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APPRAISAL OF POLICY IMPLEMENTATION PROCESS IN THE PUBLIC SECTOR : THE CASE OF THE  
DEPARTMENT OF HUMAN SETTLEMENTS IN THE EASTERN CAPE PROVINCE.

BY

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SUBMITTED IN FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE: DOCTOR OF  
PHILOSOPHY IN SOCIAL SCIENCES: PhD (DEVELOPMENT STUDIES)

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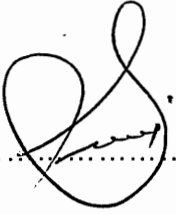
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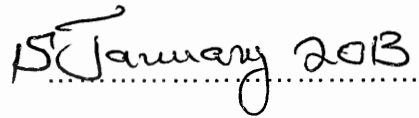
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## DECLARATION

I declare herewith that the thesis entitled, "Appraisal of policy implementation process in the public sector: The case of the Department of Human Settlements in the Eastern Cape Province" is my own work and has not been submitted to any other University for degree purposes.



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## DEDICATION

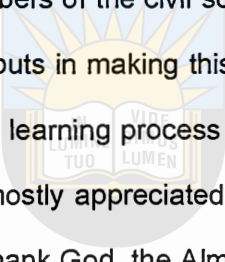
This piece of writing is dedicated to my late dear mother. My mother passed away before she could see and realize the benefits of her hard work. She was never a matriculant or a graduate but through her hard work, she managed to produce two graduates out of her four children (all sons) without any form of stable income. For that, she deserves an outstanding recognition and appreciation. Had it not been for her efforts and commitment to educate her children, nothing of this sort could have been generated for human consumption.



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**ADDITIONAL INFORMATION**

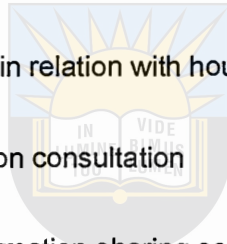
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## ACRONYMS AND ABBREVIATIONS

ANC	African National Congress
BNG	Breaking New Ground Plan
CBO	Community Based Organisation
COO	Chief Operations Officer
DEDEA	Department of Economic Development and Environmental Affairs
EA	Executing Authority
EC	Eastern Cape
EDOHS	Eastern Cape Department of Human Settlements
EL	East London (One of the big cities in the Eastern Cape Province)
ELIDZ	East London Development Zone
FBO	Faith Based Organisation
GEAR	Growth, Employment and Redistribution Strategy
HOD	Head of Department
HQ	Head Quarters
IDZ	Industrial Development Zone
IGF	Intergovernmental Forum
KZN	Kwazulu-Natal
MEC	Member of the Executive Council



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MINMEC	Minister and Members of the Executive Council
MTEF	Medium Term Expenditure Framework
NEDLC	National Economic Development and Labour Council
NHPS	New Housing Policy and Strategy
NMMU	Nelson Mandela Metropolitan University
NP	National Party
OEM	multi-Original Equipment Manufacturer
PA	Public Administration
PAC	Pan African Congress
PE	Port Elizabeth
SA	South Africa
SACP	South African Communist Party
SDI	Spatial Development Initiative
SAPS	South African Public Service
RD	Research and Development
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
UFH	University of Fort Hare
WSU	Walter Sisulu University



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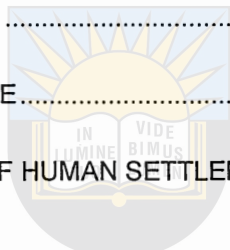
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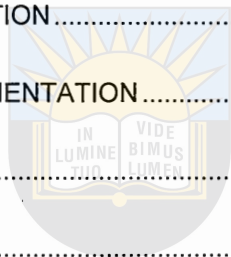
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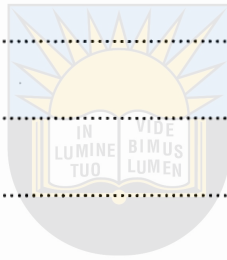
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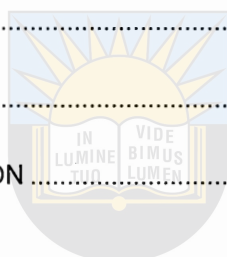
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**ABSTRACT**

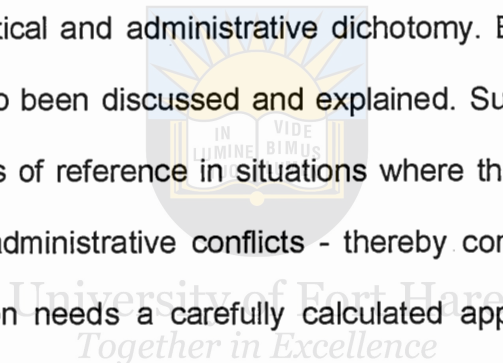
The study begins with a historical narrative wherein specific topics related to public administration in general and public policy in particular have been discussed. The first chapter dealt with the public administration perspectives of both the International World and South Africa. The reader is therefore taken step by step in the introduction of public administration in the two worlds, as a comparative view. Chapter two discussed at length the theoretical and the conceptual understanding of policy implementation. In this section, both a sophisticated and a radical approach were adopted with a view to make it crystal clear that policy implementation in the practical world demands the two conflicting approaches.

Chapter three provided a perspective on the interactive co-operative role of stakeholders in policy implementation. Without this, policy implementation in the practical world will surely be fluid. However, chapter four dealt mainly with research methodology and research design. To approach the study, a case study method was adopted wherein the department of Human Settlements in the Eastern Cape was utilised in order to view the process of policy implementation in the public sector. The research data was collected through the use of questionnaires, interviews, observation and the documentary surveys. To supplement the field work, attending an international summit on Organisational Design in Johannesburg offered a refreshing mind to compare processes of policy implementation in the public sector.

For example, the conference was able to bring home the experiences of the developed worlds in relation to policy implementation. These countries include the likes of the United States of America, Canada, Norway and Belgium. Chapter five serves as the core of the study since it provides space for data presentation, analysis and interpretation. Various methods were therefore utilised to give meaning to the responses of the research respondents. Chapter six discussed the conclusions,

findings and the recommendations of the study. In this area, research findings are clearly interpreted and fully explained to lay a solid foundation to making properly conceived recommendations. The recommendations contain concrete suggestions or proposals for the improvement of the existing approaches of the housing development in South Africa. The chapter therefore closes with the making of the concluding remarks.

Notably, the historical overview of this study has provided a refreshing account of public administration. To be more specific, a clear distinction on the roles of the political office bearer (MEC) and the administrative Head of Department (HOD) have been clearly explained in an attempt to prevent undue political and administrative dichotomy. Beside, the origins and aims of public administration have also been discussed and explained. Surely, the two aspects will serve as constant or regular sources of reference in situations where the administrative components of government are plagued by administrative conflicts - thereby compromising the desired service delivery. Policy implementation needs a carefully calculated approach with clear areas of co-operation by various stakeholders. Without integration of various processes which are strictly managed, policy implementation will never be successful and cannot yield the expected outcomes.



## **KEY WORDS**

Appraisal, Policy, Policy implementation, Policy process, Public Sector, Capacity, Communication and leadership.

## CHAPTER ONE

### INTRODUCTION AND GENERAL OVERVIEW

#### 1.1. INTRODUCTION

Policy implementation is the critical step in ensuring that the intention of a policy is realized in practical terms. The main aim of policy implementation is to translate policy objectives into real activities which public officials must undertake in order to satisfy the needs of the communities. The role of the executive management in any public institution is to develop policies. Policies are developed to regulate the provision of the public services. Since communities will have divergent and often conflicting social needs, the public officials are expected to develop policies to direct and guide the process of fulfilling or satisfying such basic community needs.

The effective and efficient way of satisfying community needs comes from the policies which public officials have developed. In order to achieve policy objectives, the public policies need to be carefully implemented. It then means that policy outcomes will never be realized in practical terms unless policy implementation is undertaken and properly planned. Policy implementation in the real and practical life, requires the co-operative efforts of all the role players. Beside co-operation of the role players, the process of policy implementation needs to be properly controlled and managed in various management levels. After policies have been developed, a clear programme of policy implementation needs to be designed.

The purpose of this study is to appraise policy implementation process in the public sector and the purpose of this chapter is to introduce and provide the basic outline through explaining and describing the approach to be utilized in presenting the subsequent chapters related to this particular research. The components of the chapter are common to all research documents and therefore comprised of the background to the study, problem statement, hypothesis statement, objectives of the study, theoretical framework, delimitations of the study, significance of the study,

limitations of the study, the study plan and finally the definition of terms and words that have been used in the study.

## 1.2. BACKGROUND TO THE STUDY

In South Africa, a number of policies were developed in order to bring about major social reforms. Basically, the fundamental goal was to redress the legacy of the apartheid regime. The policies that were developed aimed at addressing various aspects of the community life. These aspects range from service provisioning, development of the human potential and the creation of a perfect environment for everybody to enjoy better life. The development of policies and their subsequent implementation ensures the provision of public services in an efficient and effective way.

The public officials need to properly plan the process of policy implementation in order for the provision of the public services to be efficient and effective.

In contrast, even though policy implementation normally yields positive results in terms of the smooth provisioning of the public services, the challenge is that public institutions are implementing public policies in an ineffective manner. The public sector is seen to be grappling with public policy implementation in a manner that could result in changing the lives of the ordinary citizens. Essentially, the establishment of any public institution is an attempt by government to promote the general welfare of citizens through providing the basic public services which meet the needs and the general expectations of the service beneficiaries (Meiring, 2001:51).

The failure therefore of the current policies to bring about the social services as expected by citizens suggests that policy implementation is faced by many problems as policy outcomes can only be seen if the process of policy implementation is free and smooth. The South African citizens, even today, are still experiencing gross shortage of resources which can sustain human life. Obviously, the prevailing social conditions cannot provide hope for the better life of all citizens. Further complicating the situation, public services are still provided in a very inequitable manner.

Also, of great concern, these services are still of poor quality which makes it even more difficult for the ordinary citizens to live a happy and a normal life. It can therefore be confidently put that policy implementation is failing to address the intended goals of the public policies. The above statement therefore signals the reason and the nature of the impediment which triggered this particular study.

### 1.3. PROBLEM STATEMENT

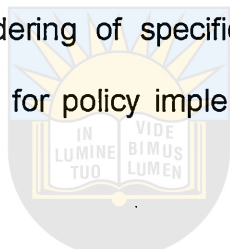
A problem can be explained as a deviation from what is assumed to be an ideal situation or a state of retard-ness. The problem statement therefore implies inability or a declaration of a specific difficulty to execute an assigned task in an effective way. Mafunisa (2000:5) writes that inefficiency and ineffectiveness means lack of ability to deliver services which meet the needs of the citizens. Ineffectiveness therefore in the process of implementing any government programme is an impediment which often translates to a variety of social problems. In the context of this study, a brief background of what ought to be an ideal situation is provided in the following paragraphs wherein an indication is made of the important legislative framework from which a workable environment for the ideal situation is stipulated.

The public sector is the only hope for the provision of affordable services. The ordinary citizens expect the delivery of the public services to cover each and every South African citizen. As a constitutional requirement, public services ought to be implemented fairly, equitably and impartially (Section 40(2), *Constitution of the Republic of South Africa*, 1996,). The provision of the public services can only be effective if the key stakeholders in policy making such as political office bearers, public officials and citizens are co-operating (Meiring and De Villiers, 2001:7). It can be deduced that a problem means inability to execute a specific task. It can also be deduced that a problem translates to the ineffective delivery of public services. It can further be deduced that housing development is a mammoth task to accomplish.

The goal of government is to create an environment where public services have to be accessible to all citizens. These services include health care, sufficient food, water and social security services

(Section 27 (1) (a-c) of the *Constitution*, 1996). In this context, policy implementation is viewed to be a process of activating work programmes (Meiring and Parsons, 1994:81). It therefore implies that policy implementation must result to the provision of the basic public services to the citizens. The purpose of the public policies is to change, regulate or preserve the conditions of the society or the life styles of individuals (Wissink, 1990:89). The ultimate goal is that of promoting economic growth and developing human potential (*Vide*, section 4.4.4, New housing policy and strategy, 1994:16).

However, even though it is expected that policy implementation must result to the actual provision of the public services, the problem is that public service institutions are failing to implement policy in a manner which results to the rendering of specific public services and that there is no interaction amongst the key role-players for policy implementation such as the politicians, public officials and the citizens.



Similarly, the Department of Human Settlements in the Eastern is experiencing problems in the process of implementing the housing development policy and strategy. This therefore forms the core of the problem. The department under investigation has also acknowledged that the process of implementing the housing development policy and strategy is a complex matter which makes it difficult for the housing shortage to be speedily and effectively addressed (Task Team Report, 2010:1). This problem culminates to a situation where houses are provided at a very slow pace resulting in the increase of squatter camps and land invasions coupled with the growth in criminal activities. The background to the problem as provided above serves as a basis for government to provide houses to the people of the Eastern Cape, thereby implementing provisions of the legislative framework. The failure therefore to implement the provisions of the legislative framework requires further investigation. The statement of the problem will always have a particular belief or proposition.

#### 1.4. HYPOTHESIS OF THE STUDY

The study investigates the ineffectiveness of the process of implementing public policies and ineffective communication between politicians, public officials and citizens on policy implementation process. A hypothesis therefore is a proposition that is stated in a testable form and predicts a particular relationship between two or more variables. A hypothesis implies *inter alia* insufficiency of presently attainable evidence and therefore a tentative explanation (Bailey, 1982:41-42, 1987: 41). De Vaus (1996:18) defines a proposition as a statement which specifies the nature of a relationship between two factors. By test is meant confirmation to a level of satisfaction or proving the hypothesis wrong. In this instance, hypothesis is merely a tentative and unproved statement (Bailey, 1987: 41). It can therefore be termed "a tentative supposition" (Mann, 1985:46). However, Mouton and Marais (1988: 134) argue that hypothesis is, in fact, a statement in which an assumed relationship between two or more variables is postulated. This simply means that hypothesis is a statement made, suggesting or advancing a particular belief with an element of making comparison of variables. Hofstee (2006: 24) writes that hypothesis is an assertion about something. According to Hofstee, hypothesis is just an assumption or a belief which one might be having about something.

Therefore, on the strength of the above discussion, it can be deduced that hypothesis is an academic speculation which ought to be verified. In addition, it can logically follow that hypothesis:

- is a tentative and untested statement of facts; and
- seeks to explain a relationship between variables.

The study appraises the process of policy implementation in the public sector with specific reference to the implementation process of the housing development policy and strategy by the Department of Human Settlements in the Eastern Cape Province of the Republic of South Africa.

In this study, the following hypothesis will be investigated.

- The implementation of public policies is inadequate to attain effective and efficient delivery of the public services.
- The problem rests with poor co-ordination of the public service programmes and ineffective communication between politicians, public officials and the citizens.

However, the objectives of the study are now discussed below.

### 1.5. OBJECTIVES OF THE STUDY

In a study, it becomes crucial to set evaluation criteria upfront, so that the process of progressing with the study project is constantly directed and guided. The advantage of setting a standard in good time helps in managing deviations. Also, the outcomes of the whole process of investigation are clearly defined and properly crafted from the very onset. This approach, if it can be adopted by public service institutions, could help in managing the implementation process of government priority programmes such as the housing development. In addition, this approach could assist in defining the critical outcomes of each and every government programme. For example, it would appear that not everybody in the department under investigation knows the expected outcomes that would result from the process of implementing the housing policy and strategy for South Africa, 1994.

Flowing from the preceding discussion, the following objectives have been set for this particular study, which is to:

- Assess and establish the reasons which contribute to ineffective policy implementation in the public sector;
- Investigate and determine the root causes of the poor co-ordination of the public services and the reasons for inactive interaction amongst the key stakeholders for policy implementation; and

- where necessary, provide recommendations to improve policy implementation in the public sector.

It is of great concern for this study to look into the root causes for the ineffective policy implementation process in the Eastern Cape, paying a particular attention on the implementation process of the housing policy and strategy. The development of any public policy raises some hopes of the citizenry for a possible delivery of a specific public service. Similarly, the formulation of the housing policy and strategy for South Africa by government had also raised some hopes of a massive housing delivery service to the people of South Africa in general and the people of the Eastern Cape in particular.

It therefore becomes essential to understand the reasons and factors which might be obstructing the smooth provision of such an important service to the people. The goal of the objective number one of this study is to establish the likely causes or contributing factors to the ineffectiveness of the implementation process of the housing policy and strategy. The whole idea of developing a strategy was to make sure that people are provided with the promised RDP sub-standard houses for them to live a better life. To understand the challenges and other contributing factors which might be causing some delays in the practical realization of the said goal is important, since the aim is to provide corrective measures to the problem.

The other objective seeks to surface the likely causes of poor coordination of the implementation process of the housing policy and strategy for South Africa in the Eastern Cape Department of Human Settlements. Furthermore, this objective will assess whether or not active co-operation and interaction exist amongst the key stakeholders on the implementation of the housing policy and strategy for South Africa, 1994 in the department under investigation. This aspect is regarded as a pillar of any successful policy implementation process in the real world. In simple terms, the co-operative interactive action of the key stakeholders for policy implementation is presumed to be a good recipe for the success of any policy implementation initiative.

It would therefore yield some important benefits for the citizens if this aspect is effectively evaluated in this study for a possible brighter future. If it can be found that the implementation process of the housing policy and strategy does not involve all the potential key stakeholders or the communication amongst the key stakeholders for policy implementation is ineffective, to an extent that evidence exists to prove the inactive interaction, the situation would surely warrant putting of corrective measures to actually redress the anomaly. Surely, if all key stakeholders for policy implementation process could work jointly as a team and be able to defeat the silo mentality, the process of implementing public policies would be effective and would yield positive results.

The goal of the objective number two is to promote a team, than an individual approach. For policy implementation process to be successful requires a team approach. This aspect therefore will have to be tested as well in the process of implementing the housing policy and strategy for South Africa, 1994 by the department under investigation.

The last objective is the making of recommendations. At the end of any scientific study, corrective measures are usually prescribed, based on the research findings. This area of a research is also important in that, it provides an opportunity to view the world differently. It is often not possible for people to do an introspection of their actions or review the manner in which they conduct their business. Obviously, this piece of writing will throw some light on a variety of aspects which relate to the normal way of implementing a specific policy as well as the management of the policy implementation process.

The recommendation part is usually full of important advices with scientifically tested approaches, which are likely to put the organization at the next level of operation and performance. Modern organizations are competing to becoming centers of excellence or learning organization wherein undertaking of quality circle's exercises is treated in a very serious light. In order, therefore, for an

organization to begin an assessment of its activities, it needs a review of the organizational systems such as the review of any pattern of policy or programme implementation.

## 1.6. THEORETICAL FRAMEWORK

By theoretical framework is meant a foundation from which a study or hypothesis could be based. It could simply refer to a theory or theories which underpin a particular subject matter or study. However, a theory in this context means a set of ideas to explain something or an opinion about something (*Collins English Dictionary and Thesaurus*, 2007:826) It is an attempt to explain or predict a particular phenomenon of life in a systematic way (Bailey, 1986:37,1987:39). On the other hand, a framework means a structure which provides shape or support. Put together, a theoretical framework means a theory base or premise. The premise of this study, therefore, comes from the two management theories. The first theory is selected from a group of classical approach theories. This theory is called the process or administrative approach. The second theory comes from the contemporary approach and is termed the systems approach. The two selected theories are further elaborated on below.

### 1.6.1. The process or administrative approach

The process approach puts forward five basic functions of administration, namely.

- Planning;
- Organizing;
- Commanding;
- Coordinating; and
- Controlling (Smit, Cronje, Brevis&Vrba, 2007:33).

Importantly, the five basic functions of administration as cited above play an essential role in policy implementation process. This theory is therefore relevant in a study of this nature, as the basic functions of administration will have to be assessed whether or not the department under

investigation utilizes them on the process of implementing the housing policy and strategy for South Africa, 1994. The systems approach theory is now discussed below.

### 1.6.2. The systems approach

The systems approach views an organization as a bigger whole. The organization is therefore considered as a group of interrelated functions which seek to maintain the equilibrium. It therefore means that the movement of one part of an organization influences the other parts and causes imbalance (Smit, *et al* 2007:57). The process of policy implementation requires a balance of actions and events. The effective implementation of a policy depends on a team effort, such as the working together of politicians, public officials and the ordinary citizens (*Vide, infra*, section, 2.2).

## 1.7. DELIMITATIONS OF THE STUDY

Basically, delimitation means putting a boundary in a specific phenomenon to control overlapping. Similarly, in this study, three areas have been delimited for investigation. These include:

- Period of study;
- Theory scope; and
- Research site or survey area.

### 1.7.1. Period of study

The study covers the period starting from 2010 to 2012. The research intended to view the policy implementation process over a period of three years. The approach links up perfectly with the government planning cycle, which is termed, medium term expenditure framework (MTEF).

### 1.7.2. Theory Scope

The theory component of this study is divided into two parts, namely:

- Theoretical; and
- Conceptual framework.

The theories which underpin this study are therefore dealt with separately. This approach puts it clearly that a theory must always serve as a premise from which to base the concept for investigation. The focus of the study is on public policy process. However, within the policy process, highlights will be made on policy making, policy implementation and the necessary administrative processes which must guide and direct policy implementation for it to be effective. The study seeks to evaluate the process of policy implementation to gain more knowledge with a view to coming up with creative solutions. This, according to Bless and Higson-Smith (2000:38) means a basic and applied research which is mostly achieved by applying research findings to solve community problems. It can however be taken that a basic and applied research means to acquire knowledge in order to solve community problems.

### 1.7.3. Survey Area

The word, survey means study while the area means vicinity or spot (Online Dictionary).

In other words, this simply refers to the vicinity in which the study will be undertaken. The area of this particular study is the Eastern Cape Department of Human Settlements. However, a picture of the survey area and the subject for investigation need to be created in the minds of the readers for purposes of familiarity before it can be evaluated. The public policy process comprising of policy making, policy implementation and policy analysis and evaluation, is an inseparable part of public administration – the work of government officials. It therefore becomes essential to provide a historical synopsis of public administration as an activity of government officials.

#### 1.7.3.1. Public administration as an activity

In order to meet the varying needs of different people within communities, policy statements are required to guide and direct the way in which public services ought to be provided (Cloete, 1998:126). However, public policies can be developed in a public administration environment. The

actions of public officials in public institutions translate to public administration activity. Public administration means the work of public officials in public institutions.

The type of work which public officials do can therefore be classified into three main processes, namely:

- Generic administrative;
- Functional; and
- Auxiliary (Cloete, 1982:1, 1985:1)

It has also been observed that within the generic administrative functions or processes, there are six main groups such as policy making, financing, organising, staffing, determining work procedures and controlling (Hanekom, Rowland and Bain, 2001:21, Du Toit and Van Der Waldt, 1999: and Cloete, 1994:58-59 and 1985:2). The focus of this particular study is on public policy process which comprised of three consecutive steps, namely:

- Policy making
- policy implementation; and
- policy analysis and evaluation (Meiring, 2001:51).

This particular study is mainly focussing on the work of public officials whose responsibility is to translate government laws into operational activities within and outside government institutions. It therefore means that the public policy process will be put under scrutiny for purposes of detecting any administrative glitches with a view to recommending corrective measures. Having discussed public administration as an activity, it becomes crucial to provide a narrative on the origin of public administration.

### 1.7.3.2. **Origin of public administration**

The origin of public administration is associated with people. The dictionary meaning of the word "public" is *populas*, the latin word for people. The word people, refers generally to a collective of the ordinary citizens in a country (Schuman & Olufs 111, 1993:3). The word "administration" is traced from the Cretan King, called Minos. According to the story, King Minos became a supreme judge because of his just rule. King Minos was then presented with a sacrificial bull by Poseidon. Unfortunately, the King kept the bull for himself. Subsequently, Poseidon became angry by King Minos selfish antics and instilled a passion for the bull in Minos' wife. However the selfishness tendencies continue to grow, as the next born of the King was named, Minotaur (Schuman and Olufs 111, 1993:3). From the above story, it then became clear that administration had a lot of contradictions and personal bias. This simply means that administration was seen to be more concerned about internal organizational processes without necessarily being concerned about the external clients, the ordinary citizens of the country. However, the truth of the matter is that in public administration people expect their political demands to be fulfilled. For instance, people expect their full participation in the decision making processes of their government.

This is to ensure that in the process of rendering public services, their needs will be amongst the top priorities of government. Through their votes by implication, the ordinary citizens are giving their clear mandate of how public officials should render public services to the citizens of the country. Public administration therefore came as a panacea for the ineffective delivery of public services to the ordinary citizens of a country. It was earlier revealed that when different people come together for a common good, public administration - the activity of public officials is needed to regulate the manner in which these divergent needs could be satisfied without any form of bias. To avoid the scramble for power and satisfaction of self-interest with public administration as evidenced by King Minos story, public administration must strive to satisfy the interests of the people in its entirety. Public administration must not only focus on internal organizational processes

but it must as well focus on satisfying the needs of its clients, the ordinary people. Public administration therefore originated for the sole reason – that of satisfying the needs of people in a country. It is of interest then to know how the international community began to implement public administration.

### 1.7.3.3. **International perspective of public administration**

The winds of change have prompted a political paradigm shift at an international level. The international community before the nineteenth century had no option but to succumb to the dictates of the monarchs. During the period when the international states were ruled through the system of monarchs – people with unlimited authority in state and government, the ordinary citizens could not claim a right to participate in government affairs. For example Drucker (in Schuman and Olufs 111, 1993:210) states that the corporation is seen to be the most important organization in American public life...markets as a result are expanded to produce more goods, services and create more job opportunities. The corporation's management is expected to anticipate the needs of society. The private sector is therefore expected to provide for the needs of communities, so that government is saved from taking costly actions or interventions.

Wilenski (1986:16) also writes that the state in a number of countries was providing the basic infrastructure on which private capital relied. This simply means that the states were only playing a supportive role to the private market. The main goal was to leave everything with the private organizations including the provision of public services to the citizens. However, the economic depression of 1929, experienced by the world markets, necessitated a major review of the role of government in most countries. This culminated to the relaxation of certain social and political laws. For example, the right to vote was beginning to be granted to every citizen in some of the international countries after the Second World War. During this period, the role of government shifted from that of providing support but to provide some of the public services either directly or indirectly.

Giving credence to the above revelation, Wilenski (1986:19) writes that the government began a process of providing public services to the people such as education, mass transport systems, recreational facilities and the basic health. Since the international governments were aiming at supporting a speedy economic recovery, there was a noticeable neglect in terms of providing public services which satisfy the needs of the citizens. After the war, government was more than prepared to boost the global economy. This goal coincided with the emergence of democratic principles around the world.

However, the growth in industries met with a number of challenges in government circles. For example, labour laws had to be relaxed. This has paved way for the democratization of the workplace. During this period there was a continuous review of policies based on the pressure exerted by the trade unions and labour movements on international governments. The end result of this phase was the liberation of the masses from different forms of oppression in a significant way. The focus of government shifted from the provision of support to the ultimate rendering of public services which meet the interests and the needs of the people. The above statement ends the synopsis of the international perspective of public administration. The South African perspective of public administration follows.

#### **1.7.3.4. South African perspective of public administration**

South Africa had an unfortunate history of undergoing continuous and constant oppressive rules. For decades, South Africa was ruled by Britain as a colony. From such experience, South Africa was also subjected to the apartheid regime of the National Party. However, a shift was only observed around the nineteen eighties (1980s). This period was characterized by increasing opposition to apartheid through the efforts of both local and international community. South Africa was able to dismantle apartheid through armed struggle, widespread civil unrests, economic and

cultural sanctions as exerted by both local and international community and with the help of the anti-apartheid movements around the world (Wikipedia-the free encyclopaedia, accessed on 05 May 2011). This was made possible by the support of the international community. This process culminated to the unbanning of the prominent liberation movement organisations such as the likes of the African National Congress, Pan African Congress and South African Communist Party.

Subsequently, the then leading activist and the prominent freedom fighter, Nelson Mandela was released on 02 February 1990. The release of Nelson Mandela was the main step in breaking the new ground for the South African politics and public administration. Public administration in South Africa, therefore, emerged from a sympathetic process of transition. As indicated above, South Africa was initially placed under the British rule and administration. After the British rule, South Africa became victim of the oppressive rule of the National Party, called apartheid. Under apartheid the majority of South Africans were marginalised. This therefore meant that the government was only concerned about a small portion of the South African citizens, the white minority, in providing public services. As a result, the black majority of the South African citizens suffered a deliberate exclusion from receiving the public services.

However after 1994 the black majority of the South African citizens were recognized. This process culminated to the development of a democratic, constitutional and legislative framework. Subsequently, a number of policies were developed in order to bring about major social reforms. Basically, the fundamental goal was to redress the legacy of the apartheid regime. The policies that were developed as part of public administration aimed at addressing various aspects of the community life including better life for all. The notion of better life for all refers to a number of public services which should be provided through public administration including the provision of houses to the poorest of the poor. The policy implementation process as part of public administration in the South African context relates to the transformation of political, executive, departmental and

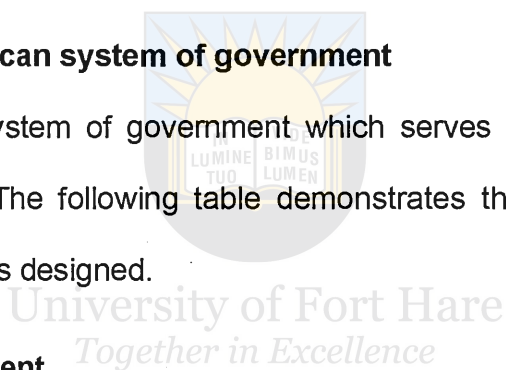
operational policy into practical (operational) steps. Public administration as a function of government officials needs to be properly guided and directed.

### 1.7.3.5. South African structures for public policy process

South Africa, like any other developing country, has developed a specific system of government and a model for policy formulation, implementation, analysis and evaluation and a public service delivery model. The above revelation tells a point that a process cannot take place in a vacuum but rather in a specific system or a particular environment. However, a picture of the South African environment for policy implementation is depicted below.

### 1.7.3.6. South African system of government

South Africa has a specific system of government which serves as a support structure for the rendering of public services. The following table demonstrates the manner in which the South African system of government is designed.



**Table 1.1 System of government**

Legislature	Executive	Judiciary
Parliament (National legislature) <ul style="list-style-type: none"> <li>• National assembly</li> <li>• National council of provinces</li> </ul>	National executive <ul style="list-style-type: none"> <li>• President (Head of state &amp; not a member of cabinet)</li> <li>• Cabinet (President, Deputy &amp; Ministers)</li> <li>• Government departments</li> </ul>	Court system <ul style="list-style-type: none"> <li>• Constitutional Court</li> <li>• Supreme court</li> <li>• High court</li> </ul>

Source : The Machinery of government, 2003:14.

In terms of the above, the government of South Africa is divided into three governance structures, namely, the legislature, executive and the judiciary structure. The three structures as cited above have different functions or mandates.

#### 1.7.3.6.1. **Legislative body**

It is important to reflect the structure of the legislative body in South Africa. The structure is therefore depicted in the figure below.

**Table 1.2 Structure of the legislative body**

National sphere	Provincial sphere	Local sphere
Parliament	Nine (9) Provincial Legislatures	Two hundred and eighty four (284) municipal councils

Source : The machinery of government, 2003:14.

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In relation to the above demonstration, it therefore means that South Africa has two hundred and ninety four (294) legislatures. It can as well imply that there is enough legislation to guide and direct the operations of government at all levels. In addition, it demonstrates that South Africa is divided into nine provinces, namely Eastern Cape, Northern Cape, Free State, Gauteng, Kwazulu-Natal, Limpopo, Mpumalanga, North West and Western Cape. The figure above also demonstrates that municipal structures are also established in each province to assist the local sphere to deliver services to the local communities. The figure below demonstrates the number of the South African Municipalities as established in each province.

**Table 1.3 South African municipalities**

Province	Municipalities
Kwazulu-natal	61
Eastern Cape	45
Limpopo	31
Northern Cape	31
Western cape	30
Free state	25
North west	25
Mpumalanga	21
Gauteng	15

Portfolio of Municipalities, 2008:349

University of Fort Hare

From the above demonstration, it became clear that the Eastern Cape is the second province after Kwazulu-Natal to be provided with a significant number of municipalities. It could as well indicate the level of structural readiness to provide adequate services to the ordinary citizens which fall in its jurisdiction. In addition, this could signal the commitment the South African government has in speeding up the delivery of services to the ordinary citizens. However, it needs to be stated that municipalities are categorized into Five Metropolitan Councils (Category A) (Tshwane, Durban, Johannesburg, Ekurhuleni, Nelson Mandela and Cape Town), Forty seven (47) District Municipalities (Category B) and two hundred and thirty one (231) Local Municipalities (Category C) (Machinery of Government, 2003:19).

The legislative bodies are therefore responsible for the development of legislation to regulate social, political and the administrative actions of national, provincial and local spheres of government.

#### 1.7.3.6.2. **Executive body**

The executive body of government translates the legislative imperatives into administrative functions and programmes. This body takes care of the administrative functions such as policy implementation, organising, staffing, financing, determining work methods and procedures and controlling (Cloete, 1998:86-87). After the legislative body has passed a specific Act or legislation, that piece of legislation needs to be translated into a specific government programme or a service such as the housing development programme or service. For example, the housing development service emanated in the advent of the New Housing policy and strategy for South Africa, 1994 which requires that government must provide houses to the deserving citizens. Seen from that perspective, the executive body is an institution where policy implementation takes place. It therefore means that policy implementation links the policy making process with the actual delivery of public services. The role of a chief official in a public institution is always aimed at turning legislation into workable government practices or programmes (Rein, 1983:116). However, Cloete (1980:1) writes that the executive functions consist of the administrative functions, functional activities and the auxiliary functions.

#### 1.7.3.6.3. **Judiciary body**

The judiciary is the third organ of the state in South Africa following the legislative and the executive structures. According to this arrangement, the judicial authority in the Republic of South Africa rests with the courts. Any decision taken by the courts therefore is binding to all persons including the organs of state (Machinery of Government, 2003:20). However, for the smooth and effective functioning of the courts, the judiciary system is divided into five independent categories namely:

- Constitutional Court;
- Supreme Court of Appeal;
- High Courts;

- Magistrates' Courts; and
- Other courts as established by an Act of Parliament (*Constitution*, 1996:89).

The constitutional court deals mainly with matters pertaining to the constitution. These may include interpreting, protecting and enforcing the constitution. It therefore means that if a person is dissatisfied with the decision of another court which might probably affect his or her rights, the constitutional court may be approached for a final decision. The Supreme Court of appeal, on the other hand, takes care of all the appeal cases referred to it by other courts. The High Court deals with serious cases of crime with unlimited penal jurisdiction unless the scope of a penalty is prescribed by law. Obviously, the magistrates court deals with all the normal cases of crime which emerge in its area of jurisdiction. Having demonstrated the structures above, it then means that the South African government has provided all the necessary structures for policy implementation and structures to deal with deviations on the implementation of the constitutional provisions. It is important for the citizens to know all these structures should any form of deviation emerge in the course of policy implementation, so that the authorities can formally be engaged unlike in cases where deviations tend to be addressed through public mutiny.

#### 1.7.3.7. **South African public service**

The South African public service is divided into three spheres, namely:

- National sphere, responsible for policy formulation, developing national norms and standards and determining administrative rules and regulations.
- Provincial sphere, responsible for provincial planning, provincial cultural matters, provincial roads and traffic and ambulance services.
- Local sphere, responsible for local amenities, markets, municipal abattoirs, municipal roads, noise pollution and street trading (Machinery of Government, 2003:15).

Beside the above demarcation with regard to the specific areas of responsibility and competence for national, provincial and local spheres of government, there are additional areas of responsibility and competence which are of concurrent nature for the three spheres of government, for example to mention the few, health services, environment, housing, local tourism and electricity and gas reticulation (*Constitution*, 1996:143-144).

The three spheres of government are said to be distinctive, interdependent and interrelated. This simply means that they are unique in the area of operation but required to co-operate and acknowledge each other's area of jurisdiction and that there should be a system of co-operative governance and workable intergovernmental relations among the three spheres of government (Machinery of Government, 2003:15).

The parliament serves as the legislative authority for the national sphere of government. At this level, the national legislative framework will be developed and promulgated. Similarly, the provincial legislature will develop and promulgate the provincial framework so as to regulate and guide the provincial government activities. Also, for the local government, the Municipal Councils will develop and promulgate municipal Acts and policies in order to direct the provision of municipal services (*Constitution*, 1996:27-28). Having provided the above insightful discussion, the picture of the Eastern Cape, as the strategic centre of the study, is given below.

#### 1.7.3.8. **Overview of the Eastern Cape**

The Eastern Cape Province is the hub of the natural vegetation which provides a memorable experience to an adventurer and an eco-tourist. The province, therefore excels in natural diversity, ranging from the dry, desolate Great Karoo to the lush forests of the Wild Coast and the Keiskamma Valley; the fertile Langkloof, renowned for its rich apple harvests and the mountainous southern Drakensburg region at Elliot. The province is home to a number of higher education institutions such as:

- Nelson Mandela Metropolitan University (NMMU);
- University of Fort Hare (UFH); and
- Walter Sisulu University of Technology (WSU) (South Africa Year Book, 2010/2011:5).

The overall population statistics of the Eastern Cape sits at 6.7 million people residing on 169 580 km<sup>2</sup> of land (Mid-Year Population Estimates, 2010). The main language of the Eastern Cape is Isixhosa, followed by Afrikaans and English respectively. The Government of the Eastern Cape has set for itself strategic priorities, which is rural development and agrarian transformation as a cooperative strategy. This strategy seeks to establish a cooperative development fund. The tertiary sector or service industry is the most economic active sector in the Eastern Cape which occupies 75% of the total economy in the Eastern Cape. While more than 60% of the province is rural, the primary sector, consisting of extraction such as mining, agriculture, forestry and fishing, contributes less than 3% to the provincial economy. (South Africa Year Book, 2010/2011:5). The metropolitan economies of the Port Elizabeth and East London come from the world's renowned motor manufacturing industries, such as:

- Volkswagen;
- Ford (Samcor);
- General Motors (Delta); and
- DaimlerChrysler (South Africa Year Book, 2010/2011:6).

The above revelation qualifies the popular statement which normally says that the Eastern Cape is the nucleus of South Africa's automotive industry. With two harbours and four airports offering direct flights to the main centres, and an excellent road and rail infrastructure, the province has been earmarked as a key area for growth and development.

Beside, the province has also embarked on various environmentally friendly projects such as:

- Fish River Spatial Development Initiative (SDI);
- The Wild Coast (SDI);
- East London (ELIDZ); and
- Coega Industrial Development Zones (IDZ) (South Africa Year Book, 2010/2011:6).

Coega IDZ, 20km east of the Port Elizabeth-Uitenhage metro poles, was the first IDZ to be established, and is one of the superlative initiatives has ever been undertaken in South Africa. The East London IDZ launched an innovative multi-Original Equipment Manufacturer (OEM) model. This model is designed to attract and accommodate automotive OEMs which do not currently have a manufacturing presence in South Africa and do not currently have the volumes to justify an independent manufacturing facility. Also, this initiative is believed to be the first of its kind in South Africa. The ELIDZ has therefore taken advantage of the opportunities emanating in the advent of the renewable energy as a strategic sector. The zone has, however, been identified as the leading contender for the location of the manufacturing of the first South Africa's electric vehicle.

The establishment of research and development (R&D) capability was identified as key to growing the provincial economy. The ELIDZ and Walter Sisulu University are in the process of establishing a techno-science park in Eats London. The science park will be closely linked to the ELIDZ for the practical application of science and technology innovations. To further strengthen this initiative, the Department of Economic Development and Environmental Affairs and the Provincial Treasury invested R3million to the initiative during 2009/2010 financial year (South Africa Year Book, 2010/2011:6). Against this background, the Eastern Cape is strategically positioned to drive all developmental initiatives inclusive of the housing development as means and ways of eradicating poverty and provides relief to those people who suffer from the scars of homelessness. However, the overview of the specific survey area for research is provided below.

### 1.7.3.9. Picture of the Department of Human Settlements

The top structure for the Department of Human Settlements in the Eastern Cape comprised of nine (9) main administrative components, namely:

- The Office of the Member of the Executive Council (MEC);
- The Office of the Head of Department (HOD);
- The Chief Operations Officer (COO);
- The Chief Directorate : Housing Planning and Research;
- The Chief Directorate : Legal Advisory Services and Contracts Management;
- The Chief Directorate : Corporate Services;
- The Chief Directorate : Financial and Supply chain Management Services;
- The Chief Directorate : Strategic Management/Communication & Information Office; and
- The Directorate: Anti-Corruption and Security (Department of Human Settlements, Organisation & Establishment; 2008).

The Office of the MEC provides political guidance and direction in the implementation of the housing policy and strategy for South Africa, 1994. However, on the other hand, the Head of Department guides and directs the administrative processes of implementing the housing policy and strategy for South Africa, 1994. The Head of Department is required to facilitate and coordinate strategy formulation and development for the effective implementation of the housing policy and strategy for South Africa, 1994. The other components provide administrative support to line or core function of the department, which is the facilitation and coordination for implementing the housing delivery programmes. This component is broken down to four main components such as:

- Housing Project Management & Quality Assurance;
- Housing Programmes Facilitation & Administration;

- Housing Property management; and
- District Coordination & Expanded Public Works Programme (EPWP).

Subsequently, the Head of Department for Human Settlements in the Eastern Cape together with the management team have developed a strategy of the same department. The strategy is comprised of the three main strategic goals, namely:

- **Integrated sustainable human settlements**, meaning, eradicating the housing backlog through accelerated development of integrated sustainable human settlements by providing quality and sustainable living environment which is essential for social enhancement and restoring human dignity;
- **Planning, policy, research and legislative environment** through facilitating the existence of legislative and policy environment that is informed by a well-researched planning to ensure the development of decent human settlements in the Eastern Cape; and
- **Good governance** which translates to the provision of political and administrative leadership that ensures a properly managed, effective and efficient pro-poor department (Service Delivery and Improvement Charter, 2010/2011 financial year).

Ideally, the strategic planning process provides scope of areas to be covered by the operational activities of an organisation. Similarly, the strategy of the department under investigation has provided scope for the main functions of the department for it to effectively implement the delegated mandate. The table below demonstrates the main functions of the Department of Human Settlements in the Eastern Cape.

Table : 1.4 Fundamental functions of the Department of Human Settlements

PRIMARY FUNCTIONS	SECONDARY FUNCTIONS
<ul style="list-style-type: none"> <li>• Rural settlement;</li> <li>• Informal settlement development and upgrading;</li> <li>• Rental and social housing;</li> <li>• Secure tenure and land acquisition;</li> <li>• Provision of title deeds to home owners;</li> <li>• Approval of housing projects to eliminate backlog;</li> <li>• Rectification of shoddy homes; and</li> <li>• Installation of other services inclusive of other amenities.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide strategic leadership and guidance for integrated services;</li> <li>• Provide integrated talent management services;</li> <li>• Render financial and risk management services;</li> <li>• Provide supply chain and asset management services;</li> <li>• Render information communication technology services;</li> <li>• Facilitation of public sector and institutional transformation;</li> <li>• Provide anti-corruption and security services; and</li> <li>• Provide strategic planning and corporate communication services</li> </ul>

Source : Service Delivery & Improvement Charter, 2010/2011:5.

From the above table, it becomes clear that the department under investigation understands all the functions which should be provided for the effective housing development in the Eastern Cape. The functions as cited above cover the whole range of functions which are of necessity in the housing development environment. For example issues of leadership, capacity, communication, planning and institutional transformation are essential for policy implementation. As indicated, the

department has actually captured all elements and functions which would ultimately support it to implement the housing policy and strategy. However, a discussion on the importance of the study is provided below.

### 1.8. SIGNIFICANCE OF THE STUDY

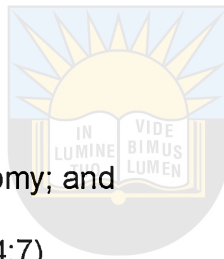
The goal of any public institution is to secure the well-being of the people within the Republic of South Africa (Section 41 (1) (b), *Constitution*, 1996,). It then means that if government is succeeding in securing the well-being of people, social needs and expectations of the people must be fulfilled holistically. In order to promote the general welfare of citizens, public officials should adhere to the following public administration principles:

- Promotion and maintenance of a high standard of professional ethics;
- Services must be provided impartially, fairly, equitably and without bias;
- Resources be utilized efficiently, economically and effectively;
- People's needs must be responded to;
- The public must be encouraged to participate in policy-making; and
- Public administration must be accountable, transparent and development oriented (Section 195 (1) (a-g), *Constitution*, 1996,).

In terms of the above exposition, it is therefore expected of any public institution to provide public services with the accepted professional conduct. In the process of providing such services, public officials must ensure that services in all respect meet the needs, desires and the expectations of the ordinary people. It also implies that public officials must not only decide on the type of service to be provided to the communities but communities must be involved in the process of determining the type of services which must be provided to the communities in order for the services to meet community expectations.

Putting the above principles in a manner that could assist communities to enjoy better life for all, an integrated, coherent socio-economic policy framework was developed by the African National Congress (ANC) in 1994. The goal of this framework was to eliminate serious problems in the economic, social, political, moral and cultural environment which is regarded as the direct result of the apartheid policy (ANC, 1994:2-3). The fundamental goal of the framework is to fulfill the divergent needs and the expectations of communities within the Republic of South Africa. Five key programmes were therefore developed as a policy directive or guideline, namely:

- Meeting basic needs;
- Developing human resources;
- Building the economy;
- Democratising the state and economy; and
- Implementing the RDP (ANC, 1994:7).



It therefore means that the development of policies in the present dispensation must consider fulfilling the broad government objectives as indicated above. If the present policies aim at fulfilling the above prescriptions, why is it taking so slow, then, for the ordinary man in the street to realize the above objectives in practical terms? This study revolves around this question. The goal is to establish the failure on the part of the public officials not to effectively implement the progressive policies of the present democratic government in a manner that corresponds with the policy intent.

Section (195) (1) (i) of the *Constitution*, 1996 stipulates that public administration must be broadly representative of the South African people, with employment and personnel management principles based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation. In responding to the above, the present democratic government came up with the programme of affirmative action. The interest therefore will be to understand whether or not public institutions are implementing this programme in line with its fundamental aims and in a manner which does not contravene any of the programme aims and compromise the

delivery of the public services. The public services ought to be provided in an unbiased manner, treating every service beneficiary as equals and ultimately compensate for the past discriminatory activities.

The future public service should effectively bridge the gap between the first and second economies, linking them through effective income generating activities that meet the needs of poor and also create opportunities for wealth creation... Such initiatives should be based on a vibrant and imaginative national development strategy within which public service development efforts will be aligned (*Public Service Commission State of the Public Service Report, 2005:26*). The service delivery improvement programme cannot be achieved in isolation from other fundamental management changes within the public service. It must be part of a culture shift wherein public servants act as fully fledged servants of the people and where the primary public service goal is to provide services to the people. Improved service delivery cannot only be implemented by issuing circulars... However, it is a dynamic process out of which a completely new relationship ought to be developed between the public service and its key clients (Section 1.2.6, *White Paper on Transforming Public Service Delivery, 1997*). It became evident that the provisions cited above are the critical instruments which the present government puts on the table to create space for the impartial rendering of public services to every citizen of this country.

However, the importance of investigating this topic, is that challenges facing policy implementation in the department in question will be exposed and as such the Executing Authority (EA) and public officials could be placed in a better position to explore appropriate corrective measures. Both the operational personnel and the ordinary citizens of the Eastern Cape Provincial Administration will, in the process of investigation, learn and become aware of challenges which hamper the process of policy implementation in government departments in general and particularly the government department under investigation.

This study will provide the required information for students whose intention is to gain knowledge of policy development and implementation in the public sector. Also, the study will provide suitable information for planning purposes by the executive management of the selected government department with a view to improve capacity to deliver public services efficiently and effectively. Lastly, the study will provide the required data which can be utilized by institutions of higher learning as a resource for further research development. The limitations of the study are presented below.

### **1.9. LIMITATIONS OF THE STUDY**

The study coincided with the departmental change process wherein new management structure has just been approved. This change necessitates a major overhauling of the departmental systems. It therefore tells that the busy schedule has already been implied. It will therefore be a real challenge to balance the competing priorities – the work and chasing of the study schedules. Also, the researcher will surely experience financial constraints as a result of the due commuting between East London and Mthatha. It therefore means that the researcher has to begin implementing the cost cutting measures in finances so as to save monies to fund the research project. A discussion on the study plan is given below.

### **1.10. STUDY PLAN**

By a study plan, in this context, is meant planning and organizing of the research information into orderly and properly planned chapters. This approach serves to guide and direct the reader step-by-step to what is contained in each chapter of the study. A study plan therefore has a dual purpose. Firstly, to enable the researcher to organize the theoretical and empirical information into specific chapters, sections and sub-sections to orderly sense. Secondly, a study plan seeks to direct the reader by indicating what can be expected in each chapter. To investigate the topic of appraising the policy implementation process in the public sector as a scientific study, two main

components are usually dealt with, namely a theoretical construction and an empirical testing (Meiring, 1987:4).

Chapter one provides introduction and general overview to serve as an essential premise for the study. The chapter describes and explains the problem statement and hypothesis, the objectives of the study, the theoretical framework which underpins the study, delimitations of the study, the significance of the study, limitations of the study, and lastly, the study plan and definition of terms and concepts.

Chapter two deals with the literature review wherein opinions and views of the various book authors are critically examined. The examination is guided by the division of the sections into three main areas, namely theoretical framework represented by the process and the systems theory, a conceptual framework which captures the nature, place, models and the link between politicians and public officials in policy implementation and the legislative framework for the housing development in South Africa. Chapter three provides a cooperative interactive role of the stakeholders in policy implementation. Chapter four takes care of the research design and methodology of the study. The aim is to describe and explain the research tools which will be used to evaluate the research hypothesis.

Chapter five presents data presentation, analysis and interpretation. This chapter deals mainly with the actual analysis through closely interpreting and comparing the respondents' responses to capture and provide meaning and provide the overall evaluation of the responses against the hypothesis and the objectives of the study.

Chapter six discusses the findings, recommendations and conclusion. In the main, the chapter provides suggestions on how the findings can effectively be solved. The following section deals with terminology and concepts used in this particular study.

## 1.11. DEFINITION OF TERMS AND CONCEPTS

Any piece of writing will always have specific selected terms or concepts to underpin it. The research studies are therefore no exception. For this reason, terms and concepts which serve as the pillars of this study will be explained and clarified for better understanding of the study objectives and goals. De Vos *et al* (2002:34) note that technical terms selected in scientific discipline needs to be defined to avoid vagueness or ambiguity.

### 1.11.1. Appraisal

By appraisal is meant a process of systematically assessing or examining a specific phenomenon with a view to establishing its efficiency and effectiveness in promoting the general welfare of citizens (Meiring, 2001:1).

### 1.11.2. Capacity

By capacity is meant the ability or aptitude to deal with any given or assigned task (Online Dictionary). In this instance, capacity may be regarded as the ability or a specific competence to perform a particular piece of work or the competence to implement or drive the implementation process of a specific government programme. Collins English Dictionary (2007:115 defines capacity as the ability, aptitude, capability and competence to perform a specific function. However, Chambers-Macmillan dictionary (1996:144) defines capacity as the ability to do something or the ability to learn how to do something. It can therefore be concluded that capacity can refer to both the individual skill to perform a given task and the ability of any public institution to effectively deliver on its mandate, paying a particular attention on its organisational systems and processes.

### 1.11.3. Communication

Communication refers to the manner of transferring a message or an instruction. Communication according to Smit *et al*. (2007:365) can be described as the process of transmitting information and meaning. Communication can further be classified into three categories namely intra-personal,

interpersonal and organisational communication. The intra-personal communication refers to receiving, processing and transmitting information within the ranks of management. However, interpersonal communication refers to the direct exchange of information between two or amongst a group of people, on a person-to-person basis. On the other hand, organisational communication means the transfer of information between the different components of the organisation. From the above explanation, it becomes clear that communication is the transfer of information at different levels and to specific information recipients.

This process implies communicating with the internal role players and at various departmental structures or levels. This type of communication is a bit complex as it relates to quite a number of role players and internal and external departmental structures which play a meaningful role in the implementation of departmental programmes. Organisational efficiency and effectiveness can only be realised if there is effective communication amongst all the key role players within an organisation. Werner (2007:164) writes that organisational communication serves three main purposes namely:

- to co-ordinate actions;
- share information; and
- satisfy social needs.

At this stage, it can confidently be put that all the related terms and concepts that the research study will use have been clearly explained. Even though the terms may appear different in terms of the literal meanings, but their utilisation in the study will seek an integration of these terms in the practical field of policy implementation. For example, there is no other way of establishing if the RDP as a concept still exists other than evaluating the process of implementing the government programmes. Similarly, the role of leadership coupled with effective communication and the delivery capacity of the state machinery play a pivotal role in the policy implementation process. To

create a solid foundation for the effective policy implementation, it was therefore imperative to introduce the terms and concepts as defined above.

#### 1.11.4. **Leadership**

By leadership is meant an art of bringing to mind ideas of motivation, influencing and the skill of working with people (Burke & Barron, 2007:260). Leadership in this context refers to the ability to inspire, motivate and influence the diverse teams to accelerate work performance in order to achieve the set goals. Smit *et al* (2007:271) defines leadership as the process of directing the behaviour of others towards achieving the set organisational goals. This process, as the team believes, involves taking the lead to bridge the gap between formulating plans and reaching the goals. Basically, this simply means translating plans into reality or workable government programmes. Leadership therefore means influencing people, giving orders, motivating people, managing conflict, co-ordinating the activities of the work teams and to broadly manage the communication patterns within an organisation. By and large, leadership is about setting the direction of the organisation and coping with the organisational change (Smit *et al*. 2007: 277).

#### 1.11.5. **Process**

Dimocket *al* (1998:5) defines a process as obtaining co-operation from law making bodies, public, government employees and special interests groups in providing public services to satisfy the needs of communities. It therefore means that a process is a sustainable co-operative effort of all the role players in the provision of public services in order to improve social, economic and the political conditions of citizens in various communities. The online dictionary defines a process as a course of action, a method and a procedure. In this way, a process can be regarded as a fundamental method which is mostly utilised to direct and guide an administrative activity such as policy implementation.

#### 1.11.6. **Policy**

Policy means a formal articulated goal that the legislator intends pursuing (Cloete, Wissink & de Coning, 2007:14). It therefore means that a policy is simply a statement of intent which legislators often declare in the process of providing direction or guidance in a specific public institution. Yoder (1959:11) writes that a policy is an authoritative exposition of objectives which indicates what the policy makers want to do, what they want to achieve and where they want to go in promoting the general welfare. It can therefore be concluded that a policy is a statement of intent with a clear direction of what needs to happen, to whom and when.

#### 1.11.7. **Policy Implementation**

Rein (1983:115) writes that policy implementation is a continuation of the political process. It therefore means that policy implementation is merely a translation of the political decisions into practical government programmes. In support of the above, Dunn (1981:56) writes that policy implementation... is essentially a practical activity. It can therefore be taken that policy implementation means the actual implementation of the political decisions and could refer as well to the actions of administrators (government officials) in government offices (Greenwood & Wilson, 1989:1). However, Grindle (1980: 3) writes that implementation involves far more than a mechanical translation of goals into routine procedures but mostly involves fundamental questions about conflict, decision making and "who gets what" in a society. Policy implementation therefore can mean a variety of processes inclusive of administrative and the political process.

#### 1.11.8. **Reconstruction and Development Programme (RDP)**

By RDP is meant an integrated, coherent socio-economic policy with clearly defined objectives which aim at eliminating serious problems in the economic, social, political, moral and cultural environment. The main goal of the RDP was to reverse the apartheid legacy in South Africa (ANC, 1994:2-3). The RDP also boasts of its key main programmes such as meeting basic needs, developing human resources, building the economy, democratising the state and society and

implementing the RDP (ANC, 1994:7). The reason for the establishment of the contemporary organisations is to satisfy the needs of the communities as espoused in the hierarchy needs theory by Maslow and the RDP framework. The two documents therefore serve as the basis for the study on appraisal of policy implementation process in the department as cited above, with a view to assess the extent of effectiveness of the systems employed in the housing development programmes. To create a solid foundation for the effective policy implementation, it was therefore imperative to introduce the terms and concepts as defined above. However, the following paragraph provides a synopsis of chapter one.

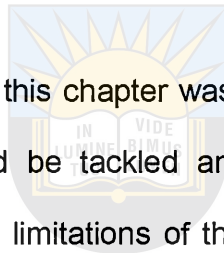
### 1.12. CONCLUSION

The chapter aims at providing a coordinated framework for the outlining of the research process. The chapter began with introduction and general orientation. This section was followed by the background to the study. A discussion on the problem statement of the study was provided. In this section, it became clear that a problem means inability to execute a specific task or programme. Also, a problem was viewed to be an impediment on the delivery of public services. In addition, the housing development exercise was construed to be a complex and complicated process. The hypothesis of the study was also discussed wherein it was noted that hypothesis simply refers to an academic speculation, a tentative and unproven statement which needs further research. It was further noted that hypothesis can best be used in explaining the relationship between variables. In proceeding further, the chapter has provided an outline of the research objectives.

Following the objectives of the study was a discussion of the theoretical framework of the study. This component has provided two theories which underpin this study, namely the process and the systems theory. Having dealt with this section, the chapter has also provided the delimitations of the study which focused mainly on three areas, namely period, theory and the survey area. In the survey area, historical account of topics which cover the broad field of public administration, which is the activity of government officials, was provided. This area has produced a refreshing account

of public administration as an activity, the origin and both the international and the South African perspectives. This section is very important as it captures the reason for the existence of public administration. It has also contributed in providing a clear shape of how the South African government plans to render services to the people, and how the service delivery systems have been designed in order to systematically coordinate, communicate and implement government programmes. The historical account brings knowledge to the people more especially about service delivery issues and the systems that should be followed if citizens happen to experience difficulties. It therefore serves as a knowledge broker for government systems and the guiding vehicle for policy or program implementation.

The other important section provided by this chapter was the significance of the study. This area puts forward some issues which would be tackled and resolved should the study becomes successful. The chapter further cites the limitations of the study as a likely risk which needs the researcher's control and management from the onset. The study plan of the research was also outlined to guide the research process. The last component of the chapter was the explanation of terms and concepts used in the study. To this end, the chapter has managed to capture all the planned sections for the first chapter of the research. However, the literature review section of the study will be presented in chapter two of the manuscript as presented below.



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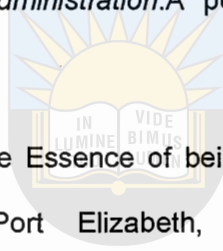
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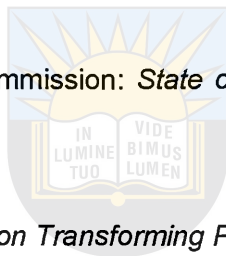
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## CHAPTER TWO

### LITERATURE REVIEW

#### 2.1 INTRODUCTION

Policy implementation is the practical translation of a policy into workable government programmes. In other words, policy implementation relates to the actions of the public officials. Chief amongst the activities of the public officials is policy making. Policy implementation forms part of the policy making process. Mostly, the activities of the public officials are an attempt to satisfy the needs of the communities. In order to adequately satisfy the needs of the communities, policies are required to regulate and guide the pattern of satisfying the community needs.

The development of a policy is not enough but a policy needs to be carefully implemented in order for the communities to relish policy benefits. Policy benefits are nothing else but a comprehensive package of the community needs and expectations which government officials ought to fulfil. The process of interpreting and translating government programmes by the public officials equates to policy implementation. The translation of a policy into implementable government programmes is an attempt by government officials to unpack the contents of a public policy with a view to satisfy the community needs. For example, the Housing Act, 1997 in South Africa contains all the government intentions to address the housing backlog which negatively affects the South African citizens. In trying to unlock this barrier for people not to enjoy better life, the government of South Africa through the Department of Human Settlements, initiated housing development programmes and projects as means to address the community housing needs. Policy implementation can therefore mean clear government programmes which aim at satisfying the needs of the communities. These programmes need to be realistic, people centred and focussed.

The purpose of this chapter is to explain the nature and place of the policy process and policy implementation in public administration as a way of providing both a theoretical and conceptual

perspective for the possible evaluation of the implementation process of the housing development policy in the Eastern Cape Department of Human Settlements. The chapter will provide theoretical, conceptual and legislative framework for policy implementation as a premise on which to gauge the research objectives. The chapter is planned to have four main sections, each with its own sub-sections. Firstly, the chapter will provide a theoretical framework as a base for the study. Secondly, the chapter will provide a discussion on the conceptual framework for policy implementation in public administration. Thirdly, a discussion on the conceptual framework for policy implementation will be provided. Lastly, the legislative framework for the housing development in South Africa will be discussed.

The chapter therefore serves as a foundation on which to assess the process of policy implementation of the Department of Human Settlements in the Eastern Cape, paying a particular attention on the implementation of the housing policy and strategy. As planned, a discussion on the theoretical framework is provided below.

## 2.2 THEORETICAL FRAMEWORK

By theory is meant a set of ideas which are mostly generated at the abstract level of the human mind. The word, framework means a support structure. The theoretical framework therefore means a theory structure which serves as a foundation on which to begin the study. In every field therefore, a specific concept or process will not take place in a vacuum but it will always take place in a particular environment. Two types of theories will therefore be explored to underpin this study.

These theories include, amongst others:

- The process or administrative theory; and
- The systems theory (*Vide, supra*, section, 1.6).

The process approach prescribes the basic functions which ought to be performed in a systematic way while pursuing an administrative function. It then means that a specific pattern of events need

to happen when dealing with an administrative process. On the other hand, the systems approach views organisation as a group of interrelated functions which seek to maintain the balance or equilibrium (Smitet *al.* 2007: 57). By implication, the two theories advocate for a clear pattern of events with recognisable steps to be followed in dealing with any administrative task including policy implementation. The process or administrative theory is discussed below.

### 2.2.1 Process or administrative theory

A process is a course of action with consecutive and related steps or series of actions or events, which form a recognisable pattern. The frequency of the process is so often to an extent of repeating itself (Meiring, 2001:87, Jones, 1984:24). The process approach developed as the opposite of the scientific management approach. The scientific management approach was focusing more on the productivity of the worker. However, the demand for an advance approach to manage complex organisations grew high and as a result the process approach was developed. This approach came with guidelines such as a process to manage the operations of complex organisations (Cronje *et al.*, 2007:32). The proponents of this theory believe that organisations to perform efficiently, should concentrate only on the six generic processes of public administration.

These include:

- Policy-making;
- Organising;
- Controlling;
- Personnel provision and utilisation;
- Financing; and
- Determining work methods and procedures (Van de Waldt& Du Toit, 1999:63).

From the above explanation, it becomes clear that policy implementation falls under one of the generic processes of public administration, namely policy-making. It therefore means that policy

implementation is not an event but a process itself. The management structure of any organisation is therefore expected to regard policy implementation as a process which requires constant supervision for it to succeed.

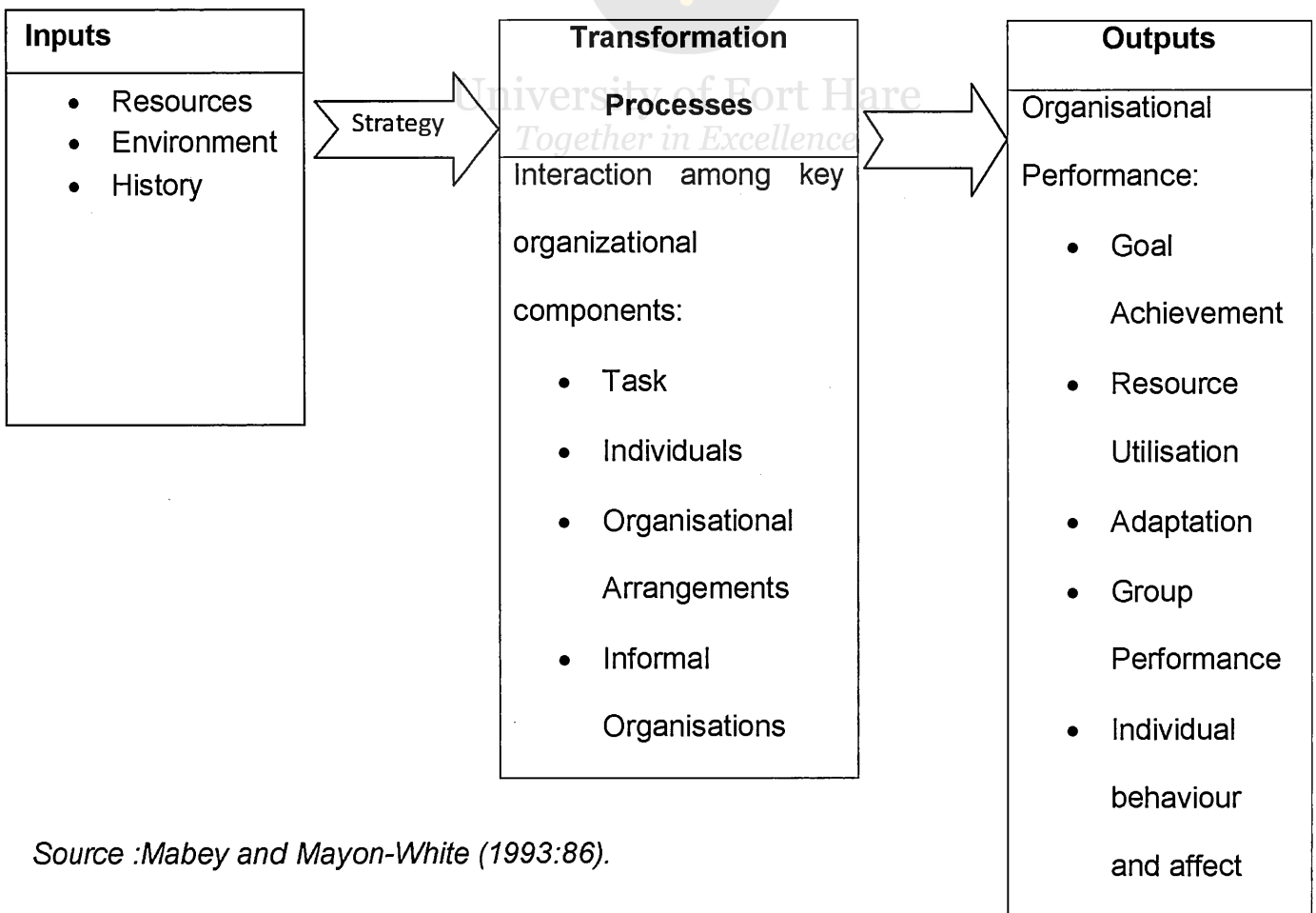
However, to view policy implementation as only a process than a fully fledged government programme of implementing policies might be problematic. If managers could adopt this approach of equating policy implementation to a process, serious areas of management for policy implementation might be ignored. For example, before policies could be implemented, it is required of managers to develop implementation plans. The plans as cited above, are used to guide and direct programme implementation. A process is not something which is self-propelled, it always require a specific driving force – which in the case of policy implementation, is the management effort to make it effective. To this end, even though a process approach is relevant for this particular study, a review on the basis of the assumption is needed. The process of policy implementation requires a variety of other administrative processes for purposes of efficiency and effectiveness. The goal should not only focus on the process but it must as well concentrate on the other issues which would make policy implementation more responsive to the needs of the public service beneficiaries at large.

### **2.2.2 The Systems Approach**

By a system is meant coordination or a specific method of putting things together. The systems approach views an organisation as a disjointed whole which needs coordination (Van de Waldtet *al*, 1999: 65). In this approach, organisation is seen to be a group of interrelated functions which seek to maintain the equilibrium. It is also believed that in an organisation, the movement of one part influences the other parts and causes imbalance (Smit, *et al*, 2007:57). Minnaar and Bekker (2005:23) write that the systems theory states that organisations exist in close and constant interaction with their environment. They receive the production factors (resources), required to operate such as people with skills, money, land, buildings and information from the environment.

This is also true of the service providers and clients that they are mostly provided by the environment hence the demand from the environment for better services. This belief is also true of the policy implementation process. To begin to implement a policy, a wide range of other issues needs to be considered. For example, once management develops a plan, a team to lead the implementation process needs to be established, a specific fund needs to be sourced, training of the policy implementers needs to be designed, relevant stakeholders have to be consulted and a full scale change management process needs to be rolled out. To elaborate on the system theory, a diagrammatic representation is provided below.

Figure 2.1: **Systems model of Organisational Behaviour**



Source :Mabey and Mayon-White (1993:86).

From the above demonstration, it can be drawn that an organisation needs input for it to start moving or begin to deliver services. This could simply mean that people should be closer to the government officials to serve as constant reminders for the delivery of public services. This is to input on the type, the quality and the immediacy of the service to be provided. Secondly, it is learnt that the processing phase needs to be managed by both the service provider and the key stakeholders through an agreed upon system. It can further be deduced that a feedback needs to be made by the service beneficiaries so as to input for further improvement. To this end, it becomes clear as to why the theory was chosen as the most relevant to underpin the study on the appraisal of policy implementation process. Policy implementation needs as well, a clear system of events.

Having touched the element of a clear system, however, Policy implementation will as well require a multiple of other administrative systems. For example, implementation requires a clear change management process, a well managed process of implementation, a clear process of budgeting, a well thought training programme and an effective stakeholder management. All the issues which have been highlighted above, constitute the major shortcomings of the theory. The theory was able to outline only the system, as if it can move on its own and actually address all problems related to the system of policy implementation, whereas the other factors cited are the partners for an effective policy implementation process.

The theory should improve and cluster all the cited factors as part of guiding and directing the policy implementation process. It can be deduced that theoretical framework means a support structure or a body containing intellectual ideas. It can also be deduced that organisations need clear processes and systems to function properly. It can further be deduced that complex work needs guidelines to be constantly directed and properly managed.

Having dealt with theory component of the study, the conceptual framework is discussed below.

## 2.3 CONCEPTUAL FRAMEWORK FOR POLICY IMPLEMENTATION

The term, conceptual refers to something which is based on concepts or a general idea (Collins English Dictionary, 2007:159). In the context of this section, it means a framework for the general discussion of policy implementation as concept based on the different views of scholars and academics. Policy implementation does not take place in a vacuum but it does occur in an occupied space of public administration.

### 2.3.1 Contextualising Public Administration

The government serves as the appendage in every state or country in ensuring the rendering of the public administrative services to the ordinary citizens. The rendering of public administration services equates to the provision of food, water and sanitation, electricity, health and RDP sub-standard houses to the ordinary citizens. The country or state refers to a geographical area which is occupied by people of different races for a common good. Within a state or country, different nations will have divergent social, economic, political and cultural needs. In order to meet the varying needs of different people within communities, policy statements as components of public administration are required to guide and direct the way in which public services ought to be provided (Cloete, 1998:126).

However, public administration is basically the work which public officials do in government institutions (Cloete, 1981:1-2 and Greenwood & Wilson, 1989:1). On the other hand, public administration in a different context could refer to a field of study or academic discipline. To differentiate the two concepts with conflicting meanings, authors normally write public administration which refers to an academic discipline in capital letters whereas the other one which stands for the activities of government officials is often written in small letters. It therefore means that public administration is both an academic discipline and a professional activity (Schuman and

Olufs111, 1993:8). This particular study is mainly focussing on the work of public officials whose responsibility is to translate government laws into operational activities within and outside government institutions. It therefore means that the public policy process will be put under scrutiny for purposes of detecting any administrative glitches with a view to recommending corrective measures.

Flowing from the above, it may simply be concluded that public administration refers to the actions of public officials. The goal of public administration - the work of public officials or administrators (Cloete, 1981: 1-2 & Cloete, 1986:2) is to satisfy the divergent needs of communities. Meiring (2001:51) writes, in this regard, that the activities of the government officials aim at satisfying human needs, interests and expectations which, in turn, is the essence of the promotion of the general welfare. According to the above assertions, public administration is about the provision of the desired services to the desperate members of communities. Therefore, the work of any public official must ensure that the needs, interests and expectations of the community members are, indeed, fulfilled.

However, the needs, interests and the expectations of citizens can be fulfilled through performing a unique group of functions and processes which is public administration. The performing of these unique functions makes it continuously possible to promote the general welfare of citizens in an efficient and effective way (Starling, 1977: 3 & Meiring and Devilliers, 2001: 202). In support of the above, Cloete (1981:1-2) writes that public administration is the work that public officials do in the public sector. Although Meiring (2001: 201) argues that administration is aimed at inducing, among others, a cooperated group action and is common to all purposeful work but, on the contrary, Cloete (1981:1-2) writes that administration is not synonymous with all work but pertains to a specific type of work as part of, and being inclusive, in all work (Gladden, 1972:4).

However, Dimock *et al* (1983:5) writes that public administration is the production of goods and services designed to serve the needs of the citizens or consumers. As such, it deals mainly with as broad a range of subjects as does economics or physics. It therefore means that public administration deals with a variety of the administrative functions and processes. These may include:

- Generic administrative functions;
- Auxiliary functions;
- Instrumental functions; and
- line functions or functional activities (Cloete, 1998:86-87).

It can be deduced that public administration means the actions of public officials in the offices of public institutions. Also, it can be deduced that the actions or the work of public officials is aimed at satisfying or fulfilling human needs, interests and expectations. It can further be concluded that within public administration there are different types of administrative functions and processes.

Within the generic administrative functions there are two sets of functional areas, namely conceptual (initiatory and innovative) and directive functions and delivery (managerial/operational) functions (Cloete, 1998:86-87).

### 2.3.2 Conceptual and Directive Functions

Conceptual means strategic functions which the executive manager in any organisation must develop and carry out. By directive functions is meant a group of functions which ought to be carried out following an instruction or as mandated by high authorities.

#### 2.3.2.1 Conceptual Functions

Conceptual functions may therefore include, *inter alia*:

- Policy-making and analysis;

- Organising;
- Staffing;
- Financing;
- Determining work methods and procedures; and
- Controlling (Cloete, 1998:86-87).

### 2.3.2.2 Delivery functions

Delivery functions, simply means the implementation of the political decisions at the administrative component of an organisation. The delivery or managerial functions are classified into six main functions, namely:

- Policy implementation;
- Organising;
- Staffing;
- Financing;
- Determining work methods and procedures; and
- Controlling (Cloete, 1998:86-87).



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### 2.3.3 Relationship between conceptual and delivery functions

There is a relationship between conceptual and delivery functions. Both functions take place in a specific organisation. This environment may either be a private or public institution. Conceptual functions in the main focuses on providing direction and guidance on how services should be rendered. The shape or the delivery service model is debated and adopted at a conceptual level or strategic component of any organisation. However, at a delivery level, the strategic decisions are then translated into operational activities. What follows a strategic decision is the process of the actual delivery of services. Without a strategic direction, the manner of providing services will always be absurd. Even though at a glance, one may argue that the conceptual and delivery

functions are similar but may only be separated by a policy making and policy implementation function. This argument may not be correct when one considers the different levels at which the functions pertaining to the conceptual activities are performed compared with those of the delivery functions. The glaring difference is in the manner and the extent to which these functions are performed.

In practice, the two functions create confusion. The confusion is normally created in instances where these functions are regarded to be one and the same function. This discussion is important in that it provides some clarity on what used to be a source of tensions in contemporary organisations. In cases where the two functions tend to create problems and some elements of overlap, the process of policy implementation normally meets with a variety of unintended blockages. It then, means that the difference and the relationship between the two functions must clearly be understood for policy implementation process to move swiftly and un-obscured. It can be deduced that there is difference between conceptual and delivery functions. Also, it can be deduced that the difference is on the level of performance. Having demonstrated the comparative analysis of the two separate functions, it becomes necessary to provide an outline of the auxiliary functions.

#### **2.3.4 Auxiliary Functions**

Auxiliary functions entail conducting of research, public relations and providing of legal services. In addition, auxiliary functions deal with notification functions such as:

- Publishing the official gazettes;
- Official Acts and policies;
- Strategic plan documents;
- Policy and Budget Speeches and Official Papers;
- Budget proposals and Expenditure Reviews; and

- Annual performance plans (Cloete, 1998:86).

Furthermore, auxiliary functions deal with constructing and maintaining information systems. These include issues of data collection, processing and retrieval (Cloete, 1998:86).

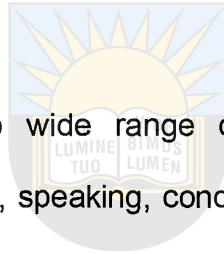
### 2.3.5 Instrumental Functions

Instrumental functions are divided into two components namely:

- Personal; and
- impersonal functions (Cloete, 1998: 86).

#### 2.3.5.1 Personal Functions

The personal functions could refer to wide range of functions such as decision-making, communicating- meaning writing, reading, speaking, conducting meetings and negotiating (Cloete, 1998:86).



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#### 2.3.5.2 Impersonal Functions

The impersonal functions mean the provisioning of a variety of functions such as:

- offices;
- workshops;
- laboratories;
- furniture;
- equipment;
- motor and related items;
- uniforms; and
- stationery.

### 2.3.6 Functional Activities

Functional activities refer to occupational or professional work such as;

- Building roads;
- Nursing patients;
- Providing health services;
- Transporting goods;
- Education;
- Foreign Affairs;
- Environmental conservation; and
- Library services (Cloete, 1998: 86).



Having provided a discussion of a public administration perspective with its group of functions, it then logically follows that a discussion needs to be provided on the administrative functions and processes.

### 2.3.7 Administrative functions and processes

In administrative components, a function can easily be confused with a process. For this reason, a clear understanding of the difference between a function and a process needs to be provided. Meiring (2001:38) writes that a function can be described in more than one way and that it is usually linked to a specific object or a person. For example, the policy making function is considered to be the work of politicians which is normally debated at a legislature. On the contrary, a process is considered to be a series of consecutive and related steps with a recognizable pattern that takes place so regularly that the process repeats itself. As a result of the above explanation, it then logically follows that a clear distinction needs to be provided of a function and a process.

A function is a task which is set to be performed and a process means the approach to be followed in performing such a task. For instance, policy making is an administrative function which ought to be performed by strictly following a specific pattern of events or steps. It therefore means that in performing the policy making function, specific steps need to be followed. It therefore means that in public administration, there is a set of administrative functions and processes (Cloete, 1986:2). There is a consensus that the generic administrative functions comprised of the six main categories such as:

- Policy making;
- financing;
- organising;
- staffing;
- determining work procedure; and
- controlling (Cloete, 1985:2, & 1994:58-59, Hanekom *et al.* 2001:21 & Du Toit & Van der Waldt, 1999:5).



Within the generic administrative functions, specific administrative processes are as well taking place. This scenario makes it possible to also classify administration into administrative processes (Meiring, 2001:51). Administration can therefore be classified into six main categories of administrative processes, namely:

- policy process;
- financial process;
- organisational process;
- personnel process;
- procedural process; and
- control process (Meiring, 1988: 81).

It can be deduced that a function is different from a process. Also, it can be deduced that a function is performed following a specific pattern of events – which is a process. It can further be deduced that the work of the public officials is always guided by six main administrative functions and processes as cited above.

The goal of this chapter is to provide a discourse on the policy making function or process. These words can now be utilised interchangeably to mean the function and its processes. The nature of the policy process is discussed below.

### 2.3.8 Nature of the public policy process

The goal of any public institution is to satisfy the needs of the people on the ground. The formulation and development of various policies is an attempt of ensuring the provision of services which would ultimately satisfy communities. Public Policy making is not the end in itself but the beginning of a process which aims at promoting the general welfare of citizens (Meiring, 2001:51 & Pollit *et al*, 1979:10). Anderson as cited in Hanekom, Rowland and Bain has identified phases in the public policy making process. These phases include.

- Policy demands, which are representative of community needs and which need some kind of action on the part of the authorities;
- Policy decisions, which are the decisions made by those in power and which will elicit some form of action pertaining to the needs of society;
- Policy statements, representing the formal articulation of public policy, i.e. the making public of what the authorities intend doing;
- Policy outputs, which is what the authorities actually do and not necessarily what their intentions were as presented in policy statements; and
- Policy outcomes or consequences resulting from the steps taken to satisfy policy demands (Hanekom *et al*, 2001:26).

However, Cloete (1995: 102) has identified three consecutive steps for the public making process, namely policy making (Including formulation and legitimation), policy implementation (also known as the executive functions), and policy analysis and evaluation. In support, Meiring (2001: 52) classify policy process into three consecutive and main functions, namely: policy making, policy implementation and policy analysis and evaluation. It can be deduced that there are phases in the public policy making. It can also be deduced that the public policy process comprised of three consecutive functions or steps. One of the steps is discussed below.

### 2.3.9 Explaining public policy making

The process of policy making focuses on identifying community needs and expectations. By so doing, the executive manager prepares or paves a way for the development of properly consulted legislative reforms, regulations, instructions and other directives (Cloete, 1998:86-87). In a nutshell, policy-making means a process of scanning the environment and getting to know and understand the basic needs of the population which the government must fulfil. Dimocket *al* (1983:14) writes that a public policy is an integral part of political process which ought to involve voters, pressure groups, political parties, legislatures, the legal system and every government agency in order to produce the desired results. Ijeoma (2010:13) writes in this regard that public policy is a complex pattern of interdependent collective choices, including decisions not to act, made by governmental bodies and officials. The policy making process therefore can be viewed to be the work of politicians and public officials. According to the explanation by Dimocket *al*, public policy is the work of politicians together with other role players in the political process with a view to satisfy the needs of communities.

Edwards and Sharkansky (1978: 263) writes that policy making does not take place in a vacuum but is made by politicians and public officials and is linked to the realities of providing services to the citizens in an ever-changing environment. However, Cloete (1998:215) writes that policy making is an administrative enabling function which aims at providing personnel with the policy

means such as objectives and guidelines to render specific services and to regulate the behaviour of citizens in order to promote the general welfare (Meiring, 2001:51). Policy making is classified into various steps (Cloete, 1995: 102, Hanekom and Thornhill, 1993:63, & Ismail *et al.*, 1997:151-153). These steps may include agenda setting, formulation and adoption of a policy (Ismail *et al.*, 1997:151-153). It can be concluded that the development of a legislative framework, regulatory measures, instructions and directives form part of the political process. It can also be deduced that policy making involves different strategies and a variety of role players in the political process. Policy making is however performed in various levels of a public institution.

### 2.3.10 Levels in Policy Making

By a level, is meant a rank or echelon. In the context of this discussion, the level indicates different administrative management ranks or echelons in which policy making process takes place. Notably, evidence exists that all states share a particular aspect. This aspect relates to the sharing of peculiar structure in public institutions within which a hierarchy of functionaries will be reflected. These include, the legislative institutions, (Parliament, provincial legislatures and municipal councils), political executive institutions, (Cabinet, provincial executive councils and management committees of municipal councils) and administrative executive institutions (state departments and parastatal institutions) (Cloete, 1998:127-128) However, the levels in relation to the hierarchy of policy statements are described below.

#### 2.3.10.1 Political policy making level

Political policy level means the type of policy that is developed at the political level of the public institutional hierarchy. This kind of policy contains the aspirations of the masses and is often presented by the ruling party in parliament as a bill. Once it is approved, it becomes the highest policy document of the public sector. The best example of such a policy is separate development of

the National Party and the reconstruction and development of the African National Congress. (Cloete, 1998:127) Beside political policy level, there is also a political Implementation policy.

#### **2.3.10.2 Executive policy making level**

The political implementation policy refers to a policy which political executive office-bearers develop to implement broad legislative framework. Alternatively, this could mean a policy that is developed at the superstructure level of the executive institutions such as the cabinet and provincial executive council. The distinctive feature of the political implementation policy is the projection of the annual performance programme and the cost implications (Cloete,1998:131-132)

The next level in policy making is administrative or departmental policy.

#### **2.3.10.3 Administrative / Departmental policy making level**

The administrative executive policy means a piece of a policy which considers and takes care of the practical strides towards implementing the political implementation policy. The key role players in the formulation of an administrative executive policy, are the departmental officials. This type of a policy will provide scope and boundary in relation to the areas to be covered by the implementation phase (Cloete,1998:132) Basically, this policy is developed by officials to implement broad departmental policies. Having described administrative executive policy, the operational policy is described below.

#### **2.3.10.4 Operational policy making level**

The operational policy is the type of policy which is developed by supervisors while implementing administrative executive policy. The primary aim of this policy is to direct operations hence its development is at the operational level. The operational policy directives are always confined to specific areas such as office, section or a division of state department and would generally regulate activities of routine work (Cloete, 1998:132-133)

In the process of policy making Hanekom and Thornhill (1993: 63) have identified quite a number of steps that could be followed, namely formulation, authorization, articulation, execution and feedback while Ishmail, *et al.* , (1997:151 and 153) came with only three steps, namely, agenda setting, formulation and adoption of policy. It can be deduced that policy making is conducted at different levels namely: political policy, Executive policy, and operational policy. The function of the policy making has its own consecutive steps or processes, namely policy initiation, policy formulation and policy approval. The discussion for policy initiation follows.

### 2.3.11 Policy initiation

Initiation means the start of an action. In this context, it means the beginning of a policy – making process. To put it differently, this is the actual commencement of the basic activities of formulating and developing a policy such as conducting a survey wherein the goal is to establish problematic areas of the policy environment. This means that a problem needs to be clearly defined so as to effectively resolve it. Edwards and Sharkansky (1978: 87) write that something wrong may be clear to all, but exactly what is wrong is generally not clear. In such cases, therefore policy makers must thus determine and describe the nature and cause(s) of the problem meriting attention clearly.

Dye (1981:348) also notes that if certain conditions in society are defined as problems and alternative solutions put forward, the conditions become policy issues. What it means therefore is that once conditions have been declared a problem, a process to develop a new policy is implied. In such circumstances, governments are forced to initiate a process towards resolving such identified problems.

Meiring (2001:52), in this regard, writes that policy making is undertaken to solve a problem or act proactively to prevent such a problem in the environment. Also, it is stated that this action should be in correspondence with the will and values of the citizens. Therefore it means, before policy makers can act, a thorough survey of the likely causes of the problem needs to be undertaken to

understand and appreciate the needs, interests and expectations of the citizens. Policy initiation thus requires making known a problem and emphasizing the need for a policy. Deciding what will be the problem is even more important than providing solutions (Dye, 1981:348). To commence a policy development process, the following three crucial steps are necessary:

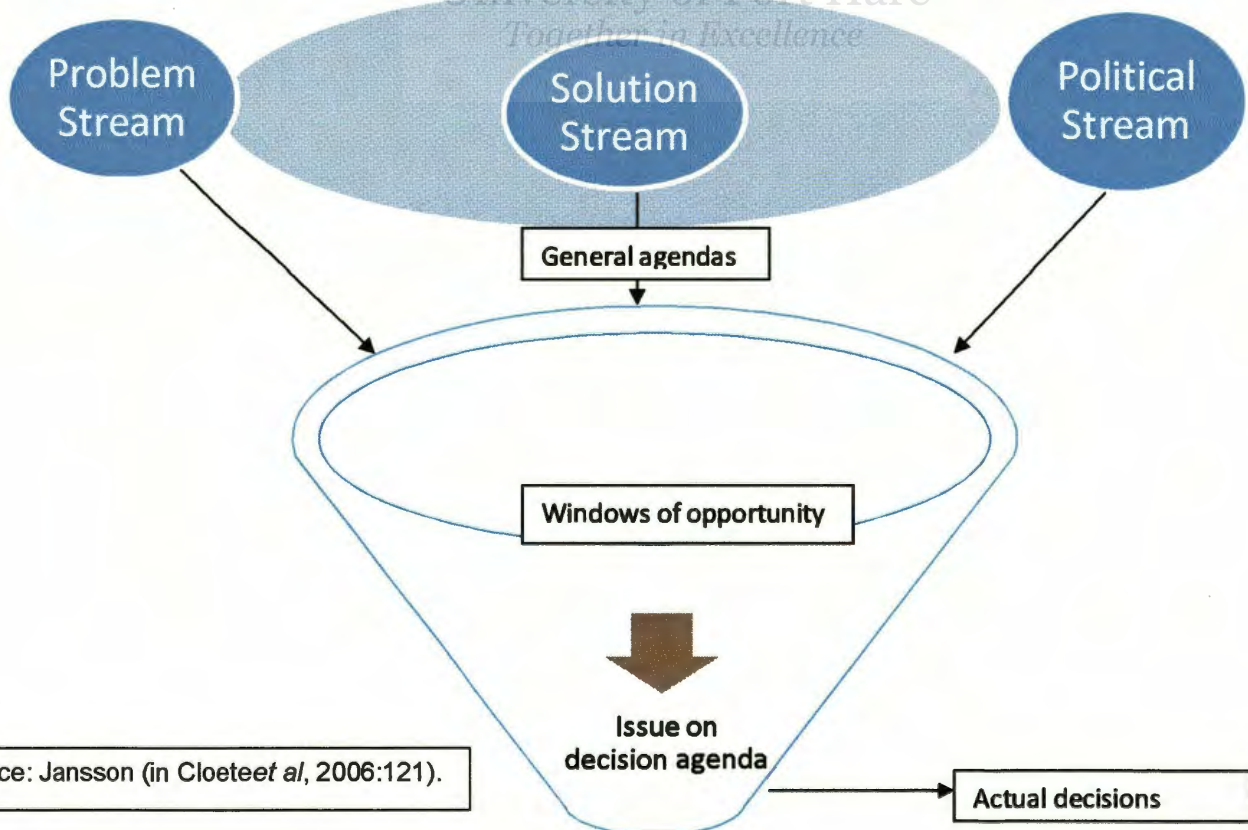
- Awareness of the problem;
- describing of the problem; and
- collecting information to solve or prevent the problem (Meiring, 2001: 53 and Edwards and Sharkansky, 1978: 87).

The approach for the testing of community views in relation to an identified problem can be demonstrated as follows:



Figure 2.1 The Agenda Funnel

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Source: Jansson (in Cloete et al, 2006:121).

It can be deduced that a compelling reason should clearly be identified before a policy is developed. It can also be deduced that a policy is developed to solve a specific problem and to prevent its further occurrence. It can further be deduced that three steps need to be followed in policy initiation as indicated above.

### 2.3.12 Policy formulation

Formulation means preparation or the invention of a policy (Online Dictionary). By and large, formulation refers to a process of putting together policy proposals into a draft policy document. Anderson (2006:103) asserts that policy formulation involves developing pertinent and acceptable proposed courses of action, called alternatives; proposals and options, for dealing with public problems. The process of policy formulation is mainly guided by two important actions, namely:

- decide what action should be taken to solve or prevent a problem; and
- formulating suitable recommendation or proposals how to solve the problem (Meiring, 2001:56).

It can be deduced that formulation is to develop policy options to solve the existing societal problem. It can also be deduced that policy formulation is guided by two actions.

Policy formulation consists of various steps which have to be carried out, namely

- liaising with interested parties;
- processing of information;
- setting of objectives;
- determining of priorities;
- considering of alternative solutions; and
- survey of available financial resources (Meiring, 2001:57-59).

Meiring (2001: 59) writes that policy decisions cannot be taken arbitrarily because such decisions will always have financial implications. It can be deduced that policy formulation refers to a process of compiling draft policy proposals seeking approval of a policy option. It can also be deduced that policy formulation is guided by steps which requires consideration by the policy makers.

### 2.3.13 Policy approval

By approval is meant the granting of permission for something to happen or to be regarded as authentic. Likewise, policy approval involves the authorization and appropriation of the proposed draft document, and the taking of executive measures (Hanekom, 1987: 52). Cloete *et al* (2006:165) contend that public policy making begins with a decision and concludes with a final decision. Policy approval is no more than a choice made between alternatives at a given time which is probably motivated by facts and values. In this scenario, public officials supply facts to the executive political office-bearer but values are mostly determined by the community. The political office bearer will then test the balance of probability by measuring facts against community values (Cloete *et al*, 2006:167, Van der Waldt *et al*, 2002:184). Dunn writes, in this regard, that the reasons why a specific choice or several choices are made and goals likely to be achieved rests in a variety of decision making processes namely, technical, economic, social and substantive rationality. He went on to say that policy approval means choosing the best option out of a variety of policy options with due cognizance of many other aspects such as:

- benefits of the policy to the public and government;
- costs of the policy to the public and government;
- feasibility of implementation;
- mutual effects; and
- political accessibility (Dunn, 1994:274).

According to Jones (1984:111-112) policy approval equates to selecting a legitimate choice from a variety of other choices and that such a choice could easily be implemented in the practical world. The consideration of policy proposals or recommendations, in its draft form and as part of agenda, takes place in the committee and council meetings. It requires an atmosphere of bargaining, competition, persuasion, compromise and co-operative interaction between policy makers (Dye, 1984: 334).

Friedrich (1975:53) puts it clearly that "(n)ot the bedlam of a multitude of voices, but the balanced and ordered procedure of speech and reply, of argument and debate, ...is speech". Finally, the recommendations are either adopted by unanimous consent or some other decisions are taken following a debate and a division in which councillors vote (Speed, 1975: 68).

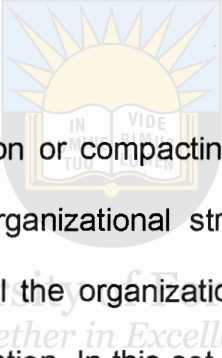
A specific procedure is required for the approval of policy. Also, a policy can be seen as a specific course of action determined to attain specific objectives. Policy will thus always involve decisions and action. Action can result from the policy only if the decisions indicate clearly where the policy makers want to go and what they want to achieve. Policy is thus the result of three consecutive steps, before the policy can be changed into practical operational steps. It can be deduced that a specific procedure is required for policy approval. Also, it can be deduced that a policy is approved after a process of debate and engagement with various stakeholders. A policy is developed by various stakeholders in different levels.

## 2.4 FORMS OF POLICY IMPLEMENTATION

Policies can be implemented using a variety of models or administrative approaches. These approaches need to be debated and adopted at management levels or echelons of any organization. Forms of policy implementation may, *inter alia*, include the following different ranges:

- Centralization;
- Devolution;
- Delegation; and
- Decentralization of powers.

### 2.4.1 Centralization



The word, centralization means integration or compacting of processes or activities in a central point. The central point could be an organizational strategic center or Head Office or Head Quarters (H.Q). This area coordinates all the organizational activities and it is where all crucial decisions are taken for the entire organization. In this set up, there is unit of command, everything starts and ends at this strategic center. The center develops organizational policy framework which guides and directs the organizational operations. The same center takes charge of the implementation processes of the developed policy framework. Centralization is understood to be a concentration of power or authority in a centralized unit or central organization (Cutchin, 1981:16). Nigro and Nigro (1980:175) define centralization as the “epitome of closed bureaucracies”.

In such a center, policies are developed and implemented by the same center for the entire organization. The other centers only serve as satellite offices or service centers where policy issues are not necessarily debated but only implemented. These centers, in a nutshell, serve as the frontline offices of the organization in which all services for the organization are delivered. In

the South African context, this set up may be equated to that of the national departments. National Departments only develop policies at a national office but the rendering of services, which is guided by such policies, takes place at the local offices, for example the Department of Home Affairs and Department of land Affairs. Centralization of crucial organizational activities is mostly motivated by a variety of factors, such as:

- National solutions to complex problems;
- Utilization of complex technology and sophisticated skills;
- A means to surmount intractable local conflicts;
- Greater equality and uniformity in dealing with people;
- Economies of scale;
- Less duplication; and
- Reduced likelihood of constituency capture (Cutchin, 1981:17).



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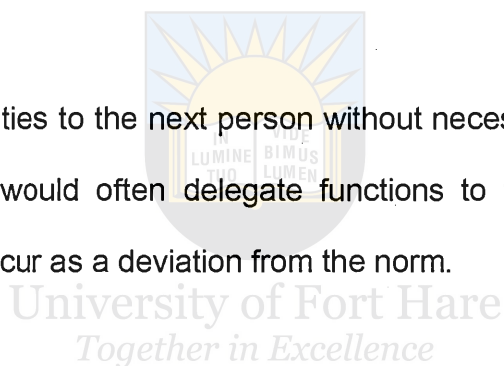
The problem with centralization of powers is that, the local inputs tend to be ignored. Also, the decision making process takes too long as the local offices will have to wait for the final decision from the central office. There is always a skills gap between the central and the local offices. There is a lot of travelling between local and central offices. On the positive, this approach will have a clear cut way of organizational communication, even though there could be elements of delays and a clear system of coordinating organizational activities and events. It can be deduced that centralization is to execute organizational operations in a central point. Also, it can be deduced that centralization promotes organizational communication and coordination of organizational processes. It can further be deduced that uniformity and unit of command can only be achieved through centralization of powers. Sometimes, organizations prefer a complete opposite of centralization and opt for the devolution of powers.

### 2.4.2 Devolution

By devolution is meant the transfer of powers from the central or the higher authority to the lower authority within an organization. Tapscott (2004:201) defines devolution as the meaningful transfer of power to lower echelons of the administrative hierarchy of an organization. Alluding to the above, Kelleher and Yackee (2004: 253) write that devolution is the transfer of power from the national government to state governments. At this stage, it can be concluded that the devolution of power is the movement of administrative functions together with its control from a higher authority to the lower authority within an organization for purposes of execution.

### 2.4.3 Delegation

Delegation means assigning duties to the next person without necessarily abdicating responsibility and accountability. Managers would often delegate functions to their subordinates but remain accountable should anything occur as a deviation from the norm.



### 2.4.4 Decentralization

In simple terms, decentralization means the transfer of power from the higher authority to the lower units of an organization. Cutchin (1981:28) defines decentralization as the dispersion of functions and authority from the national government to sub-national or sub-organizational units. This is, however, seen as the necessary component of democracy particularly in the minds of the Founding Fathers of democracy. This approach is required in instances where the system of government is divided into various spheres. For example, the system of government in South Africa is divided into three spheres, namely national, provincial and a local government. *Albeit*, the coordination of the national politics is the responsibility of the national structures, the provincial and the local spheres of government remain accountable and responsible for the politics of the provincial and local spheres respectively. Decentralization is motivated by factors such as:

- Inadequate enforcement of federal or national regulations;

- the bureaucratic tendency to fund at the base; and
- the pressures to share responsibility of money and authority (Cutchin,1981:28).

However, Cutchin saw major shortfalls about decentralization. Cutchin noted that decentralization causes fragmentation of intergovernmental relations with a potential to create divisions within the local constituencies whose instincts for survival are linked to power and appropriations. A further note was made that, decentralization makes transfer or elimination of programs or general government reorganization, more difficult. Generally, decentralization of powers causes more problems than solutions. For example, to implement policies in a decentralized pattern of an organization, the issue of uniformity poses a lot of problems, the duplication of activities with huge financial implications, the multiple of commands which are issued with an element of confusing the whole process of providing services, the inconsistencies in implementing uniform decisions, the gross shortage of the requisite skills to render services since an unhealthy competition is created with the ultimate result that everybody wants to transfer responsibility to the next level.

This tendency ends up holding the organization at ransom in terms of delivering the desired services to the communities. The goal of decentralization is to bring government closer to the people for them to be able to participate in program design such as housing, recreation, health and the functioning of public institutions including hospitals (Nigro and Nigro, 1980:177). Obviously, communicating and coordinating of organizational activities in this approach will always be absurd. The department under investigation utilizes this model of service provisioning. The Head Office sits in the town of East London while coordinating six departmental regions. In a nutshell, the department is divided into five interdependent entities, namely Head Office and five regions. In this approach, policy implementation will always require clear processes of coordination.

## 2.5 COORDINATING POLICY IMPLEMENTATION

By co-ordination is meant controlled functioning of an individual or group of people and the individual or various components within an organization for common good. In simple terms, co-ordination is the efficient and the effective way of people working together and proper functioning of the various units of an organization. Stanyer and Smith (in Greenwood and Wilson, 1984:44) define co-ordination as “the controlling of activities and decisions of individuals or agencies so that (t)hey are harmonized in the pursuit of some stated common goals or objectives”. This definition aims at the co-ordination of two important aspects within an organization, namely:

- co-ordination of decisions; and
- co-ordination of activities.



The reason for the co-ordination of activities and events within an organization is aimed at achieving the unit of command. This is an essential mechanism to defeat inconsistencies or disparities which will emerge should there be no co-ordination of activities and decisions within a specific organization. However, co-ordination seeks to avoid in advance the likely causes of conflict in the process of implementing decisions and the carrying out of administrative activities within an organization (Greenwood *et al*, 1984:44). As stated above, co-ordination of decisions and the activities within an organization is very important for purposes of the following reasons:

- equity, which means equitable treatment of clients by departmental officials;
- accountability, the overall accountability in relation to the operations of the various divisions within an organization; and
- political factors, which means putting a balance between the administrative processes and the political interests of the citizens, avoiding instances of deliberate alienation of clients (Greenwood *et al*, 1984:446).

The mechanisms for effective co-ordination are usually achieved through the use of internal memoranda, stakeholder engagement, information sharing sessions, departmental and interdepartmental fora, change agents or formally established co-ordination mechanisms such as co-ordinating teams or a clear communication strategy. It can be deduced that co-ordination is needed for proper allocation of functions, resources and the monitoring and evaluation of the overall organizational performance. It can also be deduced that co-ordination improves organizational efficiency and effectiveness through the standardization of administrative processes and procedures. It can further be deduced that co-ordination is essential for the overall management of the organizational decisions and the administrative activities. Co-ordination goes hand in glove with communication.

## 2.6 COMMUNICATION FOR POLICY IMPLEMENTATION

Communication means a process of exchanging words or ideas in an organization. It therefore means that communication is the practice, in organizations, of transferring messages or statements or announcements to both internal and external clients. Nigro *et al* (1980:229) have identified three types of communication, namely:

- Downward;
- Upward; and
- Lateral.

### 2.6.1 Downward communication

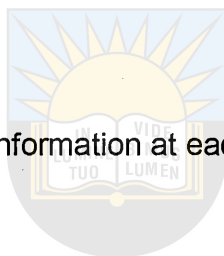
This type of communication originates from messages, instructions and directives of the top echelon within an organization. In the practical world, these messages take the form of internal memorandum or internal circulars which are compiled by the top officials of both public and private institutions. The information through the above mentioned mechanisms permeates all the different grades or levels of organization until it reaches the lower levels of the same organization. In this

approach, top management takes decisions which are assumed to be in the best interest of the workers (Nigro *et al*, 1980:230). It therefore means that decisions are taken without the involvement of the ordinary workers and that compliance is enforced. Should there be any clashes in the process, the execution of orders becomes difficult.

### 2.6.2 Upward communication

This type of communication refers to messages or inputs coming from the bottom of the organization to the top officials within the same organization. This communication mechanism has a number of obstacles such as:

- Physical distance or inaccessibility;
- Screening, dilution or distortion of information at each level;
- The attitude of the supervisor;
- The inferior status of the subordinate; and
- Tradition (Nigro *et al*, 1980:230-231).



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Nigro and others have asserted that, in this approach, good news ascends the hierarchy much more easily than bad news. The reason is to present a brighter picture than a gloomy one. The administrative reports are thoroughly edited so as to eliminate whatever the supervisor may consider unwanted by top management. Issues to be communicated are carefully sifted so as to hide any wrong doings within an organization. This may be termed the “syndrome of rightness”.

### 2.6.3 Lateral communication

Lateral communication refers to the type of communication which takes place among workers of the same level of the organizational hierarchy, or among individuals of different levels who are not in superior-subordinate relationship. Lateral communication encourages working together and relaxes communication tensions within an organization. This approach advocates for the

cooperative relationships of all the different officials within an organization. It can be deduced that for the effective rendering of any public service, officials need to communicate. Cameron and Stone (1995:124) write that communication serves as a crucial channel for people to work towards achieving organizational goals in a coordinated manner. It can also be deduced that not all types of communication channels will make organizational communication easy. However, it can further be deduced that policy implementation process requires the cooperative relationships of all officials within an organization. In the main, the process of policy implementation needs an active interaction of politicians and public officials.

## **2.7 LINK BETWEEN POLITICIANS AND PUBLIC OFFICIALS IN POLICY IMPLEMENTATION**

By the word, politics means the views or opinions of people about how a country should be run. It also refers to the art of winning and use of power to govern society (Collins English Dictionary, 2007: 622). Politicians therefore mean a group of people who possess views and opinions about how a country should be governed. On the contrary, public means people in general or all members of the community (Collins English Dictionary, 2007: 652), while administration means the action or business side of government. Politics, therefore, refers to the political opinions people might be having about something or an idea. In the practical world, politics refers to an agreed position on how a country should be run, how the administrative processes should be regulated and how development programmes should be undertaken. Therefore, the political functions are executed by the appointed political office bearers while public officials perform the administrative functions. Administration is, however, about providing services to the citizens (Dimock & Dimock, 1969:3-4). By public officials, therefore, is meant a group of people who are employed by government to render public services to the general public (citizens). Nigro and Nigro (1980:10) describe politics as the process by which power and influence are acquired and exercised. Public administration, therefore, refers to the actions of administrative personnel in both public and private institutions in an endeavour to render services to the people.

The legislative body in a country serves as the fertile ground to debate political imperatives whilst the administrative institutions carry out the administrative functions and processes. This body has a responsibility to debate and pass the legislative framework with a view to guide and direct the operations which take place at the level of public institutions (Section 44 (ii) of the *constitution*, 1996). The legislative assembly determines the laws of the country and establish oversight structures which would monitor compliance of the administrative components of government as a way of ensuring the delivery of public services to the citizens. To be exact, politicians play an oversight role over the administrative processes. It is clear that if politicians can be hands off from the administrative processes, the agreed approach in terms of how policies should be developed and how development programmes should be implemented, could easily be lost at the administrative level. This will surely lead to the dissatisfaction of the citizens, the constituency.

Since the responsibility of a legislature, is to determine the legislative framework as well as promulgation of acts and policies, it is important that both politicians and administrators work together. It is therefore a must that there should be an active co-operation of politicians and administrators in the process of providing public services. Also, the idea that politicians only develop policies and administrators only implement such policies has since vanished in the practical world. Now, both the politicians and administrators develop acts and policies to guide the smooth rendering of the public services.

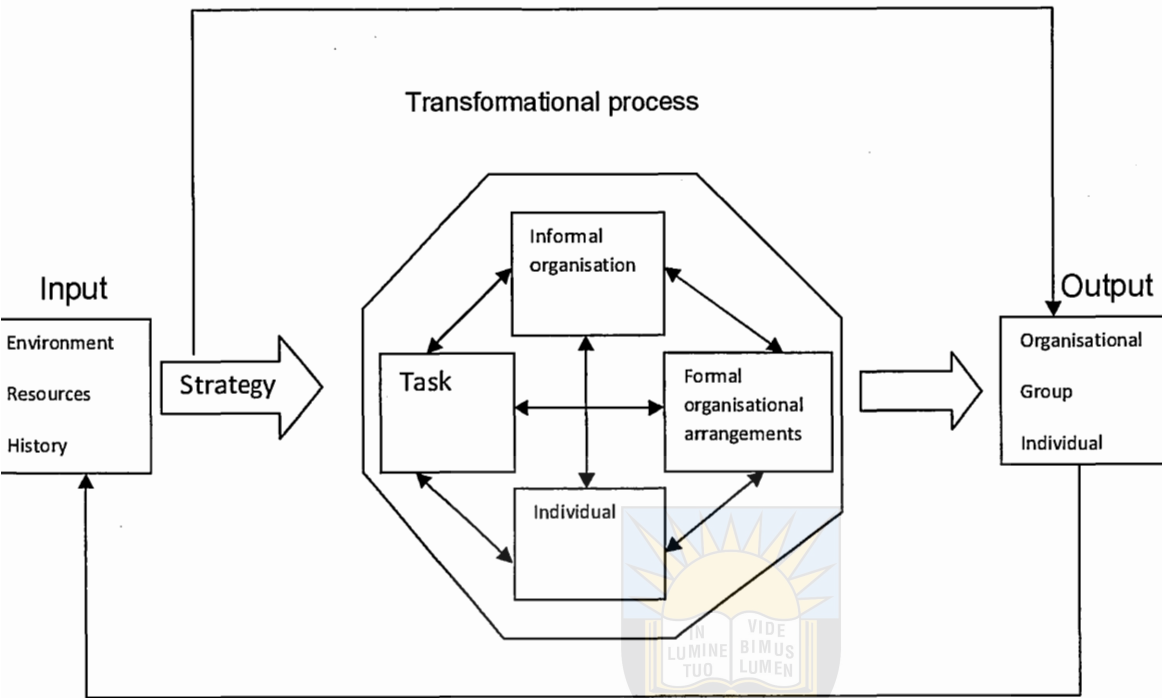
Therefore, if the actions of public officials aim at accomplishing politically determined objectives as Dimock *et al* (1969:3) have asserted, it remains a must that politicians should constantly monitor and play a meaningful role in the manner in which public officials conduct themselves in the process of providing public services. Also, as a matter of fact, if one is expected to implement politically determined policies, it becomes important for such an individual to understand the current political climate. Schuman and Olufs (1993:28) write, in this regard, that, "to understand American Public Administration, one must understand America". It, therefore, means that public

administration is always in a dialectical relationship with the political environment of its own country. It does not, however, exist floating but exists in a specific time and space. In the words of Nigro and Nigro (1980:10) which state that, "policy decisions of officials often have important political implications" is a clear indication that public administration lies side-by-side with politics. As a result of the fact that administrators are, most of the time, closer to the operations of government institutions coupled with the fact that sometimes problems will emerge and directly confront them, it becomes compelling that administrators must as well assume the role of developing policies in order to urgently respond to un-anticipated societal problems (Dimocket *al*, 1969: 8-9). Since both the administrators and politicians are accountable to the members of the community and that their collective efforts aim at satisfying the needs of the people, the interface between politicians and public officials in implementing public policies becomes inevitable. It can be deduced that politicians are required to provide a political direction in the policy implementation processes, through playing an oversight role over the administrative activities. It can also be deduced that public officials are key in the policy implementation processes and in the rendering of the public services generally.

## 2.8 MANAGING CHANGE FOR POLICY IMPLEMENTATION

By manage is meant a process of directing or controlling organizational operations, while change refers to an exercise of making something different (Online Dictionary, & South African Student's Dictionary, 1996:158). Managing change therefore means a controlled process of transforming an organization. The following diagram demonstrates organizational transformation process.

Figure 2.2 Model of organizational behavior.



Nadler *et al* in Mabey *et al*, 1993:87

The goal of any change initiative is always aimed at improving the performance of an organization. This is achieved through bending or turning around the systems, procedures and the manner in which the work is carried out. The right time to implement change is after having conducted a process of environmental scanning. This simply means that change is implemented when all organizational systems have been confirmed to be ready for the action. Mabey and others (1993:69) write, in this regard, that top managers seeking change often consciously create forums and allow slack time for their organizations to talk through threatening issues, work out the implications of new solutions, or gain an improved information base that will permit new options to be evaluated objectively in comparison with more familiar alternatives.

This can be achieved if all management levels are actively involved in guiding and directing the policy implementation process. The cooperation of all the relevant stakeholders at this stage is very critical. These may include politicians, top managers, middle managers, front line supervisors, the

operational staff, service providers and the service beneficiaries. Clear communication, common understanding of the processes and procedures for the change initiative and the coordination of the change activities need to be closely monitored for the effective policy implementation exercise.

Fox, Bayat and Ferreira (2006:50) write that both appointed and elected managers have to manage the political implications of policies because it is generally accepted that both have roles to play in the whole process of policy making. Therefore, all public managers should have skills, not only in the policy initiating and planning phases of the process but also in the other phases. This process links people with the organizational systems for the effective rendering of services which exceed customer expectation. The turning around of the organizational processes and systems is normally called, the conducting or doing of business the “un-usual way”. For policy implementation to succeed, managers need to employ various strategies which are tailor made to suit specific circumstances. In the circumstances, it can be deduced that before policies can be implemented, it is necessary to conduct readiness survey to test skills, funding and political implications of the process itself. Also, it can be deduced that policy implementation needs to be properly managed by competent managers as to:

- Improve the quality of information utilized in corporate strategic decisions;
- cope with the varying lead times, pacing parameters and sequencing needs of the sub-systems through which such decisions tend to be made;
- deal with the personal resistance and political pressures any important strategic change encounters; and
- build the organizational awareness, understanding and psychological commitment needed for effective implementation.

At this stage, capacity of the facilities and people, communication model, coordination issues, cooperation of implementers need to be confirmed. This surely requires an implementation plan which will be work shopped for the better understanding of everyone else. Once this area is covered, then the process for policy implementation may unfold. It can be deduced that before a change initiative is undertaken, space and time should be provided so as to carefully study the policy environment. It can also be deduced that both elected political and appointed public managers must lead policy implementation process. Having given this foundation, the public policy implementation is discussed below.

## 2.9 PUBLIC POLICY IMPLEMENTATION

Policy implementation is the main function of the Head of Department in a public institution. As such, it entails the process of strategic planning wherein clear mission of the department is captured. This process also assists in developing specific objectives and the goals of the department. The Head of Department has a responsibility to plan, program and market the process of policy implementation. Also, the Head of department needs to identify and report on the shortcomings of policy implementation (Cloete, 1998:86-87). It therefore means that the Head of Department has an overall responsibility to ensure that policies are implemented properly and effectively. Policy implementation is therefore the competency of the Head of Department. It therefore means that the process of policy implementation needs to be directed and guided by the Head of Department.

Policy implementation is the final stage of policy making wherein the intentions, objectives and the course of action chosen by the policy makers are put into effect. It is, however, not the end of policy making, but rather a continuation of the policy-making by other means and a declaration of government preferences, mediated by a number of actors... in a process characterised by reciprocal power relations and negotiations (Hanekom, 1987:55). Alluding to the above sentiments, Ripley and Franklin (1982:4) write, in this regard, that implementation is what happens

after laws are passed authorizing a programme, a policy, a benefit, or some kind of tangible output...The term refers to the set of activities that follow statements of intent about programmes, goals and the desired results by government officials.

Policies are not made to keep policy-makers busy or to pay lip service to society's demand that something be done to resolve problems or to realize the desired future state of affairs. Policy receives meaning only when implemented, when the intentions of the policy-makers have been put to test. Policy implementation means to understand what actually happens after a program is enacted or formulated. It actually refers to those events and activities that occur after the issuing of authoritative public policy directives, which includes the effort to administer and the substantive impacts on people and events.

It therefore means that the explanation encompasses not only the behavior of the administrative body which has responsibility for the program and the compliance of target groups, but also the web of direct and indirect political, economic and social forces that bear on the behavior of all involved, and ultimately the impacts - both intended and unintended - of the program (Mazmanian & Sabatier, 1983:4). However, Meiring and Parsons (1994:80) write that it is clear that policy implementation relates to the transformation of...policy into practical operational steps. Such transformation is achieved by performing specific steps such as the executive, programming and project management functions.

It can be deduced that policy implementation means the activities and events including the impact of an adopted public policy. It can also be deduced that policy implementation is actually the practical conversion of the policy objectives into workable government programs. It can further be deduced that when implementing a policy, three steps are needed such as the executive, programming, and project management. Policy implementation is thus directly involved in the rendering of services. It is the work that officials do to render such services. Policy implementation

is not just a question of defining an end and letting others get on with it. It is, however, a process of interaction, dialogue, feedback, modifying objectives, recycling plans, coping with mixed feelings and values, pragmatism, micro-politics, frustration and muddle (Nudzor, 2009:502). The following functions have to be carried out to implement policy and thus render services.

### 2.9.1 Executive functions

Policy implementation serves as a bridge between policy making and the actual rendering of public services. For the practical realization of the policy benefits, executive functions needs to be performed. It is thus a policy action *continuum* which takes place at a specific moment in time and results in an interaction between the three main groups of role-players, namely the politicians, officials and the citizens (Lewis and Wallace, 1984: 14). Scheirer (1981: 66) however writes that the "...success of implementation cannot be guaranteed. Feedback for problem-finding and diagnosis is likely to suggest further modifications of resources and roles..." Rein (1983: 116) writes that the chief official responsible is to turn the executive policy-the legislation into workable practice by balancing the claims of legislative intent, public opinion and administrative effectiveness.

It can be deduced that the effectiveness of public service is influenced by the effectiveness of policy implementation. The primary objective is to choose a course of action and ensure that it is properly followed over time (Dunn, 1981: 56). It can also be deduced that policy implementation is specific functions that need to be carried out and that policy implementation is "...an ongoing process of decision making by a variety of actors..." (Grindle, 1980:5). The functions, according to Meiring (2001: 67), is nothing else other than the executive functions. The executive functions consist of the administrative functions, functional activities and the auxiliary functions (Cloete, 1980:1). These functions are carried out simultaneously with the planning and programming functions.

### 2.9.2 Planning policy implementation

The executive functions have to be performed for a smooth implementation of a policy. The executive functions therefore need to be properly planned and programmed before executive policy can be implemented (De Villiers, 1981:16). Starling (1977: 126) writes that "(p)lanning is reasoning about how an organization will get where it wants to go. Its essence is to see opportunities and threats in the future and to exploit or combat them by decisions taken in the present". Cloete (1975:27) writes that "(i)t can be accepted that planning is a set of processes which must be carried out to find the best course of action to achieve a policy objective..." Meiring (2001: 70) writes that the executive and departmental policy serves as a basis for planning and that in planning attention should be given to

- identification of objectives set in the policy;
- reasoning about how to get where the policy makers want to go;
- determining possible alternative courses of action to achieve the policy objectives; and
- Choosing the best possible alternative.

It can be deduced that no service can be rendered without proper and effective planning and that planning and the executive functions cannot be separated, each function must be planned. It is also clear that planning consists of specific steps that need to be carried out to have the required plans. In planning it is essential to determine the "most" effective action to render a specific service. Furthermore, all planning activities should be linked to a time schedule and the preference order for their completion. Such action should be programmed (Meiring, 2001: 71 & Cloete, 1996:227).

### 2.9.3 Programming policy implementation

The general process of implementation of the housing policy can only begin after the executive functions have taken place. By programming activities an attempt is made to obtain the "best"

sequence for performing the activities within a specific time span. Hogwood and Gunn (1984: 210) writes that the implementation stage would involve such sequential steps as

- design a program incorporating task sequences and clear statements of objectives, performance standards, cost and timing; and
- execute the programme.

Terry (1977:253) also writes that a “(p)rogram includes future use of different resources in an integrated pattern and establishes a sequence of required actions and time schedules for each in order to achieve stated objectives”. A program thus has two main characteristics, namely:

- classified, scheduled activities; and a
- time calculation and schedule for the completion of each activity (Meiring, 2001:71, De Villiers, 1981:19).

It can be deduced that a programme should contain all the activities necessary for the effective implementation of policy and that programming is a set of specific actions which must be undertaken separately or simultaneously to attain specific predetermined policy objectives, to implement a plan and thus to render a service.

## 2.10 Public policy analysis and evaluation

Public policy analysis refers to a systematic way of evaluating policy benefits and impact on society. According to Hanekom and Thornhill (1983:66) public policy analysis means an understanding of the cause and effects of public policy on either society or the political system. In other words, it is a process of determining whether or not the public policies are able to resolve societal problems.

Morris and Fitz-Gibbon (1978: 9) write that policy analysis and evaluation seek answers to the question: “Does the unique amalgam of material, activities, administrative arrangements and role determined tasks that comprise a particular program seem to lead to its achieving its objectives”.

The aim is to establish whether or not the existing policy and its resultant activities and services are effective and efficient in promoting the general welfare (Meiring, 2001:51). Policy analysis and evaluation refers to the separate processes which aim at evaluating the impact of a public policy. This may be demonstrated as follows.

## 2.11 Policy analysis

Policy analysis refers to a systematic analysis of the dimensions and variables influencing public policy and is indispensable part of the policy management. It is an attempt by which to measure costs and benefits and policy alternatives and to evaluate actual or proposed government activities. Policy analysis is a process of giving meaning and aligning the existing government policies with the current political landscape. This process focuses on the provisions of the existing government policies and systems in order to test their relevance and appropriateness to the current political climate.


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This process goes hand in glove with the process of conducting political education wherein citizens are taken on board in relation with the goals of the present government as well as the process of creating awareness around the key objectives of the developed government policies, especially policies which aim at the promotion of the general welfare of communities (Cloete, 1998: 86-87). Cloete and Wissink (2000:3-4) write that policy analysis means systematic analysis of the dimensions and variables influencing public policy and is indispensable part of the policy management.

However, Meiring in a user friendly guide writes that policy analysis is dissection, isolation and systematic examining and explaining of policy phenomena or components to determine the effectiveness and efficiency of each part or action, accessible at (<http://www.ilgm.co.za>). Policy analysis is an attempt to measure the costs and benefits of policy alternatives and to evaluate actual or proposed government activities (Hanekom, *et al.*, 1987:30, Goldwin and Hanekom in

Thornhill and Hanekom, 1995:57). Quade (1975:4) writes that "... analysis is either equated with the separation or breaking up of a problem into its basic elements or constituent parts, much as we disassemble a clock or a machine". It includes the "...systematic examination and explanation of the formation of public policy, its substantive content, and its impact and consequences" It can be deduced that policy analysis is an attempt which aims at breaking up the policy into small units for purposes of establishing its effectiveness on the lives of the ordinary citizens. It can also be deduced that policy analysis is an instrument to measure the extent of impact which the public policy makes on the general lives of the citizens. Policy evaluation normally plays a complementary role on policy analysis.

## 2.12 Policy evaluation



Public policy evaluation is an appraisal or assessment of policy content, implementation and impact in order to determine the extent to which the specified policy objectives are being achieved. The main feature of evaluation is that it results in claims that are evaluative in character (Dunn, 1981:339). Here the main question is not one of facts (Does something exist?) or of action (What should be done?) but one of values (Of what worth is it?) (Dunn,1981:339). In the context of the above, policy evaluation may be understood to mean a process of measuring outputs against the set performance goals. Therefore, evaluation is aimed at effecting corrective measures, ensuring public accountability, understanding the needs and the available policy options or resources (Hanekom, 1987:89, Ismail, *et al.*, 1997:153, Swanepoel and De Beer, 1998:55) It is further stated that evaluation is the production of information about the value or worth of policy outcomes, according to some scale of value (<http://www.nrf.ac.za>). It can be deduced that policy evaluation is undertaken to check if policy objectives have been met. It can also be deduced that policy evaluation is intended to properly understand the needs of the citizens.

The fundamental goal of this section was to provide a theoretical framework, by reviewing available literature, for the nature and place of the public policy process and policy implementation in Public

Administration. Theoretical framework was understood to mean a support structure or a body, containing guiding principles which can serve as a base for the study on the appraisal of the policy implementation process. In this section, it was concluded that organizations require systems and processes as guiding principles for them to function properly. Also, it was learnt that organizations will always expect the input of the external environment for it to deliver public services efficiently and effectively. In this way, people queuing for the delivery of services have a right and a responsibility to make input on the type of a service to be provided or complain about the services which are provided to the general public.

In addition, it was learnt that the provision of public services inclusive of public policy implementation have to be properly managed by both the public officials and those who receive the public services – the public service beneficiaries. It is also expected of the service beneficiaries to provide feedback on the type and quality of the services which are provided for further improvement. Public administration was explained as the work which public officials perform in government offices and that public administration consists of the administrative functions and processes which can be performed with functional activities and auxiliary functions. From the discussion, it became clear that the goal of public administration is to satisfy or fulfill the human needs, interests and expectations. It was noted also that conceptual and delivery functions are not one and the same thing though at a glance they might appear similar.

The previous discussion has also revealed that there is a difference between a function and a process. In explaining the difference, it was stated that a function is performed following a specific pattern of events – which is a process. It has also been revealed that the work of public officials is always guided by the six main administrative functions and processes. From the previous discussion, a note was taken that the public policy making is divided into phases which are necessary to guide the public making process. It has also been established that the public policy

process is also divided into three steps, namely policy making, policy implementation and policy analysis and evaluation.

Interestingly, the above discussion has also indicated that the exercise of developing legislative framework forms part of the political process. As stated in the discussion, policy making involves a variety of strategies and a variety of the key role players. The public policy making has three steps inclusive of policy initiation, policy formulation and policy approval. However, it was also stated that compelling reasons should first be identified before a process of policy initiation can begin. The discussion has stated categorically that a policy is mostly developed to solve or prevent a particular community problem.

Policy initiation is preceded by consideration of three steps, identification of a problem, description of the problem and lastly the process of information gathering. From the discussion, policy formulation means to develop policy options to solve or prevent an existing problem. The process of policy formulation is guided by two actions, namely decision about the action to be taken and formulation of suitable recommendations. A specific procedure is required for the approval of a policy. A policy is approved after a process of lengthy debates and engagement amongst the various categories of the key role players in public policy making. The discussion further revealed that politicians play an oversight role over the work of public officials – which is to render administrative functions. It is also stated that any change process needs to be preceded by creation of a workable environment by both the political leadership and the public managers.

In simple terms, the implementation of new, or revised or updated policies should be guided and led by both categories of institutional leadership for it to be efficient and effective. Policy implementation was viewed to be the actual performance of the administrative activities and events including the impact of an approved policy. In other words, policy implementation is understood to mean the actual conversion of policy intent into workable government programmes. For policy

implementation process to be effective, three steps are required, namely performance of executive functions, planning and programming of policy, and the implementation of project management approaches. It therefore means that policy implementation requires interaction, hosting of policy dialogues, providing feedback and modifying of policy objectives. Obviously, the rendering of public services can only become effective if the process of policy implementation is efficient and effective. Policy implementation will always require performance of specific functions and that the process is understood to be ongoing.

It is further noted that policy implementation requires constant making of decision making by various stakeholders. It is therefore clear that quite a number of consultative processes need to be explored in the policy implementation process. It has further been observed that without proper planning, no services will be provided smoothly and effectively and that planning and performance of executive functions can never be separated. The discussion further revealed that planning is guided by steps. It therefore means that there will always be a planning cycle and that planning is not a once off kind of an activity hence the element of modification. The programming of policy implementation should manifest in the carrying out of certain administrative activities. A programme should have the required activities.

In a programme, specific actions need to be tackled either separately or simultaneously. In this section, it was further exposed that analysis is just a process of simplifying something or a phenomenon for purposes of further observation. Also, analysis was perceived to be an instrument which could be used to measure a particular scenario. However, evaluation was explained as an instrument to measure the extent to which an activity or a function is performed. In some instances, this evaluation tool is used to gain insight, knowledge and the understanding of the plight, needs and expectations of citizens in relation to a specific service which the government provides.

## 2.13 LEGISLATIVE FRAMEWORK FOR HOUSING DEVELOPMENT IN SOUTH

### AFRICA

Legislative, in simple terms, means lawmaking. In the context of this section, legislative framework means the lawmaking structure or model for the housing development in South Africa. The legislature serves as the power house for the enactment of the country laws in a democratic state. Mostly, the aim of these laws is to solve community problems, including the slow pace of housing development in the Eastern Cape Province. Cloete (1994:33) writes that the functions of the legislatures are usually prescribed in the constitutional and other legislation (Friedrich, 1968:327 & Rodee, *et al.*, 1967:217). The *Constitution of the Republic of South Africa*, 1996, as amended is thus the starting point for the discussion of the policy implementation process for the housing development. As a constitutional requirement, every citizen in South Africa has a right to have access to adequate housing.

This right, therefore, enforces the state to take reasonable legislative and other measures, within its available resources, to achieve the progressive realization of this right. The above constitutional requirement poses confusion, in the process of actually implementing this right. Firstly, the word, adequate creates problems because it does not tell the exact number of houses to be built. The question remains, when is adequate, adequate? Secondly, the right does not indicate the starting date for every citizen to gain access to a house. As a result, more often, citizens ask this question, when can our promised houses be expected? In the practical process of implementing this right, the aforementioned problems take a center stage to invite all the community mass demonstrations and hostilities. Within this constitutional legislative framework public institutions such as the Department of Human Settlements are thus responsible for the housing development at a national, provincial and the local spheres of government.

For example section 195 (1) (c-e) authorizes all spheres of government to take full responsibility and accountability for the provision of the basic public services to the people. These services are

set out in schedule 4, part A which includes housing development. Any public institution entrusted with this responsibility may make and administer such policies or strategies for the effective rendering of these services. It can be deduced that all spheres of government can play a meaningful role in the development of local communities through the housing development initiatives. However, if the province fails to meet its legislative obligation, then the national sphere of government may intervene to save the situation (*Vide*, section 100 (1) (a) and (b)).

To pave way for the smooth implementation of the housing right, the African National Congress published in 1994 an important document for the provision of houses as part of community development, entitled The Reconstruction and Development Programme, which is an integrated, coherent socio-economic policy framework with clearly defined objectives to *inter alia* eliminate the serious problems in the economic, social, political, moral and cultural environment which is seen as a direct result of the apartheid policy (ANC, 1994:2-3). In this document, five key programmes have been determined in order to reverse the apartheid legacy. These may include the following :

- Meeting basic needs
- Developing human resources
- Building the economy
- Democratizing the state and society
- Implementing the RDP (ANC, 1994:7).

The central objective of the program is to improve the quality of life of all South Africans in all respects, and in particular the most poor and marginalized sections of the communities. This objective, particularly the poor citizens, is important in community development because poverty is seen as the greatest burden of South Africa's people (ANC, 1994:15). Improving living conditions through better access to basic physical and social services, health care, and education and training for urban and rural communities is part of the strategy to develop communities (ANC, 1994:10).

Section 22 of the *White Paper on Reconstruction and Development*, 1994, endeavours to “attack poverty and deprivation” (Bond *et al.*, (1999:3). The other intention of the RDP was to introduce affirmative action for the “black people, women and rural communities” and in particular the vulnerable groups such as farm workers, the elderly and the youth. The RDP is therefore biased towards addressing rural inequality through the establishment of the local structures including municipalities in order to promote fair and equitable social welfare ( Bond, *et al.*, 1999:4). In this sense, the RDP may seem to be biased in favour of the local communities such as the communities of Amathole District and O.R. Tambo District Municipalities in terms of accessing the basic services which the public sector provides including the access to the RDP sub-standard houses.

Flowing from the above, the government of South Africa developed a New Housing Policy and strategy. The goal of this piece of legislation was to create a conducive environment for the housing development in South Africa. Throughout the discussions of the said strategy, a partnership between the various tiers of government, the private sector and the communities is envisaged. The assumption is that, the cooperation of all the key role players is a fundamental prerequisite for a sustained delivery of housing at a level unprecedented by the history of this country (*Vide*, New Housing Policy and Strategy, 1994:1). The cooperative role of all the key stakeholders for housing provision takes a center in the evaluation of the implementation process for the housing policy in South Africa. This aspect will be tested in chapter four of this study.

Agrarian transformation should be the main driver for rural development and in turn agrarian transformation should be underpinned by an accelerated land reform programme. However, it should be noted that land reform can occur outside agrarian transformation but a meaningful agrarian transformation, whose central focus is on the political economy of land, agriculture and natural resources, cannot occur without a land reform programme( Eastern Cape Rural Development Strategy (Ilimalabantu), section 1.2). Similarly, the housing development can never

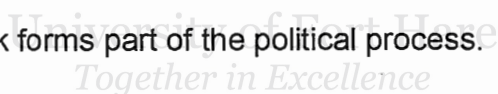
move progressively without a clear programme of land reform which will cater for a massive development of houses. It therefore means that before any initiatives could be put into practice for the housing development, the area for the building of houses should first be made available. It can be deduced that the legislative framework plays a pivotal role for the creation of a solid foundation for the provision of public services. It can also be deduced that the housing provision solely depends upon the smooth implementation of a legislative framework for the housing development in South Africa. It can further be deduced that the rendering of public services will always meet with difficulties when there is no legislative framework which will constantly direct and guide the process of delivering such services.

## 2.14 CONCLUSION

The overall aim of this chapter was to provide a theoretical framework, by reviewing available literature, for the nature and place of the public policy process and policy implementation in Public Administration. Theoretical framework was understood to mean a support structure or a body, containing guiding principles which can serve as a base for the study on the appraisal of the policy implementation process. In this section, it was concluded that organizations require systems and processes as guiding principles for them to function properly. Also, it was learnt that organizations will always expect the input of the external environment for it to deliver public services efficiently and effectively. In this way, people queuing for the delivery of services have a right and a responsibility to make input on the type of a service to be provided or complain about the services which are provided to the general public. In addition, it was learnt that the provision of public services inclusive of public policy implementation have to be properly managed by both the public officials and those who receive the public services – the public service beneficiaries. It is also expected of the service beneficiaries to provide feedback on the type and quality of the services which are provided for further improvement. Public administration was explained as the work which public officials perform in government offices and that public administration consists of the

administrative functions and processes which can be performed with functional activities and auxiliary functions. From the discussion, it became clear that the goal of public administration is to satisfy or fulfill the human needs, interests and expectations. It was noted also that conceptual and delivery functions are not one and the same thing though at a glance they might appear similar.

The previous discussion has also revealed that there is a difference between a function and a process. In explaining the difference, it was stated that a function is performed following a specific pattern of events – which is a process. It has also been revealed that the work of public officials is always guided by the six main administrative functions and processes. From the previous discussion, a note was taken that the public policy making is divided into phases which are necessary to guide the public making process. It has also been established that the public policy process is also divided into three steps, namely policy making, policy implementation and policy analysis and evaluation. Interestingly, the above discussion has also indicated that the exercise of developing legislative framework forms part of the political process.



As stated in the discussion, policy making involves a variety of strategies and a variety of the key role players. The public policy making has three steps inclusive of policy initiation, policy formulation and policy approval. However, it was also stated that compelling reasons should first be identified before a process of policy initiation can begin. The discussion has stated categorically that a policy is mostly developed to solve or prevent a particular community problem. Policy initiation is preceded by consideration of three steps, identification of a problem, description of the problem and lastly the process of information gathering. From the discussion, policy formulation means to develop policy options to solve or prevent an existing problem.

The process of policy formulation is guided by two actions, namely decision about the action to be taken and formulation of suitable recommendations. A specific procedure is required for the approval of a policy. A policy is approved after a process of lengthy debates and engagement

amongst the various categories of the key role players in public policy making. The discussion further revealed that politicians play an oversight role over the work of public officials – which is to render administrative functions. It is also stated that any change process needs to be preceded by creation of a workable environment by both the political leadership and the public managers. In simple terms, the implementation of new, or revised or updated policies should be guided and led by both categories of institutional leadership for it to be efficient and effective. Policy implementation was viewed to be the actual performance of the administrative activities and events including the impact of an approved policy. In other words, policy implementation is understood to mean the actual conversion of policy intent into workable government programmes. For policy implementation process to be effective, three steps are required, namely performance of executive functions, planning and programming of policy, and the implementation of project management approaches. It therefore means that policy implementation requires interaction, hosting of policy dialogues, providing feedback and modifying of policy objectives. Obviously, the rendering of public services can only become effective if the process of policy implementation is efficient and effective. Policy implementation will always require performance of specific functions and that the process is understood to be ongoing. It is further noted that policy implementation requires constant making of decision making by various stakeholders.

It is therefore clear that quite a number of consultative processes need to be explored in the policy implementation process. It has further been observed that without proper planning, no services will be provided smoothly and effectively and that planning and performance of executive functions can never be separated. The discussion further revealed that planning is guided steps. It therefore means that there will always be a planning cycle and that planning is not a once off kind of an activity hence the element of modification. The programming of policy implementation should manifest in the carrying out of certain administrative activities. A programme should have the

required activities. In a programme, specific actions need to be tackled either separately or simultaneously.

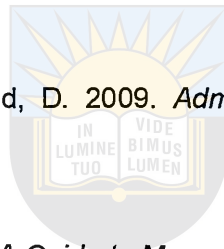
In this section, it was further exposed that analysis is just a process of simplifying something or a phenomenon for purposes of further observation. Also, analysis was perceived to be an instrument which could be used to measure a particular scenario. However, evaluation was explained as an instrument to measure the extent to which an activity or a function is performed. In some instances, this evaluation tool is used to gain insight, knowledge and the understanding of the plight, needs and expectations of citizens in relation to a specific service which the government provides.

Lastly, legislation, as the housing policy, plays a meaningful role in creating workable environment for the provision of the basic public services to the general public such as the housing development. It therefore means that the housing development solely depend upon the implementation of the legislative provisions which specifically support the process of providing sub-standard houses to the citizens. From the above discussion, it became clear that public services will never be provided smoothly without the development of a legislative framework which normally serves the role of a guiding principle. However, the following chapter discusses the co-operative role of stakeholders for policy implementation as presented below.

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## CHAPTER THREE

### COOPERATIVE INTERACTIVE ROLE OF STAKEHOLDERS ON POLICY IMPLEMENTATION

#### 3.1 INTRODUCTION

The implementation of a policy requires an active interaction of the key stakeholders. The involvement of stakeholders in the policy process cuts across all the phases. For example, in policy making the key role players have to actively participate in all the policy making phases, namely policy initiation, formulation and approval. Logically, the same stakeholders are needed for the implementation of the policy since it was the brainchild of a collective process. Surely, every participant of a policy from formulation to implementation would be interested in knowing the policy outcomes.

Since the policy is developed by a group of people for either to correct or prevent further occurrence of a societal problem, it would therefore be a major fallacy not to engage such people on the implementation of the same policy. The cooperative role of stakeholders is also more relevant on policy implementation. At this stage, the intentions of the policy developers are translated into practical government programmes whose sole mandate is to satisfy the needs, expectations and the aspirations of the people on the ground.

Policy implementation needs a variety of the people expertise. The process of policy implementation requires a political direction, management guidance, public officials with the requisite skills to convert strategy into workable government programmes and a viable infrastructure. The infrastructure aspect includes roads, facilities and modern equipment. The policy implementation process does not only require government employees to be successful but the whole team which is comprised of the politicians, public officials, representatives of the progressive social movements. However, the key stakeholders for policy implementation may not

be confined to only people of various organisations but it should involve all other public institutions whose mandate is to monitor, evaluate and enforce compliance on the execution of the public services in a fairly, equitable and justifiable manner.

The purpose of this chapter is to describe and explain the cooperative interactive role of stakeholders on policy implementation. The chapter will be divided into two main sections. Firstly, the chapter will deal with the legislative framework which encourages the cooperative role amongst the key role players for policy implementation. Secondly, a theoretical perspective for the cooperative interactive role of stakeholders on policy implementation will be provided.

### **3.2 LEGISLATIVE FRAMEWORK FOR THE COOPERATIVE INTERACTIVE ROLE OF STAKEHOLDERS ON POLICY IMPLEMENTATION**

The efficient and effective rendering of public services cannot take place without the establishment of a workable environment. The workable environment is established through a variety of the legislative reforms. These pieces of the legislative framework will therefore be dealt with separately to demonstrate how they have been crafted to create space for the interaction of the key stakeholders on policy and programme implementation for government. The chapter kicks off by providing a discussion on the selected sections of the constitutional provisions for the cooperation of stakeholders on the implementation of government programmes.

### **3.3 Constitution of the Republic of South Africa, 1996**

The Constitution of the Republic of South Africa, which serves as the supreme law of the country, has made provisions for the cooperative role of the stakeholders on policy implementation. For example, section 16 (1) (a) and (b) of the *Constitution of the Republic of South Africa, 1996* (Act 108 of 1996) stipulates that everyone has the right to freedom of expression and other media and a freedom to receive or impart information or ideas. The expression of own ideas and sharing of

information requires a platform which will comprise of a group of people so that interaction will become possible.

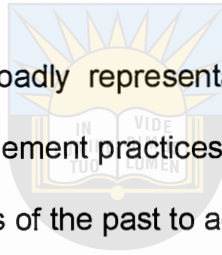
Section 26 (1) and (2) states that everyone has a right to have access to adequate housing and that the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right. The government is, however, entrusted with a responsibility of promoting the wellbeing of people through the provision of effective, transparent, accountable and coherent government (*Vide*, section 41 (b) and (c) ). The wellbeing of people can never be fully addressed unless there is active engagement with the affected individuals so that they are given space to input on whatever that is designed for them. Also, for government to be effective, transparent, accountable and coherent requires the interactive cooperative role of the service beneficiaries, the people on the ground. However, section 41(d) stipulates that each sphere of government should be loyal to the constitution, the republic and its people. This provision confirms the fact that cooperation of government with its people is what is expected in all spheres of government of South Africa. Alluding to the above, section 41 (1) (h) states that all spheres of government must co-operate with one another in mutual trust and in good faith through fostering good relations, assisting and supporting one another, informing and consulting one another on matters of common interests.

However, section 152 (1) (a) and (e) asserts that the objects of local government are to provide democratic and accountable government for local communities and encourage the involvement of communities and community organisations in the matters of local government. Section 195 (1) stipulates that public administration must be governed by the democratic values and principles.

These may include the following:

- A standard of professional ethics must be promoted and maintained;
- Efficient, economic and effective use of resources must be promoted;

- Public administration must be development oriented;
- Services must be provided impartially, fairly, equitably and without bias;
- People's needs must be responded to, and the public must be encouraged to participate in policy making;
- Public administration must be accountable;
- Transparency must be fostered by providing the public with timely, accessible and accurate information;
- Good human-resource management and career-development practices, to maximise human potential, must be cultivated;
- Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation.



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It therefore means that national, provincial and the local spheres of government need to work hand in glove with its people in the process of implementing the government policies. Should any sphere of government fail to promote the realisation of any of the rights as enshrined in the constitution, the court of law may be approached by an individual, a representative or by a group of people for a relief. (*Vide*, section 38 (a-c)). From the above statement, it becomes clear that the *constitution* is promoting the interactive cooperative role of stakeholders in the process of implementing government policies.

However, evidence is there that each sphere of government is supposed to work with its own people and that it must be loyal and must respect its people in providing public services. Also, a provision is made for the intervention of other role players whose responsibility is to enforce compliance for the realisation of the rights as enshrined in the *constitution*. To this end, no one could ever doubt that the cooperative interactive role of stakeholders on policy implementation is a

constitutional matter, and that it should, at all times, be respected as such. On the contrary, the public service commission has noted high levels of alienation in the work place wherein the contribution of the junior staff members is not recognised in the process of delivering the public services (*Public Service Commission Report, 2006:56*). It can be deduced that the *constitution* is the primary document which provides communication and coordination of government programmes. Also, it can be deduced that facilitation is required for the interaction of stakeholders. Furthermore, it can be deduced that the fundamental aim of interaction is to express concerns and share ideas which could be used to improve social conditions. The other pieces of the legislative reforms which encourage interaction of the stakeholders on policy implementation are separately dealt with below. For example a discussion on Reconstruction and Development Programme is provided below.



#### 3.4 **White Paper on Reconstruction and Development (RDP), 1994**

The government through the publication of this white paper aims at establishing the dialogue in which all South Africans become active partners in building a better society and economy for all and ultimately build the nation. The goal of the white paper is to encourage working together of all South Africans, to reshape the country as a collective. The RDP therefore aims at addressing social inequalities created by the apartheid legacy wherein the other sections of the South African population were extremely marginalised on development activities. The strength of the RDP is in the active partnership and the working together of all South Africans in dealing with the implementation of the government policies and programmes.

To give effect to the idea of partnerships, the National Economic Development and Labour Council (NEDLC) was established to facilitate the process of engagement between government, business, labour and other groups in civil society. The goal was to foster commitment of all stakeholders to work together towards achieving the set goals of the civil society, and that such goals may be

converted into concrete government programmes through a collective action. The RDP is seen to be a unique instrument to bring about on-going consultation between the key stakeholders in the process of implementing government programmes.

A central principle therefore of the Reconstruction and Development Programme (RDP) is the empowerment of the poor and marginalised communities. This is however repeated in the Growth, Employment and Redistribution (Gear) strategy which advocates for “redistribution of income and opportunities in favour of the poor” (Section 1.3, *White Paper on Local Government*, 1998. It can be deduced that the RDP is an instrument which can be utilised to promote the working together of people on development initiatives. It can also be deduced that the RDP is a direct response for the redress of the imbalances of the past. Furthermore, it can be deduced that empowerment of the poor and the marginalised sections of the South African society could better improve the extent of interaction and cooperation of stakeholders on the implementation of government programmes. The Housing Act, 1997 as part of the legislative framework which promotes cooperation of stakeholders is discussed below.

### 3.5 **Housing Act, 1997**

The promulgation of the *Housing Act*, 1997 was a direct response to the realisation of the housing right. The act serves as a broad strategy towards the realisation of a housing right. The cooperation of stakeholders began at this level wherein the cabinet committees had to lead a process of formulating the *Housing Act* through sourcing inputs from the people on the ground. However, an operational strategy was needed to implement the *Housing Act*. Subsequently, another committee was established to develop a housing policy and strategy.

Both the *Housing Act* and the *housing policy and strategy* were the results of a collective effort, in that the role of committees was that of facilitating the process and discussions. It was, in effect, an approach designed to engage the wider community and the creation of a platform for a long term

process of engagement - thereby promoting the working together of government representatives and the wider community.

The housing Act, through its principles, demands that national, provincial and the local sphere of government must:

- give priority to the needs of the poor in respect of housing development;
- consult meaningfully with individuals and communities affected by housing development;
- ensure that housing development provides as wide a choice of housing and tenure options as is reasonably possible; is economically, fiscally, socially and financially affordable and sustainable; is based on integrated planning; and is administered in a transparent, accountable and equitable manner, and upholds the practice of good governance;
- encourage and support individuals and communities, including but not limited to, co-operatives, associations and other bodies which are community based, in their efforts to fulfil own housing needs. These groups of service beneficiaries, in terms of the act, need to be assisted in accessing land, services and the technical assistance which will promote the transfer of skills with a view to empower communities in various development aspects.

In addressing the needs of the community, the involvement of the community members becomes critical. The government will never be able to identify community needs without having engaged the community members. Also, the development of communities requires meaningful consultation between the government officials and the communities. In terms of the discussion, all spheres of government have been entrusted with the responsibility of ensuring active interaction of all stakeholders in the process of implementing the government housing programmes. However, participation of all sections of the population is desired on the implementation of government programmes. For example, the *New Housing policy and Strategy for South Africa, 1994*, which acts

as a tool to implement the *Housing Act*, states that throughout the strategy, partnership between the various tiers of government, the private sector and the communities is envisaged.

It is also stated that the development of housing requires all parties not only to argue for their rights, but also to accept their responsibilities (Preamble for *the New Housing Policy and Strategy for South Africa*, 1994). The implementation process of the Housing Act resulted to the enactment of the other acts such as the *Communal Land Rights Act*, 2004. This Act provides space for discussions and negotiations between the housing developers, government officials and the civil society.

The housing development is a complex process and as such, a number of other policies, policy guidelines, and the implementation plans were developed to guide and direct the process of development. The Department of Human Settlements, for example, has developed a *Policy guideline for integrated and Sustainable Rural Housing Delivery* of 2010. This guideline provides space for the establishment of partnerships for the housing development. In this policy guideline, quite a number of partnerships were forged and the manner of cooperation was also determined. The Breaking New Ground (BNG) Plan was also developed to pave the ground for partnerships in housing development.

The plan emphasises partnerships and consultation between the developers and the service beneficiaries for housing development. Partnerships and consultation play a crucial role in the identification of the rural community housing needs (Section 2, *Policy Guidelines for integrated and Sustainable Rural Housing Delivery*, 2010). It can be deduced that partnerships promote transparency on the implementation of government programmes. Also, it can be deduced that community inputs make a significant contribution in development programmes. It can further be deduced that consultation promotes integrated planning of government programmes. All of the

above goals could possibly be achieved through the implementation of affirmative action programmes in the housing development.

### 3.6 White Paper on Affirmative Action, 1998

The white paper seeks to close the gap between those citizens who contribute meaningfully to the country's economy and the poor who are unable to claim their space on the economic building of their country. The goal of the white paper is to create space for the active participation of everyone on matters of public interest irrespective of race, gender and disability. The white paper creates space for the establishment of a public service which is representative of all the diverse groups of the South African society. It is therefore a good approach which government has designed for people to gain access to the public services. However, the previous discriminatory laws had a tendency of excluding people from participating in government programmes on the basis of race, gender and disability. In that situation, the desired interaction of citizens on the implementation of government policies and programmes suffered significantly.

It therefore means that through the white paper on affirmative action, a new ground within which a platform for facilitation and promotion of accessibility of the public services by everybody will have been solidified. The target groups who need to be provided space are black people, women and people with disability since they have suffered the most from the unfair past discrimination. The paper thus calls for collaborative efforts that involve the previously marginalised sectors of the society inclusive of black people, women and the disability sector. At this stage, it becomes clear that the paper wants to incorporate the other sectors of the society who were previously excluded from having an active interactive role on the implementation of government programmes.

The objectives of the White Paper on Affirmative Action are to:

- enhance the capacities of the historically disadvantaged through the development and introduction of practical measures that support advancement of the said groups within the public service;
- inculcate a culture in the public service which values diversity and support the progressive inclusion of the previously unfairly disadvantaged groups within society; and
- speed up the achievement and progressive improvement of the numeric targets set out in the White Paper on the Transformation of the public service.

The affirmative action as a government intervention serves as one of many strategies explored by the present government to transform the public service which should be responsive to the needs of the people, transparent in providing public services, and which requires proper consultation and communication with the citizens in providing public services. For example, the development of the affirmative action programme itself needs proper consultation and engagement with a variety of stakeholders such as:

- employees;
- representatives of the organized labour;
- representatives from disability;
- gender organizations; and
- other key stakeholders.

It therefore means that the implementation of affirmative action as a government programme needs transparency which should be demonstrated in its objectives, activities and results. Transparency in this context means common understanding and active involvement of all the stakeholders on the implementation of the programme. The stakeholders both the public servants and the ordinary citizens at the level of communities must actively drive and be able to scrutinize the implementation

process of the programme. The affirmative action as a programme cuts across all the other government programmes in terms of its call for the equitable representation of participants in government programmes, inclusive of the housing development.

This white paper encourages the progressive realisation that people of all races are critical in the process of implementing government programmes, hence the call for the incorporation of the previously marginalized groups of the society into the mainstream for their active interaction and cooperation with other stakeholders on the implementation of government policies and programmes. It can be deduced that broad representation improves cooperation. It can also be deduced that the implementation of government programmes needs complementary and supplementary efforts of the stakeholders. The following discussion presents the White Paper on Transforming Public Service Delivery of 1997.



### 3.7 White Paper on Transforming Public Service Delivery, 1997

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#### **“Batho Pele - People First”**

The goal of the white paper is to determine mechanisms on how the ordinary members of the public will be consulted whilst public services are rendered by public officials. For example, in the foreword of the white paper, the Minister for the Public Service and Administration states that “access to decent public services is no longer a privilege to be enjoyed by a few; it is now a rightful expectation of all citizens, especially those previously disadvantaged. This is why the guiding principle of public service transformation and reform is “service to the people”. Therefore, the transformation of the public service is to be judged, rightly, by the practical difference people see in their everyday lives”. The minister further asserts that, in future, users of the public services are to be consulted about their needs and priorities. More accessible and responsive arrangements are to be developed to enable individual members of the public to get something done if standards which were set for the provision of public services have not been met.

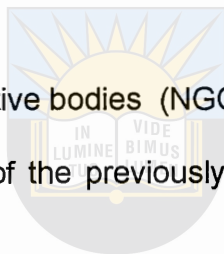
However, in this new relationship, public servants are therefore expected to treat citizens with courtesy, respect and dignity. The major focal point of the white paper is on the manner in which public services are provided in line with the Batho Pele approach, for example through systematic consultation with users of services, and by information about whether or not standards of service are being met in practice (Section 1.1.2, *White Paper on Transforming Public Service Delivery*, 1997). The white paper argues that service delivery improvement programme must be part of a fundamental culture shift whereby public servants see themselves first and foremost as servants of the citizens of South Africa, and where the Public Service is managed with service to the public as its primary goal. The assertion went on to say, improved service delivery cannot only be implemented by issuing circulars. It is not only about rule books and 'prescripts', because it is not simple an 'administrative' activity. It is a dynamic process out of which a completely new relationship is developed between the public service and its individual clients (*Vide*, section 1.2.6).

The white paper states for example that, to treat citizens as 'customers' implies:

- listening to their views and taking account of them in making decisions about what services should be provided;
- treating them with consideration and respect;
- making sure that the promised level and quality of service is always of the highest standard; and
- responding swiftly and sympathetically when standards of service fall below the promised standard (Section 1.3.3).

The white paper further points out that all national and provincial departments must, regularly and systematically consult not only about the services currently provided but also about the provision of new basic services to those who lack them. However, consultation helps to foster a more participative and cooperative relationship between the providers and users of public services. The consultation process must cover a wide range of stakeholders through utilisation of various communication models such as:

- customer surveys;
- interviews with individual users;
- consultation groups;
- meeting with consumer representative bodies (NGOs and CBOs); and
- meeting with the representatives of the previously disadvantaged groups (Section 4.1.1 – 4.1.2).



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It can be deduced that consultation is the key for the provision of public services. It can also be deduced that the provision of public services is a dynamic process which requires constant interaction of the service providers and the users of the service. In simple terms, the process requires an active interaction and cooperation of both the public officials (internal service drivers) and external clients inclusive of progressive social movements. It can further be deduced that consultation provides space for possible engagement between public officials and the users of the public services. A discussion on the White Paper on the Transformation of the Public Service, 1995 is provided below.

### 3.8 White Paper on Public Service Transformation, 1995

The introduction of a democratic dispensation in South Africa warranted shifting of the political and the administrative processes. The White Paper therefore is a direct response to the transformation process which the *constitution* dictated to both the private and public institutions, to be aligned with the democratic change process. The White Paper seeks to emphasise the undertaking of the open consultative processes in the provision of the public services. In support of the above, section 1.5 of the *White Paper on the transformation of the public service*, 1995 states that, in line with the overall government policy, the Ministry for Public Service and Administration places considerable emphasis on the need for effective consultation both within the public service and with the South African society.



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However, this section has also revealed that the White Paper itself was the result of a consultative process which was characterised by discussions and debates within and outside the public service. Consequently, this process was viewed to be the best in developing policy documents and forging new partnerships with the civil society which culminates to a more inclusive identity for the public service. The White Paper therefore aims at creating more space for the active interaction of the key stakeholders on the implementation of government programmes. Section 2.1 aims at establishing a public service which is:

- guided by an ethos of service and committed to the provision of services of an excellent quality to all South Africans in an unbiased and impartial manner;
- geared towards development and the reduction of poverty;
- based upon the maintenance of fair labour practices for all public service workers irrespective of race, gender, disability or class;
- committed to the training and career development of all staff;
- goal and performance oriented, efficient and cost effective;
- integrated, coordinated and decentralised;

- consultative and democratic in its internal procedures and in its relations with the public;
- open to popular participation, transparent, honest and accountable; and
- respectful of the Rule of Law, faithful to the constitution and loyal to the Government of the day.

The basis on which the public service has to be designed, in terms of the above principles, indicates that consultation and the working together of government and the civil society will be crucial to the transformation process of the public service. The goal therefore is to establish a representative, coherent, transparent, accountable, and a public service which is responsive to the needs of all the South African people. However, such a scenario, argues the White Paper, can only be achieved through the creation of a people centred and people driven public service whose central role is to promote equity, quality, timeousness and a strong code of ethics.

The move therefore towards a leaner and more cost effective public service in South Africa will be based not on privatisation but on the creation of effective partnerships between government, labour, business, civil society and the building of high levels of community involvement in the local delivery of services (Chapter 5, *White Paper on the Transformation of the Public Service*, 1995). The fundamental basis of partnership between the public service and its clients, both internal and external, will therefore be realised through processes of engagement amongst all the relevant stakeholders. Obviously, coordination of the work of the key transformation agencies and government departments at the national and provincial levels will be vital, especially if the transformation process is to contribute towards the kind of integrated approach to reconstruction and development envisaged in the RDP White Paper.

It therefore means that, to achieve its goals, the transformation process must secure the active involvement, support and commitment of the vast majority of public servants. The White Paper further asserts that beside the Government's commitment to improving service delivery through

successful partnerships with the business community, NGOs and other stakeholders in civil society, particularly in relation to the RDP, it is clearly essential that the public service transformation process is based upon broader public involvement and support. To achieve the necessary levels of support and commitment for the transformation process, inside and outside the public service, focus will be given to:

- **The development of an effective and coordinated communications strategy.**

The strategy will aim to present a clear, consistent and succinct picture of the vision and goals of the new public service. It will further provide accurate and positive updates on the progress of the transformation process. It will further correct misconceptions and to dispel the anxieties, fears, and scepticism that have been expressed in some quarters, both within and outside the public service, about the intent and purpose of the transformation process.

- **The establishment of mechanisms for consultation and involvement**

These mechanisms should be designed in particular to provide opportunities for public service staff and unions, as well as civil society stakeholders, to play a meaningful part in shaping, implementing and monitoring the on-going transformation process (Section 5.2.6).

The coordination and communication play a nucleus role on the transformation and the implementation of government programmes of the present democratic dispensation. In a nutshell, this simply means that the rendering of public services in the present government should be conducted in a very participative way by both the internal government structures and the wider community. Emphasizing the participation of all the key stakeholders, section 11.3 states for example, that while the public service will be of central importance to the delivery of the RDP, it will not, however, be the only player. The responsibility will be shared with the private sector, in particular the developing black business sector, community organisations, trade unions, the other stakeholders and the public at large. Service delivery, in this context, will be founded on the

creation of government-community partnerships for the effective use of public funds and community resources.

However, the implication is that, without the active support of community groups and the private sector, the Government will not have the capacity to implement the RDP effectively. Therefore, for the successful implementation of the RDP, public should be the active participants in the development process rather than passive recipients of government programmes. Communities must therefore be afforded the opportunity to participate in the decision making process on issues affecting their welfare and should be encouraged to contribute to the delivery of services through community based initiatives. It can be deduced that the success of transformation depends on the working together of all the affected parties. It can also be deduced that the government-community partnerships are the essential vehicles for transformation. It can further be deduced that transformation needs communications strategy and the possible guiding mechanisms (*Vide*, section C1 (a-c), *Public Service Regulations*, 2001. Transforming the public service without the transformation of those who drives the public services would have major ramifications.

### **3.9 White Paper on Human Resource Management in the Public Service, 1997**

The goal of this white paper is to establish a public service that is driven by the public servants themselves without any form of coercion. The white paper visions a public service which will be driven through passion and commitment of the public servants and in close contact with the ordinary members of the public. For example, the broad goal of the White Paper is that human resource management in the public service should result in diverse, competent and well-managed workforce; capable of and committed to delivering high quality services to the people of South Africa. The other intention is to establish a model of excellence in human resource management wherein services to society stems from individual commitment and willingness. The guiding values for such a model are:

- fairness;
- equity;
- transparency;
- accountability;
- participation; and
- professionalism (Section 2.1-2.3, )

The White Paper through setting the above values, aims at creating a platform for the active interaction of both the human resource practitioners and the members of the public who are the beneficiaries of the public services. The process of making a public servant competent requires interaction of the stakeholders who would share the same vision. The preparation of a mind shift also requires a process of wide consultation and engagement amongst the key stakeholders. Chapter one of this white paper, opens with a statement that the purpose of the White Paper is to establish a professional and impartial Public Service which is representative of all sections of the society, geared towards building economic and social transformation (*Vide*, section 1.1).

It can be deduced that the white paper advocates for a change of approach in the provision of human resources to the people. Also, it can be deduced that in the provision of human resource services, the clients should be consulted. It can further be deduced that the provision of human resource services should constantly be aligned to the changing needs of the public (Section 3.1.3). The interaction and the cooperation of stakeholders would never materialise, unless there could be a training intervention which could focus on the empowerment of all stakeholders to meet the criteria of engagement on the implementation of government programmes.

### 3.10 White Paper on Public Service Training and Education, 1997

As part of the broad strategy to transform the public service, the White Paper on Training and Education was developed to facilitate the transformational process. The anticipated processes of co-operative interaction amongst the stakeholders in the provision of public services cannot be achieved up until people gain knowledge which could be collectively shared in developing the country and implementing the government programmes. The opportunities which are offered for interaction while providing public services require individual or group efforts to adapt and be able to engage with the other key stakeholders on policy implementation levels. Surely, this requirement can only be met if there is active interaction of the training service providers with both the public officials and the ordinary members of the public.

The robust debates which the present government encourages in developing the country and on implementing the government programmes can be achieved through training and education of people within societies. Education in this regard would remain the determinant factor for the equal sharing of opportunities presented by the current dispensation. The development of this white paper is relevant and coincides with the government drive to lay a solid foundation for the lasting interaction of stakeholders in the process of implementing government programmes. However, the acquisition of knowledge and skills will be decisive for the co-operation and interaction of stakeholders on policy implementation.

The goal of this white paper, amongst other things, is to:

- facilitate processes of transformation, institution building and resources development within the public service;
- encourage participation and involvement of all stakeholders;
- promote access of all training delegates to meaningful training and education opportunities;
- encourage the empowerment of previously disadvantaged groups;

- facilitate the development of effective career paths for public servants;
- provide a demand-led, needs- based and competency-based training;
- promote a value adding training on individual and organisational performance.

The traditional approach of training will have to change and the new training system will be put in motion. The key to the new system will be a thorough analysis of the training needs of which every affected individual will participate in the formulation of the training requirements. Surely, this approach is setting a trend in which the future government processes of interaction should simulate. Even though the process of interaction may seem to be theoretical, as it begins in the training process but the goal is to create a trend that transcends the future expectations. By and large, the white paper aims at creating an ideal future which will be characterised by the wide communication of all stakeholders whilst dealing with the government programmes.

The white paper promotes equal representation and greater internal and external accountability. It therefore means that even the external clients need to make an input and scrutinise the training manuals. For example, the development of a training plan for any public institution will involve the external clients. In this approach, individual components will submit training needs based on the functions or tasks allocated to that particular component for consolidation. The comprehensive training plan will then be presented to the portfolio committees for purposes of approval and possible funding. Notably, everything in this approach is decided by a collective structure. This approach signals what is expected throughout the implementation of not only this white paper but all the other government policies and programmes. The table below demonstrates the interaction of stakeholders on training.

**Table 3.1 Key Institutional Processes and Role-Players**

<b>Key Institutional process</b>	<b>Key Role-Players</b>	<b>Key Partners</b>
Strategic policy formulation and co-ordination	DPSA, PSETO	PSC, Portfolio committees, Heads of department; Unions
Operational decision-making, planning and implementation	Heads of department (National and Provincial DGs and Heads of organisational components)	HR Directors, Training Committees, Workplace forums
Standard setting and qualifications	National Standards Bodies, Standard Generating Bodies; PSETO	DPSA; Provider and Interest Groups
Accreditation and Quality Assurance	PSETO; other SETOs	Registered Assessors; DPSA; SAQA
Delivery, organisation and co-ordination of training provision	SAMDI, Provincial Training Bodies; External Providers; Association of Accredited Providers (ATEP)	PSETO; DPSA
Monitoring and Evaluation	DPSA; PSC; Heads of Department	PSETO; Portfolio Committees; Training Committees; Public Sector Transformation Forum; Transformation Units

Source : WPPSTE, 1997: 9

However, it can be deduced that without knowledge and skills, the process of interaction and cooperation amongst the stakeholders would be difficult. Also, it can be deduced that training initiatives encourage participation of a variety of government stakeholders. Furthermore, it can be

deduced that the goal of the white paper is to promote a lasting interaction and cooperation of all stakeholders through training intervention in cases where there are unintended communication barriers. The White Paper on Local Government is discussed below to provide a perspective on the transformation of the local level for a possible stakeholder engagement in matters of common interests.

### 3.11 White Paper on Local Government, 1998

The White Paper begins with a statement that South Africa has been given a rare historic opportunity to transform local government to meet the challenges of the next century. From the very onset, the process of continuous engagement amongst all the key stakeholders for the provision of public services is implied. The white paper therefore establishes a fundamental basis for a system of local government which is centrally concerned with working with local citizens and communities to find sustainable ways to meet their needs and improve the quality of their lives. In this way, local government is strategically positioned to play the role of promoting democracy and socio-economic development at the local level – thereby promoting grassroots democracy (Foreword by the Minister for Provincial Affairs and Constitutional Development, *White Paper on Local Government*, 1998).

However, the chairperson of the White Paper Political Committee (cited in the foreword, *White Paper on Local Government*, 1998) points out that the actual implementation of policies contained in this white paper will require supreme effort, tremendous resilience and constructive participation of all role players. It will require participation and rolling out of sleeves, acting like citizens as opposed to mere atomised consumers of municipal services. The above statements clearly indicate that the white paper aims at promoting the active interaction and cooperation of all stakeholders in the process of translating government policies into practical government programmes.

Section 1.1, states that municipalities need to have a clear vision for the local economy, and work in partnership with local business to maximise job creation and investment. Within any local area many different agencies contribute to development. These may include:

- National and provincial departments;
- parastatals;
- trade unions;
- community groups; and
- private sector institutions.

Developmental local government must provide a vision and leadership for all those who have a role to play in achieving local prosperity. However, poor coordination between service providers could severely undermine the development effort. Therefore, municipalities should actively develop ways to leverage resources and investment from both the public and private sectors to meet development targets (Section 1.2, *White Paper for Local Government*, 1998). However, section 1.3 states that municipal councils play a central role in promoting local democracy. In addition to representing community interests within the council, municipal councillors should promote the involvement of citizens and community groups in the design and delivery of municipal programmes. It can be deduced that councillors serve as a link between the municipal council and the communities. It can also be deduced that the role of councillors is to encourage involvement of people on the implementation of government policies and programmes.

### 3.12 Local Government: Municipal Systems Act, 2000

The focus of the *municipal System Act*, 2000 is on the provision of the core principles, mechanisms and processes which are necessary to lay a fertile ground for municipalities to progressively facilitate social and economic development of communities. To achieve these developmental priorities, municipalities must ensure:

- universal access to essential services that are affordable;
- working in partnership with the municipality's political and administrative structures;
- community participation; and
- integration of activities of all spheres of government for the overall social and economic development of communities in harmony with their local environment (*Local Government: Municipal Systems Act, 2000:2*).

However, section 2. (c), states that a municipality must function in its area in accordance with the political, statutory and other relationships between its political structures, political office bearers, administration and its community. In strengthening further the idea of cooperation, section 3 (1) states that municipalities must exercise executive and legislative authority within the constitutional system of co-operative government. To promote effective co-operative government therefore, organised local government must seek to enhance co-operation, mutual assistance and sharing of resources among municipalities and facilitate compliance with the principles of co-operative government and intergovernmental relations (*Vide, section 3 (b) and (d) & Section 5, Intergovernmental Relations Framework Act, 2005*).

Section 4 (2) (a-c), (e-f) and (h-j) stipulates that the municipal council has a duty to:

- exercise the municipality's executive and legislative authority and use the resources of the municipality in the best interests of the local community;
- provide, without favour or prejudice, democratic and accountable government;
- encourage the involvement of the local community;
- consult the local community about the level, quality, range and impact of the municipal services provided by the municipality;
- give members of the local community equitable access to the municipal services to which they are entitled;

- promote gender equity in the exercise of the municipality's executive and legislative authority; and
- contribute, together with other organs of the state, to the progressive realisation of the fundamental rights.

The members of the local community, in turn, have the right:

- to contribute to the decision-making processes of the municipality;
- to submit written or oral recommendations, representations and complaints to the municipal council or to other political structure or a political office bearer or the administration of the municipality;
- to be provided with a prompt feedback of their submissions;
- to be informed of the municipal council or any of the municipal governance structures, affecting their rights, property and reasonable expectations;
- regular disclosure of the state of affairs of the municipality, including its finances; and
- to demand transparency of the municipal council and committee proceedings (Section 5 (1) (a) (i-ii) and (b-e)).

To strengthen cooperation, section 16 provides that a municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance. To achieve this goal, the municipality must encourage and create conditions for the local community to participate in the affairs of the municipality including:

- preparation, implementation and review of integrated Development Plan (IDP) in terms of chapter 5;
- the establishment, implementation and review of performance management system in terms of chapter 6;

- the monitoring and review of performance, including outcomes and impact of such performance;
- the preparation of the municipal budget;
- contribute in municipal programme strategy formulation in terms of chapter 8;
- contribute to building the capacity of the local community to effectively participate in municipal matters; and
- councillors and staff must foster community participation.

It can be deduced that a municipality plays a major role in implementing the democratic principles such as full participation of everybody at the local level of government. It can also, be deduced that co-operation of stakeholders is central in the development of local communities. It can as well be concluded that councillors and the municipal officials play a pivotal role for the co-operation of stakeholders in the process of providing municipal services, including housing development.


  
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### 3.13 **Local Government Municipal Structures Act, 1998**

The provision of public services requires a collective approach in which all stakeholders have to cooperate and work together towards achieving the set goals. The cooperation of the stakeholders cannot just happen without a guiding law, hence the development of the legislative framework for the cooperation of the stakeholders on policy implementation. For example, section 12 (4) (a-c) of *the Local Government Municipal Structures Act, 1998*, stipulates that the Member of the Executive Council (MEC) for Local Government must:

- at the commencement of the process to establish a municipality, give written notice of the proposed establishment to organised local government in the province and any existing municipalities that may be affected by the establishment of a municipality;

- before publishing a notice in terms of this section, consult organised local government in the province and the municipalities which could be affected by the establishment of a municipality; and
- after such consultation, publish particulars of the proposed notice for public comment.

In demonstrating the importance of communication in the design and the implementation of government programmes, section 20 (3) (a-b) states that the number of councillors may be increased to create communication effectiveness in the municipality or may be decreased to achieve active participation by all councillors at council meetings. It can be deduced that before any government programme could be initiated, stakeholders needs to be consulted. It can also be deduced that in the design of the government programmes, the affected people must always be consulted to make their comments. It can further be deduced that maximum participation is achieved through a balanced sample of representatives.

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It was therefore essential for this section to point out some areas on which the legislative framework has made a provision for the cooperative and interactive role of stakeholders. As intended, this part of the chapter has selected a number of the legislative framework which prescribes for the cooperative and interactive role of stakeholders on policy implementation. From this section, it was learnt that the *constitution* is the primary prescript which provides for the cooperative interactive role of stakeholders on policy implementation. For the effective cooperation of the stakeholders, facilitation is not only needed but required. The cooperation of stakeholders was also viewed to be critical for people to express their feelings and a platform for the sharing of ideas, which are useful in developing the country as a whole.

Also, this section has revealed that the RDP as a government programme could be utilised as the best instrument to unite people on the development initiatives of the country. In this way, the RDP is seen to be a direct response for the redress of the imbalances of the past. Through the

empowerment of the poor and the marginalised sections of the society, cooperation of stakeholders on policy implementation could improve. In addition, building of partnerships promotes transparency and provides space for the making of significant contributions by various communities. However, it was further learnt that communication promotes integrated planning of government programmes by a variety of stakeholders.

Broad representation, as stated in this section, improves cooperation of stakeholders on policy and programme implementation. Government programmes need a concerted effort where there should be complementary and supplementary roles of different stakeholders, who work together for a common good. Consultation was also perceived to be the key in the provision of public services. It was further noted that, the provision of the public services is a complex process, which requires constant interaction of all the stakeholders. The interaction and cooperation of stakeholders is made possible by continuous communication in the process of policy or programme implementation.



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Importantly, the section has also made a statement that the success of any transformational change depends solely on the working together of all the affected parties. The government-community partnerships play a pivotal role in leading the transformational change. However, partnerships without a properly conceived communications strategy will make the transformation process absurd. This section has made a point that a complete change of approach is needed for the provision of human resources services in the present dispensation as clients ought to be constantly consulted for the kind of service to be provided. The human resource services should constantly be aligned to the changing needs of the people. Therefore, consultation is a must throughout the process of providing human resource services.

The other important component of the transformational change is training. The area of training is essential for the provision of the cooperation and interaction tools which the stakeholders require to progress smoothly in the process of communicating and coordinating government programmes. Obviously, the training initiatives will provide space for the participation of both the training service providers and the training delegates. This process would surely culminate to a long lasting cooperation of the said stakeholders on policy implementation, both playing either a complementary or supplementary role in the process. However, training is viewed to be an everlasting tool which facilitates and promotes cooperation and interaction of stakeholders on policy implementation.

The councillors are therefore viewed to be an important link between the municipal council and communities. It was further stated that councillors should always encourage the involvement of people in the design and the implementation of government programmes. It therefore means that a municipality is strategically positioned to motivate and encourage full participation of everybody on the implementation of the municipal policies. At this level, cooperation and interaction of stakeholders is very important for the development of local communities. The role of councillors at this level would be to facilitate cooperation of stakeholders. Each time a government programme is designed, the affected people need to be consulted. Consultation and maximum participation is mostly achieved when there is a balance of representation of stakeholders. Having dealt with the legislative framework for the cooperation of stakeholders, the conceptual perspective of the interaction of stakeholders on policy implementation is then discussed below.

### 3.14 CONCEPTUAL PERSPECTIVE FOR THE COOPERATIVE INTERACTIVE ROLE OF STAKEHOLDERS ON POLICY IMPLEMENTATION

By conceptual perspective is meant the theory viewpoints which are accessible from various book authors. On the contrary, the cooperative and interactive role means the provision of support and the actual working together of stakeholders to achieve the set organisational goals (Online Dictionary). This section will deal with the selected stakeholders which play a pivotal role on policy implementation. For example, leadership and management role on policy implementation is explored below.

#### 3.14.1 Leadership and Management Role on Policy Implementation

Leadership refers to the ability to inspire, motivate and influence the diverse teams to accelerate work performance to achieve the set organisational goals (*Vide, supra*, section, 1.11.4+ DuBrin, 2010:3). On the other hand, management refers to a process of planning, organising, leading and controlling the resources of the organisation to achieve the stated organisational goals as productively as possible (Smit *et al*, 2007:9). In this discussion, leadership and management will be dealt separately, for example the first part will deal with leadership and the second part will deal with management. However, leadership role for policy implementation is now discussed below.

#### 3.14.2 Leadership Role on Policy Implementation

Leadership implies the provision of guidance and direction in a specific organisation in terms of the manner of executing its functions. In the context of this discussion, leadership would refer to top management of an organisation. Smit *et al* define top management as a relatively small group of managers who lead the organisation and with whom the final authority and responsibility for executing management process rests. This level of management comprises, for example:

- Board of Directors;

- partners;
- managing director;
- chief executives; and
- management committees (Smit *et al*, 2007:12).

However, in a public institution, top management could refer to Legislature Portfolio committees, Member of the Executive Council (MEC), Head of Department (HOD) Service Providers and Institutional Board Members. Top management is usually responsible for the organisation as a whole, in terms of determining its vision, mission, goals and the overall strategies of the entire organisation. Mainly, this small group of a management team is concerned with the long-term planning, designing the organisation's broad organisational structure, leading the organisation (through the top executive) and controlling the organisation. The other main function of top management is to design and influence the corporate culture of an organisation (Smit *et al*, 2007:12 & Ryan, 2008:2).



It therefore means that the responsibility of providing the political and a strategic direction of an organisation rests with the top management. Section B.1 of the *Public Service Regulations, 2001*, states for example that an executing authority shall prepare a strategic plan for her or his department stating the department's core objectives, based on constitutional and other legislative mandates. To achieve the core objectives of the department, an executing authority must:

- describe the core and support activities necessary to achieve the core objectives by eliminating duplication of functions;
- specify the functions the department will perform internally and those which the department intends outsourcing;
- describe the goals or targets to be attained on the medium term;
- set out a programme for attaining those goals and targets;

- specify information systems that would enable the executing authority to monitor the progress made towards achieving those goals, targets and core objectives, support compliance with the reporting requirements; and
- must prepare, annually a strategic plan, which meets the requirement for the Medium Term Expenditure Framework (MTEF) and submit for approval, in line with section 5.1 and 5.2 of the *Treasury Regulations, 2005*.

The movement of an organisation therefore depends on the actions of the top management in cooperation with other stakeholders. For example, the authority and responsibility to determine the key components of an organisation to provide services to the communities, resides with top management and legislature committees. The design of the long-term strategies or plans and their subsequent review, remain the responsibility of the top management and other committees (Ferreira *et al*, 2009:14).

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The role of top management in a strategy formulation is to coordinate the activities with different functional managers and will then decide on proper strategies for the future. Top management together with functional managers plan, develop and implement policies of an organisation (Ferreira *et al*, 2009:14). The strategic planning as a separate process involves decisions on the implementation of strategy by various functions or departments in the organisation (Steyn & Puth, 2000, cited in Barker & Angelopulo, 2006:31). The implementation of strategic plans can be viewed as the other important tool which could be utilised to provide staff members and stakeholders with information regarding the direction of the organisation (Schraeder, 2002 in Barker & Angelopulo, 2006:31).

Logically, those who design and review the long-term plans of an organisation have an imbedded responsibility of assessing the impact which those plans make on the civil society. For example, legislators, represented by the legislature Portfolio Committees in this discussion, have a

responsibility to promote the general welfare of citizens. Legislators have a responsibility to establish the real needs, desires and the values of the various communities. The decision to allocate resources (money, human resources and natural resources) based on the wishes of the various constituencies, remains the responsibility of the legislators (Lindblom, 1968:74 in Fox *et al*, 2006:40). The review processes, in this way, is a joint venture between the legislators and public officials, working in close cooperation with communities

Top officials serve on interdepartmental and departmental committees. For example, top officials might serve on commissions of investigations, commissions performing specific planning or the co-ordination functions. At times, top officials might be required to appear before parliamentary committees to render advice (Hanekom and Thornhill, 1986:23).

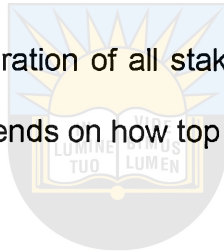
These committees may include:



- Portfolio committees; and
- Standing Committees on Public Accounts (SCOPA)

The cooperation at this level requires practical judgement, the ability to negotiate, knowledge of the subject and the practical problems experienced (Hanekom and Thornhill, 1986:23). In this way, top officials have a responsibility to prepare and answer parliamentary questionnaires. The departmental plans are also presented by top officials at legislature before legislature committees. This is done for purposes of sourcing approval and the exercising of the oversight role by legislature committees as provided for in section 114 (2) of the *constitution*. The committees, at this level, represent people on the ground. It is therefore their duty to ensure the provision of public services to the people and ensure the cost effective utilisation of public funds, hence presentation of plans by top officials and their subsequent approval by the legislature committees. Smitet *al* (2007:87) write that the success of a vision statement depends largely on how well it is shared. Input from all parts of the organisation should be sought to ensure buy-in from multiple disciplines.

At this stage, the cooperation is seen to be at both the planning and the actual execution of the designed plans. From these meetings, top officials will have an opportunity of obtaining political guidance and direction. In turn, politicians will have an exposure of administrative functions and processes. As can be seen, this cooperation is vital since the main goal is to plan with people and agree on the type of service to be provided to the people. The interaction and cooperation, in this regard, is taking place actively at the design and implementation phase of the public services wherein the developed plans and programmes are scrutinized for their relevance and effectiveness for improving social conditions. It can be deduced that top management is responsible for the design of mechanisms of stakeholder interaction within an organisation. It can also be deduced that processes of planning require cooperation of all stakeholders. It can further be deduced that the success of policy implementation depends on how top management communicates the process to the relevant stakeholders.



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### **3.14.3 Management Role on Policy Implementation**

This section will provide a management perspective on the cooperation of stakeholders on policy implementation. The management category, in this regard, would refer to the policy implementers. The people who implement policies can be categorised into two groups, namely middle management and lower or first line management. The key responsibilities, amongst others, are to implement policies, formulate tactical plans and objectives. The role of the middle management on policy implementation is provided below.

### **3.14.4 Role of Middle Management on Policy Implementation**

Middle management is responsible for the formulation of tactical plans, development of medium-term and short-term planning, organising functional areas, leading by means of the departmental heads and controlling the management activities of the middle managers' own departments and provides functional strategy and guidelines for the implementation process (Smit *et al*, 2007:13 &

Ferreira *et al*, 2009:15). Of critical importance, middle managers are required to develop operational plans. These are strategies which are developed to simplify the broad strategy of the organisation so that the implementation becomes easy. The operational plan will indicate clearly areas which are targeted to be covered on the medium and short term period.

It is therefore essential to have these plans developed in advance so as to guide and direct the implementation process of organisational policies and programmes. Once the plans are developed, the manager can now begin the process of allocating resources for the implementation phase. This phase links up with the other very important phase of allocating duties or functions to the individual or group of officials. The allocation of functions to the organisational workers should move simultaneously with the allocation of funds so as to progress smoothly with the implementation phase of policy implementation.

However, the allocation of duties means the development of individual job descriptions or job profiles. This process requires cooperation and interaction of managers and individual employees. Section 8.10 of the Eastern Cape Performance management and Development manual states in this regard, that managers and employees must participate equally in developing work plans. The process therefore requires an understanding of both stakeholders so that the human resources processes may not be disrupted in the course of events. The process of job profiling helps managers to plan properly around the utilisation of organisational resources. These may include human resources, financial resources and physical resources. This process aligns the individual worker with the activities of an organisation. Nel *et al*, (2009:15) write that an important element often neglected in drawing up job guidelines, is linking job goals to the goals of an organisation.

However, the only way to measure the overall performance of an organisation is by measuring an individual performance. If an individual is underperforming, the likely wood is that the entire organisation will battle to meet the predetermined performance requirements. Nel *et al*, 2008:16)

write that individual employee performance is the cornerstone of success in an organisation and takes place mainly on carrying out tasks given by an organisation. Middle managers therefore have a duty to manage individual and the performance of the component where they are allocated. The process of allocating duties and reviewing individual performance, require cooperation and interaction of the relevant stakeholders (Eastern Cape Province: Performance Management and Development Manual, 2006:25). The last layer of management is also playing a significant role on policy implementation. It can be deduced that working together promotes better understanding of the organisational goals and processes. It can also be deduced that the activities of the organisation can better be coordinated if there is cooperation and interaction of stakeholders.

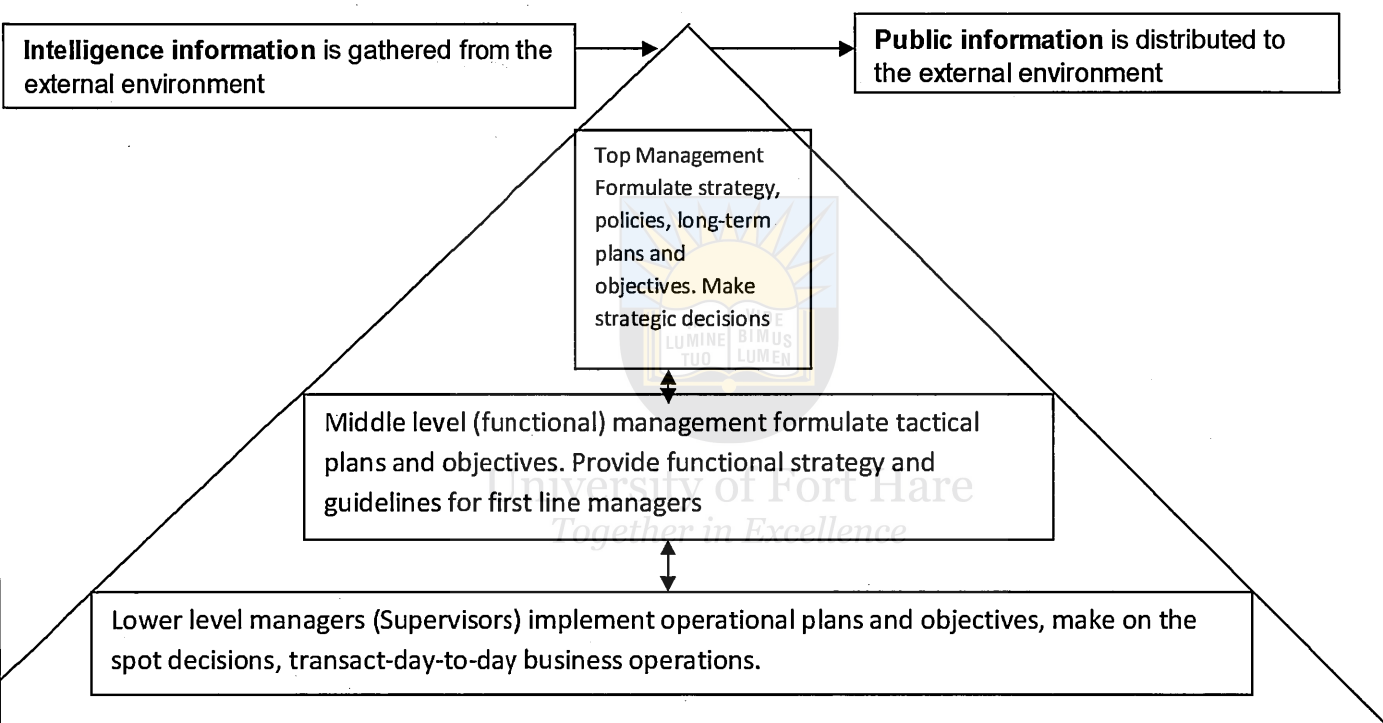
#### **3.14.5 Role of the Lower Level Manager (Supervisor) on Policy Implementation**

The lower level manager is not a strategist or a coordinator of organisational activities but the actual driver of the policy implementation process. This level of management serves the role of a team leader. The lower level manager is part of a team and actual direct the day-to-day organisational transactions. Together with the team members, the lower level manager, implement the plans which the middle management have developed. The process of policy implementation requires that the information is shared amongst all the role players. For instance, lower level managers would obtain information from the predetermined plans or schedules from middle management. The lower level managers need to disseminate information to the operational officials.

In turn, the operational officials are required to provide the lower level managers with information regarding progress of the routine activities. However, there are scheduled times for reporting work progress. All managers in various levels have a duty to report work progress to the relevant supervisor. Also, the operational officials need information to perform their duties. It therefore means that, for effective cooperation, information needs to flow horizontally and vertically within an

organisation (Ferreira, *et al*, 2009:15). The chain of organisational information which needs to be shared is demonstrated below. A deduction can be made that the first line of management links the operational staff with the middle management. Also, it can be deduced that sharing of information is important in the process of policy implementation.

Figure 3.1 **External and internal information needs of an organisation**



Source :Ferreira *et al*, 2009 :15

Information flows vertically and horizontally within the organisation to facilitate decision making. The information infiltrates all management levels to create space for sharing of organisational goals.

Ferreira *et al* (2009:8) state that organisations, management and the work of managers are thus extremely important and also relatively complex societal phenomena. It means therefore that organisations are an intrinsic part of broader society, and hence closely intertwined with other aspects of the world. Ferreira *et al* (2009:9) further argue that organisations and managers thus

now have a broader mandate than merely delivering “the goods”. It is, however, not only about the products or services and the customers. It is very much about the working people and society at large. It is about building the work places as a collective, adding value to create space for the next generation to live together and share what the planet has to offer.

It can be deduced that leadership has the ability to mobilise people for the effective cooperation in rendering public services. It can also be deduced that the strategic planning process involves both the external and the internal customers of an organisation. It can further be deduced that information sharing within an organisation encourages cooperation and interaction of all stakeholders. Beside the cooperation of managers and the relevant stakeholders, the cooperation of the intergovernmental partners is crucial.



#### **3.14.6 Role of Intergovernmental relations on policy Implementation**

The attainment of a democratic government in 1994 saw an emergence of quite a number of committees, whose main goal is to cooperate and interact whilst assisting and supporting the implementation of government programmes. Fortunately, the South African government has since acknowledged and recognised the importance of inter-sect-oral collaboration in promoting and facilitating policy implementation. The first attempt therefore to achieve institutional harmonisation was the establishment of the Intergovernmental Forum (IGF). The forum comprises the nine Premiers of the provinces, key national ministers and the Director-General of the Office of the President.

Also, a separate technical committee which comprises the Directors-General of nine provinces and selected Directors-General of national departments was appointed to assist and provide technical support to the IGF. In addition, ministerial forums between the various national ministries and their provincial counterparts were formed to facilitate sect-oral cooperation (Venter & Landsberg, 2006:122). These forums were later known by their acronym, MinMecs, which simply means

Minister and Members of the Executive council. This committee has a technical support from the officials in the relevant national and provincial departments. Policy implementation is also supported by group of other social partners. It can be deduced that intergovernmental cooperation assists the process of policy implementation. It can also be deduced that complementing one another plays a crucial role on policy implementation.

### 3.14.7 Role of social cluster partners on policy implementation

This discussion combines a group of other social partners which can be found playing a major role in support of the government policy implementation process. These may include the following categories:



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- Established committees;
- political parties;
- Churches;
- Faith Based Organisations (FBOs);
- Non-governmental organisations (NGOs);
- Community Based Organisations
- Individual;
- Community; and
- Interests groups.

The government policy implementation process will only succeed if there is cooperation between the government officials and the members of the social clusters. These structures are part of communities. The social cluster partners are established to act as community representatives, to engage government and influence policy changes. Venter and Landsberg (2006: 202) write that the principle of representation in a democracy hinges on the existence of parties. However, the representation of people, who are the source of government power, can only be effected by the

election of representatives. It therefore means that political parties play a meaningful role in the process of implementing government policies. The other important stakeholder is the interests groups. Interest groups facilitate participation and link citizens with government in a democratic state. The goal is, however, not only about strengthening representation and broadening the scope of political participation, but to check government power and promote debate and discussion (Venter *et al*, 2006:218). Venter *et al* (2006:67) further state that social development was viewed not to be achievable through public sector policies due to the glaring incompetence, corruption and repression which government or state machinery tended to reflect. As a way of bringing relief to the communities, Non-Government Organisations (NGOs) were identified as a third sector which should focus on poverty alleviation, strengthening civil society and encouraging public participation in grassroots development through rendering assistance to individual or developing communities by encouraging popular participation and social learning.

However within communities, Community-Based Organisations (CBOs) also emerged, as the other structure, which focus on social mobilisation around issues of common interests. This structure aims at promoting cooperation at the level of community associations. This discussion therefore indicates that each of the above mentioned stakeholders has a critical role to play on the implementation of government programmes including policies. This can be evidenced by the formation of such community structures. In each of the groups, there are individual members.

This simply means that out of an individual interest, a group is formed to work as a strong force to influence government processes. Davids, Theron and Maphunye (2005:31) write that the dictum that development is about people implies that people are the most important role player in their own development. This therefore means that development-promoting institutions need an effective management corps to ensure that people are intentionally placed at the centre of initiatives they promote. It can be deduced that political parties and the social structures promote cooperation and interaction in the process of providing public services to the communities. It can also be deduced

that NGOs and CBOs are crucial instruments which could be used to mobilise communities for the active participation in government programmes. It can further be deduced that government programmes are complicated and as such they require the involvement of government officials, non-governmental structures and the people on the ground.

### 3.15 CONCLUSION

The overall goal of the chapter was to highlight areas where the legislative framework has made prescription for the cooperative and the interactive role of stakeholders on policy implementation. From the onset, it was learnt that the *constitution* is the primary source which provides space for the cooperative and interactive role of stakeholders on policy implementation. It has also been noted that cooperation of stakeholders needs to be facilitated. Also, it was revealed that without cooperation, people might find it difficult to express their feelings and share their ideas which are useful in developing the country. This section portrays the RDP programme as the instrument which unites people whilst pursuing the development initiatives. The RDP therefore is perceived to be responding directly to the imbalances of the past.

However, cooperation and interaction of stakeholders is believed to be achievable through the empowerment of the poor and the marginalised sections of the society. It was further noted that partnerships promote transparency and create space for the making of contributions by various stakeholders for policy implementation. To achieve the integrated approach of implementing government programmes, communication and broad representation were viewed to be the key instruments which should be utilised by all stakeholders for policy implementation. This section has also revealed that government programmes need the working together of people to complement and supplement the efforts of one another. It was also noted that even though the provision of public services is a complex matter, consultation, interaction and the constant communication of stakeholders make the process of providing public services easy.

It was further noted that the success of any transformational change depends on the working together of all the parties involved. The transformational change therefore can best be achieved through the government and community partnership. However, it has also been acknowledged that partnerships without a clearly defined communications strategy could as well confuse the process of policy implementation. On the above discussion, it was learnt that the present dispensation needs a transformed human resource service which needs the constant involvement of the clients. This approach enables the clients to have space to make an input on the design and the implementation of the human resources services. In this way, the clients are constantly taken on board in whatever that might affect them.

The section has also revealed that transformational change needs training. The aspect of training plays a pivotal role in communicating and coordinating government programmes. Training provides skill and knowledge for participation in government programmes. It was therefore learnt that training is a critical instrument to equip people for participation in government programmes. It could also facilitate and promote cooperation and interaction of stakeholders for policy implementation. The councillors in the third sphere of government serve as the link between the municipal council and the communities. This would surely create the necessary space for discussing the implementation process of government programmes. It was therefore noted that councillors are strategically elected to encourage the working together of government and the people on the ground. However, a note was taken that partnership is mostly ignited in instances where there is balance of representation.

In this section, it was learnt that top management is responsible for the design of the mechanisms for the stakeholder engagement within an organisation. This section has revealed that the process of planning requires cooperation of stakeholders. It was therefore believed that the manner in which top management communicates with the stakeholder determines the success of policy implementation. The working together of people is also viewed to be essential in promoting

common understanding of organisational goals and processes. The cooperation and interaction of stakeholders strengthens coordination of government programmes.

It was also noted that the first line of management plays a crucial role in aligning the activities of the operational staff with that of the middle management. It therefore means that cooperation at this level is very important as government programmes depend on the working together of management and the operational staff members. This enables sharing of crucial information for the effective implementation of government programmes. The role of leadership on policy implementation was perceived to be the mobilisation of people to cooperate whilst rendering the public services. Critically important for policy implementation is cooperation of both external and internal stakeholders in strategic planning session. Sharing of information and cooperation of intergovernmental partners promote cooperation and interaction on policy implementation. From the above, it became clear that intergovernmental cooperation and the working together of stakeholders play a crucial role on policy implementation.

Conclusion can be drawn that political parties and the social structures promote cooperation and the interaction in the process of providing public services. Also, it could be taken that NGOs and CBOs play a pivotal role in mobilising communities for the active involvement and participation in government programmes. In other words, the above discussion qualifies the point that government programmes are a complicated matter which requires the involvement of government officials, non-governmental structures and the citizens. This section has therefore touched a number of issues which when put together could make a good recipe for the implementation of government policies and programmes. The success of policy implementation therefore depends on the cooperative and the interactive action of government officials and the other stakeholders from the civil society. Having dealt with the cooperative role of stakeholders on policy implementation, the chapter on research design and methodology is therefore presented below.

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## CHAPTER FOUR

### RESEARCH DESIGN AND RESEARCH METHODOLOGY

#### 4.1 INTRODUCTION

The best way to approach a scientific study such as a research is to develop a frame of reference. In this context, a frame of reference refers to a research methodology. By methodology is meant a well thought process of undertaking a research study. Any scientific study will always require a guiding framework from which all phases of a research project will have been directed and properly planned. Without a properly conceived method, a research project is likely to fail. By design, in this context, is meant a schematic representation of the procedure to be followed when a research study will be undertaken. The purpose of the study is to appraise the policy implementation process in the Department of Human Settlements and the purpose of this chapter is to outline the approach that will be utilized to collect data when the stated problem and hypothesis of the study are being investigated and empirically tested whether or not are real and true.

The components of the chapter are common to all research projects and therefore comprised of a section which explains the approach used to obtain permission to conduct the study. This section is very important for ethical and professional reasons. A research study is facilitated in the main by a researcher but at the same time authorization must be obtained from the authorities of the research site, which, in this case is the Department of Human Settlements in the Eastern Cape Province. Obviously, one would expect that permission to conduct a study must first be granted by the authorities of the department under investigation. This section will be followed by the scope of the study. The importance of this section is to put boundaries on the research project. To indicate upfront areas and the critical research respondents that will form part of the project helps in finalizing issues of planning, organizing, financing, coordination and co-operation on the entire research project. This will surely fast-track even the issue of research approval, since management

of the said department will be able to set aside time for consulting the research subjects and allocate specific times for the utilization of facilities so as to minimize chances that could cause disruptions to the desired service delivery outcomes.

Following the scope of the study will be a discussion on research design and methodology. This area provides two sections, the research design and the research methodology. Once a discussion is completed on the research methodology and design, a brief overview of the research approaches will be provided. This area will declare the approaches to be followed in pursuit of the research findings. However, the following section will explain the appropriate strategy that will dictate the activities of the research project. Having dealt with the research strategy, a discussion on the unit of analysis will be provided. This section outlines the type and number of people who will participate in the research. The subsequent discussion will be on data collection. Within this discussion, data collection instruments for the study will be described and explained. A discussion on the sampling approach will also be provided wherein various other forms of sampling approaches will be tackled. Apart from the sections as cited above, a discussion on data analysis will be provided. The chapter will also provide a brief discussion on the limitations of the research. The last component to be provided will be a discussion on ethical considerations.

#### **4.2 STUDY PERMISSION**

This refers to writing a formal letter to the department or any other institutional entity, requesting permission to undertake a research study. The research study will begin smoothly if a research site is identified at the initial stage. Since any research will require some form of interaction between the researcher and the research respondents or participants, it becomes crucial to source authorization for purposes of managing time, accessing the facility and engaging the respondents (Maree, 2007:34).

The procedure as cited above was followed in this particular study. A formal letter was developed and subsequently submitted to the Head of Department for Human Settlement in the Eastern Cape Province on the 16<sup>th</sup> of June 2010. The approval was obtained on 15 December 2010. Having reflected the manner of obtaining approval to proceed with the research study, a discussion on the scope of the study follows.

#### 4.3 SCOPE OF THE STUDY

Initially, the study was planned to be a comparative study that would cover a number of departments in the Eastern Cape Province. Due to the complex nature of the process to be evaluated, (policy implementation process) it was therefore advised that specifics are needed. Secondly, the process would involve somewhat big and divergent groups of respondents, which from the very start signifies a number of problems relating to the management and completion in record time of the research project.

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The research scope was therefore confined to the Department of Human Settlement in the province of the Eastern Cape, paying a particular attention on the appraisal of the policy implementation process. Out of the many policies the department had developed so far, a selection was made of the housing development policy and strategy. Therefore, the focus of the research is to appraise the process of implementing the housing policy and strategy (as an operational strategy flowing from the Housing Act of 1997) by the aforementioned department. The selection was motivated by the fact that the Eastern Cape Province is lagging behind in terms of effectively delivering in the area of housing development mandate, as provided for in the *constitution* of South Africa, 1996.

The target population will be the politicians, public officials, service providers, community structures and the ordinary citizens. However, finer details in relation to the numbers to be selected will

further be elaborated on in the area of the unit of analysis (*Vide,infra*, section 4.10). The following section deals specifically with what prompted this particular research study.

#### **4.4 RESEARCH DESIGN AND RESEARCH METHODOLOGY**

Research design and methodology are two separate concepts which ought to be defined in different context. Although the two may sound related at face value, their definitions differ. The definition of a research design is provided below.

#### **4.5 RESEARCH DESIGN**

The research design can be explained as a process of putting ideas together on what should be the shape or the frame of a research project. According to Babbie (1986:71) research design is “planning of scientific inquiry – designing strategy for finding out something”. One can summarize what Babbie believes to be a research design by saying, it is just a plan and a strategy designed to follow properly a scientific study. By design is to plan and structure a research project in such a way that its execution becomes easy and be able to yield maximum results (Mouton & Marais, 1990: 33, 37). It therefore means an exposition or a plan of how a scientific inquiry or research can be conducted (Mouton and Marais, 1988:32, Babbie, 1986:71). Therefore, a research cannot be regarded as a “blind excursion into the unknown...but it is, instead, a carefully planned attack, a search -and - discover mission mapped out in advance” (Leedy & Ormrod, 2001:5). Mouton (1996:107) defines a research design as a ‘blueprint’ of a research project which precedes the actual research process. Simply put, a research design is a step-by-step outlines of what needs to be done (Kerlinger, 1986: 279). Flowing from the discussion above, one may conclude by saying that a research design is the whole plan designed to guide the research process. It can be deduced that a research design is plan designed to indicate the research activities. It can also be deduced that a research design serve the role of a blueprint in research projects.

## 4.6 Types of Research Design

There is general consensus that there could be various types of research design.

Kumar writes, in this regard, that research studies can be classified into three types of design, namely:

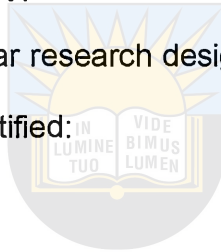
- Experimental;
- non-experimental; and
- quasi or semi-experimental (2005:100).

Also, evidence is there that within each type of a research design, there are various other sub-types of design which make up a particular research design. For example, within the experimental design the following types have been identified:

- the after-only design;
- the before-and –after design;
- the control-group design;
- the comparative design;
- the ‘matched control’ experimental design; and
- the placebo design (Kumar, 2005:102).

Bless and Higson-Smith (2000:67) have also introduced three types of research design. These may include the following:

- Pre-experimental designs;
- Quasi-experimental designs; and
- experimental designs.



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Bless and others write that pre-experimental designs are the least adequate in terms of the scientific rigour and thus are least likely to establish a clear causal relationship between the independent and the dependent variables. Pre-experiment designs include, *inter alia*:

- The one shot case study;
- the pre-test/post- test design; and
- the intact groups design (Bless *et al*, 2000:67).

Quasi-experimental designs are explained as research designs which do not meet the exacting criteria of experimental designs, but which manage to approximate experimental conditions. Within this type of design, two other groups have been identified, namely:



- Contrasted groups design; and
- the time series design.

However, according to Bless *et al* (2000:67) experimental designs are the most rigorous of all the designs and have strict requirements. This type of design is comprised of the following:

- the pre-test/post-test control group design;
- the post-test only control group design; and
- factorial designs.

The experimental design is therefore chosen as the appropriate research design for the study in question for the reason that random selection of the research respondents will be done. Secondly, the design is chosen because the study deals with different groups and categories of research respondents. Bless *et al* (2000:73) notes that "the use of randomization negates the difficulties of ensuring that the groups are identical. The study in question utilizes quite a number of different groups even though the groups have been randomly selected from the same population. The goal is to obtain the representative portion of each group which forms part of the bigger population with a view to test their perceptions regarding the process of policy implementation in the department

under investigation. It can be deduced that there are main research designs which are made up of the sub-research designs. It can also be deduced that experimental designs are the most rigorous in the application of the scientific methods.

Depending on the type of a research study, research design is informed by the chosen approach as the research may deem it fitting. For example, the study may follow any of the research studies, namely

- Cross- Sectional ; and
- Longitudinal (Babbie, 1986: 80-81).

#### 4.6.1 Cross-Sectional

By cross-sectional, Babbie means to study specific phenomenon by taking a cross section of it at one time and analyzing that section carefully. Exploratory, descriptive and explanatory studies are cross-sectional in character (Babbie, 1986: 80-81, Mouton and Marais, 1988:43-45). The overview of the aforementioned types of studies is now provided below.

##### 4.6.1.1 Exploratory Study

As the term indicates, exploratory means a process leading to discovery. It therefore means a study which is conducted through exploring the research area in order to gain more insight (Mouton *et al*, 1988:43). Exploratory studies are mainly conducted for the following six factors, namely.

- to gain new insights into the phenomenon;
- to undertake a preliminary investigation before a more structured study of the phenomenon;
- to explicate the central concepts and constructs; and
- to develop new hypotheses about an existing phenomenon (Mouton *et al*, 1988:43).

Generally, exploratory research approach enables a researcher to gain more insight about the subject of investigation. This approach usually involves in-depth interviews, analysis of case studies and the use of informants (Mouton *et al*, 1988:43).

#### 4.6.1.2 Descriptive Study

This type of a study merely describes the phenomenon. The examples of aspects to be described are as follows:

- specific individual;
- situation;
- group;
- organization;
- tribe;
- sub-culture;
- interaction; and
- social object (Mouton *et al*, 1988:43).



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#### 4.6.1.3 Explanatory Study

Explanatory study refers to an attempt to explain a given phenomenon. The phenomenon as Mouton and Marais (1988:45) have stated, must at least meet three central requirements:

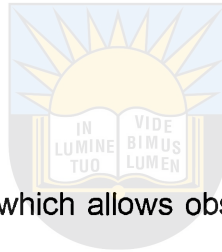
- that a demonstrable relationship exists between the phenomena or; that the causal variable co-varies with the dependent variable;

- that there is a specific sequence of cause and effect; and
- that a specific phenomenon is the real cause of y (Mouton *et al*, 1988:45).

Explanatory study according to Mouton *et al* (1988:45) is similar to the following types of research studies:

- predictive; and
- evaluative.

Explanatory research study is similar to the abovementioned studies in that, the focus is always on the assessment and the evaluation of effectiveness of a given practice, intervention or a social programme (Mouton, *et al*. 1988:45).



#### 4.6.2 Longitudinal studies

This is another type of a research study which allows observations over an extended period. The example would be a study conducted by observing the activities of a radical political party from the stage of formation up to the stage of demise (Babbie, 1986: 81). Longitudinal studies are comprised of the following types, namely.

- Trend;
- Cohort; and
- Panel Studies (Babbie, 1986: 80-81, Dooley, 1984:236).

##### 4.6.2.1 Trend studies

As the name suggests, trend studies often study changes which occur in a particular population over a period of time (Babbie, 1986: 81). It means, the researcher will have to follow trends of activities that are performed by such a population in order to understand its growth dynamics. For example, one could be interested in studying trends of the political development of the ruling party

in South Africa, which is the African National Congress (ANC) from being a revolutionary movement to being the ruling party of a country.

#### 4.6.2.2 Cohort Studies

By cohort is meant a group (Online Dictionary). In the context of this study, it refers to a specific age group. This group is therefore studied separately as a specific sub-population in order to understand changes which had occurred on it over time (Babbie, 1986: 81).

#### 4.6.2.3 Panel Studies

This form of a study is identical in shape with both the trend and cohort studies with the exception that the same set of research respondents is studied each time (Babbie, 1986: 81). It therefore means that the researcher will not necessarily change the units of analysis but that the same people will be interviewed each time to check elements of deviations. For instance, if campaigning for an election is meant to be every month, the focus of the study would be on assessing whether or not the same people who voted candidate "A" have maintained their convictions even in the second round of an election. The same sample of research respondents in panel studies is repeatedly interviewed in order to assess elements of deviation. The main goal is to compare trends on voter statistics of a specific candidate.

The study in question seeks to understand the process of policy implementation in the Department of Human Settlements for a specific period. The study covers the period from February 1994 to December 2011. The choice of selecting this period is influenced by the fact that the democratic dispensation in South Africa began in 1994. A period of more than ten years will surely present a fair basis for the evaluation of a policy implementation process. In order to understand any phenomenon, Mouton *et al* (1988:43) state that exploration is required for purposes of gaining more insight. After gaining more insight and knowledge pertaining to a specific phenomenon, it

becomes easy to describe the phenomenon and be able to explain all matters relating to the experiences of such a thing.

The study is earmarked for a specific period as stated above and as such the cross-sectional approach, as opposed to the longitudinal approach, will be followed to conduct this particular study. The process of policy implementation and other operational activities linked to it requires exploration, description and explanation. Also, different types of research respondents from different social sectors will have to be interviewed for purposes of comparing responses. Without doubts, therefore, cross-sectional study will fit well to this type of a study.

The aim of this study is to appraise the process of policy implementation in the public sector, paying a particular attention on the implementation of the housing development policy and strategy by the Department of Human Settlements in the Eastern Cape Province which is one of the nine provinces forming the South African public service. Since the goal of the research is to assess both the qualitative and quantitative aspects of the policy implementation process in the said department, qualitative and quantitative research approaches will be adopted and followed in this particular research. It can be deduced that research studies are classified into two groups, namely cross-sectional and longitudinal studies. It can also be deduced that cross-sectional studies are conducted on a specific phenomenon and for a reasonable period of study. The research methodology is now explained.

#### **4.7 RESEARCH METHODOLOGY**

A research methodology is the approach to be utilized in gathering and processing the research data within the scope of a research process (Brynard and Hanekom, 1997:27). By methodology is meant a general approach that may be employed in tackling a research project, which most of the time dictates the types of tools to be selected for the research project (Leedy & Ormrod, 2001:14).

## 4.8 Research Approaches

By approach in this context is meant a specific research technique. A research can be undertaken using different forms of research approaches. However, the study in question was approached using two types of the research techniques, namely quantitative and qualitative research approaches.

### 4.8.1 Quantitative research approach

The quantitative research methodology prefers the use of measurements and various forms of scales to measure the respondents' responses. Alluding to the above, Bless and Higson-Smith (2000:38) write that quantitative research methodology relies heavily on measurement and uses various scales. In this approach, Bless *et al* state that numbers form a coding system by which different cases and different variables may be compared. It is further noted that systematic changes in scores are interpreted or given meaning in terms of the actual world that they represent (2000:38). The quantitative approach measures the responses in terms of numbers and scales. It therefore means that the interpretation is based in numbers and measurement scales. This approach has been selected for the study in question since the aim is to assess the process of policy implementation as it affects a number of people. Surely, measurement in relation to numbers will be used and the utilization of scales to ascertain the extent to which the research respondents agree with the attached values on a measurement scale. The research is not only about the extent but also about the quality of the other aspects associated with the process that is being investigated.

### 4.8.2 Qualitative research approach

It is also true that there are some kinds of information that cannot be adequately recorded using quantitative data as Bless *et al* (2000:38) have asserted. However, in many cases, Bless *et al* argue that language provides a far more sensitive and meaningful way of recording human

experience. In these cases, Bless *et al* go on to argue that words and sentences are used to qualify and record information about the world. The goal of the research is to understand the pattern of the policy implementation process as it affects a number of people and the quality of the systems surrounding the process itself. It therefore means both approaches will be utilizing in this study wherein the policy implementation process is being appraised. It can be deduced that research studies have two research approaches to choose from, namely quantitative and qualitative research approaches. It can also be deduced that the same research may be used for data collection and data analysis. It can further be deduced that quantitative research methods focus on the aspect of numbers and scales in the process data collection and analysis whilst the qualitative favours the quality language use.



#### **4.9 Research strategy**

The strategy used for the pursuit of the study was a case study wherein a specific phenomenon was chosen to be studied separately. Even though all institutions of the public sector might be confronted by a number of policy implementation problems, this particular study followed a case study approach wherein the Department of Human settlements in the Eastern Cape was selected as a sample to measure the policy implementation process of the public sector. However, Robson (2002:178) writes that a case study is a strategy utilized for conducting research which involves an empirical investigation of a particular phenomenon, within its real life context using multiple resource of evidence. The study was therefore approached with the use of a case study method. This approach was therefore preferred based on its simplicity in studying a specific phenomenon.

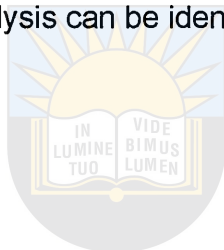
#### **4.10 UNIT OF ANALYSIS**

In the context of a research, the unit of analysis refers to the target population or the critical research respondents. The unit of analysis according to Babbie (1986:74) means people who have been selected to participate in a research project. Babbie (1986:74) also writes that the units of

analysis are those units which are initially described for purposes of aggregating their characteristics. The main purpose therefore is to provide a global picture of a group or explanation of some abstract phenomena.

It therefore means that the unit of analysis refers to the selected sample of a bigger population in order to gain more knowledge about the entire population group. In support of the above statement, Bless, Higson-Smith and Kagee (2006: 72) write that the term, unit of analysis refers to a person or object from whom a research data is collected. The units of analysis should be stated in research proposals, as units of analysis often determine the appropriate data to be collected. In any research study, three key units of analysis can be identified, namely:

- The principal social unit;
- Space; and
- Time (Hakim, 1987:127-128).



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However, even though Hakim has identified three key units of analysis, the other writers have identified several different possible units of analysis, such as:

- Individuals;
- Groups of people;
- Organizations;
- Period of time; and
- Social artifact (Babbie, 1983:77-78, Bless et al, 2006:73). From the above discussion, it can be concluded that the unit of analysis refers to a number of objects for a research study.

The goal, therefore, of selecting the unit of analysis is an attempt to describe the characteristics of a larger population through observing the character of a small portion of it (Babbie, 1986:74, Hakim, 1987:130 & Bless *et al*, 2006:72-73). It can be deduced that the unit of analysis means the type of people, number, period and the area to be covered by the research. It can also be deduced

that the unit of analysis means the sample of a bigger population which is selected to scope a research study.

The unit of analysis for this study, therefore, is the Department of Human Settlements in the Eastern Cape Province, in the Republic of South Africa. The Chief Directorate of Housing Planning and Research in the department under study forms a sub-unit of analysis in this study. The political office bearers, public officials, service providers, and the key figure of community structures will be the subjects or key research participants. The details of the units of analysis for this study are reflected on the table below.

**TABLE 4.1 Details of the Unit of Analysis**

Unit of Analysis	Sub-Unit	Subject
Human Settlement Department	Chief Directorate: Housing Development Projects	Politicians, officials (Top & operational officials),

**TABLE 4.2 Categorization of Subjects**

Subject	Number to interview	Planned	Interviewed	Percentage
Politicians	Six sessions of Interviews	6	4	66.7%
Chief Officials	Six sessions of Interviews	6	6	100%
Operational Staff/Officials	Fourteen Questionnaires	14	12	85.7%

It is essential that a study covers more of the research respondents for it to be reliable and credible. The manner of collecting data is discussed below.

#### 4.11 DATA COLLECTION

By data collection is meant a process of measuring and collecting data from the research respondents (Bless, *et al*, 2006: 111). This can be understood as a process of collecting responses and observing the behaviours from research respondents for purposes of giving answers to research hypotheses. The aspect of a measurement in a research comes more often, for example, data can be categorized in a table. The categorization normally goes with the assigning of numbers to compare or explain the phenomenon, thus resulting in quantitative exercise. At times, the same phenomenon would require an appropriate description, thus resulting in a qualitative exercise.

The nature of the study in question requires both the qualitative and quantitative data collection techniques. Bless *et al* (2006:112) write that "science is inconceivable without non-numerical data to assist in interpreting numerical data". The study in question, will surely utilize what Bless *et al* call the essential properties. These include:

- The existence of magnitude, which is the possibility of comparing different amounts or intensities so as to assess whether two values or levels of variable are the same, or one is lesser or greater than the other.
- The existence of equal intervals, which allows magnitude to be expressed by a certain number of units on a scale, all units on the scale being equal by definition.
- The existence of an absolute zero, which is a value indicating that the measurement of a variable is meaningless in circumstances in which the variable is non-existent (Bless, *et al*. 2006:112).

The comparing, explaining and assigning of numbers as well as showing the agreement or disagreement of responses will be done in this particular research hence the above discussion.

The study is about critical evaluation of policy implementation process, which, in actual fact seeks to surface all what could be termed impediments in the process. However, conclusion may be drawn that data collection is merely the capturing of responses and the observing of the research respondents' behaviours. Also, data collection may be regarded as a process of engagement between a researcher and the research informants to test the research hypothesis. It therefore logically follows that one may not necessarily utilize the above properties without considering any measuring scales. As such, four measurement scales are identifiable, namely:

- Nominal scales;
- Ordinal scales;
- Interval scales; and
- Ratio scales (Bless, *et al.* 2006:112-113, Babbie, 1986:125-127, Leedy&Ormrod, 2001:28-30).



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**TABLE 4.3 Discussion on Measurement Scales**

Type of Scale	Characteristics	Statistical Implications
Nominal Scale	This scale measures in terms of names or designation of discrete units or categories	Enables one to determine the mode, the percentage values, or the chi-square
Ordinal Scale	This scale measures in terms of such values as “more” or “less”, “larger or smaller”, but without specifying the size of the interval	Enables one to determine the median, percentile rank, and rank correlation
Interval Scale	This scale measures in terms of equal intervals or degrees of difference but whose zero point, or point of departure is arbitrarily established	Enables one to determine the mean, standard deviation, and product moment correlation, allows one to conduct most inferential statistical analyses
Ratio Scale	This scale measures in terms of equal intervals and an absolute zero point of origin	Enables one to determine the geometric and the percentage variation; allows one to conduct virtually any inferential statistical analysis

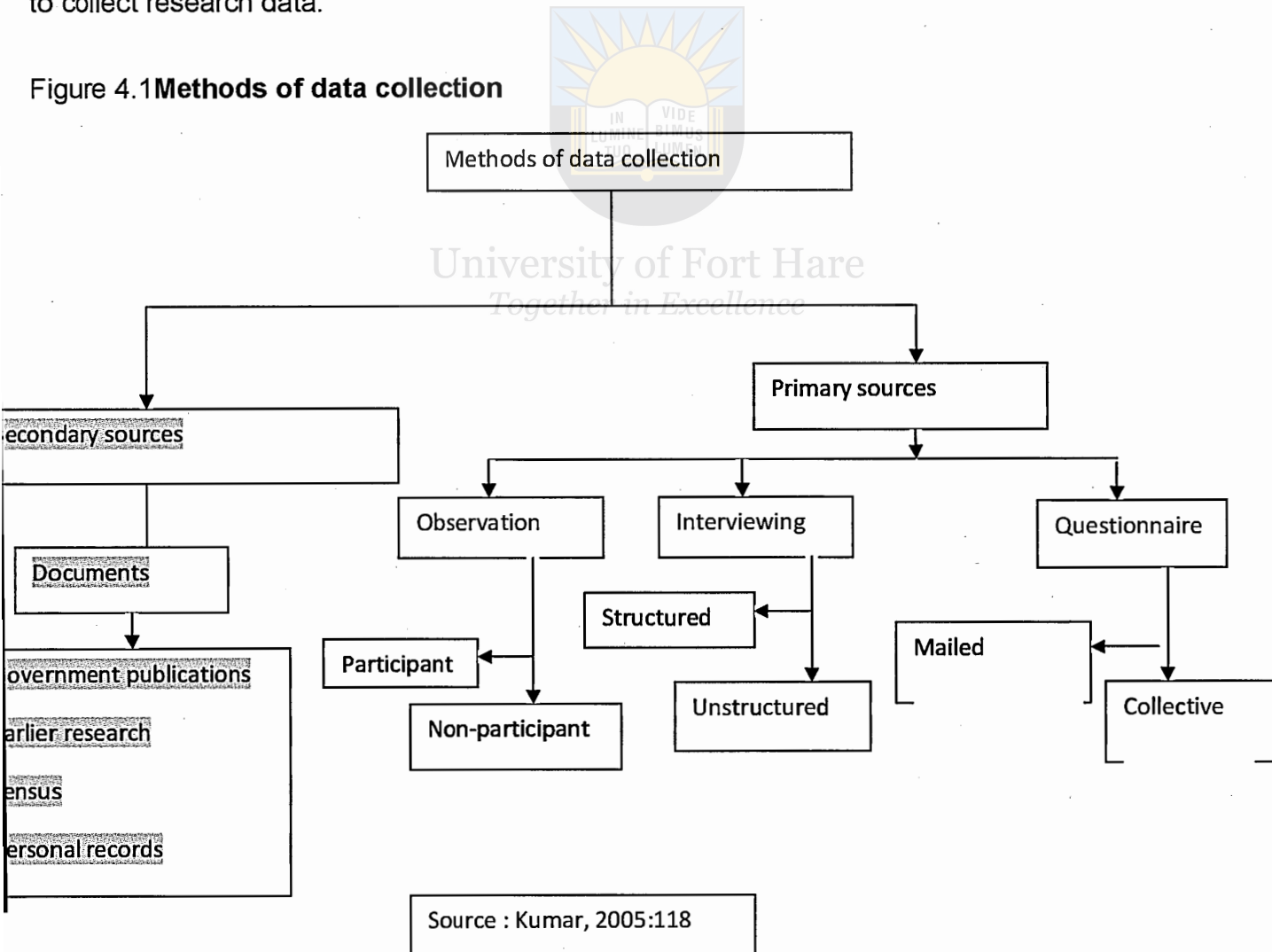
Source :Leedy&Ormrod, 2001:30.

Having provided this kind of a discussion, data collection techniques for the study in question are discussed below.

#### 4.12 Data Collection Instruments/Techniques

The research project will require specific instruments that can be utilized to gather the research data. The research instrument or tool is a specific mechanism or strategy which the researcher employs to collect, manipulate and interpret data (Leedy & Omrod, 2001:14). Therefore there are quite a number of data collection instruments or techniques that can be used to gather research data, depending on the type of the research project. The table below demonstrates the forms or methods of data collection. It can be deduced that a research instrument is a mechanism that can be employed to collect research data. It can also be deduced that various instruments may be used to collect research data.

Figure 4.1 Methods of data collection



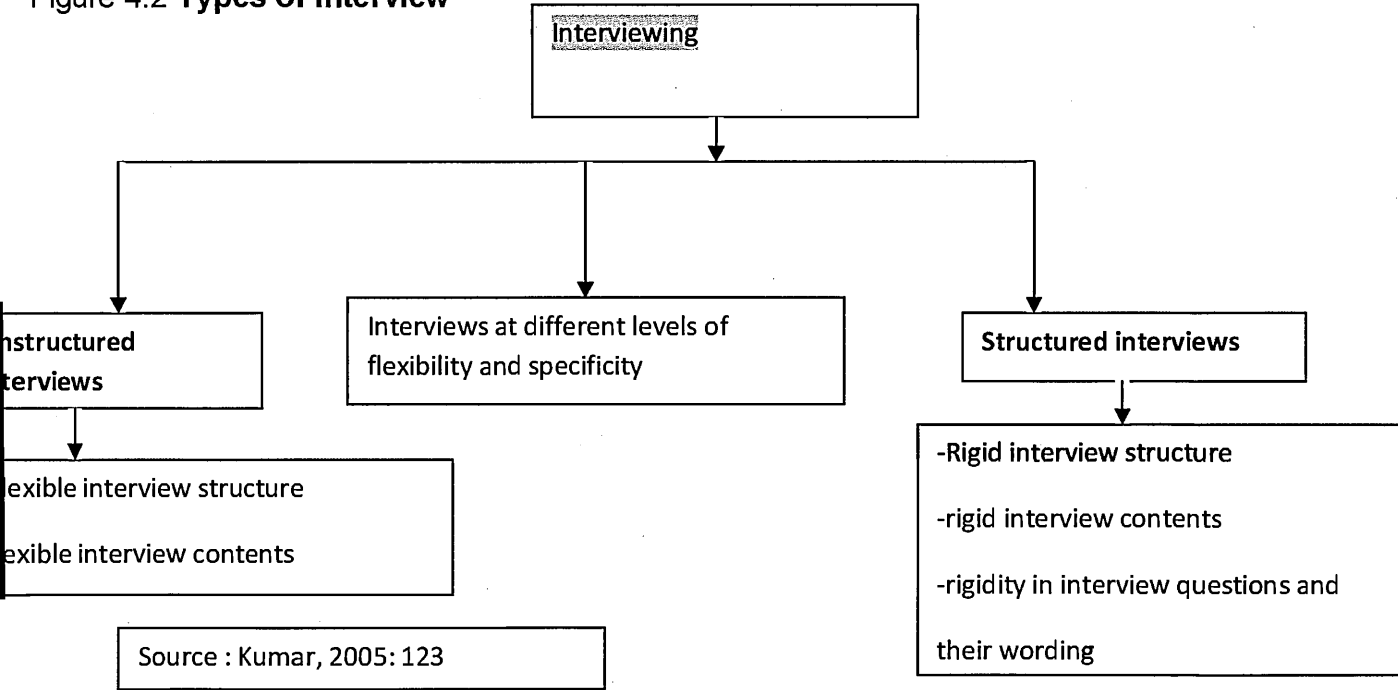
From the above table, it became clear that a research may employ various methods of data collection. Also, it became evident that a research utilizes primary and secondary sources of information. However, this study will use four types of data collection instruments, namely.

- Interviews;
- Questionnaires;
- Observations; and
- Documentary Surveys.

**4.12.1 Interviews**

The interview is a process of engagement between two parties with the sole aim to source information. An interview involves direct personal contact with the participant who is then asked some questions relating a specific research problem to answer (Bless *et al*, 2006:116). By an interview, kumar (2005:123) means a method of collecting information from people. Interviews are categorized into structured and un-structured interviews (Bless *et al*, 2006:116 & Kumar, 2005:123). The interview classification is reflected below.

Figure 4.2 **Types of interview**



From the above demonstration, it became evident that interviews may be categorized into two types, namely unstructured and structured interviews.

#### 4.12.1.1 Unstructured

The unstructured interviews provide flexible interview content and structure. The sequence of the content and structure is also flexible. In addition, there is complete freedom in relation to the choice of wording one might use in explaining questions to the research respondents. The researcher is free to formulate questions in whatever way that might suit the researcher's circumstances. Due to its natural character of freedom, an unstructured interview is comprised of various types, namely:

- In-depth interviewing;
- Focus group interviews;
- Narratives; and
- Oral histories (Kumar, 2005:124-125).



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For a better understanding of the various types of unstructured interviews, a brief discussion of the various types of unstructured interviews is provided below. However, the types of unstructured interviews are discussed below.

##### 4.12.1.1.1 In-depth interview

Kumar (2005:124) states that the theoretical origin of the in-depth interviewing comes from interpretive tradition. Taylor and Bogdan as cited (in Kumar, 2005:124) define in-depth interviewing as a "repeated face- to-face encounters between the researcher and informants directed towards understanding informants' perspectives on their lives, experiences, or situations as expressed in their own words". From the above, it was learnt that an in-depth interview involves face- to- face, repeated interaction between the researcher and his or her informant (s) and it seeks to understand the latter's perspectives. However, it is further believed that due to the repeated interaction and the extended time which will be spent between the researcher and the informants

will enhance rapport in the process of engagement between the researcher and the informant. Also, the corresponding understanding and confidence between the two will actually translate into in-depth and accurate information (Kumar, 2005:124).

#### **4.12.1.1.2 Focus group interviews**

The focus group means a group of people that is earmarked to be interviewed at the same time, same venue and on the same date. Therefore an in-depth interview differs with the focus group interview only around the aspect of individual versus a group. In short, in-depth interview deals with an individual whereas the focus group interview deals with a group of people. The goal of the focus group is to measure or explore the perceptions, experiences and understandings of a group of people who have some experience in common with regard to a situation or event. The interaction is in the form of a group discussion but the researcher needs to record whatever that is expressed and raised in the discussion. Any recording device may be used as long as it will best fit the nature of the engagement and interaction. Beside focus group interview, narratives are other forms of unstructured interviews.

#### **4.12.1.1.3 Narratives**

Narratives mean story telling exercises, more especially from one's experience of a specific phenomenon. Kumar writes in this regard that narratives have almost no predetermined contents except that the researcher aims to hear the personal experience of a person with an incident or an event which might have happened in his or her life (2005:124). Basically, narratives are the most powerful research method for data collection for situations that are insensitive in character. In this approach, the researcher allows the informant to narrate his or her story of personal experience about a certain event or occurrence which happened in his or her real life. However, whilst the informant tells the story, the researcher would record the narrative for purposes of drawing some conclusions out of the story. This approach would best fit the examination of the policy

implementation process since it provides the room for the active interaction between the researcher and the research subjects. Unstructured interviews can as well utilize oral histories to collect research data.

#### 4.12.1.1.4 **Oral histories**

Oral histories, like narratives, involve the use of both passive and active listening. However, oral histories, Kumar (2005:125) argues that they are more commonly used for learning about a historical event or episode that took place in the past or for gaining information about a culture, custom or story that has been passed from generation to generation but, on the other hand, Kumar states that narratives are more about a person's personal experiences. According to Kumar, oral histories mean the historical, social and cultural events. The problem with the unstructured interview might be the researcher and the respondent bias. It therefore calls for the careful management of the system should a researcher prefers observation over other methods of data collection. The following section provides a discussion of structured interviews.

#### 4.12.1.2 **Structured interview**

The structured interview is an interview in which the researcher asks predetermined set of questions as specified in the interview schedule. Kumar defines an interview schedule as a written list of questions, open-ended or closed ended, prepared for use by an interviewer in a person-to-person interaction. This may take the shape of face-to-face or telephone conversation or may follow the route of an electronic media. A distinguishing feature therefore between the interview schedule and interviewing is that an interview schedule refers to the research tool or an instrument which may be used for the collection of data whereas interviewing refers to the method of collecting data. The dividing line is that an interview schedule is simply an instrument whereas interviewing stands for the method of collecting data.

It can be deduced that an interview means a personal exchange of information between a researcher and the research respondent. It can also be deduced that interviews are classified into structured and unstructured interviews. It can further be deduced that within an unstructured interview approach, there are various types of unstructured interview criteria. In addition, it can be concluded that interviews are necessary in order to gain more insight into the subject under investigation through capturing sensitive information which might not be forthcoming if the questionnaires alone were used. Research questionnaires also play a steering role in data collection processes.

#### 4.12.2 Questionnaires

A questionnaire means an instrument which is utilized to collect information for further processing. It is, in other words, a package which presents questions and responses of the research respondents in a recorded form (Alreck & Settle, 1985:158). Kumar (2005:126) writes that a questionnaire is a written list of questions, the answers to which are recorded by respondents. It therefore means that in a questionnaire respondents read the questions, interpret what is expected and then write down the answers. The only difference between an interview and a questionnaire is that in the former it is the interviewer who asks the questions and records the respondent's replies on an interview schedule but in the latter, replies are recorded by the respondents themselves. The distinction as stated above is crucial in understanding the strength and weaknesses of the two methods of data collection.

However, caution is made, in the case of a questionnaire that, it is important to formulate clear questions which are easy to be understood. Also, the layout of a questionnaire should be such that it is easy to read and pleasant to the eye, and the sequence of questions should be easy to follow. The other important aspect about a questionnaire is that it should be developed in an interactive way. This means that the questionnaire must present an atmosphere wherein respondents would feel as if they are directly and actively interacting with the researcher, an experience which brings a

feeling that respondents are actively engaged in a discussion with someone but through a questionnaire (Kumar, 2005:126).

The researcher needs to decide whether to use a questionnaire or an interview in a study after having analyzed the strengths and the weaknesses of the two methods as they can affect the validity of the findings. However, the choice of selecting either a questionnaire or an interview is mostly motivated by:

- the nature of investigation;
- the socioeconomic-demographic characteristics of the study population; and
- the type of study population (Kumar, 2005:126).

The nature of investigation, for example, means a scenario where the study may be dealing with sensitive issues which respondents are uncomfortable to discuss with the investigator and in such instances, a questionnaire may serve as a better choice as it ensures anonymity. The socioeconomic-demographic of the study population means a situation where potential respondents are scattered over a wide geographical area. In this scenario, interviews would not be an economically viable option. The study population means the categories of the selected research respondents. For example, if the sample chosen includes the illiterate, very young, very old and handicapped groups of respondents, the researcher will be left with the interview option. The study in question possesses the three elements in that- the study will deal with sensitive information, the respondents are scattered in all the selected geographical areas and the study population is comprised of the other vulnerable groups.

Therefore with the use of questionnaires in this instance, the process of data collection will be simple and easier since the respondents will be at liberty to answer the research questions. The overall number of questionnaires for this study is forty eight for other officials and the key role

players in the housing development. Two types of questionnaires were therefore developed for this particular study namely:

- Questionnaire One: Questionnaire to political office bearers and chief officials for housing policy implementation; and
- Questionnaire Two: Questionnaire to stakeholders on housing policy implementation.

Both questionnaires aim to tackle the following objectives:

- Nature of the housing policy implementation in the department,
- Problems encountered on the implementation of a housing policy and strategy,
- Monitoring and evaluation of the housing programmes and projects, and
- Communication of role players on housing policy implementation.

Although questionnaire two attempts to evaluate similar aspects as questionnaire one, however, the approach in questioning in some areas is a bit different. For instance, the chief officials in a specific section are asked if they consult the stakeholders whilst developing policy implementation plans. However to test a balance around this aspect, the stakeholders are asked about people who plan the housing development initiatives. The goal is to put a balance and a cross-check of some kind on the responses of the political office bearers and chief officials, to establish whether similarities or dissimilarities can be drawn from the responses.

It can be deduced that a questionnaire means list of research questions which might be either open or closed ended questions posed to research informants. It can also be highlighted that recording is important in answering the research questions. It can further be deduced that a questionnaire needs to be simple and should, at all times, be designed in a very interactive style. However, depending on the type of study, observations may serve as a powerful instrument for the collection of research data.

### 4.12.3 Observations

By observation is meant the instance of becoming part of the object which is being investigated. In other words, observation refers to a process of physically witnessing the occurrence of events in an object of research. Kumar (2005:119) writes that observation is one way to collect primary data. It is a purposeful, systematic and selective way of watching and listening to an interaction or phenomenon as it takes place.

Kumar states that observation could be used to learn the interaction in a group, study the dietary patterns of a population, and ascertain the functions performed by a worker or study the behavior or personality traits of an individual. However, it is further stated that observation is also appropriate to be applied in situations where full and accurate information cannot be elicited by questioning. Observation as an instrument in this particular study is chosen for objective reasons and for purposes of collecting the accurate data. According to kumar (2005:120), there are two types of observation, namely participant and non-participant observation. It therefore becomes important to provide a distinction between the two types of observation.

#### 4.12.3.1.1 Participant observation

Participant observation means that a researcher has become part of the group which is being investigated. In a nutshell, the researcher is actively participating in the activities of the group as a member with or without the knowledge of the group which is being studied (Kumar, 2005:120, Nachmias & Nachmias, 1976: 90). For example, a researcher might become a patient in a mental hospital wherein the researcher behaves as a mentally disturbed individual with a view to study the behaviour of a mentally disturbed patient. It therefore means that the researcher, in this type of observation, conducts his or herself in a chameleon style, changing with the environment so as to understand its dynamics.

#### 4.12.3.1.2 Non-participant observation

On the other hand, Kumar (2005:120) writes that non-participant observation means an instance where a researcher does not get involved in the activities of the group but remains a passive observer, which only watches and listens to the activities of the group and ultimately draws some conclusions out of the group performances. For example, one might follow the activities of a doctor while diagnosing a patient and draws some conclusions out of the diagnosis process.

Bless *et al* (2006:114) define observation as the recording of events as observed by an outsider.

Kumar (2005:121) writes that there are many ways of recording observation, namely:

- Narrative;
- scales;
- categorical recording; and
- recording on mechanical devices.



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##### 4.12.3.1.2.1 Narrative recording

In this approach, the researcher records a description of the interaction in his or her own words. Brief notes are compiled whilst interaction takes place. The events are sometimes interpreted whilst the interaction is taking place and at the same time conclusions are made. The advantage of the narrative recording is that it provides a deeper insight into the interaction. However, the opposite is also true that the observer may become biased and as such the interpretation and conclusions may also fall into the biasness trap of the observer. This might actually discredit the integrity of the collected data and as such formulation of powerful conclusions may as well be negatively affected. It therefore means that the level of maturity is required for the administering of this recording method.

#### 4.12.3.1.2.2 Scales

Scales are used to provide ratings of interactions. In this approach, the researcher may develop scales to rate various aspects of the interaction or phenomenon. However, the disadvantage of a scale is only talking numbers or values as opposed to providing in-depth information about the interaction. The second problem is the general trend of avoiding the extreme positions on the scale, ending up falling into what kumar (2005:122) calls an error of central tendency. It therefore means that in the process of avoiding the extremity, centrality is unintentionally created.

In this instance, the observer might prefer to mark only the central numbers on the measurement scale. However, the other tendency goes with the aspect of observer preference. Some observers are naturally strict and others are somewhat sloppy. This therefore results to what kumar (2005:122) term, the elevation effect. In addition, the other shortfall of this method is the tendency of the observer to rate an individual based on the previous interaction. It is therefore believed that the previous interaction or the result in one aspect may influence the result of the other aspect. This equates to a scenario where a student in one subject scored an average percentage and as such the results of the other subjects might be influenced by the previous average marking. This tendency of believing that the previous result will always influence the other subsequent results no matter coming from a different interaction is called, the halo effect (Kumar (2005:122)).

#### 4.12.3.1.2.3 Categorical recording

In this instance, the researcher prefers to use categories to record observations. The type and number of categories depend upon the type of interaction and the observer's choice about how to classify the observation. However, categorization may as well experience similar problems as that of scales.

#### 4.12.3.1.2.4 Recording on mechanical devices

This approach will basically use the sophisticated forms of technology in recording the interaction or the activities of the research respondents. Similarly, this approach prefers the use of videotapes to record the interaction or the activities of the research subjects. The advantage of using this approach is that the information in a videotape may last longer and can be viewed in different intervals. This approach therefore allows enough space for analysis of the information before conclusions could be made. However, some people become nervous and uncomfortable when they are interviewed under a camera and as such their behaviour might suddenly change. However, once the behaviour changes, the result of the observation may not be the true reflection of the ordinary situation.

The purpose of the study is to appraise the policy implementation process and as such, it is anticipated that the research might use some of the observation recording types. The researcher will always be mindful of all the likely unintended consequences of each and every type of the observation recording. In other words, the researcher will carefully administer the recording aspect of all observations which are likely to take place.

The literature as having been read reflects that there are different types of observation. However, Bless *et al* have identified four types of observation, namely:

- Simple or non-participant observation. This type advocates for the recording of events as observed by the researcher,
- Participant observation. The identity of a researcher in this type of observation is hidden so that he or she becomes an active participant and becomes part of the unit of analysis,
- Modified participant observation. In this method, the researcher only participates in major community events such as meetings or community ceremonies, and
- Laboratory observation. This refers to experiments which are conducted in a laboratory.

The best fitting type of an observation for the study in question is simple or non-participant observation since the interest of the study is about understanding the process of implementing the housing policy and strategy by the department under investigation. It can be deduced that observation means the eye witnessing of the occurrence of an event or an administrative process. It can also be concluded that various forms of observation may be employed on research studies depending on the type of study one might be pursuing. The official publications also help in providing research information.

#### 4.12.4 Documentary Surveys

The official publications ranging from acts, policies, white papers and the departmental publication will be scrutinized to gain facts on how the department conducts its business. This analysis is of paramount importance in trying to understand the process of policy implementation. Data collection methods for the study were discussed above, the sample size of the target population to source the research information is provided below.

#### 4.13 SAMPLING APPROACH

The research project always targets a particular group of people to test the research hypothesis. Since it is not easy to study a bigger group, a sample is often preferred to be selected for study purposes. A sample simply means taking part of some population to represent the whole population (Alreck & Settle, 1985:63). What Alreck and Settle say, is that instead of studying the whole population, a smaller portion of that population should be selected to represent the bigger whole. Different book authors have identified two types of sampling. These include:

- Probability Sampling; and
- Non-Probability Sampling.

### 4.13.1 Probability Sampling

Within probability sampling, Bless *et al* (2006: 101) have identified different other groups which, put together, form the probability sampling technique. These include:

- Simple random sampling;
- Interval or systematic sampling;
- Stratified sampling; and
- Cluster or multi-stage sampling (Bless, *et al.* 2006:101-104).

#### 4.13.1.1 Simple random sampling

Random expresses the idea of chance being the only criterion for selection (Bless, *et al.* 2006:101). Random in this instance refers to a procedure which can be adopted to select the sample of a population for study purposes. This therefore means a probability or a likelihood which can be determined to select a sample out of the whole populace earmarked for study purposes.

#### 4.13.1.2 Interval or Systematic sampling

This type of sampling is similar to random sampling but instead of relying on random numbers, it focuses on the selection of elements at equal intervals.

#### 4.13.1.3 Stratified random sampling

Stratified random sampling means the dividing of a population into different groups. The groups resulting from the process of dividing the population are called strata. When the population is divided into strata, the process of studying and managing the research project becomes easy, as a small portion of a bigger population is dealt with separately. Stratified random sampling increases greater accuracy as a manageable portion of a population is studied separately. It then logically follows that the study can enjoy greater reliability and credibility.

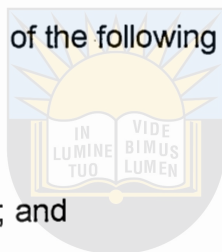
#### 4.13.1.4 Cluster or multi-stage sampling

This approach advocates that a study should first look at a broader perspective than coming to specifics. Bless *et al* (2006:104) write that the principle of cluster or multi-stage sampling is to start by sampling a more general population than the final population. According to the above statement, it means then that before a provincial sample can be determined, at least a national perspective must have been explored. This discussion ends the probability sampling techniques, the following discussion concentrates on non-probability sampling techniques.

#### 4.13.2 Non-Probability Sampling

The non-probability sampling is comprised of the following sub-sampling techniques, namely:

- Accidental or availability sampling;
- Purposive or judgemental sampling; and
- Quota sampling (Bless, *et al.* 2006:105-106).



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##### 4.13.2.1 Accidental or availability sampling

As the name suggests, this is the most rudimentary sample which aims at taking the available sample and subject it to investigation. The study is therefore based on the available sample until the desired sample for the study has been covered. It therefore means that the researcher targets those areas with a big number of the population such as the schools, bars and sports field. The problem with this approach is that the sample might end up not being representative of the entire population subjects.

##### 4.13.2.2 Purposeful or judgemental sampling

The method is developed based on the assumptions of the researcher. In this instance, a researcher will choose such units of analysis that are regarded as the most relevant and

appropriate for the type of a chosen study. In this method, units of analysis are selected for a particular purpose (Leedy &Ormrod, 2001:219).

#### 4.13.2.3 Quota sampling

The goal of this approach is to select a sample, which resemble all the features of the entire population through accidental interviews (Bless, *et al.* 2006:106, Leedy &Ormrod, 2001:219). Quota sampling therefore is about studying a sample with the same proportions of the whole population and attempts to regulate the size of each category within the sample. The study is about the appraisal of the policy implementation process in the Department of Human Settlement in the Eastern Cape Province. Already, the researcher was able to identify the critical units of analysis for the study. In therefore means that the target population was divided into strata for purposes of this research. Obviously, stratified random sampling is the most fitting for this type of a research. The main goal is to get opinions of the different groups of people who partake in the process of the housing development in the Eastern Cape Province. Considering the overall goal of the research, purposive sampling is the other method which will be utilized to select the research respondents.

A sample is chosen on the basis of what is considered to be the typical units. The strategy is to select units that are judged to be the most common in the population under study (Bless, *et al.* 2006:106). It then becomes clear that the study in question will use both stratified and purposive sampling research techniques. The study will surely divide and group the research respondents in order to compare their beliefs and experiences. Obviously, the research respondents will be chosen based on their understanding of the subject under investigation. It therefore means that only those units of analysis who are partaking in the housing development will be selected.

For example, politicians, officials, other key role players for the housing development in the Eastern Cape Province, more specifically in Amathole and O.R. Tambo District municipalities will be selected to participate in the study. It can be deduced that a sample is a representative small group

of people selected from a wider population group of people for study purposes. It can also be conceded that there are various forms of a sample which researchers can explore whilst conducting research studies.

#### 4.14 DATA ANALYSIS

Data analysis refers to a process of categorizing and analyzing the collected information in order to establish meaning out of it. The process according to Mouton (2001:108) involves the breaking up of collected information into manageable themes, patterns, trends and relationships. Leedy and Ormrod (2001:252) explain that data analysis is the habit of looking closely to the collected data, using an open mind and imagination with the sole aim of detecting data patterns. However, Babbie (1983:331) understands data analysis as the stage of converting the collected data into a readable and easy to manipulate format.

Flowing from the above discussion, it becomes clear that data analysis means a stage where the collected raw information is processed in order to gain meaning and appropriate understanding of the subject under investigation. The main tools which will be used in this research to make meaning of the collected information are qualitative and quantitative data analysis techniques. By quantitative technique, a better sense of the world is made through the use of numbers to explain the pattern of events. These numbers represent aspects of the observable, physical world such as, for example, the number of people which are engaged in a particular activity (Leedy & Ormrod, 2001:252).

The only way to understand the meaning of the numerical data is to apply the statistical methods or procedures to interpret research data. In this research, data is categorized into different groupings of the research respondents. It therefore means that numbers will have to be assigned to each and every research category. The use of statistical data analysis technique is unavoidable. Quantitative data analysis technique will be employed to give meaning to some of the assigned numbers from

the responses of the research respondents. Data will therefore be analyzed through the utilization of statistics. Tables, figures, graphs and matrices will be used to explain and provide meaning of the collected data. It can however be deduced that data analysis is a process where complex information is broken up to obtain simple and conceivable information. Data analysis may also be regarded as the explicit process of converting raw data to articulate the real feelings, aspirations and expressions of the research participants about the subject under investigation.

#### 4.15 **LIMITATIONS OF THE STUDY**

Due to the limited number of books available in the local libraries and inadequate financial allocations for the research, the study could not finalize on the due date as initially planned. The following section will however provide the concluding remarks for the chapter.

#### 4.16 **ETHICAL CONSIDERATION**

Ethics means an agreed set of societal moral standards or values. These moral standards or values are determined by the society to be an acceptable societal moral standards or value which should be respected and complied with at all times. In other words, ethics may refer to a set of moral behaviours which should be followed by an individual or a group of people in conducting themselves within a community. Ethics combines rules and morals together. By rules is meant explicit commandments which dictate proper conduct. The code of ethics, in other words, means a set of rules which prescribes the correct path leading to the correct decision (Vesilind, 1988:201).

In this explanation, ethics may presumably be understood to mean taking a choice between what is morally correct and bad. Kanyane (2008:12) writes, in this regard, that ethics is about making a choice between what is perceived to be good or bad. From the above discussion, it becomes clear that there is strong relationship between rules and moral values. By moral values, according to Morril, as cited (in Vesilind, 1988:204) is meant those standards or patterns of choice that guide toward satisfaction, fulfillment or meaning. Resnik (2010:1) writes that ethics means norms for

conduct that distinguish between acceptable and unacceptable behavior. It may therefore mean that ethics is just an agreed standard for the promotion of moral behaviours and compliance to a specific set of pre-determined social values. Payne and Payne (2004:66) call ethics as “the dilemma of what is morally correct and incorrect”. Therefore, the following ethical principles will be considered in the study:

- The researcher will always portray honesty through correct reporting of data. The collected information will not be fabricated or falsified;
- The research will promote free participation of the research respondents. No one will be forced or coerced to participate in the research project, information will be provided freely and without any form of intimidation or bribe;
- The information provided by the research respondents will not be divulged to the third person. It therefore means that the anonymity of the respondents and the confidentiality of the information will be maintained and respected;
- The study will be pursued in a very objective manner. It means then that biasness will be prevent at all costs in the process of the study; and
- Carefulness will be maintained throughout the study by way of managing the research risks such as negligence in handling information of the peers. The ideas of the other writers will be acknowledged so as to prevent the study to fall into the trap of plagiarism.

It can be deduced that ethics refers to a package or a set of norms, rules and standards which any society prescribes for everybody to conform and comply with. It can also be deduced that ethics has something to do with a choice to be made between what is perceived to be morally right or wrong or a choice between good and bad.

#### 4.17 CONCLUSION

The intention of this chapter was to provide a discussion on the research methodology and research design. As planned, the first section dealt with a discussion on how approval or permission to conduct the study was solicited. To put boundaries on the study, a narrative was provided indicating the scope or the areas to be covered by the study. A discussion was provided on research design and research methodology. In this section, it was learnt that a research design is a plan which directs the research activities. It therefore prescribes what needs to happen, where and when. In this way, a research design serves as the blueprint which guides the activities of a research project. It has also been established that the main research designs are made up of a variety of different sub-research designs.

Notably, an experimental research design was viewed to be the most powerful and careful in applying strict scientific research methods. It was also revealed that research designs are informed by two types of research studies, namely cross-sectional and longitudinal studies. However, it was noted that research studies are mostly guided by only two research methods, namely quantitative and qualitative research methods and that these methods may be utilized for both data collection and data analysis processes. Also, a note was taken that quantitative research methods emphasize the use of numbers and scales to measure research variables. On the other, qualitative research methods was perceived to be promoting quality language use in research studies.

This chapter has also provided a discussion on the unit of analysis. In the context of this study, the unit of analysis was explained as the type and number of people earmarked for participation in the research study. From the discussion on the unit of analysis, data collection was discussed. It was established that data collection equates to the capturing of research respondents' responses and the observing of interaction amongst the groups of respondent.

Furthermore, data collection was perceived to be the necessary and intentionally created space of engagement between the researcher and research respondents to test research hypothesis. Data collection includes the use of data collection instruments. However, data collection instruments may be construed as data collection mechanisms and that these may be found in various forms in research studies. Interviews as one of data collection mechanisms were regarded as the normal exchange of personal information and that interviews may be categorized into unstructured and structured processes of engagement.

Importantly, these processes of engagement provide space to gain more insight about the subject of research. It is further believed that interviews may help in the collection of sensitive information which questionnaires fail to capture, due to the likely absence of the confidentiality aspect in questionnaires. Simply put, research questionnaires were taken as the list of research questions from which the research respondents and the researcher need to create the responses record or responses database. To enable the research respondents to effectively respond to research questionnaires, the researcher needs to formulate simple questionnaires with straight forward, precise and simple questions which are interactive in style. Observations were also understood to mean an act of eye witnessing the occurrence of an event or an administrative process. This section further revealed that observations may be found in various forms in research studies. The chapter has also provided a discussion on the sampling approach. However, a sample was explained as a representative small group of selected people from a wider population group and that a sample may be found in various categories.

The chapter also dealt with data analysis which was understood to mean the breaking up of complex raw information into simple and conceivable information. In simple terms, data analysis was understood to mean the explicit process of converting raw data into statements which articulate clearly the feelings, aspirations and the expressions of the research respondents as extracted from the research data collecting techniques. The chapter has also dealt with the

limitations of the study. From this section, a discussion on the ethical considerations of the study was provided. Ethics were therefore regarded as the set norms, rules and standards which may be utilized to govern members of a particular community. However, a general agreement was reached that ethics means choosing between right and wrong or good and bad. Even though the section was aimed at only outlining the frame of the research project, it actually managed to bring together specific knowledge that is required to broaden the scope of the research design and research methodology as a chapter in this manuscript. In the main, the chapter progressed according to the initial plan. The following chapter of the manuscript, which serves as chapter five, presents data analysis and interpretation.



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## CHAPTER FIVE

### DATA PRESENTATION, ANALYSIS AND INTERPRETATION

#### 5.1 INTRODUCTION

Policy implementation is the conversion of a policy into implementable government programme by government officials. A government policy is developed to correct or prevent the occurrence of a specific societal problem. The implementation of a government policy requires the cooperative and the interactive role of all the stakeholders. Policy outcomes can be realised after a policy has been smoothly implemented. However, if a government policy meets with administrative glitches, the impact of such a policy on community will not be realised in practical terms. It is the goal of this chapter to assess the process of implementing the housing policy and strategy by the Department of Human Settlements in the Eastern Cape Province.

The assessment will be made easy through the analysis of the collected information from the previous chapter on research design and methodology. It is important that the collected data is processed. The processing of data involves the conversion of raw data into meaningful information. This process takes place when the raw data is subjected to a process of analysis and interpretation. The goal of this chapter is to analyse and interpret the data which was gathered in the previous chapter. The process of analysis will therefore involve scrutinising, compacting and categorising of information to obtain a variety of perspectives from the responses of the research respondents. The intention is to translate the respondent's responses to provide meaning and better understanding. The analysis therefore could simply refer to the verification of the research responses to obtain a reasonable understanding of the facts.

The second component of this chapter deals with data interpretation. By data interpretation is meant the process of interrogating information to get facts. However, facts may lead to substantive and logical conclusions, which also forms part of the interpretation process. The fundamental aim

of this chapter is to provide analysis and interpretation of the collected data. The approach that was adopted, in this particular study, was the utilisation of various research instruments to gather information. These research instruments include:

- Interviews;
- Observation;
- Questionnaires; and
- Documentary surveys.

These instruments were further elaborated on in chapter four of this manuscript. The analysis and interpretation focused on the data which was provided for by the literature review chapters of the study. These chapters include chapter two and three respectively. Chapter two deals with the literature review of the nature and place of the policy process and policy implementation in public administration. However, chapter three deals mainly with the cooperative interactive role of stakeholders on policy implementation.

The purpose of the study is to appraise the process of policy implementation in the public sector. The focal area of the study is in the Department of Human Settlements in the Eastern Cape Province. The department, as cited, will be used as a research site to undertake a thorough study of policy implementation process as a way of providing a public sector perspective of the policy implementation process. The effective implementation of government policies should yield important consequences for the public service beneficiaries. The goal of any public policy is aimed at improving the living conditions of all citizens, which, in essence, is the promotion of better life for all. However, even though the promotion of better life for all is a constitutional matter (*Vide*, section 10, *Constitution* of the Republic of South Africa, 1996) and that the RDP programme provides space for the improvement of better life for all, the public sector process of policy implementation lives much to be desired in making the above goal realised in practical terms. This failure could be

demonstrated through massive land invasions by the landless people in the Eastern Cape, who lack housing shelters. This situation is also exacerbated by numerous mass demonstrations of people demanding the housing provision from government, which at times takes the lives of the family bread winners, causing more poverty than providing solutions for the already poverty stricken families. In this way, the province is becoming more impoverished through the actions of the key role players in housing development namely, public officials who take long to provide the housing development services to the deserving citizens and the community which opt for the demolition of the existing community infrastructure in demand of their right to have access to housing as enshrined in the constitution.

However, this study is undertaken to provide a lasting solution to the problems which are emerging as a result of people lacking the housing shelter, which is their constitutional right to have access of a housing shelter. The experience has shown that public mutiny can never, in any way, be a panacea for the inadequate supply of houses to the deserving citizens. This is but one of the attempts which might bring the lasting solutions to the prevailing social problems. However, the interpretation of data cannot proceed smoothly without a clear guideline which will provide the analysis and interpretation approach. However, for this specific research four aims have been set to guide and direct the process of presentation, analysis and the interpretation. It therefore means that data will be allocated into four specific sections of the chapter for a possible analysis and interpretation.

Firstly, the nature of the housing policy implementation in the Department of Human Settlements will be described and explained. Secondly, problems encountered on the implementation of a housing policy and strategy will be examined. Thirdly, monitoring and evaluation of the housing programmes and projects will be assessed to determine their effectiveness in the process of policy implementation. Lastly, communication of the key stakeholders on housing policy implementation will be examined to determine its effectiveness in promoting partnerships for policy implementation.

The following discussion presents the criteria of analysing data of the manuscript.

## 5.2 DATA ANALYSIS CRITERIA

The collected data was subjected to a systematic way of processing such as electronic and manual tabulation so as to be able to compare respondents' responses. Questionnaires, interviews, observation and documentary surveys were used to gather research information. In data collection and analysis, two popular research approaches were used. These approaches are qualitative and quantitative research approaches. The data collected was in numerical (age statistics) and non-numerical (for example, gender). However, research data was presented through the use of percentages, tables and figures. The following figure demonstrates the return rate of questionnaires.



**Table 5.1 Questionnaire used and received**

Questionnaire	Used	Received	Percentage
<b>Questionnaire One</b> Political Office Bearers and Chief Officials on housing policy implementation	14	12	85.7%
<b>Questionnaire Two</b> Stakeholders on housing policy implementation	34	28	82.4%

This study was able to obtain a fair number of responses from the research respondents. For a study to achieve credibility and reliability, a response rate should be fair enough and should be able to score at least 50% (Barbie, 1973: 165). However, Newman (2006:295) asserts that "...the failure to get a valid response from every sample respondent weakens a survey." In both questionnaires, the respondents' responses sat at the highest percentages. According to Barbie

(1973: 165), a response rate of 60% is regarded as “good” and a response rate of 70% as “very good”. Two types of questionnaires were developed, one for political office bearers and chief officials and one for stakeholders on housing policy implementation.

Out of fourteen questionnaires that were developed to be distributed to political office bearers and chief officials, 12 were received back, which constitutes 85.7%. Also, out of 34 questionnaires that were developed to be distributed to stakeholders for policy implementation, 28 were received back, which constitutes 82.4%. The study has therefore performed excellently in terms of the feedback that was obtained from the research respondents. It can be deduced that the study met the criteria for a successful scientific investigation. It can also be deduced that people on the ground have a clear understanding of the importance of participating in research and development initiatives. The demographic details of respondents are now discussed hereunder:

### **5.3 DEMOGRAPHIC DETAILS OF THE STUDY**

Various types of government officials and the categories of citizens (stakeholders) participated in the study. It was essential for the study to test the post which the respondents occupy and the designations of the stakeholders so as to achieve a balanced representation. In assessing the demographics, respondents were requested to indicate the following:

- Department (in terms of allocation);
- Post (position held);
- Age;
- Gender;
- Years of service;
- Home language; and academic qualifications

The following discusses the department and post in terms of allocation.

### 5.3.1 Department/ Post of respondents

The department means the area of allocation or the section to which the job incumbent is attached. However, respondents were requested to indicate their areas of responsibility to test the distribution of officials for the implementation of a housing policy. The following table presents the responses of the respondents who returned their questionnaires.

**Table 5.2 Post / Designation of respondents**

	Executive/manager	Officials
Department (Line Function/Support)	Line Function	Line/support function
Number	4	8
Post	Manager	Official

From the table, it becomes clear that the majority of officials participated in the research. Analysis of stakeholders' designations is provided below.

**Table 5.3 Analysis of stakeholder designations**

Designation	Number
NGO Representative	2
Labour Representative	2
Citizen	9
Business Representative	3
Member: Interest group	4
Church member	4
Traditional leader	2
Other	2

The above table shows statistics of the responses per each designated group. Looking at the above table, It can be deduced that every stakeholder was represented. Also, it can be deduced that every member of a community is interested in the housing programme. A discussion on age analysis is provided below.

**Table 5.4 Age Analysis**

Political office bearers and Chief officials		Stakeholder	
Age	Number	Age	Number
25-30		25-30	1
31-35	4	31-35	3
36-40	5	36-40	6
41-45	1	41-45	7
46-50	2	46-50	5
51-55		51-55	3
56-60		56-60	3
61-64		61-64	
65+		65+	

It can be deduced that the participation of youth in the implementation of housing programmes is minimal. Also, it can be deduced that elderly people are participating in the housing development programmes. The gender distribution is discussed below.

**Table 5.5 Analysis of gender distribution**

Gender	Political office bearers and chief officials	Stakeholder
Males	7	19
Females	5	9

It can be deduced that the housing development programme is a male dominated field. However, it can be deduced that there is noticeable increase in the number of women who are involved in housing development programme. The years of experience of respondents are analysed below.

**Table 5.6 Years of experience/ employment status**

Political office bearers and chief officials		Stakeholder	
Years of service	Number	Employment status	Number
Less than 5 years	1	Private Worker	1
5-10 years	3	Business	7
10-15 years	6	Unemployed	15
15-20 years	1	Employed	5
More than 20 years	1		

It can be deduced that seasoned administrators have been appointed in the department for the ease of implementing the housing development services. It can also be deduced that a majority of citizens are unemployed. The analysis of home languages is provided below.

**Table 5.7 Analysis of home languages**

Language	Political office bearers and chief officials		Stakeholder	
	Number	%	Number	%
IsiXhosa	6	50	21	75
English	3	25	5	17.9
isiZulu	2	16.7		
isiNdebele	1	8.3	2	7.1
Other				

It can be deduced that the majority of citizens speak IsiXhosa, which then means that IsiXhosa dominates the research area. It can also be deduced that other languages are used, which confirms that there is diversity in the implementation of housing development programme. The analysis of academic qualifications is conducted below.

**Table 5.8 Academic qualifications of respondents**

Qualification	Political office bearers and chief officials		Stakeholder	
	Number	%	Number	%
Standard 8/ Grade 10			6	
Matric			4	
Diploma/Certificate (s) Technikon	4		2	
Diploma/Certificate (s)	3		1	
Undergraduate Degree (University)	4		10	
Postgraduate Degree (University)	1		5	
Other				

It can be deduced that the majority of officials have tertiary education, something which is good for the implementation of the housing programmes. It can be deduced that even though the majority of citizens have tertiary qualifications but they are not employed. However, the nature of the housing policy implementation in the department under investigation is now discussed below.

#### **5.4 NATURE OF THE HOUSING POLICY IMPLEMENTATION IN THE DEPARTMENT**

Policy implementation may be explained as a process in which the mandate given to a specific organisation or public institution is translated into real operational activities. Through policy implementation, hopes and citizen aspirations are raised. The implication therefore indicates that, out of the process of policy implementation, citizens expect clear policy outcomes. In this regard, citizens expect a clear process of providing houses to the majority of the ordinary citizens of the

Eastern Cape as a constitutional right (*Vide, constitution, section 26,*). However, citizens, political office bearers and chief officials were then required to respond to a number of questions posed in this study area. Citizens were then asked to respond to the following request.

**Request**

Please indicate your designation.

**Response**

The responses in relation with the above request were captured in the manner as demonstrated per the following table for the stakeholders.

**Table 5.9 Analysis of stakeholder diversity**



NGO representative	2	Interest Group	4
Labour representative	2	Church member	2
Citizen	8	Traditional leader	2
Business representative	6	Other	2

From the above demonstration, it becomes clear that the study was able to test the views of the different and divergent social groups. Also, evidence is there that the study performed well in the area of returning responses by the research respondents. The failure questionnaire return rate is minimal as indicate by the attached values against each category of respondents. However, this may be interpreted as the growth of understanding the importance of participating in research projects.

On the contrary, officials were requested to respond to the following proposal.

## Request

Please indicate your post/office

## Response

Responses are given on the following table.

**Table 5.10 Comparative response analysis**

Manager/Executive	No. dispatched	6	No. received	4	Percentage	67%
Official		14		8		58%

In this area, a note can be made that managers and the officials have contributed to the study. This has been detected through obtaining the response rate as reflected by the inserted numbers against each category of respondents.

In proceeding further, the following statement was provided for both the officials and the stakeholders to respond.

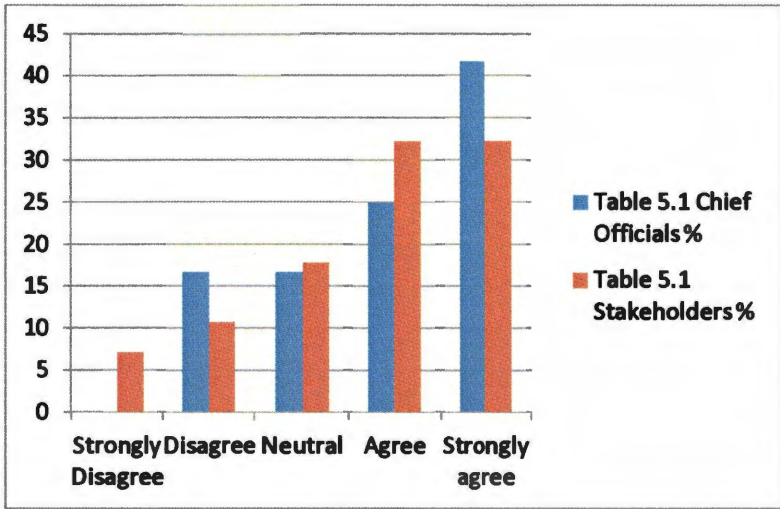
## Statement

Housing policy development and implementation is an important function of the Department of Human Settlements

## Response

The responses of the research respondents can best be demonstrated in the following figure.

**Figure 5.1 Analysis of responses**



It can be deduced that both the Chief Officials and citizens (Stakeholders) understand the process of housing development. It can also be deduced that other citizens do not have interest in the housing development service, hence neutral.

Citizens were also asked the following question

**Question**

In your opinion, what must start before the department can start building houses?

**Response**

Citizens responded to this question in a very different way. Various aspects were raised to be the keys to initiate process. These include the following:

- Consultation of the relevant stakeholders;
- conducting of needs assessment study;
- land surveying;
- Drawing up of plans;
- Sourcing of funds;

- Undertaking social facilitation; and
- Determine the type of typology needed for the project

Officials were then asked a different question to determine the manner of how projects or programmes for the department in question are initiated.

### **Question**

How does your department determine the need for a specific housing programme or project?

### **Response**

The following responses were advanced to indicate the approach which the department normally adopts as a way of preparing for the project or programme initiation.

- First and foremost, needs analysis and consumer education undertakings indicate priority areas for development or emphasis either in the form of development or service provisioning;
- municipal Integrated Development Planning (IDP) process informs the types of projects to be prioritized and initiated for development purposes; and
- conducting of information sharing sessions.

The lessons learnt from the above responses is that, needs analysis exercises helps in determining the priority community programmes or projects. Secondly, consumer education serves to link government programmes with communities and clarifies elements of uncertainty and confusion at the community level. In addition, meetings and information sharing sessions between government representatives and communities promote better understanding of the priority government programmes and projects. Having said the above positives in relation to the responses of the respondents, the negatives can as well be detected from the responses. For example the fact that the criteria for conducting needs analysis and consumer education is still a hidden matter, poses

major challenges for such important undertakings. Also, the fact that there is no indication of the majority participation in municipal IDP processes is a real cause for concern. In proceeding with the questioning, citizens were asked a further question.

### **Question**

Is there a process of housing development in your area?

### **Response**

The responses of the respondents in this area were different. A minority group of eight respondents (23.5%) have answered in the affirmative, that low cost and middle income houses have been built and handed over to the deserving citizens. On the contrary, the majority group of twenty citizens (58.8%) have responded in the negative, indicating that communication in this regard is grossly lacking. Citizens are not informed of any development initiatives which are under way for their respective areas. There are no current housing developments in their areas and as such there is absolutely no indication of the future plans for the housing development which will take place in their areas.

In the circumstances, it can be drawn that the housing development process is meeting with difficulties to cover the full range of other communities even though few communities have tasted the process of housing development in their areas. Also, one may be tempted to conclude by saying that the process is only affecting a small section of the entire community, more specifically in areas where it occurs. This drop in the ocean may not necessarily make the desired impact as expected. As a follow up, citizens were expected to respond to the following question.

## Question

Who plans such housing development initiatives in your area?

## Response

Variations were noted in the process of responding to the question. Consensus has not been reached in this regard. Some citizens believed that planning is driven by:

- Provincial government in collaboration with district municipalities;
- Municipalities and private developers;
- Ward councillor and community representatives; and
- Community representatives and all community members.

However, the other category of citizens have responded by saying that,:

- the planning process is for the chosen few individual members of the community who seem to be known by government officials;
- the process of planning is not known by community members except by the councillors, the active political members of community and his or her closest committee members; and
- the planning process is a provincial and municipality competency without the involvement of communities.

The above sentiments indicate that understanding of the planning process is not clearly understood by community members. Also, there is a glaring information gap amongst the members of communities. In addition, the process of housing development seems to be in contrast with the spirit of working together. In simple terms, team approach and partnership is lacking to achieve proper coordination of housing development activities which translates to ineffective communication of the housing development programmes and projects to communities.

On the contrary, officials were asked the following question.

### **Question**

Is the housing policy implementation process guided by a specific plan?

### **Response**

Different sets of responses have been obtained in the examination of this aspect. A minority group of citizens (41.7%) have responded in the negative, indicating that:

- there are no clear implementation plans except for the plans whose intention is to source the funding slice from treasury; and
- even though there could be various plans available, however, it needs to be stated that there are no specific implementation plans which are known by everybody in the field of housing development to be specific guiding instruments for project implementation.

From a different level of understanding, a majority group of respondents (58.3%) have responded in the affirmative, reflecting that:

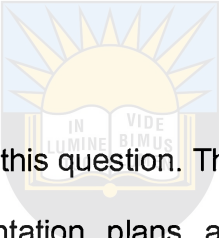
- housing development programmes and projects are constantly guided through state of readiness assessment exercises which are undertaken before project or programme initiation;
- various units of the department have in their possession strategic and operational plans to facilitate and direct programme or project implementation;
- project management plans are always available to supplement other project implementation plans; and
- comprehensive housing plans and the IDPs are always in place to guide the housing development process.

In the foregoing extent, it becomes obvious that genuine guiding plans are lacking in spite of the fact that the existing and available plans are utilised in the main to source funding and not necessarily aim at guiding and directing the implementation process. Also, it has been revealed that the department has a variety of plans which could confuse specific project implementation as officials might not know which one is crucial than others. To test the reliability of the responses provided for the above question, officials were then asked the following question.

### **Question**

Who develops the housing implementation plan?

### **Response**



A variety of responses were made around this question. The least group of respondents who forms 16.7% said that the housing implementation plans are developed by the entire team of stakeholders inclusive of departmental officials, municipal officials, all structures of the social, economic and political formations. On the other hand, a minority group of respondents (33.3%) have stated that middle management develops the housing implementation plans. However, the majority group of respondents (50%) have point out that the responsibility of the development of the housing implementation plans rests with top management. It may then be concluded that top management of the department under investigation is responsible for the development of the housing implementation plans.

Also, it may as well be deduced that top management does not delegate the work of developing the housing implementation plans to those people who lead the housing policy implementation process. In addition, it can be concluded that there is lack of shared vision within the department as evidenced by the variation of responses from people who were supposed to be on the same wave length in relation with the processes and programmes of the department. Citizens were also asked to respond to the following question.

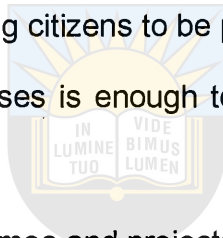
## Question

In your view, is the housing development programme in your area succeeding?

## Response

In responding to the above question, different opinions were raised by respondents. A minority of respondents (17.9%) have responded in the affirmative and motivate that:

- since citizens have already been provided with the low cost houses is a clear indication that the housing development services have succeeded in our areas;
- the fact that deserving and qualifying citizens to be provided with a free and low cost houses are continually receiving such houses is enough to convince that housing development is succeeding; and
- new housing development programmes and projects which have already been designed and launched for our communities shows success of the housing development programmes.



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On the contrary, the majority of citizens (82.2%) have responded in the negative and advance the following reasons:

- Ordinary citizens are still living under the harshest conditions of shacks in the outskirts of cities, the informal settlements which fill up the greatest portion of the South African lands;
- Fraudulent transactions are effected on a daily basis in the process of the housing development;
- Houses are provided in a very corrupt and biased fashion;
- Houses are provided to irresponsible citizens who, in turn, sell such houses only to return to shacks;
- Shacks dwellers have to await endlessly for the provision of houses;
- Houses continue to be built in bad typologies; and

- Lastly, lack of communication and coordination of the housing development activities by the authorities including the elected community representatives, leaves much to be desired.

It can be deduced that the process of housing development is meeting with difficulties. It can also be deduced that the process of housing development is failing to impinge on the welfare of the ordinary citizens in a very significant way. It can further be deduced that the process is confronted by quite a number of fraudulent and irregular transactions which makes it practically impossible for the programme to affect a wide range of potential service beneficiaries. To validate the responses in relation to the above question, officials were then asked a further question.

### Question

Is the process of the housing policy implementation closely managed and made known by the service beneficiaries?



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### Response

A minority of officials (33.3%) are of the opinion that:

- The process of the housing policy implementation is properly managed because management have developed strategic and operational plans to guide the implementation process;
- The establishment of the social facilitation component within the department was an attempt to ensure proper management of the process;
- Even though high vacancy rate exists in the department, management strives to implement the housing policy with the available limited resources; and
- Since management constantly interact with every stakeholder, the housing implementation process is kept under management control.

However, a majority of officials (66.7%) reflect as follows:

- The process is not properly managed because management would develop strategic and operational plans but the implementation of both plans takes place at middle management and operational level of the organisational hierarchy.
- Top management, in the course of the year, are kept busy by constant meetings which focus more on producing more plans than managing the implementation phase of the already developed plans.
- The top management interventions, when implementation bottlenecks emerge, are always delayed.
- Lastly, there seems to be an alarming information gap between the developers and implementers.

It can be deduced that strategic and operational plans are developed for compliance reasons and not to promote common understanding of priority departmental programmes. It can also be deduced that there is information gap between the different levels of management in the process of housing policy implementation. Furthermore, it can be deduced that top management fails to commit themselves in providing guidance and supporting the housing programme implementation process. In moving further, citizens were asked a different question.

### **Question**

Do you have any knowledge on how a housing development contractor or agency is chosen?

### **Response**

A minority of citizens (17.9%) have responded in the affirmative by indicating that:

- The competency to select or decide on the type and credentials of a contractor or any development agency sits with the departmental officials through tendering processes and that the process does not involve ordinary citizens.

- The contractor must meet the selection criteria in line with the tendering process guidelines.
- Lastly, the contractor must be in good standing with the set standards of the building industry.

In contrast, the majority of citizens (82.2%) have responded in the negative, stating that:

- Departmental officials do not divulge any information relating to the selection of a contractor or development agency.
- Communities only receive the already appointed service provider without having been called for the selection process.
- The information becomes a public domain only when irregularities have been glaringly detected in the process.
- The qualifying criterion, for a contractor to be appointed, is only known by departmental officials and the elected public representatives.
- The information is strictly privileged to be exploited and manipulated for personal gains by big businessmen and unscrupulous politicians and officials.

It can be deduced that communication gaps exist in the process of choosing development agencies for community development projects. It can also be deduced that the process is not conducted honestly and transparently. It can further be deduced that the process is confronted by a variety of personal bias and exploitation. Having heard the responses of the above question, a follow up question was posed to citizens.

### **Question**

Do you know the capabilities the contractor or agency should have for the building of houses?

## **Response**

A trivial section of citizens (7.2%) have responded in the affirmative, asserting that the contractor should have the requisite skills for housing development and that it should have clean, credible and durable working record. On the contrary, the majority of citizens (92.8%) have responded in the negative by saying that the information relating to the credentials of the contractor or development agencies is communicated to them. Also, community members do not sit in the moderation processes where private contractors are examined for fitness to perform community development activities. It can be deduced that communities are not considered in the selection and appointment of private contractors for the development of their areas. It can also be deduced that the department lacks instrument or mechanisms to measure specific capabilities of private contractors or housing development agencies. To establish whether or not the housing policy implementation information is really and honestly disseminated to all the relevant stakeholders, the following question was posed to officials.

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## **Question**

How does your department promote common understanding of a housing policy and its implementation approach?

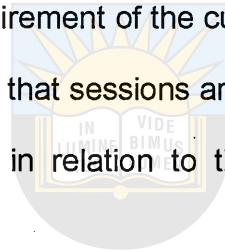
## **Response**

In response, the following approaches were cited as critical in promoting common understanding within an organisation.

- Departmental officials towards the end of each financial year are drawn to a strategic planning session wherein a new path is crafted or a review of the existing model is conducted.

- Having crafted a new strategy, consultative processes are undertaken to take everyone on board in terms of trying to interpret and translate the strategy into real and implementable departmental programmes.
- Policy development and implementation colloquiums are hosted to promote common understanding of the policy objectives and the intended outcomes.

However, caution was given that the above responses are made on the basis of the ideal situation. Within the same department the other group of officials vehemently rejected the notion that strategic planning sessions are conducted to promote common understanding but rather a process of compiling a document to meet the requirement of the current funding method. As for information sharing sessions, the other officials argue that sessions are only conducted just to create space for management to articulate their position in relation to the implementation of the departmental programmes.



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It is common practice that information sharing sessions are just conducted as normal meetings wherein policy changes are announced. It is however not conducted as a round table discussion in which everyone has space to input in the proceedings of the day. On the basis of the above discussion, it can decisively be taken that departmental strategic planning sessions are failing to promote sharing of a common vision by both departmental and external stakeholders. It can also be deduced that information sharing sessions are no longer key instruments of promoting departmental engagement processes. Beside the above question, a further question was posed to officials to ascertain if budget and the availability of personnel is practically considered in the process of policy implementation.

### **Question**

Is budget and skilled personnel always available for the implementation of the housing programmes or projects?

## **Response**

A minority of officials (25%) have affirmed that budget and skilled personnel are always available for the implementation of policies and programmes of the department. An opposing view was registered by the majority of officials (75%) reflecting that budget allocations are always inadequate to cover both operational and capital projects of the department. The service delivery disruptions caused by the actions of organised labour scare away skilled personnel in the department.

The delineation process has caused financial strains and the gross shortage of personnel in the department. It can be deduced that the implementation of the housing programmes and projects is confronted by the constant underfunding of priority programmes and shortage of skilled personnel. Also, labour instability often hamper service delivery and that skilled and committed personnel are forced to leave the department. On the contrary, citizens were then asked a question that relates to the tendering process.



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## **Question**

Do you know anything about the tendering process?

## **Response**

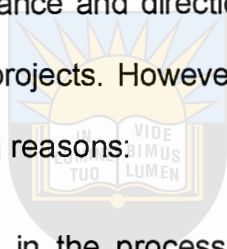
A minority of citizens (14.3%) have affirmed that they are familiar with the tendering process. However, the majority of citizens (85.7%) have responded in the negative by stating that no information is shared between the departmental officials and members of the community around this aspect. Conclusion may be drawn, in this regard, that communication is lacking amongst members of the same community as evidenced by the opposing views of the respondents. Also, it can be deduced that departmental officials are failing to provide consumer education which covers the entire community spectrum. Officials were further required to respond to the following question.

## Question

In your opinion; does your department properly manage the housing policy implementation process?

## Response

The responses around this aspect were divided. For example, a minority of officials (25%) have answered in the affirmative. In motivating their choice of response, it was stated that strategic and operational plans are developed yearly for the effective implementation of programmes and policies. Also, management provide guidance and direction in the process of implementing such housing development programmes and projects. However, the majority of officials (75%) have a different view which captures the following reasons:



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- The department is always trailing in the process of implementing housing development programmes and projects;
- Each year, the department accumulates backlogs in the housing provision;
- High vacancy rate hampers the process of housing development;
- There is lack of integrated programme and project planning approach which seeks to manage coordination and monitoring of programme and project performance.

From the above revelations, it can be deduced that backlogs cause problems in the effective management of the housing development implementation process. It can as well be deduced that high vacancy rate contribute to the failure to implement the housing programmes in an efficient and effective way. However, citizens continued to receive questions such as the following.

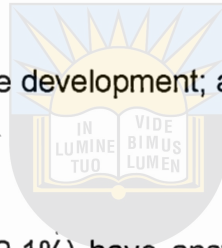
## Question

Do you clearly understand the process of housing development?

## Response

A small section of citizens (17.9%) have answered in the affirmative by stating that:

- The process starts with community needs identification exercise which is mostly driven by public officials;
- the second step would be the land surveying wherein suitability and the right typologies are examined;
- the third component is infrastructure development; and
- the actual building of houses.



In the opposite, a majority of citizens (82.1%) have answered in the negative by advancing the following reasons:

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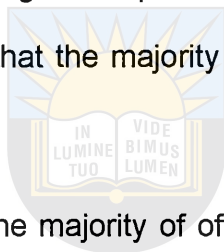
- the process is not transparent enough to be understood by every member of the community;
- the process has never been properly communicated to members of a community;
- the process is only known by those who benefit out of it. This means that a very few group in the community understand the process, since on a daily basis, they exploit and manipulate the process for personal gains. It can be deduced that the process of housing development is not known by the majority of citizens. It can also be deduced that the process of housing development needs to be relieved of corrupt and irregular administrative processes. A further question which seeks to test elements of success in driving the housing development was asked to citizens.

## Question

In your observation, is the process of housing development moving smoothly?

## Response

A minority of citizens (14.3%) have asserted that through social facilitation and monitoring, housing development is finding its grip at the community level. On the contrary, a majority of citizens (85.7) have responded in the negative by saying that irregularities, corrupt practices, nepotism and favouritism create more problems than solutions for the housing development programme. It can be deduced that the programme of housing development experiences administrative problems of implementation. It can also be deduced that the majority of citizens regard housing development service as a corrupted environment.



From the study, it was established that the majority of officials have participated in the research. The research study was able to draw the attention of every stakeholder. It was also noticed that every member of the community is interested in the programme of housing development. Also, it was found that the majority of youth is not participating in the housing development programme but it was noted that elderly are participating in the programme. However, it was revealed that the housing development service is a male dominated field. The increase in the number of women joining the housing industry was also observed. It has also been exposed that the department is in possession of the seasoned administrators, something which should assist in improving the housing development programme.

In proceeding further with the investigation, it was found that even though citizens have tertiary qualifications, they are unemployed. It was also established that the majority of citizens are Isixhosa speaking people. However, it was further noted that other groups of citizens use different languages, something which can be regarded as good for diversity in the implementation of the housing development programmes.

Importantly, it was discovered that the study was able to capture the different views of citizens as the diversity of citizens was tested. The growth of research understanding was observed as evidenced by the response rate from research respondents. A balance was also noted that both managers and operational staff at a departmental level contributed to the study, something which helps in ensuring reliability and credibility of the study. The exercise of needs analysis was found to be essential for the determination of the housing community programmes and projects.

The study also revealed that consumer education, meetings and information sharing sessions help in promoting understanding of the housing development programmes. However, needs analysis was seen to be a good thing to be done but the fact that its criterion is not clear poses some problems. The other issue of concern that was noted was that in the planning process of integrated development plan (IDP) nothing is clearly outlined about public participation in the process. The analysis has proven that housing development is meeting with difficulties in the department under investigation. It was also revealed that the programme of housing development from its inception has affected only small section of the population.

It has been discovered that within communities, dissemination of information is still a problem. Some people have a better understanding of the housing programme but that information is not shared, leaving the majority of citizens blank about the process of housing development. It was discovered that the process of housing development planning is not understood by the service beneficiaries, something which might create unnecessary tensions between government and communities. In addition, it was noted that the process of housing development lacks team cooperation, active partnership amongst the key stakeholders and lacks proper coordination.

In the provision of the housing programmes, it was observed that genuine guiding plans are not available except for plans which were developed for compliance purposes and to meet the funding criterion. It was however discovered that the existing plans are confusing than providing a clear

outline of the implementation process. Also, of important recognition, top management of the department under investigation are also involved in the formulation of the departmental implementation plans, even though middle management still leads the implementation process. In addition, the vision and mission of the department do not seem to have been shared with other stakeholders as everything else seems to be in the hands of top management.

Consequently, the housing development services are failing to impact widely and positively on the welfare of citizens. There seems to be elements of fraud and corruption transactions which run concurrently with the process of providing housing services, something which discredits any good intentions of government officials. The other problem that was noted involves the approach and the goal of strategy formulation which does not provide space for the sharing of information amongst all the stakeholders. The root cause is seen to be the gap which exists between management and the rest of the other stakeholders.

Management guidance, commitment and support are lacking to inform the process of housing development as evidenced by a variety of the respondents' responses. An imbalance of understanding was also noted in the area of selecting development contractor or agency. The majority of citizens are still ignorant about the basic principles of the selecting a development agency. In the circumstances, the process is seen not to be honest and transparent. In simple terms, personal bias was viewed to be a major problem affecting the process of housing development.

It has however been noticed that communities do not participate in the appointment of housing development contractors and agencies, something which might comprise the quality of the houses that are built. The other factor that was noted, is lack of proper mechanisms to evaluate fitness of the housing development contractors or agencies against the set task - that of developing community houses. The department was also seen to be failing to properly conduct strategic

planning sessions and the information sharing sessions as they fail to actively engage all the stakeholders. Of importance, it was discovered that the department operates with limited funding all the time, something which may retard progress on the implementation of a housing policy. From the delineation process, the department inherited a variety of financial overheads and as a result it is still confronted by financial strains, something which may hamper negatively the process of housing development. On the other hand, lack of skilled personnel and labour instability within the department was seen to be the cause of many service delivery failures in the department.

The study also exposes the fact that communication is a problem starting from community level. It then means that people fail to communicate at community level, something which makes the process of housing development difficult to implement. Complicating the matter further, it was found that consumer education exercises are not conducted by departmental officials. This tendency promotes divisions than cooperating teams within communities.

The main problem for the failure to implement housing development programmes was viewed to be the continued increase of the housing development backlogs. Also, the department cannot effectively implement housing development programmes due to high vacancy rate in the department. This implies that the department operates without the required number of officials who were supposed to have been appointed. Also, of serious note, the department is reported to have been experiencing corruption and fraud transactions in the area of housing development, something which threatens progress on the implementation of the housing policy and strategy. Generally, the process of housing development suffers lack of proper administrative processes and that the process is unfortunately plagued by corruption and fraud activities. Having concluded the first objective of the chapter, the second objective is now discussed below.

## 5.5 PROBLEMS ENCOUNTERED ON THE IMPLEMENTATION OF A HOUSING POLICY AND STRATEGY

The failure to properly implement any given policy equates to a problem. It becomes important to identify earlier any potential problem that may block the process of policy implementation. The failure to satisfy the needs of communities, as intended through government policies, poses some problems. To examine this aim, various questions were asked to citizens, political office bearers and chief officials for housing policy implementation.

### Question

On observation, is the department experiencing problems in developing houses in your area?

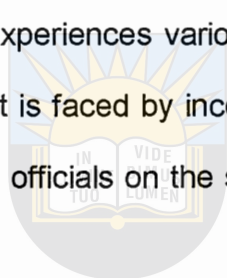
### Response

A minority of citizens (17.86%) believe that the process of building community houses in their areas is moving smoothly. In the opposite, a majority of citizens (82.14%) have stated that the process of building community houses is meeting with a number of problems. The following reasons were stated as evidence to motivate their choice of answering:

- The contractors and other housing development agencies continue to build shoddy houses as a result of poor workmanship.
- There is no significant improvement in the eradication of squatter camps and shacks which tend to occupy the greatest land space in the Eastern Cape.
- There is glaring lack of the requisite skills in both government officials and the agencies for housing development as evidenced by the final product (poor houses) of the housing development process.
- There is noticeable growth of population migration from the rural setting to the urban areas in search of the quick delivery of houses to people.

- There are observable corrupt and fraudulent processes which affect the housing development process such as the manipulation and changing of beneficiary lists so as to prioritise friends and relatives.
- Lack of commitment and cooperation amongst all key stakeholders for housing development such as the provincial officials, municipal officials, social formations and the ordinary citizens.
- The process lacks coordination and proper communication of the housing development initiatives.

It can be deduced that the department experiences various problems in the housing provision. It can also be deduced that the department is faced by inconsistencies in the delivery of houses to people. However, to test the views of the officials on the same aspect, the following question was asked.



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### **Question**

Does your department experience problems of implementing the housing policy and strategy?

### **Response**

A minority of officials (41.7%) have stated that the department does not experience any problems on the implementation of the housing policy. To motivate their choice of responding to the question, the following reasons were cited:

- Proper plans have been designed to facilitate and guide the process of developing community houses;
- Communities receive their houses as promised;
- Some building projects are in progress even at this stage; and

- The number of mass demonstrations and protests of dissatisfied communities, have significantly slowed down.

In contrast, a majority of officials (58.3%) have stated that the department experiences problems on the implementation of the housing policy and strategy and advanced the following reasons:

- The housing policy implementation programme in the department is constantly plagued by underfunding and as a result the backlogs have accumulated to the highest levels.
- The process lacks practical and implementable strategies.
- The capacity of staff members, (lack of skills and staff gaps) housing development contractors and agencies causes problems for the implementation of the housing development programmes.
- The departmental delineation process caused a number of service delivery problems, for example the department struggled to find the correct funding model which could cover both current projects and the backlogs.
- The failure to integrate departmental programmes and projects is also causing problems for the implementation of the housing policy and strategy as the team effort has not been achieved yet.
- The constant change of leadership creates unnecessary vacuums and the continuous reviews of policy guidelines and the implementation plans
- Lastly, political interference on administrative processes creates confusion and causes unnecessary administrative pressures which might hamper the departmental ability to perform its functions efficiently and effectively.

In the circumstances, it becomes obvious that the department lacks the right personnel with the right skills. Also, it has been confirmed that the department is lacking proper coordination, communication and cooperation of all stakeholders for housing policy implementation. In addition, it


can be concluded that the process of the housing policy implementation in the department lacks constant management and leadership guidance and direction, something which leads to non-integration of departmental programmes and projects. Furthermore, it can be taken that the department fails to promote synergy and team effort on the implementation of the housing programmes and projects. Citizens, political office bearers and chief officials were then asked the following question.

### **Question**

What would be the cause of such problems?

### **Response**

The following responses were provided as likely sources of problems.

- 
- The logo of the University of Fort Hare is centered in the background. It features a shield with a sunburst at the top, an open book in the middle with the Latin motto 'IN VIDE LUMEN', and the university's name 'University of Fort Hare' and the tagline 'Together in Excellence' below it.
- The shortage of skilled technical personnel to facilitate the process of programme and project implementation is seen to be the cause of problems;
  - The failure to constantly monitor and evaluate progress of programme and project implementation causes problems in the housing policy implementation process;
  - The failure to properly integrate implementation plans may be construed as a contributing factor to ineffective housing policy implementation process;
  - Lack of stakeholder cohesion contributes a great deal in causing blockages in the process of housing policy implementation;
  - The appointment of political connected service providers which do not necessarily possess the required building competencies, causes problems; and
  - Lack of proper programme or project planning and management results to blocking of community programme or projects, something which might culminate to mass demonstrations or protests and debris of public properties.

It can be deduced that lack of stakeholder cohesion causes problems in the process of implementing housing development policies. It can also be deduced that utilisation of contractors with incredible building record in the housing development sector, causes frustrations and programme or project blockages. Furthermore, it can be deduced that the failure to integrate, communicate and coordinate housing programmes and projects causes frustrations and confusion in the process of implementing the housing policy. A question related to the one asked above was then posed to citizens, political office bearers and chief officials.

### **Question**

Are these problems related to a shortage of skills or infrastructure of the implementing institutions or agencies?

### **Response**

A variety of responses were provided, in this regard, as follows:



- The high vacancy rate which may confirm a gross shortage of personnel with the requisite skills to do the job is seen to be a major problem for efficient and effective implementation of a housing policy and strategy;
- Infrastructural backlogs which affects as well the emerging contractors causes some problems for the smooth implementation of the housing programmes and implementation;
- Lack of roles clarification amongst the key stakeholders for the housing policy implementation may be cited as one of the problems; and
- More reliance on outside assistance (consultancy syndrome) may be as well taken as a stand- alone problem.

From the above responses, a conclusion may be drawn that infrastructural backlogs and shortage of skilled personnel frustrate the housing policy implementation process. It can also be deduced

that the confusion surrounding mixing of roles and responsibilities by the key stakeholders on housing policy implementation is one of the problems. Citizens were further requested to respond to the following question.

### **Question**

In your opinion, are these houses of good quality?

### **Response**

A minority of citizens (25%) have stated that the department has provided communities with quality houses as opposed to the ones which were built by the apartheid regime. Registering the opposing view, a majority of citizens (75%) have indicated that the developed houses are of poor quality due to following reasons:

- The houses that were built lacks solid and proper foundation with the result that these houses immediately develop latent cracks and lose shape within a very short space of time; and
- Some people are unable to occupy these houses because these houses would fall apart immediately after completion. In that way, they immediately pose health and hazardous risks.

It can be deduced that citizens receive houses of poor quality which does not meet citizen expectations and desires. It can also be deduced that the department is building shoddy houses which threatens the lives of citizens. Officials were then asked a different question.

### **Question**

Is the tendering process for the building of houses easy to manage?

## Response

A minority of officials (16.7%) have affirmed that the tendering process is easy to manage in the department and cite the following reasons:

- Clear tendering plans or specifications and supply chain management guidelines are in place to guide the tendering process;
- Managers and operational personnel are continuously trained to keep pace with the fast changes occurring in the supply chain management field.
- Lastly, the process is closely monitored so as to detect deviations early enough for purposes of putting corrective measures.



In contrast, a majority of officials (83.3%) have responded in the negative and advanced the following reasons:

- The tendering process is not an easy thing to manage due to its lengthy processes it has to follow, in order to meet the set legal compliance requirements;
- supply chain management as a component in the department is faced with capacity challenges as evidenced by processing of complex tenders which take long to complete the tendering process;
- the awarding of tenders to the emerging contractors causes housing development blockages which often takes long to unlock. This alone causes frustrations and confusion in the management of the tendering process;
- Participation, as a legal requirement, of the emerging contractors in the tendering process causes delays in the finalisation of the tendering process as some of these contractors lack understanding and knowledge of the tendering process.

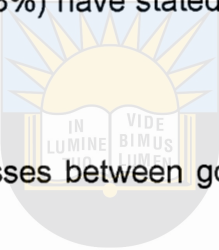
It can now be deduced that the tendering process demands sophisticated management approaches which are applied on a daily basis. It can also be deduced that desertion of housing programmes and projects hampers the ability to properly manage the tendering process. Citizens were then asked the following question.

### **Question**

Is the process of building houses fast or slow?

### **Response**

In this regard the majority of citizens (89.3%) have stated that the process is very slow due to the following reasons:

- 
- The necessary consultative processes between government officials and the communities cause some delays;
  - The inherited and continued accumulation of housing backlogs make it difficult for any partner in the field of housing development to move with the expected speed; and
  - Lengthy land contestations and the tendency of underfunding the programme, make the housing development service a nightmare.

It can be deduced that wide consultation makes the process of building houses very slow. It can also be deduced that housing backlogs are pulling the housing delivery backwards. It can further be deduced that the slow pace of land restitution contributes negatively in the process of building community houses. Officials were then asked the following question.

### **Question**

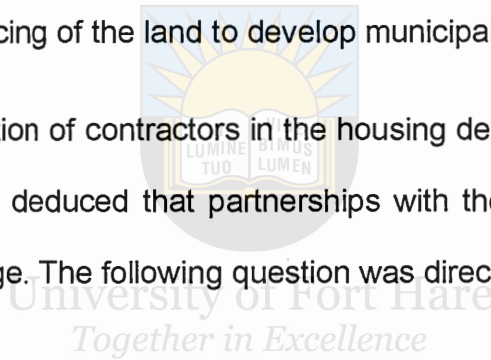
Do you always get clear understanding of the process and cooperation from the private developers or contractors?

## Response

The majority of officials (58.3%) have responded in the negative, indicating the following reasons:

- The interest of contractors is to get money from government and that contractors become impatient of the tendering process;
- Contractors would fail to attend sessions which aim at educating service providers about the tendering process but would respond in big numbers when a tender has been issued out as an advertisement in the newspapers; and
- Contractors would not voluntarily provide monetary support when there is no fund for a municipality for the servicing of the land to develop municipal infrastructure.

It can be deduced that cooperation of contractors in the housing development sector is driven by a monetary factor. It can also be deduced that partnerships with the private sector in the housing development remains a challenge. The following question was directed to citizens.



## Question

Do you regularly speak to the departmental officials to address problems in your area?

## Response

A minority of citizens (7.14%) have responded on the affirmative, indicating that meetings are arranged frequently with communities in their areas. However, a majority of citizens (92.86%) have responded in the negative, advancing the following reasons:

- The departmental officials are always unavailable;
- There is no active interaction with the departmental officials;
- There is no clear schedule of meetings as agreed upon between the departmental officials and ordinary community members;

- There is deliberate neglect of the processes of engagement by departmental officials due to the fact that meetings are only arranged with the councillor, who in turn, fails to provide the meeting feedback; and
- Political office bearers only engage communities during times of election campaigns.

It can be deduced that in the process of implementing the housing policy, few communities and individual people get the necessary information regarding housing development from the departmental officials. It can also be deduced that there is lack of a proper strategy to communicate the housing development programmes to communities. It can further be deduced that councillors are failing to provide information to communities in which they serve. Officials were then asked the following question.



### **Question**

If problems emerge on implementation, are they effectively resolved?

### **Response**

A minority of officials (33.3%) have responded positively by saying that:

- Managers would immediately resolve operational problems when they emerge in the course of implementation;
- Some problems (of complex nature) would immediately be referred to top management for their intervention and immediate ruling. In contrast, a majority of officials (66.7%) have responded in the negative, stating the following reasons:
  - Problems which emerge in the course of implementing housing development programmes and projects are not resolved with the result that housing projects would end up blocked;
  - Some projects are referred for rectification due to inability to resolve problems which affect or disrupt the implementation process;

- Due to limited times for engagement, projects fail to achieve the intended goals as key stakeholders become unable to cooperate; and
- The decision making processes take long to be able to effectively resolve problems confronting the housing development projects, hence desertions.

It can be deduced that management lacks capacity to resolve problems related to the implementation of the housing development programmes and projects. It can also be deduced that the red tape on the implementation process of housing development programmes and projects delays the resolution of problems. In trying either to obtain similar or different view in this aspect, citizens were asked the following question.

### Question

Do people get houses easily and in good time?



### Response

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A minority of citizens (10.7%) have affirmed that people get houses in good time as evidenced by some community houses which have been built and occupied by the owners. In contrast, a majority of citizens (89.3%) have responded in the negative, saying that:

- The process lacks coordination, integration and communication which is caused by poor planning on the implementation side of the programme;
- the process is confronted by elements of nepotism wherein beneficiary lists are changed to prioritise friends and relatives to speedily access houses;
- illegal occupation of the already completed houses is an indication of poor organisation of the implementation process;
- Information gaps between officials, councillors and community members, promote irregularities and corrupt practices in the process of providing houses to people;

- Houses get vandalised on completion, something which causes further delays for the beneficiaries to access the housing benefit; and
- Political motivated preferences dominate and hamper the process of housing provision to the ordinary citizens.

From the above verification; it can be deduced that lack of stakeholder cooperation delays the process of providing houses to the people. It can also be deduced that politics, corruption and nepotism contribute in causing the process of housing development ineffective. It can further be deduced that the process lacks transparency, professional ethics and morals. Biasness takes a greater space in the process of providing houses to the ordinary people. A separate question was asked to officials.



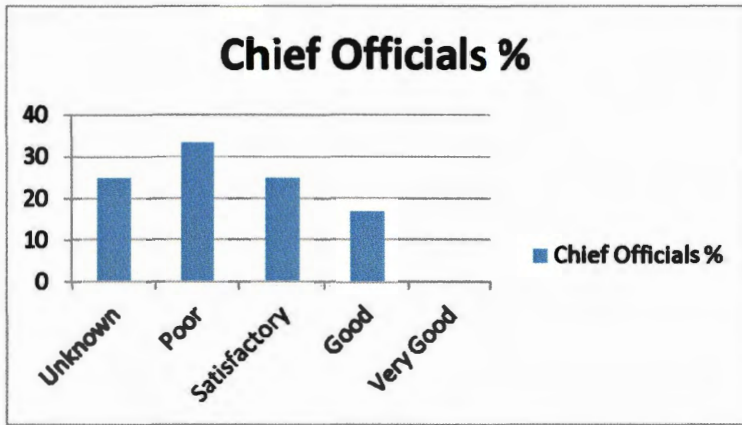
### **Question**

In your opinion, what is the public perception about the implementation process of the housing policy and strategy by your department?

### **Response**

In responding to this question, variation of opinions was observed as indicated by the following Figure.

**Figure 5.2 Analysis of citizen perceptions by officials**



From the above table, it can be deduced that the majority of citizens believe that the implementation of a housing development is poor. It can also be deduced that the housing development programme is known to be in existence but people lack understanding of a clear implementation process. It can further be deduced that government has succeeded to promote political awareness in terms of making people understand their constitutional right, though it is still a struggle for the practical realisation at community level. Citizens were then asked the following question.

### **Question**

Do you know the procedure of how houses are provided to the citizens?

### **Response**

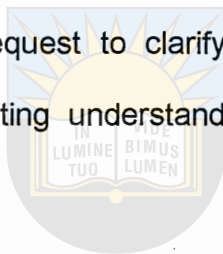
A minority of citizens (14.3%) have responded positively and motivate their choice by saying:

- To qualify for a free low cost housing, a person must be a South African citizen with a bar coded identity document;
- The person must have been residing in a specific area for more than ten years;
- The person must be known by the councillor; and

- The name of the person must appear in the list of beneficiaries.

Contrary, a majority of citizens (85.7%) have responded negatively by stating the following reasons:

- The process lacks honesty and transparency;
- There is absolutely no communication between officials and the ordinary people on the ground;
- Only provincial and municipal officials know the process;
- Councillors do not workshop people about housing development issues; and
- Officials are only available on request to clarify specific issues and that there is no programme which aims at promoting understanding of the criteria for the provision of houses.



It can be deduced that people know the basic things about the housing provision but lacks finer details of how the process is unfolding. It can also be deduced that there are no scheduled times for the sharing of information amongst all the key stakeholders for the housing policy implementation. It can further be deduced that councillors fail to execute their functions at community as evidenced by the fact that people lack basic information which should have been long communicated to them. In proceeding further with questioning, officials were asked the following question.

### **Question**

Does your department endeavour to improve the implementation process of the housing policy and strategy?

## Response

The responses of officials were divided in this aspect. A minority of officials (33.3%) have affirmed that attempts were already put into motion so as to improve the delivery capacity by making the following strides:

- A social facilitation component within the department was created as an extension which links the department directly with communities;
- Technical teams were established to determine state of readiness before projects can be implemented;
- The department has recently changed leadership and management roles and responsibilities with a view to improving performance;
- Policies and policy guidelines are continuously reviewed to put corrective measures in areas where policy flaws have been detected; and
- The department has actually hosted a housing summit wherein policy matters were debated.

Contrary, a majority of officials (66.7%) have responded in the negative, stating reasons as follows:

- There are no clear indications as poor planning continue to occupy a bigger space in the department;
- The department fails to determine concrete and solid mechanisms to improve performance; and
- The culture of entitlement overshadows the commitment of other officials whose aim is to enhance performance of the department; and
- The prevalent non-compliance to administrative processes within the department threatens improvement initiatives.

It can be deduced that the department is serious about improving the delivery capacity so as to fulfil community needs. Also, it can be deduced that the department suffers leadership and management deficiency as evidenced by instances of poor planning and failure to integrate similar programmes and projects. It can further be deduced that the departmental officials lack self-drive unless an incentive based performance is promised. Lastly, officials were asked the following question in this aim.

### **Question**

To what extent is the housing policy implementation process succeeding in your department?

### **Response**

The responses of officials were again divided in this regard. A minority of officials (41.7%) have stated that the department has succeeded in that:

- There was an improvement in programme and project performance in the previous year;
- Programme and project approval processes improved significantly compared with the previous years; and
- Packets of project excellence were obtained as a symbol of success.

On the contrary, a majority of officials (58.3%) have responded in the negative, registering the following worrying factors:

- The achievements are not known since the department is still struggling with the reduction of service delivery backlogs in a significant way;
- the department has continuously failed to meet community expectations in the area of housing development; and
- co-operation and communication amongst key stakeholders fail whatever attempt that is aimed at enhancing organisational performance and ultimately fulfilling the needs of citizens.

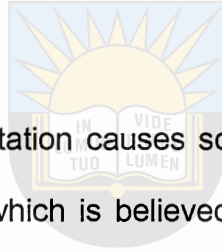
It can be deduced that the majority of people on the ground are not accessing the housing benefit. It can also be deduced that lack of cooperation and ineffective communication amongst the stakeholders for housing policy implementation contribute to the failure of the programme to cover every service beneficiary.

From the above discussion, it became clear that the department experiences a variety of problems which tend to obstruct the process of housing development. It has been established that the department is faced by inconsistencies in the provision of the housing development services. In addition, it has been noted that the implementation of housing development services lacks personnel with the right skills to implement the service.

The other contributing factor which makes the department fail to properly implement the housing development services is lack of art to coordinate and communicate departmental housing programmes and projects. It was further established that management and leadership guidance is lacking to direct the implementation process of the housing development programme. Since management and leadership fail to provide guidance, team effort on the implementation of the housing policy in the department is a problem.

The study further proves that lack of stakeholder cohesion on the implementation of a housing policy and strategy causes a lot of communication and coordination problems. Frustrating the process even more, the utilisation of emerging contractors or development agencies is seen to be another problem in speeding up the process of housing development. Glaringly, it has been established that the department fails to integrate planning and execution of similar housing programmes or projects, something which delays the process of implementing the housing policy and strategy. Infrastructural backlogs and shortage of skilled personnel are viewed to be one of the serious challenges facing the housing policy implementation process.

In addition, lack of stakeholders' role and responsibility clarification causes problem for the implementation process. The study further revealed that people on the ground, as a result of poor management of the process, receive houses of poor quality, which do not meet citizens' expectations. Of major concern, the reported poor conditions of the houses, do not only fail to meet the quality criterion but also threatens the lives of ordinary citizens. Seemingly, the process fails in the tendering process because it was revealed that the tendering process needs to be closely monitored by management due to issues of personal bias which tend to frustrate administrative processes and the actual execution of housing programmes or projects. Furthermore, it was observed that desertion of the housing development programmes or projects hampers the ability to manage properly the tendering process.



It was also established that wide consultation causes some noticeable delays in the process of housing development. The other thing, which is believed to be derailing the process of housing development, is continuous increase in the number of the housing backlogs. The delay in the process of land restitution is also seen to be affecting progress in the area of the housing development. The housing development programme lacks the desired cooperation of contractors, as contractors only show cooperation in cases where monetary compensation is promised. In a way, honest partnerships which aim at developing communities without monetary incentives, remains a challenge in the field of housing development.

From the process of analysis, it was detected that very few communities receive housing development information due to lack of communication strategy from the department. The study has further revealed that councillors also fail to provide information related to the process of housing provision to communities.

It was further discovered that problems which emerge in the process of implementing housing policy and strategy are not resolved due to lack of management capacity and the red tape which

characterises management decision making process. Lack of stakeholder cooperation, political interference in the administrative processes of the housing provision, corruption and nepotism were seen to be causing delays for speedy provision of houses to communities. In addition, lack of professionalism and transparency in the process of providing community houses, pose some challenges for a quick implementation of the housing policy and strategy.

Even though consumer education was meant to provide some light, however, it was discovered that in the case of housing development, departmental officials do not educate people so as to gain better understanding of the housing process. Importantly, people know that housing development is their constitutional right but unfortunately lack understanding of how the process should unfold. Government in this aspect succeeded in marketing the right to be known by ordinary citizens but it seems that government at this stage is still struggling to convert the right into implementable community housing development programme. A note was also taken that plans for housing development have been developed with clear timelines but government fails the implementation process.

The department has also made a number of attempts to improve the delivery capacity with the aim to satisfy community needs and expectations but management and leadership deficiencies fail the noble intentions of improving service delivery in the department. Unfortunately, it was also discovered that the department possesses officials who place the issue of entitlement first than showing commitment in the successful provision of services. More focus is placed on receiving work related incentives, meaning that in each area of success, monetary incentives must be paid out. However, this emerging culture has a demoralising effect to those who work honestly with a view to improving performance capacity of the department. Access to the housing benefit is seen to be a major problem for the majority of citizens. Cooperation and ineffective communication amongst stakeholders for housing policy implementation are believed to be the root causes of the most failures of the housing development programmes. Having dealt with the above objective, a

discussion in monitoring and evaluation of the housing programmes and projects is provided below:

## 5.6 MONITORING AND EVALUATION OF THE HOUSING PROGRAMMES AND PROJECTS

Constant monitoring and evaluation of the housing programme and projects could help in ensuring that potential blockages are dealt with decisively when they start showing signs of development or existence. For the housing policy implementation process to be efficient and effective, needs strengthening of monitoring and evaluation mechanisms by the department under study. Citizens, political office bearers and chief officials for the housing policy implementation were then asked the following questions in relation with this aim.

### Question

Are you aware that the process of building community houses needs to be monitored and evaluated by both the community representatives and departmental officials?

### Response

Citizens' responses were divided around this aspect. A minority of citizens (21.4%) have responded in the negative. Contrary, a majority of citizens (78.6%) have responded positively. From this, one may take it that monitoring and evaluation is known as a concept by the majority of people. It can also be deduced that few people still do not know monitoring and evaluation. As a follow up question, citizens were asked the following question.

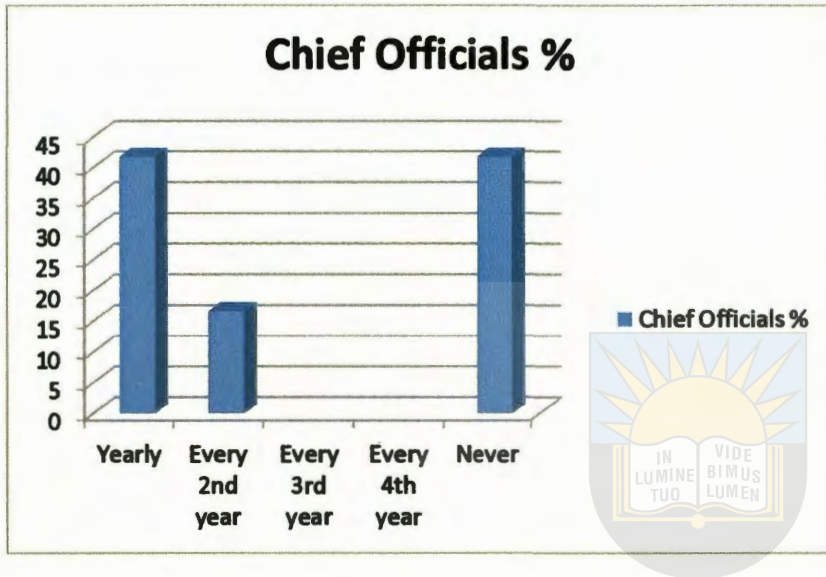
### Question

If yes, please indicate how often has the process of building community houses been monitored and evaluated?

## Response

The responses of citizens were divided as reflected on the figure below.

**Figure 5.3 Analysis of citizen view in monitoring and evaluation**



It can be deduced that monitoring and evaluation is theoretically known by some of the citizens but the practical implementation of monitoring and evaluation has never been practically experienced by some citizens. It can also be deduced that monitoring and evaluation may be confused with the medium term expenditure framework period as reflected by the responses of citizens. However, it can further be deduced that the majority of citizens do not trust that genuine monitoring and evaluation of the housing development programmes is known in practical terms. However, officials were also asked a specific question.

## Question

Are housing programmes or projects regularly monitored and evaluated by your department?

## Response

The responses of officials were also divided around this aspect. A minority of officials (41.7%) have made their response on the affirmative. However, a majority of officials (58.3%) have responded in the negative and motivate their choice of response by indicating that the department lacks monitoring and evaluation mechanisms which are reliable and scientifically proven to be credible and relevant instruments to measure programme and project performance. It can be deduced that the department lacks properly designed instruments of monitoring and evaluation. It can also be deduced that the department lacks monitoring and evaluation experts who could perform monitoring and evaluation services efficiently and effectively. Citizens were also asked the following question in relation with this aim.

## Question

Do you consider monitoring and evaluation an important feature of the community housing development process?

## Response

With regard to this aspect, there seems to be consensus amongst the ranks of citizens. The following motivation was provided:

- Monitoring and evaluation is important since it serves as a follow up instrument to assess the actions or functions of government officials in ensuring that community needs are satisfied;
- Monitoring and evaluation is an essential tool to measure the extent to which government programmes or projects have met the intended objectives;
- Compliance and programme performance could best be examined through instruments of monitoring and evaluation;

- For purposes of validating official reports, monitoring and evaluation can serve as a quality assuring instrument;
- Monitoring and evaluation instruments may be used to detect workmanship faults in the case of housing development at an early stage of the building process;
- Monitoring and evaluation as an instrument, may serve to instil a caring culture in the ranks of the private contractors and development agencies with a view to enhance levels of performance;
- Monitoring and evaluation may inform initiation of policy dialogues and reviews; and
- Lastly, monitoring and evaluation may prevent provision of services or production of materials which are non-qualitative in character.

It can be deduced that organisational performance depends in the processes of monitoring and evaluation. It can also be deduced that policy colloquiums and reviews are the results of effective monitoring and evaluation of programme and project implementation process. It can further be deduced that failures or successes in the process of providing public services can only be detected through monitoring and evaluation exercises. In addition, it can be concluded that performance of any public institution can only be enhanced if monitoring and evaluation exercises are genuinely conducted. Having tackled this question of citizens, officials were asked the following question.

### **Question**

Do you consider monitoring and evaluation of the housing programme and projects an essential function of your department?

### **Response**

Officials had a similar view with the citizens that monitoring is an important function of any public institution more especially as a compliance measure to set organisational norms and standards.

The response goes on to say that monitoring and evaluation promote the conducting of business in a very professional and effective way. It can be deduced therefore that monitoring and evaluation promote maintenance of organisational norms and standards. It can also be deduced that monitoring and evaluation enforce adherence to organisational principles, ethics and moral values. However, citizens were also tested on the following question.

**Question**

Have you ever been involved in the monitoring and evaluation of the community housing development exercises?

**Response**

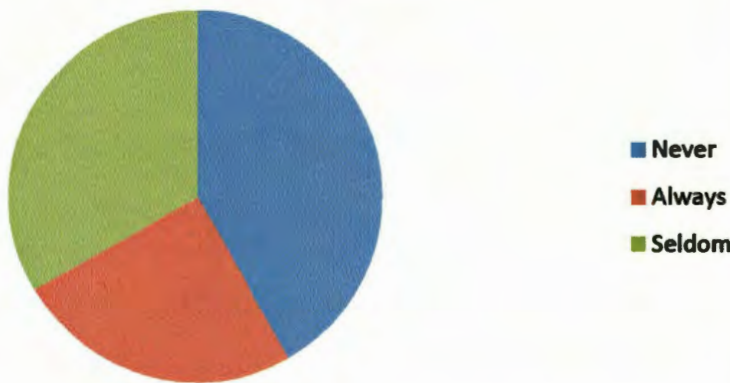
Citizens' responses were according to the following figure.



**Figure 5.4 Analysis of stakeholder involvement in monitoring and evaluation**

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**Chief Officials %**



It can be deduced that the majority of citizens have never experienced in real terms the process or an exercise of monitoring and evaluation of government programmes. It can also be deduced that some citizens have experienced the practical part of monitoring and evaluation but maybe not necessarily the one which government departments ought to undertake to measure progress of

programme performance. It can further be deduced that very few citizens seldom experienced monitoring and evaluation of government programmes. Officials were then asked the following question.

### **Question**

Does your executive management determine the impact / consequence of the housing programmes or projects on the welfare of citizens, when monitoring and evaluating such activities?

### **Response**

A minority of officials (16.7%) have responded in the negative, asserting that monitoring is treated by government officials as a compliance issue and not an instrument of seriously detecting faults with a view to putting corrective measures. Government officials in simple terms regard monitoring and evaluation as the other format of reporting for purposes of confirming individual performance and a bargaining instrument for additional salary incentives. On the contrary, a majority of officials (83.3%) have responded on the affirmative, advancing the following:

- Strengthening of interaction and communication links with communities is indicative of management commitment to determine impact of services on the welfare of citizens;
- The re-enforcement of the conducting of consumer education to communities by management signals carefulness in insuring that people receive free services from government as means and ways of satisfying their needs and aspirations;
- The continued conducting of research and development is a living testimony that management places the interests of communities first in whatever decision is made.

In the circumstances, it can be deduced that monitoring and evaluation has lost its meaning and relevance in promoting organisational performance and effectiveness. It can also be deduced that

impact can best be measured through direct processes of engagement than to be reported on papers by unscrupulous public officials. A further question was posed to citizens.

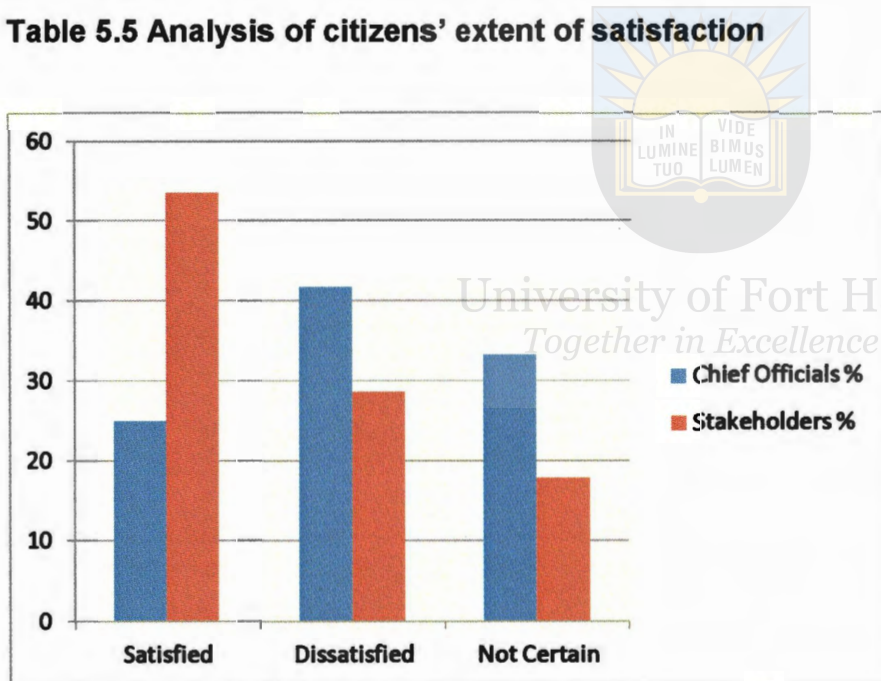
### Question

Do you think the majority of citizens satisfied with the community housing development services?

### Response

The responses of citizens were divided around this question. The figure below demonstrates the manner in which citizens have responded to the question.

**Table 5.5 Analysis of citizens' extent of satisfaction**



It can be deduced that the majority of citizens are dissatisfied with the housing development services. It can also be deduced that very few citizens seem to be happy with the housing development services. It can further be deduced that some people are not sure whether or not services are satisfying because nothing comes their way. Officials were asked the following question.

## Question

Do you consult citizens when monitoring and evaluating the housing programmes and projects?

## Response

The responses of officials were divided. The responses will be demonstrated in the following table.

**Table 5.11 Analysis of consultation in monitoring and evaluation**

Measuring instrument	No. of responses	Percentage
Never	5	41.7%
Seldom	3	25%
Always	4	33.3%

It can be deduced that consultation in the monitoring and evaluation exercises fails to involve the majority of officials. Also, it can be deduced that some officials are able to engage people in monitoring and evaluation of government programmes. However, it can further be deduced that very few officials seldom experienced the monitoring and evaluation initiatives. A follow up question was immediately asked to officials.

## Question

How do you consult citizens?

## Response

There seems to be an agreement amongst officials that the following approaches are used to consult citizens.

- Officials have stated that citizens are consulted through hosting consumer education sessions in their respective areas;
- The process of developing an Integrated Development Plan (IDP) involves communities. In a nutshell, communities are engaged through processes of integrated development planning;
- Two other communication agents are crucial in linking communities with the department. These may include departmental officials and the project steering committee (PSC);
- Citizens are also kept informed through internal and external correspondence; and
- Government programmes are communicated to communities through community leadership inclusive of the traditional leader, leaders of all social formations and the ward councillor.



From the above, it can be deduced that various approaches are used to link department with communities but a question remains, why people continue to complain about ineffective communication? What is not working in this arrangement? However, it can also be deduced that even though communication structures are in place, active interaction with communities is still a challenge. It can further be deduced that all leadership structures at community level fail to propagate government programmes. Citizens were further asked the following question.

### **Question**

In your opinion, who should do monitoring and evaluation of the housing development programmes?

### **Response**

Citizens responses indicate that the following categories should do monitoring and evaluation:

- Officials from the Department of Human Settlements and municipal officials;

- The department should establish special teams or committees to do monitoring and evaluation services;
- Social facilitation component of the department should do monitoring and evaluation;
- Community representatives, ward committees of the area affected by housing development services should do monitoring and evaluation;
- Project managers, qualified technical officials and professional building inspectors; and
- Lastly, Non-Governmental Organisation and all other stakeholders should do monitoring and evaluation.

It can be deduced that monitoring and evaluation requires involvement of various stakeholders for housing development. It can also be deduced that monitoring and evaluation can best be performed by a team comprises of technical experts and service beneficiaries. It can further be deduced that key departments for housing development are the lead drivers for monitoring and evaluation exercise. Officials were then asked the following question.

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### **Question**

What is your view on the perceptions of citizens regarding the provision of houses by your department?

### **Response**

The following were provided as citizen perceptions regarding the provision of houses:

- Citizens are dissatisfied due to sluggish processes of housing provision, some even complain about the corrupt practices in the value chain of housing development;
- The housing development services are seen to be failing dismally since communities consider projects failure rate; and
- Housing development programmes and projects do not meet community expectations.

It can be deduced that information gap between officials and communities causes distrust. It can also be deduced that there is lack of correlation between community expectations and housing development programmes or projects' goals. In other words, both stakeholders work on the basis of assumptions without having understood goals of the other. Citizens were again asked the following question.

### **Question**

Do you believe in site inspection more especially on housing development?

### **Response**

Citizens have a common understanding and agreement about this aspect as revealed by the manner of responding. The following were therefore cited as critical factors for conducting site inspection:

- Site inspection is crucial for housing development since it could help in the elimination of problems which might lead to housing programme or project blocking or desertion;
- The process might assist in ensuring building of quality houses which will not develop latent cracks after completion;
- Site inspection promotes a better understanding of the housing development dynamics as well as the environment in which the programme is operated;
- Site inspection provides a perfect opportunity to experience the building process whilst it is still in progress; and
- Through site inspections, bottlenecks are immediately eliminated by way of determining corrective measures on the spot.

It can be deduced that frequent inspections ought to be undertaken so as to prevent occurrence of project desertions. It can also be deduced that total eradication of squatter camps and sharks in

the Eastern Cape may only be achieved through strengthening activities of site inspections to realise quality houses which are free of cracks and habitable. Officials were again asked the following question.

### Question

Are the majority of citizens satisfied with the manner in which houses are provided by your department?

### Response

The responses of officials around this aspect were divided. The table below demonstrates the flow and categorisation of responses.

**Table 5.12 Analysis of the extent of citizen satisfaction on housing provision**

Measuring instrument	No. of responses	Percentage
Satisfied	3	25%
Dissatisfied	5	41.7%
Not certain	4	33.3%

It can be deduced that the programme of housing development upsets communities since it fails to meet citizen expectations. It can also be deduced that housing development services have failed so far to encompass the whole range of the housing development beneficiaries. Officials were also asked the last question in this aim as follows.

### Question

How would you determine if citizens are satisfied or dissatisfied with the manner in which houses are provided?

## Response

Various forms of responses were garnered from officials. The table below presents the responses in a tabulated format.

**Table 5.13 Determination of citizen satisfaction**

Measuring instrument	No. of responses	Percentage
Questionnaires	1	8.3%
Ward committee meetings	2	16.7%
Media	1	8.3%
Mass demonstrations	3	25%
Ward councillor	2	16.7%
Interest groups/NGO	1	8.3%
Political parties	1	8.3%
Other	1	8.3%

It can be deduced that the main yardstick to measure citizens' dissatisfaction is through mass demonstrations which are destructive in nature. It can therefore be taken that officials lack systematic and professional means to test levels of dissatisfaction on citizens. It can also be deduced that ward councillors are not effective enough in playing the role of promoting community awareness in relation to the promotion of government programmes to communities. This element is seen to be a challenge in all communities. From the above analysis, it became clear that monitoring and evaluation is only known as a concept but the majority of officials and citizens were never involved in the practical implementation of monitoring and evaluation programmes. From this lack of practical understanding of monitoring and evaluation exercises, it has been noted that some

officials and citizens confuse monitoring and evaluation with the planning process which normally culminates to the development of a medium term expenditure framework (MTEF).

The other challenge that was discovered about monitoring and evaluation in the department was that properly designed monitoring instruments or mechanisms are not available, something which makes it practically impossible for monitoring and evaluation to be applied in a professional way. Similarly, the study also exposes that the department lacks professional experts who could lead monitoring and evaluation exercises. Generally, consensus was reached that monitoring and evaluation, if implemented correctly and professionally, could enhance organisational performance.

In addition, it was believed that monitoring and evaluation informs sessions of policy dialogues and policy reviews. The ultimate impact of monitoring and evaluation is the enhancement of organisational performance. When professionally implemented, monitoring and evaluation become an important function of an organisation which can promote compliance on departmental set norms and standard of performance. However, the study went on to reveal that within a group of citizens, some were believed to have experienced practical application of monitoring and evaluation whilst others were proved to be lacking practical experience of the programme. From the study, it was discovered that management do not utilise monitoring and evaluation in a manner that could influence excellent organisational performance and with the result that it could make impact in the welfare of ordinary citizens. Of importance, it was revealed that impact may possibly be measured through processes of direct engagement than the production of reports.

Due to a number of reasons, the majority of citizens were proved to be dissatisfied with the housing provision services but some citizens pretend as if they are satisfied whilst others simply ignore the process for convenience purposes. Even though there is an agreement that many approaches have been designed to link the department with communities but it was also detected that the department fails to make any successful in roads in ensuring that communication with communities

improve. Revelation of the fact that all communication structures have been put in place was noted but it was also discovered that the current communication structures are ineffective to improve communication. In addition, observation tells that leadership structures also fail to propagate government programmes at community level.

For monitoring and evaluation programmes to succeed, it was believed that it must involve various stakeholders for housing development. Most importantly, monitoring and evaluation is believed to be performing better in instances where it is driven by a team of experts together with the service beneficiaries. Ideally, to be able to sustain consistent in the performance of monitoring and evaluation exercises, it was believed that key departments must lead the process. However, it was also revealed that information gap between officials and the ordinary citizens in the process of implementing monitoring and evaluation exercises promote mistrust. It was also noted that should there be no correlation between community expectations and the housing programme goals, causes community tensions and citizen dissatisfaction grew high.

In housing development, on-site inspections play a pivotal role in ensuring success of the housing development programmes or projects. On-site inspections are also believed to be the effective instruments which should be utilised for the total eradication of informal settlements. However, it was also noted that should housing development services fail to meet community expectations; the majority of citizens become unhappy. Again, it was observed that community development services are failing to be provided to the whole community of service beneficiaries. Even though not a good thing to believe in, mass demonstrations are regarded as the best form of showing dissatisfaction about the manner in which public services are provided.

It was also revealed that officials lack systematic approaches to measure citizens' levels of dissatisfaction about the provision of public services. Furthermore, councillors are believed to be failing in promoting understanding of housing development programmes at community level. The

above objective was discussed in full; the following discussion therefore focuses on the last objective of this chapter.

## 5.7 COMMUNICATION OF ROLE PLAYERS ON HOUSING POLICY

### IMPLEMENTATION

Communication is an essential instrument which could be used to create common understanding between a service providing organisation and its clients. In this context, communication could best be utilised by departmental officials to promote clear understanding of the housing development programmes and projects to communities. In order for any housing policy implementation process to succeed, key stakeholders must be able to communicate effectively. To test this aim, citizens were then asked the following question.



#### Question

How often do you speak to the departmental officials about the process of housing development?

#### Response

Different views in this aspect were provided. The following table captures different views which were made by citizens.

**Table 5.14 Analysis of active stakeholder interaction on housing development**

Measuring instrument	No. of responses	Percentage
Never	13	46.5%
Seldom	9	32.1%
Always	6	21.4%

From the above table, it can be drawn that active interaction between government officials and citizens is still a major challenge as evidenced by the variation in the manner of responding to the question. It can also be deduced that there is imbalance in the manner in which housing development services are provided to citizens. Officials were also asked the following question.

### **Question**

Does your department consider communication of the key role players essential on the implementation of the housing policy and strategy?

### **Response**

Different responses were garnered from officials. A minority of officials (41.7%) have responded on the affirmative, registering the following reasons:



- Stakeholder forums were established to signal the importance of reaching to communities;
- Social facilitation is conducted on a monthly basis to ensure constant engagement between officials and stakeholders;
- Technical teams were appointed to serve as link between the department and communities.

On the contrary, a majority of officials (58.3%) have responded in the negative, stating the following reasons:

- Communication is not properly managed;
- The department lacks a solid communication strategy which can effectively link the department to communities so as to enhance the provision of housing development services; and
- Departmental activities are still poorly organised and loosely coordinated, something which does not show that communication is seriously considered as an essential tool for the promotion of common understanding within the department.

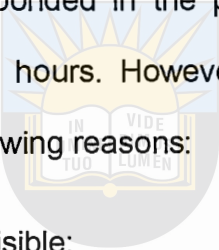
It can be deduced that communication in the department is a challenge. It can also be deduced that the department battles to manage stakeholder relationship management due to its lack of proper communication strategy. Citizens, in addition to the previously asked questions, citizens were asked the following question.

### **Question**

Do you know where can you meet the departmental officials?

### **Response**

A minority of citizens (17.9%) have responded in the positive, indicating that officials can be contacted in their offices during working hours. However, a majority of citizens (82.1%) have responded in the negative, stating the following reasons:

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- The departmental officials are not visible;
  - community visits are infrequent;
  - information sharing sessions are conducted far away from local centres, something which makes it extremely difficult to access them;
  - telephone communication is a bit of a nightmare, as office telephones are always engaged; and
  - Office visits also create problems in that one may be required to make an appointment which does not materialise within a very short space of time.

From the above, it can be deduced that departmental officials are not easily accessible no matter what approach is used to gain access. It can also be deduced that the notion of making office appointments to access officials is another form of a difficult to immediately contact departmental officials. The following question was asked to officials.

## Question

Do citizens receive the housing development programmes or projects they expect to receive from the department?

## Response

The responses of officials were divided in this aspect. A minority of officials (33.3%) have responded in the positive and state the following reasons:

- The signing of a happy letter during making of a house hand over is a clear indication that citizens receive houses of their choice;
- At no stage have citizens registered a complaint that houses do not meet community expectations and that alone tells that people get houses of their choice; and
- In consumer education workshops, departmental officials directly engage communities and nothing was ever raised to indicate that people receive houses which do not meet community expectation.

On the contrary, a majority of officials have responded in the negative, advancing the following reasons:

- Citizens expect a variety of community needs from government, for example, there is criteria which is followed to build a low cost house but communities would require a different shape and size of a house;
- Beneficiary lists are changed with the result that people end up receiving a second house which does not necessarily meet his or her expectation; and
- People would wait for long until he or she lose patience and that may result in him taking any other available house.

On the basis of this discussion, it can be deduced that community needs are divergent and can never be fulfilled immediately. It can also be deduced that long waiting for a housing benefit causes panic which might lead to the changing of the choice of a previously chosen house. Citizens were then asked the following question.

### **Question**

Do you think the majority of citizens are happy with the existing communication channel with the department?

### **Response**

Different views were received from citizens in relation with the above question. A minority of citizens (32.1%) have responded in the positive. A majority of citizens (67.9%) have responded in the negative. It can therefore be deduced that the majority of citizens are not happy with the existing communication channel of the department. It can also be deduced that even though the department fails to reach out to communities, some people know where to access officials who drive the housing development programmes and projects. The following statement was provided for citizens to respond.

### **Statement**

Everybody is aware of the process of housing provision.

### **Response**

Various responses were obtained from different respondents. However, the following table demonstrates how officials have responded.

**Table 5.16 Analysis of awareness in relation with housing provision**

Measuring instrument	No. of responses	Percentage
Strongly disagree	14	50%
disagree	6	21.4%
Neutral	5	17.9%
Agree	3	10.7%
Strongly agree	-	0%

It can be deduced that the majority of ordinary citizens do not know the process of housing development. It can also be deduced that few people understand the process of housing development. Citizens were again asked the following question.

**Statement**

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Citizens and other role players are regularly consulted.

**Response**

The following table reflects the responses of officials.

**Table 5.17 Analysis of responses on consultation**

Measuring instrument	No. of responses	Percentage
Strongly disagree	5	41.7%
Neutral	4	33.3%
Agree	2	16.7%
Strongly agree	1	8.3%

It can be deduced that the majority of citizens are not regularly consulted. Also, it can be deduced that, even though the majority of citizens are not regularly consulted, a minority of citizens is regularly consulted, something which might create communication inconsistencies in the provision of the housing development services. In trying to compare the relationships of responses of both officials and citizens around this aspect, citizens were also asked the following question.

### **Question**

Are you continuously provided with the latest information on housing development?

### **Response**

Different responses were collected from citizens. A minority of citizens (32.14%) have responded in the positive, stating that departmental publications on housing development provide the latest updates. Also, public steering committee meetings provide latest updates on progress of the housing programmes and projects. Contrary, a majority of citizens (67.9%) have responded in the negative, advancing the following reasons:

- Flow of information more especially in relation to housing development is not structured;
- There are limited road shows for the sharing of departmental policies and programmes; and
- Marketing of housing programmes lacks professional approaches as evidenced by non-marketing of housing programmes even on departmental marketing bill boards.

It can be deduced that the department is still struggling to communicate with the service beneficiaries to promote common understanding of the housing programmes. It can also be deduced that even though limited attempts are made to strengthening communication, the department still fails to consult the majority of citizens. However, officials were further asked the following question.

## Question

Is there an established communication framework to be utilised by both internal and external clients?

## Response

A minority of officials (33.3%) have responded on the affirmative and motivate as follows:

- Even though the department experiences gross shortage of personnel, the organisational structure made provisions for more units and personnel as a way of strengthening communication; and
- More committees have been established to improve communication. These committees include project steering committee, technical teams and intergovernmental relations forums.

On the contrary, a majority of officials (66.7%) have responded in the negative and motivate as follows:

- There is too much centralisation on departmental decision making processes. This means that decisions are, most of the time, taken at a central point but would take long to reach the regional offices, if it happens that they reach the offices at all;
- There is lack of consumer education sessions which aim at covering the majority of communities; and
- The department communication lacks proper coordination since instances of duplications have been noted in the process of implementing housing programmes and projects.

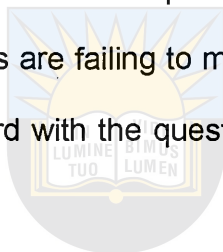
It can be deduced that even though the department is in possession of communication framework, however on implementation, communication is ineffective. It can also be deduced that the department lacks proper mechanisms to improve communication. Citizens were also asked the following question.

## Question

Do you know who to speak when clarity is needed about the process of housing development?

## Response

A minority of citizens (21.4%) have responded on the affirmative, indicating that ward councillors provide with the necessary information regarding the housing provision. A majority of citizens (78.6%) have responded in the negative, saying that departmental officials are not accessible and that there is absolutely no interaction between officials and ordinary citizens on the ground. It can be deduced that the majority of citizens do not have space to speak to the departmental officials. It can also be deduced that ward councillors are failing to meet the majority of citizens when making feedbacks to communities. Moving forward with the questioning exercise, officials were asked the following question.



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## Question

Are there communication coordinators for the department?

## Response

A minority of officials (41.7%) have responded in the positive, stating that the department uses extension officers such as community development facilitators and other departmental officials who link directly with the ordinary people on the ground. However, a majority of officials have responded in the negative, asserting that the department lacks all forms of communication with the majority of citizens including departmental officials as evidenced by their inaccessibility at community level. In the circumstances, it can be deduced that the department lacks clear lines of communication with the ordinary citizens as required by the *constitution*. Citizens were also asked the last question in this aim.

## Question

Overall considered, are you satisfied with the manner in which the department consult the citizens?

## Response

A minority of citizens (10.7%) have responded in the positive, stating that people have been provided with houses. However, a majority of citizens (89.3%) have responded in the negative, arguing that the department is faced by a number of communication challenges with its clients, the service beneficiaries. It can be deduced that the majority of officials acknowledge the failure of the department to provide housing programmes and projects to communities. It can also be deduced that the housing provision affects limited number of communities. Officials were further given the following statement to answer.



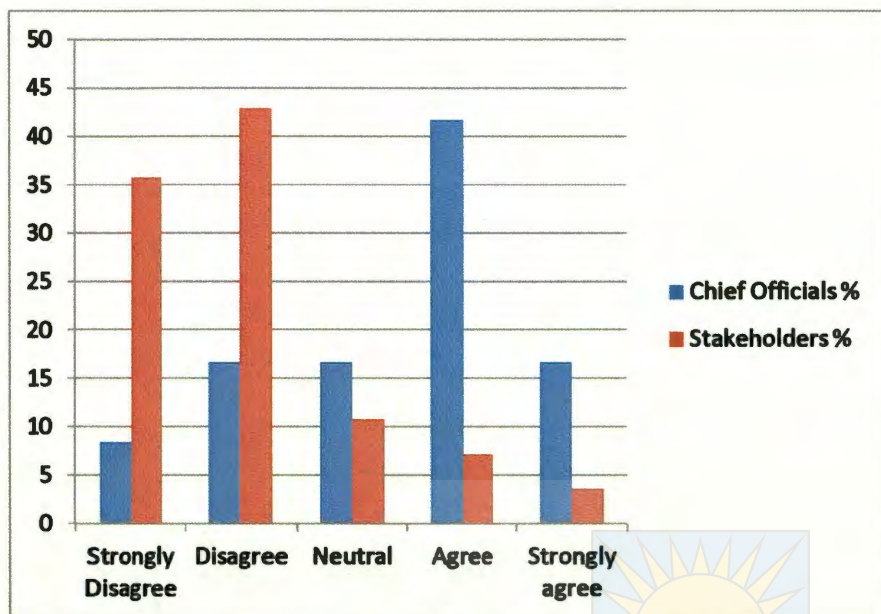
## Statement

Everybody is aware of the process of the housing provision.

## Response

The responses were therefore captured using the following figure.

**Figure 5. 6 Analysis of officials' awareness of housing provision**



It can be deduced that the majority of officials do not clearly know the process of housing provision more especially the administration component. It can also be deduced that the implementation of a housing programme has not been widely publicised even within the department. Officials were then asked the following question.

### **Question**

Does your department regularly communicate and update the role players about the latest development in the housing provision?

### **Response**

A minority of officials (10.7%) have responded on the affirmative, pointing out that through various committees and appointed officials, the department is able to disseminate information effectively to the ordinary citizens. On the contrary, a majority of officials (89.3%) have responded in the negative, asserting that due to high vacancy rate and the constant underfunding of the housing programmes, direct interaction with the ordinary citizens to provide latest development information

is a bit of a problem. It can be deduced that citizens are not provided with the latest information related to the provision of housing development services. Also, it can be deduced that non-filling of vacant posts in the department cripples the process of housing development. Lastly, officials were asked the following question.

**Question**

How often does your department hold information sharing sessions regarding the provision of houses?

**Response**

The following table demonstrates the manner of responding to the question by officials.

**Table 5.17 Analysis of hosted information sharing sessions by the department**



Measuring instrument	No. of Responses	Percentage
Weekly	4	14.3%
Monthly	9	32.1%
Do not know	15	53.6%

From the above demonstration, it can be drawn that the majority of officials have never been involved in any information sharing, something which might negatively affect the provision of houses to the ordinary citizens. It can also be deduced that within the ranks of departmental officials, information is hardly shared, something which contrasts the team spirit as often encouraged in the implementation of government programmes.

From the above discussion, it was learnt that active interaction between government officials and citizens is still lacking. The inconsistency in the provision of the housing development services was

also discovered. After so many attempts which were aiming at improving communication in the department, it was also noticed that communication is still a challenge in the provision of housing development services. In addition, it was further revealed that the department is failing to properly manage stakeholder relationships owing to the lack of a communication strategy. The other serious challenge that was exposed through the study is non-accessibility of departmental officials at community level. Also, it was noted that even office appointments do not make it easy for the departmental officials to be accessible as the process has its own difficulties.

The satisfaction of community needs was seen to be a real challenge since communities will have divergent sets of needs and expectations. Government, in this set up, ends up failing even to provide the basic services which ought to be provided consistently to the ordinary citizens. The other problem that was exposed by the study is the fact that people have to wait for longer periods before accessing the housing provision. This long waiting does not only frustrate the ordinary service beneficiaries but it also causes unnecessary tensions between government and communities. Since government fails to periodically update citizens about challenges facing the housing development, it was observed that the majority of citizens are not happy about the existing communication approach of the department. However, even though government is unable to reach out to communities, at least some people know where to contact departmental officials.

The study also proved that the majority of citizens do not know the process of housing provision, which is a serious challenge for government. For people to know only the fact that there is a housing development benefit but do not know exactly how the benefit would be provided to the ordinary citizens, is a cause for a concern. It was further revealed that even around this aspect, only few individuals who seem to understand the process. The other problematic area that was exposed by the study is that people are not regularly consulted except for the few, something which promote a culture of working in silos than working together as a team, as required in the provision of housing development services. The interaction between government officials and the

ordinary citizens is still lacking and as result common understanding of the housing development programmes has not been achieved between departmental officials and the service beneficiaries. Even though several attempts were made to strengthen communication, it was observed that communication in the department is still a challenge.

Seemingly, the department proves to be serious about improving levels of communication due to the fact that communication framework was developed but the problem is that it continues to fail on implementation. However, the indication is that the department lacks proper communication mechanisms which are relevant for such a programme. The main problem that was cited to be contributing to the failure of the communication system is the inability of both stakeholders to interact about the housing development programmes. The ward councillors are viewed to be failing to provide an alternative way of communicating government programmes to communities. In a nutshell, councillors are failing to link government programmes to communities, something which needs to be corrected for the smooth implementation of government programmes. The current approach of communication with communities seems to be lacking clear lines of communication. Subsequently, the majority of the departmental officials have acknowledged that communication within and outside the department is failing as evidenced by the continuation of working in silos other than integration of programmes. It was further revealed that housing programmes so far have only affected few individuals in a significantly small number of communities compared with the number of people and communities queuing for the service.

Even though officials are expected to be in possession of the required knowledge for housing development services, however, it was established that the majority of officials do not necessarily understand the process of housing development services, something which signals a major problem for government. This scenario implies that within the department there is lack of commitment to working together and lack of team support on the implementation of the departmental programmes. It was further noted that department is failing to widely publicise

departmental programmes of housing development. Latest information in relation to the housing development was not provided to the ordinary people as proved by the responses on analysis. The issue of the non-filling of vacant posts in the department was viewed to be crippling the housing development service. Surprisingly, it was revealed that officials are not practically conducting information sharing sessions with a view to engage all stakeholders but merely discussing operational issues that affects departmental performance. Also, it was noted that there is a difficulty to share information even at the operational level-something which tells that communication is a real challenge on the implementation of the housing development programmes. At this stage, chapter five comes to the ending.

## 5.8 CONCLUSION

The chapter presented and analysed the research data which was collected through the use of various methods of data collection such as questionnaires, interviews, documentary surveys and observation. The purpose was to appraise the process of policy implementation in the public sector, paying a particular attention on the housing policy implementation process by the Department of Human Settlements in the Eastern Cape. The objectives of the chapter were to make an empirical assessment of the theoretical framework as provided in chapter two and three of the manuscript. However, various questions and statements were asked to citizens, chief officials and stakeholders for housing policy implementation. From the study, it was established that the majority of officials have participated in the research. The research study was able to draw the attention of every stakeholder. It was also noticed that every member of the community is interested in the programme of housing development. Also, it was found that the majority of youth is not participating in the housing development programme but it was noted that elderly people are participating in the programme. However, it was revealed that the housing development service is a male dominated field. Even though the field is male dominated, it was also discovered there is a remarkable increase in the number of women joining the housing industry. It was also revealed that

seasoned administrators are utilised to run the operations of the department under study, something which should assist in improving the housing development programme.

In proceeding further with the investigation, it was found that even though citizens have tertiary qualifications, they are unemployed. It was also established that the majority of citizens are Isixhosa speaking people. However, it was further noted that other groups of citizens use different languages, something which can be regarded as good for diversity in the implementation of the housing development programmes.

It was good for the study to obtain inputs of a diverse nature, as having been necessitated by the responses of the diverse teams of respondents from various communities. Owing to the social composition of the research area which keeps diversity, the study was supported from various angles, which on its own indicates growth and maturity of both contemporary organisations and the local communities in understanding research and development goals. Importantly, departmental officials and managers participated in the research study willingly. The willingness therefore of managers and operational staff to support research initiatives is indicative of a balanced understanding from the said group of respondents. From the study, it became clear that needs identification plays a pivotal role in the determination of the housing development programmes or projects. In the process of analysing data, it was established that consumer education, meetings and information sharing sessions promote better understanding of the housing development programmes and projects. However, even though needs identification was viewed to be assisting in promoting better understanding of the housing development programmes and projects, the fact that the criterion for conducting needs identification is not widely publicised, poses some difficulties. The integrated development planning process was seen to be problematic in that the process does not seem to be concerned about participation of the majority of people.

Subsequently, housing development faces a variety of community challenges. The tendency of excluding the majority of citizens resulted in the provision of houses to a small number of communities. Therefore, this scenario causes imbalances in the provision of houses to communities, something which might also result in equipping few communities about the housing development programme, leaving the majority of other communities in the dark.

Of major concern, it was learnt that even at this stage, information about housing development is not shared at community level. The process of housing development planning which starts with needs identification and the compilation of Integrated Development Plans (IDPs) is only known as a concept but the practical implementation process is not known by the majority of citizens. The process of housing development therefore lacks cooperation, active partnership and support of all the key stakeholders owing to poor coordination of the programme in both at departmental and at community level. The process of housing development lacks proper guiding plans, since the existing plans only focus on meeting the funding requirements than clearly outlining the implementation process of programmes and projects. The other important thing to note is that top management of the department are also responsible for the development of implementation plans. As a result therefore, broad plans of the department do not seem to be understood by everybody. It therefore means that top management does not promote sharing of the departmental vision and its priority programmes. The fact that the department is unable to cover the majority of citizens in the housing provision; it was therefore concluded that the department is failing to impact on the welfare of citizens.

On a different note, it was established that the process of housing development is meeting with fraud and corruption practices, something which defeats the good intentions of government officials to provide a fair service to the people. The lack of team approach and sharing of information in the provision of the housing development services, remains a challenge. Citizens are not considered

as partners in the process of providing housing provision as evidenced by their non-involvement in the selection or choosing a service provider of their choice.

On observation, it was found that the department lacks proper mechanisms to assess relevance and fitness of a housing development contractor or agency. The issue of stakeholders' non-involvement in the implementation process of the housing development comes more often as a concern. Similarly, the issue of inadequate funding keeps on coming, as a cry which often cripples the ability of the department to deliver on its mandate. It was also discovered that as a result of the delineation process, the department inherited huge financial backlogs which now affects the smooth delivery of the housing development services. Making matters worse, the department lacks skilled personnel. In addition, the department is faced with labour instability which retards progress in the delivery of housing development services. The study also proved that communication is lacking in the field of housing development. Even at community level, it was discovered that effective communication about housing development services is lacking. Important initiatives such as consumer education and information sharing sessions are also not conducted by departmental officials owing to lack of funding to run such programmes. The failure to implement such programmes renders the department in an awkward position.

Continuous increase of the housing backlogs and the prevalent high vacancy rate in the department cause some failures for the implementation of the housing development programmes. It was also revealed that the department operates in an environment where corruption and fraud practices dominate fair and honest practices of implementing government programmes. It therefore means that the process of housing development is plagued with unfair, unjust and corrupt administrative processes. Beside the above cited issues, the department was viewed to be faced by instances of inconsistencies in the provision of the housing development services. Lack of coordination and communication strategy in the department was regarded as the cause of the service delivery failures in the department.

It was further noted that leadership and management guidance is lacking in guiding and directing the process of housing development in the department. Subsequently, team effort and cooperation is lacking to support the housing development programmes in the department. The other issue that was exposed by the study is lack of stakeholder cohesion which contributes to ineffective communication and coordination in the process of implementing the housing development services. The use of emerging contractors and development agencies was seen to be contributing in the delays of housing development. However, it was also revealed that the department is failing to integrate development planning process and the execution of similar programmes or projects. The study also exposes the fact that infrastructural backlogs and lack of skilled personnel contribute to the ineffective implementation of the housing programmes and projects. Lack of stakeholders' role and responsibility clarification was seen to be confusing the process of implementing housing programmes and projects. The study further revealed that people continue to receive houses of poor quality, which, in the main, threatens the lives of the occupants. It was also discovered that the tendering process needs to be closely monitored by management so as to prevent personal biasness. It was further noted that the process of tendering is also faced by instances of programme or project desertions.

Lack of consultation and continued increase of housing backlog was also seen to be causing delays in the process of implementing the housing development programmes. The delays in addressing land issues, causes problems for proper implementation of the housing programmes. The housing development service is affected by non-cooperation of the key stakeholders such as contractors and development agencies. The process was also viewed to be lacking honest partnerships with the social and the commercial sector. From the study, it became clear that very few people receive the housing development information as councillors are seen to be failing to provide communities with the required housing development information. Political interference and lack of professionalism hinders the process of implementing housing development programmes.

From the study, it was established that people are aware of their constitutional right – that they must access the housing provision. It was also revealed that the department is in possession of proper implementation plans but it is failing to implement. Even though attempts are made to improve the delivery capacity of the department but management deficiencies are causing a lot of service delivery failures. The provision of houses to people is seen to be failing due to a number of reasons. Chief amongst the cited reasons is lack of cooperation and poor communication which take place amongst the key stakeholders for the housing development.

The study also exposed that monitoring and evaluation is not known by the majority of citizens and officials in its practical application. The process of monitoring and evaluation was viewed to be lacking properly designed monitoring and evaluation mechanisms or systems. In addition, the department was seen to be lacking monitoring and evaluation professional experts. It was also discovered that all stakeholders believed that monitoring and evaluation, when it is applied correctly, could help in enhancing organisational performance. Furthermore, it was noted that monitoring and evaluation encourages conducting of policy dialogues and reviews. The study also revealed that management do not utilise monitoring and evaluation system optimally. The responses of the research respondents confirmed that impact of any service could possibly be obtained in a situation where there is active interaction and direct engagement amongst the key stakeholders. Glaringly, it was noticed that there is no balance in the process of the housing provision, for example few citizens enjoy the service whilst the majority of citizens do not enjoy the benefit.

It was revealed that the current communication mechanisms are ineffective to improve communication of stakeholders in the department. Worst part of it, even leadership and management are failing to propagate government programmes to communities. Observation was made that the system of monitoring and evaluation could work better in situations where there is involvement of stakeholders and the system is conducted through a team approach, meaning that

it is driven by a team than individual. However, there seems to be consensus, as indicated through responses, that key departments should lead the process of monitoring and evaluation. Revelation was made that once community expectations fail to correspond with the goals of the housing development programme, tensions and mistrusts will emerge between government officials and the service beneficiaries.

From the study, it was established that on-site inspections are known to be playing a pivotal role in ensuring that quality houses are built. The process is also believed to be a good strategy for a total eradication of informal settlements. However, it became clear as well that should housing development services fail to be provided, the majority of citizens become dissatisfied. Surprisingly, mass demonstrations are believed to be the most effective way of showing dissatisfaction about the failures of the housing development services. It was also proved that officials lack proper instruments to measure citizens' dissatisfaction. Once more, it was discovered that councillors are ineffective to promote understanding of the housing development programmes.

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The study further revealed that the department is failing to manage stakeholder relationships owing to a lack of communication strategy. Also, departmental officials were regarded as inaccessible at community level. It was further revealed that communities have a divergent set of needs and expectations which the department must fulfil entirely. The long waiting for a housing provision was seen as the source of community frustrations. It was also established that the majority of people do not know the process of housing provision due to lack of consultation. Furthermore, it was discovered that officials are aware that communication within and outside the department is a problem. There seems to be a lack of team spirit which results to working in silos. The study also proved that the non-filling of vacant posts cripples the functioning of the department.

Information sharing sessions are also not conducted due to lack of funding to drive such a programme. Lastly, the department was proved to be very weak in ensuring that information flows from the top level to the lowest level of the organisational hierarchy. Having conducted data presentation, analysis and interpretation, the following chapter discusses conclusion and findings of the study.



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## **CHAPTER SIX**

### **FINDINGS, RECOMMENDATIONS AND CONCLUSION**

#### **6.1 INTRODUCTION**

It is an essential requirement of any scientific study to make concluding remarks and indicate findings of the study. Conclusion may be defined as the brief summary of what was discussed and debated in the whole manuscript. Findings in the context of a research study, means the outcomes of a scientific investigation. In simple terms, it could refer to the discovered answers of the initial hypothesized and identified problems of a social phenomenon. By conclusion therefore is meant the provision of an abridged statement to end the document. Crucial and critical statements are made in the area of concluding any document for obvious reasons- that of suggesting powerful statements for proper analysis and careful scrutiny. A discussion on findings is important because it exposes areas which need corrective measures. In other words, the basis of making any powerful and informed recommendations comes from the discussion of the findings. On the other hand, conclusion provides a fresh look in what was discussed and tend to flag or elevate specific issues for consideration.

The purpose of this chapter is to explain the findings and conclude the study. Firstly, the chapter presents findings of the study. Lastly, the chapter discusses the concluding remarks of the study. However, a discussion of findings is now provided below.

#### **6.2 FINDINGS OF THE STUDY**

It was important to extensively study the available literature and the legislative framework which explained generally the process of policy implementation and, in particular, the process of housing development in South Africa. The reason for studying this type of literature was to gain an understanding of whether or not the developed policies are implemented. In other words, this

approach was viewed to be the best approach to assess the process of policy implementation in the public sector, paying a particular attention on the implementation of a housing policy and strategy by the Department of Human Settlements. The study aimed to cover the period starting in 2009 to 2011. In this way, the study was linked to the planning cycle of government which is termed, Medium Term Expenditure Framework (MTEF). The period was chosen so as to be able to evaluate the process of policy implementation over a three year period, which is a fair basis to measure the implementation of any government programme. Findings of this scientific investigation are now presented in the following sections.

Chapter one aimed at providing a coordinated framework for the outlining of the research process. The chapter began with introduction and general orientation. This section was followed by the background to the study. A discussion on the problem statement of the study was provided. In this section, it became clear that a problem means inability to execute a specific task or programme. Also, a problem was viewed to be an impediment on the delivery of public services. In addition, the housing development exercise was construed to be a complex and complicated process. The hypothesis of the study was also discussed wherein it was noted that hypothesis simply refers to an academic speculation, a tentative and unproven statement which needs further research. It was further noted that hypothesis can best be used in explaining the relationship between variables. In proceeding further, the chapter has provided an outline of the research objectives.

Following the objectives of the study was a discussion of the theoretical framework of the study. This component has provided two theories which underpin this study, namely the process and the systems theory. Having dealt with this section, the chapter has also provided the delimitations of the study which focused mainly on three areas, namely period, theory and the survey area. In the survey area, historical account of topics which cover the broad field of public administration, which is the activity of government officials, was provided. This area has produced a refreshing account of public administration as an activity, the origin of public administration in both international and

the South African perspective. This section is very important as it captures the reason for the existence of public administration.

It has also contributed in providing a clear shape of how the South African government plans to render services to the people, and how the service delivery systems have been designed in order to systematically coordinate, communicate and implement government programmes. The historical account brings knowledge to the people more especially about service delivery issues and the systems that should be followed if citizens happen to experience difficulties. It therefore serves as a knowledge broker for government systems and the guideline of program implementation. The other important section provided by this chapter was the significance of the study. This area puts forward some issues which would be tackled and resolved should the study becomes successful. The chapter further cites the limitations of the study as a likely risk which needs the researcher's control and management from the onset. The study plan of the research was also outlined to guide the research process. The last component of the chapter was the explanation of terms and concepts used in the study.

However, the overall aim of chapter two was to provide a theoretical framework, by reviewing available literature, for the nature and place of the public policy process and policy implementation in Public Administration. Theoretical framework was understood to mean a support structure or a body, containing guiding principles which can serve as a base for the study on the appraisal of the policy implementation process. In this section, it was concluded that organizations require systems and processes as guiding principles for them to function properly. Also, it was learnt that organizations will always expect the input of the external environment for it to deliver public services efficiently and effectively. In this way, people queuing for the delivery of services have a right and a responsibility to make input on the type of a service to be provided or complain about the services which are provided to the general public.

In addition, it was learnt that the provision of public services inclusive of public policy implementation have to be properly managed by both the public officials and those who receive the public services – the public service beneficiaries. It was also found that service beneficiaries are expected to provide feedback on the type and quality of the services which are provided for further improvement. Public administration was explained as the work which public officials perform in government offices and that public administration consists of the administrative functions and processes which can be performed with functional activities and auxiliary functions. From the discussion, it became clear that the goal of public administration is to satisfy or fulfill the human needs, interests and expectations.

It was noted also that conceptual and delivery functions are not one and the same thing though at a glance they might appear similar. The chapter also revealed that there is a difference between a function and a process. In explaining the difference, it was stated that a function is performed following a specific pattern of events – which is a process. It was further revealed that the work of public officials is always guided by the six main administrative functions and processes. The chapter went on to expose that public policy making is divided into phases which are necessary to guide the policymaking process. The chapter further revealed that the public policy process is also divided into three steps, namely policy making, policy implementation and policy analysis and evaluation. Interestingly, from the same chapter, it was discovered that the exercise of developing legislative framework forms part of the political process.

On the same chapter, revelation was made that policy making involves a variety of strategies and a variety of the key role players. The public policy making has three steps inclusive of policy initiation, policy formulation and policy approval. However, it was also stated that compelling reasons should first be identified before a process of policy initiation can begin. From the chapter, it was found that a policy is mostly developed to solve or prevent a particular community problem. In addition, it was learnt that policy initiation is preceded by consideration of three steps, identification

of a problem, description of the problem and lastly the process of information gathering. It was also found that policy formulation means to develop policy options to solve or prevent an existing problem. The chapter also revealed that the process of policy formulation is guided by two actions, namely decision about the action to be taken and formulation of suitable recommendations.

However, it was proved that a specific procedure is required for the approval of a policy. It was also noted that a policy is approved after a process of lengthy debates and engagement amongst the various categories of the key role players in public policy making. The discussions of the chapter further revealed that politicians play an oversight role over the work of public officials – which is to render administrative functions. It was also found that any change process needs to be preceded by creation of a workable environment by both the political leadership and the public managers. In simple terms, the implementation of new, or revised or updated policies should be guided and led by both categories of institutional leadership for it to be efficient and effective.

Policy implementation was viewed to be the actual performance of the administrative activities and events including the impact of an approved policy. In other words, policy implementation is understood to mean the actual conversion of policy intent into workable government programmes. For policy implementation process to be effective, three steps are required, namely performance of executive functions, planning and programming of policy, and the implementation of project management approaches. It therefore means that policy implementation requires interaction, hosting of policy dialogues, providing feedback and modifying of policy objectives. A lesson was learnt that the rendering of public services can only become effective if the process of policy implementation is efficient and effective. It was also proved that policy implementation will always require performance of specific functions and that the process is understood to be ongoing. It was further noted that policy implementation requires constant making of decision making by various stakeholders.

From the discussions of chapter two, it was proved that quite a number of consultative processes need to be explored in the policy implementation process. It was also observed that without proper planning, no services will be provided smoothly and effectively and that planning and performance of executive functions can never be separated. The chapter further revealed that planning is guided by steps. It therefore meant that there will always be a planning cycle and that planning is not a once off kind of an activity hence the element of modification. It was further discovered that programming of policy implementation should manifest in the carrying out of certain administrative activities. A programme should have the required activities. In a programme, specific actions need to be tackled either separately or simultaneously.

It was further exposed that analysis is just a process of simplifying something or a phenomenon for purposes of further observation. Also, analysis was perceived to be an instrument which could be used to measure a particular scenario. However, evaluation was explained as an instrument to measure the extent to which an activity or a function is performed. In some instances, this evaluation tool is used to gain insight, knowledge and the understanding of the plight, needs and expectations of citizens in relation to a specific service which government provides.

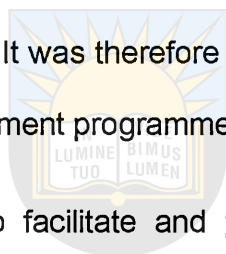
Lastly, legislation, for example the housing policy, was viewed to be playing a meaningful role in creating workable environment for the provision of the basic public services to the general public such as the housing development services. It was therefore established that the housing development services solely depends upon the implementation of the legislative provisions which specifically support the process of providing sub-standard houses to the citizens. From the discussion of chapter two, it became clear that public services will never be provided smoothly without the development of a legislative framework which normally serves the role of a guiding principle.

The overall goal of chapter three was to highlight areas where the legislative framework made prescription for the cooperative and the interactive role of stakeholders on policy implementation. From this chapter, it was learnt that the *constitution* is the primary source which provides space for the cooperative and interactive role of stakeholders on policy implementation. It was also noted that cooperation of stakeholders needs to be facilitated. Also, it was revealed that without cooperation, people might find it difficult to express their feelings and share their ideas which are useful in developing the country.

Chapter three elevated the RDP programme to an extent of becoming an instrument which could unite people whilst pursuing the development initiatives. The RDP therefore was perceived to be responding directly to the imbalances of the past. However, cooperation and interaction of stakeholders was proved to be achievable through the empowerment of the poor and the marginalised sections of the society. It was further noted that partnerships promote transparency and create space for the making of contributions by various stakeholders for policy implementation. It was noted that to achieve the integrated approach of implementing government programmes, communication and broad representation were viewed to be the key instruments which should be utilised by all stakeholders for policy implementation.

The chapter also revealed that government programmes need the working together of people to complement and supplement the efforts of one another. It was also noted that even though the provision of public services is a complex matter, consultation, interaction and the constant communication of stakeholders make the process of providing public services easy. It was further noted that the success of any transformational change depends on the working together of all the parties involved. It was established that transformational change could best be achieved through the government and community partnership. However, it was acknowledged that partnerships

without a clearly defined communications strategy could as well confuse the process of policy implementation. From chapter three, it was learnt that the present dispensation needs a transformed human resource service which needs the constant involvement of the clients. This approach could enable the clients to have space to make an input on the design and the implementation of the human resources services. It was therefore believed that the approach as cited above could assist in bringing the clients on board in whatever process or programme that might directly affect them. It was also revealed that transformational change needs training. It was found that the aspect of training could play a pivotal role in communicating and coordinating government programmes. It was also discovered that training provides skill and knowledge for participation in government programmes. It was therefore learnt that training is a critical instrument to equip people for participation in government programmes.



It was revealed that training could also facilitate and promote cooperation and interaction of stakeholders for policy implementation. From chapter three, it was found that councillors in the third sphere of government serve as the link between the municipal council and the communities. This was viewed to be perfect for the creation of the opportune space for discussing the implementation process of government programmes. It was therefore noted that councillors are strategically elected to encourage the working together of government and the people on the ground. However, a note was taken that partnership is mostly ignited in instances where there is balance of representation. It was therefore learnt that top management is responsible for the design of the mechanisms for the stakeholder engagement within an organisation.

The chapter also revealed that the process of planning requires cooperation of stakeholders. It was therefore believed that the manner in which top management communicates with the stakeholder determines the success of policy implementation. The working together of people was also viewed to be essential in promoting common understanding of organisational goals and processes. The cooperation and interaction of stakeholders was viewed to be important for strengthening

coordination of government programmes. It was also noted that the first line of management plays a crucial role in aligning the activities of the operational staff with that of the middle management. It therefore meant that cooperation at that level is very important as government programmes depend on the working together of management and the operational staff. It was discovered that sharing of crucial information contributes to the effective implementation of government programmes.

It was further noted that the role of leadership on policy implementation is crucial for mobilisation of people to cooperate whilst rendering the public services. It was further established that, critically important for policy implementation, is cooperation of both external and internal stakeholders in strategic planning session. Sharing of information and cooperation of intergovernmental partners promote cooperation and interaction on policy implementation. From chapter three, it became clear that intergovernmental cooperation and the working together of stakeholders play a crucial role on policy implementation.



It was found that political parties and the social structures promote cooperation and the interaction in the process of providing public services. Also, it was established that NGOs and CBOs play a pivotal role in mobilising communities for the active involvement and participation in government programmes. In other words, it was discovered that government programmes are a complicated matter which requires the involvement of government officials, non-governmental structures and the citizens. It learnt that the success of policy implementation therefore depends on the cooperative and the interactive action of government officials and the other stakeholders from the civil society.

The intention of chapter four was to provide a discussion on the research methodology and research design. As planned, the first section dealt with a discussion on how approval or permission to conduct the study was solicited. The second aspect which was dealt with was the

provision of a narrative indicating the scope or the areas to be covered by the study. A discussion was provided on research design and research methodology. In that section, it was learnt that a research design is a plan which directs the research activities. It was therefore discovered that the research design suggests what needs to happen, where and when. In that way, it was believed that a research design serves as the blueprint which guides the activities of a research project. It was established that the main research designs are made up of a variety of different sub-research designs. Notably, an experimental research design was viewed to be the most powerful and careful in applying strict scientific research methods.

It was also revealed that research designs are informed by two types of research studies, namely cross-sectional and longitudinal studies. However, it was noted that research studies are mostly guided by only two research methods, namely quantitative and qualitative research methods and that these methods may be utilized for both data collection and data analysis processes. Also, a note was taken that quantitative research methods emphasize the use of numbers and scales to measure research variables. On the other, qualitative research methods was perceived to be promoting quality language use in research studies.

In chapter four, it was found that the unit of analysis is the type and number of people earmarked for participation in the research study. From the same chapter, it was established that data collection equates to the capturing of research respondents' responses and the observing of interaction amongst the groups of research respondents.

Furthermore, data collection was perceived to be the necessary and intentionally created space of engagement between the researcher and research respondents to test research hypothesis. It was also discovered that data collection includes the use of data collection instruments. It was further established that data collection instruments are, in simple terms, data collection mechanisms which are found in various forms of research studies. It was noted that interviews, as one of data

collection mechanisms, are the normal tools to exchange personal information which is categorized into unstructured and structured processes of engagement.

Importantly, it was discovered that interview processes of engagement provide space to gain more insight about the subject of research. It was further believed that interviews may help in the collection of sensitive information which questionnaires fail to capture, due to the likely absence of the confidentiality aspect in questionnaires. Simply put, research questionnaires were taken as the list of research questions from which the research respondents and the researcher need to create the responses record or responses database.

It was however further noted that to enable the research respondents to effectively respond to research questionnaires, the researcher needs to formulate simple questionnaires with straight forward, precise and simple questions which are interactive in style. It was discovered that observations were also understood to mean an act of eye witnessing the occurrence of an event or an administrative process. Chapter four further revealed that observations may be found in various forms in research studies. It was also established, in the context of this research, that a sample is a representative small group of selected people from a wider population group which could be selected from various categories of the population.

It was proved that data analysis is the breaking up of complex raw information into simple and conceivable information. In simple terms, data analysis was understood to mean the explicit process of converting raw data into statements which articulate clearly the feelings, aspirations and the expressions of the research respondents as extracted from the research data collecting techniques. The chapter also dealt with the limitations of the study. From this section, a discussion on the ethical considerations of the study was provided. Ethics were therefore regarded as the set norms, rules and standards which may be utilized to govern members of a particular community. However, a general agreement was reached that ethics means choosing between right and wrong

or good and bad. Even though the chapter aimed at only outlining the frame of the research project, it actually managed to bring together specific knowledge that is required to broaden the scope of the research design and research methodology as a chapter of a manuscript.

Chapter five presented and analysed the research data which was collected through the use of various methods of data collection such as questionnaires, interviews, documentary surveys and observation. The purpose was to appraise the process of policy implementation in the public sector, paying a particular attention on the housing policy implementation process by the Department of Human Settlements in the Eastern Cape. The objectives of the chapter were to make an empirical assessment of the theoretical framework as provided in chapter two and three of the manuscript. However, various questions and statements were asked to citizens, chief officials and stakeholders for housing policy implementation.

It was good for the study to obtain inputs of a diverse nature, as having been necessitated by the responses of the diverse teams of respondents from various communities. Owing to the social composition of the research area which keeps diversity, the study was supported from various angles, which on its own indicates growth and maturity of both contemporary organisations and the local communities in understanding research and development goals. Importantly, departmental officials and managers participated in the research study willingly. The willingness therefore of managers and operational staff to support research initiatives is indicative of a balanced understanding from the said group of respondents.

From the study, it became clear that needs identification plays a pivotal role in the determination of the housing development programmes or projects. In the process of analysing data, it was established that consumer education, meetings and information sharing sessions promote better understanding of the housing development programmes and projects. However, even though needs identification was viewed to be assisting in promoting better understanding of the housing

development programmes and projects, the fact that the criterion for conducting needs identification is not widely publicised, poses some difficulties. The integrated development planning process was seen to be problematic in that the process does not seem to be concerned about participation of the majority of people. It was believed that the housing development is facing a variety of community challenges. It was also established that the tendency of excluding the majority of citizens resulted in the provision of houses to a small number of communities. It was further believed that such a scenario causes imbalances in the provision of houses to communities, something which might also result in equipping few communities about the housing development programme, leaving the majority of other communities in the dark.

Of major concern, it was learnt that even at this stage, information about housing development is not shared at community level. It was also established that the process of housing development planning which starts with needs identification and the compilation of Integrated Development Plans (IDPs) is only known as a concept but the practical implementation process is not known by the majority of citizens. It was further discovered that the process of housing development lacks cooperation, active partnership and support of all the key stakeholders owing to poor coordination of the programme in both at departmental and at community level. It was further found that the process of housing development lacks proper guiding plans, since the existing plans only focus on meeting the funding requirements than clearly outlining the implementation process of programmes and projects.

It was discovered that top management of the department are also responsible for the development of implementation plans. As a result therefore, it was found that broad plans of the department do not seem to be understood by everybody as they lack work shopping space from top management. It was also discovered that top management is failing to promote sharing of the departmental vision and its priority programmes. It was further proved that top management is failing to make an impact on the welfare of citizens.

It was also established that the process of housing development is meeting with fraud and corruption practices, something which defeats the good intentions of government officials to provide a fair service to the people. It was noted that the lack of team approach and sharing of information in the provision of the housing development services, remains a challenge. It was also noted that citizens are not considered as partners in the process of providing housing provision as evidenced by their non-involvement in the selection or choosing a service provider of their choice.

On observation, it was found that the department lacks proper mechanisms to assess relevance and fitness of a housing development contractor or agency. It was found that the issue of stakeholders' non-involvement in the implementation process of the housing development is a problem. Similarly, it was discovered that the issue of inadequate funding poses challenges for the housing policy implementation and cripples the ability of the department to deliver on its mandate. It was also discovered that as a result of the delineation process, the department inherited huge financial backlogs which now affects the smooth delivery of the housing development services. It was also discovered that the department lacks skilled personnel. In addition, it was noted that the department is faced with labour instability which retards progress in the delivery of housing development services.

The chapter also proved that communication is lacking in the field of housing development. Even at community level, it was discovered that effective communication about housing development services is lacking. Important initiatives such as consumer education and information sharing sessions are also not conducted by departmental officials owing to lack of funding to run such programmes. However, it was found that the failure to implement such programmes renders the department in an awkward position.

It was established that continuous increase of the housing backlogs and prevalent high vacancy rate in the department causes failure for the implementation of the housing development programmes. It was also revealed that the department operates in an environment where corruption and fraud practices dominate fair and honest practices of implementing government programmes. It was therefore found that the process of housing development is plagued with unfair, unjust and corrupt administrative processes.

It was further noted that beside the above cited issues, the department was viewed to be faced by instances of inconsistencies in the provision of the housing development services. It was also established that lack of coordination and communication strategy in the department causes service delivery failures in the department. It was further noted that leadership and management guidance is lacking in guiding and directing the process of housing development in the department.

Also, it was exposed that team effort and cooperation are lacking to support the housing development programmes in the department. The other issue that was exposed by the study is lack of stakeholder cohesion which contributes to ineffective communication and coordination in the process of implementing the housing development services. It was established that the use of emerging contractors and development agencies was contributing to the delays of housing development. However, it was also revealed that the department is failing to integrate development planning process and the execution of similar programmes or projects. The study also exposed the fact that infrastructural backlogs and lack of skilled personnel contribute to ineffective implementation of the housing programmes and projects. Lack of stakeholders' role and responsibility clarification was seen to be confusing the process of implementing housing programmes and projects. The study further revealed that people continue to receive houses of poor quality, which threatens the lives of the occupants. It was also discovered that the tendering process needs to be closely monitored by management so as to prevent personal bias. It was further noted that the process of tendering is also faced by instances of programme or project

desertions. Lack of consultation and continued increase of housing backlog was also seen to be causing delays in the process of implementing the housing development programmes.

It was established that delays in addressing land issues, causes problems for proper implementation of the housing programmes. Also, it was detected that the housing development service is affected by non-cooperation of the key stakeholders such as contractors and development agencies. The process was also viewed to be lacking honest partnerships with the social and the commercial sector. From the chapter, it became clear that very few people receive the housing development information as councillors are seen to be failing to provide communities with the required housing development information. It was noted that political interference and lack of professionalism hinder the process of implementing housing development programmes.

It was found that people are aware of their constitutional right – that they must access the housing provision. Also, it was revealed that the department is in possession of proper implementation plans but it is failing to implement. Even though attempts are made to improve the delivery capacity of the department but it was discovered that management deficiencies are causing a lot of service delivery failures. It was further noted that the provision of houses to people is seen to be failing due to a number of reasons. Chief amongst the cited reasons is lack of cooperation and poor communication which take place amongst the key stakeholders for the housing development. The chapter also exposed that monitoring and evaluation is not known by the majority of citizens and officials in its practical application. It was noted that the process of monitoring and evaluation lacking properly designed monitoring and evaluation mechanisms or systems. In addition, the department was found to be lacking monitoring and evaluation professional experts. It was also discovered that all stakeholders believed that monitoring and evaluation, when it is applied correctly, could help in enhancing organisational performance. Furthermore, it was noted that monitoring and evaluation encourages conducting of policy dialogues and reviews. The study also revealed that management do not utilise monitoring and evaluation system optimally. It was further

confirmed that impact of any service could possibly be obtained in a situation where there is active interaction and direct engagement amongst the key stakeholders. It was also noticed that there is no balance in the process of the housing provision, for example few citizens enjoy the service whilst the majority of citizens do not enjoy the benefit.

It was revealed that the current communication mechanisms are ineffective to improve communication of stakeholders in the department. Worst part of it, it was also established that even leadership and management are failing to propagate government programmes to communities. Observation was made that the system of monitoring and evaluation could work better in situations where there is involvement of stakeholders, and also if the system is conducted through a team approach, meaning that it is driven by a team than individual. However, it was also proved that consensus exists, as indicated through responses, that key departments should lead the process of monitoring and evaluation. Revelation was made that once community expectations fail to correspond with the goals of the housing development programme, tensions and mistrusts will emerge between government officials and the service beneficiaries.

It was established that on-site inspections are playing a pivotal role in ensuring that quality houses are built. The process is also believed to be a good strategy for a total eradication of informal settlements. However, it was established that should housing development services fail to be provided, the majority of citizens become dissatisfied. It was discovered that mass demonstrations are believed to be the most effective way of showing dissatisfaction about the failures of the housing development services. It was also proved that officials lack proper instruments to measure citizens' dissatisfaction. Once more, it was discovered that councillors are ineffective to promote understanding of the housing development programmes.

The study further revealed that the department is failing to manage stakeholder relationships owing to a lack of communication strategy. Also, departmental officials were found to be inaccessible at

community level. It was further revealed that communities have a divergent set of needs and expectations which the department must fulfil entirely. It was also noted that the long waiting for a housing provision was is a source of community frustrations. It was also established that the majority of people do not know the process of housing provision due to lack of consultation. Furthermore, it was discovered that officials are aware that communication within and outside the department is a problem. It was established that there is a lack of team spirit which results to working in silos. The study also proved that the non-filling of vacant posts cripples the functioning of the department. It was found that information sharing sessions are also not conducted due to lack of funding to drive such a programme. Lastly, the department was proved to be very weak in ensuring that information flows from the top level to the lowest level of the organisational hierarchy.

### **6.3 RECOMMENDATIONS OF THE STUDY**

The purpose of conducting any scientific investigation is to come up with properly and well researched solutions to solve a social phenomenon. The problem that was examined in this scientific investigation relates to ineffective process of policy implementation and communication amongst stakeholders for the housing policy implementation such as politicians, chief officials and the ordinary citizens. The inactive interaction amongst these key stakeholders was construed to be the root cause of poor coordination of the housing development services which translate to the poor delivery of houses to people of South Africa, in general and the Eastern Cape Province, in particular. The concept, recommendation means advice or proposal. It therefore means that this section will discuss possible suggestions or advices or proposals which could be explored in order to eliminate problems as cited in the previous discussion.

The purpose of this study was to appraise the process of policy implementation in the public sector, paying a particular attention in the implementation of the housing policy and strategy by the

Eastern Cape Department of Human Settlements. The chapter will be divided into four main sections to be discussed. These may include:

- Nature of the housing policy implementation in the Department of Human Settlements.
- Problems facing the implementation of a housing policy and strategy.
- Monitoring and evaluation of the housing programmes and projects.
- Communication of key stakeholders for the housing policy implementation.

However, the nature of the housing policy implementation is now discussed below.

### **6.3.1 Nature of the housing policy implementation in the department**

The word, nature means the character or environment. In the context of this study, nature means the environment or characteristics of the approach which is followed in the implementation of the housing policy and strategy. It therefore means that by nature in this regard, is meant the current trend of providing houses to the people of the Eastern Cape and the manner in which development programmes or projects are executed. The process of the housing development begins with the planning process. Ideally, the process should be conducted at community level and must involve the majority of the citizens.

However, the study revealed that the integrated development planning process, which results to the development and compilation of Integrated Development Plans (IDPs) does not involve the majority of the community members. It was established that the process of needs identification, which is the first step towards the development of the IDPs, the majority of citizens are normally not involved. In addition, it was observed that the process moves with the fastest speed so as to have the plans developed to meet the set criteria for funding purposes and not necessarily captures the needs of the citizens. This approach is problematic because the needs, aspirations and the

expectations of the majority of citizens are normally left out. The information which informs the development of such important plans is only collected from the few members of the community.

In order to actively involve the majority of citizens in the planning process, consumer education needs to be strengthened. The community members need to be empowered about the process of needs identification so that they could conduct the exercise themselves without it being facilitated mostly from the municipal offices. Secondly, a clear programme of the needs identification exercise should be developed in collaboration with the majority of citizens. Should the approach changes and conforms to the requirements of the proposals, surely ownership of the housing development programmes and partnership which must exist between the municipality and community will be achieved.

From the side of the municipal office, there should be an integration of the housing development programmes and projects. In order to save the limited resources, a team approach should be developed in the process of providing the housing development services. This simply means that when municipal or departmental officials have to make a visit to communities, the team should comprise of officials from every component of the organisation. This approach will ensure the provision of a package of services to the people than to provide a disjointed service which might be expensive to sustain. To achieve cooperation of every stakeholder, a clear implementation plan should be developed in consultation with the majority of citizens. Through active engagement, ignorance of the processes of the housing development services will be completely eliminated. In order to improve individual performance, role and responsibility clarification needs to be widely publicised. This is to say that every individual should know the scope of his or her area of responsibility. The process must not be confused by instances of performance overlaps.

Also, the role of managers should clearly be defined. Managers must not relax after the development of the implementation plans. Each manager must conduct a thorough readiness survey so as to pave way for a smooth policy implementation process. This process should involve the testing of systems, the skills of officials and the availability of funds to implement a policy. In addition, should everything seems to be in order, managers must directly guide the implementation process so as to provide the necessary and the desired management support in the process of implementation. Managers need to constantly supervise the implementation process so as to achieve the coordination of the implementation activities including projects. Having dealt with this section of recommendations, the following area aims to resolve problems of the implementation process.

### **6.3.2 Problems encountered on the implementation of a housing policy and strategy**

From this area, a number of problems were raised which tend to derail progress in the provision of houses to citizens. It was discovered that lack of stakeholder cohesion causes problems for the implementation process of the housing development services. The resolution to the problem is that from the planning stage to implementation phase, stakeholders should closely work together. This could possibly be achieved if clear policies and guidelines for the working relationship have been developed. Also, the working relationship should be bonded through permanent and official appointments of people who would serve in such a working partnership. The current trend of delegating to crucial programmes or projects should end. The delegation is not working, more especially, on instances where crucial decisions ought to be made. A delegated official to a development programme or project will have limitations of discussing and debating with authority, which is mostly required. Lack of adequate land and infrastructure development cause problems for the housing provision. The land issue should be dealt with as a project on its own. The responsible authorities such as the Department of Human Settlements and Land Affairs should

initiate or strengthen a process of engagement with a view to resolve problems related to land issues which tend to obstruct the speed of the housing provision.

The issue of capacity of the building contractors and the development agencies, the proposal is that the department should strengthen the process of selection and appointment. For example, if an emerging contractor has to be appointed, close supervision needs to be enforced. Also, the department should focus on quality and not necessarily the quantity. This could be achieved through a tendering process review where the focus will have to change. The approach which is proposed is that a building contractor must now be chosen on the basis of the ability to do the building job and not by virtue of affordability. To curb the problem of project blocking or desertion, the department must develop a system which will be able to track project progress systematically, so that payments are systematically generated.

This approach could solve a number of problems. For example, fraud and corruption could easily be defeated if a system generated payment is introduced. However, this system needs to interface with the system which tracks progress of the housing development programmes and projects. The problems which relate to delays and changing of beneficiary lists, could best be tackled through integrating processes. In this regard, a separate government system is needed wherein the service beneficiary will be scrutinised using a multiple of factors. The system should be linked to other systems including that of personnel salaries. The system should be able to tell if the service beneficiary qualifies in all respects. Also, the system should be able to detect if the benefit is not enjoyed by wrong people as is the case in the social grant. The solutions to the identified problems of this area have been suggested, the following discussion proposes corrective measures to resolve problems of monitoring and evaluation.

### 6.3.3 Monitoring and evaluation of the housing programmes and projects

Monitoring and evaluation of the housing programmes and projects are not conducted in a manner in which they should be conducted. Monitoring and evaluation is known theoretically but the practical implementation side of it suffers a great deal. However, monitoring and evaluation should be conducted practically through the use of technical teams with monitoring and evaluation expertise. This approach does not take away the role of the service beneficiaries in monitoring and evaluation exercises. The ordinary citizens on the ground should actively participate in the monitoring and evaluation exercises. In order to achieve success in the monitoring and evaluation exercises, a clear approach needs to be developed by all stakeholders. The approach must also outline the processes that would form part of the monitoring and evaluation exercises, with a clear schedule and timelines of monitoring and evaluation exercises.

Also, the department should hold frequent information sharing sessions wherein everybody is taken step by step about the application of monitoring and evaluation mechanisms. For purposes of housing development, monitoring and evaluation must not take the theoretical approach, where monitoring and evaluation ought to be applied periodically, but it should be consistent with the implementation of the programme. The examination must not take long because housing provision is a life and death issue. For monitoring and evaluation to be effective, professional monitoring and evaluation specialists should be hired to design relevant monitoring and evaluation mechanisms, which would immediately indicate when things go astray. Monitoring and evaluation improvement suggestions have been proposed in this section, a discussion of recommendations for communication is provided below.

#### **6.3.4 Communication of stakeholders on housing policy implementation**

From the study, it was discovered that there is lack of communication amongst the key stakeholders and coordination of the housing development programmes and projects. To resolve this problem, a clear communication strategy needs to be developed for the department. The departmental officials and stakeholders should input in the process of developing such a strategy. The communication must be widely work shopped for a better understanding of every stakeholder. Since the department operates in a decentralised approach, a decentralisation policy must be developed so as to outline the approach of dealing with the department issues. Community visits should be more frequent. Strengthening of the existing method of communication is proposed wherein permanent structures within communities are identified so as to avoid too much centralisation of the meeting venues. Departmental officials in collaboration with other social needs cluster departments must form working forum, where clear schedules of community visits are developed and strictly complied with. Having dealt with the above section, a discussion on the concluding remarks is provided below.

#### **6.4 CONCLUDING REMARKS**

Research studies often conclude with a summary, indicating whether or not the stated problem is true and justifiable. However, in this particular study, a concluding statement is now made for a possible making of recommendations in the following chapter. It was therefore found unequivocally that the stated problem of the ineffective process of policy implementation in the public sector, and more specifically the ineffective process of implementing the housing policy and strategy by the Department of Human Settlements in the Eastern Cape is true and justifiable.

Firstly, the provision of the housing development services including the provision of houses to the deserving communities is inadequate and ineffective. Secondly, the housing development programme is having problems, which culminate to the poor provision of houses to the ordinary citizens. The process is faced by a number of administrative problems ranging from capacity of personnel (skills shortage), capacity of institutions at the centre of service delivery, inadequate funding, poor management of the processes, lack of leadership and management to guide the implementation processes and the recurring infrastructural backlogs, to mention a few. Thirdly, there is poor monitoring and evaluation of the housing development programmes due to lack of proper coordination of the housing development activities including programmes and projects. Fourthly, there is lack of active communication, interaction and consultation amongst the key stakeholders for housing policy implementation. Lastly, there is lack of cooperation and support amongst the key stakeholders for housing policy implementation. However, there are difficulties for the stakeholders to cooperate and work as a team as opposed to working in separate corners, the comfort zones.

In the circumstances, it was therefore found that the hypothesis of the study which is the ineffective process of implementing the housing policy and strategy and ineffective communication amongst the key stakeholders for the housing policy implementation such as politicians, public officials and citizens, is true and authentic because firstly, the Department of Human Settlements has problems in the implementation of the housing development policy and strategy. Secondly, the department fails to provide citizens with quality housing shelters as promised and in good time. Thirdly, there is poor co-ordination of the housing development programmes and projects. The process of the housing development lack co-ordination or integration of similar housing development programmes or projects. Fourthly, there is ineffective communication, consultation and interaction amongst the key stakeholders for housing policy

implementation. Lastly, there is non-cooperation of the key stakeholders for housing policy implementation.

The main objectives of the study were first to assess and establish the reasons which contribute to ineffective policy implementation in the public sector. Secondly, to investigate and determine the root causes of the poor co-ordination of the public services and the reasons for inactive interaction amongst the key stakeholders in policy implementation. Lastly, provide recommendations to improve policy implementation in the public sector. However, it can thus be concluded that policy implementation refers to the actual conversion of a policy (statement of intent) into the practical implementation of government programmes. Alternatively, policy implementation could simply refer to the actual rendering of public services by government officials to the ordinary citizens.

The goal of any public policy implementation process is to satisfy community needs, aspirations and expectations. The fact that the implementation of a housing policy does not translate into workable government programmes such as the provision of houses to communities becomes the real problem for the South African citizens. The situation therefore cannot be left alone with the hope that resolution might come. In the foregoing extent, the previously articulated statement of the problem, that the process of policy implementation in the public sector and communication amongst the key stakeholders is ineffective to deliver houses to the people, is true and justifiable.

Firstly, citizens are still battling to access houses as provided for in the constitution (*Vide*, section 26). Secondly, citizens are still residing in squatter camps and shacks in the periphery, something which contrasts with the notion of better for all. Thirdly, people are still experiencing serious problems of underdevelopment such as lack of infrastructural development. Fourthly, people are still affected by poor coordination of the housing services, lack of consultation and

neglect in the provision of houses. Lastly, people do not get the basic services such as water, food, electricity, roads and schools for their children. In all, citizens do not get services which would ultimately promote their general welfare (Meiring, 2001: 51).

## **6.5 CONCLUSION**

As planned, the chapter managed to tackle all issues which were queuing for discussion. As a rule, the chapter opened with an introduction wherein the aim and the focus of the chapter were indicated. The chapter discussed firstly the findings, recommendations and the concluding remarks. Generally, housing development service needs to be tackled through team approaches wherein each and every community member is expected to actively participate. Development initiatives are never achieved in instances where people work in different corners. The housing development service, to succeed as a social programme, needs to defeat the silo mentality which is prevalent in all organisations including the Department of Human Settlements in the Eastern Cape. Ideally, development initiatives become real and practical where each and every citizen commit to the goal of improving the lives of the majority of other citizens through boosting within an individual the element of becoming socially responsible.

## References

### Published Books

Meiring, M.H. 2001.*Fundamental Public Administration.A Perspective on Development*.Port Elizabeth;  
University of Port Elizabeth.School of Public Administration and Management. Publication,7.

### Official Publication

Republic of South Africa.*Constitution of South Africa, 1996 (Act 108 of 1996)*



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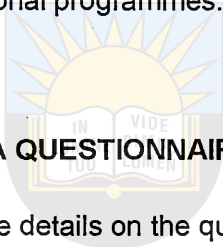
**SUPPLEMENT A: QUESTIONNAIRE ONE : POLITICAL OFFICE-BEARERS AND CHIEF OFFICIALS ON HOUSING POLICY IMPLEMENTATION.**

**Definition of terms**

Policy Implementation means the implementation of the housing policy and strategy by the Department of Human Settlements.

Co-ordination refers to the systematic way of controlling administrative decisions and activities to achieve the set goals of an organization.

Communication means a process of engagement in which words and ideas are exchanged for a common understanding of policy issues and organizational programmes.



**INSTRUCTIONS ON HOW TO COMPLETE A QUESTIONNAIRE**

Read the following carefully before filling in the details on the questionnaire.

Where applicable, the questions should be answered by circling the correct option.

**Example 1**

Question : Who decides on a policy implementation process for your

Department?

Top management	1
Operational staff	2

**Answer**

In this case the respondent has indicated that top management decides the policy implementation process.

Some questions will require that you indicate, on a five point scale (marked 1-5), the extent to which you agree or disagree with the given statement.

1	2	3	4	5
---	---	---	---	---

The following meaning is attached to the figure:

= strongly disagree

= disagree

= neutral

= agree

= strongly agree

2.4 Some questions will require that you indicate whether you agree or disagree with the statement.

**Example 2**

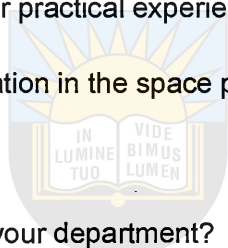
Statement : Political parties play a role in the policy implementation process.

agree	disagree
-------	----------

**Answer**

In this case the respondent indicated that he/she disagrees with the statement.

2.5 Your own view/ opinion (based on your practical experience) will also be asked. In such case please write the required information in the space provided.



**Example 3**

What is the main reason for the existence of your department?

.....

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.....

2.6 Often a question will have a mere "yes or no" However, you could be asked to motivate your answer.

Yes	No
-----	----

Your views/comments could be asked, to explain a specific question

**Example 4:**

In your view, should there be greater co- ordination of the housing development in the Eastern Cape (please motivate)

.....

.....

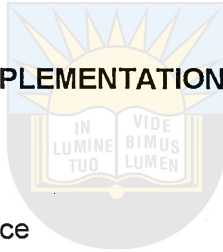
**3. GENERAL QUESTION** (Write or make a mark on the space provided).

<b>3.1 Department</b>	Department	
<b>3.2 Post Held</b>	Departmental Head	
	Middle Management	
	Other.....	
<b>3.3 Age</b>	Years	
<b>3.4 Sex</b>	Male/Female	
<b>3.5 Work Experience</b>	Years of Service as Municipal official	
	Less than 5 years	
	5 to 10 Years	
	11 to 15 Years	
	16 to 20 Years	
	More than 20 Years	
<b>3.6 Home Language</b>	English	
	Afrikaans	
	English/Afrikaans	
	Xhosa	
	Other	
<b>3.7 Academic Qualification</b>	Standard 8	
	Matric	
	Diploma/Certificate (s) Technikon	

	Diploma/Certificate (s) University	
	Undergraduate Degree (University)	
	Postgraduate Degree (University)	
	Other.....	

**4. RESEARCH QUESTIONS**

**4.1 NATURE OF THE HOUSING POLICY IMPLEMENTATION IN THE DEPARTMENT.**



Question 4.1.1 Please indicate your post / office

Manager/Executive	1
Official	2

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Question 4.1.2 Housing policy development and implementation is an important function of the Department of Human Settlements.

1	2	3	4	5
---	---	---	---	---

Question 4.1.3 Please state important aspects required for the smooth implementation of a policy

.....

.....

.....

Question 4.1.4 How does your department promote common understanding of a housing policy and its implementation approach?

.....  
.....  
.....

Question 4.1.5 Is budget and skilled personnel always available for the implementation of the housing programmes or projects?

Yes	No
-----	----

Please motivate your answer

.....  
.....  
.....

**4.2 PROBLEMS ENCOUNTERED ON THE IMPLEMENTATION OF A HOUSING POLICY AND STRATEGY.**



Question 4.2.1 Does your department experience problems of implementing the housing policy and strategy ?

Yes	No
-----	----

(a) If yes, please motivate your answer.

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.....  
.....  
.....

(b) What would be the cause of such problems ?

.....  
.....  
.....

(c) Are these problems related to a shortage of skills or infrastructure of the implementing institutions or agencies ?

.....  
.....  
.....

4.2.2 How does your department determine the need for a specific housing programme or

project?

.....  
.....  
.....

4.2.3 If problems emerge on implementation, are they effectively resolved?

Motivate.....  
.....  
.....

4.2.4 In your opinion, what is the public perception about the implementation process of the housing policy and strategy by your department?



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Unknown	
Poor	
Satisfactory	
Good	
Very Good	

4.2.5 Does your department endeavour to improve the implementation process of the housing policy and strategy?

Yes	No
-----	----

(a) Please give examples of such an action.

.....  
.....  
.....

4.2.6 To what extent have the objectives of the housing policy and strategy been met in 2010 by your department?

.....  
.....  
.....

**4.3 MONITORING AND EVALUATION OF THE HOUSING PROGRAMMES AND PROJECTS.**

4.3.1 Are housing programmes and projects regularly monitored and evaluated by your department?

Yes	No
-----	----

How often are your housing programmes and projects monitored and evaluated?



Yearly	
Every 2 <sup>nd</sup> year	
Every 3 <sup>rd</sup> year	
Every 4 <sup>th</sup> year	
Never	

4.3.2 Do you consider the monitoring and evaluation of the housing programmes and projects an essential function of your department?

Yes	No
-----	----

Please motivate your answer

.....

.....

.....

4.3.3 Does your Executive management determine the impact / consequence of the housing programmes or projects on the welfare of citizens when monitoring and evaluating such activities?

Yes	No
-----	----

Please motivate your answer

.....

.....

.....

4.3.4 Do you consult the citizens when monitoring and evaluating the housing programmes and projects?

Never	
Seldom	
Always	

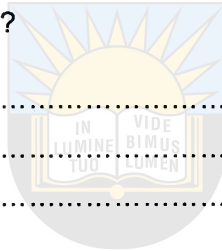
How do you consult the citizens?

.....

.....

.....

4.3.5 What is your view on the perceptions of the citizens regarding the provision of houses by your department?



.....

.....

.....

Are the majority of citizens satisfied with the manner in which houses are provided by your department:

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Satisfied	Dissatisfied	Not certain
-----------	--------------	-------------

If dissatisfied, what would be the reasons?

.....

.....

.....

How would you determine if the citizens are satisfied or dissatisfied with the manner in which houses are provided?

Questionnaires		Through ward councilor	
Ward Committee Meeting		Interest group / NGO	
Media		Political parties	
Mass Demonstrations		Other	

**4.4 COMMUNICATION OF ROLE PLAYERS ON HOUSING**

**POLICY IMPLEMENTATION.**

4.4.1 Does your department consider communication of the key role players essential on the implementation of the housing policy and strategy?

Yes	No
-----	----

Please motivate your answer

.....

.....

.....

4.4.2 Do the citizens receive the housing programmes or projects they expect to receive from the department?

Yes	No
-----	----

Please motivate your answer

.....

.....

.....



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4.4.3 Citizens and other role players are regularly consulted.

Strongly disagree	1
Disagree	2
Neutral	3
Agree	4
Strongly agree	5

4.4.3.1 Is there an established communication framework to be utilized by both internal and external clients?

Yes	No
-----	----

Please motivate your answer.

.....  
.....  
.....

4.4.3.1 (a) Are there communication co-ordinators for the department?

Yes	No
-----	----

Please motivate your answer

.....  
.....  
.....

4.4.3.2 Are the role players in housing development satisfied with the communication strategy that is currently used by your department?

Yes	No
-----	----

Please motivate your answer

.....  
.....  
.....



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4.3.3 (a) Everybody is aware of the process of the housing provision.

Strongly disagree	1
Disagree	2
Neutral	3
Agree	4
Strongly Agree	5

4.3.3 (b) Does your department regularly communicate and update the role players about the latest developments in the housing provision?

Yes	No
-----	----

4.3.3 (c) How often does your department hold information sharing sessions regarding the provision of houses?

Weekly	Monthly	Do not know
--------	---------	-------------

Please motivate your answer

.....

.....

.....



**THANK YOU FOR YOUR TIME AND PATIENCE**

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**SUPPLEMENT B: QUESTIONNAIRE TWO : STAKEHOLDERS ON HOUSING**

**POLICY IMPLEMENTATION.**

**Definition of terms**

Policy Implementation means the implementation of the housing policy and strategy by the Department of Human Settlements.

Co-ordination refers to the systematic way of controlling administrative decisions and activities to achieve the set goals of an organization.

Communication means a process of engagement in which words and ideas are exchanged for a common understanding of policy issues and organizational programmes.

**INSTRUCTIONS ON HOW TO COMPLETE A QUESTIONNAIRE**

Read the following carefully before filling in the details on the questionnaire.

Where applicable, the questions should be answered by circling the correct option.



**Example 1**

Question : Who decides on a policy implementation process for the Department of Human Settlements?

Top management	<input type="radio"/>
Operational Staff	<input type="checkbox"/>

**Answer**

In this case the respondent has indicated that Top management decides the policy implementation process.

Some questions will require that you indicate, on a five point scale(marked 1-5), the extent to which you agree or disagree with the given statement.

1	2	3	4	5
---	---	---	---	---

The following meaning is attached to the figure:

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HOWARD PM LIBRARY  
PRIVATE BAG X1322  
ALICE 5700



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1 = strongly disagree

2 = disagree

3 = neutral

4 = agree

5 = strongly agree

2.4 Some questions will require that you indicate whether you are agree or disagree with the statement.

**Example 2**

Statement : Political Parties play a role in the process of policy implementation.

agree	Disagree
	○

**Answer**



In this case the respondent indicated that he/she disagrees with the statement.

Your own view/ opinion(based on your practical experience) will also be asked. In such case please write the required information in the space provided.

**Example 3**

What is the main reason for the existence of the Department of Human Settlements?

.....

.....

2.6 Often a question will have a mere "yes or no" However, you could be asked to motivate your answer.

Yes	No
-----	----

Your views/comments could be asked, to explain a specific question

**Example 4:**

In your view, should there be greater co- ordination of housing development in the Eastern Cape?

Please motivate

3. GENERAL QUESTION (Write or make a mark on the space Provided).

3.1 Age	Years	
3.2 Sex	Male/Female	
3.3 Home Language	English	
	Afrikaans	
	English/Afrikaans	
	Xhosa	
	Other	
3.4 Academic Qualification	Standard 8	
	Matric	
	Diploma(s) Municipal Institutions	
	Diploma/Certificate (s) Technikon	
	Diploma/Certificate (s) University	
	Undergraduate Degree (University)	
	Postgraduate Degree (University)	
	Other.....	

<b>3.5 Employment Status</b>	Private Worker	
	Business	
	Unemployed	
	Employed	

**4. RESEARCH QUESTIONS**

**4.1 NATURE OF THE HOUSING POLICY IMPLEMENTATION IN THE**

**DEPARTMENT**

Question 4.1.1 Please indicate your designation

NGO Representative.		Member : Interest Group	
Labour Representative		Church member	
Citizen		Traditional Leader	
Business Representative.		Other	

Question 4.1.2 Housing policy development and implementation is an important function of the Department of Human Settlements.

1	2	3	4	5
---	---	---	---	---

Question 4.1.3 In your opinion, what must start before the department can start building houses?

.....

.....

.....

Question 4.1.4 Is there a process of housing development in your area?

.....

.....

.....

Question 4.1.5 Who plans such housing development initiatives in your area?

.....  
.....  
.....

Question 4.1.5 In your view, is the housing development programme in your area succeeding?

Yes	No
-----	----

Please motivate

.....  
.....  
.....

#### 4.2 PROBLEMS ENCOUNTERED ON THE IMPLEMENTATION OF A HOUSING

##### POLICY AND STRATEGY

Question 3.2.1 On observation, is the department experiencing problems in developing houses in your area?

Yes	No
-----	----



If yes, please motivate your answer.

.....  
.....  
.....

(b) What would be the cause of such problems?

.....  
.....  
.....

(c) Are these problems related to a shortage of skills or infrastructure of the implementing institutions or agencies

.....  
.....  
.....

4.2.2 In your opinion, are these houses of good quality? (Please motivate)

Yes	No
-----	----

.....

.....

.....

4.2.3 Is the process of building houses fast or slow? (Please Motivate)

.....

.....

.....

4.2.4 Do you regularly speak to the departmental officials to address problems in your area?

Yes	No
-----	----



Please give examples of such interaction.

.....

.....

.....

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4.2.6 Do you clearly understand the process of housing development?

Yes	No
-----	----

Please motivate

.....

.....

.....

**4.3 MONITORING AND EVALUATION OF THE HOUSING PROGRAMMES AND PROJECTS**

4.3.1 Are you aware that the process of building community houses needs to be monitored and

evaluated by both the community representatives and departmental officials?

Yes	No
-----	----

If yes, please indicate how often has the process of building community houses been monitored and evaluated?

Yearly	
Every 2 <sup>nd</sup> year	
Every 3 <sup>rd</sup> year	
Every 4 <sup>th</sup> year	
Never	
Do not Know	



4.3.2 Do you consider monitoring and evaluation an important feature of the community housing development process?

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Yes	No
-----	----

Please motivate your answer

.....

.....

.....

4.3.3 Have you ever been involved in the monitoring and evaluation of the community housing development exercises?

Never	
Seldom	
Always	

How did you get involved?

.....  
.....  
.....

4.3.4 Do you think the majority of citizens satisfied with the community housing development

services :

Satisfied	Dissatisfied	Not certain
-----------	--------------	-------------

If dissatisfied, what would be the reasons?

.....  
.....  
.....

#### 4.4 COMMUNICATION OF ROLE PLAYERS ON HOUSING POLICY

##### IMPLEMENTATION.



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4.4.1 How often do you speak to the departmental officials about the process of housing

development?

Never	
Seldom	
Always	

4.4.2 Do you know where can you meet the departmental officials?

Yes	No
-----	----

Please motivate your answer

.....  
.....  
.....

4.4.3 Do you think the majority of citizens are happy with the existing communication channel

with the department?

Yes	No
-----	----

4.4.3.1 Everybody is aware of the process of the housing provision.

Strongly disagree	1
Disagree	2
Neutral	3
Agree	4
Strongly agree	5

Please motivate your answer.

.....

.....

.....



Are you continuously provided with the latest information on housing development?

Yes	No
-----	----

Please motivate your answer

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.....

.....

.....

(b) Do you know who to speak when there are problems?

Yes	No
-----	----

Please motivate your answer

.....

.....

.....

4.4.3.3 Overall considered, are you satisfied with the manner in which the department consult

citizens

Yes/No

If no, why are you dissatisfied?

.....

.....

.....

**THANK YOU FOR YOUR TIME AND PATIENCE**



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14 sage street  
Haven hills  
East London  
5247  
08 June 2010

The Head of Department  
Human Settlement  
P/B x 13008  
Cambridge  
5206

Dear Sir/Madam

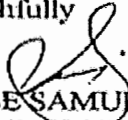
**Request for permission to conduct research.**

I am Sibulele Samuel Ngantweni, a PhD student at Fort Hare University whose student number is 200702897. I am currently enrolled in a doctoral programme in the faculty of Management and Commerce under the School of Public Management and Development.

I humbly request to be granted permission to conduct a study in your department. The title of my research is "an appraisal of the policy implementation process in the Eastern Cape." Through this study, flaws and the critical challenges facing policy implementation in the department will be surfaced with a view to recommending corrective measures.

It is therefore hoped that my request will receive your favourable consideration.

Yours faithfully

  
08/06/2010  
SIBULELE SAMUEL NGANTWENI  
Tel: Work 040-608-4490  
Cell : 083 378 0217  
E-mail sngantweni@gmail.com



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Date: 15/12/2010

14 Sange Street  
Haven Hills  
East London  
5247

Dear Mr SS Ngantweni

**APPROVAL OF REQUEST TO CONDUCT RESEARCH IN THE DEPT OF HUMAN SETTLEMENTS.**

It is with great pleasure to inform you that you have been granted the opportunity to conduct Research in the Department, but the following have to be adhered to:

- The research you will conduct will be at your own cost and risk.
- The data collection should not cause any disruption to operations and where necessary to be negotiated with Programme Heads.
- The data collection be for a defined period.
- Any documentation request to be directed to the Needs and Research Directorate.
- The study results must only be used for the purpose of the study.

Thank you for your interest in this important study.  
Wishing you all the best in your endeavours.

Mr S Mbanga  
Acting Head of Department  
Date 15/12/2010

it's *impossible*   
human settlements eastern cape

On a mission to eradicate homelessness and informal settlements