the systems and their operations. These values include the following:

i) *Constitutionalism*

This value adheres to the belief that all actions taken by the civil service has to be in accordance with the country's constitution. Within a democratic society the constitution provides for the rights and obligations of all citizens, the civil service and its members. A constitution usually aims to protect human rights, entrench democratic governance and ensure proper practice within public organizations. The constitution becomes the supreme authority and the actions of all citizens and parties have to comply with its provisions.

ii) *Democratic values*

Democratic values refer to the ideals of the popularly elected, representative systems of governance and public administration. These values include representation, legitimacy, transparency, responsiveness and accountability.

iii) *Economic values*

This value refers to the national economic policy adhered to by a country together with the level of development within the country. Important economic values include effectiveness, efficiency and productivity

iv) *Other values*

To provide a logical classification for values can become problematic as they change continually. The following are however significant other values within the environment of the civil service system:

Social equity – A belief that strives towards fairness and justice in all actions taken by the civil service

The rule of law – An adherence to the constitution and other laws that govern the country

Professionalism – An application and a commitment to the highest standards of morality and service by all civil service members.

3.3.2.2. Political Component

Historical and current political influences within the environment directly affect the civil service. The civil service is linked to government and its political history, its objectives and policy directives. Other abstractions including political ideas, philosophy and ideologies as well as national (political parties, interest and pressure groups) and international power structures and institutions (e.g. United Nations, European Parliament and Commonwealth) influence environment on a political level.

3.3.2.3. Economic Component

The current economic system employed by any given country to distribute its scarce resources to competing economic actors. Different abstract factors give rise to the economic influences that influence the environment of the civil service. These include prevailing economic ideas, philosophies and ideologies that form the basis of economic structures and processes. Also included are international economic influences that include structures such as the World Bank and the International Monetary Fund. These national and international economic influences largely determine the economic environment that the civil service has to operate within.

3.3.2.4. Social Component

The social component includes all demographic trends that describe the society that the civil service has to operate within. These include population growth rates, gender composition, life expectancy age and ethnic composition. It also relates to the rates of urban development, the provision of housing, employment, literacy and education

levels, training and human development and national health and welfare. The social characteristics and needs of the society that creates the environment of the civil service largely determine what the outputs of the organization should be.

3.3.2.5. Technological Component

The technological component indicates to the use of mechanical and technological processes to produce and distribute goods and services. Technology includes information, equipment, techniques and all processes needed to transform organizational inputs into outputs. The realm of technological advancement transcends all borders and influences all organizations including the civil service.

3.3.2.6. Cultural Component.

Cultural influences refer to the basic beliefs, attitudes, role definitions and interactions that characterise a specific society. It includes learned and shared behaviour, values, norms, artefacts and acceptable behaviour of individuals and groups. Historical developments can also be included here as past events can influence current mind sets and practices. The influence of past colonial structures on modern day African civil service systems bear testimony to the influence of history on the civil service and how it operates.

The influences within the general environment are constant but not always easily observable. The specific environment is comprised of four specific components that include regulators, suppliers, consumers and competitors. Each of these components represents a concrete force that directly influences the daily operations of the civil service organization. The general and specific environments interact with each other as they influence the operations of the civil service system. The influence of the specific environment components focus more on the internal environment of the civil service system and will be analysed as part of the three other indicators *exchange*, *routinization* and *connectedness*.

3.4. Integration and scientific operationalization

The operationalization of this indicator is achieved by the compilation of a set of questionnaires that describe and illustrate the different characteristics that relate to institutional boundedness. The content of the questionnaires should:

- Give an indication to the degree to which the institution is bounded from its environment. In other words the extent to which the organization is a reflection of the society it operates within. To what extent is the institutional arrangements a response or as a result of the influences within its environment? The answers to these questions also provides a profile of the society within which the civil service operates and of which the civil service is a reflection.
- Give an indication to the permeability of the borders or boundaries of the organization. To what extent does the organization operate as a closed system with a fixed/permanent border that does not allow for any outside influence? To what extent does the organization operate as an open system with permeable boundaries that allow for environmental influences that alter the structure and operations of the system?

In order to be able to describe the general environment of the civil service the different components will be used as descriptive categories. Each of the six categories of the general environment: values, political, economic, social, technological and cultural/historic will be defined according to a set or framework of questions that indicate to specific aspects of each category. Every civil service can thereby be described in terms of the answers given to the questions within the different components that influence its environment. This description can be used to indicate the extent to which the system has been bounded from its environment and to what extent the civil service is a reflection of its environment.

Values within the general environment

The values described by Schwella *et al* (1996: 15-18) have been utilized to construct a set of value qualities that describe the value component of specific civil service system.

Political component of the general environment

The political ideologies and governmental systems identified by Gildenhuis, Fox & Wissink (1991:2-16 26) serves as a set of political characteristics to define the political component of a specific civil service system.

Economic component of the general environment

The economic development characteristics supplied by Schwella *et al* (1996:19-20) together with the economic indicators identified by du Toit & Falkena (1995) was utilized to construct the framework of characteristics.

Technological components of the general environment

The technological characteristics identified by Schwella *et al* (1996:20-21) together with the classification supplied by Isaak (1991:250) was utilized for the technological development characteristics.

Social component of the general environment

The social characteristics identified by Schwella *et al* (1996:20), together with the indicators developed Haldenwang (1997) was used to construct the set of questions. A set of questions that relate to social development is also included.

Cultural component of the general environment

The cultural influences identified by Schwella *et al* (1996:20), together with aspects identified by Hoecklin (1995) was used to construct the set of questions.

The degree to which the civil service system is affected by the influences within the environment is indicated to by a set of questions that relate to the systems theory. The operation of the organization as a closed or open system indicates to the permeability of its boundaries. A description of the specific civil service systems' operational characteristics in terms of the systems approach will be utilized to classify the organization as being either open or closed. This questionnaire was developed according to characteristics identified by Robbins (1990:12-19). Answers to the questions would give an indication to the extent to which the organization operates as a closed or open system. The value of this questionnaire lies in the nature of civil service organizations as examined in paragraph 3.3.1. *supra*, where it was noted that both system characteristics are evident within civil service systems. This questionnaire aims to determine to which extent civil service systems have both open system and closed system characteristics. Questionnaires (3.i, 3.ii, 3.iii, 3.iv, 3.vi, 3.vii *infra*) has to be completed according to the comparative method explained in paragraph 2.3.2.2. *Supra*.

3.i) Which of the following **values** are adhered to within the general environment of the civil service?

	Never 1	2	3	4	5	6	Always 7
To what extent does constitutional values (written/unwritten) influence the general environment?							
To what extent does the following democratic values characterize the general environment?							
Representation							
Legitimacy							
Transparency							
Responsiveness							
Accountability							
To what extent does the following economic values influence the general environment?							
Effectiveness							
Efficiency							
Productivity							
To what extent does any of these other values influence the general environment?							
Social Equity							
Rule of law							
Professionalism							
Other							

3.ii) Which of the following **political** influences affect the general environment of the civil service?

							No	Yes
Indicate which of the following aspects characterise the structure of the state								
Monarchy								
Monarchy with acting head of state								
Republic								
Totalitarian State								
Unitary state								
Federation								
	Never 1	2	3	4	5	6	Always 7	
Indicate to which extent the following political influences characterise the general environment?								
Capitalism								
Socialism								
Federalism								
Fascism								
Social Welfare								
Communism								
Indicate to which extent the following pressure groups are active within the environment?								
Environmentalists								
Labour unions								
Ethnic/Culture groups								
Religious groups								
Indicate to which extent Confederal co-operation occur?								
Economic associations								
Political Confederation								
Regional associations								

3.iii) Which of the following **economic** characteristics influence the environment of the civil service?

	Never 1	2	3	4	5	6	Always 7
To what extent does the following economic systems prevail within the environment?							
Capitalist - Free market							
Socialist							
Do the following national economic institutions exist within the environment?							
Reserve Bank							
Large national financial institutions							
To what extent do the following international institutions/influences affect the environment?							
World Bank							
International Monetary Fund							
World Economic Forum							
Regional economic agreements							
Is income distribution equal in terms of the Gini coefficient? (0 = perfect equality)							
To what extent do the following sectors within the economic component influence the GDP?							
Primary sector:							
Agriculture							
Mining							
Secondary sector:							
Manufacturing							
Electricity							
Construction							
Tertiary sector							
Trade							
Transport							
Finance							
Community services							
General government							
Other							
To what extent are the following economic infrastructures developed?							
Electricity available to total population							
Development of tarred roads and railways							
Availability of telecommunications to total population							

3.iv) Which of the following **technological** characteristics influence the environment of the civil service?

	Never 1	2	3	4	5	6	Always 7
To what extent are the following processes present within the environment?							
Physical labour processes							
Mechanical processes							
Technological processes							
Information technology processes							
To what extent do the following state development stages characterise the environment							
Agricultural							
Newly Industrializing							
Industrial							
Super industrial							
Post industrial/Post modern							

3.v) Indicate which of the following **social** characteristics define the environment of the civil service?

		Yes	No
Population growth	< 1%		
	1-5%		
	> 5%		
Gender composition	Male>Female		
	Female>Male		
	Male=Female		
Life expectancy	30 – 40 years		
	40 – 60 years		
	60 – 80 years		
	80 – 100 years		
Population Age Composition	>50% 0 – 18 years		
	>50% 18 – 65 years		
	>20% 65 years and older		
Ethnic Groups	Homogenous		
	2-3 groups		
	3-5 groups		
	5-10 groups		
	> 10 groups		
Languages	One		
	Bi-lingual (2)		
	Multi-lingual (more than 2)		
Literacy	100% Literate		
	50 – 100% Literate		
	< 50% Literate		

SOCIO-ECONOMIC DEVELOPMENT	Never						Always
	1	2	3	4	5	6	7
To what extent does the civil service provide the following services to society?							
Housing Development							
Job creation							
Skills and Training Development							
Healthcare Development							
Education Development							
To what extent does the civil service provide social welfare support to society?							

3.vi) Which of the following **cultural/historic** characteristics influence the environment of the civil service?

	Never 1	2	3	4	5	6	Always 7
To what extent does the following cultural systems influence the environment?							
Patriarchal							
Matriarchal							
Traditional							
Modern							
Religious							
To what extent do the following values and norms influence the environment?							
Conservative							
Liberal							
Varying							
Combination							
To what extent do the following attitudes influence the environment?							
Individualistic							
Collective							
Religion based							
Humanist							
To what extent does the following historical influences affect the environment?							
Monarchy							
Colonialism/Imperialism							
Communism							
Independence struggle							
Totalitarianism							
To what extent do the following environmental influences affect the environment?							
Natural disasters							
Man-made disasters							
Valuable natural resources							

3.vii) Identify to which extent the following characteristics define the structure and operation of the civil service system?

Open System	1	2	3	4	5	6	7	Closed System
There exists an interdependency between the organization and its environment. Any and all changes within the environment directly affect the organization								The organization operates independently from its environment. Changes within the environment does not affect the organization in any significant sense
The organization has specific methods in collecting and analysing feedback from the environment. Feedback is used to rectify and adjust any output that does not align with environmental needs								Only relies on feedback received from its own output. Does not take any environmental feedback into account
Organization has a cyclical character. The systems outputs furnish the means for new inputs.								Mechanical character allows for repetitive action without new input.
Negative entropy develops as continual new inputs allow for repair of system, own maintenance as well as ability to expand								The development of entropy. Lack of new inputs will eventually lead to stagnation and demise.
System can maintain itself at a steady state								Stagnation can develop from lack of new inputs – inability to repair and maintain the system
Organization has a tendency to move towards growth and expansion to ensure continual existence								Closed system does not develop or expand – keeps the status quo
Seeks to reconcile maintenance and adaptive activities. On the one hand the organization								Seeks only to maintain the system as is
The organization incorporates different ways on achieving a specific goal – equifinity								The organization has a specific or set path to achieve a specific goal

3.5. Conclusion

This chapter focussed on the concept of boundedness as an indicator for the institutionalization of a civil service system. Boundedness was examined from two perspectives namely the theoretical context supplied by Bekke *et al* (1996: 329) and other current theoretical considerations. Boundedness was examined in terms of other related concepts such as the existence and relevance of organizational boundaries. The open systems theory was examined and its value in terms of boundedness explored together with the influence of the organizational environment. The general environment of the civil service was analysed according to the public management model and defined according to the environmental components that include values, political influences, social indicators, economic influences, technological influences and cultural influences. The different theoretical concepts focussed on within the two perspectives were integrated and operationalized into specific questionnaires that relate to the different aspects of boundedness. The questionnaires consist of sets of questions that assist with the definition and description of the boundaries of the civil service systems. The results from these questionnaires reflect two aspects of boundaries. They first define the environment from which the civil service is bounded from according to the different environmental components. Secondly, they describe the extent to which the boundary is permeable in terms of open or closed system characteristics. The answers to the questions create a profile of the boundary of a specific civil service – it also creates a profile of the society from which it is bounded. The data from these profiles can be utilized to indicate how organizational boundaries contribute to the level of institutionalization of the system. It can also be used in comparative analysis in the examination of boundaries and societies and their influence within different civil services.

CHAPTER FOUR

4. Exchange

4.1. Introduction

The central focus of this chapter concerns the development of the concept exchange as an indicator of institutionalization within civil service systems. The concept of exchange will be defined and analysed within two perspectives. The first perspective will be presented according to the theoretical context supplied by Bekke *et al* (1996:329). This includes a reference to the significance of the actions of a public servant operating within a civil service system and how these actions define the nature of the exchanges that occur between the civil service and society. The second perspective rests on other current theoretical considerations relating to the concept of exchange. The concept of exchange will be further explored according to specific elements that constitute the parts of a civil service exchange. These elements relate to the members of the civil service that form part of the exchange, the individuals or groups within society with whom they exchange and the goods and services that are exchanged. Each one of these elements will be analysed in terms of their value within the context of institutionalization. The chapter will conclude with the integration and the scientific operationalization of the theoretical perspectives concerning exchange and institutionalization.

4.2. Theoretical Context

In describing, the institutional features of an administrative state Redford (1969:43) refers to the interaction of actors occupying strategic positions within an institution. Consistent with the view that the civil service operates within an open system is this concept of interaction or exchange that takes place between the civil service and its environment – civil society and the civil service.

These exchanges are defined by Katz & Gartner (1988:432) as “...cycles of transactions...”. The use of the word “cycle” suggests the ongoing nature of these transactions – they reflect the purpose and the systemic nature of the organization.

The benefits gained from these transactions are not necessarily all material, neither do observers necessarily regard every exchange as equal (Kaufman;1991:18). This indicator does not only concern the transactions or exchanges that occur but also includes the characteristics of the individuals, social groups and organizations that are orientated towards government – that are a part of these exchanges. Bekke, *et al* (1996:329) focus on the following aspects of civil service exchanges:

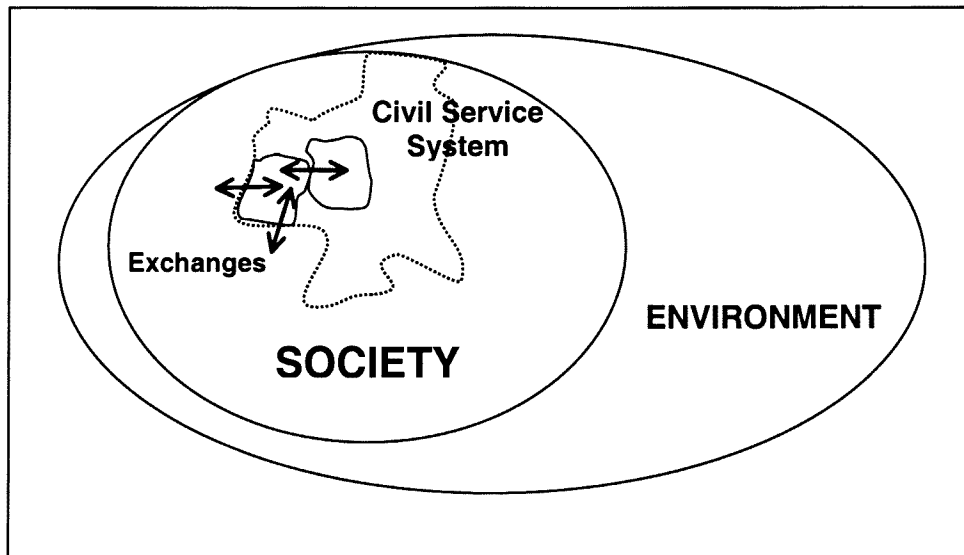
- Public management roles.
- The general image of the public service held by the public.
- The representativeness of civil servants.
- Social control and the politicisation of the roles of civil servants.

These aspects focus primarily on the role of the public servant operating within the different spheres of the civil service. However, to evaluate the impact that organizational exchanges have on the institutionalization of an organization there needs to be a broader analysis of the exchange concept. The word “exchange” has several connotations including “to give up or transfer (one thing) for an equivalent” (*Collins Concise Dictionary*, 1988:388) – it also signifies an interaction between different parties or groups and indicates to the “*balance of rewards and costs*” for each participant within the interaction (Jessop, 1972:70). In the simplest terms an exchange consists of a giver/supplier, a taker/receiver and goods/services that are being exchanged. These organizational exchanges or activities are described by Kaufman (1991:18) as “... *conversions of matter and energy into forms used by individuals and by other organizations, both inside and outside its boundaries, who contribute to it what it needs or wants in the same way that they receive from it what they need or want.*”

4.3. Current Theoretical considerations

In terms of a civil service system the form of exchange as described by Kaufman (1991) would refer to the exchanges that occur internally and externally within the civil service system. Civil service exchanges therefore indicates to the interaction that takes place between the civil service and its members (internally) as well as society and its members, groups or organizations (externally) (See figure 4.1)

Figure 4.1. Exchanges between civil service system and society (Developed from Goldstein (1994:112))



In its broader comprehension external exchanges refer to interactions between the organization and its environment – more specifically the societal environment it operates in. Internal exchanges refer to the interaction that takes place between the different units or departments of a civil service. These internal exchanges or interactions are also analysed as part of the “connectedness” indicator.

The premise of the exchange indicator as defined by Bekke, *et al* (1996:329) relies on the understanding that the nature of the exchanges that occur between society and civil service system as well as the different actors that participate in these exchanges define a specific civil service system. This premise is affirmed by Kaufman (1991:106) as he explains that organizations and the medium by which they are formed and grow in are changed by the *activities* of the organization. Exchanges therefore characterise the nature of the civil service system and its organizations. It is this characterisation of a specific system in terms of its exchanges that is used within a comparative study. This analysis focuses on three specific elements that constitute parts of a civil service exchange:

- 4.3.1. The members within the civil service that participate in exchanges with society as well as with the other organizations within the civil service – the public servants.

- 4.3.2. The individuals/groups/organizations within society that participate in exchanges with the civil service.
- 4.3.3. The services or goods that are exchanged in this process.

Each of these exchange elements need to be explained in order to clarify their relevance and purposefulness within the exchange process.

4.3.1. The *public servant* in exchange

Organizations exist because of their members – so also does the actions and attitudes of the public servant affect the existence of the civil service organization. Within the field of Public Administration the role, functions, attitudes and responsibilities of the public servant have been studied extensively as indicated in Caiden (1971:13-19), Cloete in Thornhill & Hanekom (1995:30-37) and du Toit & van der Waldt (1997:9-48). In analysing the role of the public servant in the exchange process the focus of this analysis rests on two distinct issues that affect the actions of a public servant, these pertain to:

- 4.3.1.1. The political-administrative role of the public servant and the impact that political values have on the civil service.
- 4.3.1.2. The influence of a specific administrative culture, including its values and ethics as embodied within the public servant.
- 4.3.1.3. The existence of a managerial ethos in creating a more effective and competitive civil service

4.3.1.1. *The political-administrative role of the public servant*

One of the distinctive features of public administration is the political-administrative dualism that exists within public organizations. Lawton & Rose (1991:12) makes the point that politicians bring political demands to the process just as consumers make economic demands within the marketplace – these demands reflect the values and ideals of a specific political perspective. Political ideals are transformed into policy directives that public organizations and public servants have to adhere to. Most contemporary political systems recognize the ideal code of behaviour whereby public servants should be politically neutral – not involved in the political process (Heady in Bekke, *et al* 1996:143). However, public servants have to operate within a politically charged environment – and there exists a clear gap between what is ideally expected

from a public servant in terms of their political behaviour and what happens in the operational environment (Hojnacki in Bekke *et al* 1996:143). The ideal approach rests on the idea that a clear distinction exists between policy and administration and that politicians are responsible for policy and policy making whilst public servants have exclusive control over administration. However, in contemporary civil service organizations the clear distinction between policy and administration and politicians and administrators are not so evident. The focus for this analysis rests on the point of interaction between political agent and public servant and how this interaction affects the actions of the public servant. In analysing this relationship and its effect on the public servant Lawton & Rose (1991:12-16) developed different “*images*” of the relationships between politicians and public servants and how this relationship affects the actions of the public servant. These images are described as the follows:

Image 1

Policy/administration dichotomy is an ideal and empirical reality

Image 2

Career officials involved in policy, but restrict themselves to imparting relevant facts and knowledge

Image 3

Policy making does involve some form of political calculation and manipulation but administrators are not passionately committed to political ideals

Image 4

Officials are involved in defensive bureaucratic obstruction

Image 5

Officials involved in positive executive – bureaucratic government, have detailed policy knowledge. Pro-active commitment to government

Image 6

Officials identify with the fortunes of a specific political party

The classification developed by Heady (1991:448-450) also categorises six different political/administrative relationships including:

1. A system where there exists significant devices for political control whereby significant direction is given to the bureaucracy and to minimize the likelihood of bureaucratic dominance. This system does however allow for substantial participation in political decision-making.

2. Traditional elite regimes with a rule-dominated bureaucracy. Political and administrative aims are over-ridden by administrative rule bound systems.
3. Systems where the controls over the bureaucracy are weak and the risk of indefinite bureaucratic dominance are great. The civil service maintains a highly independent existence and uses its power to establish its own agenda.
4. Bureaucratic-prominent political systems where the pendulum moves between complete bureaucratic elite leadership and full political leadership according to the regime in power. This movement results in the administrative system having political/administrative characteristics that are mixed, muted and blurred.
5. Systems where the trend is towards less rather than more bureaucratic involvement in the exercise of political power – towards a better balance between bureaucracy and political institutions.
6. Systems where the party political systems dominate and the bureaucratic/administrative systems are merely an extension of the ruling political regime carrying out its political agenda.

These two sets of classification serves as a framework to evaluate the political/administrative role of public servants within a specific civil service – it also indicates to the values adhered to within a specific system.

4.3.1.2. *Administrative culture and values*

The influence of an administrative culture and its values impact directly on the actions of a public servant. The importance of values is examined by Lawton & Rose (1991:9-12), they stress the idea that values underpin the thinking of those involved in the provision of services and dictate the nature of what they provide, how they provide it and to whom they provide the services. They conclude that values in the public sector can be seen in part as a function of the values of society it operates in. These societal values and their influence on society have been included as one of the components within the general environment that affects the boundaries of the organization. The emphasis of this issue is the administrative values that underpin a civil service and how these values affect the behaviour of a public servant within the exchange process. Pollit & Bouckear (2000: 52-54) define a *philosophy and culture of governance* where they analyse a characteristic pattern of values and assumptions within a civil service and how they affect the process of administration. They focus

on two particularly strong models that most administrative systems are guided by. These models are:

- The Rechtstaat model

This model emphasises the state as a central integrating force within society. Its focal concerns are with the preparation, promulgation and enforcement of laws. The administrative culture in this organization is a bureaucratic stance of rule following and precedent. The actions of both the individual public servant and the individual citizen is set in the context of correctness and legal control.

- Public-interest model

This model originated within the Anglo-Saxon states (such as Australia, New Zealand and the United Kingdom) and accords the state a less extensive or dominant role within society. The process of government is seen as one of seeking to obtain the public's consent for measures devised in the public (general, national) interest. Fairness and independence of the play of sectional interests are therefore key values and pragmatism and flexibility are qualities valued above technical expertise or strict legality.

These two models represent two opposite sets of administrative culture and values. They prescribe and dominate the behaviour of a public servant operating within a specific civil service system thereby providing a set of particular behavioural characteristics revealed within the exchange process.

4.3.1.3. *The management ethos of the public service*

Related to the administrative culture of the civil service organization is the management approach employed by the organization. Public management is widely defined by Schwella *et al* (1996:5-6) as a social system that relates to:

- That system of structures and processes;
- operating within a particular society as environment;
- with the objective of facilitating the formulation of appropriate, legal and legitimate government policies; and
- the effective, efficient and productive execution of the formulated policies.

They conclude that ultimately public management is the use of scarce resources in the pursuing of policy goals – and that the use of these resources should be optimally effective, efficient and productive.

In contemporary civil service organizations this focus on effective, efficient and productive service has been related to the question of organizational performance. In their analysis of service delivery Burger & Ducharme (2001) emphasise the question of performance and the “body” of performance related practices that have become a critical issue amidst the requirements for competitiveness within the global village. Popovich (1998:1) observes the changes in societal values and how they impact on organizational values. Current organizational values include flexibility, adaptability, responsiveness, learning and continuous improvement. Civil service systems also form part of the global village and as such are also influenced by current values. This “*performance bound*” aspect of public management is referred by Caiden (1991:27-29) as he identifies the following principles: performance, accountability, planning and control and the latest managerial technology. Caiden explains these principles according to a managerial approach to administrative reform developed by Ukeles (1982) as quoted in Caiden (1991:28-29) that highlights the following aspects:

- Managing with people

This aspect emphasises a performance focus in core human resource management practices that includes recruitment, selection and hiring of personnel, job descriptions, job appraisals, merit systems and decentralized personnel management. It also relates to issues such as collective bargaining reforms and the enhancement of employee effectiveness.

- The conserving of public money

Financial performance is related to aspects such as financial planning and budgeting, financial reporting and control and fiscal strategies for cost reduction and revenue enhancement.

- Streamlining operations

This aspect concerns a performance related approach to operational strategies for cost reduction and service improvement, an improvement of basic service and development programmes and the effective management of support services.

- Public performance management

The principle of performance is reflected in developing systems that allow for the measurement of public performance and the effective utilization of performance information.

- Implementing public management improvement

Performance also entails improvement that relates not only to the creation of an agenda and a constituency for effective public management, it also includes the building of capacity for management improvement.

This management approach defines a specific *ethos* that impacts on the structures and processes of the civil service organization. It also influences the behaviour of the public servants in their attitudes and behaviour within the process of exchange.

4.3.2. The *society* in exchange

The society that the civil service operates in represents the second aspect of the exchange process. Caiden (1982:84-85, 128-131) describes the different exchanges within the civil service. In explaining the political and legislative exchanges he indicates to the different processes whereby political decisions are turned into actions, public policies into practices and constitutional requirements come to life. He also identifies different delivery systems utilized by civil service systems in serving civil society, including: voluntarism, the market place, external suppliers, other domestic governments, public enterprise, private contractors and third sector organizations.

In analysing the public service environment, Schwella (1983:54-71) identifies the general and specific environments and describes the influence that these environments have on a public service organization operating as an open system. The general environment components and their influence on the civil service system has been analysed as part of the "boundedness" indicator. The specific environment is described as being more operational in its effect on the civil service system as it defines the forces that directly influence the specific operation of the organization. This specific environment contains the sectors of society that directly take part in exchanges with the civil service. Schwella quotes Brown and Momberg in this regard when they refer to these sectors as forces that represent "*...organizations, groups and influential individuals with which the organization has relations...these concrete forces must be reckoned with, particularly if there is a dependency involved.*". The specific environment is described Fox, Schwella & Wissink (1991:21-23) as being made up of the following sectors:

4.3.2.1. Regulators

Regulators mediate, control or regulate the relationships between the organization and its suppliers, consumers and competitors. Regulators are usually vested with some form of authority to provide enforceable rules by which the organization within its sphere of authority has to abide. Regulators with their position of authority have the powers to sanction deviant organizations or deviant behaviour of organizational functionaries. These coercive powers and sanctioning capacity are usually defined and described in statutory provisions. These provisions are usually as a result of the virtue of a citizen mandate or because the regulator acts as a supplier of resources to the civil service. Societal institutions that act as regulators are found within the legislative, judicial and executive governmental structure as parliament, the law courts and the political executive constantly regulate the actions of public organizations within their sphere of jurisdiction. Actions taken by regulator are in accordance with the needs of the polity, society or the economy, as they perceive it. Specialised groups within society also act as regulators. These include pressure groups, interest groups and special interest groups. Groups identify public “needs” or areas of concern that government should address, according to Goodsell (Vocino & Rabin, 1981:6-7).

4.3.2.2. Suppliers

Civil service suppliers produce, mobilise and allocate various kinds of resources to particular organizations. Financial resources are allocated by policy-making bodies and are mobilised by means of taxes, levies or service charges and are then allocated to public organizations. Allocations are done in accordance with political and policy priorities. Political support is also considered a resource, as it is needed for the initiating and continuation of action programmes. Suppliers that provide financial and political resources to public organizations include legislative bodies such as parliament, the electorate and the taxpayers, whereas executive bodies include the cabinet and the treasury. Organizations within the civil service also act as suppliers to other civil service organizations. The provision and maintenance of an economic infrastructure to operate within is supplied by organizations within

the civil service. The role of supplier allows for a measure of power over organizations resulting in suppliers also acting as regulators of civil service actions.

4.3.2.3. Consumers

The users of the products or services of the civil service constitute the consumers within society. Consumption of services or products may be voluntary or obligated. Consumers of the products or services provided by the civil service have certain rights, which enable them to regulate or elect regulators that regulate what products, and services are provided. Consumers (taxpayers and the electorate) are also often suppliers of economic or political resources – their preferences therefore have a significant impact on the functioning of the civil service. Consumers can be further defined as citizens and organised groups within society. Peters (1978:141-159) describes this relationship between government and society and define different pressure groups wanting some specific service or goods from government. He identifies *clientela* relationships that represent the natural target or reference point for the activity of the administrative agency.

4.3.2.4. Competitors

The societal institutions that compete with the civil service for scarce resources are described as competitors. Civil service organizations mostly operate as monopolistic organizations as there are no other organizations are capable of delivering their specific service or product. However, strategies such as privatisation and deregulation often result in competitors that provide the same services or products traditionally provided by the civil service. Often public organizations within a specific civil service system also have to compete with each other for priority positions in the allocation of scarce resources. Competitors also relate to the aspect of competitiveness – a current value within public organization management. Competitiveness relates to concepts such as benchmarking (defined by Bullivant (1994:1) as "*finding and implementing best practice*") and the setting of standards of performance to compete with other organizations for resources or the attainment of organizational goals and objectives.

These four sectors broadly represent the different stakeholders within a society that exchanges goods and services with the civil service. It also includes the organizations within the civil service that internally exchange goods and services. These sectors have to be taken into account by any civil service, as they continually have to be in exchange with these forces within society. These four sectors and their stakeholders differ from one society to the next and therefore characterizes the actions of the specific civil service as well as the institution of the civil service.

4.3.3. *Goods and services in exchange*

Goods and services represent the third element that defines the exchange process between the civil service and its society. The civil service provides specific goods and services to the society it serves. This rendering of goods and services are described by du Toit & van der Walt (1997:8-10) as they note that the civil service provides specific services and goods to society as individuals are not able to meet some of their own needs in specific situations. Alternatively, some goods and services have to be produced by the civil service, as private organizations are not interested in producing them, as they are not profitable.

The type, nature and extent of governmental activities are virtually limitless and affect almost every aspect of society. To summarise all the functional activities of a modern government is difficult as the types of functions and the nature and extent of the services arising from them are so broad (du Toit & van der Walt, 1997:68). For the purposes of this analysis the classification of services and functions will be examined within a macro-context according to the classification provided by Gildenhuis (1993:24:30). This classification is broadly defined as consisting of the line and staff/auxiliary functions of government. Line functions are those government activities that substantially and directly contribute to the attainment of government objectives in the process of realizing the government's broad goal of securing a high quality of life for all the citizens of the country. Line functions therefore deliver public services directly to the public. Staff or auxiliary functions complement line functions as it contributes indirectly towards the attainment of government goals and objectives – staff functions provide services to sustain or improve line functions. The service rendered by government is as a result of a number of functions carried out. Line functions can be categorized as:

- Order and protection functions,
- Social welfare functions, and
- Economic welfare functions.

4.3.3.1. Line functions

- *Order and protection functions*

In maintaining law and order within their jurisdictions governments execute a variety of functions including the following:

Military defence function

Police function

Administration of justice function

Imprisonment function

State security function

Civil defence function

Traffic police function

- *Social welfare functions*

These functions relate to the enhancement of the personal welfare of individuals to be above a certain level. The nature and scope of the functions depends on whether the policy of government has more socialistic aims. These functions include:

Health function

Social security function

Education and Training function

Housing function

Sports and recreation function

Cultural function

Human sciences research function

- *Economic welfare functions*

These functions are aimed at developing the economic and material welfare and prosperity of the individual. The scope and nature of these functions depends on the policy and ideological views held by the government in power. They include the following:

Regulation of the economy to secure market stability

Economic development to create more general welfare and prosperity

Maintaining economic order

Provision and maintenance of economic infrastructure

Establishment and operation of public industrial co-operations

Financing of economic, industrial and other scientific research in support of economic and industrial development

4.3.3.2. Auxiliary services

Auxiliary or staff services provide support for institutions to carry out their tasks and achieve their objectives.

- Financial services

- Supplying line function departments with financial resources

- Personnel services

- Supplying personnel to line function departments

- Office and secretarial services

- Clerical services such as archives for correspondence as well as all other forms of office and secretarial services

- Legal advisory services

- All services of a legal nature eg. Office of the State Attorney

- Organizational and work study services

- Services that assist with hierarchical structures, working procedures and working methods of public service employees

- Resource supply services

- Services that supply resources such as accommodation, furniture, equipment, machinery and consumable stock for the execution of line functions

- Accounting and auditing services

- Services that provides a system of record keeping of all financial transactions

In order to realize government goals and objectives the civil service at all levels are bound to supply and deliver specific public goods and services to its society. The classification supplied by Gildenhuys (1993:24:30) is useful for the purpose of analysing the different institutions that make up a civil service as goods and services form the basis for the establishing and organising of civil service institutions. This

classification also allows for an investigation of the sectors of society (regulators, suppliers, consumers and competitors) that use and influence the delivery of the different goods and services.

In analysing the institutionalization of civil service systems the concept of “exchange” has been identified as one of the indicators. This chapter examined the concept of exchange within the civil service context and focussed on three elements within the process of exchange. These elements included the public servant, the society and public goods and services. Each of these elements were explained and put into context to confirm their purpose and usefulness in assessing civil service exchanges.

4.4. Integration and scientific operationalization

The operationalization of the ‘exchange’ indicator has been developed according to the three elements comprising a civil service exchange analysed in paragraph 4.3.*supra*, these are:

- Public servant in exchange
- Civil society in exchange
- Public goods and services being exchanged

Each of the elements were analysed within specific theoretical parameters. These parameters are also employed with the operationalization of the three elements and the identification of specific characteristics within a civil service system.

The public servant in exchange

The behaviour of the public servant within an exchange process was focussed on and three specific influences were identified:

- The political-administrative role of the public servant and the impact that political values have on the civil service. Two sets of political/administrative relationships, developed by Lawton & Rose (1991) and Heady (1991) were examined and utilized to develop a set of questions that define a specific political/administrative influence that affects the behaviour of a public servant within a civil service.

- The influence of a specific administrative culture, including its values and ethics as embodied within the public servant. This influence is examined by Pollit and Bouckeat (2000) as they focus on two primary administrative models, namely the *Rechtstaat model* and the *Public Choice model*. These two administrative models create the basis from where administrative action is executed within a specific civil service can be evaluated.
- The influence of a management ethos on the attitudes and actions of a public servant. In current society specific emphasis is placed on the aspect of organizational performance – also within the civil service organization. The public management approach developed by Ukeles in Caiden (1991:28-29) serves as framework to evaluate the extent to which a performance based management ethos influences the actions of a public servant within the exchange process.

Civil society in exchange

In analysing the society of the civil service the classification provided by Schwella (1983) was utilized with a focus on the *specific environment* of the civil service that directly affects the operation of the civil service. Different sectors were identified that comprise the organizations, groups and individuals that take part in exchanges with the civil service. These sectors are defined as regulators, suppliers, consumers and competitors. These sectors were used in conjunction with a classification of civil service goods and services to create a matrix that identifies how the different goods and services provided by the civil service are affected by these sectors.

Goods and Services in exchange

The goods and services provided by the civil service was analysed according to the classification provided by Gildenhuys (1993). The classification is within a macro context and broadly defines line and auxiliary functions of government. Line functions include order and protection functions, social welfare functions and economic welfare functions. Line functions are assisted by auxiliary functions that support the development and delivery of line function goods and services. This classification of goods and services was utilized in conjunction with the different

sectors within society to characterise the exchanges that occurs within specific society and with a specific civil service.

The questionnaires are to be completed according to the comparative method explained in paragraph 2.3.2.2. *Supra*.

4.i) The political/administrative role of the public servant

Political Administrative System	Never 1	2	3	4	5	6	Always 7
To what extent:							
Does the system strive towards a better balance between the influence of the bureaucracy and political institutions on the actions of the public servant?							
Does the system have significant devices that allow for substantial participation in political decision-making by public officials?							
Are political and administrative aims often over-ridden by administrative rule bound systems?							
Does the degree of bureaucratic controls allow for a high level of discretionary decisions and actions from public officials?							
Is the system characterised by the domination of party political influences that affects operational decisions?							
Are the values and expectations (inherent to the system) that determine the administrative behaviour of public officials consistent?							

4.ii) Indicate to which extent the following characteristics define the administrative culture of the civil service

Rechtstaat Model	1	2	3	4	5	6	7	Public Choice Model
The state is a central integrating force within society								The state has a less extensive or dominant role within society
The focus of the state concerns the preparation, promulgation and enforcement of laws								The focus of the state is to serve the needs of society, equitably and with public support
Most senior public officials have been trained in administrative law								Public officials are generalists – not necessary trained in administrative law
Public servants belong a specific cadre or special caste trained in the principles of governance, with a higher mission to represent the state								Public officials are regarded simply as citizens working for the government organizations. Their actions are held to public account.
The culture of the organization and its members are basically bureaucratic with an emphasis on rule following and precedent setting								Organization acknowledges administrative law an essential component but actions are determined by public interest
The actions of both public servants and citizens are set in the context of correctness and legal control								Actions of government are based on the seeking of public consent for measures devised in public (general/national) interests.
Actions are controlled by a hierarchy of administrative courts								Different social interest groups within society compete with one another – in order to determine government actions
Values include a respect for authority of the law and an attention to precedent and a concern with equity								Fairness and independence of the play of social interests are key values. These are underlined by qualities of pragmatism and flexibility.

4.iii) The management ethos of the civil service

MANAGERIAL APPROACH	Never 1	2	3	4	5	6	Always 7
People management							
To what extent do the following human resource practices occur within the organization? <ul style="list-style-type: none"> • Active not passive recruitment of senior personnel • Hiring of personnel by line managers not staff examiners • Individual position descriptions replace classifications • Flexibility replaces rigidity in assignments • Performance appraisal and merit incentives • Decentralization of personnel management 							
To what extent does collective labour bargaining occur?							
To what extent is employee effectiveness enhanced in terms of: <ul style="list-style-type: none"> • Time management? • Organizational structure? • Span of control and management levels? • Morale and motivation? 							
Conservation of public money							
To what extent does financial planning and budgeting occur? <ul style="list-style-type: none"> • Setting of financial priorities • Multi-year financial planning • Analysis of risk and uncertainty • Capital budgeting 							
To what extent does financial reporting and control occur? <ul style="list-style-type: none"> • Controlling the budget • Financial reporting and public accountability • Integrated financial systems 							
To what extent are fiscal strategies for cost reduction and revenue enhancement utilized? <ul style="list-style-type: none"> • Improved tax collection • User charges • Debt and cash management 							
Streamlining of operations							
To what extent are operational strategies for cost reduction and service improvement in place? <ul style="list-style-type: none"> • Improved performance and productivity • Improved work processes, work measurement, work incentives and sanctions • Utilizing new technologies and automation • Customer service orientation 							
To what extent does the improvement of basic services and development programmes occur?							
To what extent are support services effectively managed in terms of: <ul style="list-style-type: none"> • Decentralization? • Information services and data processing? • Buildings and fleet management? 							

	Never 1	2	3	4	5	6	Always 7
Public performance management							
To what extent is public performance managed according to: <ul style="list-style-type: none"> • Management by objectives? • Principles of public performance measurement? 							
To what extent is performance information used in terms of: <ul style="list-style-type: none"> • Reduction of constraints? • Incentive systems? • Improvement systems? • Issue analysis and resolution? • Management review meetings? 							
Implementing public management improvement							
Has an agenda and a constituency been created for effective public management relating utilizing a: <ul style="list-style-type: none"> • Diagnostic analysis? • Operations analysis? • Constituency building? 							
Has a capacity for management development been developed that includes: <ul style="list-style-type: none"> • Management development? • Management education and training? • Organising and staffing operations improvement? 							

4.iv) Order and Protection Services

	Never 1	2	3	4	5	6	Always 7
To what extent do the following REGULATORS influence the delivery of <i>order and protections services</i>?							
Legislature							
Law Courts							
Pressure groups							
Media							
To what extent do the following SUPPLIERS influence the delivery of <i>order and protections services</i>?							
Political parties							
Tax Payers							
Executive & Treasury							
To what extent do the following COMPETITORS influence the delivery of <i>order and protections services</i>?							
Government departments							
NGO's							
Private Organizations							
To what extent do the following CONSUMERS influence the delivery of <i>order and protections services</i>?							
Citizens							
Government Departments							
NGO's							
Private Organizations							

4.v) Social Welfare Functions

	Never 1	2	3	4	5	6	Always 7
To what extent do the following REGULATORS influence the delivery of <i>social welfare services</i>?							
Legislature							
Law Courts							
Pressure groups							
Media							
To what extent do the following SUPPLIERS influence the delivery of <i>social welfare services</i>?							
Political parties							
Tax Payers							
Executive & Treasury							
To what extent do the following COMPETITORS influence the delivery of <i>social welfare services</i>?							
Government departments							
NGO's							
Private Organizations							
To what extent do the following CONSUMERS influence the delivery of <i>social welfare services</i>?							
Citizens							
Government Departments							
NGO's							
Private Organizations							

4.vi) Economic Welfare Functions

	Never 1	2	3	4	5	6	Always 7
Do the following REGULATORS influence the delivery of <i>economic welfare services</i>?							
Legislature							
Law Courts							
Pressure groups							
Media							
Do the following SUPPLIERS influence the delivery of <i>economic welfare services</i>?							
Political parties							
Tax Payers							
Executive & Treasury							
Do the following COMPETITORS influence the delivery of <i>economic welfare services</i>?							
Government Departments							
NGO's							
Private Organizations							
Do the following CONSUMERS influence the delivery of <i>economic welfare services</i>?							
Citizens							
Government Departments							
NGO's							
Private Organizations							

4.vii) Auxiliary Services

	Never 1	2	3	4	5	6	Always 7
To what extent do the following REGULATORS influence the delivery of auxiliary services?							
Legislature							
Law Courts							
Pressure groups							
Media							
To what extent do the following SUPPLIERS influence the delivery of auxiliary services?							
Political parties							
Tax Payers							
Executive & Treasury							
To what extent do the following COMPETITORS influence the delivery of auxiliary services?							
Government Departments							
NGO's							
Private Organizations							
To what extent do the following CONSUMERS influence the delivery of auxiliary services?							
Citizens							
Government Departments							
NGO's							
Private Organizations							

4.5. Conclusion

This chapter focussed on the concept of exchange as an indicator for the institutionalization of a civil service system. Exchange was examined from two perspectives namely the theoretical context supplied by Bekke *et al* (1996: 329) and other current theoretical considerations. Exchange was analysed according to three predominant elements present within civil service exchanges that include the public servant, individuals or groups within society and the goods or services being exchanged. The actions of the public servant was examined in terms of the different influences that affect behaviour including the political-administrative role, the influence of a specific administrative culture and the existence of a managerial ethos. The members of society that take part in exchanges with the civil service were examined according to the specific public service environment. The specific environment includes regulators, suppliers, consumers and competitors. The goods and services that form part of the exchanges between society and civil service was also defined according to line functions (order and protection services, social welfare services and economic welfare services) and auxiliary services. The theoretical concepts focussed on within the perspectives were integrated and operationalized into specific questionnaires that relate to the different aspects of exchange. The questionnaires consist of sets of questions that provide a definition and description of the exchanges that occur between a civil service and society. The answers to the questions create a profile of the exchanges that occur between a specific civil service and its society. The data from the profile can be utilized to indicate how these exchanges contribute to the institutionalization within the system. It can also be used in comparative analysis in the examination of the exchanges that occur within different civil services.

CHAPTER FIVE

5. Routinization

5.1. Introduction

The central focus of this chapter concerns the subject of routinization as an indicator of institutionalization within civil service systems. Routinization as a concept will be defined and discussed from two perspectives. The first perspective will be presented according to the theoretical context supplied by Bekke *et al* (1996:330). This perspective also includes an examination of the significance of routine within a civil service system and the value of routinized behaviour in decision-making. Routinization will be defined and related concepts such as rules and rule-bound behaviour will be examined. The second perspective will be developed according to other current theoretical considerations relating to the concept of routinization. The influence of the bureaucratic structure on civil service organizations will be examined as well as the relevance of the foundations of a public service organizations. The significance of the structure of the formal organization and its influence on routinization will be analysed according to the components of organizational structure. The chapter will conclude with the integration and the scientific operationalization of the theoretical perspectives concerning routinization and civil service institutionalization.

5.2. Theoretical Context

Routine as an idea can be associated with concepts such as regularly, habitually and customary. The concept of routine or routinization within institutions is examined by Olsen (March, 1999:55,64) and in his opinion institutions are usually associated with routinization and repetition, persistence and predictability. Routinization can be described as a source of purposeful action whereby institutions provide consistent behavioural rules, conceptions of reality, standards of assessment, affective ties and endowments. Rules are prescribed that regulate the possession and use of political rights and resources. Actions taken within these organizations are based on a logic

of appropriateness associated with roles, routines, rights, obligations, standard operating procedures and practices. Routines within institutions are usually independent of individual actors who execute them. The nature of routines within institutions are examined by March & Olsen (1989:22-24), and they note the value that routine has within institutions and stress that some of the major capabilities of modern institutions come from their effectiveness in submitting rule-bound behaviour for individually autonomous behaviour. They also indicate that routines make it possible for institutions to coordinate many simultaneous activities in a way that makes them mutually consistent.

With their identification of routinization as an indicator for institutionalization Bekke *et al* (1996:329-330) argues that a civil service that operates according to an ad hoc system of rules falls short of what can be termed as institutionalized. They make the point that if exchanges at the operational and collective choice levels are routinized then the civil service is institutionalized. The presence of routinization would indicate to a sufficient level of stability that indicates to institutionalization. The basic premise of routinization emphasizes that when an organization has reached a certain level of stability and certainty as indicated by the prevalence of routinization it has reached a level of institutionalization. This concept of institutionalization is defined by Olsen (March, 1999:64) as being associated with concepts such as routinization, repetition, persistence and predictability - the creation of temporary and imperfect order and historical continuity. Institutions give rules a communicable meaning so they can be diffused and passed on to new generations.

The criteria that guides the actions of civil servants are established by both legislature and public administration (Meyer,1973:23). Decisions made and actions taken by civil servants within a civil service system all occur within a specific institutional framework. The question remains whether the "choice" of action is based more on a logic of appropriateness and standard operating procedure than on the logic of consequence that underlies the conceptions of rational action. To what extent do actors within the civil service apply rules and regulations, specific actions on a routine or an ad-hoc basis? To what extent do operational and collective choice aspects come into play? To what extent are compliance to the rules and regulations of the specific civil service system enforced by the institution? The answers to these

questions relating to a specific civil service would indicate to the level of institutionalization that the organization has achieved.

5.3. Current Theoretical Considerations

Further clarification of the concept 'institutionalization' is necessary in order to recognize the significance of routinization within the process of institutionalization. In his theory on institutional design Goodin (1996:22) states that the central defining feature of 'institutionalization' is the stable, recurring, repetitive, patterned nature of the behaviour of individuals within organizations. Institutionalization has been characterized as the process whereby organizations acquire value and stability – where behaviour is more stable and predictable. In his opinion the value of institutionalized patterns within organizations are their stability and predictableness. Concepts such as 'stability', 'repetitive', 'recurring' and 'patterned' can be associated with Hall's definition of institutionalization that relates to the formal rules, compliance procedures, and standard operating practices that structure the relationship between individuals in various units...(Steinmo *et al*, 1992:2). Institutionalization can thus be coupled with the existence/maintenance of rule bound and patterned behaviour of organization members that increases stability and predictableness within organizations.

In his study of the rational organization Max Weber identified the defining structural characteristics of bureaucratic organizations. Weber asserted that a bureaucratic organization has the potential to be more efficient in achieving of goals than alternative forms of organizations. Bureaucratic efficiency rests on a system of rules and procedures that achieves a high level of calculability in the decision-making process (Nigro & Nigro, 1989:103). In this regard Heady (1991:69) emphasises six bureaucratic characteristics that define the structural qualities of a bureaucracy:

- A well defined hierarchy of authority.
- A division of labour based on functional specialization.
- A system of rules covering the rights and duties of positional incumbents.
- A system of procedures for dealing with work situations.
- Impersonality of interpersonal relationships.
- Selection for employment and promotion based on technical competence.

Even though Weber's bureaucratic model has been criticized as being empirically incomplete it still remains the organizational structure employed by civil service organizations to carry out administrative responsibilities (Nigro & Nigro, 1989:104). Henry as quoted in Fox *et al* (1991:74) describes the features of the public organization. These features illustrate the distinctive nature of public administration and the responsibilities of the civil service organization. They emphasise that public organizations are:

- Purposeful human collectives.
- Characterized by secondary relationships.
- Specialized and have limited objectives.
- Characterized by sustained co-operative activity.
- Integrated within a larger social system.
- Provide services and products to their environment.
- Dependant upon exchanges with their environment.
- Required to draw their resources from the polity and are mediated by the institutions of the state.

Apart from these distinctive features the public service organization also has identifiable foundations, which serve as the guidelines and value norms according to which the activities of those in public employ ought to take place. These foundations can be divided into three main groupings

- *The nature of the political dispensation*
The principles according to which the state and current government operates.
Public accountability and the acknowledgement of political supremacy.
- *Societal values and norms*
The promotion of social equity that relates to fairness and justness, effectiveness, efficiency and economy in the execution and management of administrative activities.
- *Rules of administrative law*
Public officials should take into account both the rules of natural justice and the rule of law.
Public activities can only be undertaken once authorized by legislation and prescriptions regarding administrative activities should be followed rigorously (Thornhill & Hanekom, 1995:18-19).

The features of the public organization listed previously together with these three foundations both have to be accommodated in the organizational structure of a civil service organization. In their description of the internal environment of public administration du Toit & van der Walt (1997:133) refers to an “*atmosphere and culture*” resulting from amongst other things the form of government, hierarchical structures, policies and provisions (prescriptions). In effect the distinctiveness of the civil service and the values of administration has to be reflected in the structure of the organization.

5.3.1 Organizational Structure

As noted previously in chapter one the concept of organizational structure is intrinsic to the process of institutionalization. A basic explanation of organization structure is supplied by Jackson & Carter (2000:36-37) as they describe structure as the skeletal form of the organization. The flesh of the skeleton is provided by the rules, regulations, procedures, roles and systems that constitute the normal pattern of operation. Other descriptions of organizational structure describe a network of formally, deliberately planned and implemented relationships that exist among the positions (posts) within an institution. These include the formal hierarchy of authority, inclusive of rules, procedures and other arrangements pertaining to behaviour within the organization. These descriptions of organizational structure relate to the formal aspects of the organization. The formal organization represents all that is defined by an explicit organizational pattern utilized as the basis for the division of work; the delegation of authority; co-ordination and control; and the arrangement of such matters as remuneration, quality control and the determination of communication channels (Thornhill & Hanekom, 1995:158, 163). Endemic to the features of the formal organization is the aspect of decision-making. The formal structure of the organization allows for the control over the decision premises applied by people throughout the organization. The behaviour of employees within organizations is the focus of the work *Administrative Behaviour* by Herbert Simon where he identifies the boundary between rational and non-rational aspects of human behaviour in 1947 (Nigro & Nigro, 1989:119-120). In defining the concept of “*bounded*” or “*limited rationality*” Simon argues that as a result of the limitations of human rationality people (administrative man) do not have the ability to *maximise* on decisions of any significance. When faced with a decision they rather tend to “*satisfice*” – or survey

their options to select the first one they find at least minimally satisfactory. This tendency of employees to satisfice in their decision-making behaviour has definite implications for organizations and the attainment of organizational goals (Vocino & Rabin, 1981:80– 83). The formal organizational structure therefore assists in affecting the behaviour of individuals.

In their analysis of organizational structure Robbins (1990: 82-115) and Gibson *et al* (1994:495-498) identify three core components that indicate to formal organization structure. These components are:

- *Formalization*

The extent to which an organization relies on written rules and procedures to predetermine the actions of employees. It also indicates the extent of job standardization, relating to organizational rules, and work procedures.

- *Centralization*

The dispersion of authority to make decisions within the organization. Includes the degree to which top management delegates authority to make decisions.

- *Complexity*

Indicates to the number of different job titles and authority levels within an organization. Also defined as the degree of differentiation that exists within the organization. Differentiation occurs horizontally (horizontal separation between units), vertically (depth of organizational hierarchy) and spatially (geographic dispensation of units). Complexity also relates to aspects such as the span of control within an organization.

These three components theoretically encapsulate the assertions that underlie the institutionalization indicators 'routinization' and 'connectedness'. In analysing the routinization indicator two of the components will be examined. *Formalization* and *centralization* respectively indicate to organizational rules and routines as well as decision-making - these aspects form an integral part of 'routinization'. The *complexity* component refers to hierarchical structure, departmentalisation and specialization and aspects associated with control – these concepts are also associated with routinization, however this aspect will only be referred to briefly. *Complexity* will be examined as an essential element in the 'connectedness' indicator.

5.3.1.1. Formalization

In defining the concept of formalization different authors focus on various aspects of formalization:

- *“...the degree to which jobs within the organization are standardized. There are explicit job descriptions, lots of organizational rules, and clearly defined procedures covering work processes...”* (Robbins, 1990:93)
- *“...the extent to which expectations regarding means and ends of work are specified, written and enforced. An organizational structure with rules and procedures to prescribe what each individual should be doing...”* (Gibson *et al*, 1994:495)
- *“...the degree to which rules and procedures shape employees jobs and activities...rules and procedures can be both explicit and implicit...”* (Moorhead & Griffin, 1995:393)

Even though different definitions and descriptions of the concept of formalization have been developed the basic principles stays the same:

- The extent to which jobs and tasks are standardised according to behaviour rules and procedures that defines decision-making.
- The extent to which these rules and procedures has been specified, written and enforced.

The degree to which these two principles occur within an organization would indicate the level of formalization within that organization.

Robbins (1990:98-103) identifies specific techniques that increase the formalization of the organization:

i) *Selection*

Recognized as a method to control employee discretion – selection occurs with the appointment of new employees. Prospective applications are subjected to a screening process whereby the “right” employee is chosen. The selection of a suitable candidate does not only depend on having the right qualifications to perform the job satisfactory it also depends on having the right personality, work habits and attitudes to align with the character of the organization as a whole. In this regard Wise (Bekke *et al* (1996:104)) notes that organizational rules and regulations establish the conditions and terms of employment within an organization. The selection of personnel forms part of the personnel processes

of civil service organizations. Ideally the selection of new personnel is conducted according to specific organizational guidelines (often determined by legislation as is the case with equal opportunity and affirmative action programmes) (Nigro & Nigro, 1989:231).

ii) *Role requirements*

Role specification concerns the behaviour expected from an employee in a specific post. A job analysis defines what jobs need to be done within the organization and outlines what employee behaviours are necessary to perform these jobs. Where role expectations are explicit and narrowly defined the level of formalization within the organization tends to be high.

iii) *Rules, Procedures and Policies*

Rules

Rules are defined as explicit statements that tell an employee what is acceptable or unacceptable behaviour. Rules stipulate to employees exactly what they can do, how they should do it and when they are to do it – rules leave no room for employee judgement or discretion. They stipulate a particular and specific required pattern of behaviour. The following rules are identified by March & Olsen (1989:22-24):

- Procedural rules (specifying a process that is to be followed under certain circumstances).
- Precision rules (how inputs are to be converted into outputs).
- Evaluation rules (specifying criteria for assessing results).
- Rules that regulate the allocation of authority and responsibility, record keeping and information gathering and handling.

Procedures

A procedure is established to ensure the standardization of a work process. The same input is processed in the same way, and the output is the same each day. The specific standardized sequence stipulated by a procedure results in a uniform output. Within the realm of public administration the use of procedures can have positive and negative influences on organizational effectiveness as they can either support or impede officials in the execution of their tasks (du Toit & van der Walt, 1997:137).

Policies

Policies allow for greater employee discretion within limited boundaries. Policies allow for the interpretation of the guidelines by the employee. Policies therefore control discretion in decision-making and can be written or implied.

iv) *Training*

The training of employees relates to on-the-job training (mentorship/coaching/apprenticeship) as well as off-the-job training (formal training sessions/courses) that transfers job skills, knowledge and organizational attitudes. The intent of training is to instil preferred work behaviours and attitudes. Vocino & Rabin (1981:90) refer to this aspect as organizations trying to “*educate, train and indoctrinate*” members so that skills and attitudes are acquired which contribute to the organizations goals and are ingrained in the individual members.

v) *Rituals*

Organizational rituals are used as formalization techniques with members who will have a strong enduring impact on the organization. Key values and goals of the organization are re-enforced with members. Often organizations develop their own ideology – a structured, consistent set of beliefs about the overriding importance of the organization’s purpose. The practicing of specific rituals assist to instil these beliefs within individuals (Vocino & Rabin, 1981:90).

The level of formalization present within an organization indicates to the formal organization structure. Aspects such as the selection of new employees, the prevalence of job descriptions that define specific roles, the existence/persistence of organizational rules, procedures and policies coupled with training and organization rituals all assist in establishing the institutional character of the civil service organization.

5.3.1.2. Centralization

Most theorists and practitioners agree that centralization is a difficult concept to define exactly. In essence, centralization concerns the degree to which decision-making is concentrated at a single point in the organization. A high concentration at a single point implies a high level of centralization – a low concentration, implies low centralization (also referred to as decentralization). Centralization also indicates to

the location of decision-making authority in the hierarchy of the organization. Robbins (1990:104-112) asks several questions concerning centralization and finally concludes that centralization is “...*the degree to which the formal authority to make discretionary choices is concentrated in an individual unit, or level(usually high in the organization hierarchy), thus permitting employees (usually low in the organization) minimum input into their work...*”

Centralization is also associated with:

- A concern with the formal structure of the organization– applies only to formal authority;
- decision discretion - where decision discretion exists at lower levels of the organization as a result of decentralization – policies can act to over-ride discretion;
- a concentration at a single point can refer to an individual unit, or level, but the single point implies concentration at a high level;
- the information-processing system that closely monitors decentralized decisions does not maintain centralized control;
- the amount of information filtering between the vertical levels of the organization affects the control and concentration of decision-making discretion.

What remains central to the concept of centralization is the *locus* of decision-making. Decision-making as an organizational activity can simply be described as the process of choosing one alternative from among several. The dilemma of rational decision-making within the confines of an administrative system as described by Herbert Simon has been referred to previously (paragraph 5.3.1. *Supra*). The basic premise that underlies the value of centralization within civil service organizations is referred to by March (1999:30) as he explains that organizations are not individuals but rather collections of individuals interconnected in many ways. These individuals have their own identities and preferences that are often mutually inconsistent with the overall goals of the organization – this inconsistency can result in conflict and confusion. The centralization or concentration of decision-making power at a single point (individual, unit or level) can thus be seen as a counter measure to individual preferences – an

effort to increase the effectiveness and efficiency of organizational output. The advantages of centralization according to Lawton & Rose (1991:50) include:

- easier implementation of common policy for the organization as a whole;
- preventing sub-units becoming too independent;
- making co-ordination of activities easier;
- improving economics of scale and reduction of overhead costs;
- greater use of specialization;
- improving decision-making (which can be impeded as a result of compromises resulting from differentiated authority);
- ensuring uniform and equitable treatments for clients.

According to research conducted by Child as quoted by Scott, Mitchell & Birnbaum (1981:166) centralization and formalization operate as complementary control devices in restricting the behavioural discretion of organization members. Centralization of decision-making thus assists with the structuring of the relationships between individuals and units and therefore increases the institutionalization of the organization.

It has to be noted however that in contemporary civil service organizations a constant tension exists between the need to centralize decision-making and control as opposed to decentralization. Decentralization would indicate to the decision-making power not being concentrated at a single point but rather being dispersed throughout the organization. The decentralization of decision-making occurs as a result of all decisions not being understood or responded to in time at a specified centre/point (Fox *et al*, 1991:85). To be able to respond effectively and quickly to conditions on operational level some decision-making capacity needs to be decentralized. Formalized decentralization is a common way whereby organizations provide decision-making involvement for employees at many different levels within the organization whilst maintaining control and predictability. Decentralization therefore does not necessarily imply decision discretion as the decision rules of the organization often dictate the extent of decision making. A decision rule is a statement that indicates to a decision maker which alternative to choose from based on the characteristics of the decision situation. Programmed decisions are decisions that occur often enough for a decision rule to develop. Non-programmed decisions

are unique and therefore require the development and evaluation of alternatives without the aid of a programmed decision rule (Moorhead & Griffin, 1995:237, 392).

The centralization of an organization therefore results not only from the extent to which decision-making is centralized in one point as opposed to being decentralized throughout the organization - it is also influenced by the nature of the decisions and by the decision rules (programmed or non programmed) of the organization.

5.4. Integration and scientific operationalization

The basic premise of the routinization indicator as defined by Bekke et al (1996: 330) is that the level of routinization within an organization indicates to the level of institutionalization. As analysed in paragraph 5.3. routinization in an organization occurs as a result of the presence of the formal structure components *formalization* and *centralization*. These components supply the theoretical foundation for the operationalization of the indicator.

- The formalization techniques provided by Robbins (1990:98-103), together with theory developed by Schwella *et al* (1996:38-40, 73-77), Lawton & Rose (1991:28) and March & Olsen (1989:22-24), is utilized to develop a framework with questions that indicate to the level of formalization within a particular civil service system.
- The extent of organizational centralization is indicated by the extent of decision-making centralization or decentralization. Also significant is whether decision rules exist that result in programmed or non-programmed decisions (Moorhead & Griffin, 1995: 238,391-393). In completing the questionnaires the researcher has to employ the comparative method explained in paragraph 2.3.2.2. *Supra*.

5.i) The formalization of the civil service

		Never 1	2	3	4	5	6	Always 7
SELECTION	<p>To what extent:</p> <ul style="list-style-type: none"> • Are new personnel selected according to a merit system? • Are new personnel selected according to legislative requirements? (e.g. representativity) • Are attitudes towards public employment affect selection? • Does selection of new personnel executed according to a selection of procedure? • Does the selection procedure include values such as: Objectivity Reliability Validity Utility • Does the organization make use of assessment centres to assist with selection? 							
ROLE REQUIREMENT	<p>To what extent:</p> <ul style="list-style-type: none"> • Are jobs in the organization been specified according to Technological requirements? Organizational requirements? • Do the following job design approaches exist in the organization? Job rotation Job enlargement Job enrichment • Do job evaluation systems exist in the organization? Ranking systems Grade description systems Point systems Factor comparison systems 							
	<ul style="list-style-type: none"> • Does the organization make use of performance appraisal systems according to role requirements? 							
RULES	<p>To what extent:</p> <ul style="list-style-type: none"> • Are organizational rules known by all? • Are the purpose of rules clear and based on theory of cause and effect? • Are rules consistent with each other? • Is it clear when to apply rules? • Is there scope for subjective interpretation? 							

		Never 1	2	3	4	5	6	Always 7
	<ul style="list-style-type: none"> •Do <i>precision rules</i> exist that specify exactly how inputs are to be converted into outputs? •Do <i>evaluation rules</i> exist that specify criteria for the evaluation of output results? •Do rules exist that allocate <i>authority and responsibility</i>? •Do rules exist that specify <i>record keeping and information gathering</i>? 							
PROCEDURES	<p>To what extent:</p> <ul style="list-style-type: none"> •Do guidelines exist that spell out specific procedures to be followed? 							
POLICIES	<p>To what extent:</p> <ul style="list-style-type: none"> •Does policies exist that prescribe: Operational choices? Collective choices? •Do policies exist that prescribe organizational output? 							
TRAINING	<p>To what extent:</p> <ul style="list-style-type: none"> •Are training programmes made use of to develop new employees? 							
	<p>To what extent:</p> <ul style="list-style-type: none"> •Are training programmes presented In-house? Outsourced? 							
	<ul style="list-style-type: none"> •Does the organization have an induction programmes for new employees? 							
RITUALS	<p>To what extent:</p> <ul style="list-style-type: none"> •Does a socialization programme for new employees exist? •Do organizations rituals exist that are particular to the specific organization? 							

5.ii) Identify to which extent the following decision-making qualities characterize the civil service system

Centralization	1	2	3	4	5	6	7	Decentralization
Decision-making authority is concentrated at a single point (unit/level)								Decision-making is dispersed throughout the organization
Little or no participation by organization members in decision-making process								Participative management systems exist that allow for participative decision-making.
Programmed Decisions	1	2	3	4	5	6	7	Non-programmed Decisions
Decisions are well structured								Decisions are poorly constructed
Decisions are repetitive and routine								Decisions are new and unusual
Goals are clear and specific								Goals are vague and non-specific
Information for decision-making is readily available								Information not always available – channels are unclear
Decisions made at lower levels of the organization								Decisions made at higher levels of the organization
Solution time is short								Solution time is relatively short
Basis for solution depends on decision rules and set procedures								Basis for solution relies on judgement and creativity

5.5. Conclusion

This chapter focussed on the concept of routinization as an indicator for the institutionalization of a civil service system. Routinization was examined from two perspectives namely the theoretical context supplied by Bekke *et al* (1996: 330) and other current theoretical considerations. Within the first perspective the concept was examined in terms of related concepts such as rules and rule-bound behaviour and the influence of rule bound behaviour within decision-making. The basic premise developed was that an organization with a certain level of routinization has reached a level of stability that indicates to institutionalization. The second perspective included other theoretical considerations that relate to the value and influence of the bureaucratic structure on civil service organizations. The different components of formal organizational structure was analysed with the emphasis on formalization and centralization. These components respectively relate to organizational rules and routines as well as decision-making. Formalization techniques were examined as well as the influence of centralization on decision-making within the public service organization. The theoretical concepts focussed on within the two perspectives where integrated and operationalized into specific questionnaires that relate to the different aspects of routinization. The questionnaires consist of sets of questions that give an indication to the level of formalization within the organization as well as the extent to which decision-making has been centralized within the organization. A questionnaire that determines the extent to which decisions are programmed or non-programmed was also developed. The answers to the questions create a profile of the extent to which routinization occurs within a public service organization – it also creates a profile of the extent to which decisions are centralised and programmed. The data from these profiles can be utilized to indicate how routinization within organizations contributes to the level of institutionalization of the civil service system. It can also be used in comparative analysis to examine the extent of routinization and its influence within different civil services.

CHAPTER SIX

6. Connectedness

6.1. Introduction

The central focus of this chapter concerns the concept of connectedness as an indicator of institutionalization within civil service systems. Connectedness as a concept will be defined and analysed from two perspectives. The first perspective will be presented according to the theoretical context supplied by Bekke *et al* (1996:330). Connectedness will be analysed and its value within the context of a civil service system will be examined. The second perspective will be developed according to other current theoretical considerations relating to the concept of connectedness. The influence of organizational structure on the connectedness of civil service organizations will be examined with specific emphasis given to the element of complexity. Aspects such as differentiation and integration will be analysed as well as the influence of control within context of organizational connectedness. The chapter will conclude with the integration and the scientific operationalization of the theoretical perspectives concerning connectedness and civil service institutionalization.

6.2. Theoretical Context

Discovering the complete picture is the primary element associated with the connectedness of a civil service system. Bekke *et al* (1996: 2-3) focuses on the system qualities of the civil service organization. The civil service system consists of more than one civil service organization operating in unity to “...*mobilize human resources in the service of the affairs of the state in a given territory...*” This network of organizations are structured according to specific rules and authority relationships that connect them together. This idea of connectedness is referred to by Longrod (1963:18) as he describes the public administration of a country as being more than just the sum of all its parts. It exists as the common trunk which sustains and nourishes many branches, it also provides the structural and procedural framework to bring forth, energize and harmonize the entire network of special services which the

modern State needs. This description also indicates to the systemic character of the civil service, where all the parts are interrelated.

Not only are the systemic qualities of the civil service system of significance, attention should also be given to the influence that the “structural and procedural framework” have on the connectedness of the system. Bekke *et al* (1996:330) emphasises the rules of the civil system and to what extent they are common or viable across a government system. These questions also relate to aspects such as control and the enforcement of rules and procedures across a civil service system. In measuring the level of connectedness, one could assess the use or viability of a particular set of rules or procedures throughout a specific civil service system. To what extent are common frames of reference created and reinforced throughout the system? (Laumann & Knoke, 1987:206). How evident is the connectedness between the different sectors of the civil service?

6.3. Current Theoretical considerations

In essence the fourth indicator incorporates aspects of the other three indicators as it relates to the systemic nature of a civil service organization. The *boundedness* indicator points to the system like qualities of civil service organizations. It emphasised that the civil service organization is connected to a greater civil service system, which is in turn connected to a society that contains several systems and which forms part of a global environment. The lasting quality of this premise of connectedness within a system is to be found in the idea that *the whole is greater than the sum of its parts*. With the *exchange* indicator the main emphasis is the interaction that occurs between the civil service and society – it also includes the interaction that occurs between the different organizations within the civil service (the specific environment) and their members. These interactions between different civil service organizations indicate to a level of connectedness within the system as a whole. The elements of organizational structure, specifically the influence of rules and procedures are the basic premise of the *routinization* indicator. Routinization is described as a source of purposeful action whereby institutions provide consistent behavioural rules that affect the actions of organizational members. The extent to which rules and procedures exist, are adhered to and enforced throughout the

system also indicates to the level of connectedness. Other aspects such as the centralization or decentralization of decision-making authority also affect the extent to which the organizations within the system are connected. The connectedness indicator therefore reflects elements present in all the other indicators.

This analysis will focus on aspects associated with connectedness not dealt with in any of the other indicators. The first aspect relates to organizational structure and the influence that the element of *complexity* has on the connectedness of the organization. Associated with this element is the issue of the division of labour (including specialization) and the issue of control (more specifically the span of control). Aspects such as differentiation and integration relates directly to organizational complexity and affects the connectedness of an organization. Both of these aspects have to be examined in order to determine their relevance in terms of connectedness. Control within the civil service system needs special consideration as it remains a central element within differentiation/integration (Scott *et al* (1981:318)).

6.3.1. Organizational Complexity

Organizational structure has been explained as consisting of three components, namely *formalization*, *centralization* and *complexity*. Formalization and centralization has been examined as part of the routinization indicator. Complexity shows a relationship to the connectedness indicator as it deals primarily with the extent to which an organization has been differentiated on different levels. The level of organizational differentiation results in a greater need for effective communication, co-ordination and control devices. The higher the complexity the greater the amount of attention is needed in dealing with problems of communication, co-ordination and control (Robbins, 1990:92).

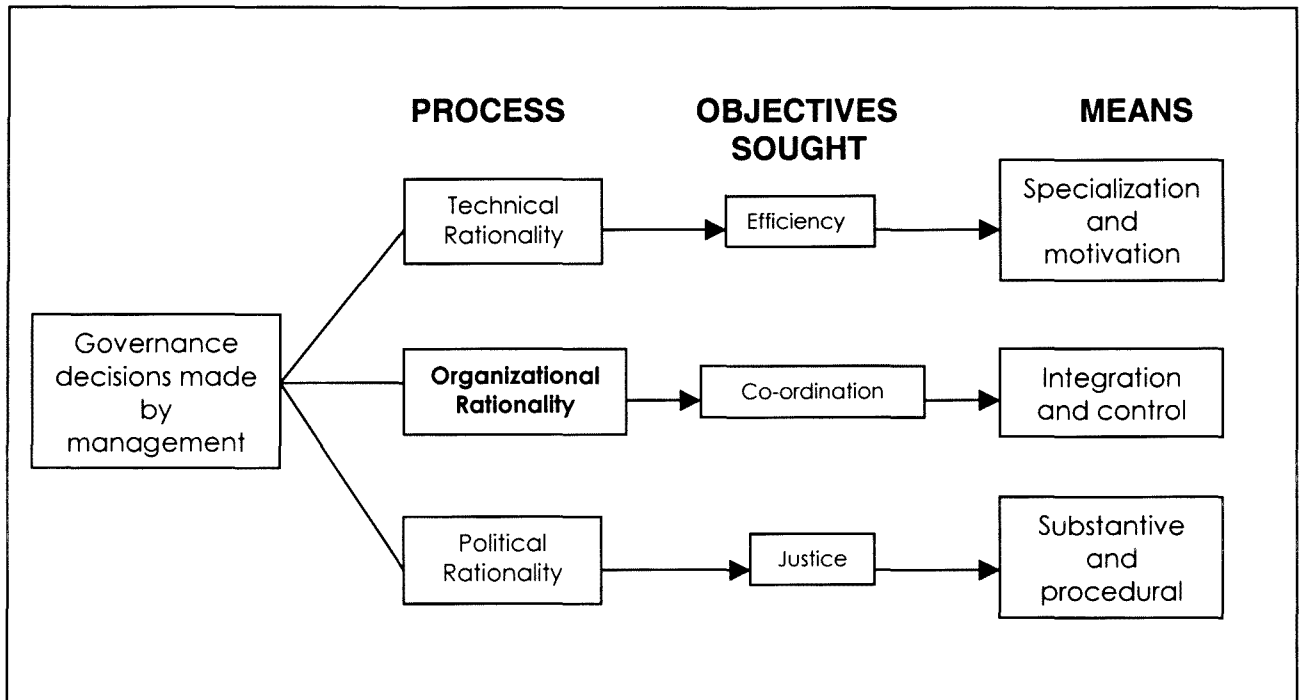
The extent of the functions and services performed by civil service organizations are multitude and varied (as explained in paragraph 4.3.3). Hanekom, Rowland & Bain (1987:88-89) assert that the structures of these organizations become complex as a result of the following factors:

- Organizational units being established to further a specific public objective after an division of work had been undertaken.
- Structures have to accommodate two or more individuals working within specific lines of authority and communication.
- A definite field of activity and authority is exercised to further objectives within specific areas.
- Organizations have to be dynamic and be able to adapt (to some extent) to changing circumstances and environmental demands.

According to Simon (Etzioni,1969:33) organizational differentiation within public organizations are consequential to the following accepted administrative principles:

- Administrative efficiency is increased by specialization of the task among the group.
- Administrative efficiency is increased by arranging the members in a group in a determinate hierarchy of authority.
- Administrative efficiency is increased by limiting the span of control at any point in the hierarchy to a small number.
- Administrative efficiency is increased by grouping members for purposes of control according to purpose, process, clientele or place.

It could therefore be concluded that the nature and purpose of public organizations result in a high level of complexity. This complexity is suitably analysed and described by Scott *et al*(1981:303-325) within a context of rationality. They first define rationality as a way of thinking, having the ability to be instrumental. Contemporary public organizations provide arenas for the interaction of “*technical rationality*” and “*political rationality*” with “*organizational rationality*” acting in a mediating role between the two. In order to illustrate this concept Scott *et al* (1981:307) developed a framework for Governance Design (Figure. 6.1).

Figure 6.1. Framework for Governance Design (Developed from Scott *et al* (1981:307))

This model indicates how the different rationalities are accommodated within the organization structure. Organizational rationality concerns the type of rationality intended to achieve and maintain co-ordination, as co-ordination is critical to the effectiveness of the formal organization. Technical rationality relates to the traditional analyses of the formal organization – technical rationality provides the conditions to facilitate the optimal attainment of organizational objectives. As stated previously (paragraph.5.3 *Supra*) the influence of the political dispensation and administrative law is a significant rationality within the context of a public service organization and the behaviours of a public servant. In this model political rationality pertains to organizations as governance systems – specifically the maintenance of justice in the normative sense and regime maintenance in the descriptive sense. The use of substantive and procedural rules and procedures are thus employed to achieve these goals. This rationality also includes the aspect of rule enforcement or compliance to rules and procedures by means of legislation that defines the actions of public service organization members.

Organizational rationality has been defined as the link between technical and political reality. This mediating role rests on three assumptions:

- Organizations become more complex as they grow in size, technology, power and functions.
- With complexity come problems of organising, problems of differentiation and integration.
- Decisions on how to handle these problems determine the structure of the organization.

6.3.1.1. Differentiation

Aspects such as differentiation and integration directly affect not only organizational structure but also the connectedness that exists within the organizational structure as a whole. The complexity component of organizational structure is described as the extent to which differentiation exists within an organization. Differentiation is indicated by the number of different job titles and authority levels within the organization and can occur in different directions, horizontal, vertical and spatial (Robbins, 1990:83).

i) Horizontal differentiation

This type of differentiation gives an indication of the degree of horizontal separation between units of the organization. It also relates to the nature of the tasks performed and their education and training. The most visible evidence of horizontal differentiation is the occurrence of specialization and departmentation. Specialization occurs when the activities performed by an individual are grouped. Specialization can be functional (according to tasks performed) or social (according to the individual's outputs). Functional specialization or the division of labour occurs when jobs are defined in terms of simple and repetitive tasks. Social specialization refers to employees (professionals) who possess skills that cannot be routinized. Departmentation occurs as a result of the co-ordination of activities that have been horizontally differentiated. Departments are created on the basis of numbers, function, product/service, client, geography or process.

ii) Vertical differentiation

Vertical differentiation indicates to the depth of the organization structure and relates to the hierarchical levels within the organization. This form of differentiation is also associated with the span of control. Span of control defines the number of subordinates directly managed by a manager. A wide

span of control indicates large number of subordinates per manager, whilst a narrow span of control would indicate only a few per manager.

iii) Spatial differentiation

This form of differentiation refers to the geographic dispersion of the organization (offices and personnel). The extent to which the organization has been duplicated geographically indicates to its level of spatial differentiation.

Differentiation thus refers to the amount of difference in the structure of the various organizational units. The greater the specialized differences, the greater the differentiation. The dilemma that organizations have to face as a result of differentiation concerns the decentralization of power and authority that accompanies differentiation.

6.3.1.2. Integration

Integration on the other hand refers to the ways in which organizations attempt to reduce differences by increasing collaboration, communication and co-operation across units. Integrating within the organization thus concerns the creation of mechanisms that increase the communication and co-operation. Integration devices are often employed to counter a tendency of departments or organizations to pursue their own goals and interests. Common devices used in integration include the use of committees, and the creation of “linking” positions. Organizational rules are also employed to enforce integration. Rules and procedures are installed to ensure communication. Control becomes the central purpose for integration. Integration within civil service systems also relate to the interdependency that exists between the different organizations and actors within the system. This interdependency is examined by Esman (1991:74-75, 116) as he focuses on the “*interorganizational processes and linkages*” within civil service systems. In this regard he analyses the development of “service networks” as an integrating tool to overcome the “*inherent disabilities of the overloaded state*”.

The value of integration and the development of networks are also examined by van Hassel (1998:77-83). He describes integration as a device that enables public organizations to control relevant decision-making elements in their “...*complexity and maintain a sound balance in responding to them whilst bringing changes into the environment at the same time, but still respecting their own system’s coherence as a*

whole: Integration within an organization is seen as relating to the specific sub-systems within organizations and the manner with which the internal balance of the organization is realized. These sub-systems include:

- The *actualisation of the specific objectives* of the system; and
- The *maintenance of the system* with regards to effective internal functioning.

Within the context of connectedness and integration the systems that relate to maintenance is of specific concern as they include the integration of different technical and manpower systems.

Within a government system Van Hassel (1998:77-83) observes several “*criss-cross subsystems that operate as networks to regulate reciprocal balances*”, these subsystems include:

i) Technical subsystem

Concerned with the logic of cause and effect in relation to organizational inputs and outputs. This subsystem can only function properly if it is able to eliminate all uncertainties or predict and control them.

ii) Institutional subsystem

These are systems that are open to other systems that deal with the uncertainties and complexity of the global system. The institutional subsystem acts as the “gate-keeper” that controls these uncertainties and their impact on the technical subsystem.

iii) Managerial subsystems

These systems are intermediate to the other two. The managerial subsystem aims to provide harmony by assuring certainty to the technical subsystem whilst adapting to the changes and uncertainties of the institutional subsystem.

This classification of different subsystems operating within an organization provides insight into the interaction of organizational elements. The mediating role that the managerial subsystem plays reveals similarities to the framework for Governance developed by Scott *et al* (1981:307) examined previously in paragraph 6.2.1 *Supra*. The managerial subsystem has a similar role to the organizational rationality component as they both have to maintain a sense of balance within the organization. This maintenance of inter-organizational balance has resulted in the development and use of inter-system networks. Inter-system networks are relevant to the control

of systems as they are vehicles of internal balances and of external re-adaptations related to changes in the other systems. In terms of organizational connectedness and integration the value of inter-system networks lies in the:

- Participation in the support of common actions among partners with common interests and finding a balance in the use of resources.
- The stimulation of partners by mobilizing financial resources and by subsidising joint ventures.
- The generation and distribution of resources as well as costs and benefits between members of the network and between majorities and minorities.
- The development of countervailing powers that balance each other in realising common goals. Competition and conflicts between different sectors within the organization may exist but the networks develop their own actions to deal with them, avoid them or come to an agreement.
- The ability of networks to be instruments of integrated management that includes policies to be implemented, as well as the performance, effectiveness and efficiency of actions by departments.
- The association of internal networks with external networks present outside the organization allows for a greater alignment of organizational actions (outputs) with the demands of the environment.

In the context of the civil service system the inter-system network would thus relate to the different civil service organizations that constitute the civil service system. In turn these internal networks also interact (exchange) and connect (be bounded from) with the system of networks within the general environment of the civil service system. Within the context of development and the role of civil service organizations in developing societies the influence of networks are significant specifically in terms of service delivery. In this regard Esman (1991:118-124) observes that “...*a logical consequence of pluralist patterns of development, service networks are likely to expand and to become the norm for the supply of a wide range of goods and services as economic development intensifies.*”. Networks have been advocated as being essential components of governance that assist the formal politically legitimised government. Internal and external networks are legitimised according to consensus between the quality of policy outcomes they can assist with the realisation of common goals. Esman further examines the creation of networks and describes a

“..*continuum among service networks*.”. In this continuum networks are either shaped primarily by government initiative (policy) or are by mutual accommodation of the different actors concerned. Networks function as a result of the coexistence of the contrasting management principles of the bureaucratic hierarchy and the flexible co-ordination of the network units.

The emergence and or existence of inter-system networks assist with the integration of the different organizations within a system. Inter-system networks within the civil service system assist in connecting the system as a whole and as such can be viewed as an indicator of connectedness. The following networks have been identified by Van Hassel (1998:86-87):

- Electronic data interchange

Described as a “*technical tool to store information*”, these internal linked databases are used for decision making in policy making, management and client servicing. Information becomes available at different levels of the organization and multidisciplinary units take care of the analysis, processing, routing and steering of data needed for decision making, both for internal and external use.

- Information networks

These networks relate to horizontal relationships formed within organizations. These relationships include project groups that operate as responsive groups or networks of groups that proceed as creative, self-governing entities responding to their environment and citizen groups in realising their objectives within the framework of generic policies. These policies are elaborated and evaluated in a core unit where experts and politicians meet to elaborate, evaluate and readapt policies

- Interacting networks

Networks develop into “mission centres” that are based on programme and/or performance budgeting, sometimes formalised in internal contracts, agreeing to meet their objectives. Economy, efficiency and effectiveness are utilized as the criteria to indicate performance. This process is made possible by different interacting networks that make data available for steering, budgeting and control. These systems allow for experts to interact via information networks with colleagues, politicians and citizens. These networks cross the

borders between public and private organizations. Interacting networks are engendering a new administrative culture and autonomisation within public service organizations.

The existence of networks operating within public service organizations has delivered new patterns of interaction within government and the configurations between public and other sectors of civic society and between state and society. Within civil service systems these intersystem networks operate as integrating channels through which co-actors develop common policies and implement them – improving overall interaction and integration throughout the organization.

Differentiation and integration can be considered two sides of the same coin that defines organizational complexity. Within civil service systems both differentiation and integration influence the extent to which organizations within the system are connected. They are therefore both considered valuable indicators of the connectedness that exists within a civil service system.

As stated previously the aspect of control is of specific significance, as it remains a central element within differentiation and integration. Further analysis of the aspect of control and its influence within organizational/system connectedness is needed.

6.3.2. Control

According to Moorhead & Griffin (1995:30) control can be defined as the process of monitoring and correcting the actions of the organization and its members to keep them directed toward their goal. As noted previously control is an essential part of the bureaucratic form of organization and of contemporary civil service organizations. In relation to the connectedness indicator control is employed to ensure a level of coordination and commitment to specific system goals. In his analysis of control in a bureaucracy, Dunsire (1978:149) describes the relationship between organizational goals and structure, programme and control norms. He indicates to the dilemma that exists when different parts of an organization or system have their own substantive objectives, which may lead to competition for resources: different parts of an organization may have different priorities among procedural objectives. Vocino &

Rabin (1981:185-187) identify the following characteristics that define the relationships between different organizations within a single civil service system:

- Diversity/Complexity of organizations.
- Participants' perspectives within the process of government.
- Interdependency – the intertwining of organization domains.
- Bargaining/Exchange relationships.
- Competition/Co-operation of organizations.
- Pervasiveness of Finances.
- Public Sector Politics.
- Centrality of management/administration.

The emphasis of this analysis focuses on the centrality of management/administration and the pervasiveness of rules and procedures that connect the different organizations within a civil service organization. This pervasiveness of rule and procedure bound behaviour can be achieved by the inclusion of specific techniques that exercise influence over personnel behaviour.

Scott *et al* (1981:183) provides several such techniques:

- Organizations are designed to that their norms, policies and standards are enforced uniformly and impersonally.
- The availability of sanctions to reward or punish employees is the first obvious system of control.
- Effectiveness is served better if the sanction system is graded.
- Grading of the sanctioning system should differentiate between a group as opposed to individual performance.
- Communication systems that aim for acculturation and socialization should be employed.
- High levels of vertical and horizontal communication should be included within the structure.
- Communication should be formal, and contain relevant information concerning performance behaviour.

Expanding on the concept is the model of the processes of control developed by Dunsire (1978:220-226) where he developed nine propositions:

1. Every office-holder in the organization is both a superior and a subordinate, and is him/herself both a superior and a subordinate.
2. Every office-holder is not only sub-ordinate and superior; he/she is also a decision maker or problem solver.
3. Superiors can constrain the decisions of their subordinates structurally, procedurally and substantively.
4. Superiors can monitor subordinates decision-making in many ways (not only by formal report writing) also structural, procedural and substantive use of feedback.
5. Superiors can achieve compliance with the constraints they impose by three main modes: duress, exchange and identification.
6. Predetermined programming and scheduling of the operations performed in the appropriate offices in requisite sequence, by constraining decisions, engineer substantive outputs from the organization.
7. Co-ordinatory activity can be formalized by the appointment of a special officer or by a meeting of office-holders involved; but it is primarily a function of all office-holders as such.
8. Implicit control of the organization is maintained by the setting of several mutually incompatible procedural objectives.
9. Adjustment of the priorities among the objectives of the bureaucracy at any one time is achieved by the selective inhibition of maximisers or maximising behaviour.

6.4. Integration and scientific operationalization

The level of complexity that exists within the structure of the civil service and the extent to which this complexity is controlled is the main assertion of this analysis. Connectedness as defined by Bekke *et al* (1996:330) emphasises the rules of the civil system and to what extent they are common or viable across a government system. Rules and procedures in turn relate to aspects such as control and the enforcement of rules and procedures across a civil service system. The operationalization of the 'connectedness' indicator focuses on two aspects focussed on in the preceding analysis. The first aspect concerns the extent to which differentiation occurs within an organization, it relates not only to complexity but also

to the existence of control measures to co-ordinate activities to attain system goals. Secondly, organizational integration is assessed according to the existence and operation of system networks that integrate the actions of organizations within a specific civil service system – networks also indicate to linkages with organizations outside the civil service. Finally, the aspect of control within a specific organization is addressed – concentrating on the measures employed to enforce specific rules and decision-making behaviour within an organization.

- The summary provided by Scott *et al* (1981:319) and Robbins (1991:83-92) supplies a framework of questions for the determination of the extent of differentiation that exists within an organization and within the civil service system as a whole. In completing the questionnaire the researcher has to employ the comparative method explained in paragraph 2.3.2.2.*Supra*.
- The existence of system networks – specifically intersystem networks is used as an indicator of organizational integration. The different networks identified by Van Hassel (1998:86-87) together with integrating mechanisms identified by Kiggundu (1989:139) have been utilized to develop a set of questions that indicate to the existence and operation of system networks within a civil service system. In completing the questionnaire the researcher has to employ the comparative method explained in paragraph 2.3.2.2.*Supra*.
- The extent to which control is exercised within an organization relates to the complexity of the organization. The extent to which system wide control measures and techniques (as indicated by both Scott *et al* (1981:183) and Dunsire (1978:220-226)) are employed is used to indicate the cohesion that exists between the different sections/units of an organization. Cohesion can be related to the connectedness aspect. In completing the questionnaire the researcher has to employ the comparative method explained in paragraph 2.3.2.2.*Supra*.

6.i) Organization differentiation

Differentiation	Never					
	1	2	3	4	5	6
To what extent does: Differentiation of the organization occur according to people and structures?						
Horizontal differentiation exist that includes the division of labour in terms of: Departments? Specialized units/positions?						
Vertical differentiation exist that includes hierarchical levels with line and staff functions within the organization?						
The organization characterized by a wide span of control?						
Spatial differentiation exist with a geographic dispersion of the organizations units?						
The organization has committees and "linking" positions that assist with organizational co-ordination and co-operation?						
Formalized communication systems, rules and procedures exist that assist with organization co-ordination and co-operation?						

6.ii) Organizational Integration

Intersystem Networks	Never 1	2	3	4	5	6
Electronic Data Interchange						
To what extent: Does the civil service employ a system wide electronic data network?						
Does the different public organizations make use of organization wide electronic data networks?						
Are data networks utilized during policy formulation?						
Are data networks utilized for decision-making purposes?						
Does multidisciplinary units take care of analysis, processing, routing and steering of data for both external and internal use?						
Are there integrated units in existence that deal with both organizational inputs and outputs?						
Are there public service centres in existence that not only supply information to citizens but also collect information regarding citizen needs?						
Does mutual electronic data networks exist between public and private organizations?						
Information Networks						
To what extent does the following interdepartmental integration occur: Task forces? Project groups/teams? Matrix units?						
Interacting Networks						
To what extent: Does interdepartmental resource sharing occur?						
Does network partnerships between the public sector and private sector organization exist?						

6.iii) Organizational Control Measures

Organization Control	Never 1	2	3	4	5	6
To what extent:						
Are norms, policies and standards of the organization are enforced uniformly and impersonally?						
Are a system of sanctions employed to enforce norms, policies and standards?						
Are offices-holders decision makers/problem solvers?						
Are decisions by sub-ordinates constrained, structurally, procedurally and substantively?						
Is decision-making by sub-ordinates monitored in different ways including structural, procedural and with the use of substantive feedback?						
Does superiors achieve compliance in terms of the following constraints: Duress Exchange Identification						
Are organizational outputs constrained by predetermined programming and scheduling of operations performed in the appropriate offices?						
Is co-ordination activity formalized with the appointment of co-ordinating personnel or meeting of office holders?						
Is implicit organizational control maintained with the setting of several mutually incompatible procedural objectives?						
Is organizational behaviour maximised/inhibited selectively in order to adjust the objective priorities of the organization?						

6.5. Conclusion

This chapter focussed on the concept of connectedness as an indicator for the institutionalization of a civil service system. Connectedness was examined from two perspectives namely the theoretical context supplied by Bekke *et al* (1996: 329) and other current theoretical considerations. Within the first perspective the concept was examined in terms of its value within the context of a civil service system. The basic premise put forward was that institutionalization is indicated by the level of connectedness that exists throughout a civil service system. Connectedness is attained by the extent to which certain rules are common or viable across a system. The second perspective included other theoretical considerations that relate to the influence that organizational complexity has on the connectedness within civil service organizations. Complexity was analysed according to the different forms of differentiation that occur within an organization. Integration was also analysed as integration techniques contribute to increased connectedness within an organization. The use of networks within civil service organizations was emphasised as one of the techniques employed to increase organizational integration. The aspect of control was considered as it is an essential element of the bureaucratic organization and is employed to ensure a level of co-ordination and commitment to system goals within the organization. The theoretical concepts focussed on within the two perspectives were integrated and operationalized into specific questionnaires that relate to the different aspects of connectedness. The questionnaires consist of questions that give an indication to the level of connectedness within the organization as well as the extent to which control is exercised throughout the organization. A questionnaire that determines the extent to which differentiation occurs throughout the system was developed as well as a questionnaire that identifies the extent to which different system networks exist and operate. The answers to the questions create a profile of the extent to which the organizations within a civil service system are connected. The data from the profiles can be utilized to indicate how connectedness within organizations contributes to the level of institutionalization of a civil service system. The data can also be used in comparative analysis to examine the extent to which a system is connected and how connectedness influences the outcomes of different civil services.

CHAPTER SEVEN

7. Conclusion and Recommendations

7.1. Conclusion

The goal of this study was to develop a research technique or instrument that can be utilized in a comparative study of the institutionalization of civil service. The aim of the study related to the idea that the development of such a technique or instrument could assist a researcher in determining the extent of institutionalization that occurs within a specific civil service system. The technique or instrument could however also be utilized within a comparative analysis whereby the extent of institutionalization within different civil service systems are examined in order to explain certain observations or phenomena relating to the performance of these systems.

The theoretical foundation for this study was constructed according to a process of research synthesis whereby facts and findings from a group of related studies based on different theoretical frameworks, independent variables, dependant measures and research designs were integrated. Key concepts such as Public Administration, civil service systems, comparative analysis and institutionalization were analysed and considered in order to theoretically substantiate the purpose and application of the study. Four institutionalization indicators (boundedness, exchange, routinization and connectedness) identified in the book **Civil Service Systems in Comparative Perspective** (Bekke *et al*,1996) served as the basis for the development of the technique or instrument that could determine insitutionalization within a civil service system.

The primary content of the study concentrated on the theoretical development of these indicators and their operationalization into an institutionalization instrument. With the analysis of each indicator a theoretical foundation was developed from which an instrument could be constructed for use in a comparative analysis of civil service systems. The theory was integrated and operationalized as sets of

questionnaires that profile the central concepts related to each indicator. The central concepts within each indicator included the following:

Boundedness

The central concepts within this indicator are the influence of the external environment on the civil service organization and how the organization becomes a reflection of the society it operates in. To operationalize this concept the components of the general environment (values, political, social, economic, technological and cultural) was defined as characteristics within six questionnaires. In answering the questionnaires, a specific profile of the society the civil service operates in is compiled. The data from the profile can be used in a comparative analysis. However, not only is the data relevant in terms of institutionalization but it can also provide possible explanations for the existence of other system qualities or characteristics as well as explain certain observations or phenomena relating to the performance of these systems.

Exchange

Within this indicator exchange was analysed according to three predominant elements present within civil service exchanges that include the public servant, the member or members within society and the goods or services being exchanged. The actions of the public servant was examined in terms of the different influences that affect behaviour including the political-administrative role, the influence of a specific administrative culture and the existence of a managerial ethos. The members of society that take part in exchanges with the civil service were examined according to the specific public service environment. The specific environment includes regulators, suppliers, consumers and competitors. The goods and services that form part of the exchanges between society and civil service was also defined according to line functions (order and protection services, social welfare services and economic welfare services) and auxiliary services. To operationalize this concept the theoretical concepts associated with three elements that comprise the exchange process were developed into questionnaires. They consisted of seven sets of questions that provide a definition and description of the exchanges that occur between a civil service and society. The answers to the questions create a profile of the exchanges that occur between a specific civil service and its society. The data

from the profile can be used in a comparative analysis of system institutionalization. However, not only is the data relevant in terms of institutionalization but it can also provide possible explanations for the existence of other system qualities or characteristics as well as explain certain observations or phenomena relating to the performance of these systems.

Routinization

This indicator was analysed according to the elements of formal organization structure that relate to routine, namely formalization and centralization. Formalization techniques were examined as well as the influence of centralisation on decision-making within the public service organization. The questionnaire included questions that give an indication to the level of formalization within the organization as well as the extent to which decision-making has been centralized within the organization. A questionnaire was also included that determines the extent to which decisions are programmed or non-programmed. The answers to the questions create a profile of the level of routinization that occurs within a public service organization of a specific civil service – it also creates a profile of the extent to which decisions are centralized and programmed. The data from these profiles can be utilized to indicate how routinization within organizations contributes to the level of institutionalization of the civil service system. The data from the profile can be used in a comparative analysis. However, not only is the data relevant in terms of institutionalization but it can also provide possible explanations for the existence of other system qualities or characteristics as well as explain certain observations or phenomena relating to the performance of these systems.

Connectedness

The theoretical development of the connectedness indicator focussed on the remaining element of organization structure, namely complexity. Complexity was analysed according to the different forms of differentiation that occur within an organization. Integration was also analysed as integration techniques that contribute to increased connectedness within an organization. The use of networks within civil service organizations was emphasised as one of the techniques employed to increase organizational integration. The aspect of control was also considered as it is an essential element of the bureaucratic organization and is employed to ensure a

level of co-ordination and commitment to system goals within the organization. The questionnaires consisted of questions that give an indication to the level of connectedness within the organization as well as the extent to which control is influenced throughout the organization. A questionnaire was developed that determines the extent to which differentiation occurs throughout the system as well as a questionnaire that identifies the extent to which networks exist and operate within a system as integrating devices. A questionnaire that evaluated the extent of organizational control was also developed. The answers to the questions create a profile of the connectedness that exists within civil service systems. The data from these profiles can be utilized to indicate how connectedness within organizations contributes to the level of institutionalization of a civil service system. The data from the profile can be used in a comparative analysis. However, not only is the data relevant in terms of institutionalization but it can also provide possible explanations for the existence of other system qualities or characteristics as well as explain certain observations or phenomena relating to the performance of these systems.

In conclusion it can therefore be stated that the premise for the study has been maintained, namely that the indicators of institutionalization: *boundedness*, *exchange*, *routinization* and *connectedness* have been developed into a comparative research instrument.

7.2. Recommendations

It has to be emphasized that the value of this study lays in the future utilization of the research instrument within a research project. The questionnaires that indicate towards organizational boundedness, exchange, routinisation and control create a profile that is aimed at providing information concerning a civil service system. This information can be of value for:

- Conducting research on institutionalization within a specific civil service system.
- A comparative analysis of institutionalization within different civil service systems.
- Providing possible explanations of other civil service system characteristics or performance related phenomena.

- Researching different levels of government institutions, namely central, provincial and regional/municipal.

It also has to be noted that further refinement of this instrument is foreseen for use within the research process.

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